

Operational Plan 2012-2015

DFID Conflict, Humanitarian and Security Department

June 2012

Contents:

Introduction	1
Section 1: Context	2
Section 2: Vision	3
Section 3: Results	4-6
Section 4: Delivery and Resources	7-10
Section 5: Delivering Value for Money	11
Section 6: Monitoring and Evaluation	12
Section 7: Transparency	13

Introduction

- The UK Government is determined to help reduce the inequalities of opportunity we see around the world today. We believe that promoting global prosperity is both a moral duty and in the UK's national interest. Aid is only ever a means to an end, never an end in itself. It is wealth creation and sustainable growth that will help people to lift themselves out of poverty.
- In May 2010, the International Development Secretary, Andrew Mitchell, commissioned the Bilateral Aid Review to take a comprehensive and ambitious look at the countries in which DFID works through our direct country and regional programmes. The review focussed on the best ways for the UK to tackle extreme poverty, ensuring that we make the greatest impact with every pound we spend. In parallel, through the Multilateral Aid Review, DFID assessed how effective the international organisations we fund are at tackling poverty.
- On the 1st March 2011, the key outcomes of the reviews were announced, including the results that UK aid will deliver for the world's poorest people over the next four years. The Bilateral Aid Review has refocused the aid programme in fewer countries so that we can target our support where it will make the biggest difference and where the need is greatest. The Multilateral Aid Review findings enable us to put more money behind effective international organisations which are critical to delivering the UK's development priorities. In addition the independent Humanitarian Emergency Response Review looked at how the UK can build on its strengths in responding impartially to humanitarian needs and help ensure future disaster responses can be better prepared and coordinated.
- DFID is committed to being a global leader on transparency. In the current financial climate, we have a particular duty to show that we are achieving value for every pound of UK taxpayers' money that we spend on development. Results, transparency and accountability are our watchwords and guide everything we do. DFID regards transparency as fundamental to improving its accountability to UK citizens and to improving accountability to citizens in the countries in which it works. Transparency will also help us achieve more value for money in the programmes we deliver and will improve the effectiveness of aid in reducing poverty.
- The UK Aid Transparency Guarantee commits DFID to making our aid fully transparent to citizens in both the UK and developing countries. As part of this commitment we are publishing Operational Plans for country programmes. The Operational Plans set out the vision, priorities and results that will be delivered in each of our country programmes.
- We will concentrate our efforts on supporting achievement of the Millennium Development Goals (MDGs), creating wealth in poor countries, strengthening their governance and security and tackling climate change. The prize, in doing so, is huge: a better life for millions of people, and a safer, more prosperous world.

1) Context

The Conflict, Humanitarian and Security Department's **goal** is to prevent conflict and reduce poverty in fragile states, deliver world class humanitarian assistance, help poor countries be more resilient to disasters and support justice and freedom from violence, particularly for women and girls.

Humanitarian assistance: Mega disasters such as the 2011/12 drought in the Horn of Africa, the floods in Pakistan (2010) and Haiti earthquake (2010) have shown that despite best efforts, international humanitarian assistance could be quicker and more effective. British humanitarian assistance is one of the best in the world – but could be even better.

In 2011, as part of a series of reviews on value for money initiated by the Secretary of State, Lord Ashdown reviewed UK humanitarian assistance, making recommendations for a faster and more effective response – the [Humanitarian, Emergency Response Review \(HERR\)](#). Later that year, the Government [set out how it would meet the challenges outlined in the HERR](#), the [UK Humanitarian Policy](#) and the DFID Approach paper "[Defining Disaster Resilience](#)". These policies will shape and inform all our humanitarian and disaster resilience work over the period.

Fragile states and conflict: Conflict, fragility and insecurity deepen poverty and act as a brake on growth and prosperity (Skaperdas et al, 2009). Half of the children who die before they reach their fifth birthday and half of the children who are not in primary school live in fragile countries (World Development Report 2011). Conflict overseas also threatens UK national security – through increased levels of terrorism, migration and criminal networks. In 2011, the UK Government set out how it would tackle instability and conflict overseas in the [Building Stability Overseas Strategy \(BSOS\)](#). The Conflict, Humanitarian and Security Department (CHASE) leads on the implementation of BSOS for DFID.

The UK has committed to spend 30% of assistance in fragile and conflict-affected states by 2014/2015 and has led international discussions to improve the way the international community supports development in fragile states. In 2011, DFID helped to secure a new international agreement 'the [New Deal for engagement in fragile states](#)'. Together with BSOS, this "New Deal" will underpin and inform all our work on conflict and instability over the period.

Security and Justice: Time and again, poor people have rated security and better access to justice as one of their main priorities. The World Bank's [World Development Report 2011](#) highlighted the provision of security and justice as critical to breaking cycles of violence, building legitimate states and empowering citizens. Across the globe, millions of women and girls still experience violence on a regular basis. DFID is committed to supporting 10 million women gain access to justice by 2015 and to tackle violence against women in at least 15 countries.

2) Vision

Overview

Over the next three years, CHASE will:

Humanitarian response:

- Build the capacity of the UK Government and partners to better anticipate and plan for emergencies and disasters
- Drive innovation with the private sector so that the UK is able to respond more quickly and efficiently to disasters
- Build the resilience of poor countries so that they can cope better and bounce back faster from disasters
- Champion reform of the international humanitarian system so it is fast, effective, accountable and offers value for money

Fragile States and Conflict

- Ensure that the UK Government and other donor programmes meet the development challenges of conflict affected and fragile states effectively
- Strengthen early warning systems so that the UK government can better anticipate and respond to instability
- Help the UK to take faster and more effective action to prevent a crisis or stop it from escalating
- Support programmes to help countries to recover from conflict and build the evidence on what works

Security and Justice

- Drive innovation and develop tools to support high quality security and justice programmes
- Invest in research to build the evidence base and test out new approaches to preventing violence against women
- Negotiate a new international arms trade treaty in July 2012, as part of the UK Government team

Alignment to DFID and wider UK Government priorities

CHASE leads on a number of commitments in DFID's Business Plan: strengthening governance and security in fragile and conflict-affected countries; responding to humanitarian disasters; and building resilience of vulnerable people to withstand shocks and disasters. To deliver on these commitments, we work very closely with country offices, regional departments, international division and the policy and research department. CHASE's work on conflict and security is guided by the National Security Council. We work closely with other government departments, and in particular with the Ministry of Defence, Foreign and Commonwealth Office, the Home Office, Stabilisation Unit, Cabinet Office and Ministry of Justice.

What we will stop doing

The results set out in this plan are the CHASE priorities. We will not take on additional work outside these priorities unless requested by Ministers.

3) Results

Headline results			
Pillar/ Strategic Priority	Indicator	Baseline (including year)	Expected Results (including year)
HUMANITARIAN	UK Government capacity to anticipate risk of humanitarian emergencies and disasters.	No comprehensive process in place (2012).	Risk register established and in use by mid-2012. Informs prompt humanitarian action and improved national resilience/preparedness.
DISASTER RESILIENCE	Number of UK country programmes which have embedded disaster resilience.	An ad hoc approach to embedding disaster risk reduction in country programmes (2011).	All 28 country programmes have embedded disaster resilience, as appropriate to each context, by 2015.
HUMANITARIAN AND FRAGILE STATES AND CONFLICT	Improved results, reporting and better value for money in core-funded organisations.	Reform priorities on results and value for money set out in business cases for each agency (2011/12).	Agency performance assessed as part of the Multilateral Aid Review update by September 2013.
FRAGILE STATES AND CONFLICT	Number of cross-UK Government joint analysis of conflict and stability (JACS) supported.	Up to date joint analysis of conflict and stability exist in 2 out of 22 DFID supported fragile and conflict affected states (2011/12).	Finalise methodology for cross-UK Government conflict analysis by October 2012, complete new conflict analysis in at least four countries by March 2013, and ensure up-to-date analysis in at least 13 of DFID supported fragile and conflict-affected states.

3) Results (cont)

Headline results			
Pillar/ Strategic Priority	Indicator	Baseline (including year)	Expected Results (including year)
FRAGILE STATES AND CONFLICT	Implementation of the New Deal for engagement in Fragile States.	New Deal agreed at Busan International Dialogue on State-building and Peace-building – no partnerships in place (2011).	At least two UK supported partnerships with fragile states. Other donors come forward to support additional partnerships (March 2013).
SECURITY AND JUSTICE	CHASE meets country office demand with effective support to security and justice and violence against women and girls programmes.	Security and Justice Community of Practice launched in November 2011. Violence against women and girls Community of Practice launched May 2012.	Communities of Practice remain a valued resource, with access over the period (ie number of hits) equal or more to the first six months (2014/15).
WOMEN AND GIRLS	Violence against women and girls research and innovation fund established with Research and Evidence Department.	Little rigorous evidence exists on what prevention approaches have been most successful.	Research and innovation fund in place by December 2012.

3) Results (continued)

Evidence supporting results

Humanitarian: the results reflect lessons from existing evidence, drawn together in the HERR, the UK Government's response to the HERR, DFID's Humanitarian Policy, DFID's Innovation and Research Strategy and the DFID approach paper "Defining Disaster Resilience". Our priorities for engagement with multilateral partners are informed by DFID's multilateral aid review, and will be reassessed after the Multilateral Aid Review update in early 2013.

Conflict and fragile states: the results are informed by a large body of evidence around the causes of conflict and fragility and the role of development in addressing these. Much of this was drawn together in the World Development Report 2011 and in DFID's practice paper on Building Peaceful States and Societies. The New Deal and the OECD-DAC principles for engagement in fragile states set out internationally agreed good practice, based on evidence gathering by the International Dialogue and International Network on Conflict and Fragility. They underline the importance of robust analysis as a basis for work on conflict and fragility.

Security and justice and preventing violence against women and girls: the World Development Report 2011 sets out how accountable security and justice services are central to building legitimate states and empowering citizens and are a key enabler for wealth creation. The evidence base for what works in programming to promote security and justice and prevent violence against women is currently weak. Building the evidence base is the primary focus for CHASE over the next few years.

Value for Money rationale

CHASE helps DFID deliver development gains in the face of conflict, disaster and violence. Building resilience, whether to natural disasters or to conflict, minimises the risks of significant investments being lost and helps save money. For example, it is estimated that £1 spent on conflict prevention can save the international community £4 once conflict has broken out (Chalmers et al 2004); evidence from available Disaster Risk Reduction (DRR) economic project appraisals shows average economic rates of return of 30%+.

DFID's resource allocation to multilateral agencies is informed by the Multilateral Aid Review. Humanitarian and conflict multilateral agencies scored higher than the MAR average overall. MAR reform priorities will enhance value for money across the international system.

CHASE's approach to value for money is set out later in this document.

4) Delivery and Resources

Context

CHASE is London and East Kilbride based, with strong links to UK missions in New York, Geneva, Brussels and Rome. We work closely with DFID's Country Offices, Policy and Research Divisions, International Division and the Stabilisation Unit to deliver our priorities. We collaborate closely with other UK Government Departments, particularly the Ministry of Defence (MOD), Foreign and Commonwealth Office (FCO), Ministry of Justice and Home Office . We have in-house technical skills in humanitarian, governance, economics, conflict, social development, evaluation, statistics and disaster resilience. Embedded within CHASE is an Operations Team (OT), contracted through Crown Agents, which provides support for the UK response to rapid onset emergencies.

Intervention Choice

- We provide UK multilateral contributions to UN agencies and the Red Cross movement. We engage strategically with these agencies to take forward Multilateral Aid Review reform priorities and the reform commitments of the international humanitarian system under their “Transformative Agenda”.
- We provide direct funding to respond to disasters and have the capability to deploy humanitarian field teams and relief items through our Operations Team where needed.
- We represent DFID's interests in the tri-Departmental (DFID, FCO, MoD) Conflict Pool which provides resources to help prevent conflict and build stability overseas, through the BSOS Board and Conflict Pool Secretariat.
- During 2011, CHASE scaled up its policy and advisory capacity in order to play a greater leadership role across DFID and UK Government as well as within the international system. In early 2012, the Fragile States Team from Policy Division was merged into CHASE to support a more effective and joined up approach to DFID's policy work on fragile and conflict affected states.
- We invest in research and innovation and pilot new approaches to build evidence for what works best in conflict, security, resilience and humanitarian programming.
- We develop tools and provide support to DFID country offices to help embed resilience and conflict prevention in DFID country programmes, to test out and scale up new approaches to security and justice and violence against women, and to monitor and evaluate impact and value for money.

Partnerships

- We continue to work closely with partners from the poorest nations and emerging powers to build a safer and more secure world .
- We are scaling up our engagement with the private sector to drive innovation to tackle disasters, conflicts and build resilience.
- We work as one with other UK government departments, particularly the FCO and MOD.
- We have strong partnerships with international and local NGOs to build resilience and respond better to disasters.

4) Delivery and Resources (continued)

Planned Programme Spend ¹

Pillar/Strategic priority	2010/11 (outturn)		2011/12		2012/13		2013/14		2014/15		TOTAL 2011-15	
	Resource £'000	Capital £'000										
Governance and Security	15,347		28,600		39,783		30,400		30,400		129,183	0
Humanitarian ²	152,078		88,800		87,565		202,500		274,550		653,415	0
TOTAL ³	167,425	0	117,400	0	127,348	0	232,900	0	304,950	0	782,598	0

¹ The 2010/11 figures reflect actual outturn as the baseline year before the current spending review period. Figures for 2011/12 to 2014/15 are planned budgets within the spending review period. The 2012/13 figures differ from the previously published Operational Plan as the 2012/13 budget round has now taken place and updated allocations for this year have been agreed. 2013/14 and 2014/15 figures are subject to updates in subsequent years.

² CHASE Response Contingency is £15m 11/12, £7m 12/13, £20m 13/14, £25m 14/15 included in the Humanitarian figures.

³ Excludes Conflict Pool funding

4) Delivery and Resources (continued)

Planned Operating Costs ¹

	2010/11 (outturn)	2011/12	2012/13	2013/14	2014/15	Total 2011-15
	£'000	£'000	£'000	£'000	£'000	£'000
Frontline staff costs - Pay		1,156	1,658	1,455	1455	5,724
Frontline staff costs - Non Pay		115	126	256	246	743
Administrative Costs - Pay	2,631	2,961	2,889	2,961	2961	11,772
Administrative Costs - Non Pay	1,019	687	794	384	362	2,227
Total	3,650	4,919	5,467	5056	5024	20,466

¹ The 2010/11 figures reflect actual outturn as the baseline year before the current spending review period. Figures for 2011/12 to 2014/15 are planned budgets within the spending review period. The 2012/13 figures differ from the previously published Operational Plan as the 2012/13 budget round has now taken place and updated allocations for this year have been agreed. 2013/14 and 2014/15 figures are subject to updates in subsequent years.

4) Delivery and Resources (continued)

Planned Efficiency Savings		
Category	Details	Residual cost in the SR period £'000
Strategic Reprioritisation	During 2010/11 CHASE closed a number of poor performing projects, including work on: Mines, Civil Society projects, Avian Human Influenza, Humanitarian Policy and Conflict Policy.	£29 million programme funds in 10/11.
Further examples of Programme efficiency	Cross CHASE work on evidence and value for money; gains made by delivering MAR reform priorities, and stopping funding to UNISDR; championing Results Based Management systems for multilaterals.	£4 million - UNISDR exit.

Administrative Cost Savings Initiative	2011/12		2012/13		2013/14		2014/15	
	PAY £'000	Non Pay £'000						
Reduction in Consultancy Payments		309		100				
Reduction in Travel				21		21		21
Reduction in Training		19		5		5		5
Reduction in Estates & Property Costs								
Reduction in costs as a result of Office Restructuring								
Other Reductions		117						
Total	0	445	0	127	0	27	0	27

5) Delivering Value for Money

CHASE is committed to delivering value for money. Examples of how we did this in 2011 include:

- Launching a new Rapid Response Facility so that the UK can deploy humanitarian assistance more quickly, effectively and cost efficiently;
- Developing methodologies for assessing value for money in humanitarian response. This is being rolled out to DFID country offices and partners as part of a new package of guidelines on humanitarian finance;
- Following a rigorous competitive process, awarding a new Operations contract to Crown Agents to support a faster, more effective and efficient humanitarian response to emergencies;
- Supporting DFID country offices to assess value for money in new business cases, e.g. in Ethiopia (security and justice) and in DRC (humanitarian response);
- Launching, in partnership with Africa Division and Research Division, a new humanitarian research and innovation fund in April 2012. The strategy will help to build the evidence and drive innovation on the most effective approaches to disaster risk resilience and humanitarian response
- Launching a help desk and community of practice on effective approaches to security and justice;
- Supporting reform of the Conflict Pool, to ensure a more rigorous approach to allocation and results monitoring;
- Helping the UN Department of Political Affairs to improve their results measurement systems;
- Setting up a Results and Performance Team and increasing our economic, statistics and evaluation advisory capacity to bring even greater rigour to our work on value for money.

Ongoing priorities include:

- By increasing our focus on conflict prevention and building resilience to disasters
- Building the evidence base for the economics of resilience, looking at reduction of future disaster response costs as a result of earlier investments;
- Assessing the progress of multilateral agencies against Multilateral Aid Review reforms, including on value for money, in late 2012. Ongoing engagement with multilateral agencies to support achievement of better value for money;
- Strengthening quality assurance of new business cases;
- Developing guidance to measure impact and value for money of programmes to prevent violence against women;
- Reducing our carbon footprint and saving money through better use of technology to reduce travel time to meetings, using economy flights, and greener behaviour in the office.

6) Monitoring and Evaluation

Monitoring and evaluating results against our results framework is a core element of our work. Key priorities over the period include:

Monitoring Strategy

- The Multilateral Aid Review update in 2012/13 which will monitor the performance of our multilateral partners against reform priorities;
- Developing more robust indicators and methodologies for measuring the impact of security and justice programmes;
- Through our membership of the Steering Committee of the International Dialogue, we will monitor progress on implementing the New Deal;
- Testing out new approaches to build in the views of beneficiaries of humanitarian assistance into monitoring and evaluation frameworks;
- Monitoring support to country offices - communities of practice, help desks, guidance notes, assessment frameworks - to assess relevance and quality;
- Monitoring progress against the BSOS implementation plan through the BSOS Board;
- Finalise a results framework for the Conflict Pool (2012 – 2015);
- Quarterly reviews of progress against the HERR response, to assess whether commitments made are on track;
- Contribute to Cabinet Office led monitoring of the Strategic Defence and Security Review commitments;
- Fortnightly reviews of the DFID Business Plan, which will ensure we monitor progress against key strategic commitments regularly;
- More timely and rigorous annual review and project completion reports.

Evaluation Strategy

Evaluation is a fundamental part of our programme cycle. Evaluation priorities over the period include:

- A new evaluation strategy for all DFID's humanitarian work;
- A CHASE evaluation approach paper;
- Increasing evaluation of work under the tri-departmental Conflict Pool;
- Completing an evaluation of DFID's mine action programme;
- A more proactive engagement with multilateral partners on evaluation;
- Guidance to country offices on evaluation approaches for violence against women and girls programming;
- Building evaluation priorities into all new CHASE business cases, for example, the Global Resilience Action Programme, the Rapid Response Facility and the Preventing Violence against women and girls research and innovation fund.

7) Transparency

Transparency is one of the top priorities for the UK Government. We will ensure that we continue to meet our commitments under the UK Aid Transparency Guarantee including publishing detailed information about DFID projects, including programme documents and all spend above £500. We will continue to ensure that information is accessible, comparable, accurate, timely and in a common standard with other donors and that we provide opportunities for those directly affected by our projects to provide feedback. Transparency objectives for CHASE over the next three years include:

- CHASE will meet the standards set out in the International Aid Transparency Initiative. We will publish detailed information on CHASE business cases, Annual Reviews and Project Completion Reports and all spend above £500. Information will be accessible, comparable, accurate, timely and in a common standard with other donors. We will also provide opportunities for those directly affected by our projects to provide feedback. This information will be of high quality and in plain English.
- Encourage our partners in civil society, multilateral organisations and other UK government departments to meet the standards of the International Aid Transparency Initiative. Within the humanitarian sector, we will encourage partners to join the Humanitarian Accountability Partnership International which supports accountability to beneficiaries. As part of this, we will directly support efforts by our partners to improve the participatory monitoring and evaluation of their work.
- Improve the visibility of DFID humanitarian action during rapid onset emergencies through proactive communications and monitoring tools on the DFID website. For example, during the 2011 Pakistan floods. we published real time information on where UK funds were being spent.
- Publish this summary of our Operational Plan on the DFID website. We will inform other UK Government Departments, international organisations, civil society and other development agencies of the Operational Plan.
- Increase transparency of cross-Whitehall working in Fragile States, including through the conflict pool.
- Implement the New Deal in five focus countries which have endorsed it and which includes a commitment by donors and governments to support more transparent fiscal systems.
- Commit to a shared CHASE objective on transparency in all staff performance management forms with CHASE's Leadership Team championing improvements across our work.