

# 5-YEAR EVALUATION OF THE CENTRAL EMERGENCY RESPONSE FUND

## INCEPTION REPORT

On Behalf of OCHA



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## ACRONYMS

<i>Acronym</i>	<i>Details</i>
<i>CAP</i>	Consolidated Appeals Process
<i>CAR</i>	Central African Republic
<i>CERF</i>	Central Emergency Response Fund
<i>CHF</i>	Common Humanitarian Fund
<i>DAC</i>	Development Assistance Committee (of the OECD)
<i>DFID</i>	Department for International Development (of the UK)
<i>DRC</i>	Democratic Republic of Congo
<i>ERC</i>	Emergency Relief Coordinator (the head of OCHA)
<i>ERF</i>	Emergency Response Fund or Expanded Humanitarian Response Fund
<i>EU</i>	European Union
<i>FAO</i>	Food and Agriculture Organization
<i>FMU</i>	Fund Management Unit (UNDP)
<i>FTS</i>	Financial Tracking Service
<i>GA</i>	General Assembly (of the United Nations)
<i>GHD</i>	Good Humanitarian Donorship
<i>HC</i>	Humanitarian Coordinator
<i>HCT</i>	Humanitarian Country Team
<i>HDI</i>	Human Development Index
<i>HDPT</i>	Humanitarian and Development Partnership Team
<i>HQ</i>	Head Quarters
<i>HRF</i>	Humanitarian Response Fund
<i>IDP</i>	Internally Displaced People
<i>IASC</i>	Inter-Agency Standing Committee
<i>INGO</i>	International Non Governmental Organisations
<i>M&amp;E</i>	Monitoring and Evaluation
<i>MDTF</i>	Multi Donor Trust Fund
<i>NGO</i>	Non Governmental Organisations
<i>NNGO</i>	National Non Governmental Organisations
<i>OCHA</i>	United Nations Office for the Coordination of Humanitarian Affairs

<i>Acronym</i>	<i>Details</i>
<i>OECD</i>	Organisation for Economic Cooperation and Development
<i>PAF</i>	Performance and Accountability Framework
<i>PBF</i>	Peace Building Fund
<i>RC</i>	Resident Coordinator
<i>RR</i>	Rapid Response (CERF funding window)
<i>ToR</i>	Terms of Reference
<i>UFE</i>	Under-funded emergency (CERF funding window)
<i>UK</i>	United Kingdom
<i>UN</i>	United Nations
<i>UNCT</i>	United Nations Country Team
<i>UNDP</i>	United Nations Development Programme
<i>UNICEF</i>	United Nations Children's Fund
<i>UNOPS</i>	United Nations Office for Project Services
<i>USD</i>	United States Dollar
<i>WASH</i>	Water Sanitation and Hygiene
<i>WFP</i>	United Nations World Food Programme

# 1 THE CONTEXT OF THE CERF

The original CERF was initially founded as the Central Emergency Revolving Fund in 1991 by General Assembly (GA) Resolution 46/182 (UN General Assembly, 1991). This was a landmark resolution for the Humanitarian Landscape. The resolution not only established the CERF, but created the post of Emergency Relief Coordinator (ERC), set up the Inter-Agency Standing Committee (IASC), and the Consolidated Appeals Process (CAP). It also laid the groundwork for transforming the former Office of the UN Disaster Relief Coordinator into what would eventually become Office for the Coordination of Humanitarian Affairs (OCHA).

After a hesitant start, with the GA calling on donors to support the fund in December 1992, the original CERF was a success, in that it raised \$49.5 million in direct donor contributions from 38 donors<sup>1</sup>, including a number of non-traditional donors.

## BOX 1. KEY GENERAL ASSEMBLY RESOLUTIONS ON THE CERF

46/182	19 December 1991. Calls on the Secretary General to establish a central emergency revolving fund as a cash-flow mechanism to ensure the rapid and coordinated response of the organizations of the [UN] system. The CERF was established with a target of \$50 million (UN General Assembly, 1991).
47/168	22 December 1992. Calls on Donors to fund the CERF and makes reference to the Department of Humanitarian Affairs (UN General Assembly, 1992).
48/57	14 December 1993. Notes the “encouraging results” of the operation of the CERF and its increasing utilisation by the operational agencies. The resolution also permits, pending a final decision, the ERC to borrow from CERF interest to fund field coordination. It expands the scope of the CERF to include the International Organisation for Migration (IOM). (UN General Assembly, 1993)
49/139	20 December 1994. Calls on donors to prioritise grants to agencies which would enable them to reimburse loans from the CERF. Endorses the IASC recommendation to continue with the financing of rapid response field coordination by borrowing from the CERF interest.(UN General Assembly, 1994)
60/124	8 March 2006. Authorises the creation of a grant fund of \$450 million for the CERF and renames it as the Central Emergency Response Fund. (UN General Assembly, 2006)

By 1994, the problem was not support for the fund, but the issue of timely repayment of loans, with the GA calling on donors to give priority to grants which would enable advances from the CERF to be reimbursed by agencies.

<sup>1</sup> The United States, at \$6.2 million was the largest contributor, with \$5.5 million from France and \$5 million each from Germany, Japan and the UK.

A further \$25 million in accrued interest means that the value of the nominal \$50 million loan found is actually \$75 million.

In March 2004, Ireland and the UK hosted a donor technical meeting in London under the aegis of the Good Humanitarian Donorship Initiative (Good Humanitarian Donorship, 2003) to consider improved flexible funding arrangements for emergencies. At this meeting it was decided that an enhanced CERF mechanism would be preferable to a completely new fund. The meeting hosts commissioned a study of a potentially revised CERF mechanism. This study recommended a revised CERF with a \$500 million grant element in addition to the current revolving loan element (Willitts-King and Faint, 2005).

The UK was a strong proponent of reform of humanitarian financing and in December 2004, Hilary Benn, the Secretary of State for International Development, proposed a new humanitarian fund of one billion dollars a year under the control of the ERC. He said that the UK would be willing to contribute £100 million (equivalent to \$193 million at the time, 19.3% of the total value) to such a fund (Benn, 2004).

At the same time the ERC, Jan Egeland<sup>2</sup> had commissioned the Emergency Response Review (Adinolfi et al., 2005) which made 36 recommendations including recommendations about humanitarian financing and the then CERF. Some of these recommendations<sup>3</sup> were then translated into the three pillars of the humanitarian reform process (Loupforest, 2006). The three pillars were:

- Improved coordination through the cluster approach;
- Stronger humanitarian leadership through strengthened Humanitarian Coordinators (HCs);
- More reliable and predictable humanitarian financing.

Partnership was later added as a fourth pillar (OCHA, 2007). The humanitarian financing pillar found expressing through the revision of the CERF and the establishment of country-level pooled funding mechanisms.

The Secretary General of the UN reported on the improvement of the CERF on 20 October 2005 (United Nations, 2005). This set out the context and the need for an improved CERF, as well as how such a CERF would operate. On March 8 2006, the UN General Assembly adopted Resolution 60/124 (UN General Assembly, 2006) which added a \$450 million grant element to the fund and changed its name from the Central Emergency Revolving Fund to the Central Emergency Response Fund. The revamped CERF was launched on March 9 2005. Initially there was some concern about the level of donor support for the fund with less than half the funding requirement met at launch (BBC, 2006). As with the previous CERF, NGOs<sup>4</sup> could not access CERF funding directly.

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<sup>2</sup> Jan Egeland served as ERC from 6 June 2003 to December 2006 (Egeland, Jan (2010) *Encyclopaedia Britannica Ultimate Reference Suite*. Chicago: Encyclopædia Britannica)

<sup>3</sup> For example, although three of the first four recommendations of the Humanitarian Response Review referred to establishing benchmarks for organisational capacity, response quality, and response capacity, this has not been a major focus of the humanitarian reform process.

<sup>4</sup> For brevity, the term NGOs will be used throughout the report to refer to both NGOs and to members of the Red Cross and Red Crescent Movement.



**BOX 2. COUNTRY-LEVEL POOLED HUMANITARIAN FUNDING MECHANISMS**

The two main country-level pooled funding mechanisms for humanitarian financing are the Common Humanitarian Funds (CHF) and the Emergency Response Funds (ERFs).

Four countries currently have CHFs, DRC (since 2005), Sudan (2006), Central African Republic (2008), and Somalia (2010). CHFs can be over \$100 million a year in size, the financial management is usually done by UNDP as administrative agent and both UN and non-UN agencies (typically through UNDP as the management agent grants) can access the funds. The average grants size varies by country and by year, but the global average size of CHF grants is \$0.4 million, and grants are typically for 12 months.

ERFs predate the humanitarian reform, with the first one founded in Angola in 1997. ERFs may be known by other names such as the Humanitarian Response Fund or Expanded Humanitarian Response Fund. ERFs existed in 16 countries in February 2010: Afghanistan, Columbia, DRC, Ethiopia, Haiti, Indonesia, Iraq, Kenya, Myanmar, Nepal, Occupied Palestinian Territories, Somalia, Sudan, Uganda, Yemen and Zimbabwe (Mowjee et al., 2007; OCHA, 2010). The balance of the Somalia ERF was transferred to the new Somalia CHF and a new ERF was established in Pakistan. The FTS data also shows an ERF in Lebanon in 2009.

ERFs are typically less than \$10 million per year, but several are much larger than this. They are typically managed by OCHA directly. Both UN and non-UN agencies can access the funds, and the majority of grants are typically for NGOs. Grant size varies by the ERF, with \$100,000 to \$250,000 being typical. The grant duration is typically for three to six months. ERFs are transitory. They may close, as has the original Angola ERF. In 2010, funding for the CHFs and ERFs together exceeded funding for the CERF, mostly due to the large Haiti ERF.

**Contributions to the three main UN pooled humanitarian funding mechanisms (Source: OCHA FTS)**

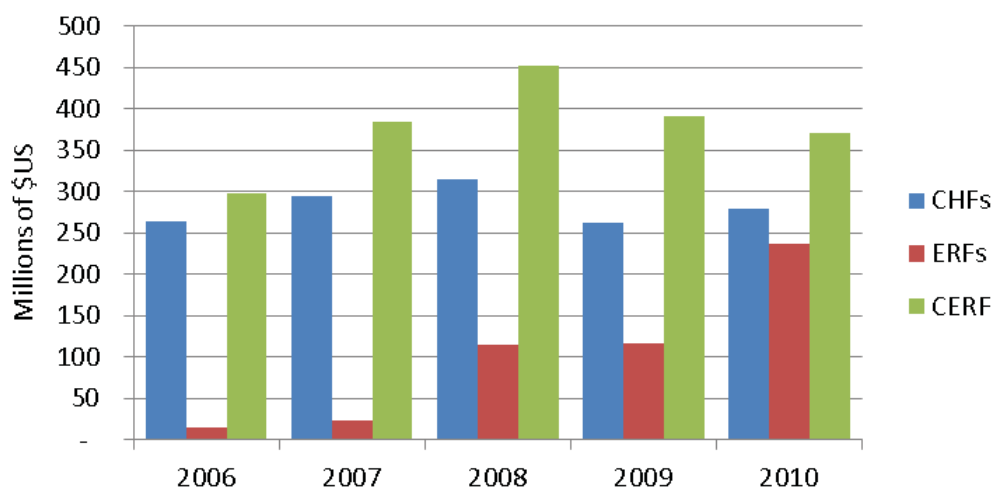


Figure 1: Contributions to the main pooled funding mechanisms by year

The revised CERF repeated the pattern of the original CERF, attracting funds, albeit often small amounts from non-traditional donors (Figure 2). The UK has been the largest individual donor, accounting for 18.9% of the CERF funding, close to the original pledge given by Hilary Benn (Benn, 2004).

**Contributors to the CERF to 19 November 2010 (OCHA FTS Data)  
showing individual donors who contributed over \$100 million.**

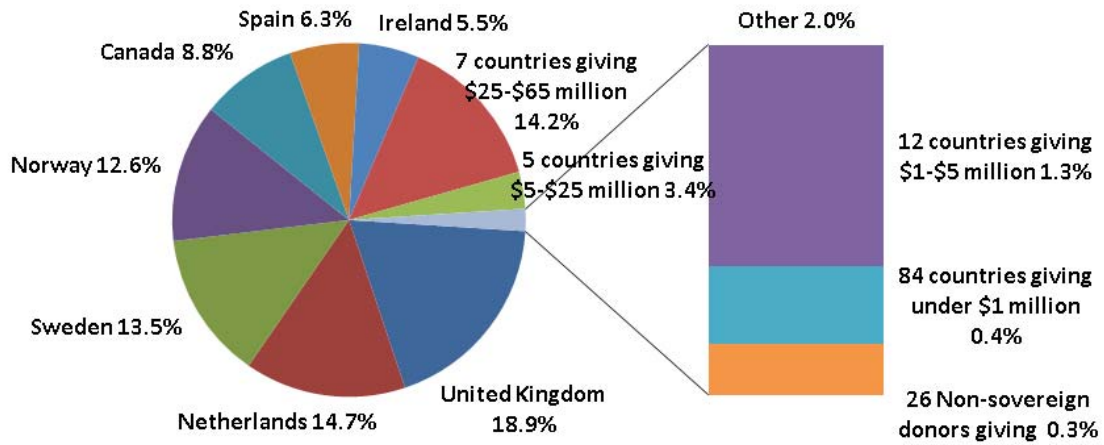


Figure 2: Contributors to the new CERF

## 2 THE FUNCTION OF THE CERF

### The purpose of the CERF

Both the 2005 report from the Secretary General and the 2006 GA resolution set three objectives for the CERF:

- Promote early action and response to reduce loss of life. This was identified as the primary objective of the fund
- Enhance response to time-critical requirements based on demonstrable needs.
- Strengthen core elements of humanitarian response in underfunded crises.

The evaluation will look at the extent to which the CERF has met these objectives.

### The operation of the CERF

The rules for the day to day operation of the fund are set out in the Secretary General's bulletins from the UN Secretariat. The 2006 bulletin on the CERF set out the procedures for the fund, and established the 2:1 split between rapid response and under-funded emergency grants (United Nations Secretariat, 2006). The bulletin was revised in April 2010 with a number of changes, including the increase in the expenditure period from three to six months (United Nations Secretariat, 2010).

#### **BOX 3. EXPENDITURE PERIOD**

One issue for the CERF secretariat has been that UN agencies use different accounting procedures. Some use a UN only standard, but others use international standards. All the UN agencies are now adopting the International Public Sector Accounting Standards (IPSAS Board, 2007) on an accruals basis.

The practical implication of this is that different agencies regard funds as being expended at different points. Some regard the fund as being expended when the obligation is made, and different agencies again have different standards for such an obligation (some regard the signing of a contract as the obligation, other treat the decision to sign a contract as an obligation). This means that funds which are reported as "expended" have not actually been spent, but have been committed for some purpose.

The CERF operates through the loan window and two grant funding windows, the rapid response (RR) funding window and the underfunded emergency (UFE) funding window. The CERF secretariat disburses funds through the loan and RR windows through the year, and through the UFE window twice a year in the first or second allocations.

- The CERF loan window has been in decline since the introduction of the CERF Grant windows. As of December 2010, there are no outstanding CERF loans, and usage of the loan window has been very low, despite the loan fund balance being over \$75 million (\$49.5 million in voluntary contributions plus accrued interest). A number of reasons have been suggested for this including the fact that agencies now have significant emergency reserves and internal loan mechanisms of their own.

- For the rapid response funding window: The HC (or RC in the case of countries where no HC has been appointed<sup>5</sup>) consults with the humanitarian country team and submits an application. This application includes a completed application template and a cover letter to the ERC from the RC/HC. Applications may be submitted at any time during the year. The request is reviewed by the CERF Secretariat and the ERC makes the final decision. This window consumes about two thirds of the fund. Such funding is intended to ensure a rapid response to humanitarian, life-saving needs due to sudden-onset emergencies, time-critical crises or rapid deterioration of existing crises.
- The underfunded funding window operates in a very different manner. It begins with the selection of a group of priority countries. These non-CAP countries are suggested by UN Agencies and IOM and they are also consulted on the selection of CAP countries. After the priority countries are selected the ERC allocates funding envelopes between them in consultation with the involved UN agencies and notifies the RC/HCs who then lead an in-country project prioritisation process. This window consumes about one-third of the CERF funding with, on average, a 2:1 split between the first and second round allocations. This funding is intended to promote a more equitable response to humanitarian crises across the globe by funding core emergency humanitarian needs in chronically underfunded emergencies.

Funding by the CERF in millions of US dollars  
(2006-2010)

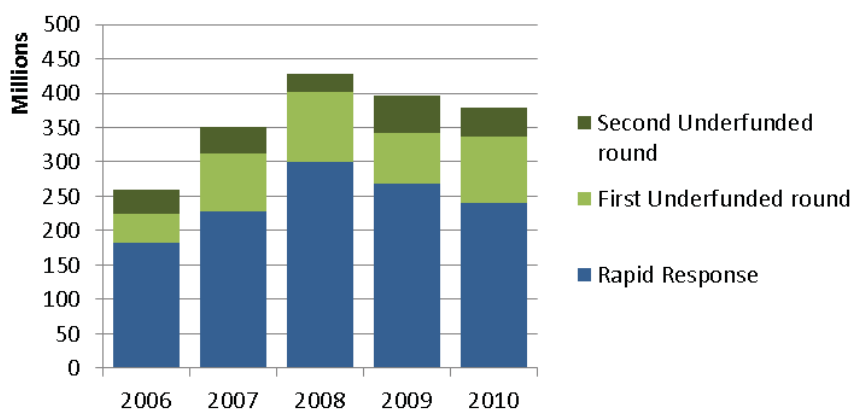


Figure 3: CERF by funding window

Humanitarian funding is one of the pillars of the humanitarian reform, and the CERF process contributes to the overall principles of the reform by supporting the other pillars. The CERF has the potential to strengthen the hand of the HC, through the leading role that

<sup>5</sup> Less than half of the countries which have received CERF funding currently have a HC (39 out of 83). Another 11 countries have HCs but have not received any CERF funding. 23% of CERF funding has been for countries which do not currently have a HC (Pakistan is not currently listed as having a HC, but had one at least as late as mid 2010). The number of HCs has increased dramatically from 27 in October 2009 (OCHA, 2009) to 50 currently. Currently, all 50 HCs are double-hatted RCs. Another 88 countries have RCs, or vacancies for RCs, but do not have HCs (UNDG, 2011a, 2011b).

the HC holds in the CERF application process. It also has the potential to strengthen the role of the clusters through promoting coordination within the cluster.

While the country level pooled funding mechanisms are similar in some respects to the CERF there is one vital difference. In the case of country level funds, decisions on funding are sometime taken by the clusters whose members themselves receive the funding so that they may be acting as judges in their own cases. Similarly HCs may come under a lot of pressure at country level from agencies with a strong presence in-country. The CERF operates in a different manner for rapid response window funding. While the projects are chosen in the same way as for CHF funding, the country level project selection is then subject to review at the CERF secretariat. The CERF secretariat is more distant from those vying for funding than HCs at the country level, and may not allocate funds to some components of the country plan.

Funding applications which are not likely to be approved are often withdrawn. Some are not approved, and others re approved for less than the amount requested. Less than half the requests by UNRWA were eventually approved. Of the funding requested by WFP, nearly 30% were not provided, against 15% not provided for the next biggest recipient, Unicef. On average only 77% of the initial amount requested is eventually provided.

Table 1: Percentage of all funds requested that were approved (as a percentage of all requests - includes projects that were later withdrawn).

<b>Agency</b>	<b>Percentage of fund approved</b>
ITU	100.0%
UNDSS	99.9%
UN Habitat	89.6%
IOM	87.4%
UNFPA	85.8%
UNICEF	85.4%
WHO	85.3%
UNAIDS	83.8%
UNOPS	83.1%
UNHCR	79.3%
FAO	76.4%
UNESCO	76.2%
UNIFEM	73.8%
UNDP	72.6%
OHCHR	70.9%
WFP	70.2%
UNRWA	45.1%

## CERF management

A fee of 3% is levied on contributions to the CERF. The UN Secretariat retains 60% of this fee for its own use, and passes 40% of the fee to the CERF secretariat. This 60:40 split between the UN secretariat and the unit managing the fund is said to be “an unwritten rule” and is applied to other funds such as the UN Peace-Building Fund. Donors to the CERF receive no

direct accounting of what the 60% of the fee is used for. The remaining 40% pays the budget for the CERF Secretariat.

The CERF Secretariat forms only one part of the management structure for the CERF. The RC/HC and the Humanitarian Country Team (HCT) or UN Country Team (UNCT) also play a key role in the management of the grant process.

### Allocations by agency

WFP and Unicef are the two largest recipients of CERF funding, accounting for over half of all CERF funding every year (Figure 4). WFP typically accounts for over one third of CERF funding, and Unicef for more than one fifth. However, both of these have seen their shares fall slightly in 2010 compared to their average for the previous four years (Figure 4).

UNHCR, FAO and WHO form a cluster with around 10% of the total CERF funding each, with the other agencies sharing just over 10% between them.

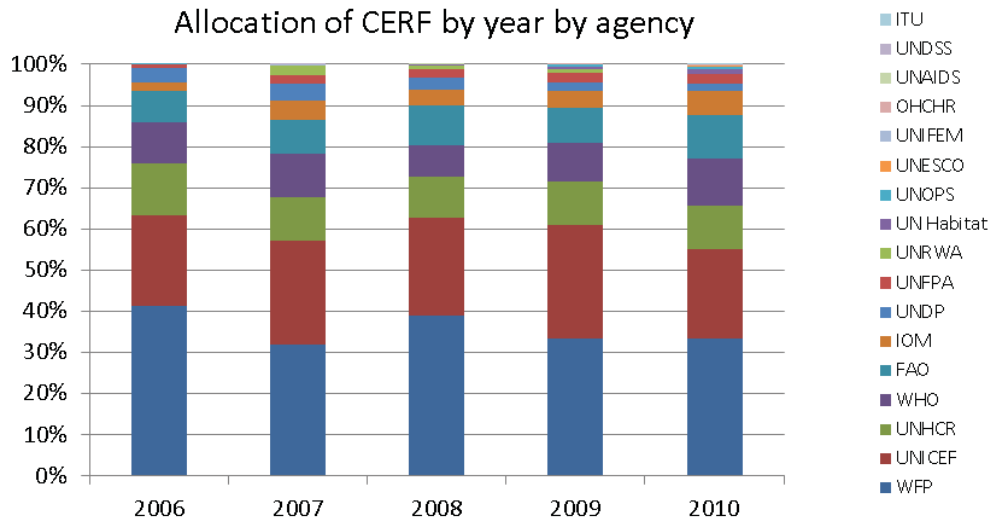


Figure 4: CERF Funding by Agency and Year

Figure 4 shows that funding shares by agency are relatively stable. The number of organisations and entities of the United Nations accessing CERF funding has increased every year, from 9 in 2006 to 15 in 2010. In all, 17 UN Agencies have benefited from CERF grant funding.

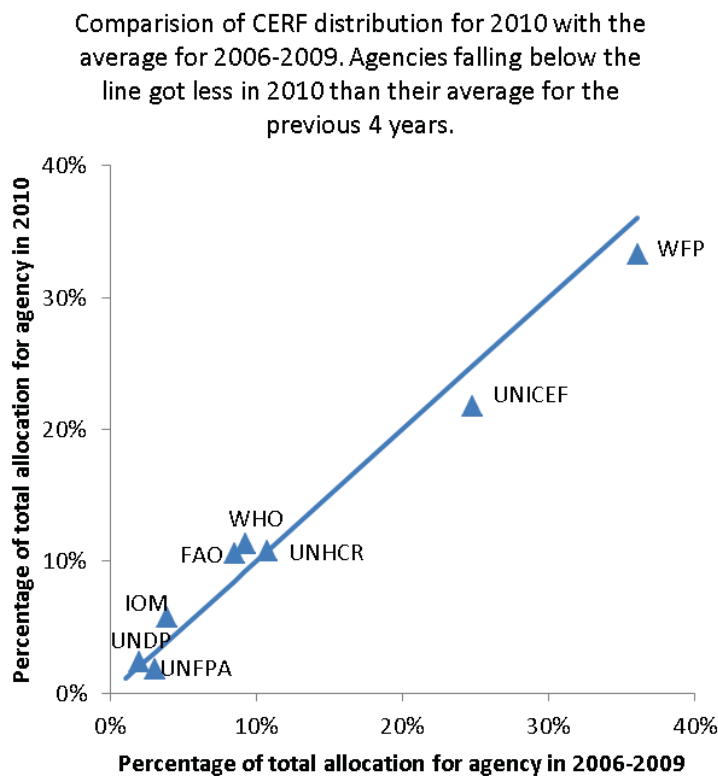


Figure 5: Comparison of CERF funding distribution for 2010 against 2006-2009

It is not clear why UNDP (a department within the UN Secretariat) is able to access CERF grant funding, but OCHA (another section within the UN Secretariat) is not.

### The Disbursement Process

The CERF Secretariat disburses CERF funds rapidly, once the final application is received. However, the initial submission is generally resubmitted on the basis of feedback from the CERF Secretariat. This means that the process from original submission to disbursement can take several weeks.

Table 2: Days taken from the original submission to final disbursement

Year	Rapid Response Window	Under-Funded Window
2006	41 days	43 days
2007	26 days	38 days
2008	29 days	41 days
2009	30 days	49 days
2010	27 days	39 days

The timescales shown here are not critical, as most UN agencies can begin implementing once the funding is approved. It is not clear what impact this delay has on pass-through

funding<sup>6</sup>. The longest part of this delay is due to the administrative procedures for the signing of the agreement etc.

The average length of time between the initial and the final submission is 9.2 days for rapid response projects and 15.4 days for under-funded emergencies. Only part of this time is taken up by the CERF Secretariat review. The response from the HC is what takes up the bulk of this time, especially as the issues raised by the Secretariat may require some discussion between the agencies at the country level. As noted earlier this review process leads to 23% of the total funding requested being withdrawn or rejected. Therefore, this delay may be adding substantially to the quality of the overall CERF portfolio.

However, some projects are approved immediately. Nearly one third of RR projects have no revision to the submission, and another third submit a revised proposal with a week.

Table 3: Durations from the initial to the final submission for RR projects.

<b><i>Duration from initial to final submission for funded RR projects</i></b>	
<i>Less than one day</i>	30%
<i>Less than one week</i>	33%
<i>One to two weeks</i>	17%
<i>Three weeks to one month</i>	12%
<i>Two months</i>	5%
<i>Over Two Months</i>	1%

The International Organisation for Migration (IOM) enjoys the best performance of any of the CERF who get over 5% of CERF funding. Nearly half of the IOM submissions (48%) do not need to be resubmitted. This may be because IOM is more used to working with project funding than the other agencies, which are more used to the programme funding model.

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<sup>6</sup> We are not using “pass-through funding” in the narrow sense in which UNDP uses it to refer to grants that are passed through to other agencies, but in the broader sense to refer to all sub-grants made with CERF funds, for example to NGOs.



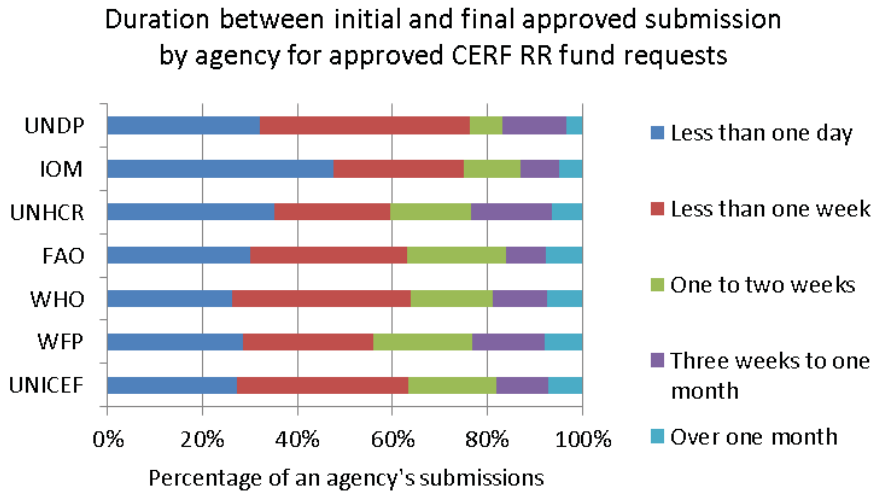


Figure 6: Durations from initial to final submissions by agency

The evaluation team will be researching field-level perceptions of the review process and timeliness during the field visits.

### 3 PREVIOUS EVALUATIONS

The evaluation annexe details a number of evaluations of the CERF (Barber et al., 2008; Cossée et al., 2010; Faure and Glaser, 2007; Mowjee, 2010) but the most relevant previous evaluation is the 2008 two-year evaluation of the CERF (Barber et al., 2008). The team have searched for references to the CERF in other, non-CERF-specific evaluations, but have found almost no substantive references other than passing references to CERF as one of many sources of funding. There are a few small agency evaluation that refer to the CERF such as the WHO Eritrea review (WHO Eritrea, 2006).

The other very interesting evaluation is the FAO evaluation. This is an excellent evaluation showing the CERF as seen from an agency perspective. However, is it notable that many of the issues raised in the FAO evaluation are FAO rather than CERF issues. This raises the general question about the extent to which the CERF is constrained by the constraints within the UN agencies. This will form one of the themes for the fieldwork.

There are a number of other evaluations of interest, such as the Transaction Cost Study (Salomons et al., 2009) and various studies of other pooled funding mechanisms (often about transition funding) that the team have reviewed and will refer to in the main report.(Ball and Beijnum, 2010; Beijnum and Kapu, 2009; Disch et al., 2007a, 2007b; Downs, 2010; Mowjee et al., 2007; Mowjee et al., 2010).

The two-year evaluation was followed up on and the CERF Secretariat maintain a management response matrix that records the level of implementation against the recommendations (CERF Secretariat, 2009, 2010a).

The CERF Secretariat notes that (CERF Secretariat, 2010a) 26 of the 33 operational recommendations have been implemented. On further recommendation was initially rejected and was rejected again after a review requested by the advisory group.

Of the other six recommendations, four relate to the administration of the Fund – including OCHA’s authority to approve adjustments to the CERF Secretariat cost plan, and the ratio of programme support costs provided to OCHA to cover management and oversight of the Fund.

Following extensive discussions with the Office of the Controller and all stakeholders, two recommendations have not been implemented and two others have been partially implemented.

Of the remaining two recommendations, these are both about the broader structural issue of the relationship between the UN and its partners. For example, recommendation 21 would require CERF recipients to publish tables showing how long it took for CERF funding to be passed-through to NGO partners. The programme-based agencies held that as CERF funding was only part of their total pool of funding and they could not therefore report on the timeliness of pass-through funding from the CERF. The annex shows the latest state of the recommendations as per the evaluation matrix.

# 4 OVERVIEW BY COUNTRY

Humanitarian crises in 79 countries have received funding from the CERF.

Funded grants by country from the CERF: 9 March 2006-3 December 2010

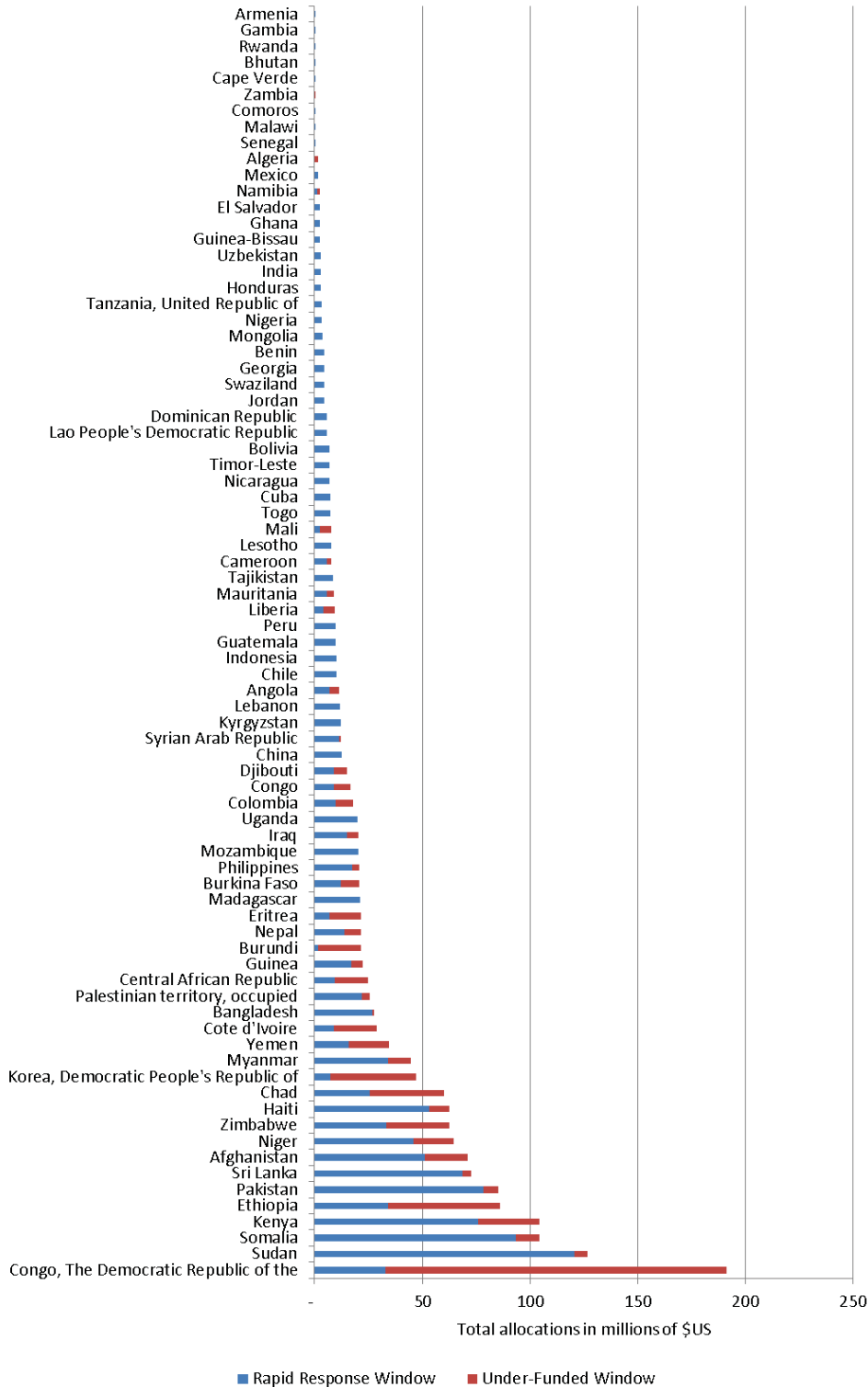


Figure 7: CERF allocations by country

The top four countries have received over \$100 million each, accounting for 29% of CERF disbursements. The top 15 countries have received two-thirds of all CERF Funding, and the bottom 32 have only received 5% of all funding between them.

The biggest recipient (DRC) got more money through the underfunded window than the next largest recipient (Sudan) got through both the underfunded and rapid response windows.

## Are the study countries a good reflection of the overall CERF

The countries for the study form a purposive sample rather than a random sample. It may happen that the sample selected is not representative of all of the countries. They have been selected by the steering group with the addition of one country, Kenya, at the suggestion of the evaluation team. The team undertook several analyses to compare the study countries with the other CERF recipients. The first was a keyword ranking analysis. See the methodology section for a description of the keyword analysis process.

The team compared the more than 7,000 proposals from both the 16 evaluation target countries and the other 63 CERF recipients. First the team built a list of search terms from humanitarian practice – geographical terms, other than donor country names, were excluded. All of the documents were indexed using dtSearch<sup>7</sup> and the occurrence of 327 terms represented by 405 keywords<sup>8</sup> was.

Table 4: Ranking of key terms in the two document sets

<b>Ranking of occurrence of key terms in the document sets</b>		
	Study Countries	Other CERF countries
<i>Countries covered</i>	16	63
<i>No of documents</i>	2,568	4,492
<i>Ranking of key term</i>		
1	Health	Health
2	WASH	WASH
3	Children	Children
4	Implementation	Support
5	Support	Implementation
6	Nutrition	Emergency
7	Gender	Gender
8	Emergency	Nutrition
9	UN	Response
10	IDPs	UNICEF
11	Partnership	Coordination
12	Response	Budget
13	Coordination	Partnership
14	UNICEF	Monitoring
15	Budget	Humanitarian
16	Protection	Planning
17	Targeting	UN
18	Humanitarian	Targeting
19	WFP	WFP
20	Monitoring	Community
21	Planning	IDPs
22	Population	Population

<sup>7</sup> This is software for indexing documents. See <http://www.dtsearch.com> for details.

<sup>8</sup> Some terms had several keywords associated with them.

<b>Ranking of occurrence of key terms in the document sets</b>		
23	Community	Education
24	Government	Protection
25	Shelter	Training
26	Local	Government
27	Security	Local
28	Agriculture	National
29	Education	Agriculture
30	Training	Security
31		Shelter

The frequency of occurrence of the key terms was calculated for each document and the totals were added to give a total for the set. The totals were then ranked to give the result shown in Table 4. This table suggest that there are no significant differences between the proposals for the selected countries and for the other countries given that:

1. The top three ranked terms are the same for both sets
2. The top eight ranked terms are the same, but in a different order.
3. Only one term out of the top 30 ranked terms is different between the two sets. National does not appear in the top 30 ranked terms of the evaluation targets and Shelter does not appear in the top 30 ranked terms of the other CERF countries (but it is the 31<sup>st</sup> item).

Clearly the probability of achieving these results with 327 key terms by chance are trivial ( $p < .001$ ).

The team also examined the proportion of documents with given key terms in each of the two sets with each other. Again the two document sets were well correlated for the 31 terms appearing in more than 45% of all 7,060 documents. ( $R^2=0.93151$ ,  $F_{(2,29)}=394.4$ ,  $p < 0.001$ ).

### Comparison between two document sets for occurrence of a given term

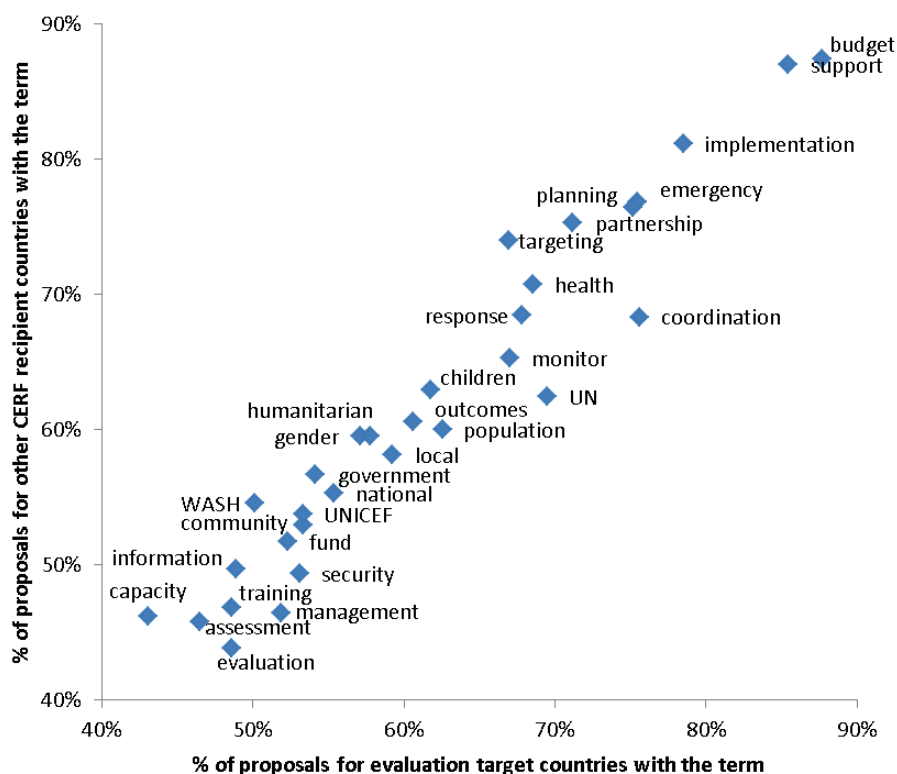


Figure 8: Plot of the proportion of documents containing given key terms in the two documents sets

The team also conducted a financial analysis of the two groups. The team expected to find some difference here because the sample comprises just over 20% of the CERF recipients, but accounts for more than 40% of CERF grants. The team found statistically significant differences ( $p < 0.05$  when tested with the Chi<sup>2</sup> test) when comparing the two sets of countries (Table 5).

Table 5: Differences between the study countries and the other CERF recipient countries.

Aspect	Study countries	Other CERF recipients
Proportion of funding	42%	58%
Proportion of countries	20%	80%
Percentage for RR	38%	62%
Percentage for UFE	50%	50%
Average RR grant size (\$mn)	1.07	0.84
Average UFE grant size (\$mn)	0.94	0.59
Average Grant size overall (\$mn)	1.02	0.75

However, the team considered that these differences arose because large CERF Recipients were over-represented in the sample of the countries studied (Table 6).

Table 6: Distribution of study targets by scale of CERF funding

<b>Scale of CERF Funding</b>	<b>Study Countries</b>	<b>Other CERF recipients</b>	<b>Percent studied</b>
<i>Over 100\$ million</i>	3	1	75%
<i>50-100\$ million</i>	3	5	38%
<i>20-50\$ million</i>	5	12	29%
<i>10-20\$ million</i>	0	10	0%
<i>5-10\$ million</i>	2	13	13%
<i>2-5\$ million</i>	2	12	14%
<i>1-2\$ million</i>	0	2	0%
<i>Less than 1\$ million</i>	1	8	11%

The team also considered the allocation pattern by agency across counties (Figure 9). There was a very good correlation in the distribution of funding between the two sets of counties ( $R^2=0.9218$ ,  $F_{(2,14)}=165.1$ ,  $p<0.005$ ).

The team concluded that the sample selected overrepresented large CERF recipients. However the team consider that that is appropriate as looking at large recipients make better use of the team's time. Apart from factors associated with the size of grants, the team concluded that:

- The evaluation results, other than for factors associated with the scale of funding, can be generalised to all CERF recipient countries.
- Some results, associated with a particular scale of funding, may have to be differentiated by the scale of the CERF funding (e.g., there may be a need to specify conclusions or recommendations by the relative scale of CERF funding).

Proportions of CERF funding for agencies receiving more than 1% of all CERF funds (ideal line shown in green)

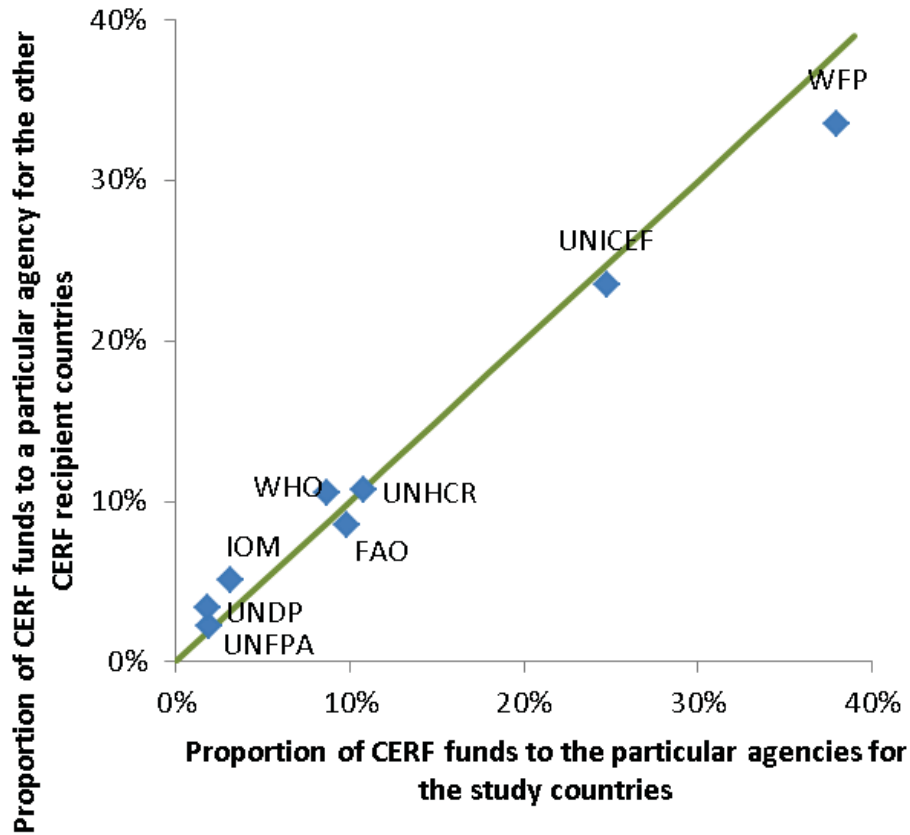


Figure 9: Proportion of funding by agency for the study countries and for the other CERF recipient countries.



## 5 USER ANALYSIS

All the states contributing to the CERF, and all those benefiting from CERF funding, whether aid recipients, agencies, or the CERF Secretariat may be considered to be stakeholders in the evaluation because of the risk that the evaluation will lead to changes in the way in which CERF operates.

The large number of stakeholders many of whom could be said to have a stake in the evaluation means that it is better to concentrate on potential users of the evaluation.

<b><i>User</i></b>	<b><i>Potential Uses</i></b>
<i>The General Assembly</i>	This evaluation has been mandated by the General Assembly (GA). The GA could use the evaluation to decide on further resolutions regarding the CERF.
<i>ERC</i>	The ERC has authority over the CERF and could use the evaluation as a basis on which to implement changes within her direct control or to advocate for changes that lie under the control of others.
<i>CERF AG</i>	The Advisory Group could use the evaluation as a basis on which to advocate for changes to CERF procedures or practices.
<i>The CERF Secretariat</i>	The CERF Secretariat could use the evaluation recommendations to fine tune procedures or to advocate for changes by others.
<i>The Office of the Controller</i>	The Office of the Controller could use the evaluation as evidence in discussions on any changes in the relationship with OCHA and the CERF Secretariat.
<i>Donors</i>	Donors could use the evaluation to review their own contributions to the CERF, or to advocate changes in the operation of the CERF.
<i>HCS</i>	Humanitarian Coordinators could use the evaluation recommendations to make changes in the processes through which they apply for or use CERF grants. Although these processes are set down in various documents from the CERF Secretariat, there is a wide variation in the implementation at field level.
<i>OCHA in the field</i>	OCHA offices could use the evaluation recommendations to implement changes in how they support CERF application or to advocate at country level for changes.
<i>UN agencies and IOM</i>	UN Agencies could use the evaluation recommendations to make changes to internal processes or to advocate for such changes. They could also use the evaluation to advocate for changes in the operation of the CERF.

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<b><i>User</i></b>	<b><i>Potential Uses</i></b>
<i>NGOs</i>	NGOs could use the evaluation recommendations to advocate for changes in the operation of the CERF overall, or for changes in CERF applications at country level, or changes in partnership agreements with UN agencies.

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## 6 METHODOLOGY

### Overall

The methodology will be a combination of qualitative and quantitative approaches. The principle methods will be:

- Key informant interviews. These are expected to be a key source of information for explanation of how the CERF processes work in practice.
- Document research. These will form the basis for assessments of attention to gender, vulnerability and cross-cutting issues.
- Keyword analysis. This is a particular type of documentary research, where the occurrence and prevalence of particular keywords in documents is tabulated and analysed.
- Numerical data analysis. The numerical data analysis will highlight any trends in CERF funding, as well as providing hard estimates of processing durations and other contentious issues.
- An internet survey. This will provide information on the perceptions of the fund.

These will be supported by other interactions such as email exchanges, debriefing and other meetings etc.

### Guaranteeing the independence of the evaluation

The mandate for the evaluation from the General Assembly defines it as an “independent” review. One problem with OCHA commissioning the evaluation is that evaluation is not an independent function in OCHA but reports to line-management. This can be contrasted with the approach in some UN agencies where evaluation departments report directly to the board<sup>9</sup>. OCHA has a direct interest in the evaluation as the CERF Secretariat is run by OCHA. However, the evaluation section is functionally separate from the CERF Secretariat and has no management relationship with the Secretariat.

The current management structure, with a Steering Group made up of evaluators from UN, Donors, and NGOs, should help to maintain independence, particularly through the support that donor representative can give to the OCHA evaluation office.

Although different stakeholders have different interests in the evaluation, the presence of a broad group of stakeholders in the Reference Group should help to ensure that the evaluation does not come under undue pressure from a single member.

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<sup>9</sup> The case of the Peace-Building Fund evaluation of 2008, (OIOS, 2008) which was later repeated by a donor group (Ball and Beijnum, 2009) because of concerns about how the evaluation was treated is a cautionary tale for the evaluation of a pooled funding mechanism.

## The framework for the evaluation

The Terms of Reference sets out the framework for the evaluation in line with the logic model presented in the Performance and Accountability Framework (PAF) (CERF Secretariat, 2010b). As always such frameworks developed for monitoring need to be treated with care when used for evaluation.

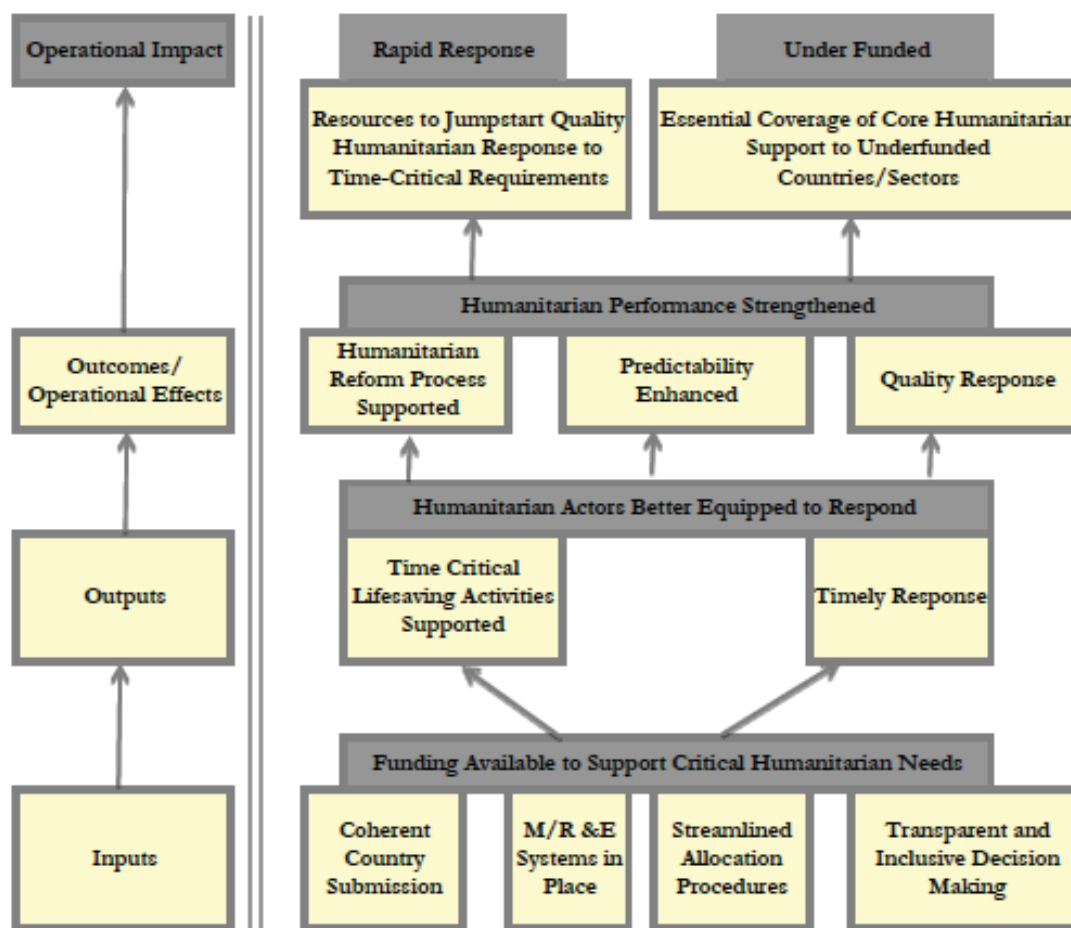


Figure 10: The CERF Logic Model as presented in the PAF.

The PAF structure is inherent in the structure of the evaluation criteria as presented in the Terms of Reference. However, the team will not just use the PAF framework but also try to answer the big question; “to what extent has the CERF met the objective set out in the GA resolution”.

## Key informant interviews

These will be one of the principle sources for the evaluation. Key informant interviews are expected to provide explanation for the patterns found through numerical data analysis. Targets for key informant interview at the country level are:

- Members of the CERF secretariat
- RC/HCs

- CERF Fund recipients
- Cluster/Sector leads and coordinators.
- Members of the HCTs
- NGOs
- Donors
- Other humanitarian actors.

Interviews will be conducted under a modification of the Chatham House Rule (Chatham House, 2007) whereby nothing that interviewees say will be directly or indirectly attributed to them without their express permission. The team will also, when opportunity presents conduct group interviews with groups such as NGO fora and HCTs.

The priority for country level interviews is:

First Priority ideally on the first working day after arrival in country

- HC
- OCHA and CERF team
- HCT

Second priority:

- Direct recipients of and applicants for CERF Funding

Government

- Donors

Third Priority

- Other humanitarian actors including ICRC, and indirect recipients of CERF funding such as INGOs and NNGOs.

Apart from the field visits, the team will also interview the major donors to the CERF as well as the major donors who contribute relatively little to the CERF. The final group of interviewees are the CERF focal points at agency headquarters and the Global Cluster leads. Some interviews will be conducted by telephone.

## Documentary research

The team has already assembled over 7,000 documents, nearly all of which have been provided by the CERF secretariat. About 2,500 of these refer to the study countries and the rest were collected to examine to what extent the study countries were representative of all CERF recipients.

All of the key documents collected are being annotated and entered in an online bibliographic database for use by the whole team. It is not proposed to treat the hundreds of project documents in this way, but to use them as a source for the country studies.

The documents are also being indexed (using the dtSearch indexing software) so that any issues arising in the evaluation can be quickly researched in the document set. A sample of proposals for each of the Desk Study countries will be analysed using the gender marker,

and two similar tools, to rank their attention to gender, vulnerability, and cross-cutting issues.

## Keyword Analysis

The team will also use keyword analysis for examining the project portfolio. This enables the team to draw useful information out of large document sets which contain basic data. The procedure involves indexing all the documents in the document set and then searching for specific key terms or sets of key terms. Each key term may be represented by a series of keywords.

The indexing software being used allows quite sophisticated keyword searches. Searches are of two types:

- Occurrence: this is the number of documents containing a particular key term. For example 62% of the proposals in the document set make reference to children and 58% make some reference to gender (these references may be token rather than substantive).
- Prevalence: this is the frequency of occurrence of particular keywords in the document set as a proportion of all words in the document. Prevalence criteria (as a minimum level of occurrence per 1,000 words and a minimum number of times per document) be used to eliminate token references.

The analyses are performed in very large spread-sheets.

## Numerical data analysis

The team will engage in further numerical analysis principally of the CERF database, but also on broader sources of information on humanitarian funding. These broader sources will include data from the OCHA Financial Tracking System (FTS) and from the Organisation for Economic Cooperation and Development's Development Assistance Committee (OECD/DAC).

Some of the numerical analyses already conducted are presented in this report and the final report will have further analyses, particularly around the interaction of CERF funding with other funding.

The emphasis will be on using the data to illustrate issues uncovered and to identify issues which need further clarification. The initial data analysis has already uncovered the fact that IOM is the agency among the larger CERF users most likely to have its proposals accepted without further modification. Something else uncovered by the initial analysis is that there is a significant lag from first submission to final disbursement, which appears to be due to the time taken to complete administrative issues around grants.

## Survey

The team will conduct two online surveys via the Survey Monkey survey site. One survey will cover the perceptions of the CERF held by member-states of the UN. The other will cover the perceptions held by humanitarian actors about the CERF. The draft survey questions are contained in the annexes.

## Triangulation

As that the country study countries have already been purposively selected by the steering group rather than randomly selected, the findings of the evaluation will not automatically be statistically generalizable to all CERF countries. Instead, the team will use triangulation to ensure that the findings of the evaluation are accurate and reliable. We will use the following types of triangulation:

- Source triangulation. We will compare information from different sources, e.g. from the CERF Secretariat, UN agencies, Cluster leads, NGOs, donors, other humanitarian actors, and host governments, including from different levels.
- Method triangulation: We will compare information collected by different methods, e.g. interviews, documents review, and the survey.
- Researcher triangulation. We will compare information collected by different researchers and by different teams.
- Geographic triangulation. We will compare information collected from different countries to ensure that emerging findings are generalizable, and not just confined to a particular country context.

In addition, we will compare the information for different types of emergency, funding window, sector, etc, to differentiate between findings that can be generalised across all CERF funding and those that are specific to particular types of emergency or funding window.

## A strong chain of evidence

This evaluation will attract a good deal of attention and it is most important that the evaluation be robust and well grounded.

The team will use a simple evidence tool<sup>10</sup> (Table 7) to record evidence on a spread sheet from the different desk and country studies. The use of this tool will enable the team to ensure that the findings are well grounded in evidence, and that conclusions are based on findings, and recommendations on conclusions. This tool has been revised based on its practical use in evaluations over the last three years, and is particularly useful for multi-site evaluations such as this.

One advantage of this tool it that it soon become apparent where the researchers are reaching theoretical saturation<sup>11</sup> on topics and where there is little evidence on some issues. The tool records the sources of information but even without this the sources may sometimes be evident from the specifics of the evidence. Therefore, the tool will remain internal to the team, in order not to breach the Chatham House rule under which the interviews are conducted.

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<sup>10</sup> This tool was developed by the team leader in 2007. An earlier version of the tool was recently described in *New Directions in Evaluation* (Brusset et al., 2010).

<sup>11</sup> No new types of evidence emerging, only reconfirmation of existing evidence.

Table 7: Evidence Tool

<i>Prepared in advance</i>	<i>Filled in during fieldwork</i>				<i>Filled in during analysis</i>		
<i>Evaluation Topic</i>	<i>Details of piece of evidence</i>	<i>Source</i>	<i>Date</i>	<i>Initials</i>	<i>Finding</i>	<i>Conclusion</i>	<i>Recommendation</i>
What is the evaluation question to be answered or the issue that has arisen?	Evidence about this issue (this could be a note of a specific point from a document, an interview, a focus group, or an observation).	Source of evidence	Date of entry	Initials of person recording this piece of evidence	Based on several pieces of evidence	Based on several findings	Based on one or more conclusions

We will also ensure reliability by building a strong chain of evidence (Yin, 2003). We will build this chain of evidence will be built on triangulated sources of information (Figure 11).

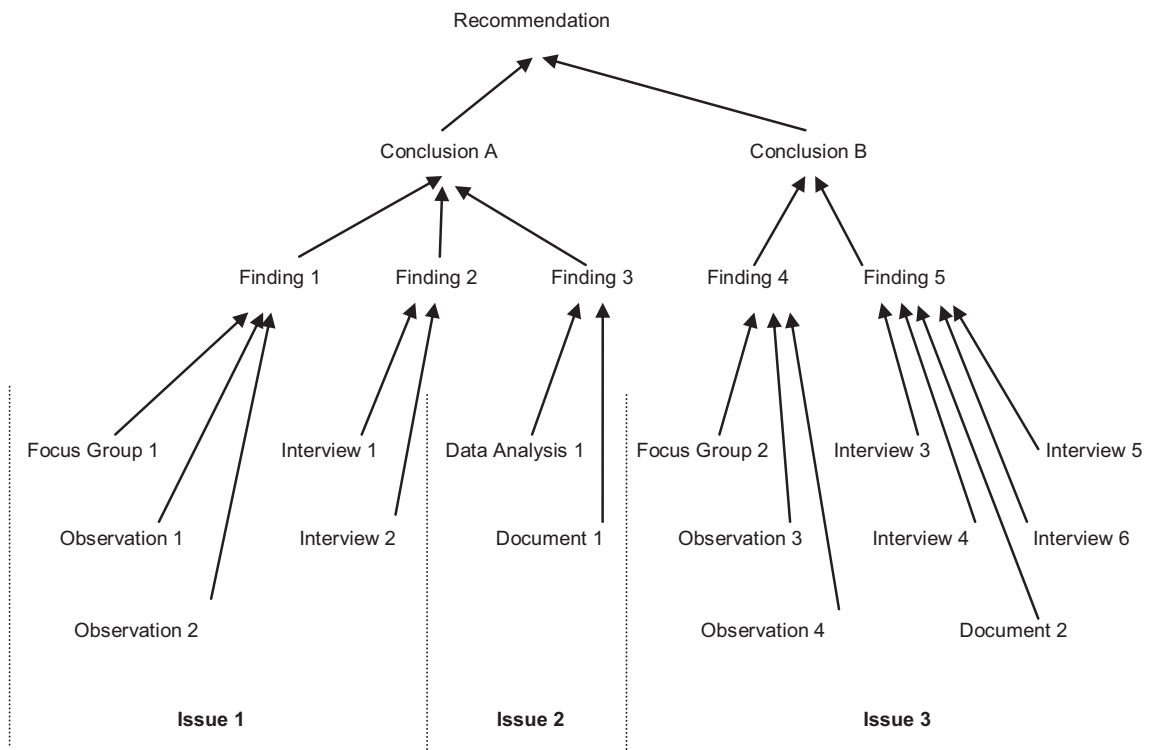


Figure 11: A strong chain of evidence.

### Risks and limitations of the evaluation

As with all evaluation this evaluation faces a number of risks. One risk is that of undue pressure from one or more of the many stakeholders threatening the independence of the evaluation. This risk is discussed at the beginning of the methodology section.



There is a risk that the countries or projects studied are not representative of the CERF as a whole. This issue has already been addressed, at the country level, through the comparative analysis of study and non-study countries presented in the overview by country chapter.

The projects for study will be selected randomly for those countries with too many projects for all to be reviewed.

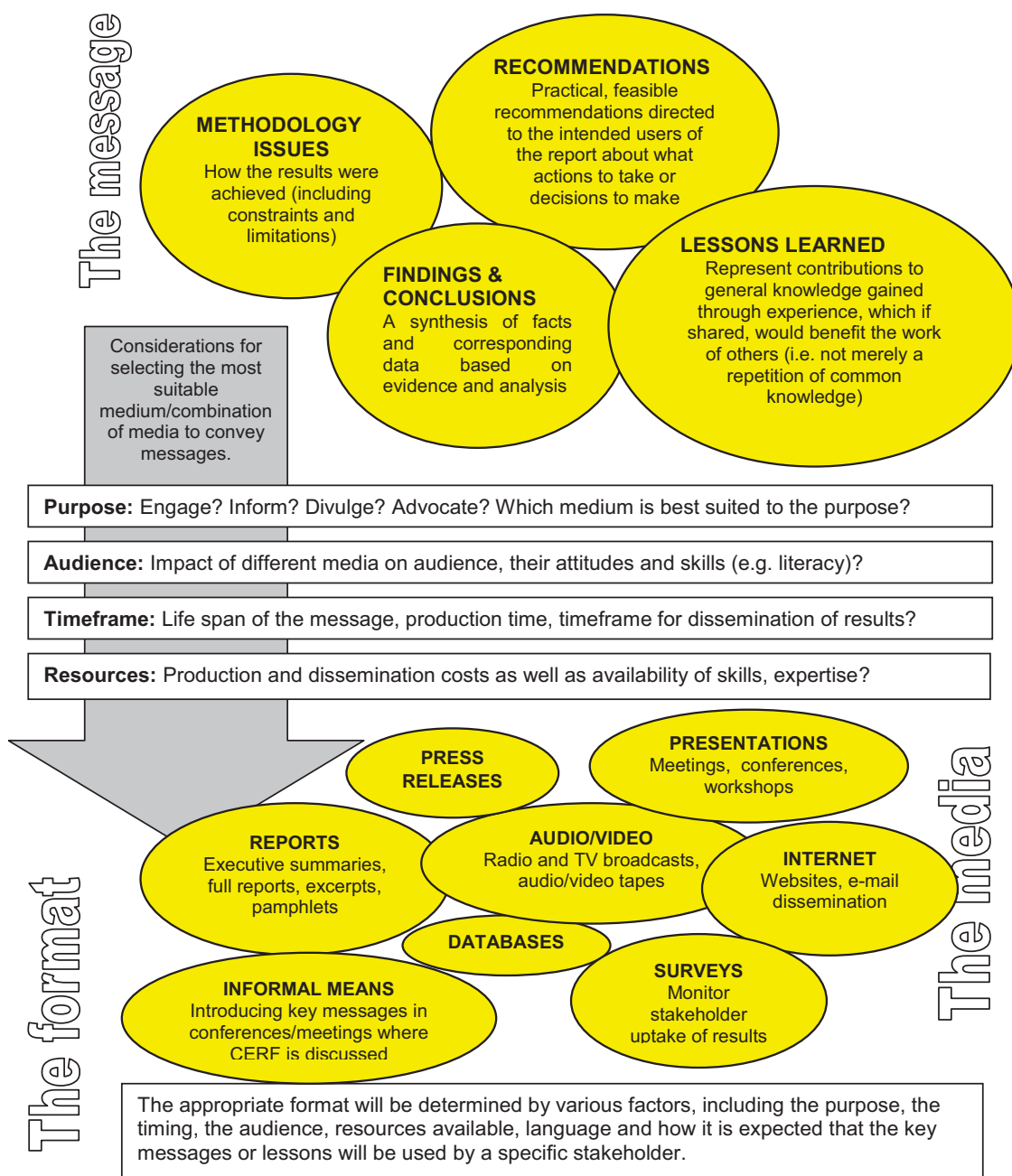
There is a risk that the evaluation conclusions will relate more to the effectiveness of the allocation and transfer procedures than with the effectiveness of how money is used. This is a serious risk with the evaluation, as it is very difficult to determine what impact CERF funding has had. The evaluation team will try to mitigate this risk in the fieldwork by looking for examples of where the CERF has been the key factor in enabling projects or operations.

There is a risk that NGOs won't fully engage with the evaluation as they don't necessarily know that funding what been provide for a particular project by the CERF. The team will address this by contacting the main humanitarian NGO forum in each the field visit countries.

The main risk faced by the earlier CERF evaluations was that it was still far too early to establish if the CERF had any impact. The risk is that the current evaluation may now face the same problem due to the way in which CERF funding is comingled with other funding by agencies. The team will try to address this by asking agencies about specific instances of where the CERF funds have had an impact.

## 7 DISSEMINATION STRATEGY

While the full evaluation report may be a suitable communication tool for certain stakeholders, experience has shown that key lessons tend to be used more effectively when they are presented in a concise and credible fashion way using a format that the specific target is responsive to. This is illustrated below in an extract adapted from a UNICEF training guide that draws on an OECD/DAC publication<sup>12</sup>.



<sup>12</sup> OECD/DAC (2001). Evaluation Feedback for Effective Learning and Accountability <http://www.oecd.org/dataoecd/10/29/2667326.pdf>

While the evaluation TOR mentions a dissemination strategy, where information flow is one way, it is recommended that the Evaluation Manager and Advisory Committee look at using a two-way communication strategy to promote ownership of results and ensure that stakeholders have a chance to provide feedback and input into follow up activities.

<i>Audience</i>	<i>Role in follow-up of recommendations</i>	<i>Which results they need to get and why</i>	<i>How they can get the results and when</i>
<i>General Assembly Member States</i>	Receive information, disseminate lessons, support future action	Summary analysis of lessons learned and planned follow up actions to satisfy donor accountability requirements	Summary analysis following report completion (may need to be translated)
<i>ERC and OCHA Senior Management</i>	Finalizing management response matrix and overseeing implementation of actionable recommendations	Debriefing by evaluation team Executive summary with recommendations for the purpose of policy decision-making and fulfilment of oversight responsibilities	Debriefing, report, periodic updates, reporting on implementation of recommendations
<i>CERF Secretariat</i>	Implementation of recommendations.	Debriefing by evaluation team Full report and management response matrix for the purpose of learning and systems improvement.	Debriefing, report, periodic updates
<i>The Office of the Controller</i>	Finalizing management response matrix and overseeing implementation of actionable recommendations	Executive summary with recommendations for the purpose of policy decision-making and fulfilment of oversight responsibilities	Draft and full reports.
<i>CERF Evaluation Reference Group</i>	Focal points within their organizations, collecting and disseminating information, particularly with the CERF recipient countries selected for review.  Review and monitor implementation of management response matrix	Periodic updates, draft and full report to facilitate learning and accountability within respective stakeholder groups	Periodic briefings and document review during and after the evaluation process  After finalization of report
<i>CERF Evaluation Steering Group</i>	Similar to Reference group above except function is more advisory in nature.	See above	See above

<i>Donor representatives</i>		Monitor evaluation process, review report and provide updates to their respective governments	Periodic updates, full report and regular progress reports on follow up on recommendations to satisfy donor accountability requirements	Full report and summary analysis following report completion (summary may need to be translated).
<i>RC/HCs, UNCTs</i>		Receive information, disseminate lessons, support future action	Full report made available for accountability purposes, but summary of key findings and analysis of lessons learned and policy decision-making	Summary analysis following report completion (may need to be translated). Post-evaluation surveys and/or workshops may be a useful approach to help internalize lessons for this target group.
<i>OCHA Offices</i>	<i>Field</i>	Receive information, disseminate lessons, support future action	Full report made available for accountability purposes, but summary of key findings and analysis of lessons learned and policy decision-making	Summary analysis following report completion.
<i>UN Agencies and IOM</i>		Receive information, disseminate lessons, support future action	Full report made available for accountability purposes, but summary of key findings and analysis of lessons learned and policy decision-making	Summary analysis following report completion. Post-evaluation surveys and/or workshops may be a useful approach to help internalize lessons for this target group.
<i>NGOs</i>		Receive information, disseminate lessons, support future action	Full report made available for accountability purposes, but summary of key findings and analysis of lessons learned and policy decision-making	Summary analysis following report completion (may need to be translated). Post-evaluation surveys and/or workshops may be a useful approach to help internalize lessons for this target group.
<i>Audience</i>		Role in follow-up of recommendations	Which results they need to get and why	How they can get the results and when
<i>CERF Secretariat</i>		Implementation of recommendations.	Debriefing by evaluation team Full report and management response matrix for the purpose of learning and systems improvement.	Debriefing, report, periodic updates

<i>OCHA Senior Management</i>	Finalizing management response matrix and overseeing implementation of actionable recommendations	Debriefing by evaluation team Executive summary with recommendations for the purpose of policy decision-making and fulfilment of oversight responsibilities	Debriefing, report, periodic updates, reporting on implementation of recommendations
<i>CERF Evaluation Reference Group</i>	Focal points within their organizations, collecting and disseminating information, particularly with the CERF recipient countries selected for review.  Review and monitor implementation of management response matrix	Periodic updates, draft and full report to facilitate learning and accountability within respective stakeholder groups	Periodic briefings and document review during and after the evaluation process  After finalization of report
<i>CERF Evaluation Steering Group</i>	Similar to Reference group above except function is more advisory in nature.	See above	See above
<i>General Assembly Member States</i>	Receive information, disseminate lessons, support future action	Summary analysis of lessons learned and planned follow up actions to satisfy donor accountability requirements	Summary analysis following report completion (may need to be translated)
<i>Donor representatives</i>	Monitor evaluation process, review report and provide updates to their respective governments	Periodic updates, full report and regular progress reports on follow up on recommendations to satisfy donor accountability requirements	Full report and summary analysis following report completion (summary may need to be translated). Draft country reports for field offices.
<i>RC/HCs, UNCTs, UN Agencies, IOM, NGOs</i>	Receive information, disseminate lessons, support future action	Full report made available for accountability purposes, but summary of key findings and analysis of lessons learned and policy decision-making	Summary analysis following report completion (may need to be translated). Post-evaluation surveys and/or workshops may be a useful approach to help internalize lessons for this target group.

<i>National government ministries reviewed during the evaluation</i>	Receive information, support future action	Debrief and summary analysis of lessons learned and planned follow up actions to promote transparency and accountability	Debrief by evaluation team member(s) following each country visit. Summary analysis following report completion (may need to be translated).
<i>General public (including beneficiaries)</i>	Receive information	Summary analysis of lessons learned and commitments of UN agencies to improvement for transparency and accountability purposes	Press releases, web pages and Talking Points (may need to be translated).

## Roles and responsibilities for implementation of the communication strategy

Evaluation Team – in addition to the report itself, evaluation team members will prepare presentations at the end of each country visit and to provide periodic updates for the CERF Evaluation Reference Group in consultation with the Evaluation Manager (including debriefs which could take the form of a workshop if appropriate).

OCHA will provide any additional resources not foreseen in the original proposal by Channel Research, such as video equipment, videographers, translators, workshop hosting costs, etc.

## 8 OUTLINE FOR REPORT

The single evaluation report will be organised as described below. Given the very tight limits on the length of the report for such a complex topic and the amount of desk and field work the team will to the extent possible:

- Use graphics and tables to summarise information to the maximum extent possible.
- Present detailed data in the annexes to prevent cluttering the report.

The organisation of the report will be as follows:

### **Front Matter**

Title page

Executive summary of no more than 2,500 words;

List of acronyms;

Table of contents;

Map of countries covered by the evaluation;

Summary table of recommendations, including where responsibility for follow up should lie;

### **Core Report of 10,000 words**

Analysis of the overall context of the CERF (1,000 words)

Separate chapters, each with the related findings, conclusions and recommendations on:

- The inputs and processes of the CERF including the prioritisation process at different levels, the submission and review process, and monitoring and evaluation of the funded projects (1,200 words).
- The outputs of the CERF including the contribution to funding and the timeliness of that contribution (1,800 words).
- The outcomes of the CERF funding in terms of the support for humanitarian reform, the quality of the response, and funding predictability and reliability (2,000 words).
- The Efficiency, effectiveness, appropriate and relevance of the CERF process and funding (2,000 words)
- To what extent the CERF funding contributed to the critical time-sensitive needs of beneficiaries (2,000 words)

Methodology summary – a brief chapter of no more than 500 words

**Annexes: 16 Country Report of 4,000 words each**

Each country report will contain separate chapters on:

- The country context (300 words)
- The way in which the CERF was used in that country (300 words)
- The submission process at the country level including the prioritisation process and the transparency of the process, and the extent to which projects have been monitored and evaluated (500 words).
- The outputs of the process including the timeliness and contribution of the CERF to the country programme (500 words)
- The outcomes of the CERF funding in terms of the support for humanitarian reform, the quality of the response, and funding predictability and reliability (750 words).
- The Efficiency, effectiveness, appropriate and relevance of the CERF process and funding (750 words)
- To what extent the CERF funding contributed to the critical time-sensitive needs of beneficiaries (400 words)
- Conclusions and recommendations (500 words). Country reports based on desk studies only will not include recommendations due to the lack of depth of evidence.

**Other Annexes**

Annex: ToR

Annex: Funding flows study

Annexes: 15 Country Reports:

Annex: Consolidated list of persons met

Annex: Detailed methodology

Annex: Details of all surveys undertaken

Annex: Details of any quantitative analysis undertaken

Annex: Consolidated team itinerary

Annex: All evaluation tools employed

Annex: Annotated bibliography with notes on the utility of the different sources.



## ANNEX 1: REWORKING OF THE EVALUATION QUESTIONS

The team considered that there was some overlap between the 47 questions in the evaluation terms of reference. As agreed at the initial meeting with the Steering and Reference Groups, the team have therefore reworked the questions to combine questions and also to make the questions open-ended rather than closed<sup>13</sup>.

The 47 original questions have been reduced to 31, mainly by combining different aspects of the same overall question into one, and three new questions have been added to give a total of 34 questions. The new questions were added both to make explicit implicit questions, and to incorporate the issue of the extent to which internal agency constraints and the humanitarian architecture constrain the potential impact of the CERF.

The questions are organised around the structure of the PAF with some additional questions around the OECD/DAC standard criteria. Table 8 shows the original and the revised questions. In some cases the revised questions are intended to cover more than one of the original questions. The revised questions are in grey boxes where they repeat earlier questions.

Table 8: Question list showing how the questions have been restructured by the team

	<b>Element</b>	<b>Original question</b>	<b>Revised question</b>
Inputs and processes	Inclusive Country Level Prioritization Process	<i>Have inter- and intra-cluster discussions and prioritization processes been inclusive and transparent (e.g. are NGO inputs appropriately valued)?</i>	<i>To what extent is the preparation of CERF proposals at field level inclusive and transparent?</i>
		<i>What are the roles and levels of engagement of NGOs and host governments? What are their perceptions of the CERF?</i>	<i>To what extent are Host Governments engaged with the CERF? Is this level of engagement appropriate and sufficient, what are their perceptions of the CERF?</i>
		<i>Are the greatest needs being prioritized?</i>	<i>To what extent are the greatest needs being prioritised, and what data are prioritisation decisions based on?</i>
		<i>On what information or data were allocation and prioritization decisions based (e.g. comprehensive needs assessment, best available information)? Is there congruity between the identified needs and subsequent direction of funds?</i>	<i>To what extent are the greatest needs being prioritised, and what data are prioritisation decisions based on?</i>
Coherent country submission	<i>Are the revised life-saving criteria being applied and proving to be effective in providing guidance in defining projects that are appropriate for CERF funding?</i>	<i>To what extent is the vetting process thorough and based on good quality criteria including the life-saving criteria? Do these processes represent due diligence?</i>	
	<i>Did the planning and prioritization process adhere to humanitarian principles, and sufficiently address cross-cutting issues and</i>	<i>To what extent do CERF processes and projects consider the need of vulnerable groups?</i>	

<sup>13</sup> Although the questions put by the team in interviews would have been open-ended in any case, it is more congruent if the overall evaluation questions acknowledge that there are unlikely to be simple yes or no answers to the evaluation questions.

	<b><i>Element</i></b>	<b><i>Original question</i></b>	<b><i>Revised question</i></b>
		<i>marginalized or vulnerable groups?</i>	
		<i>New question</i>	<i>To what extent do CERF processes and projects consider cross-cutting issues?</i>
		<i>New question</i>	<i>How well managed are CERF processes at the field level? Are HCTs and country OCHA offices adequately resourced?</i>
	Steamlined review allocation and distribution	<i>Are agencies receiving CERF funds in a timely manner, and are they being applied to the humanitarian response (used) in a timely manner? How does this compare with other funds?</i>	<i>How does the timeliness of CERF Funding compare with other funding sources?</i>
		<i>What is the quality of criteria applied by the CERF Secretariat and how thorough are the selection and vetting processes?</i>	<i>To what extent is the vetting process thorough and based on good quality criteria including the life-saving criteria? Do these processes represent due diligence?</i>
	Agency and CERF M/R&E system in place	<i>Is narrative and financial reporting adequate for accountability purposes? What is the quality of reporting? Are the demands they place on recipient entities reasonable?</i>	<i>To what extent does CERF reporting meet the needs of users?</i>
		<i>Are adequate accountability mechanisms ensure proper upward and downward accountability?</i>	<i>To what extent is the CERF accountable - upwards or downwards? What mechanisms exist?</i>
		<i>Does the CERF Secretariat exercise appropriate oversight and due diligence?</i>	<i>To what extent is the vetting process thorough and based on good quality criteria including the life-saving criteria? Do these processes represent due diligence?</i>
Outputs	Life-saving activities supported	<i>How has assistance been allocated in terms of geography, sector and gender?</i>	<i>How have CERF funds been allocated, by geography, sector, and emergency type? What proportion of CERF allocations take gender, vulnerability, and cross cutting issues into account?</i>
		<i>What components of projects are funded by CERF?</i>	<i>What type of projects, and what components of projects are funded by the CERF, and what did agencies do that they would not otherwise have been able to do? What do agencies avoid using CERF funds for?</i>
	Timely response	<i>Has CERF led to quicker action and early and timely action?</i>	<i>What is the typical timeline for CERF funding, and to what extent have CERF funds facilitated timely action?</i>
		<i>Time from HQ receiving funds to disbursing to FO and FO receiving funds from HQ to disbursing to implementing partners?</i>	<i>What is the typical timeline for CERF funding, and to what extent have CERF funds facilitated timely action?</i>
Outcomes	Predictability and reliability enhanced	<i>How has the CERF affected the level of funding being directed towards under-funded emergencies?</i>	<i>To what extent has CERF contributed to better overall funding for under-funded emergencies?</i>
		<i>How has CERF affected agency ability to respond at both HQ and field levels?</i>	<i>How has CERF affected agencies ability to respond, at both HQ and field?</i>
		<i>What did agencies do with CERF funds they would otherwise have been able to do?</i>	<i>What type of projects, and what components of projects are funded by the CERF, and what did agencies do that they would not otherwise have been able to do? What do agencies avoid using CERF funds for?</i>

	<b><i>Element</i></b>	<b><i>Original question</i></b>	<b><i>Revised question</i></b>	
Efficiency		<i>Did CERF kick start operations?</i>	<i>What is the typical timeline for CERF funding, and to what extent have CERF funds facilitated timely action?</i>	
		<i>Have CERF funds strengthened agencies' capability to leverage donor confidence and elicit further contributions?</i>	<i>To what extent has the availability of CERF contributions enabled agencies to use internal advance mechanisms and leverage donor funds?</i>	
	Quality response	<i>Did CERF allow for better coverage? What, if anything, would improve coverage by CERF?</i>	<i>To what extent has CERF contributed to better coverage? How?</i>	
		<i>Is sufficient emphasis being placed on gender concerns to ensure the differential needs of women and men are being addressed?</i>	<i>To what extent do CERF processes and projects consider the differing needs of women, boys, girls, and men?</i>	
		<i>How has CERF supported live saving preventative type projects, and transitions to Early Recovery?</i>	<i>To what extent has CERF supported prevention and supported the transition to early recovery? Is this coherent with the objectives of CERF?</i>	
	Humanitarian Reform Process Supported	<i>What is the 'value-added' of the CERF grant and revolving fund in the context of the overall humanitarian architecture and humanitarian reform process?</i>	<i>To what extent has the CERF reinforced other elements of the humanitarian reform, and has this contributed to timely responses to new needs and underfunding?</i>	
		<i>What has been the CERF influence on the humanitarian reform agenda as whole?</i>	<i>To what extent has the CERF reinforced other elements of the humanitarian reform, and has this contributed to timely responses to new needs and underfunding?</i>	
		Efficiency	<i>For what is CERF being used (e.g. situations, types of projects) by recipient agencies?</i>	<i>What type of projects, and what components of projects are funded by the CERF, and what did agencies do that they would not otherwise have been able to do? What do agencies avoid using CERF funds for?</i>
			<i>Are the overall costs in time and resources associated with the CERF reasonable? What is the cost of preparing a CERF proposal as compared to other methods of securing funds?</i>	<i>How do the CERF transaction costs compare with the transaction costs for other funding? If higher, why do agencies apply for CERF funding?</i>
			<i>Is CERF being efficiently managed by the central Secretariat level and the field level?</i>	<i>How well is the CERF being managed by the CERF Secretariat, is it adequately supported and resourced?</i>
<i>Have planned improvements in the administration of the funds been correctly implemented since the previous evaluations, with resulting efficiency gains?</i>			<i>To what extent have previous evaluation recommendations been implemented, and what impact has any such implementation had?</i>	
<i>Has CERF incorporated recommendations into responses and processes?</i>			<i>To what extent have previous evaluation recommendations been implemented, and what impact has any such implementation had?</i>	
<i>What improvements or further efficiency gains are linked to CERF?</i>			<i>To what extent has CERF contributed to a more effective humanitarian system?</i>	
<i>Do the structure, composition and approach of the CERF AG offer the greatest contribution to the process?</i>			<i>To what extent does the AG contribute to the CERF process? How could this be improved?</i>	
Effectiveness	Effectiveness	<i>Is the CERF Secretariat working effectively?</i>	<i>How well is the CERF being managed by the CERF Secretariat, is it adequately supported and resourced?</i>	
		<i>Is there coherence between CERF policies, strategies and operational mechanisms?</i>	<i>Are CERF policies, strategies, and mechanisms coherent with each other and with the objectives of resolution 60/124?</i>	

	<i>Element</i>	<i>Original question</i>	<i>Revised question</i>
Appropriateness and relevance		<i>Are CERF processes, both at the headquarters and country level, considered to be transparent?</i>	<i>To what extent are CERF processes, in the field and in NY, perceived to be transparent?</i>
		<i>Is the CERF Secretariat sufficiently resourced to do its job? Does it receive adequate support from other parts of OCHA and other parts of the UN Secretariat?</i>	<i>How well is the CERF being managed by the CERF Secretariat, is it adequately supported and resourced?</i>
		<i>Is the CERF effectively operating in conjunction with other pooled funds and the components of the Humanitarian Reform process? How does it affect these mechanisms, and what are their effects on the CERF?</i>	<i>How does the CERF interact with other pooled funding mechanisms? How do they affect each other?</i>
		<i>New question based on Desk Study</i>	<i>To what extent do and the current humanitarian architecture and agency procedures and capacities limit the potential impact of the CERF?</i>
	Appropriateness and relevance	<i>Does the CERF benefit from an adequately diversified donor base?</i>	<i>To what extent is the CERF donor base adequately diversified?</i>
		<i>Has CERF adapted suitably to address changing needs, and how has CERF driven change?</i>	<i>How has the CERF adapted to changing needs and what further changes may be needed to make the CERF more appropriate and relevant?</i>
		<i>What, if any, changes might be made to make CERF more appropriate and relevant?</i>	<i>How has the CERF adapted to changing needs and what further changes may be needed to make the CERF more appropriate and relevant?</i>
		<i>Given the current demands and capacities (both of the OCHA Secretariat and implementing agencies), is the current scale (i.e. volume of funding and reach) and balance between the UF and RR windows of the CERF sufficient and appropriate?</i>	<i>To what extent are the current fund scale and window arrangements (RR, UFE, and loans) appropriate?</i>
		<i>How, if at all, has the CERF's used its policy dialogue initiatives to advance humanitarian assistance issues (i.e. better coordination, cluster system)?</i>	<i>To what extent has the CERF reinforced other elements of the humanitarian reform, and has this contributed to timely responses to new needs and underfunding?</i>
		<i>Are the two windows and the loan element the most appropriate structure for the CERF?</i>	<i>To what extent are the current fund scale and window arrangements (RR, UFE, and loans) appropriate?</i>
	<i>Is the level of engagement with host government actors appropriate and sufficient?</i>	<i>To what extent are Host Governments engaged with the CERF? Is this level of engagement appropriate and sufficient, what are their perceptions of the CERF?</i>	
	<i>Is the level of engagement of NGOs and appropriate? Is it relevant?</i>	<i>To what extent are NGOs engaged with the CERF? Is this level of engagement appropriate and sufficient, what are NGOs' perceptions of the CERF?</i>	
CERF Objectives	Time sensitive coverage of critical beneficiary needs	<i>How has the CERF contributed to strengthened humanitarian performance, namely in promoting early action and response to time-critical needs as well as under-funded crises?</i>	<i>To what extent has the CERF reinforced other elements of the humanitarian reform, and has this contributed to timely responses to new needs and underfunding?</i>
		<i>Has CERF responded to time-critical needs?</i>	<i>To what extent has the CERF met the objectives set out for it in the GA resolution 60/124?</i>

## ANNEX 2: FIELDWORK PLAN

The terms of reference has set out the six countries to be visited and the nine countries for desk studies. The team proposed a further country, Kenya, to be included in the field work. This was agreed by the Steering Group. We proposed this because:

- Kenya is the fourth largest recipient of CERF Funds and has been a significant recipient of both Rapid Response and Under Funded window funding even though it is not undergoing a complex emergency nor is normally considered as being affected by frequent natural disasters.
- Including Kenya increases the coverage of the sample covered by the evaluation to over 25% of all CERF funding.
- The team would have been in Nairobi in any case to conduct the Somalia fieldwork (all the relevant offices are in Nairobi).
- Working on both Kenya and Somalia at the same time will give the team members there an opportunity to work together and to discuss emerging issues.

Table 9: Country study targets and their share of all CERF funding by Window

<b>Study type</b>	<b>Country and % share of CERF Funding</b>	<b>RR</b>	<b>UFE</b>	<b>All</b>
<i>Desk</i>	Burkina Faso	1.0%	1.4%	1.1%
<i>Desk</i>	Cape Verde	0.04%	0.00%	0.03%
<i>Desk</i>	Central African Republic	0.8%	2.6%	1.4%
<i>Desk</i>	Congo, The Democratic Republic of the	2.7%	26.5%	10.4%
<i>Desk</i>	El Salvador	0.2%	0.0%	0.1%
<i>Desk</i>	Guatemala	0.8%	0.0%	0.5%
<i>Desk</i>	Lesotho	0.6%	0.0%	0.4%
<i>Desk</i>	Mongolia	0.3%	0.0%	0.2%
<i>Desk</i>	Nepal	1.1%	1.3%	1.2%
	<b>Total for Desk Studies</b>	<b>7.5%</b>	<b>31.8%</b>	<b>15.4%</b>
<i>Field</i>	Afghanistan	4.1%	3.3%	3.9%
<i>Field</i>	Kenya	6.1%	4.8%	5.7%
<i>Field</i>	Niger	3.7%	3.1%	3.5%
<i>Field</i>	Pakistan	6.3%	1.1%	4.6%
<i>Field</i>	Philippines	1.4%	0.5%	1.1%
<i>Field</i>	Somalia	7.5%	1.8%	5.7%
<i>Field</i>	Yemen	1.3%	3.2%	1.9%
	<b>Total for Field Studies</b>	<b>30.5%</b>	<b>17.8%</b>	<b>26.4%</b>
	<b>Overall total</b>	<b>38.0%</b>	<b>49.7%</b>	<b>41.8%</b>

The team will begin the desk studies over the Christmas Period.

The fieldwork plan has been drawn up on the following basis:

- More time will be needed at the start of the process to fine tune the tools and to deal with more complex cases.
- Time in areas with very severe security problems (such as Afghanistan) should be limited to no more than one week.

Table 10: Proposed work itinerary for the team

<i>From</i>	<i>To</i>	<i>Days</i>	<i>Location</i>	<i>Tasks</i>	<i>Who</i>
17 Jan	29 Jan	12	Nairobi	Somalia CERF review	JC and AN
17 Jan	29 Jan	12	Nairobi	Kenya CERF review	MS and CC
21 Feb	5 Mar	13	Islamabad	Pakistan CERF review	MS and AN
21 Feb	26 Feb	6	Kabul	Afghanistan CERF review	JC and CC
26 Feb	5 Mar	7	Manila	Philippines CERF review	JC and CC
5 Mar	12 Mar	5	Sana'a	Yemen CERF Review	JB and AN
21 Feb	5 Mar	12	Niamey	Niger CERF Review	JB and AN
14 Mar	18 Mar	5	Various	Meeting major donors	JC and JB

## ANNEX 3: EVALUATION MATRIX

The evaluation matrix below sets out how the team will form their judgement around each question, and the methods and sources they expect to use to answer this question.

<i>Element</i>	<i>Evaluation question</i>	<i>How judgement formed</i>	<i>Likely sources and methods</i>	
<i>Outputs and processes</i>	<i>Inclusive Country Level Prioritization Process</i>	To what extent is the preparation of CERF proposals at field level inclusive and transparent?	Evidence of inclusive and transparent processes at field level	Key informant interviews with HCs, NGOs and agencies at HQ and at field level.
		To what extent are Host Governments engaged with the CERF? Is this level of engagement appropriate and sufficient, what are their perceptions of the CERF?	Evidence of engagement. Expressed views of Government and of other humanitarian actors.	Keyword analysis of proposals. Key informant interviews with Government, HCs, and Agencies. Survey of Member State's perceptions of the CERF.
		To what extent are the greatest needs being prioritised, and what data are prioritisation decisions based on?	Evidence of prioritisation at country level. Extent to which projects prioritised at the field are funded.	Key informant interviews with HCs, OCHA country teams, agencies and HCTs. Comparison of funded applications with withdrawn or rejected applications.
	<i>Coherent country submission</i>	To what extent is the vetting process thorough and based on good quality criteria including the life-saving criteria? Do these processes represent due diligence?	Extent to which changes in applications represent an improvement in the proposals. Evidence of later problems in implementation.	Comparison of initial and final applications. Review of life saving criteria, comparison of CERF criteria with CHF and ERF criteria. Key informant interviews with CERF Secretariat, HCs, and agencies.
		To what extent do CERF processes and projects consider the need of vulnerable groups?	Project scores from the vulnerability tool. Extent to which vulnerability related keywords are reflected in the proposals.	Analysis of project portfolio using a vulnerability assessment tool. Key informant interviews with HCs, agencies and NGOs. Keyword analysis.
		To what extent do CERF processes and projects consider cross-cutting issues?	Distribution of ranks by number and value of proposals.	Ranking of proposals using Cross-cutting ranking tools.
		How well managed are CERF processes at the field level? Are HCTs and country OCHA offices adequately resourced?	Evidence of management issues. Evidence of resourcing constraints.	Key informant interviews with CERF Secretariat, HC, agencies, and NGOs. Review of differences between initial and final project proposals.
	<i>Streamlined review allocation</i>	How does the timeliness of CERF Funding compare with other funding sources?	Evidence of comparative speed.	Analysis of database to develop timelines. Key informant interviews with Agencies and NGOs.
	<i>Lifeline Agency and CERF M/R&amp;E system in place</i>	To what extent does CERF reporting meet the needs of users?	Evidence of scale of any information gaps.	Key informant interviews with donors, HCs, and agencies. Review of reports. Survey of member states and other humanitarian actors.
		To what extent is the CERF accountable - upwards or downwards? What mechanisms exist?	Evidence of effective accountability mechanisms.	Review of PAF. Key informant interviews with donors, HCs, agencies and NGOs.
	<i>Life-saving</i>	How have CERF funds been	Distribution of funding	Analysis of CERF funding

<i>Element</i>	<i>Evaluation question</i>	<i>How judgement formed</i>	<i>Likely sources and methods</i>
	allocated, by geography, sector, and emergency type? What proportion of CERF allocations take gender, vulnerability, and cross cutting issues into account?	by geography, sector, emergency type, and by project scores on gender, vulnerability, and cross-cutting issues.	patterns. Project scoring sheets.
	What type of projects, and what components of projects are funded by the CERF, and what did agencies do that they would not otherwise have been able to do? What do agencies avoid using CERF funds for?	Evidence of difference between CERF and other funding mechanisms. Evidence of value added by CERF. Evidence of areas that CERF won't fund.	Key informant interviews with HC, Agencies, OCHA field teams, and the CERF secretariat. Comparison of CERF funding with other funding data from FTS.
Timely response	What is the typical timeline for CERF funding, and to what extent have CERF funds facilitated timely action?	Speed of funding. Evidence of timely action facilitated by CERF funds.	Analysis of funding timelines. Key information interviews with HCs, agencies and NGOs. Survey of humanitarian actors.
Predictability and reliability enhanced	To what extent has CERF contributed to better overall funding for under-funded emergencies?	Evidence of any impact on the overall level of funding for under-funded emergencies.	Analysis of CERF funding compared with other funding. Key informant interviews with HCs, agencies, and NGOs.
	How has CERF affected agencies ability to respond, at both HQ and field?	Evidence of changes in ability to respond.	Key informant interview with agencies at HQ and in the Field.
	To what extent has the availability of CERF contributions enabled agencies to use internal advance mechanisms and leverage donor funds?	Evidence of leveraging of other funding.	Key informant interview with agencies and donors.
Quality response	To what extent has CERF contributed to better coverage? How?	Evidence of extended coverage with CERF funding.	Key informant interviews with HC, agencies, NGOs and donors.
	To what extent do CERF processes and projects consider the differing needs of women, boys, girls, and men?	Gender Marker scores by project number and value. Evidence of the extent to which project take gender into account.	Review of CERF application documents, application of Gender Marker to project portfolio. Key informant interviews with CERF Secretariat, HC, agencies, NGOs and donors.
	To what extent has CERF supported prevention and supported the transition to early recovery? Is this coherent with the objectives of CERF?	Evidence of support for prevention or transition.	Review of project portfolio. Keyword searches for early recovery and prevention terms. Interviews with HCs, agencies, NGOs, and donors. Document review.
Humanitarian Reform Supported	To what extent has the CERF reinforced other elements of the humanitarian reform, and has this contributed to timely responses to new needs and underfunding?	Evidence of reinforcement of the reform process and of any impact on responses.	Key informant interviews with OCHA, HCs, agencies, donors and NGOs. Document review.
Efficiency	How do the CERF transaction costs compare with the transaction costs for other	Evidence of differences in transaction costs.	Key informant interviews with HCs, agencies and donors. Document review.



<i>Element</i>	<i>Evaluation question</i>	<i>How judgement formed</i>	<i>Likely sources and methods</i>
	funding? If higher, why do agencies apply for CERF funding?		
	How well is the CERF being managed by the CERF Secretariat, is it adequately supported and resourced?	Evidence of any management issues. Comparative levels of support and resourcing.	Key informant interviews with the CERF secretariat, donors, and agencies. Review of CERF procedures. Comparison with other pooled funds.
	To what extent have previous evaluation recommendations been implemented, and what impact has any such implementation had?	Extent to which previous evaluation recommendations have been implemented.	Review of previous evaluations. Key informant interview with CERF Secretariat, donors, and HCs.
	To what extent has CERF contributed to a more effective humanitarian system?	Preponderance of perceptions of the impact of CERF.	Key informant interviews with HC, donors, agencies, and NGOs. Survey of humanitarian actors.
	To what extent does the AG contribute to the CERF process? How could this be improved?	Evidence of impact of AG. Views of interviewees on potential improvements.	Key informant interviews with CERF secretariat and AG members.
<i>Effectiveness</i>	<i>Effectiveness</i>	Are CERF policies, strategies, and mechanisms coherent with each other and with the objectives of resolution 60/124?	Evidence of coherence. Document review. Comparison of CERF procedures and practices against the objective of the resolution.
		To what extent are CERF processes, in the field and in NY, perceived to be transparent?	Preponderance of perceptions. Survey of humanitarian actors. Key informant interviews with HC, agencies, donors, and NGOs.
		How does the CERF interact with other pooled funding mechanisms? How do they affect each other?	Evidence of interaction. Survey of humanitarian actors. Key informant interview with HC, agencies, NGOs and Donors.
		To what extent do and the current humanitarian architecture and agency procedures and capacities limit the potential impact of the CERF?	Evidence of constraints on the objectives of the CERF from architecture or agencies. Key informant interviews with HCs, agencies, donors, and NGOs. Document research.
<i>Appropriateness and relevance</i>	<i>Appropriateness and relevance</i>	To what extent is the CERF donor base adequately diversified?	Degree of concentration in donor base compared with other funding. Numerical analysis of donor contributions. Comparison with other pooled funding and all other humanitarian funding.
		How has the CERF adapted to changing needs and what further changes may be needed to make the CERF more appropriate and relevant?	Evidence of existing adaptation or of the need for further changes. Key informant interview with HCs, agencies, NGOs, and donors.
		To what extent are the current fund scale and window arrangements (RR, UFE, and loans) appropriate?	Evidence of appropriateness or gaps. Key informant interviews with donors, CERF Secretariat, HCs, agencies, and NGOs.
		To what extent are NGOs engaged with the CERF? Is this level of engagement	Evidence of engagement. Evidence of appropriateness and Key informant interviews with NGOs, agencies, donors, and HCs. Survey of humanitarian

<i>Element</i>		<i>Evaluation question</i>	<i>How judgement formed</i>	<i>Likely sources and methods</i>
		appropriate and sufficient, what are NGOs' perceptions of the CERF?	sufficiency. NGO perceptions.	actors.
<i>CERF Objectives</i>	Time sensitive coverage of critical beneficiary	To what extent has the CERF met the objectives set out for it in the GA resolution 60/124?	Evidence of the extent to which the objectives have been met.	Key informant interviews with HCs, agencies, NGOs and donors. Document review. Other findings of this evaluation as this is the overarching question.

## ANNEX 4: INTEVIEW GUIDES

The following shows the interview question matrix. Not all questions will be asked of all interviewees. One of the challenges of preparing this guide has been the large number of questions in the Evaluation ToR. Some respondents will fall into multiple categories, and that is why there are so few questions for HCT members as most of there will be either CERF recipients or other humanitarian actors.

Not all of the questions will be asked of all the indicated interviewees – some questions are more suitable for HQ than the field for example. The actual questions asked will depend on the answers to previous questions.

<i>Evaluation question</i>	<i>CERF Secretariat</i>	<i>RC/HCs</i>	<i>CERF Recipients</i>	<i>NGOs and other non-UN actors</i>	<i>Major donors</i>	<i>Host Governments</i>
<b>Total Number of questions for this category of interviewee:</b>	<b>11</b>	<b>23</b>	<b>27</b>	<b>23</b>	<b>23</b>	<b>6</b>
<i>To what extent is the preparation of CERF proposals at field level inclusive and transparent?</i>		✓	✓	✓		✓
<i>To what extent are Host Governments engaged with the CERF? Is this level of engagement appropriate and sufficient, what are their perceptions of the CERF?</i>	✓	✓	✓		✓	
<i>To what extent are the greatest needs being prioritised, and what data are prioritisation decisions based on?</i>		✓	✓	✓	✓	✓
<i>To what extent is the vetting process thorough and based on good quality criteria including the life-saving criteria? Do these processes represent due diligence?</i>	✓	✓	✓			
<i>To what extent do CERF processes and projects consider the need of vulnerable groups?</i>	✓	✓	✓	✓	✓	
<i>How does the timeliness of CERF Funding compare with other funding sources?</i>			✓	✓		
<i>To what extent does CERF reporting meet the needs of users?</i>	✓				✓	✓
<i>To what extent is the CERF accountable - upwards or downwards? What mechanisms exist?</i>	✓	✓	✓	✓	✓	✓
<i>What is the typical timeline for CERF funding, and to what extent have CERF funds facilitated timely action?</i>			✓	✓	✓	
<i>To what extent has CERF contributed to better overall funding for under-funded emergencies?</i>		✓	✓	✓	✓	✓
<i>How has CERF affected agencies ability to respond, at both HQ and field?</i>		✓	✓			

<i>Evaluation question</i>	<i>CERF Secretariat</i>	<i>RC/HCs</i>	<i>CERF Recipients</i>	<i>NGOs and other non-UN actors</i>	<i>Major donors</i>	<i>Host Governments</i>
<i>What type of projects, and what components of projects are funded by the CERF, and what did agencies do that they would not otherwise have been able to do? What do agencies avoid using CERF funds for?</i>	✓	✓	✓	✓		
<i>To what extent has the availability of CERF contributions enabled agencies to use internal advance mechanisms and leverage donor funds?</i>			✓			
<i>To what extent has CERF contributed to better coverage? How?</i>		✓	✓	✓	✓	
<i>To what extent do CERF processes and projects consider the differing needs of women, boys, girls, and men? (Gender)</i>	✓	✓	✓	✓	✓	
<i>To what extent has CERF supported prevention and supported the transition to early recovery? Is this coherent with the objectives of CERF?</i>	✓	✓	✓	✓	✓	
<i>To what extent has the CERF reinforced other elements of the humanitarian reform, and has this contributed to timely responses to new needs and underfunding?</i>		✓	✓	✓	✓	
<i>How do the CERF transaction costs compare with the transaction costs for other funding? If higher, why do agencies apply for CERF funding?</i>		✓	✓	✓	✓	
<i>How well is the CERF being managed by the CERF Secretariat, is it adequately supported and resourced?</i>	✓	✓	✓		✓	
<i>To what extent have previous evaluation recommendations been implemented, and what impact has any such implementation had?</i>	✓			✓	✓	
<i>To what extent has CERF contributed to a more effective humanitarian system?</i>		✓	✓	✓	✓	
<i>To what extent does the AG contribute to the CERF process? How could this be improved?</i>	✓				✓	
<i>To what extent are CERF processes, in the field and in NY, perceived to be transparent?</i>		✓	✓	✓	✓	
<i>How does the CERF interact with other pooled funding mechanisms? How do they affect each other?</i>		✓	✓	✓	✓	
<i>How has the CERF adapted to changing needs and what further changes may be needed to make the CERF more appropriate and relevant?</i>	✓	✓	✓	✓	✓	
<i>To what extent are the current fund scale and window arrangements (RR, UFE, and loans) appropriate?</i>	✓	✓	✓	✓	✓	
<i>To what extent are NGOs engaged with the CERF? Is this level of engagement appropriate and sufficient, what are NGOs' perceptions of the CERF?</i>		✓	✓	✓	✓	
<i>To what extent do and the current humanitarian architecture and agency procedures and capacities limit the potential impact of the CERF?</i>	✓	✓	✓	✓	✓	

<i>Evaluation question</i>	<i>CERF Secretariat</i>	<i>RC/HCs</i>	<i>CERF Recipients</i>	<i>NGOs and other non-UN actors</i>	<i>Major donors</i>	<i>Host Governments</i>
<i>How well managed are CERF processes at the field level? Are HCTs and country OCHA offices adequately resourced?</i>	✓		✓	✓		
<i>To what extent has the CERF met the objectives set out for it in the GA resolution 60/124?</i>		✓	✓	✓	✓	✓

## ANNEX 5: SURVEY QUESTIONS

The team propose to have two different short surveys. The first is for member states, and the second for humanitarian actors.

<i>Survey question for member states</i>	<i>Comments</i>
<i>Has your country contributed to the CERF</i>	Yes/No/Don't Know
<i>Has the CERF funded any activities in your country</i>	Yes/No/Don't Know
<i>If the CERF funded activities in your country, how engaged was your government in the process</i>	Completely engaged, very engaged, somewhat engaged, not engaged.
<i>How would you rate the CERF as a mechanism to enable rapid response to emergencies?</i>	Excellent, very good, good, poor, very poor, of no use.
<i>How would you rate the CERF as a mechanism to support humanitarian action in under-funded emergencies?</i>	Excellent, very good, good, poor, very poor, of no use.
<i>At present CERF funding is only directly accessible to UN agencies and IOM. NGOs cannot access CERF funds directly. Are you in favour of this arrangement continuing? Why?</i>	Strongly in favour, in favour, not in favour, opposed.
<i>Have you any overall comments on the CERF that you would like to make?</i>	Text box
<i>If you provided comments, would you be willing to answer a request for clarification by email from the Evaluation Team.</i>	Email address

<i>Survey question for humanitarian actors</i>	<i>Comments</i>
<i>What type of agency do you work for?</i>	OCHA/Other UN Agency or IOM/INGO/NNGO/RC movement, Other (specify)
<i>What type of staff are you?</i>	National staff/National staff on assignment to another country/international staff – Other (specify)
<i>How many years of experience do you have in humanitarian action</i>	Less than 1, 1-3,4-9, 10 or more
<i>How many, (if any) applications for CERF funding have you been involved with in any way?</i>	None 1, 1-3,4-9, 10 or more
<i>At present CERF funding is only directly accessible to UN agencies and IOM. NGOs cannot access CERF funds directly. Are you in favour of this arrangement continuing? Why?</i>	Strongly in favour, in favour, not in favour, opposed.

<i>Survey question for humanitarian actors</i>	<i>Comments</i>
<i>Has any of your own organisation's projects (that you have been involved with) received CERF funding</i>	None 1, 1-3,4-9, 10 or more
<i>How much work is involved in getting CERF funding compared to other funding</i>	Much more work, more work, about the same, less work, a lot less work.
<i>How would you rate the transparency of the CERF process in-country?</i>	Very transparent, somewhat transparent, slightly transparent, not transparent.
<i>How does the CERF compare with other pooled funding mechanisms that you have used?</i>	Much better, better, the same, worse, much worse
<i>Why?</i>	
<i>How would you rate the CERF as a mechanism to enable rapid response to emergencies?</i>	Excellent, very good, good, poor, very poor, of no use.
<i>How would you rate the CERF as a mechanism to support humanitarian action in under-funded emergencies?</i>	Excellent, very good, good, poor, very poor, of no use.
<i>How do you think the CERF be improved?</i>	Text box
<i>Have you any overall comments on the CERF that you would like to make?</i>	Text box
<i>If you provided comments, would you be willing to answer a request for clarification by email from the Evaluation Team.</i>	Email address

## ANNEX 6: PROJECT SELECTION PROCESS

The number of funded CERF projects varies between countries. In some countries all projects will be selected for analysis and in others a subset of countries will be examined. All of projects will be analysed for five countries, and random samples drawn from three countries.

Table 11: Number of CERF Funded Projects for the Desk and Field Study Countries

<b>Country Name</b>	<b>RR projects</b>	<b>UFE projects</b>	<b>Total no of projects</b>	<b>Nominal sampling rate</b>	<b>No of Projects</b>	<b>Actual sampling rate</b>
<i>Afghanistan</i>	22	14	36	50%	21	58%
<i>Burkina Faso</i>	20	14	34	50%	19	56%
<i>Cape Verde</i>	2	0	2	100%	2	100%
<i>Central African Republic</i>	20	68	88	25%	26	30%
<i>Congo, The Democratic Republic of the</i>	20	107	127	20%	28	22%
<i>El Salvador</i>	10	0	10	100%	10	100%
<i>Guatemala</i>	21	0	21	100%	21	100%
<i>Kenya</i>	60	27	87	25%	23	26%
<i>Lesotho</i>	12	0	12	100%	12	100%
<i>Mongolia</i>	5	0	5	100%	5	100%
<i>Nepal</i>	15	14	29	70%	20	69%
<i>Niger</i>	25	15	40	50%	22	55%
<i>Pakistan</i>	97	8	105	20%	27	26%
<i>Philippines</i>	36	8	44	40%	22	50%
<i>Somalia</i>	46	6	52	40%	24	46%
<i>Yemen</i>	31	33	64	30%	23	36%
<b>Total</b>	<b>442</b>	<b>314</b>	<b>756</b>		<b>305</b>	<b>40%</b>

For each of the three countries from which random samples of projects were drawn a stratified sample was taken:

- By CERF Window
- By Agency. Agency was selected rather than sector to avoid making some of the groups too small (as there are 20 different sectors or sub-sectors in the database) and because some project have unspecified sectors.

### Sampling procedure

The number of projects for each agency and window was calculated by applying the nominal sampling rate to the number of each agency's projects under each window. The calculated number was rounded to the nearest whole number and subject to a minimum of one (so that all agencies were included in the sample).

Table 12 shows an example calculation for DRC. Here the sample is nominally 20% but the actual sampling rate is 22% due to the minimum of one project per agency per window. For example 20% of the 2 FAO RR projects would be 0.4, but this is rounded up to one. The relatively small number of RR projects when compared with UFE projects means that the minimum number of projects rule applies more often for RR projects. The actual sampling



rate for rapid response projects (6 out of 20 or 30%) is higher than the actual sampling rate for under-funded emergency projects (22 out of 107 or 21%).

A random number between 1 and 10,000 was assigned to each project in the database. The database was then searched and the projects for each of the three countries were then listed by CERF Window and Agency together with the random number assigned to that project.

Table 12: Example of sample size calculation table for DRC with a nominal sampling rate of 20%

<b>Window</b>	<b>Agency</b>	<b>No of Projects</b>	<b>No in Sample</b>	<b>Actual sampling rate</b>
<b>RR</b>		<b>20</b>	<b>6</b>	<b>30%</b>
	FAO	2	1	50%
	UNFPA	1	1	100%
	UNHCR	4	1	25%
	UNICEF	5	1	20%
	WFP	6	1	17%
	WHO	2	1	50%
<b>UFE</b>		<b>107</b>	<b>22</b>	<b>21%</b>
	FAO	9	2	22%
	IOM	3	1	33%
	UNDP	3	1	33%
	UNFPA	8	2	25%
	UNHCR	16	3	19%
	UNICEF	37	7	19%
	WFP	15	3	20%
	WHO	16	3	19%
<b>Both Windows</b>		<b>127</b>	<b>28</b>	<b>22%</b>

The projects from the list were sorted by the size of the random number (from large to small) and the projects were selected from the list. For example in the case of UNICEF UFE projects in DRC, the calculated sample size was seven (Table 12). The UNICEF UFE projects in DRC with the seven highest random number were selected for analysis.

For the Field visit countries the random number was weighted to increase the chance that more recent projects would be assessed. This was because it was considered unlikely that much information would be available at the field level on the older projects.

Table 13: Weighting table for random number scores

<b>Year</b>	<b>Weight</b>
2006	0.5
2007	0.6
2008	0.8
2009	1
2010	1.5

## ANNEX 7: TABLES OF RANDOMLY SELECTED PROJECTS BY COUNTRY

The following tables show the resulting project selections from the procedure given in the previous Annex. Please note that there are spelling errors in the data as these appear in the original database.

<i>Country</i>	<i>Project</i>	<i>Win. Agency</i>	<i>CERFUS\$</i>	<i>Sector</i>	<i>Year</i>	<i>Emergency Type</i>	<i>Title</i>
<i>Afghanistan</i>	06-FAO-155	RR	1,670,298	Agriculture	2006	Climate Related - Drought	Support to vulnerable population in drought-affected areas through the provision of quality wheat seeds and fertilizer for the 2006 autumn and 2007 spring planting season
<i>Afghanistan</i>	07-IOM-009	RR	2,840,143	Multi-sector	2007	Refugees/IDPs	Assistance to Afghan Families Deported from Iran
<i>Afghanistan</i>	08-CEF-005	RR	808,866	Health	2008	Food Crisis	Nutrition Response to household food insecurity arising from sudden and drastic increase of wheat flour price in Afghanistan
<i>Afghanistan</i>	07-CEF-043	RR	762,803	Multi-sector	2007	Refugees/IDPs	Humanitarian assistance to Afghan Deportee families in the west and south of Afghanistan
<i>Afghanistan</i>	06-CEF-156	RR	200,000	Health	2006	Climate Related - Drought	Therapeutic feeding programme for severely malnourished children.
<i>Afghanistan</i>	06-CEF-157	RR	500,000	Health	2006	Climate Related - Drought	Water provision in drought affected areas
<i>Afghanistan</i>	08-WFP-010	RR	6,945,154	Food	2008	Food Crisis	Food Assistance for Livelihood Protection in Afghanistan
<i>Afghanistan</i>	07-WFP-064	RR	323,212	Coordination and Support Services - Telecom and Data	2007	Other	Provision of emergency telecommunication services to the humanitarian community in Afghanistan
<i>Afghanistan</i>	06-WFP-292	RR	17,231,270	Food	2006	Climate Related - Drought	Feeding Drought-affected people
<i>Afghanistan</i>	09-WHO-003	RR	500,225	Health	2009	Cold/Heat Waves	Providing Emergency Health Care for those affected by harsh winter conditions

Country	Project	Win.	Agency	CERFUS\$	Sector	Year	Emergency Type	Title
<i>Afghanistan</i>	06-WHO-154	RR	WHO	398,040	Health	2006	Climate Related - Drought	Provision of health service delivery for vulnerable in drought-affected areas.
<i>Afghanistan</i>	06-WHO-293	RR	WHO	1,624,260	Health	2006	Climate Related - Drought	Ensuring quality health services in the security compromised areas of Afghanistan
<i>Afghanistan</i>	10-FAO-010	UFE	FAO	3,000,000	Agriculture	2010	Protracted conflict related emergency	Emergency support to vulnerable, food insecure farming families in Nangarhar, Kunar, Ghor, Badakhshan and Daykundi provinces
<i>Afghanistan</i>	10-FAO-021	UFE	FAO	139,100	Health - Nutrition	2010	Protracted conflict related emergency	Response intervention to nutrition emergency in Afghanistan
<i>Afghanistan</i>	08-IOM-023	UFE	IOM	399,035	Shelter and non-food items	2008	Climate Related - Drought	Fuel Provision for Vulnerable Families in Winter
<i>Afghanistan</i>	10-FPA-008	UFE	UNFPA	274,262	Health	2010	Protracted conflict related emergency	Emergency health intervention and outbreak response and control for the extremely vulnerable: IDPs, people living in conflict and remote areas without access to essential health care
<i>Afghanistan</i>	08-HCR-005	UFE	UNHCR	1,095,590	Multi-sector	2008	Food Crisis	Voluntary Return and Repatriation of Afghan Refugees and Internally Displaced Persons in Afghanistan
<i>Afghanistan</i>	10-CEF-012-A	UFE	UNICEF	3,000,277	Water and sanitation	2010	Protracted conflict related emergency	Provision of Safe and sustainable Drinking Water, Sanitation and Hygiene Education and Promotion
<i>Afghanistan</i>	08-CEF-069-A	UFE	UNICEF	3,302,157	Water and sanitation	2008	Climate Related - Drought	Provision of safe drinking water, hygiene promotion and nutrition support in response to drought disaster and rising food prices in 22 drought affected provinces of Afghanistan.
<i>Afghanistan</i>	10-WHO-011	UFE	WHO	2,754,531	Health	2010	Protracted conflict related emergency	Emergency health intervention and outbreak response and control for the extremely vulnerable: IDPs, people living in conflict and remote areas without access to essential health care
<i>Afghanistan</i>	08-WHO-059	UFE	WHO	449,935	Health	2008	Climate Related - Drought	Health cluster response to the health effects of drought and food insecurity.

Country	Project	Win.	Agency	CERFUS\$	Sector	Year	Emergency Type	Title
<i>Burkina Faso</i>	08-FAO-048	RR	FAO	499,999	Agriculture	2008	Food Crisis	Emergency Assistance to Farming Families, victims of high food prices in Urban and Peri-Urban Areas in Five cities in Burkina Faso
<i>Burkina Faso</i>	10-FPA-032	RR	UNFPA	152,824	Health	2010	Climate Related - Flood/Hurricanes	Projet de réduction de la mortalité et de la morbidité liées à la santé reproductive chez les femmes victimes des inondations dans les régions
<i>Burkina Faso</i>	09-HCR-039	RR	UNHCR	627,555	Shelter and non-food items	2009	Climate Related - Flood/Hurricanes	Shelter Assistance to displaced people in the relocation sites
<i>Burkina Faso</i>	10-CEF-047-B	RR	UNICEF	488,354	Health - Nutrition	2010	Climate Related - Flood/Hurricanes	Prévention et traitement de la malnutrition infantile parmi les populations sinistrées suites aux inondations de juillet – aout 2010 au Burkina Faso
<i>Burkina Faso</i>	09-CEF-032	RR	UNICEF	1,285,573	Health	2009	Disease	Support vaccination campaign in response to a Measles outbreak in Burkina Faso
<i>Burkina Faso</i>	09-CEF-055-B	RR	UNICEF	583,461	Health - Nutrition	2009	Climate Related - Flood/Hurricanes	Preventing and treating acute malnutrition among young children and women among the 150,000 displaced persons affected by floods in Ouagadougou
<i>Burkina Faso</i>	09-CEF-055-D	RR	UNICEF	117,700	Water and sanitation	2009	Climate Related - Flood/Hurricanes	Safe water supply, basic sanitation and hygiene for flood affected populations in Burkina Faso BFA-09/WS/25927
<i>Burkina Faso</i>	07-CEF-035	RR	UNICEF	1,000,000	Health	2007	Disease	Support to the Control of the On-Going Meningitis Outbreak in Burkina Faso
<i>Burkina Faso</i>	10-WFP-061	RR	WFP	721,498	Food	2010	Climate Related - Flood/Hurricanes	Assistance alimentaire aux victimes des inondations
<i>Burkina Faso</i>	08-WFP-093	RR	WFP	750,213	Health - Nutrition	2008	Food Crisis	Emergency response to High Food Prices in Burkina Faso main cities
<i>Burkina Faso</i>	09-WHO-030	RR	WHO	364,870	Health	2009	Disease	Support to reactive immunization campaign against measles outbreak in Burkina Faso
<i>Burkina Faso</i>	09-WHO-058	RR	WHO	333,209	Health	2009	Climate Related -	Restoring disrupted primary health care and other essential health services; strengthening surveillance

Country	Project	Win.	Agency	CERFUS\$	Sector	Year	Emergency Type	Title
<i>Burkina Faso</i>	09-FAO-005	UFE	FAO	500,002	Agriculture	2009	Food Crisis	Reconstitution de la capacité de production des ménages vulnérables affectés par la crise alimentaire et la hausse des prix au Burkina Faso WA-09/A/21469
<i>Burkina Faso</i>	07-FAO-043	UFE	FAO	300,000	Agriculture	2007	Food Crisis	Assistance agricole d'urgence aux ménages d'enfants mal nourris ou à risque de malnutrition dans les régions frappées par les catastrophes naturels au Burkina Faso .
<i>Burkina Faso</i>	09-CEF-009	UFE	UNICEF	497,544	Health - Nutrition	2009	Food Crisis	Emergency Nutrition Response for Child Survival in Burkina Faso WA-09/H/21123/124
<i>Burkina Faso</i>	08-CEF-013	UFE	UNICEF	1,147,311	Health - Nutrition	2008	Food Crisis	Emergency Nutrition for Child Survival in Burkina Faso
<i>Burkina Faso</i>	09-WFP-013	UFE	WFP	750,000	Food	2009	Food Crisis	Emergency response to High Food Prices in Burkina Faso main cities WA-09/F/21263
<i>Burkina Faso</i>	07-WFP-050	UFE	WFP	349,998	Food	2007	Food Crisis	Reversing growing undernutrition in food insecure regions
<i>Burkina Faso</i>	09-WHO-005	UFE	WHO	249,989	Health	2009	Food Crisis	Response to cerebrospinal meningitis epidemic in Burkina Faso
<i>Cape Verde</i>	09-CEF-064	RR	UNICEF	159,758	Water and sanitation	2009	Disease	Response to a massive Dengue outbreak in Cape Verde
<i>Cape Verde</i>	09-WHO-069	RR	WHO	314,580	Health	2009	Disease	Response to a massive Dengue outbreak in Cape Verde
<i>Central African Republic</i>	06-FAO-064	RR	FAO	193,200	Agriculture	2006	Refugees/IDPs	Emergency seeds and tools assistance to IDPs for subsistence farming resumption in Northern

Country	Project	Win.	Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Central African Republic	08-UDP-014	RR	UNDP	304,175	Health - Nutrition	2008	Protracted conflict related emergency	Ouham/Ouham Pendé Reduced morbidity and mortality among people affected by conflict through the rehabilitation of the health system and health infrastructures in Vakaga and Haute-Kotto prefectures
Central African Republic	10-FPA-020	RR	UNFPA	211,860	Multi-sector	2010	Refugees/IDPs	Emergency Response and Assistance to DRC Refugees in the Central African Republic CAF-10/MS/32348/R/120 CAF-10/MS/32348/R/124
Central African Republic	10-HCR-017	RR	UNHCR	2,112,715	Multi-sector	2010	Refugees/IDPs	Emergency Response and Assistance to DRC Refugees in the Central African Republic CAF-10/MS/32348/R/120 CAF-10/MS/32348/R/124
Central African Republic	10-CEF-026	RR	UNICEF	777,890	Multi-sector	2010	Refugees/IDPs	Emergency Response and Assistance to DRC Refugees in the Central African Republic CAF-10/MS/32348/R/120 CAF-10/MS/32348/R/124
Central African Republic	09-WFP-004	RR	WFP	187,355	Coordination and Support Services - Telecom and Data	2009	Protracted conflict related emergency	Provision of common emergency telecommunication services to the humanitarian community in Central African Republic CAF-09/CSS/21410/561
Central African Republic	06-WHO-060	RR	WHO	247,170	Health	2006	Protracted conflict related emergency	Emergency basic health provision to IDPs and local population in northern Ouham and Ouham Pendé
Central African Republic	06-FAO-279	UFE	FAO	100,000	Agriculture	2006	Protracted conflict related emergency	Improved Food security for affected households of Markounda
Central African Republic	10-CHR-003	UFE	OHCHR	146,494	Protection/Human Rights/Rule of Law	2010	Protracted conflict related emergency	Reinforce capacities in Human Rights Protection

Country	Project	Win. Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Central African Republic	07-UDP-013	UFE UNDP	150,000	Health	2007	Protracted conflict related emergency	Reduced morbidity and mortality among conflict affected populations, through the provision of mobile curative and preventative primary health care services
Central African Republic	07-UDP-015	UFE UNDP	150,000	Water and sanitation	2007	Protracted conflict related emergency	Emergency aid for the conflict-affected population in Ouham, CAR
Central African Republic	07-UDP-024	UFE UNDP	100,000	Health	2007	Protracted conflict related emergency	Emergency Healthcare for Displaced and Conflict-Affected Populations in Nana Gribizi
Central African Republic	10-FPA-035	UFE UNFPA	252,082	Health	2010	Protracted conflict related emergency	Strengthening the response against STIs, HIV and AIDS and preventing sexual violence by unformed services among adolescents in conflict affected zones
Central African Republic	06-FPA-182	UFE UNFPA	115,000	Health	2006	Protracted conflict related emergency	Prévention des IST/VIH/SIDA chez les adolescents-jeunes dans la zone affectée par les conflits armés dans l'Ouham-Pende
Central African Republic	09-HCR-031	UFE UNHCR	210,004	Protection/Human Rights/Rule of Law	2009	Protracted conflict related emergency	Emergency GBV Interventions in Conflict-Affected Ouham Pendé CAF-09/P-HR-RL/20622/120
Central African Republic	06-HCR-188	UFE UNHCR	200,000	Multi-sector	2006	Protracted conflict related emergency	Projet de protection pour les personnes déplacées au Nord de la RCA
Central African Republic	10-CEF-050-B	UFE UNICEF	297,828	Protection/Human Rights/Rule of Law	2010	Protracted conflict related emergency	Prevention, Protection and Community-Based Reintegration of Children Associated with Armed Groups and Other Vulnerable Conflict-Affected Children and Women
Central African Republic	10-CEF-050-C	UFE UNICEF	264,208	Protection/Human Rights/Rule of Law	2010	Protracted conflict related emergency	Strengthening the response against sexual violence on child adolescents and women in conflict affected zones
Central African Republic	09-CEF-041-A	UFE UNICEF	130,002	Health - Nutrition	2009	Protracted conflict related emergency	Reduction of child deaths due to alarming malnutrition situation in the South West Region of CAR by end of 2009.

Country	Project	Win. Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Central African Republic	09-CEF-041-B	UFE UNICEF	248,026	Health - Nutrition	2009	Protracted conflict related emergency	Emergency Nutrition for child survival in CAR CAF-09/H/20412/R/124
Central African Republic	09-CEF-041-H	UFE UNICEF	68,050	Health	2009	Protracted conflict related emergency	Strengthening Emergency obstetric and neonatal care in conflict affected zones CAF-09/H/20573/R/124
Central African Republic	07-CEF-008-3	UFE UNICEF	252,000	Health	2007	Protracted conflict related emergency	Prevention and management of malnutrition amongst under children under five in most conflict-affected prefectures
Central African Republic	09-WFP-052	UFE WFP	168,000	Coordination and Support Services - UNHAS	2009	Protracted conflict related emergency	Provision of safe, effective and cheap flights for the humanitarian community in the CAR CAF-09/CSS/20526/561
Central African Republic	09-WFP-053	UFE WFP	44,001	Coordination and Support Services - Logistics	2009	Protracted conflict related emergency	Entretien d'urgence de l'axe Ndélé/Ngarba, préfecture du Bamingui-Bangoran, RCA CAF-09/CSS/20917/R
Central African Republic	10-WHO-060	UFE WHO	661,849	Health	2010	Protracted conflict related emergency	Strengthening the integrated disease surveillance system for better support to the International Health Regulation and the National Information Health System in CAR
Central African Republic	09-WHO-057	UFE WHO	554,450	Health	2009	Protracted conflict related emergency	Decentralise prevention and preparation activities for a prompt response to disaster and crises CAF-09/H/20581/R
Congo, The Democratic Republic of the	10-FAO-033	RR FAO	657,513	Agriculture	2010	Refugees/IDPs	Appui agricole d'urgence à 6600 ménages vulnérables dans les territoires Kungu et Makanza, Equateur
Congo, The Democratic Republic of the	10-FPA-029	RR UNFPA	300,000	Health	2010	Refugees/IDPs	Offre des Soins Obstétricaux et Néonataux d'Urgence, de Prévention et Traitement des IST/VIH-SIDA (SONUPTI) dans les zones de santé



Country	Project	Win.	Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Republic of the Democratic Republic of the Congo, The	10-HCR-030	RR	UNHCR	400,736	Shelter and non-food items	2010	Refugees/IDPs	Assistance d'urgence aux personnes déplacées de Bokonzi (Dongo), Kungu, Lolanga-Mapoko et Makanza
Congo, The Democratic Republic of the	10-CEF-043	RR	UNICEF	1,844,809	Multi-sector	2010	Refugees/IDPs	Assistance d'urgence aux personnes déplacées
Congo, The Democratic Republic of the	10-WFP-056	RR	WFP	685,998	Coordination and Support Services - Logistics	2010	Refugees/IDPs	Amélioration immédiate des conditions de vie des communautés affectées par le conflit arme dans le Sud-Ubangi province de l'Equateur
Congo, The Democratic Republic of the	10-WHO-051	RR	WHO	600,179	Health	2010	Refugees/IDPs	Services Logistiques pour la Communauté Humanitaire dans le district du sud Ubangui, province d'Equateur.
Congo, The Democratic Republic of the	10-FAO-045	UFE	FAO	650,000	Agriculture	2010	Protracted conflict related emergency	Projet d'appui d'urgence à la mise en place d'un Paquet Minimum d' Activités des Soins de Santé Primaires et au renforcement du paquet d'activités complémentaires dans les zones touchées par conflit
Congo, The Democratic Republic of the	09-FAO-023	UFE	FAO	993,176	Agriculture	2009	Protracted conflict related emergency	Assistance d'urgence en intrants agricoles à 6 500 familles affectés par les opérations militaires Amani Leo dans les territoires de Fizi, Shabunda et Kalehe
Congo, The Democratic Republic of the	09-IOM-021	UFE	IOM	1,033,460	Coordination and Support Services - Logistics	2009	Protracted conflict related emergency	Appui agricole d'urgence à 9 932 ménages déplacés et familles d'accueil du Nord et Sud Kivu (territoires de Walikale, Kalehe, Mwenga et Shabunda)
Congo, The Democratic Republic of the	08-UNDP-010	UFE	UNDP	400,137	Protection/Human Rights/Rule of Law	2008	Protracted conflict related emergency	Ouverture de la route DUNGU –NGILIMA – BANGADI – DORUMA
Congo, The Democratic Republic of the	10-FPA-005	UFE	UNFPA	384,111	Health	2010	Protracted conflict related emergency	Sécurisation des zones de retours et soutien au déploiement humanitaire
Congo, The Democratic Republic of the								Offre des services de santé maternelle et néonatale dans les zones de santé touchées par le retour des congolais refoulés de l'Angola dans

Country	Project	Win. Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Congo, The Democratic Republic of the	10-FPA-044	UFE UNFPA	350,000	Health	2010	Protracted conflict related emergency	Offre des services Soins Obstétricaux et Néonataux d'Urgence, traitement des IST et prise en charge des victimes de violences sexuelles
Congo, The Democratic Republic of the	10-HCR-003	UFE UNHCR	800,000	Protection/Human Rights/Rule of Law	2010	Protracted conflict related emergency	Enregistrement et profilage des populations déplacées dans les camps/sites
Congo, The Democratic Republic of the	10-HCR-042	UFE UNHCR	500,000	Shelter and non-food items	2010	Protracted conflict related emergency	Abri d'Urgence et distribution des NFI aux personnes déplacées internes au Nord Kivu
Congo, The Democratic Republic of the	09-HCR-033	UFE UNHCR	1,027,035	Protection/Human Rights/Rule of Law	2009	Protracted conflict related emergency	Renforcement du mécanisme de protection au bénéfice de ménages vulnérables au Nord et Sud Kivu.
Congo, The Democratic Republic of the	10-CEF-010-A	UFE UNICEF	999,562	Education	2010	Protracted conflict related emergency	Retour à l'école des enfants déplacés et autochtones dans les territoires de Shabunda et Kalehe au Sud-Kivu et de Lubutu au Maniema
Congo, The Democratic Republic of the	10-CEF-010-B	UFE UNICEF	2,500,082	Health - Nutrition	2010	Protracted conflict related emergency	Prise en charge de la malnutrition aigue en situation d'urgence dans les provinces du Maniema (Zone de sante de Kailo),
Congo, The Democratic Republic of the	10-CEF-010-C	UFE UNICEF	799,822	Protection/Human Rights/Rule of Law	2010	Protracted conflict related emergency	Prévention et Réponse aux Problèmes de Protection de l'Enfant en Urgence
Congo, The Democratic Republic of the	10-CEF-010-D	UFE UNICEF	610,644	Shelter and non-food items	2010	Protracted conflict related emergency	Assistance en Biens Non-Alimentaires et Restockage des Reserves d'Urgences du Cluster a Rotation Rapide
Congo, The Democratic Republic of the	10-CEF-057-B	UFE UNICEF	399,354	Protection/Human Rights/Rule of Law	2010	Protracted conflict related emergency	Prévention et réponse en urgence aux problèmes de protection des enfants dans les provinces de Sud Kivu et Nord Kivu
Congo, The Democratic Republic of the	09-CEF-044-A	UFE UNICEF	3,718,432	Multi-sector	2009	Protracted conflict related emergency	Renforcement de la réponse d'urgence en NFI et Watsan au Nord Kivu (PEAR) et Sud Kivu (Cluster NFI)

Country	Project	Win. Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Congo, The Democratic Republic of the	09-CEF-044-C	UFE UNICEF	312,721	Protection/Human Rights/Rule of Law	2009	Protracted conflict related emergency	Projet Intégré de sensibilisation et de protection des Enfants par les communautés dans les territoires de Mwenga, Kalehe et Shabunda dans la province du Sud Kivu.
Congo, The Democratic Republic of the	10-WFP-072	UFE WFP	1,400,000	Coordination and Support Services - Logistics	2010	Protracted conflict related emergency	Services Logistiques pour la Communauté Humanitaire dans les provinces Orientale, Nord et Sud Kivu
Congo, The Democratic Republic of the	09-WFP-045	UFE WFP	1,573,810	Coordination and Support Services - Logistics	2009	Protracted conflict related emergency	Réponse logistique coordonnée en réponse aux crises humanitaires du Haut Uélé et du Sud Kivu
Congo, The Democratic Republic of the	07-WFP-014	UFE WFP	3,400,460	Food	2007	Protracted conflict related emergency	Emergency food aid for vulnerable populations
Congo, The Democratic Republic of the	10-WHO-008	UFE WHO	303,056	Health	2010	Protracted conflict related emergency	Appui à l'amélioration de l'accessibilité et de la qualité des soins à la mère, au nouveau-né et à l'enfant dans deux zones de santé (Walikale et Pinga) de la province du nord Kivu
Congo, The Democratic Republic of the	10-WHO-068	UFE WHO	800,028	Health	2010	Protracted conflict related emergency	Projet d'appui d'urgence à la mise en place d'un paquet minimum d'activités et au renforcement du paquet complémentaire d'activités
Congo, The Democratic Republic of the	08-WHO-022	UFE WHO	1,000,001	Health	2008	Protracted conflict related emergency	Paquet minimum d'interventions essentielles pour la survie de la mère, du nouveau né et de l'enfant dans les situations d'urgences dans les provinces de l'Equateur, de Bandundu .
El Salvador	09-FAO-037	RR FAO	291,860	Agriculture	2009	Climate Related - Flood/Hurricanes	Immediate assistance to re-establish food production and the livelihoods of the vulnerable farmers affected by the Hurricane IDA in El Salvador.
El Salvador	09-IOM-030	RR IOM	100,008	Shelter and non-food items	2009	Climate Related - Flood/Hurricanes	Improving management of temporary Collective Centers SLV-09/S-NF/30998

Country	Project	Win.	Agency	CERFUS\$	Sector	Year	Emergency Type	Title
<i>El Salvador</i>	09-UDP-022	RR	UNDP	530,000	Shelter and non-food items	2009	Climate Related - Flood/Hurricanes	Emergency shelter SLV-09/SNF/31038
<i>El Salvador</i>	09-FPA-033	RR	UNFPA	119,867	Health	2009	Climate Related - Flood/Hurricanes	Restore and strengthen the capacity of the local primary health system to provide emergency reproductive health services SLV-09/H/31033
<i>El Salvador</i>	09-CEF-062-A	RR	UNICEF	171,173	Shelter and non-food items	2009	Climate Related - Flood/Hurricanes	Provide immediate attention to Children, Adolescents and Family affected by Hurricane IDA and living in collective centers SLV-09/S-NF/31000
<i>El Salvador</i>	09-CEF-062-C	RR	UNICEF	122,259	Water and sanitation	2009	Climate Related - Flood/Hurricanes	Provision of safe water and ensuring adequate hygiene and sanitation in the context of the emergency SLV-09/WS/31016
<i>El Salvador</i>	09-CEF-062-D	RR	UNICEF	133,215	Protection/Human Rights/Rule of Law	2009	Climate Related - Flood/Hurricanes	Psychosocial support to children in the immediate phase of emergencies SLV-09/P-HRRL/31036
<i>El Salvador</i>	09-WFP-072	RR	WFP	423,720	Food	2009	Climate Related - Flood/Hurricanes	Emergency Food Assistance for Populations Affected by Hurricane Ida
<i>El Salvador</i>	09-WHO-065	RR	WHO	289,818	Health	2009	Climate Related - Flood/Hurricanes	El Salvador Health Response to the Emergency in El Salvador to provide emergency health services SLV-09/H/31031
<i>El Salvador</i>	09-WHO-066	RR	WHO	303,907	Water and sanitation	2009	Climate Related - Flood/Hurricanes	The rehabilitation of the minimal conditions of communitarian infrastructure of water and sanitation SLV-09/WS/31005
<i>Guatemala</i>	10-FAO-029	RR	FAO	562,671	Agriculture	2010	Climate Related - Flood/Hurricanes	Immediate assistance to restore food production and livelihoods of farmers affected by the storm in Guatemala

Country	Project	Win.	Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Guatemala	09-FAO-031	RR	FAO	804,524	Agriculture	2009	Food Crisis	Immediate assistance to re-establish food production and the livelihoods of the vulnerable farmers affected by the drought in Guatemala
Guatemala	08-FAO-061	RR	FAO	287,528	Agriculture	2008	Climate Related - Flood/Hurricanes	Production Recovery of staple food of rural households affected by No. 16 storm in the Departments of Alta Verapaz, Quiché and Petén of Guatemala.
Guatemala	10-IOM-019	RR	IOM	438,979	Shelter and non-food items	2010	Climate Related - Flood/Hurricanes	Establishment and maintenance of basic living and sanitary conditions in temporary shelters for populations affected by Tropical Storm Agatha and the eruption of Pacaya Volcano in Guatemala
Guatemala	10-AID-003	RR	UNAIDS	43,335	Health	2010	Climate Related - Flood/Hurricanes	Saving lives and protecting the health of the population affected by Tropical Storm
Guatemala	10-FPA-022	RR	UNFPA	102,977	Protection/Human Rights/Rule of Law	2010	Climate Related - Flood/Hurricanes	Establishment and maintenance of basic living and sanitary conditions in temporary shelters for populations affected by Tropical Storm Agatha and the eruption of Pacaya Volcano in Guatemala
Guatemala	10-FPA-023	RR	UNFPA	172,052	Health	2010	Climate Related - Flood/Hurricanes	Saving lives and protecting the health of the population affected by Tropical Storm
Guatemala	09-FPA-027	RR	UNFPA	203,514	Health - Nutrition	2009	Food Crisis	Decrease the mortality from severe acute malnutrition and related diseases, 11 departments of Guatemala's "dry corridor"
Guatemala	08-FPA-044	RR	UNFPA	68,072	Health	2008	Climate Related - Flood/Hurricanes	Restore the health system's capacity to provide emergency reproductive health services in the affected counties of the departments of Peten, Izabal, Alta Verapaz and Quiche.
Guatemala	10-CEF-034-A	RR	UNICEF	262,364	Water and sanitation	2010	Climate Related - Flood/Hurricanes	Water, sanitation and environmental hygiene in affected communities
Guatemala	10-CEF-034-B	RR	UNICEF	112,350	Protection/Human Rights/Rule of	2010	Climate Related - Flood/Hurricanes	Establishment and maintenance of basic living and sanitary conditions in temporary shelters for populations affected by Tropical Storm Agatha and

Country	Project	Win. Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Guatemala	09-CEF-052-A	RR UNICEF	358,443	Health - Nutrition Law	2009	Food Crisis	the eruption of Pacaya Volcano in Guatemala
Guatemala	09-CEF-052-B	RR UNICEF	299,975	Water and sanitation	2009	Food Crisis	Attention to children identified with moderate and severe acute malnutrition
Guatemala	08-CEF-089	RR UNICEF	310,835	Water and sanitation	2008	Climate Related - Flood/Hurricanes	Water, sanitation and environmental hygiene in affected communities by drought
Guatemala	10-WFP-039	RR WFP	1,212,840	Food	2010	Climate Related - Flood/Hurricanes	Water, sanitation and environmental hygiene in affected communities
Guatemala	09-WFP-059	RR WFP	2,500,000	Food	2009	Food Crisis	Food assistance to people affected by floods, landslides and crop losses
Guatemala	08-WFP-075	RR WFP	603,297	Food	2008	Climate Related - Flood/Hurricanes	Food assistance to people affected by drought and crop losses
Guatemala	10-WHO-038	RR WHO	365,405	Health	2010	Climate Related - Flood/Hurricanes	Emergency assistance to food-insecure households affected by the tropical storm
Guatemala	10-WHO-039	RR WHO	103,095	Water and sanitation	2010	Climate Related - Flood/Hurricanes	Saving lives and protecting the health of the population affected by Tropical Storm
Guatemala	09-WHO-054	RR WHO	833,512	Health - Nutrition	2009	Food Crisis	Water, sanitation and environmental hygiene in affected communities
Guatemala	08-WHO-069	RR WHO	213,809	Health	2008	Climate Related - Flood/Hurricanes	Decrease the mortality from severe acute malnutrition and related diseases, 11 departments of Guatemala's "dry corridor"
Kenya	06-FAO-037	RR FAO	1,065,420	Agriculture	2006	Climate Related - Drought	Reduce the impact in the loss of life and health of the population due to floods in the Departments of Petén, El Quiché, Alta Verapaz e Izabal
Kenya	08-IOM-017	RR IOM	500,079	Shelter and non-food items	2008	Refugees/IDPs	Emergency Animal Health
Kenya	08-FPA-001-B	RR UNFPA	107,000	Protection/Human	2008	Protracted conflict	Emergency/ Transitional Shelter for displaced persons affected by post election violence in Kenya
							Emergency protection assistance for displaced

Country	Project	Win.	Agency	CERFUS\$	Sector	Year	Emergency Type	Title
<i>Kenya</i>	09-HCR-023	RR	UNHCR	1,602,183	Coordination and Support Services - Logistics	2009	Refugees/IDPs	Humanitarian Assistance to Refugees in Kenya
<i>Kenya</i>	08-HCR-001-C	RR	UNHCR	286,285	Protection/Human Rights/Rule of Law	2008	Protracted conflict related emergency	Camp Coordination and Camp Management (CCCM) for displaced persons affected by post elections violence in Kenya
<i>Kenya</i>	08-HCR-024	RR	UNHCR	398,040	Shelter and non-food items	2008	Refugees/IDPs	Emergency/ Transitional Shelter for displaced persons affected by post election violence in Kenya
<i>Kenya</i>	06-CEF-014	RR	UNICEF	1,570,080	Health	2006	Climate Related - Drought	Emergency outreach services in health and nutrition for children and women in ten worst drought affected districts in Kenya.
<i>Kenya</i>	06-CEF-267	RR	UNICEF	278,093	Water and sanitation	2006	Refugees/IDPs	Water development for Somali refugees influx to Dadaab Camp
<i>Kenya</i>	06-CEF-283	RR	UNICEF	588,500	Health	2006	Climate Related - Flood/Hurricanes	Response to increase in malnutrition related to communicable diseases and dietary inadequacy and support to flood affected households' nutritional needs.
<i>Kenya</i>	06-CEF-285	RR	UNICEF	178,690	Protection/Human Rights/Rule of Law	2006	Climate Related - Flood/Hurricanes	Protection of women and children
<i>Kenya</i>	10-WFP-046	RR	WFP	848,510	Multi-sector	2010	Refugees/IDPs	PRRO 10258.3 Food assistance to refugees in Kenya
<i>Kenya</i>	09-WFP-077	RR	WFP	5,000,000	Food	2009	Climate Related - Drought	Protracted relief and recovery operation for population affected by drought in Kenya
<i>Kenya</i>	08-WFP-002	RR	WFP	3,353,681	Food	2008	Protracted conflict related emergency	Food Assistance to displaced and affected populations
<i>Kenya</i>	09-WHO-026	RR	WHO	616,320	Health	2009	Refugees/IDPs	Emergency Response to cholera outbreak in 25 most affected districts in Nyanza and North-eastern areas

Country	Project	Win.	Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Kenya	06-WHO-005	RR	WHO	430,000	Health	2006	Climate Related - Drought	Health and Nutrition of Kenya
Kenya	10-FAO-007	UFE	FAO	1,519,931	Agriculture	2010	Protracted conflict related emergency	Emergency support to pastoral and agro-pastoral households affected by extreme climatic conditions KEN-10/A/29580
Kenya	09-IOM-020	UFE	IOM	176,015	Health	2009	Climate Related - Drought	Emergency Response to Cholera and Dysentery Outbreak in most affected Districts in Rift valley, Western and Nyanza Provinces of Kenya
Kenya	07-FPA-026	UFE	UNFPA	77,040	Health	2007	0	Safe motherhood and GBV
Kenya	08-HCR-009	UFE	UNHCR	3,439,500	Shelter and non-food items	2008	-	Protection and Assistance to Refugees in Kenya
Kenya	10-CEF-009-B	UFE	UNICEF	1,690,600	Water and sanitation	2010	Protracted conflict related emergency	WASH Cholera Response project KEN-10/WS/29124 / KEN-10/WS/29131
Kenya	09-CEF-038-C	UFE	UNICEF	1,300,000	Water and sanitation	2009	Climate Related - Drought	Gov of Kenya/Drought Intervention Project KEN-09/WS/20726/124
Kenya	09-WFP-043	UFE	WFP	3,900,000	Food	2009	Climate Related - Drought	Protecting and Rebuilding Livelihoods in the Arid and Semi-Arid areas (PRRO 106666.0) KEN-09/F/20738/561
Kenya	09-WHO-038	UFE	WHO	523,230	Health	2009	Climate Related - Drought	Emergency Response to epidemic diseases outbreaks in at least 8 districts and response complicated cases due to severe malnutrition
Lesotho	08-FAO-014	RR	FAO	239,438	Agriculture	2008	Disease	Emergency control of anthrax in Lesotho
Lesotho	08-FAO-029	RR	FAO	1,414,080	Agriculture	2008	Food Crisis	Mitigating the impact of soaring food prices on vulnerable farming households in Lesotho



Country	Project	Win.	Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Lesotho	07-FAO-027	RR	FAO	1,668,067	Agriculture	2007	Other	Assured access to quality agricultural inputs for 2007/2008
Lesotho	09-FPA-002	RR	UNFPA	181,900	Protection/Human Rights/Rule of Law	2009	Food Crisis	Prevention and management of sexual and gender based violence resulting from food crisis in Lesotho
Lesotho	08-FPA-027	RR	UNFPA	74,900	Protection/Human Rights/Rule of Law	2008	Food Crisis	Management of Gender Based Violence caused by the vulnerability of food crisis in Lesotho
Lesotho	07-FPA-018	RR	UNFPA	435,490	Health	2007	Climate Related - Drought	Emergency Response to support the Lesotho MoHSW in mitigating the health effects of the severe food shortage crisis on the most vulnerable populations
Lesotho	07-CEF-048	RR	UNICEF	710,748	Health	2007	Other	Improvement of the management and prevention of acute malnutrition
Lesotho	09-WFP-006	RR	WFP	393,055	Food	2009	Food Crisis	Social Protection and Food Assistance to Vulnerable Groups affected by high food prices in Lesotho
Lesotho	07-WFP-042	RR	WFP	1,455,200	Food	2007	Other	Provision of emergency food assistance
Lesotho	10-WHO-035	RR	WHO	645,959	Health	2010	Disease	Response to measles outbreak in Lesotho
Lesotho	08-WHO-044	RR	WHO	167,402	Health - Nutrition	2008	Food Crisis	Emergency response to support the Lesotho MoHSW in managing severe malnutrition due to increasing food prices in Lesotho
Lesotho	07-WHO-035	RR	WHO	472,565	Health	2007	Other	Emergency Response to support the Lesotho MoHSW in mitigating the health effects of the severe food shortage crisis on the most vulnerable populations
Mongolia	10-FAO-015	RR	FAO	600,000	Agriculture	2010	Cold/Heat Waves	Emergency livestock input support to Dzud-affected herders in protection of their food security and livelihoods
Mongolia	10-UDP-006	RR	UNDP	1,524,430	Health	2010	Cold/Heat Waves	Immediate removal of 1.5 million livestock carcasses

Country	Project	Win. Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Mongolia	10-FPA-014	RR UNFPA	242,461	Health - Nutrition	2010	Cold/Heat Waves	in Dzud affected communities under the poverty line to avoid immediate health and associated risks
Mongolia	10-CEF-018	RR UNICEF	963,803	Multi-sector	2010	Cold/Heat Waves	Provision of Emergency Reproductive Health support to Dzud affected population in Mongolia focusing on vulnerable women and girls
Mongolia	10-WHO-018	RR WHO	225,838	Health	2010	Cold/Heat Waves	Provision of life emergency medical supplies, food and fuel for most vulnerable children and pregnant women in the disaster and severely affected 133 soums
Mongolia	08-FAO-057	RR FAO	205,698	Agriculture	2008	Climate Related - Flood/Hurricanes	Provision of psycho-social support, emergency communication tools and medical supplies to the disaster and severely affected by Dzud aimags
Nepal	08-IOM-026	RR IOM	200,020	Shelter and non-food items	2008	Climate Related - Flood/Hurricanes	Emergency livestock support for flood affected farmers. NEP-08-1/A02
Nepal	08-CHR-001	RR OHCHR	40,376	Protection/Human Rights/Rule of Law	2008	Climate Related - Flood/Hurricanes	Provision of NFIs/Shelter NEP-08-01/S/NF03
Nepal	08-FPA-039	RR UNFPA	272,000	Health	2008	Climate Related - Flood/Hurricanes	Human Rights monitoring and protection programme for displaced Population NEP-08-1/P/HR/RL01 NEP-08-1/P/HR/RL02
Nepal	08-CEF-080-B	RR UNICEF	197,950	Water and sanitation	2008	Climate Related - Flood/Hurricanes	Providing essential Reproductive Health care for women, men and adolescents affected by flood in Sunsari and Saptari NEP-08-01/H03
Nepal	08-CEF-080-B	RR UNICEF	197,950	Water and sanitation	2008	Climate Related - Flood/Hurricanes	Provide temporary learning to displaced children

Country	Project	Win.	Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Nepal	08-CEF-080-C	RR	UNICEF	129,200	Shelter and non-food items	2008	Climate Related - Flood/Hurricanes	Supply and distribution of NFIs for children and women NEP-08-1/S/NF01
Nepal	08-CEF-085	RR	UNICEF	650,029	Health - Nutrition	2008	Food Crisis	Community-based management of acute malnutrition in four most food insecure districts in Mid and Far Western hills and mountains
Nepal	09-WFP-075	RR	WFP	6,000,000	Food	2009	Protracted conflict related emergency	Assistance to Vulnerable Populations Affected by Conflict and High Food Prices in Nepal (PRRO 10676)
Nepal	08-WFP-071	RR	WFP	1,449,495	Food	2008	Food Crisis	Food Assistance for Populations Affected by Conflict and High Food Prices in Nepal
Nepal	08-WFP-103	RR	WFP	1,001,809	Food	2008	Climate Related - Flood/Hurricanes	PRRO 10676.0 - Food Assistance for Conflict-Affected Populations in Nepal – expanded to provide emergency food assistance for flood-affected populations NEP-08-1/F01
Nepal	07-WFP-073	RR	WFP	1,000,000	Food	2007	0	Food Assistance for Conflict-Affected Populations in Nepal
Nepal	08-WHO-066	RR	WHO	300,000	Health	2008	Climate Related - Flood/Hurricanes	Emergency Health Response NEP-08-01/H02
Nepal	08-FAO-002	UFE	FAO	400,000	Agriculture	2008	-	Urgent Food Security Assistance to Vulnerable Farming Families NEP-08/A01
Nepal	10-HAB-008	UFE	UN Habitat	146,760	Health	2010	Protracted conflict related emergency	Saving lives of deprived population affected by flooding and diarrhoea/cholera epidemic through improvement of WASH facilities and hygienic

Country	Project	Win.	Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Nepal	10-FPA-043	UFE	UNFPA	235,871	Health	2010	Protracted conflict related emergency	Emergency life saving mobile reproductive health services in the remotest and conflict affected districts of Nepal
Nepal	08-HCR-013	UFE	UNHCR	500,852	Multi-sector	2008	-	Care and Maintenance Programme for Bhutanese Refugee
Nepal	10-CEF-056-A	UFE	UNICEF	415,327	Health - Nutrition	2010	Protracted conflict related emergency	Nutrition Section of MOHP and NGOs (Youth for world Nepal and Nepal Public Health and Education Group)
Nepal	10-CEF-056-B	UFE	UNICEF	353,343	Health	2010	Protracted conflict related emergency	Saving lives of deprived population affected by flooding and diarrhoea/cholera epidemic through improvement of WASH facilities and hygienic behaviour
Nepal	10-WFP-071	UFE	WFP	520,978	Food	2010	Protracted conflict related emergency	Assistance to Vulnerable Populations Affected by Conflict, Natural Disasters and High Food Prices in Nepal
Nepal	08-WHO-009	UFE	WHO	300,000	Health	2008	-	Health Interventions in Crisis (HIC) NEP-08/H11
Niger	10-FAO-024	RR	FAO	1,201,277	Agriculture	2010	Food Crisis	Support to vulnerable households affected by natural disaster
Niger	08-FAO-051	RR	FAO	760,001	Agriculture	2008	Food Crisis	Assistance to vulnerable households affected by the rising prices of food and agricultural inputs REVISED WA-08/H10
Niger	10-CEF-027-A	RR	UNICEF	3,755,219	Health - Nutrition	2010	Food Crisis	Emergency Nutrition for child survival in Niger: scaling up and improving the quality of management of acute malnutrition among children

Country	Project	Win.	Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Niger	10-CEF-027-B	RR	UNICEF	510,309	Water and sanitation	2010	Food Crisis	Development of a WASH response for communities affected by floods, diarrhoeal and cholera outbreaks, and launching of WASH
Niger	08-CEF-071	RR	UNICEF	98,816	Health - Nutrition	2008	Food Crisis	Emergency Nutrition for Child Survival in Niger REVISED WA-08/H10
Niger	10-WFP-030	RR	WFP	832,600	Coordination and Support Services - Logistics	2010	Food Crisis	Logistics Augmentation in support of PRRO 10611.0
Niger	09-WFP-009	RR	WFP	189,142	Coordination and Support Services - Telecom and Data	2009	Other	Provision of common emergency telecommunication services to the humanitarian community in Niger
Niger	09-WFP-048	RR	WFP	1,845,247	Health - Nutrition	2009	Disease	Improving the nutritional status and reinforcing livelihoods of vulnerable populations in Niger WA 09/F/24464/R
Niger	09-WFP-060	RR	WFP	2,225,096	Food	2009	Climate Related - Flood/Hurricanes	Emergency Food Assistance to flood-affected populations in Agadez region WA-09/H/27751/R
Niger	08-WFP-096	RR	WFP	839,956	Health - Nutrition	2008	Food Crisis	Scaling up nutrition activities in Zinder Region
Niger	06-WFP-018	RR	WFP	5,503,823	Food	2006	Protracted conflict related emergency	Strengthening the means of subsistence of vulnerable populations and targeted assistance for malnourished children
Niger	10-WHO-029	RR	WHO	525,900	Health - Nutrition	2010	Food Crisis	Emergency nutrition intervention for saving life of severe malnourished children in Niger
Niger	09-WHO-008	RR	WHO	1,237,088	Health	2009	Disease	Project for emergency health intervention to control the meningitis outbreak in Niger
Niger	09-FAO-006	UFE	FAO	509,281	Agriculture	2009	Refugees/IDPs	Assistance à la réhabilitation des moyens de subsistance durable des éleveurs

Country	Project	Win. Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Niger	08-FAO-007	UFE	1,500,000	Agriculture	2008	-	WA-09/A/21547/123 Assistance for the rehabilitation of flooded areas and sustainable livelihood recovery for food insecure populations in Niger
Niger	08-FPA-007	UFE	500,000	Health	2008	-	WA-08/H20 A, B, C, D & E Crisis prevention and management through the improvement of reproductive health of women of child-bearing age in Niger
Niger	10-CEF-005	UFE	1,000,000	Health - Nutrition	2010	Protracted conflict related emergency	Emergency Nutrition for child survival in Niger: scaling up and improving the quality of management of acute malnutrition among children under-five CODE: WA-10/H/27197/1
Niger	09-CEF-010	UFE	1,000,001	Health - Nutrition	2009	Refugees/IDPs	Emergency Nutrition for Child Survival in Niger WA-09/H/21186/124
Niger	10-WFP-008	UFE	2,999,924	Health - Nutrition	2010	Protracted conflict related emergency	Improving the nutritional status and reinforcing livelihoods of vulnerable populations in Niger (Blanket feeding for < 2 yrs) WA-10/F/27736/561
Niger	09-WFP-014	UFE	1,193,774	Health - Nutrition	2009	Refugees/IDPs	Improving the nutritional status and reinforcing livelihoods of vulnerable populations in Niger
Niger	07-WFP-046	UFE	1,000,022	Food	2007	0	PRRO 10611.0- Improving the nutritional status and reinforcing livelihoods of vulnerable populations in Niger
Niger	09-WHO-006	UFE	176,546	Health - Nutrition	2009	Refugees/IDPs	Improving health facilities case management of medical complications of severe under-nutrition

Country	Project	Win. Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Pakistan	07-FAO-025	RR	417,300	Agriculture	2007	New Crises	WA-09/H21902/122 Support for the Restoration of Crop Production and Food Availability
Pakistan	07-IOM-017	RR	100,000	Coordination and support services	2007	0	Rapid Disaster Logistics Response Distribution, Assessment and Monitoring at District Level through Rapid Response Teams
Pakistan	10-HAB-003	RR	299,999	Water and sanitation	2010	Refugees/IDPs	Improving living conditions of IDPs off camps through WASH interventions in NWFP PKA-10/WWS/27937/7039
Pakistan	08-HAB-004	RR	886,923	Shelter and non-food items	2008	Earthquakes/Tsunamis	Shelter Provision for Baluchistan Earthquake
Pakistan	10-UDP-023	RR	501,569	Security	2010	Climate Related - Flood/Hurricanes	Safety & Security of Humanitarians and IDPs PKA-FL-10/CSS/34492/R and PKA-FL-10/CSS/35602/R
Pakistan	08-ESC-005	RR	27,026	Education	2008	Earthquakes/Tsunamis	Education Intervention in Earthquake Worst-Affected District of Ziarat in Balochistan Province
Pakistan	10-FPA-019	RR	149,265	Protection/Human Rights/Rule of Law	2010	Refugees/IDPs	GBV Response and support for addressing urgent Protection needs of women and girls in Emergency Response for IDPs/returnees in NWFP UNFPA/UNIFEM PAK-08/H06; CERF 2010
Pakistan	08-FPA-045	RR	71,792	Health	2008	Earthquakes/Tsunamis	Implementation of Minimum Initial Service package (MISP) interventions for provision of Maternal, Neonatal and Child Health care services in earthquake affected area in Baluchistan, Pakistan
Pakistan	07-HCR-016	RR	622,468	Shelter and non-	2007	Other	NFI Distribution

Country	Project	Win.	Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Pakistan	10-CEF-025-A	RR	UNICEF	645,745	Health - Nutrition food items	2010	Refugees/IDPs	Emergency Nutrition Services in IDP camps, host communities and places of return
Pakistan	10-CEF-048-B	RR	UNICEF	1,285,659	Water and sanitation	2010	Climate Related - Flood/Hurricanes	Provision of Water, Sanitation and Hygiene Services to Flood Affected Population in Punjab, Sindh, Khyber Pakhtunkhwa, Balochistan, Pakistan Administered Kashmir and Gilgit-Baltistan
Pakistan	10-CEF-058-B	RR	UNICEF	1,500,000	Health - Nutrition	2010	Climate Related - Flood/Hurricanes	Nutrition interventions in support of the implementation of the inter-cluster Survival Strategy
Pakistan	09-CEF-028-D	RR	UNICEF	241,990	Education	2009	Refugees/IDPs	Support on-going primary education services in 11 IDP camps and in 60 primary schools in host communities
Pakistan	07-CEF-047	RR	UNICEF	1,287,451	Water and sanitation	2007	Climate Related - Flood/Hurricanes	Provision of Safe Drinking Water, Adequate Sanitation and Hygiene to Flood-Affected Population of Balochistan and Sindh.
Pakistan	10-FEM-002	RR	UNIFEM	149,265	Protection/Human Rights/Rule of Law	2010	Refugees/IDPs	GBV Response and support for addressing urgent Protection needs of women and girls in Emergency Response for IDPs/returnees in NWFP UNFPA/UNIFEM PAK-08/H06; CERF 2010
Pakistan	10-WFP-062	RR	WFP	2,500,003	Food	2010	Climate Related - Flood/Hurricanes	Emergency Food Assistance to Families Affected by Monsoon Floods in Pakistan
Pakistan	09-WFP-028	RR	WFP	2,766,191	Food	2009	Refugees/IDPs	Food Assistance to Internally Displaced Persons in NWFP and FATA. PAK-08/F01
Pakistan	10-WHO-028	RR	WHO	53,500	Health - Nutrition	2010	Refugees/IDPs	Emergency Health and nutrition intervention in crisis -affected and IDP hosting areas of NWFP



Country	Project	Win.	Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Pakistan	10-WHO-056	RR	WHO	1,238,000	Health	2010	Climate Related - Flood/Hurricanes	Emergency Primary Health Care for flood affected population in Khyber Pakhtunkhwa, Sindh, Balochistan and Punjab provinces focusing on lifesaving interventions in the health response
Pakistan	10-WHO-069	RR	WHO	1,300,000	Health	2010	Climate Related - Flood/Hurricanes	Implementation of the inter-cluster Survival Strategy
Pakistan	08-FAO-006	UFE	FAO	1,500,000	Agriculture	2008	-	Emergency assistance to crop production and livestock protection and strengthening to rapidly restore agricultural based livelihoods in flood-affected areas of Balochistan and Sindh
Pakistan	08-IOM-009	UFE	IOM	517,496	Shelter and non-food items	2008	-	Emergency Shelter Kit Procurement and Distribution
Pakistan	08-HAB-001	UFE	UN Habitat	36,380	Shelter and non-food items	2008	-	Emergency Shelter Kit Procurement and Distribution
Pakistan	08-HCR-006	UFE	UNHCR	1,100,000	Multi-sector	2008	-	Care & Maintenance of Afghan Refugees in Pakistan
Pakistan	08-CEF-014-B	UFE	UNICEF	700,000	Water and sanitation	2008	-	WASH Interventions in Flood Affected Areas of Sindh and Balochistan
Pakistan	08-WFP-020	UFE	WFP	963,458	Food	2008	-	Assistance to flood affected populations in Balochistan
Pakistan	08-WHO-019	UFE	WHO	1,171,191	Health	2008	-	Emergency health interventions and outbreak response and control in flood affected areas
Philippines	06-FAO-331	RR	FAO	100,000	Agriculture	2006	Climate Related - Flood/Hurricanes	Emergency Relief Assistance to Victims of Typhoon Durian
Philippines	09-IOM-019	RR	IOM	991,743	Multi-sector	2009	Protracted conflict related emergency	Multi-Sectoral Emergency Support for Mobile and Vulnerable Populations in Mindanao
Philippines	06-IOM-333	RR	IOM	250,000	Shelter and non-food items	2006	Climate Related - Flood/Hurricanes	Emergency Relief Assistance to Victims of Typhoon Durian
Philippines	06-UDP-329	RR	UNDP	350,000	Multi-sector	2006	Climate Related -	Emergency Relief Assistance to Victims of Typhoon

Country	Project	Win.	Agency	CERFUS\$	Sector	Year	Emergency Type	Title
<i>Philippines</i>	09-FPA-019	RR	UNFPA	173,233	Health	2009	Protracted conflict related emergency Flood/Hurricanes	Durian Addressing the Reproductive Health Needs of the IDPs in Mindanao
<i>Philippines</i>	09-FPA-028	RR	UNFPA	183,847	Health	2009	Climate Related - Flood/Hurricanes	Reproductive Health Care for Women of Reproductive Age PHL-09/H/27825
<i>Philippines</i>	09-CEF-035-C	RR	UNICEF	313,424	Protection/Human Rights/Rule of Law	2009	Protracted conflict related emergency	Protection of Displaced Children
<i>Philippines</i>	08-CEF-072-A	RR	UNICEF	212,788	Protection/Human Rights/Rule of Law	2008	Protracted conflict related emergency	Ensuring the Safety and Unity of Displaced Families and Providing Psycho-social Support to Mothers and their Children
<i>Philippines</i>	08-CEF-072-B	RR	UNICEF	330,630	Water and sanitation	2008	Protracted conflict related emergency	WASH - Emergency Relief Assistance to Victims of Complex Emergency in Central Mindanao
<i>Philippines</i>	06-CEF-332	RR	UNICEF	350,000	Shelter and non-food items	2006	Climate Related - Flood/Hurricanes	Emergency Relief Assistance to Victims of Typhoon Durian - Emergency Family Care and Support Packages
<i>Philippines</i>	09-WFP-062	RR	WFP	228,000	Coordination and Support Services - Telecom and Data	2009	Climate Related - Flood/Hurricanes	Logistics and Emergency Telecommunication Cluster activities in support of the Government of the Philippines and the Humanitarian community's response to Tropical Storm Ketsana
<i>Philippines</i>	09-WFP-063	RR	WFP	500,000	Coordination and Support Services - UNHAS	2009	Climate Related - Flood/Hurricanes	Air Support to the Humanitarian Response (Provision of Air Services in support to the Humanitarian Community's response to Tropical Storm Ketsana)
<i>Philippines</i>	08-WFP-097	RR	WFP	619,448	Food	2008	Protracted conflict related emergency	Immediate Support to Conflict-affected Populations in Mindanao
<i>Philippines</i>	08-WHO-060	RR	WHO	359,104	Health	2008	Protracted conflict	Emergency Relief Assistance to Victims of Armed

Country	Project	Win.	Agency	CERFUS\$	Sector	Year	Emergency Type	Title
<i>Philippines</i>	06-WHO-326	RR	WHO	357,500	Health	2006	related emergency	Conflict in Central Mindanao
<i>Philippines</i>	10-FAO-014	UFE	FAO	210,536	Agriculture	2010	Earthquakes/Tsunamis	Emergency Relief Assistance to Philippine Typhoon Victims
<i>Philippines</i>	10-IOM-009	UFE	IOM	373,568	Camp Management	2010	Protracted conflict related emergency	Livelihood Restoration and Improved Food Security of Internally Displaced People in Conflict-Affected Communities of Mindanao
<i>Philippines</i>	10-FPA-013	UFE	UNFPA	147,462	Multi-sector	2010	Protracted conflict related emergency	Camp Coordination and Camp Management (CCCM) and Protection Support to Vulnerable Families in Conflict Affected Areas in Central Mindanao
<i>Philippines</i>	10-HCR-016	UFE	UNHCR	101,082	Protection/Human Rights/Rule of Law	2010	Protracted conflict related emergency	Reproductive Health Care for the IDPs in Mindanao
<i>Philippines</i>	10-CEF-017	UFE	UNICEF	788,871	Multi-sector	2010	Protracted conflict related emergency	Assistance to Internally Displaced Persons (IDPs) in Mindanao area
<i>Philippines</i>	10-WFP-022	UFE	WFP	713,032	Food	2010	Protracted conflict related emergency	Multi cluster Humanitarian response to the Protracted Mindanao Emergency
<i>Philippines</i>	10-WHO-017	UFE	WHO	288,552	Health	2010	Protracted conflict related emergency	Immediate Support to Conflict Affected Populations in Mindanao
<i>Somalia</i>	06-FAO-010-E	RR	FAO	600,000	Agriculture	2006	Climate Related - Drought	Emergency health assistance to the affected populations of the complex emergency in Central Mindanao
<i>Somalia</i>	06-FAO-042	RR	FAO	287,664	Agriculture	2006	Climate Related - Drought	Immediate support to pastoral communities as a drought mitigation response
<i>Somalia</i>	06-FAO-282	RR	FAO	508,200	Agriculture	2006	Climate Related - Flood/Hurricanes	Immediate support to pastoral communities as a drought mitigation response
<i>Somalia</i>								Emergency Livelihood support to flood-affected riverine farmers

Country	Project	Win.	Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Somalia	07-UDP-017	RR	UNDP	1,091,400	Multi-sector	2007	Other	Somalia Humanitarian response fund
Somalia	09-HCR-040	RR	UNHCR	1,050,740	Shelter and non-food items	2009	Protracted conflict related emergency	Provision of fire-retardant temporary shelters for IDPs SOM-09/S-NF/22305/120
Somalia	09-HCR-044	RR	UNHCR	1,503,671	Shelter and non-food items	2009	Protracted conflict related emergency	Emergency provision of Non Food Items (NFIs) SOM-10/S-NF/29003
Somalia	09-CEF-067-B	RR	UNICEF	276,053	Protection/Human Rights/Rule of Law	2009	Protracted conflict related emergency	Protection of Children Affected by Armed Conflict in Central and Southern Somalia
Somalia	07-CEF-041	RR	UNICEF	1,716,548	Shelter and non-food items	2007	Refugees/IDPs	Provision of essential NFIs to displaced and evicted Affected population
Somalia	07-CEF-081-A	RR	UNICEF	1,353,919	Water and sanitation	2007	Other	Emergency Provision of Safe Water and Sanitation and Hygiene Services
Somalia	07-CEF-081-B	RR	UNICEF	246,100	Health	2007	Disease	Improved access to lifesaving health services, including measles vaccination
Somalia	07-WFP-035	RR	WFP	2,939,195	Coordination and Support Services - UNHAS	2007	Climate Related - Flood/Hurricanes	Air support of Drought, flood and conflict response activities
Somalia	07-WFP-069	RR	WFP	2,025,308	Food	2007	Protracted conflict related emergency	Food Aid for Relief and Recovery
Somalia	06-WFP-009	RR	WFP	852,000	Food	2006	Climate Related - Drought	Somalia PRRO 10191.0 Food aid for relief and recovery
Somalia	06-WFP-043-A	RR	WFP	500,000	Food	2006	-	Emergency School Feeding for the Drought-Affected Population of Southern and Central Somalia
Somalia	06-WFP-287	RR	WFP	2,837,000	Multi-sector	2006	Climate Related - Flood/Hurricanes	Air operations in support of inter-agency flood response in Somalia - Food and non-food relief

Country	Project	Win.	Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Somalia	06-WFP-310	RR	WFP	3,011,841	Coordination and Support Services - UNHAS	2006	Climate Related - Flood/Hurricanes	Air Drops of Food aid in support of Flood Response in Somalia
Somalia	09-WHO-037	RR	WHO	2,000,000	Health	2009	Protracted conflict related emergency	Provision of emergency life-saving health care services to the displaced and host population in areas affected by conflict and natural disaster Linked to SOM-09/H/22313/122 & /H/23307/122
Somalia	09-WHO-060	RR	WHO	786,673	Health	2009	Protracted conflict related emergency	Emergency response to measles outbreaks among children in Mogadishu particularly in internally displaced communities Linked to 22313/R/122
Somalia	07-WHO-026	RR	WHO	900,405	Health	2007	Disease	Communicable disease/Cholera outbreak response
Somalia	09-FAO-004	UFE	FAO	2,500,000	Agriculture	2009	Protracted conflict related emergency	Integrated Cash for Work & Productive Assets Rehabilitation/transfer in Support of Populations in Food Security Crisis in Mudug & Galgaduud Regions of Central Southern Somalia. SOM-09/A/23258/123
Somalia	07-UDP-001	UFE	UNDP	1,000,000	Security	2007	-	Enhanced Security for UN Personnel in Somalia
Somalia	09-CEF-008-A	UFE	UNICEF	2,399,999	Water and sanitation	2009	Protracted conflict related emergency	Water, sanitation and hygiene assistance for populations in Somalia affected by conflict and disaster (natural and economic). SOM-09/WWS/23289/124
Somalia	09-OPS-003	UFE	UNOPS	1,000,000	Coordination and Support Services - Logistics	2009	Protracted conflict related emergency	Rehabilitation of Airstrips SOM-09/ER/23315
Somalia	09-WFP-011	UFE	WFP	2,500,000	Coordination and Support Services - UNHAS	2009	Protracted conflict related emergency	Provision of subsidised humanitarian air-bridge for passengers from Kenya to Somalia and within Somalia.

Country	Project	Win. Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Yemen	08-FAO-038	RR	499,999	Agriculture	2008	Food Crisis	SOM-09/LOG(1490) Input supply to poor farmers
Yemen	09-IOM-032	RR	656,766	Protection/Human Rights/Rule of Law	2009	Protracted conflict related emergency	Emergency Assistance to stranded Ethiopians in Yemen
Yemen	09-UNDP-019	RR	342,475	Security	2009	Protracted conflict related emergency	Strengthening UN Security measures for UN system in Yemen
Yemen	08-FPA-043	RR	50,000	Protection/Human Rights/Rule of Law	2008	Climate Related - Flood/Hurricanes	Prevention of and response to Gender-Based Violence (GBV) and provision of dignity items among flood-affected populations YEM/08-PROT03
Yemen	08-HCR-003	RR	932,831	Protection/Human Rights/Rule of Law	2008	Refugees/IDPs	Protection of IDPs and returnees in Sa'ada Governorate
Yemen	09-CEF-036-D	RR	156,220	Education	2009	Protracted conflict related emergency	Supporting IDP children access to education in affected areas
Yemen	08-CEF-083	RR	529,975	Health - Nutrition	2008	Food Crisis	Medication and Rehydration Solution for Severely Malnourished Children under five years of age nation wide in Yemen
Yemen	07-CEF-064	RR	586,493	Water and sanitation	2007	Protracted conflict related emergency	Emergency requirements in Water & sanitation sector for Sa'ada governorate/Yemen (Supply, training and hygiene activities)
Yemen	09-WFP-042	RR	945,255	Food	2009	Protracted conflict related emergency	Humanitarian Assistance to IDPs in Sa'ada
Yemen	08-WFP-070	RR	1,300,010	Food	2008	Food Crisis	Targeted food support to vulnerable groups affected by high food prices
Yemen	08-WHO-068	RR	313,200	Health - Nutrition	2008	Climate Related - Flood/Hurricanes	Emergency requirements of the health sector for Hadramout and Al Mahra governorates - Yemen

Country	Project	Win. Agency	CERFUS\$	Sector	Year	Emergency Type	Title
Yemen	10-FAO-041	UFE FAO	357,209	Agriculture	2010	Protracted conflict related emergency	Emergency provision of livestock feed and veterinary drugs and medicines to IDPs and their host families in the conflict affected northern governorates of Yemen
Yemen	10-IOM-025	UFE IOM	91,977	Water and sanitation	2010	Protracted conflict related emergency	Emergency Water and Hygiene Assistance to conflict-affected IDPs and IDP host communities in Al-Jawf
Yemen	09-IOM-012	UFE IOM	680,000	Shelter and non-food items	2009	Protracted conflict related emergency	Disaster Response and Humanitarian Assistance to IDPs Yemen YEM-08/CSS01
Yemen	10-FPA-009	UFE UNFPA	330,810	Health	2010	Protracted conflict related emergency	Emergency Reproductive Health Response in conflict affected areas of Yemen YEM 10/H/28015
Yemen	10-FPA-039	UFE UNFPA	200,090	Protection/Human Rights/Rule of Law	2010	Protracted conflict related emergency	Protection and psycho-social support of displaced women and girls in Sa'ada conflict affected areas of Yemen
Yemen	10-HCR-007	UFE UNHCR	140,000	Multi-sector	2010	Protracted conflict related emergency	Protection Service Delivery to IDPs in Conflict-Affected Areas YEM-10/P-HR-RL/29271/120
Yemen	09-HCR-016	UFE UNHCR	1,088,001	Protection/Human Rights/Rule of Law	2009	Protracted conflict related emergency	Protection and shelter assistance to IDPs and returnees in Sa'ada, Sana'a, and Amran Governorates
Yemen	10-CEF-013-A	UFE UNICEF	567,100	Health - Nutrition	2010	Protracted conflict related emergency	Management of acute malnutrition in children under-five among IDPs and host families in selected districts of Amran governorate YEM-10/H/28314
Yemen	10-CEF-053-A	UFE UNICEF	502,040	Education	2010	Protracted conflict related emergency	Increase Access to Quality Education for Children of Vulnerable Groups including IDPs in northern

<i>Country</i>	<i>Project</i>	<i>Win. Agency</i>	<i>CERFUS\$</i>	<i>Sector</i>	<i>Year</i>	<i>Emergency Type</i>	<i>Title</i>
Yemen	09-CEF-024-B	UFE UNICEF	139,100	Health	2009	Protracted conflict related emergency	Yemen Strengthening health interventions in Sa'ada and Hadhramout governorates
Yemen	10-WFP-068	UFE WFP	2,500,000	Food	2010	Protracted conflict related emergency	Targeted Emergency Food Support to Vulnerable Groups in Yemen
Yemen	10-WHO-012	UFE WHO	1,100,000	Health	2010	Protracted conflict related emergency	Support to primary health care services to facilitate delivery of essential health care to the affected communities YEM-10/H/27872



## ANNEX 8: APPROACH TO GENDER ANALYSIS

Gender analysis is often more noted for its absence than its presence. The team propose to approach gender analysis of the project portfolio in an approach similar to that used by HelpAge in their recent study of humanitarian funding for the elderly (HelpAge International, 2010). Essentially this approach examines the extent to which the topic of interest has been considered in the project portfolio and reflects this as a percentage of projects and of funding.

The team will use the IASC Gender Marker (IASC, 2010b) to score the projects using the marking strategy set out in the coding tip sheet (IASC, 2010a). The team are adopting this approach for coherence with present practice on pooled funding. However, it should be noted that the gender marker is intended to be used proactively, to encourage attention to gender, rather than retroactively as the team are planning.

The IASC gender marker employs four codes (Table 14) to classify the gender content of projects. While recent applications for CERF funding may already include a gender marker this will not be the case for the majority of the portfolio, and the team will have to review the project document to assign a gender marker. This will be done for all projects in both the desk-study and field visit countries.

In addition the team will check the gender marker for any project which have been allocated one to verify that the marking is valid.

<b>Gender Marker</b>	<b>Description</b>
<b>Gender Code 0</b>	Gender is <b>not reflected</b> in any component of the project.
<b>Gender Code 1</b>	The project is designed to contribute in <b>some limited way</b> to gender equality. Gender dimensions are meaningfully included in only one or two of the three essential components: needs assessment, activities and outcomes.
<b>Gender Code 2a</b> <i>Gender Mainstreaming</i>	The project is designed to <b>contribute significantly</b> to gender equality. The different needs of women/girls and men/boys have been analysed and integrated well in all three essential components: the needs assessment activities and outcomes.
<b>Gender Code 2b</b> <i>Targeted Actions</i>	The <b>principal purpose</b> of the project is to advance gender equality. The entire project either: <ol style="list-style-type: none"> <li>a) Targets women or men, girls or boys who have special needs or suffer from discrimination</li> <li>b) Focuses all activities on building gender-specific services or more equal relations between women and men.</li> </ol>

Table 14: The IASC Gender Marker

As with the following two tools, it is proposed to conduct this analysis on a subset of CERF projects. The analysis should show the extent to which these issues have been considered at the design stage. It will not provide a thorough analysis of how well these issues have been addressed in implementation.

## ANNEX 9: APPROACH TO VULNERABILITY

The following vulnerability marker has been developed from the Gender Marker and incorporates the same scoring system. One difference is that targeted actions on vulnerability are only scored as such is they address more than one aspect of vulnerability. Thus a livelihood programme for all widows, without regard to the existing livelihood status would be scored 2a rather than 2b.

Vulnerability may be related to many factors, including the following:

- Age, particularly children under five and the elderly.
- Gender (specifically addressed under the gender marker).
- Income status and economic status.
- Physical or mental disability.
- Ethnicity (in a particular social context).
- Land tenure.
- HIV/AIDS status or Health status.
- Social status or caste.
- Livelihood.

Depending on the context, other factors may influence vulnerability.

<b><i>Vulnerability Marker</i></b>	<b><i>Description</i></b>
<b><i>Vulnerability Code 0</i></b>	The special needs of vulnerable persons or groups are <b>not reflected</b> in any component of the project.
<b><i>Vulnerability Code 1</i></b>	The project is designed to contribute in <b>some limited way</b> to addressing the needs of vulnerable individual or groups. Vulnerability status is meaningfully included in only one or two of the three essential components: needs assessment, activities and outcomes.
<b><i>Vulnerability Code 2a</i></b> <i>Vulnerability Mainstreaming</i>	The project is designed to <b>contribute significantly</b> to addressing the needs of the vulnerable. The needs of the vulnerable have been analysed and integrated well in all three essential components: the needs assessment activities and outcomes. This category includes projects which only target one aspect of vulnerability, while being blind to others.
<b><i>Vulnerability Code 2b</i></b> <i>Targeted Actions</i>	The <b>principal purpose</b> of the project is to address the needs of the vulnerable and considers multiple sources of vulnerability. The entire project either: <ol style="list-style-type: none"> <li>a) Targets specific vulnerable groups which paying attention to at least one other aspects of vulnerability (i.e . a project for children under-five would pay particular attention to those who are also disabled or for one-parent families etc).</li> <li>b) Focuses all activities on reducing vulnerability and exclusion.</li> </ol>

## ANNEX 10: APPROACH TO CROSS CUTTING ISSUES

The team will use a similar approach to cross cutting issues, again using a ranking system similar to the gender marker. Again, as with vulnerability, there is some overlap with gender and vulnerability. The main cross-cutting themes<sup>14</sup> (other than Gender and Vulnerability) it is proposed to examine are:

- Protection (which is also a cluster on it's own)
- Participation of the affected population
- Environment
- Coping strategies and resilience
- Disaster Risk Reduction
- Capacity building of local capacity
- HIV/AIDS (assistance for those living with HIV/AIDS will be covered under vulnerability, this addresses topics such as awareness and prevention)
- Human resources

<b>Cross-cutting Marker</b>	<b>Description</b>
<b>Cross-cutting Code 0</b>	Cross-cutting issues are <b>not reflected</b> in any component of the project.
<b>Cross-cutting Code 1</b>	The project is designed to contribute in <b>some limited way</b> to addressing or more cross-cutting issues. Cross-cutting issues are meaningfully included in only one or two of the three essential components: needs assessment, activities and outcomes.
<b>Cross-cutting Code 2a</b> <i>Cross-cutting Mainstreaming</i>	The project is designed to <b>contribute significantly</b> to addressing one of the cross –cutting issues. At least one cross-cutting issues has been analysed and integrated well in all three essential components: the needs assessment activities and outcomes. This category includes projects which only target only one cross-cutting issue without regard to the others.
<b>Cross-cutting Code 2b</b> <i>Targeted Actions</i>	The <b>principal purpose</b> of the project is to address two or more cross-cutting issue. The entire project is focused around two or more cross-cutting issues which have been well analysed and addressed in all three components: the needs assessment activities and outcomes.

<sup>14</sup> The list is drawn in part from the ALNAP guide to evaluation using the OECD/DAC Criteria (Beck, 2006).

# ANNEX 11: DETAILS FOR RECOMMENDATIONS FROM FOUR PREVIOUS EVALUATIONS

## 2007 Interim Review

This independent review, carried out between March and July 2007 and based on six country case studies (Kenya, Somalia, Ethiopia, Sri Lanka, Ivory Coast and the Democratic Republic of Congo), looked into how the CERF was contributing to a more timely, predictable, equitable, effective and accountable humanitarian response. It made 15 recommendations, which are listed in Chapter 13.

Its main findings on the impact of the CERF were, for the global level, that a high level of contributions since its launch had been matched by a high level of disbursement, the necessary institutional set up (the CERF Secretariat) had been put in place, procedures and guidelines for the CERF process had been developed, and a website launched and maintained. While donors and UN agencies saw the mechanisms as a valuable funding mechanism, international NGOs were critical of the fact that they do not have direct access to the funds and of the lack of transparency regarding the disbursement by UN agencies of CERF funds to NGOs.

At the field level, the review found that a wide range of projects (immediate response, prevention, and rehabilitation/recovery) had been supported, whose objectives fell in three broad categories: direct impact on beneficiary populations; strengthening the capacity of the humanitarian system to respond; supporting locally-managed projects providing access to CERF funds by NGOs. A broad interpretation of the life saving criterion had enabled UN agencies to address needs that were in line with their respective mandates, but presented the risk that projects outside the limits of life saving humanitarian activities would be funded. An additional problem was that initially, the life-saving criterion had been used to determine the eligibility of agencies, but this was subsequently corrected.

Global and field level actors played a different role in the allocation of CERF funds, but the responsibility for accountability was not assigned to either level and some field stakeholders did not fully understand the role and value-added of OCHA NY.

Two key assumptions underlying the design of the CERF were identified as presenting a challenge, namely that the humanitarian system has the capacity to provide a more predictable and timely response to humanitarian emergencies and that the various humanitarian stakeholders are willing and able to participate in inclusive processes for the allocation of CERF funds. In fact, the evaluation found that NGO engagement was varying.

It was too early at the time to assess the impact of CERF projects on the needs of beneficiaries.

## 2008 Two-Year Evaluation

This evaluation made 37 strategic and operational recommendations (see Chapter 13). As a basis for their systematic follow up, OCHA prepared a Management Response Matrix,

which indicates what action is required for each one of the recommendations. It was updated on a bi-annual basis. This evaluation is discussed in depth in the main report.

## FAO evaluation

This evaluation was timed to serve as an input for the five-year global evaluation of the CERF. According to the OCHA online website *“The evaluation intends to contribute to improved relevance, efficiency and effectiveness of emergency activities carried out by FAO with CERF funding. The stated aim of the report is to provide feedback and guidance to FAO’s management on operational processes, constraints and projects achievements, to account for the use of CERF funds to the CERF Secretariat, the ERC, donors, governments of countries affected by crises and other stakeholders”* and it is first time an agency has engaged in such an exercise.

The evaluation was carried out in 2009-2010 on the basis of eight country case studies (Cuba, Kenya, Lesotho, Myanmar, Niger, Pakistan, Sri Lanka, and a regional red locust control project in Southern Africa), documentation from evaluations of one FAO project in Syria and two in Tajikistan and a review of project documents. Its 23 recommendations can be found in Chapter 13

## MAIN FINDINGS

**Funding:** The CERF is of strategic importance to FAO. The CERF is the 2nd largest source of funds for FAO emergency programmes. The share of CERF allocations to FAO grew from 7% in 2006 to 12% in 2009. The CERF is a key financial instrument for FAO because it provides early funding.

Over the evaluated period (2006-2009), the timeframe between the first proposal submission to receipt of the funds took longer than intended (average of 35 days for the RR window and 51 days for the UFE window).

**Relevance and needs assessments:** The needs in the case-study countries were correctly assessed and CERF projects were relevant, but whether the 2008 CERF projects addressing the global increase in food prices were relevant remained unclear to the evaluators<sup>15</sup>.

Needs assessments were found to fall in three categories: multi-sector inter-agency assessments; sector-specific assessments with the involvement of several agencies; and FAO assessments. The report concludes that multi-stakeholder needs assessments offset possible biases and strengthen objectivity, accuracy, and transparency in identifying needs and setting priorities, but that they take time to convene and are not necessarily the most adapted since a problem may be limited to a single sector.

Regarding the in-country decision-making process, the report states that while in principle the UN Country Team should reach a consensus on clear priorities under the chairmanship of the RC/HC, personalities in UNCTs, of which the most important one is the UN RC/HC, are critical. Some RC/HC tend to “divide the cake” among UN agencies to avoid conflict, thus diluting its potential effectiveness.

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<sup>15</sup> “It is unclear how these small injections of cash and the technical approach chosen (distribution of farming inputs in fairly circumscribed rural areas) could have made a significant difference on a problem resulting from multiple, long-term and complex economic factors”, p. 32.

Project design and quality assurance: FAO HQ plays a limited role in the preparation of CERF project documents and provides little technical quality assurance of project documents. As a means to promote corporate standards and the inclusion of clear targets, the Seed and Plant Genetic Resources Service insists that each *“proposal for seed distribution includes specific language to the effect that the crops and varieties will be based on the preference of beneficiaries, adaptation to local agro-ecological conditions and recommendations by the concerned agricultural governmental authorities, and that the seed will be up to FAO quality standards”* (p. 35).

Effectiveness: CERF funding enabled FAO to assist communities through time-critical interventions geared to protect self-reliant livelihoods. Its contribution to saving lives was often indirect but fell within the CERF guidelines on life saving criteria. Distributions of seeds and other farming inputs represent the majority of CERF-funded FAO interventions. The latter are either pre-crisis (control of an escalating threat to productive assets and human health) or post-crisis (distributions of farming inputs to mitigate the effects of a crisis on livelihoods) and the evaluation made general conclusions about their respective use in different types of crises.

Timeliness: Most FAO projects get approved and funded one to two months after the initial submission of a proposal, which is comparable to the most rapid bilateral donors.

The short CERF timeframes have forced FAO to shorten its delivery periods, which has been a challenge. It takes FAO three weeks to six months to make procured goods available to implementing NGOs depending on when procurement is initiated, if it is carried out in the field or HQ, and involves an international tender or another approach (p. 43).

FAO is slower than it should be in implementing CERF projects, as on average it manages to spend 80% of an average RR project budget over 6 months. The same average applies to UFE projects. FAO therefore leads the list of agencies requesting project extensions.

Timeliness was identified as the main constraint for the effectiveness of FAO emergency programmes, as the frequent distribution of farming inputs during the planting season and sometimes at the end, does not allow farmers to properly plan their use.

Partnerships: FAO tends to work with well-established partners<sup>16</sup> and makes use of their comparative advantages. The most effective CERF-funded projects were those which provided surge capacity to actors with pre-existing field presence and emergency or development programmes.

Equity and targeting: Clear beneficiary selection criteria were stated in programme documentation and contracts with implementing partners, but were often modified to take into account the perspectives of communities, which prefer blanket distributions. In Cuba and Syria, the governments were in charge of targeting and opted to distribute the farming inputs to capable producers rather than the most vulnerable.

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<sup>16</sup> “Partners in sample countries could broadly be categorized as governmental and nongovernmental. NGOs are typically contracted to deliver material assistance to affected communities, while government personnel perform a variety of technical roles: participation in needs assessments, programme planning and coordination, training delivery, technical supervision (e.g. of vaccination campaigns), monitoring and stakeholder coordination at the local level”, p. 49.

## 2010 Independent Evaluation of the Added value of the CERF in Kenya

As one of the largest recipient of CERF funding, Kenya was selected to pilot an annual independent review to test the Performance and Accountability Framework (PAF) developed in 2009 by the CERF Secretariat. The review *“aimed to assess individual indicators in the PAF and to test the PAF’s overall feasibility. The review demonstrated that it is perfectly feasible to use the draft PAF for country reviews and found that the indicators are a helpful way to structure the review.”*

### MAIN FINDINGS:

Added value: The CERF has added value for UN agencies by making funds available early in the year, enabling them to fill funding gaps, enabling them to leverage funding from other donors, complementing other donor funds, and because it is flexible in the sense that agencies can claim costs retroactively and adapt to changing needs.

NGOs find CERF funding useful for filling gaps and starting up activities in new geographical areas but brought up constraints related to UN agency rules: contractual agreements vary from agency to agency and while some of them have agreements with partners covering a full year, others require the signature of separate agreements for separate donors, which generates delays; while NGOs get the bulk of the funding through the first disbursement, NGOs are paid in installments which are conditioned by the submission of a report; the amounts NGOs can receive are limited, indirect support costs are limited, and there is limited flexibility to reorient activities.

Timeliness: The CERF Secretariat processes applications rapidly and the Controller’s Office disburses money very quickly as well. The signature of the Letter of Understanding (LOU), once the project is approved, requires little time (one or two days to two weeks).

UN agencies can start implementation as soon as the LOU is signed; they commit and disburse funds differently but complete implementation in the expected timeframes; the time required by a UN agency to sign an agreement with an NGO varies; very few UN projects require no-cost extensions; NGOs can request no-cost extensions and implement beyond the timeframe of the CERF grant implementation period.

Inclusiveness and Transparency of Allocation Process: The OCHA field office introduced new procedures to improve the inclusiveness of the process and support prioritization by the Kenya Humanitarian Partnership Team (KHPT), which was appreciated.

Perceptions about inclusiveness and the transparency of allocations vary from sector to sector.

The Ministry of State for Special Programmes is informed of the priorities decided by the KHPT and invited to provide inputs, which is regarded as good practice.

There was no evidence of challenges with respect to implementation or absorptive capacity.

Sector leads play a dominant role in deciding priorities and project selection tends to turn into a negotiation to secure some of the funding.

There is no systematic way of informing NGOs and government partners of which proposals are approved.

Reporting and Accountability: UN agencies find CERF proposals and reports simple compared to other sources of funds.

UN agencies monitor the work of implementing NGOs and undertake evaluations of major emergency responses. They regard independent and holistic reviews of the humanitarian response as more useful than evaluations *“because assessing the outcomes of funding from a single donor ... is very difficult”*.

UN agencies have systems in place for accountability to their Executive Boards, but there is no channel to provide information or accountability to beneficiaries. The evaluator recommends that future reviews address the issue of accountability to affected populations and refers to discussions at the IASC level concerning the application of the Humanitarian Accountability Project’s approach to accountability to crisis-affected populations, the outcome of which may influence the approach of all humanitarian organizations.

With respect to oversight of NGOs, UN agencies make significant reporting demands on NGOs and supplement this with monitoring visits and audits. However, UN agency reports to the CERF Secretariat do not reflect this level of detailed information.

Support to Humanitarian Reform and Response: The CERF allocation process has strengthened the role of the HC as well as coordination by bringing partners together to discuss priorities. It has reinforced links and dialogue within the UN Country Team.

Perceptions about partnerships vary from sector to sector. The sector in which NGOs seem to be playing the most active role in deciding priorities is Nutrition.

The CERF does not contribute to strengthening the UN agencies’ response capacity, because it is not predictable, it is short-term, and it places restrictions on what can be funded.

Additional issues: Two issues which go beyond the PAF were identified as necessitating further reflection: the context in Kenya and UN agencies’ arrangements for financing NGOs, which represent a constraint for NGOs.

The context is one of chronic food insecurity and climate change, which require a long-term strategy, whereas the CERF provides short-term funding for rapid life-saving activities. CERF funding generates pressure to treat each emergency separately rather than as part of a chronic situation, as well as a risk of creating dependency on the part of the aid recipients.

Disaster mitigation and preparedness activities may be more adapted.

With respect to the challenges posed to NGOs by UN agency procedures, at the request of the IASC, UNICEF, UNHCR and WFP have established a task force with INGOs to address these challenges.

In addition, UNICEF, WFP, UNDP and UNFPA have been working on the Harmonised Approach to Cash Transfers (HACT) so as to move from a system of rigid controls of partners to a risk management approach, but there have been delays with implementing it.

NGOs prefer the OCHA procedures for ERF management, but OCHA cannot receive grants from the CERF. Three options are presented for consideration:

- Donors should decide if they wish to use OCHA as a pass-through mechanism to finance NGOs and if so, they should ask the CERF Secretariat to examine what steps the SG and/or the GA will have to take to make this possible;



- If donors do not wish to use OCHA as the pass-through mechanism, the CERF Secretariat could explore whether another UN organisation can act as an effective administrator for NGO funds, but it will be challenging to find an organisation that is both cost-effective and has procedures flexible enough to support emergency response;
- If donors do not want use OCHA as a pass-through mechanism and the Secretariat is unable to identify a suitable administrator for the NGO funds, donors may want to consider providing more funding to OCHA ERFs.

## Recommendations of the 2010 Evaluation of the added value of the CERF in Kenya

### **Section 1: Introduction**

The draft Performance and Accountability (PAF) envisions 3-5 country reviews a year. The CERF Secretariat should move ahead with these as they will help to build on the findings in this review and develop a strengthened evidence base on the use of CERF funding.

### **Section 2: Value Added of the CERF**

#### **Section 3: Timeliness of CERF Funding**

3. The CERF Secretariat should state the rules for both RR and UFE grants in the letter to the RC/HC that lists the applications that have been approved. The CERF Secretariat is planning to do this for round I of the UFE window of 2010 but, given the high turnover of staff at field level, it would be useful if this was standard practice for all CERF grants. The RC/HC's office/OCHA should then ensure that this information is disseminated to both UN agencies and their implementing partners (through the IASC and Clusters/sector working groups).

#### **Section 4: Inclusiveness and Transparency of Allocation Process**

4. OCHA's analysis of previous CERF funding to assist the KHPT with prioritisation is helpful and OCHA offices in countries receiving CERF UFE grants should consider following its example.

5. OCHA focal points should provide information on the timeframe for CERF allocation and grant approval processes to the NGO and government participants in sector groups. Once CERF grants have been approved, the focal points should also provide information on what has been approved (including information on funding to NGOs listed in budgets). This will considerably improve the transparency of the CERF funding process. It is not sufficient for OCHA or the CERF Secretariat to publish this information on websites because NGOs and government officials lack knowledge about where to look for this information and the time to seek it out.

6. There is a need to avoid potential conflicts of interest during the allocation process. This should be done by getting sector leads to submit proposals to the KHPT for final selection or by appointing full-time sector leads who can set aside agency loyalties (as has been done in Zimbabwe).

#### **Section 5: Reporting and Accountability**

7. Although the CERF Secretariat has emphasised its own timeliness in disbursing funds, the timeliness of humanitarian response depends on the organisations acting with CERF funds. Therefore, it would be useful to include a section on the timing of the implementation for CERF grants in the narrative report format. This need not be an onerous requirement as it would be based on basic project management information.

8. The ERC should consider using CERF funding to support independent and holistic reviews of the humanitarian response in countries that are major recipients of CERF funding.

9. It would be reassuring for donors to the CERF (who extend well beyond those that have seats on UN agency Executive Boards) to have a better understanding of the M&E and accountability procedures that UN agencies have in place for their humanitarian activities. Therefore, the forthcoming CERF Five-Year Evaluation should gather and present this information, with an emphasis on explaining the systems. As this review could not examine the arrangements that all the UN agencies for NGO reporting and monitoring, it would be helpful if the CERF Five-Year Evaluation could fill in the gaps.

10. The CERF Five-Year Evaluation should also gather and present information on the systems that CERF recipients have in place to ensure accountability to crisis-affected populations, examining how

these work at country level as there will be variations across contexts.

11. Once the IASC has reached a conclusion on approaches to accountability to affected populations, PAF indicator 26 should be amended to reflect this.

#### **Section 6: Support to Humanitarian Reform and Response**

12. As the CERF is a part of the overall humanitarian reform of 2005, it is expected to “strengthen core elements of humanitarian response in underfunded crises”. But CERF funding is only a small proportion of total humanitarian funding so it is probably ambitious to expect it to achieve additional objectives such as supporting humanitarian reform processes and strengthening humanitarian response capacity (even though it is likely to support coordination and the HC’s role, as it has done in Kenya). Therefore, it would be more realistic for the CERF to focus on its first two objectives and enabling response in under-funded crises. The Secretariat should amend PAF indicator 23 accordingly.

#### **Section 7: Additional Issues**

13. When finalising its Terms of Reference, the KHPT should ensure that both short-term and long-term aspects of the humanitarian situation in Kenya are within its remit and that it addresses both, particularly when deciding priorities for CERF funding.

14. When considering the CERF’s added value, the Advisory Group should clarify its role in chronic emergencies and whether it is appropriate for the CERF to exclude preparedness and mitigation activities when these may save more lives than responding to a disaster once it has occurred.

15. Given that NGOs provide the majority of humanitarian aid and that UN procedures for funding them to do this with CERF grants are not sufficiently adapted to emergency situations, the CERF Advisory Group should consider ways to improve funding arrangements for NGOs, including whether to use OCHA as a pass-through mechanism.

## Recommendations of the 2007 Interim Review of the CERF

<b><i>Appropriateness of CERF funding</i></b>
1. That OCHA, in consultation with donors, IASC members and the CERF Advisory Group, clarify the scope of the life-saving criterion for the CERF, including how it applies to the two funding windows and how it is used for the approval and prioritization of projects.
2. That, given the critical importance of needs assessment information in the allocation of CERF funds, OCHA, in collaboration with IASC members [this includes UN agencies and INGOs], continues to strengthen the development and use of high quality needs assessment information in the allocation of CERF funding.
<b><i>Contribution of the CERF to the humanitarian reform agenda</i></b>
3. That OCHA continues initiatives to strengthen the RC/HCs by: <ul style="list-style-type: none"> <li>• Extending the HC training on the CERF also to RCs;</li> <li>• Identifying techniques to assist RC/HCs with their roles; and</li> <li>• Including specific references to the CERF in the RC/HC Terms of Reference.</li> </ul>
4. That OCHA continue initiatives to strengthen the OCHA country offices, UNRCO and the UN agencies at the country level, by encouraging the CERF Secretariat and OCHA Regional Support Office to provide in-country training of OCHA, UNRCO and UN agency staff.
5. That OCHA, in consultation with donors, IASC members and the CERF Advisory Group, clarify the relationship between the CERF and the humanitarian reform agenda, specifically with respect to increasing partnerships, particularly with NGOs. If it is decided that the CERF does, indeed, have a proactive role to play in strengthening partnerships with NGOs, then specific mechanisms need to be put in place to ensure that this happens.
<b><i>CERF structures and processes</i></b>
6. That OCHA, in consultation with donors, IASC members and the CERF Advisory Group, clarify the responsibilities and accountabilities of the field and global levels for the preparation of recommendations to the ERC for CERF funding, the disbursement of funds and the monitoring, evaluation and reporting on CERF grants. Once the responsibilities of global and field level staff are clearer, then there is a need to clarify the roles and resources requirements for actors at both the global and field levels. This is a continuation of the work already begun in the Secretariat to develop Standard Operating Procedures for OCHA NY.
7. That OCHA clarify the roles and accountabilities of the CERF Secretariat and identifies the appropriate resources for the Secretariat to meet its tasks. In addition, there is a need for

clarification of the role that other divisions within OCHA are to play in supporting the CERF.
8. That OCHA clarify the roles of the Coordination Response Division and other OCHA units in support of the CERF. Similarly, at the field level, there needs to be clarification of the roles and accountabilities of the actors for CERF management at the field level. This would need to take into account the different country contexts, in terms of humanitarian context and UN coordination.
9. That OCHA, in consultation with IASC members and donors, clarify the roles and accountabilities for field level actors and identify the appropriate resources, including for the RC/HC offices and OCHA field offices, where necessary.
<b>CERF accountability</b>
10. That OCHA, in consultation with donors, IASC members and the CERF Advisory Group, develop a performance framework for the CERF. A performance framework would identify: <ul style="list-style-type: none"> <li>• Key results expected from the CERF;</li> <li>• Information that needs to be collected on an ongoing basis (such as timeframe data);</li> <li>• Baseline data for key variables (such a timeliness, concept of under-funded emergencies);</li> <li>• Methodologies for addressing some of the challenging issues (such as additionality and how to assess the impact on beneficiaries);</li> <li>• Roles and responsibilities for CERF implementation as well as CERF monitoring, evaluation and reporting, including the roles of OCHA and the UN agencies; and</li> <li>• External reporting mechanisms, particularly for the CERF donors and defines the role of the CERF website in reporting.</li> </ul> The framework should also adequately reflect the assumptions behind the design of the CERF, in order to set the context for the implementation of the CERF.
11. That OCHA improves the CERF website to make it more accessible and transparent, enabling stakeholders to link financial and narrative project information.
<b>Challenges in the underlying assumptions</b>
12. That OCHA, in collaboration with donors, IASC members and the CERF Advisory Group work proactively with INGOs at the global level to encourage them to stimulate their country offices to engage in the CERF processes at the country level.
<b>Recommendations for the GA-mandated review</b>
13. That OCHA put in place measures to ensure that complete documentation on CERF processes and grants is maintained and readily available, at the field and global levels, for the GA-mandated review.
14. That OCHA include in the review Terms of Reference a systematic analysis of CERF grants at the global level in order to profile adequately the full range of CERF funding.
15. That OCHA initiate the review process early and include sufficient resources to allow for an in-depth evaluation at both the country and project level.

## Recommendations of the 2008 CERF Two Year Evaluation<sup>17</sup>

All the following recommendations are regarded by the CERF Secretariat as implemented (26 out of 33) unless indicated otherwise.

1. OCHA and the UN agencies should explore setting up in-country rapid response mechanisms, or ERFs, part-funded by CERF, in countries in protracted crises or subject to disasters, as a way of funding reputable and principled civil society organisations with recognised programme capacity. Where appropriate, UN agencies may be encouraged to ‘pre-qualify’ competent national and international NGO partners, and to agree consistent arrangements for payment of overheads.
2. The ‘underfunded’ window should be renamed the ‘underfunded protracted crisis’ window, or similar. A clearer more widely supported process for this window is required. A transparent set of data should be used to determine eligible countries and the process reviewed by the IASC Working Group, for submission to the ERC.
3. In situations when agencies are awaiting funds from donors, or where they are required to set up common services on behalf of the UN system, the CERF loan window can be used creatively to strengthen

<sup>17</sup> Based on the OCHA Two-Year Management Response Matrix

time-critical response, provided that loan approval processes can be simplified, by removing the requirement for a pledge letter for smaller loans, and by allowing larger short-term loans against pledges. The loan window should be promoted among country teams as another tool available for humanitarian work.

4. The ERC and RC/HCs should re-emphasize the importance of impartial and objective chairing of cluster meetings, particularly when CERF funding allocations are being discussed. Ideally, clusters should be chaired by officials without agency management responsibilities. Where this is not possible, cluster leads should consider inviting their co-leads or other members to chair funding discussions.
5. The ERC should work with UNDGO to ensure that, when RCs receive CERF funds, lines of accountability to the ERC are fully adhered to, and that the RCs make full use of the humanitarian coordination mechanisms available.
6. The UN agencies/IOM should work to promote the Principles of Partnership with NGOs throughout their organisations.
7. In order to ensure that CERF only funds activities arising out of humanitarian emergencies (both rapid and chronic), place the existing 'life-saving criteria' for CERF grants in the context of core emergency humanitarian needs to emphasise the principles articulated in the SG's bulletin, and target the CERF more precisely so that prioritisation of needs becomes clearer.
8. Appraisals of proposals by the CERF secretariat for the rapid response window need to factor in the applicant agencies' preparedness to launch a response immediately on approval of funds by the ERC (without waiting for LOUs and disbursement from the Controller's office), and the RC/HC's assessment of the agencies' capacity to deliver timely response.
9. In exceptional cases, particularly involving activities in the agricultural sector, the ERC needs to allow, from the outset, an extension of the project duration for RR grants.
10. Donors must continue to support agencies' individual emergency response funds in addition to mechanisms such as CERF to ensure timely response.
11. Where feasible, CERF funds should be allocated on the basis of coordinated needs assessments.
12. The CERF application template should include a section on important issues of principle such as gender equity.
13. CERF Secretariat officers should have discretion to seek the advice of CRD during the appraisal of projects, when they feel it would be useful. While the CERF Secretariat should continue to copy all correspondence to CRD, formal reference of projects to CRD for review should no longer be a requirement.
14. When significant CERF funding is envisaged for countries without an OCHA presence, the ERC should ensure that a core team of OCHA or UN agency surge staff is deployed for a sufficient length of time to support the RC/HC in prioritisation, the CERF application process and coordination of the immediate response. Staff selected for deployment as part of OCHA and UN agency surge teams should be adequately trained and, where possible, include specialists in cross cutting issues, such as gender. Where such staff are required to assist RCs with the development of CERF proposals and with subsequent reporting, it is the view of the evaluation team that such costs should be considered a reasonable charge against the 3% overhead fee levied by the UN Secretariat.
15. The staffing of the CERF Secretariat should be strengthened to reflect levels of responsibility, and the consequence of error, and to ensure credibility with agency counterparts. Specifically, the Chief of the CERF Secretariat should be at the D1 level. In addition, the CERF Secretariat should be moved into proper office space as soon as possible.
16. The UN Controller should delegate to the ERC the authority to approve adjustments to the CERF Secretariat budget, within agreed limits. **Accepted by OCHA, but not accepted by the Office of the Controller. Not implemented.**
17. The evaluation recommends that OCHA should initiate a discussion in the IASC on the harmonization of various humanitarian pooled funds, including the CERF. In order to improve consistency and coherence, the ERC should consider the appointment of a Director of Humanitarian Financing, through whom the Chief of the CERF Secretariat would report, to advise him on issues relating to all humanitarian pooled funds.
18. Negotiations with the RC/HC on the initial envelope for a CERF contribution should be handled on the telephone in the first days following a disaster by the ERC personally or by his Deputy or by the

Director overseeing the CERF Secretariat. As a rule of thumb, an initial contribution to a medium-scale disaster could be between 10 and 20% of the initial Flash Appeal, with a special focus on those components of the Appeal required to get operations underway.

19. The ERC should continue to routinely remind RC/HCs that the CERF funds emergency humanitarian needs, was never intended to fund everything, nor was it meant to fund all agencies. Requests must focus on the most urgent enabling activities and on those sectors where government or civil society capacity is weakest, or where donor support is least likely to be available.
20. Through its field-based staff OCHA should continue to articulate clearly the CERF allocation criteria and funds availability, and through better communication, including greater use of telephone and satellite links, the CERF Secretariat should ensure that initial CERF proposals for RR are received within a maximum of 10 days after the disaster.
21. Given that the ERC is accountable to donors for the use of the funds, he should request a commitment from the UN agencies to forward project funds to implementing partners within a target number of days and to publish tables of performance in the same way as the CERF secretariat. **Partially implemented.**
22. The evaluation recommends that the ERC should seek to negotiate with the UN Controller an understanding that two-thirds of the UN Secretariat's 3% PSC charge will be made available to OCHA to meet all legitimate costs associated with the management and oversight of the CERF. **Partially Implemented. – Office of the controller allowed slightly more than 40% in 2010, but have not agreed to do so for 2011.**
23. OCHA should seek agreements with the five main humanitarian agencies and UNDP on ways of categorizing projects depending on the level of administrative support and oversight required from the UN agency, and on the indirect support cost structure of the agency concerned. PSC rates up to 7% could then be applied accordingly. An agreement should also be sought in the context of the IASC to standardize the provision of fair overhead charges for NGOs implementing projects funded by the CERF. **Not implemented.**
24. The evaluation recommends that the mandate of the CERF Advisory Group be extended for a further period of two years, and that its membership should rotate regularly, in keeping with its status as a group of members serving in their individual capacities. Members should continue to be drawn from a range of backgrounds and geographical origins. The practice of designating alternate members of the AG is no longer required. The Group should consist of 16 members. In addition, a wider platform involving all member states contributing to the CERF needs to be created, which would be convened every six months by the ERC, where he could report on CERF progress, challenges and funding needs, and provide a forum for open discussions.
25. The ERC should ask the Controller to work with the UN agencies/IOM to rationalize the CERF financial reporting system.
26. When agencies receive more than one grant for the same emergency at the same time (through different sectoral/cluster proposals), the LOU ought to allow agencies flexibility to amend budgets, with the agreement of the HC, to reflect changing imperatives or priorities, and to prepare one comprehensive financial report. **Partially accepted and partially implemented, still under discussion with the Office of the Controller.**
27. Clear parameters for Monitoring and Evaluation, with detailed statements of specific interventions to be carried out, need to be included in all proposals and LOUs and the outputs made available to all through the in-country humanitarian country teams.
28. The ERC could make use of independent assessors to conduct rapid appraisals of proposals (for large and complex operations) – these assessors will have been selected through a vetting process involving IASC, and trained in CERF-related requirements. **Not accepted and therefore not implemented.**
29. In order to fulfil his responsibility for quality assurance, the ERC should from time to time commission independent programme audits, real-time evaluations and end-of-project evaluations, where appropriate using the roster of assessors. The evaluations/RTEs should include a mix of country studies, evaluations of randomly selected individual CERF-funded projects and sector grants, as well as overall evaluations like the current one. All reports should be made available to all stakeholders.
30. The CERF secretariat should produce an annual report on activities for a wide audience, and ensure a wide distribution for its monthly update on activities
31. OCHA and the UN agencies need to acknowledge that NGOs have unique strengths to contribute to the objectives of the CERF, and hence the NGOs need to play a more important role in CERF processes

- than they have been playing so far. **Partially implemented.**
32. Within the limitations of CERF, OCHA and UN agencies should explore various options for enabling NGOs to have meaningful access to CERF funds rapidly, and at low cost.
  33. The General Assembly should consider inviting all member states to contribute to the CERF, and requesting the Secretary-General to commission a further independent evaluation in early 2011.

## Recommendations of the 2010 Evaluation of FAO Interventions funded by the CERF

<b><i>Needs assessments and priority setting</i></b>
1. Building upon its development programme and long term presence in most countries, FAO should continue to mobilise knowledgeable specialists from the government, preexisting development projects and NGOs to participate in needs assessments.
2. Time permitting, FAO should strive to participate in multi-stakeholder needs assessments to buttress objectivity, accuracy and transparency in identifying needs and priorities after disasters that are likely to have affected many sectors. However, a holistic approach to needs assessments takes time and may become unwieldy and unnecessary in well-defined crises, e.g. locust outbreaks.
3. In the most disaster-prone countries, the Organization should continue to support early warning systems and/or the collection of simple livelihoods profiles and agricultural calendars developed on the basis of farmers' own knowledge initially captured at needs assessment time and further refined throughout the response under the aegis of the agriculture or food security cluster (or a similar coordination mechanism).
<b><i>Project design and quality assurance</i></b>
4. A standardisation of CERF projects technical approaches is desirable from a quality control view point, following the approach developed by the Seed and Plant Genetic Resources Service. By virtue of their short duration, CERF projects must use simple and standard approaches and concentrate on replacing the most urgently needed production assets to ensure some level of food production and incomes, rather than aim at increasing food production levels as compared to pre-crisis times (see also recommendation 20).
<b><i>Efficiency and timeliness</i></b>
5. If confirmed by the 5-year evaluation of the CERF, seasonal delays in the approval of CERF projects, due to a large number of UFE projects to be processed at specific times in the year, deserve consideration by the CERF Secretariat with a view to "insulate" rapid response projects from this effect, i.e. ensure that the approval process for RR projects remains unaffected by delays in the UFE window.
6. Programme staff need to be better aware of the typical delivery durations to expect from various procurement approaches and should start procurement and contracting as early as possible; "pre-procurement" (starting procurement before the official project start date) should become the rule for CERF Rapid Response projects; repeat orders are a very powerful tool for rapid delivery, when based on previous tenders that were well conducted and answered to by a sufficient number of suppliers.
7. Taking greater account, and in some countries developing a more precise knowledge of how cropping calendars change from one locality, elevation or agro-ecological zone to the next would allow field teams to better schedule delivery and provide farming inputs <i>before</i> rather than <i>during</i> the sowing season, it as is often the case currently. It may also help judge when catching the next season is doable and when it is more realistic to aim at subsequent seasons (see recommendation 8).
8. Based on the selected procurement approach and possibilities of a repeat order or not, programme staff should make an educated guess about whether or not asking for CERF funds to "catch the next crop". As a rule of thumb, if one can do a repeat order or sole source contract with a supplier that has the goods in stock, one should expect a lead time of one to two months from procurement start to delivery of the inputs to farmers. This lead time jumps to a bare minimum of 3 months, and more likely a period from 4 to 6 months if the procurement needs to be tendered nationally or internationally.
9. To support and manage the early response to emergency situations, the FAO development-

oriented staff at country level need to acquire “emergency expertise” through the provision of an ongoing and specific awareness raising and implementation training programme. This may require to integrate emergencies in corporate training programmes, and to devote resources either from the FAO regular programme budget or from donors to training staff and consultants at the country level on the management of emergency programmes.

10. The FAO corporate information management systems need to catch up with increasingly decentralized operations. Personnel managing emergency programmes need documented standardised processes, proforma and accounting and procurement management software that allow for a seamless flow of information from the field to headquarters and vice versa. Ultimately, the Oracle systems used by FAO for accounting, managing human resources and processing procurement orders should be expanded to support field operations, including accounting, LoAs tracking and the monitoring of procurement. As developing and rolling out these applications at the country level may take some time, an emergency operations management tool kit is required in the interim, including ready to use spreadsheet formats for field budget monitoring, procurement planning and tracking, monitoring of implementing partner progress against the LoAs, tracking of beneficiary numbers (planned vs. actual), plus associated operations manuals and guidelines.<sup>18</sup>

#### ***Partnerships and coordination***

11. FAO, while upholding the humanitarian principle of neutrality, should continue to develop and maintain working relationships with governmental and non-governmental actors, with a preference for actors with a long-term commitment and good community links in the targeted areas, to allow faster and more effective emergency programmes and to facilitate sustainability and the transition into subsequent recovery and development programmes.

12. FAO should treat its implementing partners as real, substantive partners and attempt to include core implementing partners in the scoping, design and specification of proposed interventions more than is currently the case; FAO should also support valuable projects designed directly by partners themselves, when appropriate.

13. To equalize the relationship with implementing partners, the new FAO Manual Section 507 and new partnership instrument should be completed as soon as possible and made available to operational teams.

14. Just as donors and FAO sometimes insist that local partners give some visibility to their assistance by putting their logos on boards or publications (“downward visibility”), FAO should systematically include the logos of its implementing partners in project completion reports and brochures to recognise the importance of their contribution (“upward visibility”).

15. Good technical leadership is an integral contribution of FAO to a disaster response and deserves to be further strengthened. FAO should continue the excellent work undertaken in most sample countries by its technical teams to support IPs with relevant technical assistance and training during emergency responses, ideally conveyed by national experts with strong field experience.

#### ***Equity and targeting***

16. In the immediate response to a disaster, and hence in most CERF rapid response projects, targeting for assets replacement projects should focus at the village level (selection of most affected villages). In the interest of saving time and protecting cohesion / social capital at the community level at a time when they need it most, the targeted communities should be provided with the opportunity to decide how they want the proposed inputs distributed in a transparent way within their community.

17. More focused targeting (taking account of factors such as food insecurity or productive capacity) can be developed later after disasters, as communities have recovered sufficiently to have the time and motivation to participate in community based needs assessment and wealth ranking exercises, but also in protracted crises and slow-onset emergencies; hence precise targeting is more relevant for UFE projects than for RR ones.

18. Just as FAO headquarters have delegated implementation for some of larger procurement

<sup>18</sup> This recommendation is in line with recommendations 5.2 and 5.3 from the Evaluation of FAO’s Operational Capacity in Emergencies.

<p>activities to field offices, there may be opportunities to improve the effectiveness of procurement by delegating procurement of some items to the implementing partners<sup>19</sup> or directly to the beneficiaries through a voucher and fair system, especially when the type of inputs to supply varies significantly from one locality to the next. Experience from the pilot voucher-based distributions in Africa should be incorporated into FAO procedures and emergency operations management tool kits. However, input fairs take some time to set up and require local availability of inputs; therefore they are probably not relevant immediately after a sudden disaster but better suited to slow-onset disasters and protracted crises, or to the later recovery period after a rapid onset natural disaster. When used in the context of a CERF project, they should be kept as simple as possible, avoiding complex work-for-vouchers schemes.</p>
<p><b>Results</b></p>
<p>19. FAO should always procure varieties / breeds / types that are the same as those currently used in the target areas and are familiar to beneficiaries, particularly in the emergency and early rehabilitation phases.</p>
<p>20. The “life-saving” criterion of the CERF should continue to be interpreted flexibly as a bulwark to focus the funds on humanitarian needs, including the protection of self-reliant livelihoods and food availability through time-critical agricultural interventions in accordance with CERF sectoral guidelines.</p>
<p>21. FAO and other organisations involved in livelihoods should continue to advocate, on behalf of the very communities they are trying to help, for livelihood protection as a legitimate humanitarian issue, recognising however that this line of work differs from palliative relief operations in that it aims to support the resilience of experienced economic actors whose technical know-how deserves respect and attention during needs assessment, selection of deliverables and timing of their delivery (see recommendations 3, 20 and 7, respectively).</p>
<p><b>Monitoring, Evaluation and Reporting</b></p>
<p>22. The CERF Secretariat should amend the narrative report format so that each and every CERF annual country report contains, per sector and for each agency, a timeline of interventions, including the dates for procurement and delivery of assistance to beneficiaries.</p>
<p>23. Clusters and the UNCT should be required to systematically review narrative reports and the performance of each project annually, with a view to providing some degree of peer review and improving report quality. Along the same lines and similarly to what is often the case during needs assessments, the clusters and UNCT could usefully evaluate responses and learn from the experience as a group.</p>

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<sup>19</sup> This is currently not allowed by FAO procurement rules and needs to be discussed as part of the ongoing review of the LoA tool.



## ANNEX 12: ANNOTATED BIBLIOGRAPHY

Adinolfi, C., Bassiouni, D. S., Lauritzsen, H. F., & Williams, H. R. (2005). *Humanitarian Response Review: An independent report commissioned by the United Nations Emergency Relief Coordinator & Under-Secretary-General for Humanitarian Affairs, Office for the Coordination of Humanitarian Affairs (OCHA)*. New York: United Nations. Last viewed on 8 June 2008. URL: <http://www.humanitarianinfo.org/iasc/content/documents/other/Humanitarian%20Response%20Review%202005.pdf>

Notes: *This review is an independent assessment of the humanitarian system in which the experts identify reasons why the aid community sometimes falls short of its goals. The report seeks to demonstrate what the humanitarian system's current capabilities are and shows where the shortfalls lie. Already, it has prompted the discussion of how the entire humanitarian system can ensure faster and better responses to the needs of people in distress. Some of the Review's recommendations have been addressed in the 2005 ECOSOC discussions; others will form part the 2005 General Assembly debate on reform of the United Nations, including the larger humanitarian system.*

Ball, N., & Beijnum, M. v. (2009). *Review of the Peacebuilding Fund*. The Hague: Conflict Research Unit, Netherlands Institute for International Relations 'Clingendael'. Last viewed on 17 December 2010. URL: [http://www.unpbf.org/docs/PBF\\_Review.pdf](http://www.unpbf.org/docs/PBF_Review.pdf)

Notes: *This review was commissioned by donors concerned about the way in which the OIOS evaluation of the Peace Building Fund was dealt with. In early 2009, Canada, the Netherlands, Norway, Sweden and the UK jointly commissioned a review of the Peacebuilding Fund. The review was carried out by two independent consultants and built further on some of the findings of the 2008 OIOS evaluation. The review notes that the PBF had a difficult start, in no small measure because of the political demands from New York to disburse rapidly, before PBF systems were fully in place or recipients had a clear idea what the purposes of the fund were. Overall there was relatively little difference in the findings of the two evaluations, but the presentation was different.*

Ball, N., & Beijnum, M. v. (2010). *Pooled funding for transition at the country level*. New York: United Nations Development Group - Executive Committee on Humanitarian Affairs

Notes: *This review was commissioned by the UNDG/ECHA Task Team on Financing for Transition to: a) clarify how pooled funds can contribute to aid effectiveness in post-conflict transition situations and through that to improved aid flows and 2) recommend improvements in current systems, procedures and policies to donors and agencies. This report examines 15 funds in some detail: United Nations (UN)- and World Bank- administered funds as well as funds managed by the private sector and/or bilateral donors. The review focuses on four issues relating to aid effectiveness: ownership, coordination, risk management and mitigation, and speed and flexibility of response. Drawing on the findings in each of these areas, the review team identifies a number of policy level considerations that should be taken into account when seeking to strengthen the aid effectiveness of pooled funding.*

Barber, M., Bhattacharjee, A., Lossio, R. M., & Sida, L. (2008). *Central Emergency Response Fund: Two Year Evaluation*. New York: Office for the Coordination of Humanitarian Affairs. Last viewed on 16 April 2009. URL: [http://www.reliefweb.int/rw/rwb.nsf/retrieveattachments?openagent&shortid=EDIS-7JJAJ&file=Full\\_Report.pdf](http://www.reliefweb.int/rw/rwb.nsf/retrieveattachments?openagent&shortid=EDIS-7JJAJ&file=Full_Report.pdf)

Notes: *In its resolution 60/124 of December 2005, the General Assembly of the United Nations sought to remedy two problems that had bedevilled UN efforts to deliver humanitarian assistance in a timely and effective manner. First, the Emergency Relief Coordinator, mandated by the Assembly to coordinate the international response to humanitarian emergencies, had no resources at his disposal with which to address the immediate needs in a rapid-onset crisis; and secondly, the international response to protracted emergencies seemed often to be dictated more by political considerations than an objective assessment of the needs of the people, and therefore lacked equity and fairness. Resolution 60/124 sought to address these problems by transforming the Central Emergency Revolving Fund, created in 1991, into the Central Emergency Response Fund, adding to the existing loan facility of US\$ 50 million a grant element with an annual target of \$450 million. Detailed arrangements for the management and administration of the CERF, including the provision that two-thirds would be for rapid response and one-third for underfunded emergencies, were described in the Secretary-General's Bulletin of 10 October 2006 (SGB/2006/10.) In its resolution, the Assembly requested the Secretary-General to commission an external independent evaluation of the CERF after the first two years of operation. This study has been produced in fulfilment of that obligation.*

BBC. (2006, 9 March). UN launches \$500m emergency fund. Retrieved 8 December 2009, from <http://news.bbc.co.uk/2/hi/africa/4788298.stm>

Notes: *News item describing the launch of the CERF. The UN has launched a \$500m (£288m) emergency fund to speed up the handout of money for humanitarian disasters. The initiative, put forward by the UK, was launched by Secretary General Kofi Annan in New York. The ERC, Jan Egeland, told the BBC he hoped it would "inject some equity into the system". But some aid agencies outside the UN system who are often the first to respond to disasters are concerned that they could lose out financially. Another concern is who will decide what constitutes an emergency under the terms of the fund. Initial funding was a concern the with only a quarter of the amount needed raised so far.*

Beck, T. (2006). *Evaluating humanitarian action using the OECD-DAC criteria*. London: ALNAP. Last viewed on 8 June, 2008. URL: [www.odi.org.uk/alnap/publications/eha\\_dac/pdfs/eha\\_2006.pdf](http://www.odi.org.uk/alnap/publications/eha_dac/pdfs/eha_2006.pdf)

Notes: *This clearly-written guide provides practical support on how to use the OECD Development Assistance Committee (OECD/DAC) criteria in evaluation of humanitarian action (EHA). It covers the following areas: 1) key themes and issues current in EHA, particularly lesson-learning, accountability and evaluation; 2) clear definitions for the OECD DAC criteria with explanation, issues to consider, and examples of good practice; 3) very brief guidelines for good practice in methods for the evaluation of humanitarian action. This short book provides the clearest definitions of the DAC evaluation criteria available anywhere.*

Beijnum, M. v., & Kapu, R. (2009). *Non-paper on Pooled Funding Mechanisms in Post-Conflict Situations*. The Hague. Last viewed on 11 January 2011. URL:

[http://www.clingendael.nl/publications/2009/20090702\\_Discussion%20paper%20Clingendael%20Institute%20pooled%20funding%20mechanisms%20in%20post-conflict%20situations%20-%20FINAL.pdf](http://www.clingendael.nl/publications/2009/20090702_Discussion%20paper%20Clingendael%20Institute%20pooled%20funding%20mechanisms%20in%20post-conflict%20situations%20-%20FINAL.pdf)

Notes: *This paper was prepared for an informal high level 2009 meeting on MDTFs and other pooled funding mechanisms in post-conflict situations and UN 'Delivering as One' countries. The paper focuses specifically on pooled funding mechanisms in post-conflict situations, with an emphasis on those mechanisms that have been/are administered by either the World Bank or the UN. Specific attention will be paid to the financing of transition activities in post-conflict situations, i.e. rehabilitation and recovery activities that take place in the transition phase from humanitarian assistance to longer-term development cooperation. The paper seeks to answer four central questions: 1) What is the rationale for using pooled funding mechanisms in post-conflict situations? 2) What are the main lessons learned with regard to the implementation and use of pooled funding mechanisms in post-conflict situations? 3) Which pooled funding mechanisms are best suited to be used in what phase of the post-conflict reconstruction process, and who should be in the lead during these phases? 4) What measures can be taken to ensure a more effective, harmonious use of pooled funding mechanisms in post-conflict situations, specifically in relation to the financing of transition activities? The paper makes 15 references to the CERF and 11 reference to CHF.*

Benn, H. (2004). Reform of the International Humanitarian System, ODI: Speech by Hilary Benn, UK Secretary of State for International Development: 15 December 2004. Retrieved 28 February, 2009, from <http://www.dfid.gov.uk/news/files/Speeches/bennaidssystemreform.asp>

Notes: *Hilary Benn proposed six reforms for the Humanitarian system including: 1) the need for more, and more flexible, funding to be available right from the moment crisis strikes; 2) secondly, ensuring that we have better and stronger Humanitarian Coordinators, with the power and the funds to act; 3) thirdly, greater clarity about who does what in a crisis - including for Internally Displaced People; 4) fourthly, the development of benchmarks to measure how we perform; 5) fifthly, doing something about the unequal allocation of resources between crises; 6) greater investment in reducing the risk of future disasters. Benn said that the UK would contribute 100Mn GBP to a common fund of one billion USD.*

Brusset, E., Cosgrave, J., & MacDonald, W. (2010). Real-time evaluation in humanitarian emergencies. *New Directions for Evaluation*, 2010(126), 9-20. Last viewed on 23 June 2010. URL: <http://dx.doi.org/10.1002/ev.326>

Notes: *The authors describe real-time evaluation (RTE) as a specific tool in disaster management and within the literature on formative evaluation, monitoring, and impact assessment. RTE offers the possibility of exploring innovative ways to empower frontline disaster response staff, possibly even beneficiaries of assistance. The authors describe conditions for the success of RTE, including field credibility, organization, and rapid analysis.*

CERF Secretariat. (2009). *CERF Two-year Evaluation: Management Response Matrix (as of 21 April 2009)*. New York: United Nations Office for Coordination of Humanitarian Affairs. Last viewed on 14 December 2010. URL: <http://ochaonline.un.org/OchaLinkClick.aspx?link=ocha&docId=1110024>

Notes: *This is a management response matrix in response to the recommendations made by the two year evaluation. The matrix details the response and action to be taken for each recommendation, and serves as a 'road map' for the work that needs to be undertaken until the next review of the Fund, planned for 2011. Some critical issues are listed as "pending" but continue to be pending after nearly three years.*

CERF Secretariat. (2010a). *CERF Two-year Evaluation: Management Response Matrix (Final, October 2010)*. New York: United Nations Office for Coordination of Humanitarian Affairs

Notes: *This is a final version of the management response matrix in response to the recommendations made by the CERF two year evaluation. The matrix details the response and action to be taken for each recommendation, and serves as a 'road map' for the work that needs to be undertaken until the next review of the Fund, planned for 2011. Significant progress has been made by the CERF Secretariat and its partners since the matrix was last discussed with the Advisory Group. To date, 26 of the 33 operational recommendations have been implemented, and one recommendation was rejected. Of the six remaining recommendations, four relate to the administration of the Fund – including OCHA's authority to approve adjustments to the CERF Secretariat cost plan, and the ratio of programme support costs provided to OCHA to cover management and oversight of the Fund. Following extensive review and in-depth discussions with the Office of the Controller and all stakeholders, two recommendations have not been implemented, and two recommendations have been partially implemented. Progress has been made in implementing the other two recommendations. However, as these relate to more long-term UN-NGO partnerships, and full implementation can only be realised over a longer period, the CERF Secretariat suggests that these recommendations should no longer be tracked via this matrix beyond 2010.*

CERF Secretariat. (2010b). *Performance and Accountability Framework (PAF) for the Central Emergency Response Fund (CERF)*. New York: Central Emergency Response Fund, OCHA. Last viewed on 11 December 2010. URL:  
<http://ochaonline.un.org/OchaLinkClick.aspx?link=ocha&docId=1175641>

Notes: *The CERF Advisory Group, at its first meeting, called for the development of a Performance and Accountability Framework (PAF). This was in order to meet the requirement of an appropriate reporting and accountability mechanism as set out in the General Assembly Resolution establishing the revamped CERF. This is a revision of the 2009 draft of the PAF. The PAF is based around a logic model for the CERF where: funding for critical humanitarian needs is the input; humanitarian actors better equipped to respond is the output; strengthened humanitarian performance is the outcome; and the operational impact are resources to jumpstart responses for rapid response, and coverage of core humanitarian needs for underfunded emergencies.*

Chatham House. (2007). *Chatham House Rule*. Retrieved 23 October 2009, from  
<http://www.chathamhouse.org.uk/about/chathamhouserule/>

Notes: *The Chatham House Rule reads as follows: "When a meeting, or part thereof, is held under the Chatham House Rule, participants are free to use the information received, but neither the identity nor the affiliation of the speaker(s), nor that of any other participant, may be revealed". The world-famous Chatham House Rule may be invoked at meetings to*

*encourage openness and the sharing of information. It was first devised in 1927 and revised in 1992 and 2002.*

Cossée, O., Belli, L., Bultemeier, B., & Carrugi, C. (2010). *Evaluation of FAO Interventions Funded by the CERF: Final Report*. Rome: Food and Agricultural Organisation. Last viewed on 11 December 2010. URL:

<http://ochaonline.un.org/OchaLinkClick.aspx?link=ocha&docId=1177946>

Notes: *The evaluation of CERF-funded projects implemented by the Food and Agriculture Organization of the United Nations (FAO, or the Organization) was undertaken by its Office of Evaluation (OED) in 2009-2010 to provide feedback and guidance to FAO's management on operational processes, constraints and projects achievements so far, and to account for the use of CERF funds to the CERF Secretariat, the UN Emergency Relief Coordinator, donors, governments of countries affected by crises and other stakeholders. The evaluation was meant to be forward looking and to contribute to improved relevance, efficiency and effectiveness of emergency activities carried out by FAO with CERF funding in the future. It was timed to serve as an input in the food security sector for the five-year global evaluation of the CERF, foreseen in 2010-2011. The evaluation noted that CERF funds were not rapid, that there was a problem with Under-funded emergency grant processing slowing up rapid response window grant processing at particular times, the need for simple and standard approaches, and for a timeline in the narrative report format, and for country teams to review reports and not just CERF applications.*

Disch, A., Bezerra, R., Gairdner, D., & Kuroda, K. (2007a). *Review of Post-Crisis Multi-Donor Trust Funds : Country Study Annexes*. Oslo: Norad. Last viewed on 11 January 2011. URL: <http://www.norad.no/en/attachment/107611/binary/6064?download=true>

Notes: *This is the second volume of a review of the Multi-Donor Trust Funds. This volume contains the country study annexes for the MDTFs in Iraq, Indonesia, Sudan, The Greater Great Lakes MDRP, Afghanistan, Timor Leste, West Bank and Gaza, Sierre Leonne DDR, and Sri Lanka.*

Disch, A., Bezerra, R., Gairdner, D., & Kuroda, K. (2007b). *Review of Post-Crisis Multi-Donor Trust Funds : Final Report*. Oslo: Norad. Last viewed on 11 January 2011. URL: <http://www.norad.no/en/attachment/107612/binary/6065?download=true>

Notes: *This review assesses the experiences with Multi-Donor Trust Funds in postcrisis situations, where the focus is on post-conflict cases. It looks at MDTFs administered both by the World Bank and the UN. The purpose of the study is to identify MDTF arrangements that can better address post-crisis situations. The focus is on cross-cutting issues that have emerged in recent years, such as governing structures, harmonization and coordination, timeframe for establishment, the relationship between the UN system and the World Bank, the impact of donor policies, the role of implementing agencies like NGOs. This Final Report is supplemented by a second volume which contains the country case studies reviewed.*

Downs, C. (2010). *UNDP Sudan – FMU: Fund Management Unit: Lessons Learned Review*. Khartoum: UNDP Fund Management Unit

Notes: *This lessons learned review of the operation of the UNDP Fund Management Unit (FMU) in Sudan was conducted by a consultant in May to June 2010. The consultant interviewed and surveyed participants, partners and stakeholders from NGOs, donors and*

*UN agencies, and reviewed documentation. Prior to the mission the consultant interviewed staff of the Multi-Donor Trust Fund Office at UNDP/HQ, collected relevant external evaluations and commentaries on CHF's and the role of UNDP, issues to which the consultant brought previous experience. The Review concludes that the FMU has developed an effective system to handle humanitarian funding for NGOs under UN managed pooled funds but that If UNDP should, if it wishes to build on the successful model of the Sudan FMU, reconsider and adapt its legal framework to align with the experience gained in the field. The review also recommended the revision of the overhead rate charged by UNDP given its limited responsibilities.*

Faure, S. D., & Glaser, M. (2007). *Central Emergency Response Fund: Interim Review (Final Report)*. New York: OCHA. Last viewed on 25 May 2008. URL: <http://ochaonline.un.org/OchaLinkClick.aspx?link=ocha&docId=1073098>.

*Notes: The report reflects the results of an independent interim review of the grant component of the Central Emergency Response Fund (CERF) carried out by two international consultants between March and July 2007. The purpose of the review was to explore how the CERF, as a humanitarian financing tool, is contributing towards effectively promoting a more timely, predictable, equitable, effective and accountable humanitarian response.*

Good Humanitarian Donorship. (2003). *Principles and Good Practice of Humanitarian Donorship*. Stockholm: Germany, Australia, Belgium, Canada, the European Commission, Denmark, the United States, Finland, France, Ireland, Japan, Luxembourg, Norway, the Netherlands, the United Kingdom, Sweden and Switzerland. Last viewed on 14 May 2009. URL: <http://www.reliefweb.int/ghd/a%2023%20Principles%20EN-GHD19.10.04%20RED.doc>

*Notes: This one page document presents the 23 principles and good practice of humanitarian donorship. This is sometimes referred to as the Good Humanitarian Donorship Initiative (GHDI). The GHD principles were endorsed in Stockholm, 17 June 2003 by seventeen major donors: Germany, Australia, Belgium, Canada, the European Commission, Denmark, the United States, Finland, France, Ireland, Japan, Luxembourg, Norway, the Netherlands, the United Kingdom, Sweden and Switzerland. The principles contain a useful definition of Humanitarian Action in Principle 1: The objectives of humanitarian action are to save lives, alleviate suffering and maintain human dignity during and in the aftermath of man-made crises and natural disasters, as well as to prevent and strengthen preparedness for the occurrence of such situations. The principles include three principles defining humanitarian action, seven general principles, four funding principles, six principles on promoting standards, and three principles on learning and accountability.*

HelpAge International. (2010). *A study of humanitarian funding for older people*. London: HelpAge international. Last viewed on 18 November 2010. URL: [http://www.reliefweb.int/rw/rwb.nsf/retrieveattachments?openagent&shortid=VVOS-8AULKW&file=Full\\_Report.pdf](http://www.reliefweb.int/rw/rwb.nsf/retrieveattachments?openagent&shortid=VVOS-8AULKW&file=Full_Report.pdf)

*Notes: This study quantifies the humanitarian aid explicitly directed at older people through the UN Consolidated Appeals Process and Flash Appeals in 12 humanitarian crises since 2007, covering a total of 1,912 projects. The study found a significant disparity between the*

*needs of older people as a vulnerable group and the humanitarian assistance funded to meet that need. There remains minimal reference to older people within proposals compared with reference to other vulnerable groups. In five of the crises studied (Afghanistan, Burkina Faso, El Salvador, OPT 2007 and 2008 and Honduras), not one project in any sector explicitly referred to or provided targeted assistance to older people. Only 93 (4.9 per cent) of the 1,912 projects analysed made any explicit reference to older people as a vulnerable group (compared with 619 or 32.0 per cent for women and children). Of the 93 projects that mention older people, only 18 projects of the total of 1,912 (0.94 per cent) included activities that targeted older people and of these only 5 were funded. In financial terms, The CAP and Flash appeals raised a total of US\$4.2 billion in the 12 crises. Of this, US\$8.2 million (0.2 per cent) was allocated to projects that included an activity that specifically targeted older people.*

IASC. (2010a). *Gender Marker: How-to-Code Tip Sheet*. New York: IASC. Last viewed on 16/11/2010. URL:

<http://onerresponse.info/crosscutting/gender/publicdocuments/Gender%20Marker%20-%20coding%20tip%20sheet.pdf>

*Notes: This tip sheet is designed to assist clusters and their project teams in assigning a gender code to their humanitarian projects using the IASC Gender Marker. Each project is awarded a gender code of 0, 1, 2a or 2b. coding is based on the three elements: needs assessment, activities and outcomes: gender analysis of needs >> gender needs addressed in activities >> gender outcomes.*

IASC. (2010b). *Guidance Note for Clusters to implement the IASC Gender Marker: Creating Gender-responsive Projects and Tracking Gender-related Allocations in Humanitarian Appeals and Funding Mechanisms*. New York: IASC taskforce on Gender and Humanitarians Assistance. Last viewed on 16/11/2010. URL:

<http://onerresponse.info/crosscutting/gender/publicdocuments/Cluster%20Guidance%20Note%20Gender%20Marker%20FINAL%20100810.pdf>

*Notes: The purpose of this guidance note is to assist clusters to use the IASC gender marker. The gender marker will be used to help clusters design their humanitarian projects to respond to the distinct needs and interests of women, girls, boys and men. This guidance note provides clear user-friendly steps so clusters can: 1) Integrate gender issues in their cluster/sector response plans; 2) Build capacity of cluster partners to design projects that better meet the needs of women, girls, boys and men in affected populations; 3) Assign a gender code to each cluster project sheet on the On-line Project System (OPS). This will allow the Financial Tracking System (FTS) to track gender-related investments in each cluster; 4) Monitor implementation to ensure women, girls, boys and men participate and benefit according to the project design.*

IPSAS Board. (2007). *International Public Sector Accounting Standard: Preface to International Public Sector Accounting Standards*. New York: International Federation of Accountants,. URL:

[http://www.ipsas.org/PDF\\_ipsas\\_standards\\_ifac/Preface\\_for\\_pdf.pdf](http://www.ipsas.org/PDF_ipsas_standards_ifac/Preface_for_pdf.pdf)

*Notes: Preface to the International Public Sector Accounting Standard (IPSAS). IPSAS was prepared by the International Public Sector Accounting Standards Board (IPSASB), an independent standard-setting body within the International Federation of Accountants (IFAC). The objective of the IPSASB is to serve the public interest by developing high quality*

*accounting standards for use by public sector entities around the world in the preparation of general purpose financial statements. This will enhance the quality and transparency of public sector financial reporting and strengthen public confidence in public sector financial management. Currently IPSAS is being adopted by the United Nations.*

Loupforest, C. (2006, July). The Three Pillars of Humanitarian Reform. *The UN-Business Focal Point* Retrieved 23 September, 2007, from [http://www.eneewsbuilder.net/focalpoint/e\\_article000614343.cfm?x=b11,0,w](http://www.eneewsbuilder.net/focalpoint/e_article000614343.cfm?x=b11,0,w)

*Notes: Describes the three original pillars of the Humanitarian Reform (Clusters, Humanitarian Coordinator training, and the CERF). Relates how, to improve the consistency and quality of services that they provide as a group, the key humanitarian actors (UN agencies, IFRC and NGOs) active in the Inter-Agency Standing Committee (IASC), have embarked on humanitarian reform aimed at building up the overall humanitarian capacity, strengthening the humanitarian coordination system and making funding more reliable. This article describes these efforts and how the private sector can help the IASC implement this three-pronged reform agenda.*

Mowjee, T. (2010). *Independent Review of the Value Added of the Central Emergency Response Fund (CERF) in Kenya*. Wells: Development Initiatives. Last viewed on 11 December 2010. URL: <http://ochaonline.un.org/OchaLinkClick.aspx?link=ocha&docId=1175600>

*Notes: This review aimed to assess individual indicators in the CERF's Performance and Accountability Framework (PAF) and to test the PAF's overall feasibility. The review demonstrated that it is perfectly feasible to use the draft PAF for country reviews and found that the indicators are a helpful way to structure the review. The report makes only a few recommendations related to specific indicators (see below). This suggests that it is worth continuing to use the PAF as the basis of independent country reviews. The indicators follow a logic model in the PAF but this report groups them into key themes. This report is based on interviews with UN agencies, IOM, NGOs and government representatives in Nairobi and with the CERF Secretariat and UNICEF and WFP representatives in New York. It also draws on a document review and funding information from the CERF Secretariat, UN agencies and the FTS. The review found that the CERF has added value for UN agencies by providing funding early on in the year; filling funding gaps; enabling agencies to leverage funding from other donors; complementing other donor funds; and being flexible. However, NGOs face several constraints in delivering humanitarian assistance when they receive CERF funding channelled through UN agencies. These include: delays with funding agreements; funding in instalments; funding limits on programmes; limits on Indirect Support Costs (ISC); and limited flexibility. These are due to the standard internal procedures of UN agencies (many of which are not adapted to emergency situations) rather than CERF funding.*

Mowjee, T., Randel, J., Thomas, L., Mantantu, V., Windanto, F., Kormon, J., & David, K. (2007). *Review of OCHA Emergency Response Funds (ERFs)*. New York: Office for the Coordination of Humanitarian Affairs. Last viewed on 13 December 2010. URL: [http://www.goodhumanitariananddonorship.org/Libraries/Humanitarian\\_Financing\\_-\\_Funding\\_Management/Review\\_of\\_OCHA\\_Emergency\\_Response\\_Funds\\_ERFs\\_2007.sflb.ashx?download=true](http://www.goodhumanitariananddonorship.org/Libraries/Humanitarian_Financing_-_Funding_Management/Review_of_OCHA_Emergency_Response_Funds_ERFs_2007.sflb.ashx?download=true)



Notes: *This report presents overall findings from a review of OCHA-managed Emergency Response Funds (ERFs) in five countries (Angola, the DRC, Indonesia, Liberia and Somalia) with additional input from a separate review in Ethiopia. The purpose of the review was to: 1) build a central body of knowledge on ERFs within OCHA; 2) examine the role of ERFs in humanitarian response and in relation to other funding mechanisms; and 3) provide guidance on how an optimal ERF can function. The report only addressed the first two objectives and does not provide guidance on an optimal ERF. This objective was based on the assumption that it is desirable to standardise ERFs across countries. However, the study has highlighted the fact that one of the key strengths of ERFs is that they have adapted to specific country circumstances. The report recommends that, while OCHA should aim to standardise administrative and financial procedures, aspects of the funds like types of activities and organisations financed, project size etc. should remain context-specific.*

Mowjee, T., Randel, J., Zubairi, A., Development Initiatives, Wee, A., & Hedin, E. (2010). *Transition Financing: Building a Better Response*. Paris: Organisation for Economic Cooperation and Development: Development Assistance Committee. Last viewed on 5 October 2010. URL: <http://browse.oecdbookshop.org/oecd/pdfs/browseit/4310071E.PDF>

Notes: *While many determining forces in fragile and conflict-affected countries are outside donor control, decisions about which activities to finance and how to finance them influence these countries' path out of conflict. This is because financing is about much more than the flow of resources: it affects behaviour, aid architecture, power and influence, priorities, and capacity development. And because it signals approval or disapproval, there is no neutral choice: a financing decision has consequences that go far beyond the timescale and scope of the funded activity. This report will help OECD DAC members and partners to map out more effective, rapid and flexible transition financing. This includes improving current policies and practices in financial flows, implementing procedural and cultural changes in donor administrations, and maximising use of the instruments available for in-country transition financing. The report also addresses improving the operational effectiveness of pooled funding instruments, clarifying the link between funding instruments and national ownership, and adopting a new approach to identify and prioritise specific transition needs.*

OCHA. (2007). *The Four Pillars of Humanitarian Reform*. New York: OCHA23 September 2007). Last viewed on 8 June, 2008. URL: [http://www.humanitarianinfo.org/srilanka/docs/hum\\_re/The\\_humanitarian\\_reform-Four\\_Pillars.pdf](http://www.humanitarianinfo.org/srilanka/docs/hum_re/The_humanitarian_reform-Four_Pillars.pdf)

Notes: *This description of the humanitarian reform process includes building partnerships as the fourth pillar of the reform. To improve the consistency and quality of services they provide as a group, the key humanitarian organisations, (United Nations agencies, the Red Cross and Red Crescent Movement and the non-governmental community) active in the Inter-Agency Standing Committee have embarked on a process of humanitarian reform. These efforts stem from a review of the response system, commissioned by the Emergency Relief Coordinator in 2005 as a response to the lack of a timely and effective response as seen with Sudan in 2004. Humanitarian reform seeks to make funding more reliable and predictable to combat 'forgotten emergencies,' to strengthen country level coordination for the effective use of limited resources, and finally, to strengthen partnerships with NGOs, civil society, and*

*other actors such as private sector and countries providing military assets who contribute to humanitarian response.*

OCHA. (2009, 25 October). Humanitarian Coordinators in the Field and other humanitarian coordination arrangements as of 5 October 2009. Retrieved 9 January 2011, from <http://www.humanitarianreform.org/Default.aspx?tabid=705>

Notes: *Lists the 27 Humanitarian Coordinators in the Field as of 25 October 2009.*

OCHA. (2010). *Basic facts about country based humanitarian pooled funds*. Geneva: OCHA Funding Coordination Section. URL: <http://ochaonline.un.org/OchaLinkClick.aspx?link=ocha&docId=1161988>

Notes: *This is a simple one pager giving the basic facts about the CHF and ERF. At the time of writing in Feb 2010, there were 16 ERFs - Afghanistan, Columbia, Democratic Republic of Congo (DRC), Ethiopia, Haiti, Indonesia, Iraq, Kenya, Myanmar, Nepal, OPT, Somalia, Sudan, Uganda, Yemen and Zimbabwe - and three CHFs DRC, Sudan, and the Central African Republic. Somalia joined the countries with a CHF in June 2010 when the ERF was effectively transmuted in to a CHF. Pakistan gained an ERF in 2010.*

OIOS. (2008). *Report of the Office of Internal Oversight Services on the Independent Evaluation of the Peacebuilding Fund: "Fund Fills Clear Niche and Has Seen Early Results, But Must Become Speedier, More Efficient and More Strategic to Fulfil Its Vision"* (Evaluation Report IED-08-06). New York: United Nations Office of Internal Oversight Services, Inspection and Evaluation Division. URL: <http://erc.undp.org/evaluationadmin/manageevaluation/viewevaluationdetail.html?valid=4309>

Notes: *This evaluation of the Peace Building Fund was conducted by the Office of Internal Oversight Services. The evaluation was intended to to assess, as systematically and objectively as possible, the PBF's performance and operations and propose enhancements to its architecture and functions. OIOS utilized several methods to conduct the evaluation, including interviews and surveys with key stakeholder groups, site visits to three PBF-assisted countries (Burundi, Sierra Leone and Liberia), observations of PBF-related meetings, and systematic desk review of key Fund documents. The evaluation found that the Fund has yet to fully fulfil its two key objectives: quickly identifying and funding countries' most critical peacebuilding gaps, and catalyzing more substantial and sustainable peacebuilding funding in the countries it assists. With regard to quickly identifying and funding countries' most critical peacebuilding gaps, OIOS found the Fund's processes to be neither consistently quick nor sufficiently strategic. This evaluation was controversial, in that donors were concerned about how the Peace Building Fund had dealt with the evaluation. This led donors to commission an independent review of the fund by Ball and van Beijnum in 2009.*

Salomons, D., Lith, M. V., & Vartan, T. (2009). *Study of Transaction Costs Associated with Humanitarian Pooled Funds: The Praxis Group Ltd*

Notes: *The challenges posed by the pooled humanitarian funds are intricately linked to those created by the humanitarian reform process in its entirety, particularly the creation of the cluster approach, the evolution of the consolidated appeals and work plans, and the strengthened role of the Humanitarian Coordinator – thus, it is extremely difficult to isolate those transaction costs that can exclusively be attributed to the pooled funds, rather than to*

*the reform process as a whole. Yet, this study identified several trends that may be indicative, as well as concrete issues that need to be addressed.*

UN General Assembly. (1991). *Resolution adopted by the General Assembly: Strengthening of the coordination of humanitarian emergency assistance of the United Nations (A/RES/46/182)*. New York: United Nations. Last viewed on 19 December 2010. URL: <http://www.un.org/documents/ga/res/46/a46r182.htm>

*Notes: This General Assembly resolution (46-182) changed the humanitarian landscape with the establishment of the post of Emergency Response Coordinator (combining the roles of the representatives of the Secretary General for major and complex emergencies, as well as by the United Nations Disaster Relief Coordinator. It also sets up the IASC, the Consolidated Appeals Process, and transforms the former Office of the UN Disaster Relief Coordinator into a secretariat that eventually became OCHA (after being formed as the Department for Humanitarian Affairs in March of 1992). The resolution also established the 50mn USD Central Emergency Revolving Fund.*

UN General Assembly. (1992). *Resolution adopted by the General Assembly: Strengthening of the coordination of humanitarian emergency assistance of the United Nations (A/RES/47/168)*. New York: United Nations. Last viewed on 19 December 2010. URL: <http://www.un.org/documents/ga/res/47/a47r168.htm>

*Notes: This resolution of the General Assembly calls on donors to support the CERF and especially for the fulfilling of pledges made. It makes specific reference to the Department of Humanitarian Affairs (established on foot of resolution 46/182 of 22 December 1991. It also calls for better support for consolidated appeals, and for the secretary general to investigate the possibility of having regional warehouses for relief materials at the regional as well as the global level.*

UN General Assembly. (1993). *Resolution adopted by the General Assembly: Strengthening of the coordination of humanitarian emergency assistance of the United Nations (A/RES/48/57)*. New York: United Nations. Last viewed on 19 December 2010. URL: <http://www.un.org/documents/ga/res/48/a48r057.htm>

*Notes: Among other things, the resolution calls for stronger coordination of humanitarian affairs, calls for additional support for the CERF, and gives the IOM access to CERF funding. Pending a final decision by the Economic and Social Council, the resolution permits the use of the interest earned by the Revolving Fund to enhance rapid response coordination where insufficient capacity exists at the field level*

UN General Assembly. (1994). *Resolution adopted by the General Assembly: Strengthening of the coordination of emergency humanitarian assistance of the United Nations (A/RES/49/139)*. New York: United Nations. Last viewed on 19 December 2010. URL: <http://www.un.org/documents/ga/res/49/a49r139.htm>

*Notes: Calls for more timely repayments to the CERF (then exclusively a loan facility) to increase the availability of resources, and greater complementarity between the CERF and the emergency funds of individual agencies. It also calls for a continuation of the practice of using CERF interest to fund loans for coordination activities. A second part of the resolution deals with the participation of volunteers in humanitarian relief.*

UN General Assembly. (2006). *Resolution adopted by the General Assembly: 60/124.*

*Strengthening of the coordination of emergency humanitarian assistance of the United Nations.* New York: United Nations. Last viewed on 8 December 2010. URL: <http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N05/495/04/PDF/N0549504.pdf>

Notes: *This resolution authorises the UN Secretary General to change the CERF. among other sections it calls upon donors to take further steps to improve their policies and practices with respect to humanitarian action, and in that regard welcomes the continued efforts under the Good Humanitarian Donorship initiative. It decides to upgrade the current Central Emergency Revolving Fund into the Central Emergency Response Fund by including a grant element based on voluntary contributions, to be replenished at regular intervals, so as to ensure a more predictable and timely response to humanitarian emergencies, with the objectives of promoting early action and response to reduce loss of life, enhancing response to time-critical requirements and strengthening core elements of humanitarian response in underfunded crises, based on demonstrable needs and on priorities identified in consultation with the affected State as appropriate. It decides also that the Fund will continue to operate in accordance with resolution 46/182 and the guiding principles contained in the annex thereto.*

UNDG. (2011a). Full List of Resident Coordinators. Retrieved 9 January 2011, from

<http://www.undg.org/unct.cfm?module=CountryTeams&page=RcEmailReport>

Notes: *List of all 138 UN Resident Coordinator (some positions are vacant).*

UNDG. (2011b). Humanitarian Coordinators. Retrieved 9 January 2011, from

<http://www.undg.org/unct.cfm?module=CountryTeams&CountryID=&page=CustomizedCountryList&ListType=HumanitarianCoordinator&fuseaction=Humanitarian%20Coordinators>

Notes: *Lists the 50 current Humanitarian Coordinators.*

United Nations. (2005). *Improvement of the Central Emergency Revolving Fund: Report of the Secretary-General (A/60/432).* New York: United Nations. Last viewed on 8 December 2010. URL: [http://daccess-dds-](http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N05/555/54/PDF/N0555554.pdf)

[ny.un.org/doc/UNDOC/GEN/N05/555/54/PDF/N0555554.pdf](http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N05/555/54/PDF/N0555554.pdf)

Notes: *This report from the Secretary General proposes that the current Central Emergency Revolving Fund be expanded to a target of 500 million United States dollars to include a grant element alongside its existing loan element. The modernized Fund will be used to ensure funding is immediately available to support rapid response to humanitarian crises and address critical humanitarian needs in underfunded emergencies. The report requests the General Assembly to endorse the upgrading of the current Fund to make humanitarian response more predictable. The report also recognizes that predictable humanitarian financing is but one key element of the Secretary-General's humanitarian reform package and that approval of a modernized fund, to be renamed the Central Emergency Response Fund, will contribute to the realization of the other elements of humanitarian reform, including those related to strengthening humanitarian coordination and humanitarian response capacity. Resolution A/60/124 of 8 March 2006 later set up the fund. The report notes that it was delayed for technical reasons.*

United Nations Secretariat. (2006). *Secretary-General's bulletin: Establishment and operation of the Central Emergency Response Fund* (ST/SGB/2006/10). New York: United Nations Secretariat. Last viewed on 19 December 2010. URL: <http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N06/565/35/PDF/N0656535.pdf>

Notes: *This the original bulletin setting out the procedures for the Central Emergency Response Fund. This was later amended by the issues of revised procedures in April 2010. Among other aspects, this bulletin set the 2:1 split for rapid response and underfunded emergency windows.*

United Nations Secretariat. (2010). *Secretary-General's bulletin: Establishment and operation of the Central Emergency Response Fund (Revision of original bulletin of 23 April)* (ST/SGB/2010/5). New York: United Nations Secretariat. Last viewed on 19 December 2010. URL: <http://ods-dds-ny.un.org/doc/UNDOC/GEN/N10/327/44/PDF/N1032744.pdf>

Notes: *Bulletin setting out revised procedures for the CERF. One of the biggest changes is the change in expenditure period from three months to six months. The revised bulletin also refers to the CERF as being part of the humanitarian reform and of the need for it to reinforce other parts of the reform. The ERC is now no longer required to explore whether an advance from the loan element is a feasible option prior to making a grant. It adds, for loans, a requirement for a cost plan and sets the repayment period as 12 months. For grants, there is now a reference to demonstrable needs in the enhanced response to time critical requirements objective. The allocation of two thirds for rapid response emergencies is now a minimum. There is now a reference to humanitarian life-saving needs. The Advisory Group now has up to 18 member rather than the original 12.*

WHO Eritrea. (2006). *Central Emergency Response Fund 1 and 2: Evaluation Report*. Asmara: WHO Eritrea Country Office (2 July 2007). Last viewed on 10 December 2010. URL: [http://www.who.int/hac/donorinfo/reports/eritrea\\_cerf\\_evaluation\\_report.pdf](http://www.who.int/hac/donorinfo/reports/eritrea_cerf_evaluation_report.pdf)

Notes: *The objective of this study was to document the process of planning, organization, implementation and outcomes of the CERF projects. A team of instructors from Orotta School of Medicine and Ministry of Health were recruited and trained on how to conduct the evaluation. The method used for the evaluation process was that of conducting interviews using open ended questions and direct observation of the results of the funded activities. The interviewees ranged from program officers in the UN agents, managers in the MOH at headquarters, zonal and community level in addition to local government officials in the sub-zones. In conclusion the intended contribution of CERF to humanitarian assistance targeted at some gaps was achieved but it is too early to document the impact of the intervention on disease morbidity and mortality. The outcomes could have been enhanced if there was better coordination from the beginning involving all partners from the planning stages.*

Willitts-King, B., & Faint, T. (2005). *Study on Revised CERF Mechanism*. Dublin and London: Development Cooperation Ireland and the UK Department for International Development. Last viewed on 8 December 2010. URL: [http://www.reliefweb.int/rw/lib.nsf/db900sid/KKEE-6EVRCQ/\\$file/CERF.pdf](http://www.reliefweb.int/rw/lib.nsf/db900sid/KKEE-6EVRCQ/$file/CERF.pdf)

Notes: *This report summarises the findings and recommendations of a study undertaken for the Governments of Ireland (Development Cooperation Ireland) and the UK (Department for International Development). This review was conducted as part of the overall humanitarian*

*reform initiative. It recommended an expansion of the CERF into a grant-making 'enhanced CERF' of \$500m providing funds to UN agencies through two to three windows, probably in addition to the existing loan facility of \$50m: a) Rapid response (40-50% of fund ); b) Equity (30-40%); and c) Standby capacity (10-20% if the enhanced CERF fully funded )*