



International Organization for Migration (IOM)
Organisation internationale pour les migrations (OIM)
Organización Internacional para las Migraciones (OIM)

IOM EVALUATION OF CERF-FUNDED INTERVENTIONS (2006-2012)

April 2013

OFFICE OF THE INSPECTOR GENERAL

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Acronyms

CAP	Consolidated Appeal Process
CCCM	Camp Coordination and Camp Management
CERF (1)	Central Emergency Revolving Fund
CERF	Central Emergency Response Fund
CHF	Common Humanitarian Funds
DOE	Department of Operations and Emergencies
DRD	Donor Relations Division
DRM	Department of Resources Management
DRR	Disaster Risk Reduction
ERC	Emergency Relief Coordinator
ERF	Emergency Response Funds
FAO	Food and Agriculture Organization of the United Nations
HC/RC	Humanitarian Coordinator/Resident Coordinator
HQ	Headquarters
IASC	Inter-Agency Standing Committee
IDP	Internally Displaced Person
ILO	International Labour Organization
INGO	International Non-governmental Organization
IOM	International Organization for Migration
MEFM	Migration Emergency Funding Mechanism
NFI	Non-food Items
NGO	Non-governmental Organization
NNGO	National Non-governmental Organization
OCHA	Office for the Coordination of Humanitarian Affairs
OHCHR	Office of the High Commissioner for Human Rights
OIG	Office of the Inspector General
OIOS	Office of Internal Oversight Services
PAF	Performance and Accountability Framework (CERF)
RR	Rapid Response
UFE	Underfunded Emergency
SG	Secretary General
TCN	Third Country Nationals
TOR	Terms of Reference
ULOU	Umbrella Letter of Understanding
UN	United Nations
UNCT	United Nations Country Team
UNDP	United Nations Development Program
UNHCR	United Nations High Commissioner for Refugees
WASH	Water, Sanitation and Hygiene
WHO	World Health Organization
WFP	World Food Programme

EXECUTIVE SUMMARY

The Central Emergency Response Fund (CERF) was established in 2005, upgrading the Central Emergency Revolving Fund with the addition of a grant element, and has an annual budget of USD 500 million. Its objectives are to promote early action and response to reduce loss of life; to enhance response to time-critical requirements; and to strengthen core elements of humanitarian response in under-funded crisis. IOM has regularly used CERF as a primary source of emergency response funding, which encompasses a combination of activities, with Shelter and NFI representing 44 per cent of the funding, multi-sector activities 22 per cent and IOM cluster lead role for Camp Coordination and Camp Management (CCCM) in natural disasters 9 per cent (the remaining 25 per cent includes projects on protection, health, water and sanitation, education, agriculture and logistics). CERF allocated a total of USD 132 million to IOM for the period under review, (from March 2006 to June 2012), placing the Organization as the sixth largest recipient of CERF funding among the seventeen UN agencies benefiting from CERF during the same period. IOM received 69 per cent of its funding for rapid response interventions (RR) and 31 per cent for underfunded emergencies (UFE).

CERF funding has enabled IOM to increase its early response capacity for addressing emergency needs in a large number of countries and situations where no other funding sources were available or were not provided as quickly as the CERF. Timely, predictable CERF funding has directly contributed to alleviating human suffering through time critical life-saving activities for populations in need and has strengthened the core elements of the overall humanitarian response in under-funded emergencies. The Umbrella Letter of Understanding (ULOU) signed in April 2011 with the Office for the Coordination of Humanitarian Affairs (OCHA) aimed at improving efficiency and transparency, contributed to reducing the time required to disburse the funds to the field, enhancing further IOM rapid response capacity to emergencies. The evaluation recommends, however, that the Department of Operations and Emergencies (DOE) conduct a review of CERF funding requests during a year, to examine how the use of CERF could be further optimized.

The way IOM develops reviews and submits its projects is strategically coherent and shows the importance of CERF projects at the start of an emergency response when interacting locally with the UN system. The projects selection system through the UN Humanitarian Coordinator (HC)/Resident Coordinator (RC) and UNCT is generally well established, with IOM's active participation when present in the country, OCHA also plays a role in coordinating and facilitating humanitarian response prioritization and subsequent UN funding appeals. Human rights are extensively covered by IOM projects, taking into account its operationally recognized protection role, and IOM has specific expertise in gender mainstreaming in emergencies.

IOM has not developed specific instructions for CERF project implementation, as other internal management guidelines are available (such as the IOM Guidelines on Rapid Response Mechanisms updated in September 2011); the same applies for Monitoring and Evaluation (M&E) of the performance of CERF funded projects, where existing IOM systems are deemed to meet the assumptions of the CERF Performance and Accountability Framework (PAF). The CERF information management system annually generates specific information for each agency and interviews with the CERF Secretariat have indicated general satisfaction with IOM's reporting and information sharing on the use of CERF funds. Concerning the CERF indicators and criteria, the Secretariat is also ready to use a flexible approach to adapt its criteria according to the needs. The evaluation recommends that IOM examine the possibility of reinforcing the M&E component of its CERF projects for measuring their performance.

As a project –based and field-driven organization, IOM has demonstrated its capacity to implement projects in emergency situations within many different contexts and crises, and its effectiveness is recognized by its donors, including the CERF Secretariat. In most cases, IOM manages projects through its staff, including national staff recruited locally, with limited use of partnership agreements with NGOs. The evaluation also found that some UN agencies were asking IOM to be their implementing partner, given its generally timely field deployment capacity and broad expertise. When working with local partners, IOM also aims to develop the operational and administrative capacities of the national NGOs recruited. In a few instances, governments have requested IOM to undertake specific emergency response interventions through CERF funding.

The IOM's management of CERF-funded projects is largely decentralized to the field for project identification and development, project implementation and financial management. The IOM in-country team, and/or the Regional Emergency Officers of the Department of Operations and Emergencies (DOE), particularly when IOM has little or no representation in the country, are responsible for conducting needs assessments and developing the proposal in coordination with UN Agencies. Internal endorsement of CERF projects follows IOM standard procedures; its Migration Health Division (MHD) provides technical guidance and oversight for specific projects and components related to health, with activities such as needs assessments on health-related issues in the camps, psychological support, health referrals to ensure continuity of care and fitness to travel. A Programme Specialist in the IOM New York Special Liaison Office acts as the Focal Point for all UN funding mechanisms concerning humanitarian assistance and for managing the institutional relationship with the CERF Secretariat. The Focal Point also ensures efficient information flow between IOM Field Offices, IOM Headquarters and the CERF Secretariat. The evaluation concludes positively on the functioning of the management of CERF projects in line with IOM procedures and CERF expectations.

IOM's partnership with UN Agencies has been instrumental in facilitating access to CERF funds, with a wide range of operational agreements. Examples include the partnership with UNHCR across a range of actions (CCCM, Shelter and NFIs, multi-sector for refugees); WHO and Health Cluster for health; FAO, UNICEF for the WASH cluster; Inter-Agency Mental Health and Psychosocial Support Working Group, among others. The partnership with OCHA, both overall and in multi-sector activities, is also effective but not directly linked to the use of CERF funds, as OCHA is not eligible to receive CERF grants. Effective partnership with the UN contributed to ensuring proper coverage of the initial response stages in emergencies, as projects were not endorsed and undertaken in a vacuum.

As regards outcome and impact, the evaluation does not intend to measure the impact on beneficiaries of IOM's CERF-funded interventions rigorously: instead, it examines the overall outcome and impact indirectly, analysing how access to CERF funds has affected IOM's capacity to provide emergency response and how it strategically positions its requests for funding to meet CERF project objectives and enhanced response to time-critical requirements. There is wide consensus that CERF did in fact contribute to alleviating human suffering and to providing vulnerable groups with much-needed assistance through direct, life-saving activities; however, the evaluation recommends IOM to include outcome and impact analysis of CERF funding projects more frequently when conducting evaluations of its emergency responses.

1. INTRODUCTION

1.1 Background and objectives of the evaluation

The Central Emergency Response Fund (CERF) has conducted three global evaluations since 2005: the 2007 Interim Review, the 2008 Two-year Evaluation and the 5-year Evaluation issued in August 2011. One of the recommendations of the 2011 evaluation report was that UN Agencies and IOM should “conduct an evaluation of their use of CERF funds within 18 months to determine what internal factors, including partnership policies and practices, influence the effectiveness of CERF projects”.

In a letter of 13 December 2011 to the President of the General Assembly (A/66/613), the Secretary-General transmitted the CERF Advisory Group recommendations addressed to him, noting inter alia that “the Advisory Group asked that the CERF Secretariat continue to encourage independent evaluations and reviews of CERF-funded activities by recipient United Nations agencies and the International Organization for Migration (IOM), along the lines of the evaluation by the Food and Agricultural Organization of the United Nations of its use of CERF funds, and requested the United Nations agencies and IOM to conduct similar independent evaluations or reviews of CERF-funded interventions”.

At a meeting with the CERF Secretariat in December 2011, IOM agreed to carry out an internal evaluation during 2012, under the overall responsibility of the Office of the Inspector General (OIG) of IOM. CERF funds have supported a highly diversified portfolio of projects within the field of IOM humanitarian interventions and the evaluation is intended to provide a thematic, strategic and operational analysis of IOM's use of CERF, examining the use of the Fund over the six year period between June 2006 and June 2012. The evaluation aims to identify:¹

- if, when and why CERF funding has played a critical role in ensuring that IOM could deliver its humanitarian interventions in rapid response, in under-funded emergencies and in its leading role for Camp Coordination and Camp Management (CCCM) for populations displaced by natural disasters;²
- IOM's specific success criteria in accordance with the Organization's mandate, in addition to CERF's stated specific objectives and success criteria.

The report will focus on the following issues, using the evaluation criteria of relevance, connectedness, effectiveness, efficiency, outcome and impact for its analysis:

- relevance and strategic use of CERF by IOM in meeting CERF's objectives within IOM's specific mandate;
- added value for IOM of using CERF rather than similar financial resources and for attracting new funds;
- use of CERF leading to IOM's faster response and enhanced ability to reach populations affected;
- overall effectiveness of CERF-funded projects in meeting the objectives set by emergency responses;
- overall outcome and impact of the use of CERF.

¹ Terms of Reference - IOM evaluation of CERF funded-interventions 2006-2012: Annex 1

² IOM is the global cluster lead for Camp Coordination and Camp Management in natural disasters.

As regards impact, the evaluation will discuss what could be considered as the short-term, direct impact of CERF projects, in particular for mobilizing funds for IOM's emergency responses and improved partnerships.

The evaluation will also analyse possible improvements of IOM's emergency response through the use of CERF, compliance with and promotion of CERF's Performance and Accountability Framework (PAF) inside IOM, transparency and accountability to the CERF Secretariat, use of NGO implementing partners and collaboration with the UN Emergency Relief Coordinator and other UN agencies.

The strategic and thematic nature of the evaluation is reflected in the objectives and methodology agreed upon in the Terms of Reference (TOR). The draft TOR prepared by OIG were initially circulated internally for feedback and to refine the questions and issues to be covered. After finalization, they were then forwarded to the CERF Secretariat for its views on the evaluation exercise. The OIG recruited Subur Consulting S.L., an external consulting company, to provide technical support for conducting the evaluation and for guaranteeing an independent methodological approach of the exercise.

1.2 Evaluation scope and methodology

In line with its objectives, the evaluation will focus the analysis on IOM interventions under the CERF windows. The report also examines the CERF criteria for funding projects and IOM's own categories and operational areas of implementation, such as natural disasters, movement of people, stranded migrants, humanitarian response and cluster support. Although included in the evaluation, the loan component within CERF structures is only examined in a limited way, as it was not used by IOM during the period in question.³

The evaluation does not intend to measure the impact on beneficiaries of IOM's CERF-funded interventions rigorously, as this would require a level of financial resources not readily available and raise a number of methodological questions as to the feasibility and evaluability of such a process, e.g. in identifying the number of lives saved as per CERF overall intent. Instead, the evaluation looks at how access to CERF funding has positively or negatively affected IOM's capacity to provide emergency response in a timely, strategic manner, to meet the objectives of CERF funded projects. When conducting the impact analysis, the evaluation will also take into account the CERF objective of serving as a rapid response mechanism and enabling the provision of life-saving assistance within a limited period from the onset of an emergency.

Staff at the Organization's headquarters, IOM New York's CERF Focal Point and the CERF Secretariat were interviewed as the basis for a preliminary framework from which to develop a more refined line of inquiry and methodology for data collection. When considered relevant, additional interviews were conducted with the same persons following the results of the survey (see below).

Thorough documentary analysis was made on the basis of the large number of CERF documents provided by the IOM New-York Focal Point and information from the CERF website. The evaluation team also reviewed IOM's internal information on the selected projects funded by CERF, i.e. final reports, project documents and other financial information and overall guidance notes. The evaluation included a number of interviews with key informants within IOM holding positions of responsibility in the field and managing CERF funds.⁴

³ The loan component was often used before the 2005 CERF reform, but encountered reimbursements problems by Agencies. The amount allocated to the loan component was then reduced and since 2005 its use has been limited – see also Section 2.1

⁴ See Annex 2

A written survey sent to Chiefs of Mission and Programme Managers who used CERF funding during the period covered by the evaluation complemented the methodology. Given the wide number of CERF-funded projects over the past six years (139), a selection of projects⁵ was made to limit the number of respondents, in line with the established selection criteria of:

- geographical location (mix of the various countries/regions);
- funding window (rapid response and under-funded emergencies);
- mix of large- and small-scale interventions;
- mix of one-off and standard (protracted crisis) emergency interventions;
- year of funding, from 2006 to mid-2012.

It was ensured that the sample selection represented the Shelter/NFI and Multi-sector categories for which IOM received CERF funding, being two-thirds of CERF IOM funding as detailed in the table below.

The questionnaire was sent to 28 IOM staff, some of whom were involved in multiple CERF projects and countries of the selected sampling. The evaluation received 17 responses, (one of which after the deadline and thus ineligible for inclusion in the analysis),⁶ a response rate of 61 per cent, which is within an acceptable range. The survey questionnaire contained open-ended questions, ratings and closed questions.⁷

Table I. Percentage of CERF Funding to IOM by Sector 2006-2012

Sector	%
Shelter and NFI	44.42
Multi-sector	22.20
CCCM	9.45
Protection/Human Rights/Rule of Law	5.88
Coordination and support services	4.60
Health	4.48
Water/Sanitation	4.30
Education	1.74
Agriculture	1.66
Logistics	1.29
Total	100

Section 2 of the report will present the CERF background and funding framework, CERF overall management, also the IOM humanitarian assistance and mandate, to indicate the context in which the Fund operates. Section 3 will focus on the analysis as per the evaluation objectives and criteria mentioned above and in the terms of reference.

⁵ See Annex 5.

⁶ See Annex 2 for the list of IOM staff members selected.

⁷ See Annexes 3 and 4

2. CERF AND IOM HUMANITARIAN CONTEXT

The Section provides an historical overview of the CERF funding mechanism and overall operational framework, CERF overall management by the UN and the IOM humanitarian context and mandate under which CERF operates.

2.1 CERF background and funding framework

The Central Emergency Response Fund (CERF) was established in 2005,⁸ upgrading the Central Emergency Revolving Fund (a USD 50 million loan facility created in 1991) with the addition of a grant component and the aim of enabling faster, reliable humanitarian assistance to those affected by natural disasters and armed conflicts. CERF consists of the grant element with an annual fundraising target of USD 450 million and the loan element of USD 30 million. Its objectives are to:

- promote early action and response to reduce loss of life;
- enhance response to time-critical requirements;
- strengthen core elements of humanitarian response in under-funded crises.

In accordance with Resolution 60/124, only the United Nations and its funds, programmes and specialized agencies and the International Organization for Migration (IOM) may receive CERF funds. IOM is the only non-UN agency authorized to apply for and access CERF funding. Since its inception in 2006 and as of June 2012, CERF allocations have reached a total amount of almost USD 2.6 billion for all agencies (see table below).

Table II. Total CERF Funding by Agency - March 2006 to June 2012⁹

Agency	Rapid Response Window	Underfunded Emergencies Window	Total Funds Allocated USD	Percentage of Total
WFP	638,791,071	206,459,320	845,250,391	33.69
UNICEF	363,789,402	251,014,560	614,803,962	24.51
UNHCR	166,848,467	119,613,179	286,461,645	11.42
WHO	160,857,211	83,348,956	244,206,167	9.73
FAO	137,501,126	90,535,172	228,036,298	9.09
IOM	91,836,447	40,419,756	132,256,203	5.27
UNDP	45,209,789	12,862,028	58,071,817	2.31
UNFPA	24,185,436	31,612,242	55,797,678	2.22
UNRWA	15,190,589	2,671,149	17,861,738	0.71
UN Habitat	11,178,308	1,094,288	12,272,596	0.49
UNOPS	5,753,295	1,729,997	7,483,292	0.30
UNESCO	2,427,186	211,053	2,638,239	0.11
UNAIDS	203,701	1,244,476	1,448,177	0.06
OHCHR	628,437	146,494	774,931	0.03
UNIFEM	498,192	216,340	714,532	0.03
UNDSS	0	498,688	498,688	0.02
ITU	126,300	0	126,300	0.01
Total			USD 2,508,702,655	100

⁸ UN Secretary-General Report 60/432, 20 October 2005; General Assembly Resolution 60/124, 15 December 2005.

⁹ Table was supplied by CERF Secretariat for the IOM evaluation, specifically covering the period under review.

CERF comprises both a grant and a loan facility. The grant component, which has a USD 450 million target, has two windows:

- a rapid response (RR) window provides initial resources and seed money for life-saving humanitarian activities in the direct aftermath of a crisis or to respond to time-critical requirements;
- an under-funded emergencies (UFE) window designed to contribute to more equitable funding across a range of under-funded emergency situations and not necessarily at the start of a humanitarian crisis.

The total allocation between the two windows for the period covered by the evaluation (Table 1 above) shows a distribution of 66.37 per cent for the rapid response window and 33.63 per cent for the under-funded emergencies. In 2011, CERF disbursed USD 426.1 million, consisting of USD 282.7 million (66%) allocated through the rapid response window to 45 countries with 37 projects, and USD 143.4 million (34%) allocated to 20 projects through the under-funded emergencies window.¹⁰

During the period 2006-2012, the allocation of funds to IOM between the rapid response and the under-funded emergencies windows shows approximately the same distribution as the global CERF figures for the period covered by the evaluation and for the year 2011:

	Rapid Response Window	Underfunded Emergencies Window	Total Funds Allocated
USD Funds	91,836,447	40,419,756	132,256,203
IOM percentage	69.44	30.56	100

The CERF annual loan facility of USD 30 million is dedicated to agencies' emergency programmes, based on confirmation that other donor funding is forthcoming. Since CERF restructuring in 2005, the loan facility has fallen into relative disuse and its accumulated interest caused the loan window to rise to USD 76 million. Based on recommendations from the CERF Advisory Group and the Five-year Evaluation, the loan component was reduced to the current level of USD 30 million by General Assembly Resolution A/66/L.28; use of the loan still appears limited.

Reviews and adjustments of CERF are part of a larger Humanitarian Reform process conducted under the mandate of the Inter-Agency Standing Committee (IASC), of which IOM is a member, aimed at further enhancement of humanitarian response capacity, predictability, accountability and partnership; the reform is an ambitious effort by the international humanitarian community to reach more beneficiaries faster and more effectively, with more comprehensive, needs-based relief and protection.

CERF is one of three mechanisms of pooled funding managed by UN OCHA, the other two being the country based Common Humanitarian Funds (CHF) and the Emergency Response Funds (ERF). CHF is intended to provide core funding against the Consolidated Appeal Process (CAP), whereas ERF is aimed at covering unforeseen needs not included in CAP and predominantly funds NGOs. CHF and ERF are both managed at country level by the Humanitarian Coordinator, the amount of funding received from the ERF normally being less than from the CHF or CERF.

¹⁰ The 2011 figures are reported as 2012 annual figures were not yet available when the evaluation was conducted.

2.2 CERF overall management

Established by the United Nations General Assembly in 2005, the CERF Advisory Group comprises 18 Members and through the Under-Secretary-General for Humanitarian Affairs and Emergency Relief Coordinator, provides the Secretary-General with periodic policy guidance and expert advice on the use and impact of CERF. The members serve in their individual capacities, not as representatives from their countries or Governments; they are from countries that have contributed to or have received CERF funding. Members include government officials, representatives of humanitarian non-governmental organizations and academic experts with humanitarian expertise and have been carefully selected to reflect a geographical and gender balance. The CERF Advisory Group meets twice a year, including a brief discussion with the agencies on their use of the CERF.

The Under-Secretary-General for Humanitarian Affairs and Emergency Relief Coordinator has overall responsibility for funding decisions and programme management of the Fund, and ensures that funding decisions from the loan and grant elements are made in accordance with the CERF objectives and criteria. The Under-Secretary-General is supported by a New York-based secretariat (CERF Secretariat) and by other units of the United Nations Office for the Coordination of Humanitarian Affairs (OCHA). The Secretariat is supervised by the Secretariat Chief and comprises a Programme Unit, a Reporting and Information Unit, a Performance and Monitoring Unit and a Finance Unit.

The UN Controller has overall financial responsibility for the Fund and oversees all financial processes concerning contributions, disbursements, refunds and financial reporting to Member States. As part of OCHA, the CERF Secretariat is audited by the UN Office of Internal Oversight Services (OIOS). Auditing of specific CERF projects is left to the responsibility of recipient agencies (single audit principle).

Consultations with UN agencies and NGOs on global policy issues related to the use and management of the Fund take place regularly through the IASC Sub-Working Group on Humanitarian Financing. In addition, the CERF Secretariat meets UN agencies and IOM once to twice a year to review financial and operational issues.

To ensure transparency and accountability the *Secretary-General's report on Improvement of the Central Emergency Revolving Fund (A/60/432)* recommended establishing a dedicated Fund website to assist with public reporting on donations, distribution of public information and expenditure. The CERF website was also to serve as a fund-raising platform and promote visibility for donors. Relevant reports, such as the annual CERF reports, the Humanitarian Coordinators (HC) and Resident Coordinators (RC), progress and evaluation reports, were to be included. The CERF website also includes guidance and templates to facilitate agency requests for and management of funds. General information on recipient agencies, countries, geographical regions and CERF windows and sectors is available too. The CERF secretariat also undertakes regular regional training and information seminars for the recipient agencies, OCHA field staff and other stakeholders, for further dissemination of knowledge and procedures regarding CERF.

During specific responses to emergencies in the field through CERF funding, the eligible agencies complete a funds application template that defines the window, the intervention modalities, objectives, budget allocation and funding requirements. New budget instructions in line with the new UNDG budget format and financial reporting have recently been issued, to be applied to projects submitted as from 2013, which includes two new budget categories to improve project budgeting and strengthen financial reporting on the use of CERF grants.

Requests for CERF rapid-response funding are discussed within the UN Country Team (UNCT) in order to prioritize what the immediate needs of the beneficiaries are, to examine how the projects meet the CERF criteria with the focus on life saving and to guarantee that the projects submitted by agencies form a comprehensive, immediate humanitarian response. Once approved by the Humanitarian Coordinator (HC) or the Resident Coordinator (RC), they are sent to the CERF Secretariat in New York for review and approval by the Emergency Relief Coordinator (ERC).

The RCs/HCs report to the ERC on the operational aspects of the use of funds in their annual narrative reporting that is based on inputs from recipient agencies at country level and the individual agencies provide separate financial reports. Between three and five independent reviews of CERF's contribution to humanitarian operations at country level are conducted annually by independent consultants commissioned by the CERF Secretariat.¹¹ A major aim of the reviews is to provide the ERC with an appropriate level of assurance regarding the achievement of key performance benchmarks and planned results, to provide recommendations for improving operational aspects and to identify relevant policy issues to be addressed at the global level.

Whereas rapid CERF response requests are field-driven, the identification of countries for UFE funding has a specific timing window and is made through a global process led by the ERC, which selects countries for UFE funding through two annual rounds of consultations based on a needs analysis and involving HQ representatives of major recipient agencies. UFE grants from CERF must be expended by 31 December of the calendar year for grants disbursed during the first under-funded round and by 30 June of the following year for grants disbursed during the second round. IOM's Special Liaison Office in New-York, IOM Headquarters and the IOM Emergency Regional Teams identify countries and emergencies not covered by the Consolidated Appeal Process to be considered by the CERF Secretariat in the UFE round.¹²

In 2011, an Umbrella Letter of Understanding (ULOU) between OCHA and 15 recipient agencies based on the revised CERF Secretary-General's bulletin (2010/05) was created to improve efficiency and transparency (for instance on monitoring and reporting requirements), by extending the period for implementing CERF rapid response grants from 3 to 6 months and by enabling the CERF Secretariat to expedite funds transfer to recipient agencies.

2.3 IOM humanitarian context and mandate

The IOM is the only international inter-governmental agency with a specific mandate for migration. Unlike UN agencies with well-defined beneficiary target groups (e.g. UNHCR for refugees, UNICEF for children) or specific sectors of activity (WHO, FAO, WFP, ILO), IOM covers a wide range of activities and beneficiaries relating to migration, forced migration, migrants and displaced populations. IOM has also a leading role for Camp Coordination and Camp Management (CCCM) for populations displaced by natural disasters.

Migration and other related movements of people may be international as well as internal, the result of conflicts, political tensions, xenophobia, natural disasters, poverty, lack of local opportunities and often a combination of these factors. Crises typically result in mixed migration flows consisting of a variety of vulnerable people needing assistance, not covered by a specific protection regime but often with pressing humanitarian and protection needs. Stranded migrants¹³ are often particularly vulnerable in crises, when they may also be specifically targeted, as seen in the 2011 Libyan crisis.

¹¹ <http://www.unocha.org/cerf/reportsevaluations/evaluations/country-reviews/performance-and-accountability-framework>

¹² For further references to IOM's Management of CERF, see also Section 3.

¹³ They are also referred to as Third Country Nationals (TCN).

In October 2010, IOM Member States reviewed the IOM Strategy approved in 2007 detailing its mandate and the various activities of the Organization, confirming the Strategy's 12 points (MC/INF/302). The reference to IOM activities concerning emergencies is stated under Point 9 of the Strategy: "To participate in coordinated humanitarian responses in the context of inter-agency arrangements in this field and to provide migration services in other emergency or post-crisis situations as appropriate and as relates to the needs of the individuals, thereby contributing to their protection".

Other points of the Strategy also apply to IOM's response to crisis, for instance Point 1 - "To provide secure, reliable, flexible and cost-effective services for persons who require international migration assistance", Point 2 - "To enhance the humane and orderly management of migration and the effective respect for the human rights of migrants in accordance with international law", and Point 10 - "To undertake programmes which facilitate the voluntary return and reintegration of refugees, displaced persons, migrants and other individuals in need of international migration services, in cooperation with other relevant international organizations as appropriate, and taking into account the needs and concerns of local communities".

At the IOM Council Meeting of November 2012, the IOM Migration Crisis Operational Framework (MC/2355) was adopted through Resolution No 1243, recalling in particular the major role that IOM is playing in emergency situations and which can also contribute to discussions in the framework of the IASC Transformative Agenda and with the CERF Secretariat. The Resolution recognizes the concept of "migration crisis" that encapsulates the complex human mobility consequences of emergencies and political crisis, highlighting IOM's comprehensive response.

IOM Member States adopted another Council Resolution (No.1229, 5 December 2011) establishing the Migration Emergency Funding Mechanism (MEFM) to be managed by the Director General, to enable IOM to respond rapidly in assisting migrants affected during the acute emergency phase of a humanitarian crisis. MEFM is an internal loan mechanism intended to bridge the gap between the start of emergency operations and subsequent receipt of donor funding. It will complement, rather than substitute, existing funds both within and outside the Organization, focusing on emergency migration evacuations or movements when other funds are not immediately available.

IOM's contribution to emergency responses and its requests for CERF funding operate in this humanitarian context and within the Organization's mandate. Section 3 will examine more precisely the relevance, performance and success of IOM's use of CERF funding mechanisms, as well as its relationship with CERF Management and the collaborative efforts with UN agencies and partners working in the same environment.

3. RELEVANCE, PERFORMANCE AND SUCCESS OF THE USE OF CERF BY IOM

The Section analyses issues related to IOM's strategic and effective management and use of CERF funds in terms of relevance, effectiveness, efficiency, outcome, impact and partnership. It is important to note that the analysis will not evaluate IOM global emergency responses, as other funds are usually received to complement the CERF funding and it would be difficult to specify which funds have been instrumental in a specific response and impact. The focus will be placed on criteria and indicators specific to CERF as a funding mechanism.

3.1 Relevance of CERF to IOM institutional humanitarian response

3.1.1 Strategic use of CERF funding mechanism

Table II of Section 2.1 shows that IOM is the sixth largest recipient of CERF funding among all 17 agencies for the period between March 2006 and June 2012; this overall ranking may indicate that IOM is using the CERF funding opportunity effectively; however, when analysing the funding percentages in relative terms, three main groups can be identified: i) between 10 and 35 per cent with three agencies (WFP, UNICEF, UNHCR); ii) between 5 and 10 per cent with 3 agencies, 2 of them being close to 10 per cent and IOM with 5.27 per cent (WHO, FAO, IOM); iii) the last group between 0.01 and 2.5 per cent with 11 agencies, many of them not regularly involved in emergency responses or lacking broad field presence.

Various reasons could explain the percentage variations, for instance the size of agencies, their roles in humanitarian emergencies, the high logistic costs of WFP operations, which could also justify the highest percentage of 33.69 per cent; however, it is not the purpose of this evaluation to conduct such a comparative analysis of the use of CERF between agencies, but to focus on the IOM portion and examine if the Organization is making relevant use of the funding mechanism.

IOM's not being a UN agency does not impede access to CERF funds, as the Organization actively participates in the UNCT and RC/HC prioritization work for defining the funding levels to be assigned to projects; this is confirmed through questions 8 to 12 of Section B of the survey¹⁴ and later in the report, in Section 3.4 Partnerships and coordination. The UN agencies fully accept its broad emergency mandate presented under Section 2 above, many collaborating actively in implementing activities within CERF allocations. IOM's leading role for the CCCM in natural disasters is further evidence of IOM's full integration in UN-led processes. The CERF Secretariat also shows flexibility to examine IOM's specific categories of beneficiaries, such as stranded migrants, on a case-by-case basis.

The regional distribution shown in the table below indicates that IOM intervenes in all regions, but some countries and emergencies may not be adequately covered. The same distribution applies to the sectors listed under Table I of Section 1.2 showing where the Organization has its main emergency activities covered by CERF funding (Shelters/NFI, Multi-sector, CCCM). Some IOM staff interviewed consider, however, that IOM may make better use of CERF for some specific sectors, for instance for Health and CCCM.

It is also important to consider that what is submitted to CERF from an RC/HC is decided according to a country-level prioritization, a process that selects a number of projects, based also on the fact that there is limited funding available, thus the decision to grant CERF funding to IOM in a given situation is not entirely the decision of IOM, but depends on the overall priorities agreed by the Humanitarian Country Team.

¹⁴ See Annex 4

Table III. Percentage by Geographical coverage of CERF 2006-2012

Region	%
Africa	39.80
Americas	23.45
Asia	24.23
Middle East	12.45
Europe	0.07
Total	100

Recommendation: The Department of Operations and Emergencies (DOE), in close collaboration with other IOM Departments, should review which IOM sectors of activities during a given year are inadequately covered by IOM in its funding requests, subsequently to be considered when prioritizing work in the field, also alerting IOM offices to the benefits of CERF funding. The review should also include the UFE requests based on IOM Headquarters' prioritization process.

In terms of strategic collaboration for project development and implementation, CERF enables IOM to respond rapidly and effectively to humanitarian emergencies and supports its emergency response at an early stage. On its side, IOM has to develop proposals in full coordination with the UNCT and in some cases with specific agencies. Governments frequently have only limited involvement in the specifics of developing CERF projects and, according to interviews, only on rare occasions has IOM been requested to develop a CERF proposal for implementation under full government supervision, even though government counterparts are expected to participate in the sectors and clusters intended to prioritize CERF interventions.

Question 1 of the survey on accessibility and flexibility of CERF funding and Questions 8 and 9 on collaboration with UN agencies and support to IOM proposals indicate that the HC/RC and UNCT have supported IOM project proposals and that IOM interventions either complement those of the other humanitarian participants or are sometimes carried out on behalf of UN partners due to IOM's comparatively quick implementation capacity and flexible management. Under Question 9, only 12.5 per cent of respondents consider that there was no correlation between HC/RC and UNCT support and IOM funding. Very few problematic cases were reported during the interviews, those cited being mainly due to personal perceptions of CERF funding priorities by the HC/RC and UNCT, or to IOM not being part of the UNCT in some countries.

Human rights aspects are generally well covered by CERF projects in line with IOM's mandate and 12 point Strategy, and as also shown under Question 13 of the survey or through documentation review of IOM project reports. Projects concerning protection also benefit from specific funding (Protection/Human Rights/Rule of Law sector registers 5.88 per cent of the total funds allocated as per Table I), in addition to funds allocated to a protection component in the other projects. As with any project, activities are developed to address the issues identified during inter-agency assessments, which also include gender, health and psychological support.

IOM's DOE has developed specific expertise for gender mainstreaming in emergencies, also in line with CAP requirements to include a gender component. IOM is a member of the IASC and its Sub-working Group on Gender and Humanitarian Action, which supports a strategy for integration of gender as a crosscutting issue, including through the use of a gender marker in all projects; however, the scope and duration of CERF projects are not intended to include all human rights

issues, such as protection against counter-trafficking in camps and gender-related activities, although addressing such issues early in a crisis allows recognition of their importance and forms a basis upon which other funds can build.

Question 3 of the survey also indicates that breaking down CERF funding into 17 sectors is seen as largely facilitating IOM project development and requests for CERF funding. In countries whose humanitarian emergency response is predominantly migration-related, as in Libya, IOM often requires and receives multi-sector category funding from CERF that allows the development of more integrated, all-encompassing responses. Answers to questions 4 and 5 also confirm that CERF instructions on how to allocate funds between the windows are clear.

Conclusion: The way IOM develops reviews and submits its projects is strategically coherent and shows the importance of CERF projects when interacting locally with the UN system. The project selection system is generally well established with active IOM participation and, when present in the country, OCHA also plays a role in coordinating and facilitating humanitarian response prioritization and subsequent UN funding appeals, including IOM. Human rights are well covered by IOM projects taking into account IOM's recognized protection role, and DOE has expertise on gender issues with focus on vulnerable women and children.

3.1.2 Relevance of IOM management guidelines to CERF requirements

General Assembly Resolution 60/124 of December 2005 calls for “the establishment of an appropriate reporting and accountability mechanism to ensure that the funds allocated through the Fund are used in the most efficient, effective and transparent manner possible”. The CERF Advisory Group reiterated the call in 2006, confirmed also in 2008 by the CERF Two-year Evaluation. The CERF Secretariat developed a Performance and Accountability Framework (PAF), finalized in August 2010. The ERC and the CERF Secretariat “will use the PAF to clarify performance expectations and management accountabilities among different actors and will report according to the mechanisms established in the framework”.¹⁵

Developed to complement internal agency accountability frameworks, PAF sets out clear accountability measures and reporting processes. It is based on an analytical framework and logic model defining the different levels of CERF, including performance reporting; supervision and monitoring mechanisms; external audits; evaluations and reviews; internal project review and control processes; compliance and guidance documents; and public reporting mechanisms. PAF uses the logic model approach which shows the links between inputs, outputs, outcomes or operational effects and operational impact, and defines a hierarchy of results and indicators for each level: for instance at Input level, the result “Transparent and Inclusive Prioritization and Decision-Making” includes indicators such as “all members of UN Humanitarian Country Team and clusters aware of CERF availability” and “analysis of funding undertaken to inform prioritization process and facilitate appropriate direction of funds”; another result at Input level is “UN Agency/IOM Monitoring, Reporting and Evaluation (M/R&E) Systems in place”; at Output level, two results are listed “Life-Saving Activities Supported” and “Timely response” respectively, with the following sample indicators “availability of CERF funding recognized by recipient agencies as being fundamental to the ability to respond to life-saving needs and gaps” and “number of no-cost extensions requested”.

The purpose of the evaluation is, however, not to discuss the results and indicators for each PAF level in detail, but to refer to PAF for the analysis and proposing possible improvements to IOM's management of CERF funds. The survey questionnaire was also developed taking the elements of

¹⁵ Performance and Accountability Framework (PAF) for the Central Emergency Response Fund (CERF), August 2010.

PAF into account. IOM has not developed specific instructions for CERF projects, other internal management guidelines being available, such as the IOM Guidelines on Rapid Response Mechanisms updated in September 2011. The CERF PAF is not intended to override existing accountability and performance tools.

CERF has been flexible in adapting its criteria according to need; for instance, and as already mentioned, CERF has been more inclusive in assisting stranded migrants, a case that DOE and the Special Liaison Office in New York brought to its attention since 2007, also the life-saving criteria was updated in 2010 to take into account the CCCM. Questions 20 and 21 of the survey do not indicate a need for specific CERF financial and reporting guidelines in addition to those already available in IOM.

Another CERF criteria issue that IOM brought to the attention of the CERF Secretariat concerns staffing levels: CERF instructions require keeping staff costs to 'minimum', 10 per cent of the total budget being an informal CERF reference, although it is ready to consider higher costs within acceptable limits when duly justified; however, the report's Section 3.4 Partnership and coordination notes that compared to other agencies, IOM relies mainly on its own staff expertise for implementation, which is confirmed in the CERF Secretariat report of May 2012: according to information reported in the annual RC/HC CERF narrative reports sub-grants only amount to 9.2 per cent of all CERF funding received by IOM, compared to an inter-agency average of 17.5 per cent.¹⁶ Sub-contracting experts through implementing partners falls under another budget line and is not recorded as expert staff costs.

IOM's CERF funded projects over the past six years have had some difficulty reconciling the Organization's projectized budgeting and labour-intensive activities in humanitarian response with CERF's restriction on staff costs. Limiting them in labour-intensive projects such as CCCM activities may put project integrity at risk. IOM recognizes that CERF is not meant to be the sole donor for humanitarian activities and actively seeks other funding to cover all staffing needs; however, additional flexibility on staff costs for certain CERF projects could be considered, for instance by recognizing some as operational costs, as already authorized by other donors according to interviews.

Concerning overall guidance and training on CERF use, CERF has carried out regional training including several IOM staff, having helped IOM to enhance its institutional knowledge and use of CERF, and DOE has held numerous training courses over the years on IOM's overall emergency response and cluster system, including presentations on accessing and using CERF. IOM New-York and DOE also provide case-by-case guidance for IOM field missions applying for CERF grants.

Regarding the monitoring and evaluation (M&E) of the performance of CERF-funded projects in line with the PAF indicators listed under the Outputs and Outcomes levels, IOM has not developed specific Monitoring and Evaluation guidance, using existing tools such as the IOM Project Handbook and IOM Evaluation Guidelines. Interviews with the CERF Secretariat have indicated general satisfaction with IOM's reporting and information-sharing on the use of CERF funds.

Responses to Question 14 of the survey about M&E and performance indicators are, however, mixed: less than half of respondents indicate that a proper M&E component and performance indicators exist; 38 per cent of respondents consider that more work is needed on IOM's reporting format to include monitoring and project performance, for instance through a more focused

¹⁶ UN Agency sub-granting of CERF funds to implementing partners, CERF Secretariat, May 2012, based on information reported by recipient agencies in the annual RC/HC narrative CERF reports.

performance reporting framework. According to interviews and the document review, the evaluation noted however that some IOM CERF projects do include an M&E budget line and the relevant reports may be shared with the rest of the UNCT and HCs/RCs without necessarily being included in a centralized database in IOM. The CERF Secretariat also informed IOM in a recent meeting that it would like to improve the measurement of the performance of projects to complement the annual reports by the RC/HCs and the performance and accountability analysis made through the Country Review mechanism managed by CERF.

Finally, while there is a clear need to incorporate connectedness¹⁷ aspects in humanitarian action, these fall outside the direct framework of CERF-funded projects. The implementation of CERF interventions are rightly the basis for short-term results, as defined in CERF objectives and guidelines, although two-thirds of respondents to Question 26 of the survey still consider that such a concept was not sufficiently included in CERF-funded humanitarian responses and insufficient consideration was given to connectedness as is for instance the case for staff issues mentioned above.

Conclusion: There is no added value in developing specific instructions and guidelines for managing CERF projects in IOM, and external and internal initiatives already exist for training and information sharing on CERF. There is already regular, effective dialogue between IOM and CERF when specific issues concerning guidelines and criteria arise; however, there is need to improve IOM's centralized management of the CERF M&E component, with some consideration on connectedness, for instance when linking the concept to CERF funds being used as seed funding and for start-up phases of operations.

Recommendation: Regular training opportunities, particularly for newly-recruited staff, should be maintained by DOE and summarized guidance notes on CERF including PAF indicators should be prepared and updated, to be sent to the field for easy reference. IOM should reinforce the M&E component of CERF funding management in line with the PAF indicators, as well as information on IOM M&E initiatives. In addition, DOE should consider conducting periodic, centralized, real-time evaluations or performance monitoring visits of CERF projects. Dialogue with the CERF Secretariat concerning IOM staffing costs in IOM project proposals should continue in the same constructive spirit.

3.2 Effectiveness and timeliness of the management and use of CERF

3.2.1 Effectiveness of IOM management of CERF

IOM's management of CERF-funded projects is largely decentralized to the field as regards project identification and development, project implementation and financial management. The IOM in-country team, and/or the Regional Emergency Officers of the DOE in particular when intervening where IOM has little or no presence in the country, are responsible for conducting the needs assessments and developing the proposal in coordination with UN Agencies.

DOE at Headquarters and its delocalized Regional Emergency Officers provide technical assistance and guidance for the field and endorse all CERF projects before submission to the HC/RC and

¹⁷ Connectedness can be defined as 'the need to assure that activities of a short-term emergency are implemented in a way that takes longer-term and interconnected approaches into account' (IOM Evaluation Guidelines- 2006).

UNCT.¹⁸ The Migration Health Division (MHD) of IOM's Department of Migration Management (DMM) also provides technical guidance and oversight on all health-related projects (4.48 per cent of the total of CERF funded projects submitted by IOM are health-specific projects as per Table I, in addition to projects with a health component), with activities such as needs assessments on health-related issues in the camps, psychological support, health referrals to ensure continuity of care and fitness to travel.

The Donor Relations Division (DRD) manages donor liaison, appeals submission and supervises financial and narrative reporting to donors, including for CERF. IOM also tasked a Programme Specialist from its New York office to act as the Focal Point of all UN funding mechanisms related to humanitarian assistance, and for managing the institutional relationship with the CERF Secretariat. The Focal Point also ensures proper information flow between IOM Field Offices, IOM Headquarters and the CERF Secretariat, feedback on any managerial issues, particularly project approvals and reporting, and maintenance of a database of agreements, reports and other documentation related to CERF projects.

Interviews and documentation review indicate that the CERF Secretariat and IOM have maintained close relations leading to effective collaboration and information sharing. CERF Secretariat's responsiveness to queries and issues regarding access to CERF funding contributes to proper use and application of CERF funds. The effective and important role of the IOM Focal Point has been recognized internally, as well as being warmly praised by the CERF Secretariat during the meetings and interviews.

IOM's decentralized field-driven approach from an early stage of a crisis and field level needs assessments contribute to effective use of CERF funds. IOM's flexible administrative and organizational management does not impose unnecessary burdens from the IOM Regional Offices and/or from Headquarters that could affect its management. IOM's operational capacity and rapid delivery of results on the ground have often been recognized both by CERF Secretariat and IOM's traditional donors.

Fifty-six per cent of respondents to Question 20 of the survey agree that IOM specific and flexible administrative procedures add value to management and reporting: the financial systems can accommodate the CERF deadlines for closure of accounts and operational reporting. The N/A responses (19 per cent) correspond to those respondents who do not consider that IOM procedures add value or affect project implementation. Twenty-five per cent of respondents saw a need for more rapid processing of some administrative procedures, particularly from the IOM Legal Office, such as drawing up partners' contracts and the amount of advance payment. Corrective measures were under consideration and implementation by IOM during the evaluation.

IOM very often uses its decentralized and flexible management policy within countries to recruit local staff, local authorities and in some cases national NGOs as contracting partners, to expedite project implementation. This approach is culturally sensitive, serves to reduce language barriers and contributes to building the operational and technical capacity of local staff and partners.

Conclusion: IOM's financial and operational management of CERF-funded projects follows its administrative and operational procedures established for emergency operations. IOM is recognized by its donors and the CERF Secretariat in particular as effective both in implementation and reporting. IOM departments and offices provided technical guidance and support, and collaboration with the CERF Secretariat is fully satisfactory. CERF maintains a very useful database for all grants including those to IOM, this information being integrated into IOM's own database managed by the

¹⁸ Technical assistance is not limited to CERF projects and is provided for in the overall IOM Humanitarian Response.

IOM Special Liaison Office in New York. CERF Secretariat and IOM New York response to requests for information is also effective.

3.2.2 Effectiveness and timeliness CERF funding use

The evaluation's objectives do not include appraisal of the effectiveness of each project implemented during the period covered; however, as recommended under Section 3.1.2 above, improvements to specific performance monitoring of CERF-funded projects to document the results achieved more effectively should be examined.

According to interviews, Questions 24 and 25 of the survey and the documentation review, a large majority of CERF projects can be considered as effective in providing critical support to initiate IOM emergency operations and address the needs of identified beneficiaries; comments from the open Question 25 illustrate this finding:

- "CERF is a critical instrument for an organization such as IOM to be able to respond almost immediately to an emergency. For IOM in particular CERF resources are often the first ones to be identified in response to a humanitarian emergency. So the impact on IOM's efficiency and responsiveness is significant. Overall effectiveness is only as good as the projects themselves. In that regard, RR projects adhere more closely to life-saving objectives and timely response principles, than some of the UFE projects funded by CERF";
- "In UFE this has provided valuable contribution to otherwise under-funded emergency response for IOM and other agencies, in particular for IDP situations and last year during the Horn of Africa drought, both cases where initial donor interest had ceased and CERF was able to provide a funding boost to address critical needs of affected populations".

Question 7 of the survey also indicates that in over two-thirds of the cases, IOM managed to obtain additional donor funding after receiving CERF funds: in some cases, as a direct consequence of the CERF funding. Interviews also indicated cases where CERF funding had no role in attracting additional donor funding, donors being aware of needs on the ground and IOM's effective and immediate operational capacity.

Timeliness of assistance is essential in emergencies and humanitarian responses, as even one day's delay can have a major impact on the lives of beneficiaries. Questions 1 and 25 of the survey indicate that almost all respondents agreed that CERF was flexible and accessible and therefore useful for humanitarian response. Cases where CERF added no value remain marginal as also noted during the documentation review.

Under CERF-RR funding, a deadline is established for project implementation of a maximum of 6 months; direct life-saving needs can be covered within such a period pending additional resources to be allocated to the emergency. As already stressed in various sections of the evaluation, CERF has been effectively used by IOM as a primary source of emergency response funding. IOM data for 2011 to 2012 indicate that the usual period between countersignature of the approval letter and funds disbursement to IOM is between 3 to 10 working days; however, the preparatory work in the field and coordination within UNCT can increase this interval. Programme re-designing has been rare in IOM and projects requiring modification have retained their original objectives.

Conclusion: The evaluation did not conduct a detailed analysis of the performance of individual projects, this not being within its terms of reference, but there are clear indications for concluding that

overall IOM implementation has been effective. Timeliness of CERF funding is recognized as adding value to rapid response.

3.3 Efficiency and accountability

When conducting CERF-funded projects, IOM applies the oversight and accountability processes and instructions contained in its Project Handbook, emergency guidelines and financial instructions, with some adaptations to the specific reporting formats requested by CERF. Financial reporting is supervised by the Department of Resources Management (DRM) and the Focal Point of the Special Liaison Office New York, particularly regarding deadlines. As already mentioned Questions 20 and 21 of the survey confirm that CERF and IOM's reporting requirements are clear and not too time consuming.

Control mechanisms and reporting have largely met the CERF requirements for the majority of the projects financed as recognized by the Secretariat, and with a few exceptions they can be considered as efficient in supplying appropriate information and accountability to the stakeholders. CERF applies the single audit principle for specific projects implemented, relying on internal controls and audits performed by the Organization.

Other quality assurance checks, for instance for procurement and data verification systems, are applied as for other IOM emergency interventions and are institutionally well established under the overall responsibility of DRM and DOE. The current evaluation is another aspect of accountability to CERF that IOM has committed itself to undertaking.

Question 23 of the survey indicates that IOM had to return unspent CERF funds in almost one-third of the cases, primary factors being political constraints beyond the control of IOM affecting project implementation and lack of accessibility due to insecurity at project sites; however, the amount of funding returned represents only an estimated 2 per cent of the total funding allocated, that did not impact the overall implementation of the projects or damage IOM's credibility in proper budgeting of its activities. Only in 2 cases were the returned amounts high percentages of the total project budget (one case at 39 per cent, the other nearly 50 per cent), mainly because continued deteriorating security situations were preventing full implementation.

CERF has experienced a recent surge in requests for no-cost extensions (NCE) from benefiting agencies, including IOM. CERF provided additional guidance on no-cost extensions in November 2011, allowing them on an exceptional basis if documented evidence were supplied confirming events beyond the recipient agency's control. It remains strategically important for IOM to continue planning CERF interventions without envisaging the possibility of no-cost extensions and by relying on positive feedback and planning for alternative funding sources to respond adequately to unexpected constraints and events. In recent meetings with IOM, the CERF Secretariat reiterated its demand to keep the requests for no-costs extension to a minimum.

According to Question 22 of the survey, 56 per cent of respondents had requested a no-cost extension; all but one being vetted and approved by the CERF Secretariat. The requests were mainly due to inability to implement the projects due to external factors such as security, military operations or specific climatic conditions leading to continuously restricted access to project areas. Documentation review and interviews indicate however, that the overall number of NCE may not be as widespread among all IOM projects as the survey indicates with the figure of 56 per cent; according to CERF data, 26 requests for no-cost extension had been made by IOM since 2006 (18 per cent of the total of projects submitted during the same period) with only 2 requests rejected, and 6 requests for reprogramming of UFE projects all being accepted.

Recommendation: The evaluation did not identify problems in efficiency and accountability; IOM should continue paying attention to the issue of no-costs extensions and the need to plan expenditure efficiently, particularly to avoid returning unspent funds, as requested by CERF Secretariat.

3.4 Partnership and coordination

The UN partnership has been instrumental in supporting IOM's access to CERF funds. As mentioned in the survey, more than two-thirds of respondents agree that UNCT was effective in supporting IOM's requests for project funds; more importantly, 88 per cent of respondents stressed the importance of inter-agency partnership in enabling IOM to carry out its projects. A wide range of partnerships had been developed with a large number of UN agencies, always in sectors where synergies could be achieved with the partners and in accordance with context-specific needs.

Examples of this collaboration under CERF include the partnership with UNHCR across a range of actions (CCCM, Shelter and NFIs, multi-sector for refugees); with WHO and Health Cluster for health; with FAO, UNICEF for the WASH cluster; and partnerships with protection participants (UNHCR, OHCHR, the Inter-Agency Mental Health and Psychosocial Support Working Group among others). In several cases, partners advocated for IOM to receive funds to undertake critical activities, e.g. UNHCR for transportation and health assistance in Ghana, and UFE in Ethiopia where IOM was supported to implement complementary interventions to FAO and UNDP. The partnership with OCHA, both overall and in multi-sector activities, is also effective but not directly linked to the use of CERF funds, as OCHA is not eligible for CERF grants.

Some comments of the open Question 8 of the survey are examples of good partnership:

- "IOM in the UN country team is considered as part of the UN family, and is always called for consultation meetings before CERF allocation is awarded. The Resident Coordinator is also very supportive of IOM participating in the CERF process, for both UFE and RR windows. The UNCT also calls upon IOM to participate in the evaluation process conducted by OCHA on a regular basis";
- "The active participation of IOM in the UNCT and the HCT is well known by now, as it is also well known that IOM has access to the CERF in the same manner as other UN Organizations. IOM has also acquired global cluster responsibilities which have enhanced its role and visibility in the international humanitarian community and with HCs".

Effective partnership with the UN contributed to ensuring proper coverage, as projects were not endorsed and undertaken in a vacuum but in collaboration with other humanitarian agencies. Collaboration is reportedly less clear when IOM's target groups fall outside traditional humanitarian categories in large scale emergencies and for which IOM has to take the lead for implementation: in the Libya crisis, more than 300,000 third country nationals (TCN) from 25 countries had to be evacuated urgently and provided with return travel assistance in collaboration with UNHCR.¹⁹

IOM as a projectized organization with proven humanitarian experience is largely an implementing agency and most of its emergency projects are self-implemented. IOM is frequently in the front line and implements activities with its own staff, particularly local staff. The number of cases where

¹⁹ Stakehouse International, External Process Evaluation of IOM's response to the Libya Crisis, November 2011.

NGOs are sub-contracted for CERF project implementation is lower than in other agencies. Survey respondents overwhelmingly reported that IOM is doing most of the implementation by itself and in only 19 per cent of cases are NGO partners partly responsible for implementation. This is confirmed by the CERF Secretariat report of May 2012, where sub-grants (to governments, INGOs or NNGOs) only amount to 9.2 per cent of all CERF funding received by IOM,²⁰ compared to an inter-agency average of 17.5 per cent.

Data on the relatively long disbursement timeframe to partners, as already mentioned in the evaluation, also indicates that the lack of more expeditious and effective contractual arrangements and partnership agreements could deter the decision for greater use of CERF funds. Another problem appears to be the amount of pre-payment that IOM is able to offer to partner NGOs as start-up funds for organizing their implementation responses.

Conclusion: Partnership and coordination with UN Agencies can be considered relevant and fully effective, as well as institutionally well established and recognized. The low percentage of the use of implementing partners is simply in line with IOM's operational functioning, relying on its own expertise and experience.

3.5 Outcome and impact

As underlined in the Introduction, the evaluation does not intend to rigorously measure the impact of IOM's CERF-funded interventions on beneficiaries, as this would require a level of financial resources that are not readily available and would raise a number of methodological questions and obstacles regarding its feasibility and the evaluability of such a process, e.g. in identifying the number of lives saved as per CERF overall intent.

Instead, the evaluation looks indirectly at the overall outcome and impact by examining how IOM has been affected in its capacity to provide emergency response through its access to CERF funds and how the Organization strategically positions its requests for funding to meet the objectives of CERF funded projects and enhanced response to time-critical requirements.

Survey respondents, in particular to Question 25, and interviews show that CERF funding was a key funding mechanism of the early response capacity of IOM to address emergency needs. There is wide consensus that CERF did contribute to alleviating human suffering and to providing much needed assistance for vulnerable groups through direct life-saving activities. As mentioned by some respondents:

- "Excellent granting mechanism, compared to just about any other funding mechanism it is lightning fast, evidence based and impact orientated. Compared to most funding mechanisms (and if you have a good OCHA in the country) it goes to the agencies with the capacity to deliver";
- "Generally speaking, the CERF funded projects are effective and have an important and positive life-saving and humanitarian impact on the given emergency outcome";
- "Good effectiveness and quick impacts on beneficiaries, thanks to the easy and quick funding approach, ensured by the expertise and operational capacities of the Missions".

²⁰ UN Agency sub-granting of CERF funds to implementing partners, CERF Secretariat, May 2012, based on information reported by recipient agencies in the annual RC/HC narrative CERF reports

CERF rapid disbursements to IOM have played a key role in responding to emergencies and addressing the needs of beneficiaries. While CERF is not a stand-alone funding mechanism but is designed as an initial start-up fund for emergency response and crises, it is also important to consider the need for linking the immediate life-saving response needs to the longer-term concerns of and responses to the vulnerable population being assisted. Question 7 of the survey shows that in over two-thirds of the cases, IOM managed to obtain additional donor funding after having received CERF funds.

Recommendation: In line with the recommendation on an improved monitoring and performance measurement system, some specific indicators related to the outcome and impact of CERF funded projects should be added. When relevant, evaluations of IOM emergency responses should include a specific section on CERF examining the added value and impact of CERF funded projects to IOM's overall response.

4. SUMMARY OF CONCLUSIONS AND RECOMMENDATIONS

4.1 Conclusions

- *The way IOM develops reviews and submits its projects is strategically coherent and shows the importance of CERF projects when interacting locally with the UN system. The project selection system is generally well established with active IOM participation and, when present in the country, OCHA also plays a role in coordinating and facilitating the humanitarian response prioritization and subsequent UN funding appeals including IOM. Human rights are well covered by IOM projects taking into account IOM's recognized protection role, and DOE has expertise on gender issues with focus on vulnerable women as well as children.*
- *There is no added value in developing specific instructions and guidelines for managing CERF projects in IOM, and external and internal initiatives already exist for training and information sharing on CERF. There is already regular, effective dialogue between IOM and CERF when specific issues concerning guidelines and criteria arise; however there is need to improve the IOM's centralized management of the CERF M&E component, with some consideration on connectedness for instance when linking the concept to CERF funds being used as seed funding and the start-up phases of operations.*
- *IOM's financial and operational management of CERF-funded projects follows its administrative and operational procedures established for emergency operations. IOM is recognized by its donors and the CERF Secretariat in particular as effective both in implementation and reporting. IOM departments and offices provided technical guidance and support, and collaboration with the CERF Secretariat is fully satisfactory. CERF maintains a very useful database for all grants including those to IOM, this information being integrated into IOM's own database managed by the IOM Special Liaison Office in New York. CERF Secretariat and IOM New York response to requests for information is also effective.*
- *The evaluation did not conduct a detailed analysis of the performance of individual projects, this not being within its terms of reference, but there are clear indications for concluding that overall IOM implementation has been effective. Timeliness of CERF funding is recognized as adding value to rapid response.*
- *Partnership and coordination with UN Agencies can be considered relevant and fully effective, as well as institutionally well established and recognized. The low percentage of the use of implementing partners is simply in line with IOM's operational functioning, relying on its own expertise and experience.*

4.2 Recommendations

- **The Department of Operations and Emergencies (DOE), in close collaboration with other IOM Departments, should review which IOM sectors of activities during a given year are inadequately covered by IOM in its funding requests, subsequently to be considered when prioritizing work in the field, also alerting IOM offices to the benefits of CERF funding. The review should also include the UFE requests based on IOM Headquarters' prioritization process.**
- **Regular training opportunities, particularly for newly-recruited staff, should be maintained by DOE and summarized guidance notes on CERF including PAF indicators should be prepared and updated, to be sent to the field for easy reference. IOM should reinforce the**

M&E component of CERF funding management in line with the PAF indicators, as well as information on IOM M&E initiatives. In addition, DOE should consider conducting periodic, centralized, real-time evaluations or performance monitoring visits of CERF projects. Dialogue with the CERF Secretariat concerning IOM staffing costs in IOM project proposals should continue in the same constructive spirit.

- The evaluation did not identify problems in efficiency and accountability; IOM should continue paying attention to the issue of no-costs extensions and the need to plan expenditure efficiently, particularly to avoid returning unspent funds, as requested by CERF Secretariat.
- In line with the recommendation on an improved monitoring and performance measurement system, some specific indicators related to the outcome and impact of CERF funded projects should be added. When relevant, evaluations of IOM emergency responses should include a specific section on CERF examining the added value and impact of CERF funded projects to IOM's overall response.

ANNEX 1

IOM Evaluation of CERF-funded Interventions (2006-2012) Terms of Reference

1. Background

The UN Secretary-General proposed in Report 60/432 on 20 October 2005 the upgrading of the *Central Emergency Revolving Fund*, a USD 50 million loan facility created in 1991: A new mechanism the *Central Emergency Response Fund* (CERF) was established to enable more timely and reliable humanitarian assistance to those affected by natural disasters and armed conflicts. The new CERF was adopted through General Assembly Resolution 60/124 of 15 December 2005, with a total annual amount of USD 500 million. CERF allocations have reached almost USD 2.5 billion since its inception. In accordance with this resolution, only the United Nations and its funds, programmes and specialized agencies and the International Organization for Migration (IOM) are eligible for CERF.

As one of the key funding sources for humanitarian response, CERF's objectives are to: (i) promote early action and response to reduce loss of life; (ii) enhance response to time-critical requirements; and (iii) strengthen core elements of humanitarian response in under-funded crises. CERF is comprised of both a grant and loan facility. The grant component of USD450m is comprised of two windows: the rapid response window which is a field-driven process providing cash-flow and seed money for life-saving humanitarian activities in the direct aftermath of a crisis or to respond to time-critical requirements and comprises two-thirds of the annual grant window; and the under-funded emergencies window that comprises the remaining one-third of the annual grant window. The loan facility of USD 30m annually is for agencies' emergency programmes based on indication that other donor funding is forthcoming. As an indicative figure, in 2011, CERF allocated USD 426.1 million to 45 countries, with 37 projects funded through the rapid response window amounting to USD 282.7 million and 20 projects in the under-funded emergencies window with USD 143.4 million.²¹

Since 2005, three evaluations of CERF were conducted: the *2007 Interim Review*, the *2008 Two-Year Evaluation* and the *5-Year Evaluation of the Central Emergency Fund* issued in August 2011. One of the 2011 evaluation report recommendations was that UN Agencies and IOM should "conduct an evaluation of their use of CERF funds within 18 months to determine what internal factors, including partnership policies and practices, influence the effectiveness of CERF projects". In the Secretary-General's letter of 13 December 2011 to the President of the General Assembly (A/66/613), he transmitted the recommendations of the CERF Advisory Group addressed to him, mentioning inter alia that "the Advisory Group asked that the CERF Secretariat continue to encourage independent evaluations and reviews of CERF-funded activities by recipient United Nations agencies and the International Organization for Migration (IOM), along the lines of the evaluation by the Food and Agricultural Organization of the United Nations of its use of CERF funds, and requested the United Nations agencies and IOM to conduct similar independent evaluations or reviews of CERF-funded interventions". In a meeting with the CERF Secretariat in December 2011, IOM agreed to carry out an internal evaluation in the course of 2012, under the overall responsibility of the Office of the Inspector General of IOM.

Another important document issued for CERF management is the *Performance and Accountability Framework (PAF)* adopted in 2010 in response to a Resolution calling for the establishment of an

²¹ Based on data at 31.12.11 from the CERF <http://www.unocha.org/cerf/cerf-worldwide/funding-window/funding-window-2011>

appropriate reporting and accountability mechanism. The PAF is not intended to add bureaucracy or rigidity to the management of the fund; it is established as a means for formalizing a clear set of accountability mechanisms and reporting processes.

According to the data at the end of 2011, the International Organization for Migration is the sixth largest recipient of CERF (during the period of 2006-March 2012) with almost USD 128 million (5.27% of total funds allocated), of which about USD 87.5 million fall within rapid response and about USD 40.5 million within under-funded emergencies. CERF funding represents the eighth largest source of funding for IOM emergency operations. IOM funding received from CERF has grown substantially from over USD 4.5 million in 2006 to over USD 38 million in 2011. Geographically since 2006, CERF funding for IOM was allocated mainly in Africa with USD 50.4 million (39.4%), in the Americas USD 31.3 million (24.5%) and Asia USD 32.3 million (25.3%). The three major sectors that received funding are Shelter and NFI with USD 59.3 million (46.4%), multi sector USD 27.2 million (21.3%), and Camp Coordination and Camp Management (CCCM) with USD 12.4 million (9.7%). Other sectors included protection, human rights, rule of law, health, water and sanitation, education, agriculture and logistics/transportation projects including evacuation operations.

According to the 2011 Annual Report of IOM on CERF "timely and predictable funding from CERF has enabled IOM's humanitarian response capacity to be more nimble and implement time critical, life-saving activities in sudden onset emergencies (or rapid deteriorations thereof) and strengthen the core elements of the overall humanitarian response in under-funded emergencies. This was particularly highlighted during the Libya crisis in which 796,915 migrants had crossed the Libyan borders in 2011: of that group, 318,007 were third-country nationals (TCNs) assisted by IOM. Early in the crisis, when up to 7,000 migrants per day were crossing into Tunisia and in dire need of humanitarian assistance, CERF provided USD 1.8m to IOM to provide immediate evacuation assistance from the border. This rapid funding permitted decongestion of transit camps and the onwards movement of 99,000 people, which helped mitigate a larger humanitarian crisis."

2. Objectives of the evaluation

The Evaluation is intended to provide a thematic, strategic and operational analysis of IOM's CERF-funded interventions in the field during a six-year period between June 2006 and June 2012. CERF funds have supported a highly diversified portfolio of projects within the realm of humanitarian interventions including situations of stranded migrants.

The evaluation aims at identifying:

- if, when and why CERF funding has played a critical role to ensure that IOM could deliver its interventions in rapid response, in under-funded emergencies and in its leading role for CCCM for population displaced by natural disasters,
- IOM's specific success criteria in line with IOM mandate, in addition to CERF's stated specific objectives and success criteria.

The evaluation also intends to assess the strategic outcome of the range of IOM CERF-funded interventions and the short-term direct impact of CERF projects (as opposed to the longer-term effects), including on mobilizing funds for IOM's emergency responses.

The evaluation will provide the basis for IOM's informed decision-making and policy on the use of CERF funding through a series of recommendations and guidance on strategy, narrative reporting, operational procedures, challenges and success criteria.

In particular, the evaluation will focus its recommendations on how to improve IOM's emergency operations carried out under CERF, to strengthen compliance with and promotion of CERF's Performance and Accountability Framework vis-à-vis IOM's use of CERF funds and to foster transparency and accountability to the CERF Secretariat, NGO implementing partners, beneficiaries, donors, the UN Emergency Relief Coordinator, governments and other relevant stakeholders. The evaluation may also be used and shared to strengthen the Inter Agency response. The evaluation will also appraise the partnership and coordination arrangements made in IOM interventions.

3. Scope of evaluation

The evaluation will analyse specific uses in both the rapid response and under-funded emergencies windows as well as the use of CERF for IOM CCCM cluster lead role. It will classify CERF-funded projects by IOM categories and operational areas of implementation (such as natural disasters, movement of people, stranded migrants, humanitarian response, cluster support etc.). The aspect of the loan within CERF structures will be reviewed and some analysis of the lack of use of such window will be made. It will also undertake a limited number of case studies selected according to specific criteria in terms of volume of funds, sectors and geographical area across both funding windows of rapid response and under-funded emergencies.

The main focus of the analysis will be on:

- the relevance and strategic use of CERF by IOM in meeting CERF's core objectives within IOM's specific mandate,
- the added value for IOM of using CERF over other donor resources,
- the use of CERF in leading to a more timely response by IOM and enhanced IOM's ability to reach affected populations,
- determining if CERF contributed to IOM's ability to support the humanitarian country team's strategic objectives,
- the overall effectiveness of CERF-funded projects in meeting the objectives set by the emergency responses,
- the overall outcome and impact of the use of CERF as a funding tool, in particular by examining the coverage of populations, and its ability to leverage further donor support

The evaluation will also examine the relevance and effectiveness of strategic partnerships and cooperation, humanitarian coherence, the connectedness of CERF-funded projects, as well as the degree to which gender and human rights issues were incorporated in IOM interventions.

4. Guiding questions

4.1 Relevance, coherence and connectedness

- 4.1.1 Is IOM's use of CERF funding strategically relevant to meet the requirements of an emergency operation in line with IOM's mandate and the objectives set-up by the CERF Funding mechanism (both windows will be covered)?
- 4.1.2 Do specific IOM's policies, standard procedures and fundraising guidelines facilitate a systematic, harmonized and relevant use of CERF and guide the discussions with the UNCT for IOM's access to CERF Funding?
- 4.1.3 In terms of connectedness, how does CERF Funding assure that activities during an emergency are implemented in a way that takes medium and longer-term and interconnected approaches into account?

- 4.1.4 Are external factors/partners such as national governmental policies, administrative capacities, institutional and cultural factors, including gender, taken into account when applying for and subsequently carrying out a CERF-funded project? Do CERF funds support the identification and inclusion of local expertise from the affected region at the initial stage of the emergency?
- 4.1.5 Are gender mainstreaming or human rights aspects being systematically assessed and woven into the project fabric under formal criteria respectively?
- 4.1.6 Do CERF-funded projects include a monitoring and evaluation mechanisms to report on lessons learned and recommendations for future CERF-funded interventions?

4.2 Effectiveness and coverage

- 4.2.1 What are the roles of IOM's Country Offices, Regional Offices, SLO NY and Headquarters in submitting CERF-funded project proposals? Is a transparent and effective communication and coordination mechanism in place, including on reporting?
- 4.2.2 How are performance indicators being monitored? Is there a quality assurance and data verification system? How globally effective has IOM been in achieving expected results and in reaching the objectives of CERF-funded activities? Was the coverage of population adequate?
- 4.2.3 How cost-effective can IOM's implementation of CERF-funded projects be considered? What is the added value of CERF to respond to a crisis versus other donor sources?
- 4.2.4 How timely does IOM receive CERF funding? How effective is IOM in using CERF funds in a timely fashion including with NGO implementing partners?

4.3 Efficiency

- 4.3.1 How do IOM financial rules and regulations affect/facilitate the use of CERF funding, in particular when working with implementing partners?
- 4.3.2 Are expenditures monitored to guarantee transparency and to ensure solid base line data for further financial analysis in line with operational requirements and expected results?

4.4 Outcome and impact

- 4.4.1 Are there any outcome and/or strategic impact of CERF funds on IOM, serving for instance as catalysis for resource mobilization vis-à-vis other donors (especially from the under-funded emergencies window)? Has a change in donor behaviour occurred over time since 2006?
- 4.4.2 What is the immediate outcome of CERF's rapid disbursement procedures for IOM's cluster lead position of the Camp Coordination and Camp Management in natural disasters (in terms of responsiveness or specific thematic areas)? Does a cluster lead position secure more funding from CERF?
- 4.4.3 What can be concluded on the use of CERF by IOM regarding short and medium-term impact on beneficiaries and the overall humanitarian response, including when IOM has cluster lead position?

4.5 Partnerships and coordination

- 4.5.1 Does CERF funding mechanism facilitate joint project interventions among IOM and UN Agencies and/ or other relevant civil society, community based, non-governmental or governmental stakeholders? In such a partnership how does IOM's direct access to managing CERF funding affect/benefit collaboration?
- 4.5.2 Is IOM developing CERF-funded project proposals in collaboration with UN Agencies and/ or NGO partners? Would such a participatory approach facilitate future collaboration, coordination and clarity of respective areas of work and mandates?
- 4.5.3 With which partners does IOM collaborate most frequently in the implementation of CERF-funded projects? How roles, responsibilities and costs are divided and allocated amongst the partners and how are expectations on performance managed?

5. Methodology and timeframe

Being a thematic and strategic evaluation, the methodology will be adapted, in particular maintaining a balance between a global analysis and a more specific assessment of selected cases, which can properly illustrate the use of CERF Funding by IOM. The evaluation methodology will also have to take into account the 6 year period covered and the total of projects funded in five different regions. A selection of projects to be examined will be conducted at the start of the evaluation exercise. The Terms of Reference will be presented to the relevant departments within IOM, the IOM Office of the Permanent Observer to the UN in New York and with the CERF Secretariat.

The methodology and type of evaluation method for selecting countries and or project will be determined based on representation of regions, number of projects in a country, the financial size of the intervention's investment, the importance of certain thematic areas, internal information from field offices and previous evaluations that have been carried out. The main thematic categories of interventions will be identified according to IOM mandate and type of emergency, the geographic location and the size of projects.

A variety of evaluation methods will be used, ranging from documentation reviews, desk research, selected direct observation, semi-structured, conversational and focus group interviews. During its preparatory phase, the overall structure of the evaluation is determined based on a clear analytical framework around key thematic and strategic issues and success criteria behind CERF-funded interventions. Further defining of the evaluation questions will be undertaken.

The evaluation is expected to start in June 2012 with the finalization of the budget allocation, of the terms of reference and of the recruitment of the external consultant. A final report should be available in December 2012. The evaluation will constitute three phases: the preparation of the evaluation (June-July 2012); the evaluation phase (July-October 2012), when desk research and field work will be conducted; the analysis of the evaluation material and the writing of the evaluation report (August-November 2012). A presentation of the evaluation could be organized with IOM staff at Headquarters and of the IOM's Office of the Permanent Observer to the UN in New York, as well as with the CERF Secretariat.

6. Evaluation Team

IOM's Office of the Inspector General (OIG) will be responsible for overall implementation of the evaluation exercise and will carry out the field work; it will also rely heavily on colleagues' collaboration in providing information and material as well as depend on available internal resources. The evaluation will be carried out with the technical assistance and guidance of an external consultant, who will also contribute to an independent and transparent evaluation exercise.

7. Budget

The evaluation being an internal evaluation, the budget will be covered by the OIG. The number of field visits will also depend on the availability of funds.

ANNEX 2 Interviews and bibliographical references

A. Interviews with key informants:

- Mohammed Abdiker, Director, Department of Operations and Emergencies (DOE), IOM;
- Amy Muedin, Programme Specialist (CERF and other UN Funds Focal Point), IOM Special Liaison Office New York;
- Mario Lito Malanca, Emergency and Post Conflict Practice Manager, Department of Operations and Emergencies (DOE), IOM;
- Nuno Nunes, CCCM Global Cluster Coordinator, Department of Operations and Emergencies (DOE), IOM;
- Christopher Gascon, Regional Emergency Officer (DOE), IOM Panama;
- Brian Kelly, Regional Emergency and Post-crisis Adviser, IOM Bangkok (by e-mail exchange);
- Nenette Motus, Senior Migration Health Policy Advisor, Migration and Health Division, IOM;
- Patricia Reber, Head, Meetings Secretariat, former Donor Relations Officer, Donor Relations Division (DRD), IOM;
- Yvonne Mortlock, Chief of Accounts, Department of Resources Management (DRM), IOM;

- David Hartstone, Humanitarian Affairs Officer, CERF Secretariat, New-York;
- Michael Selch Jensen, Head, Performance and Monitoring Unit, CERF Secretariat.

B. Meeting 21 September 21 2012 at IOM (some interviewees already listed under point A above also participated to the meeting and are not mentioned again):

- Jean-Marie Garelli, Head, Program Unit, CERF;
- Carolyn Moysenko, Head of Administration and Finance, CERF;
- Ali Govori, Accounting Officer, Department of Resources Management (DRM), IOM;
- Monica Goracci, Chief, Donor Relations Division (DRD), IOM;

C. Respondents to the Survey (their current IOM title is mentioned; they were Chief of Missions or Regional Directors in the locations selected for the survey)

- Luca Dall'Oglio, Chief of Mission, IOM Washington DC;
- Vincent Houver, Chief of Mission, IOM Juba;
- Dyane Epstein, Chief of Mission, IOM Accra;
- Ashraf El Nour, Regional Representative, IOM Nairobi;
- Ovais Sarmad, Chief of Staff, IOM Headquarters;
- Jose-Ivan Davalos, Chief of Mission, IOM Lima;
- Srivilai Ekvichit, Resources Management Officer, IOM Manila Administrative Centre;
- Gerard Waite, Head of Office, IOM Kampala;
- Marcelo Pisani, Chief of Mission, IOM Bogota;
- Hassan Abdel Moneim Mostafa, Senior Regional Advisor, IOM Headquarters;
- Marco Boasso, Chief of Mission, IOM Kabul;
- Maureen Achieng, Head International Partnerships Division, IOM Headquarters;
- Bruce Reed, Director Department of Resources Management , IOM Headquarters;
- Bakary Doumbia, Chief of Mission, IOM Djibouti;
- Mario Tavalaj, Retired (last post occupied, Chief of Mission, IOM Khartoum);
- Josiah Ogina, Head of Mission, SLO Addis Ababa;
- Marc Petzoldt, RSC Deputy Manager, IOM Amman.

D. Bibliographical references:

- CERF Interim Review, 19 September 2007;
- CERF Two year evaluation, Martin Barber et al., July 2008;
- 5-Year evaluation of the CERF, Final synthesis report, Channel Research, 11 August 2011;
- Evaluation of FAO interventions funded by the CERF, final report, Olivier Cossée et al, October 2010;
- External Process evaluation of IOM's response to the Libya Crisis, Stakehouse international, November 2011;
- IOM CCCM in natural disasters, strategic orientations and work plan for 2012 and 2013;
- United Nations General Assembly Resolution 60/124, March 2006;
- United Nations General Assembly document A/66/L.28 of December 2011 on strengthening the coordination of humanitarian and disaster relief assistance;
- United Nations General Assembly document A/66/357 on the CERF, September 2011;
- United Nations General Assembly document A/60/432 on Improvement of the CERF, October 2005;
- United Nations Secretariat, ST/SGB/2010/5, Bulletin on Establishment and operation of the CERF, 23 April 2010;
- Letter of Understanding (LOU) signed by the IOM DG and OCHA regarding CERF disbursements, April 2011;
- CERF Secretariat, UN Agency sub-granting of CERF to Implementing Partners, May 2012;
- CERF Secretariat, Survey of UN agency sub-granting procedures to implementing partners, May 2012;
- IOM Migration Crisis Operational Framework, November 2012;
- CERF Performance and Accountability Framework for the CERF, August 2010;
- IOM Guidance note on Migration Health Assessments in IOM: an accountability framework, January 2012;
- IOM DG Remarks on CERF, 15 December 2011;
- CERF Advisory Group Meeting, May 2006;
- CERF Advisory Group Meeting, 21 May 2012;
- CERF Outcome of the meeting of the Advisory Group, October 2011;
- Review of the IOM strategy, IOM MC/INF/302, 10 October 2010;
- IOM Establishment of a Migration Emergency Funding Mechanism, MC/2335, November 2011;
- CERF guidelines on RR, UFE June 2011 revision;
- CERF life-saving criteria, 26 January 2010;
- CERF website – projects/agencies information statistics;
- IOM SLO New-York – lists of all IOM projects funded by CERF, financial reports and data tables.

ANNEX 3**IOM Evaluation of CERF-funded Interventions (2006-2012)****IOM Field Survey Questionnaire**

The UN Secretary-General proposed in 2005 the upgrading of the former *Central Emergency Revolving Fund*: A new mechanism the *Central Emergency Response Fund* (CERF) was adopted through General Assembly Resolution 60/124 of 2005, with a total annual amount of USD 500 million. As one of the key funding sources for humanitarian response, CERF's objectives are to: (i) promote early action and response to reduce loss of life; (ii) enhance response to time-critical requirements; and (iii) strengthen core elements of humanitarian response in under-funded crises. CERF is comprised of both a grant and loan facility. The grant component of USD450m is comprised of two windows: the rapid response window which is a field-driven process providing cash-flow and seed money for life-saving humanitarian activities in the direct aftermath of a crisis or to respond to time-critical requirements; and the under-funded emergencies window that comprises the remaining one-third of the annual grant window. The loan facility of USD 30m annually is for agencies' emergency programmes based on indication that other donor funding is forthcoming.

The *5-Year Evaluation of the Central Emergency Fund* issued in August 2011 recommended that UN Agencies and IOM should "conduct an evaluation of their use of CERF funds within 18 months to determine what internal factors, including partnership policies and practices, influence the effectiveness of CERF projects". In a meeting with the CERF Secretariat in December 2011, IOM agreed to carry out an internal evaluation in the course of 2012, under the overall responsibility of the Office of the Inspector General. IOM is the second agency having committed to conduct the evaluation after the FAO.

IOM is the sixth largest recipient of CERF (during the period 2006-2012) with almost USD 128 million, of which about USD 87.5 million fall within rapid response and about USD 40.5 million within under-funded emergencies. CERF funding represents the eighth largest source of funding for IOM emergency operations. The three major sectors that received funding are Shelter and NFI with USD 59.3 million (46.4%), multi sector USD 27.2 million (21.3%), and Camp Coordination and Camp Management (CCCM) with USD 12.4 million (9.7%). Other sectors included protection, human rights, rule of law, health, water and sanitation, education, agriculture and logistics/transportation projects including evacuation operations.

The Evaluation is intended to provide a thematic, strategic and operational analysis of IOM's CERF-funded interventions in the field during a six-year period between June 2006 and June 2012 (see TOR attached for further references). The evaluation aims at identifying:

- if, when and why CERF funding has played a critical role to ensure that IOM could deliver its interventions in rapid response, in under-funded emergencies and in its leading role for CCCM for population displaced by natural disasters,
- IOM's specific success criteria in line with the IOM mandate, in addition to CERF's stated specific objectives and success criteria.

The evaluation will provide the basis for IOM's informed decision-making and policy on the use of CERF funding through a series of recommendations and guidance on strategy, narrative reporting, operational procedures, challenges and success criteria. It will also be a very useful agency feedback for the CERF Secretariat in line with the Secretary-General Request and General Assembly resolution.

CERF being an important and flexible source of funding for IOM Emergency Operations, the feedback from IOM colleagues who have participated to the implementation of CERF-funded projects will therefore be essential in the evaluation of IOM's use of CERF.

The questionnaire has been developed taking into account the thematic and strategic approach of the evaluation, also in line with the questions raised in the TOR. The IOM staff invited to participate to the survey has been identified based on a selection of countries having benefited from CERF funding during the period 2006-2012. It is possible that you have been active in different countries and for different types of projects, but we would be interested that that you focus your response on global trends that you experienced as a COM/programme manager in charge of implementation. When possible, we would like however that you specify when a response/comment applies only to a given operation from the list attached based on countries and projects selected for review. We understand that some projects are old and you are not in position to provide us with too detailed information. When needed, we will also complement your response with relevant documentation review. Feel free also to share with us any remarks that you consider important, being related or not to the survey.

Queries regarding the questionnaire can be sent to me or preferably to M. Christian Bugnion de Moreta from Subur Consulting S.L. at the following e-mail address: cbugnion@suburconsulting.es. M. Bugnion de Moreta has been recruited as consultant for the evaluation and is tasked to monitor the questionnaire. By sending him directly your response and questions, he might also decide to propose a phone interview.

As usual for OIG evaluations, confidentiality will be guaranteed. The questionnaire should be completed and returned to M. Bugnion de Moreta before the 5th of October 2012.

I thank you all in advance for your important contribution.

Christophe Franzetti
OIG Evaluation Officer

Country(ies) and/or projects covered by your reply, including the year:

Your position(s) at the time of the CERF implementation:

Access to CERF funding

1. Is access to CERF funding easy and flexible enough to be used among the first and immediate sources of funding to respond in a timely manner to identified humanitarian needs? *(please tick the scale of 1 to 5. 1 means that you completely disagree, 2 you disagree somewhat, 3 you neither agree or disagree, 4 you agree somewhat, and 5 you completely agree and N/A is not applicable)*

1		2		3		4		5		N/A	
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- If not why and what alternatives would you privilege?

2. Did you encounter problems in accessing CERF funding for some categories of IOM interventions and beneficiaries (e.g. movement of people, returns, vulnerable stranded migrants, migrants in needs etc.)? *(tick where applicable)*

Yes		No	
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- If yes, for which categories/beneficiaries?

3. Does the division of CERF funding in 17 sectors (food, health, water and sanitation, agriculture, health-nutrition, shelter and non-food items, education, camp management etc.) facilitate IOM's access to funding in line with IOM mandate? *(tick where applicable)*

Yes		No	
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- Please explain:

4. The CERF has two main funding windows, the Rapid Response (RR) and Under Funded Emergencies (UFE) windows: did you easily identify under which windows were the projects you presented slotted? *(tick where applicable)*

Yes		No	
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- If no please explain why?

5. Were you asked by CERF secretariat/UNCT to change windows for having easier access to funding? *(tick where applicable)*

Yes		No	
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6. The loan component of the CERF has not been used since 2006: did you face or do you foresee any situation under which IOM would have an interest in using the loan? *(open question)*

7. How useful is CERF funding in terms of leveraging additional donors support? *(please tick applicable response, from 1 completely disagree to 5 completely agree)*

1		2		3		4		5		N/A	
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UNCT role and UN Partnership and coordination

8. How can you describe the impact of IOM receiving CERF funds on coordination and partnership with the United Nations Country Team (UNCT) and on integration within the UN System's decision making (IOM not being a UN agency)? *(open question)*

9. Was the UNCT in its overall coordination and prioritisation role, effective in including and supporting IOM's requests for funds? *(please tick applicable response, from 1 completely disagree to 5 completely agree)*

1		2		3		4		5		N/A	
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10. When the requests for CERF funding were linked to IOM's Cluster lead role, were they useful in confirming and reinforcing IOM's leading role? *(please tick applicable response, from 1 completely disagree to 5 completely agree)*

1		2		3		4		5		N/A	
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11. To what extent is the UN Humanitarian Coordinator and/or Resident Coordinator playing a key role for inclusive and effective prioritisation of the projects to be funded by the CERF? *(please tick applicable response, from 1 completely disagree to 5 completely agree)*

1		2		3		4		5		N/A	
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12. Were IOM inter-agency partnerships (such as with WHO, UNAIDS, UNICEF, UNDP, OCHA ...) useful in supporting IOM for receiving CERF funds in IOM identified humanitarian sectors? *(tick where applicable)*

Yes		No	
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- If yes, with which agency and sector(s) in particular?

Design, implementation and management of CERF-funded projects

13. When designing CERF proposals and subsequently carrying out the projects, were gender and human rights aspects being systematically taken into account? *(tick where applicable)*

Yes		No	
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- If no, why?

14. Did the CERF-funded projects include a monitoring and evaluation component and budget, as well as performance indicators, to report on lessons learned and recommendations for future CERF-funded interventions? *(tick where applicable)*

Yes		No	
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15. What percentage of IOM projects under your supervision and funded by CERF were implemented mainly/exclusively by sub-contracted partners and not directly by IOM? *(please tick the percentage that applies globally)*

0-25%		26-50%		51-75%		76-100%		N/A	
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16. Did you receive complaints from sub-contracting partners that they could not perform their tasks effectively as not having direct access to CERF and having to wait for IOM's disbursements? *(tick where applicable)*

Yes		No	
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- If yes, please explain briefly

17. When contracting implementing partners (including NGOs), were selection criteria and rules IOM-specific and the selection decided by IOM only? *(tick where applicable)*

Yes		No	
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18. Did you in any case consider requests from other partner agencies for sub-contracting arrangements? *(tick where applicable)*

Yes		No	
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19. How important were your implementing partners in bringing timely and effective response to the affected populations? *(please tick applicable response, from 1 completely disagree to 5 completely agree)*

1		2		3		4		5		N/A	
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20. Are IOM specific administrative and financial procedures an added value in accessing CERF funding and in managing operational requirements and reporting? *(tick where applicable)*

Yes		No	
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- Please briefly explain:

21. Are CERF financial and reporting requirements clear and not too time consuming? *(tick where applicable)*

Yes		No	
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- If no, why

22. Did you have to request a project extension because the intervention(s) could not be completed within the allocated time-frame? *(tick where applicable)*

Yes		No	
-----	--	----	--

- If yes, why and was it approved by CERF Secretariat?

23. Did your projects have to return unspent funds to CERF Secretariat at the end of the implementation period? *(tick where applicable)*

Yes		No	
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- If yes, please explain why and the possible impact

Effectiveness, impact and connectedness

24. Have those projects not fully implemented in time reached nevertheless their expected impact in terms of rapid response and lifesaving as per CERF funding objectives? *(tick where applicable)*

Yes		No	
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25. What would you say about the overall effectiveness and outcome/impact of CERF-funded projects, in reaching the objectives set by the emergency response? *(open question)*

26. In terms of connectedness (the need to ensure that activities of a short-term emergency are carried out in a context that takes longer-term and interconnected problems into account), does CERF funding ensure sustainability of projects/activities implemented? *(tick where applicable)*

Yes		No	
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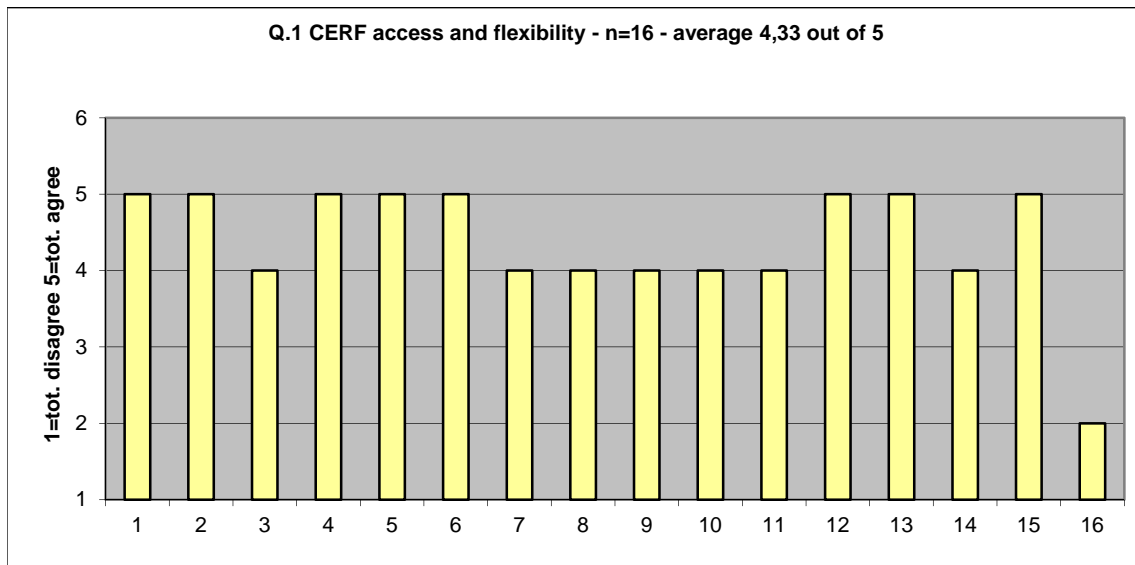
- If no, explain why

ANNEX 4 Survey Results Analysis

This report contains the results of the survey undertaken using purposive sampling with a stratified sample of projects, as detailed in the methodology section of the evaluation report. The survey was addressed to IOM Chiefs of Missions, many of whom have served in more than one country. Out of the selected strata, 28 respondents were identified. The survey received 16 valid answers and one additional answer after the deadline that is not included in the analysis. As a result the response rate is 61 per cent. The survey contains 26 questions of which 6 are ratings on a five point-scale (from 1 completely disagree to 5 completely agree).

A. Access to CERF Funding

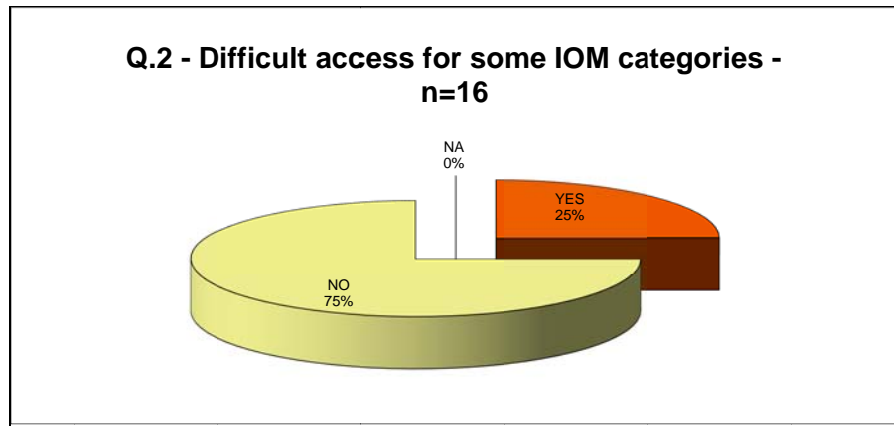
1. *Accessibility and flexibility of CERF funding to be used among the first and immediate sources of funding for timely humanitarian response*



Almost all respondents agreed that CERF was flexible and accessible and therefore useful for humanitarian response. One respondent largely disagreed with the statement based on previous experience of IOM's need to respond within 24 hours to migrants, sometimes in life-threatening situations; it is helpful for moderately rapid responses, but not for truly rapid (e.g. immediate) response. Cases where CERF provided no added value remain marginal as also noted during the documentation review.

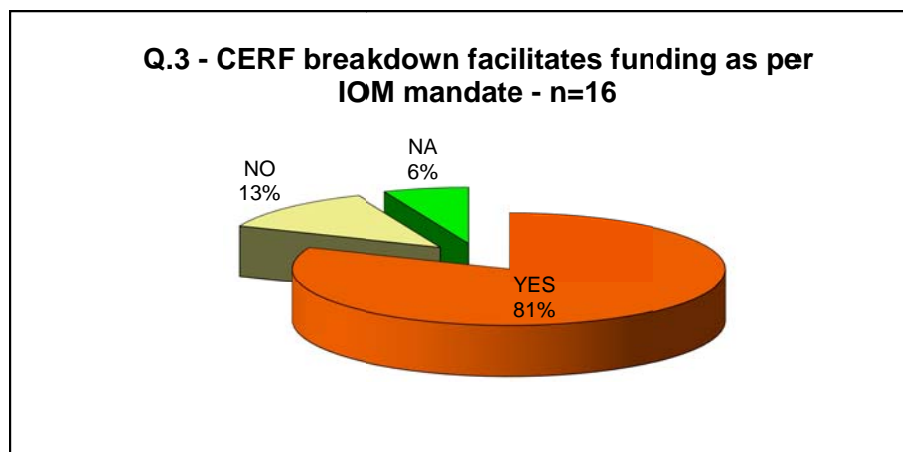
2. Difficulties in accessing CERF funds for certain categories of interventions and beneficiaries

In a quarter of cases, access to CERF fund proved to be an issue as shown in the graphic hereunder (particularly for stranded migrants). This would require IOM to identify those categories and disseminate information within the countries at the UNCT and HC levels on their specific categories of beneficiaries and interventions that could also be addressed by CERF.

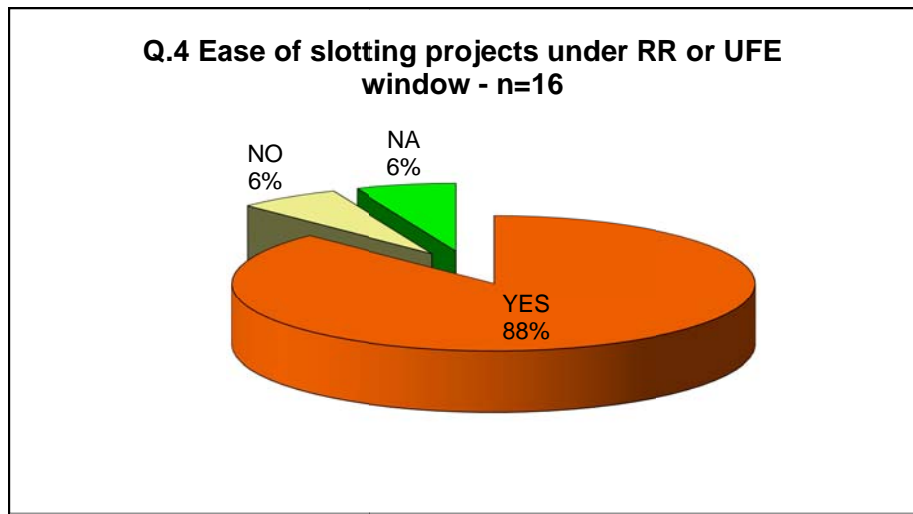


3. CERF funding sectors

The breakdown of the CERF funding into 17 sectors is largely seen to facilitate IOM project development and requested for CERF funding. In countries where a migration-related dynamic is IOM's main concern in the humanitarian emergency, IOM often requires and receives a multi-sector category funding from CERF that allows developing more integrated, all-encompassing approaches.

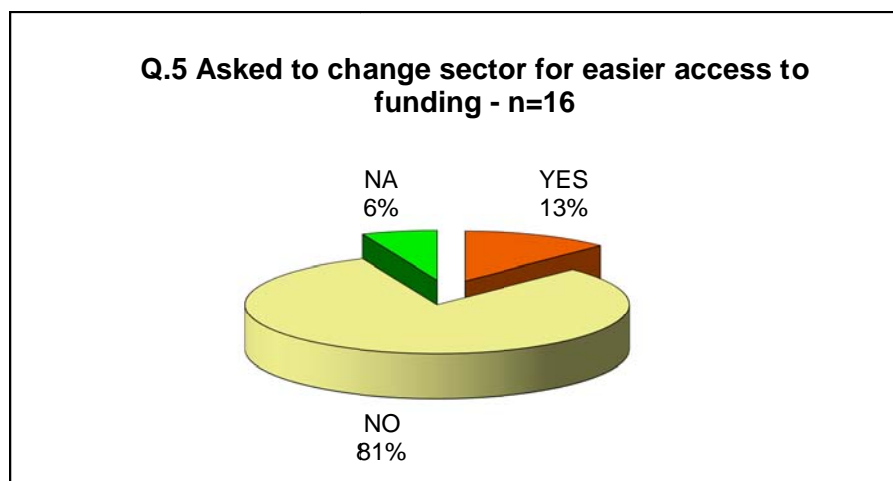


4. *Ease of slotting projects under the RR and UFE windows*



Project slotting under the specific windows (RR and UFE) hardly proved to be a problem for IOM offices surveyed and is simple and clear. The negative and not applicable answers refer to early funding that respondents did not remember precisely without verifying past records.

5. *Request to change windows to access funding*

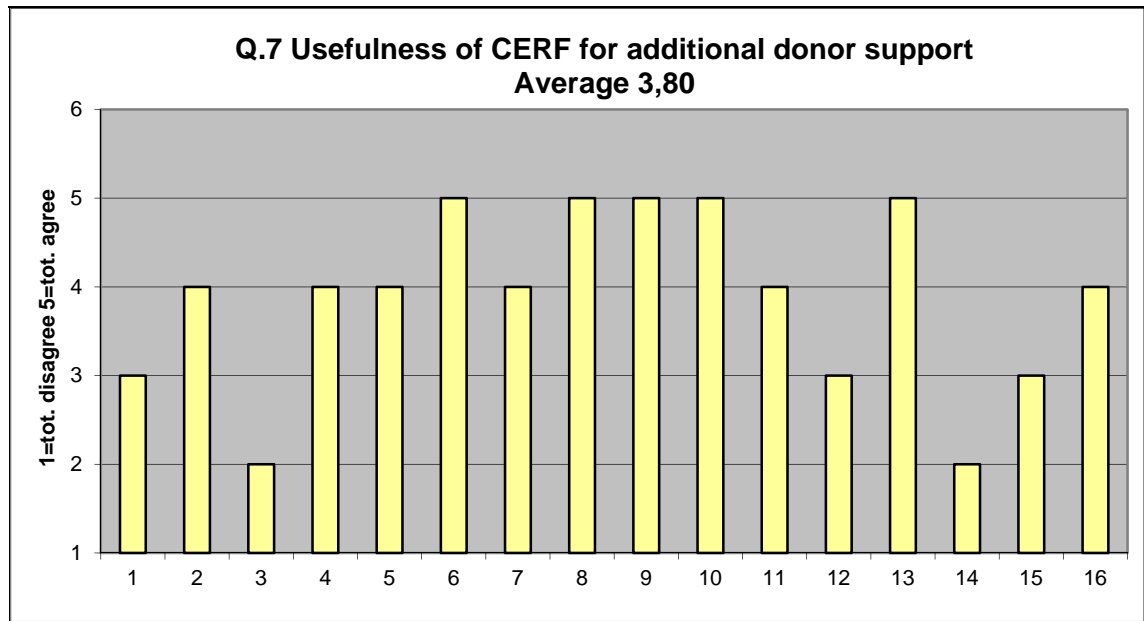


In only two cases had IOM to adjust its funding request to a different funding sector, the better to justify access to the funds. One respondent did not remember (Not Applicable).

6. *Loan component of the CERF*

The loan component of the CERF has not been used by IOM since 2006. The respondents confirm that there is no obvious advantage or interest in the use of the loan at this point to quick-start operations. The usefulness of the loan for IOM has largely been substituted now by the creation of the MERM fund in 2011.

7. Usefulness of CERF in leveraging additional support



Here responses show 68.8 per cent strongly or entirely agree that CERF is useful for leveraging donor support, but 12.5 per cent do not think it contributes to receiving additional donor funding. One respondent indicated that if traditional donors want to support (IOM), they seem to do so with or without CERF funding; negotiations with other traditional donors often start at the same time as the CERF requests, with however more time required for finalizing disbursements.

B. UNCT role and UN partnership and coordination

8. How does CERF funding impact IOM on coordination and partnership with the UNCT and on integration within the UN's decision-making

The survey results indicate a generally positive correlation and collaboration between CERF funding prioritization and coordination within the UN system as per below comments:

- IOM in the UN country team is considered as part of the UN family, and is always called for consultation meetings before CERF allocation is awarded. The Resident Coordinator is also very supportive of IOM participating in the CERF process, for both UFE and RR windows. The UNCT also calls upon IOM to participate in the evaluation process conducted by OCHA on a regular basis.

- IOM is/was seen as an equal UN partner with good operational capacity [...] IOM receiving the CERF funds meant a more coordinated response [...] in partnership with WFP, UNHCR, UNICEF, etc. Furthermore, within the UNCT, UNHCR advocated for IOM to receive the funds to support the work of the UN.

- The active participation of IOM in the UNCT and the HCT is well known by now, as it is also well known that IOM has access to the CERF in the same manner as other UN Organizations. IOM has also acquired global cluster responsibilities which have enhanced its role and visibility in the international humanitarian community and with HCs.

- IOM is a fully integrated member of the UNCT and other UN coordination and decision making structures. IOM participates on equal basis with other agencies and have received CERF funding with the under-funded window in the last 3 years. Integration within the UN system in a given country is an important parameter for receiving CERF funding in the first place rather than vice versa, as CERF allocation is usually decided by UN established structures.

- The CERF funding, including the process of fund allocation and prioritization, enabled IOM to contribute significantly to the UNCT/HCT processes as the lead in CCCM/NFI Cluster. The CERF funding also enabled IOM to deliver significant assistance to disaster victims that were appreciated and recognized by the UNCT/HCT.

- CERF also allows a better integration of IOM in the UNCT and a better outreach with the donors and the host government.

- The fact of IOM receiving funds from CERF served to enhance its legitimacy as an actor within the UNCT, despite its non-UN agency status.

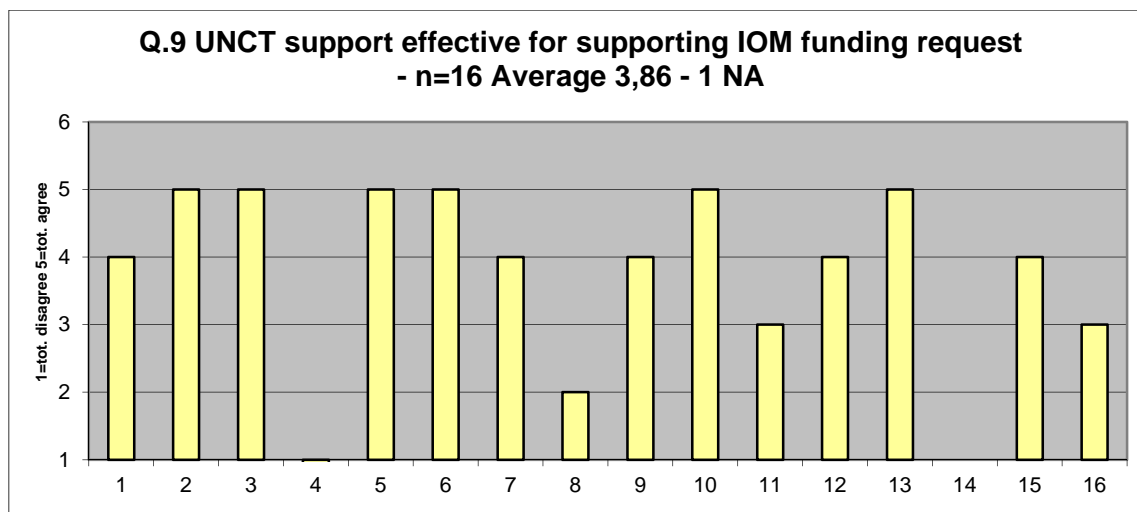
- IOM needs to sit well with the UNCT to be successful in getting a CERF grant in the first place, and thus the effect of the grant on the relationship is minimal, but positive.

- The CERF fund is a good coordination tool between agencies. IOM access to the CERF fund the same way UN agencies do facilitates our partnership with the UN.

- The CERF allows for a closer coordination between IOM and the UN agencies that are also receiving CERF funds. The CERF applications for funds are usually done in on a consolidated basis with all involved agencies being considered for funding.

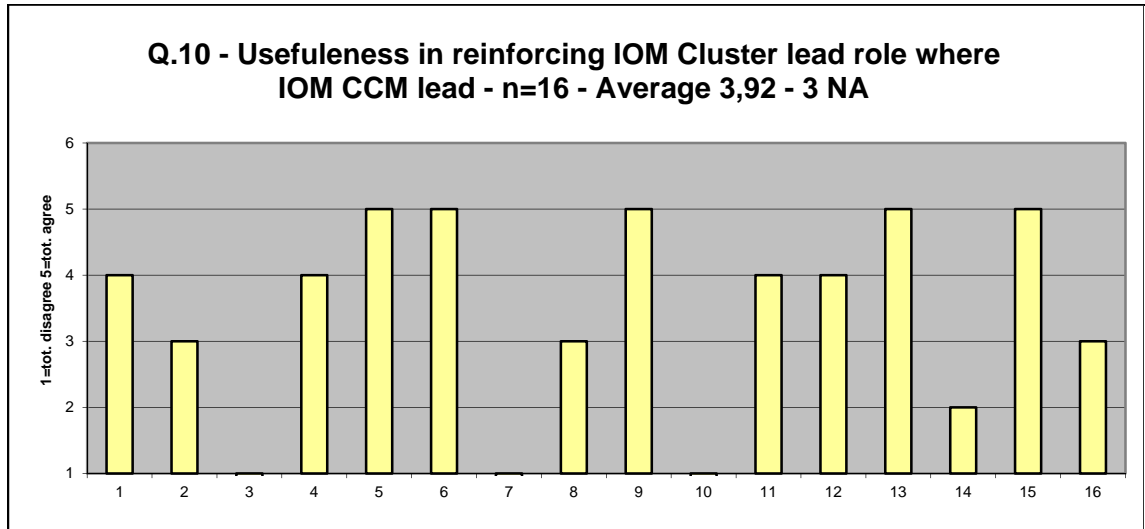
In some countries, however, where IOM does not participate in the UNCT, it might appear that coordination is more difficult. One respondent indicated that the situation varied according to the situation, profile and country office capacity to coordinate.

9. Role of the UNCT effective in supporting IOM's request for CERF funds



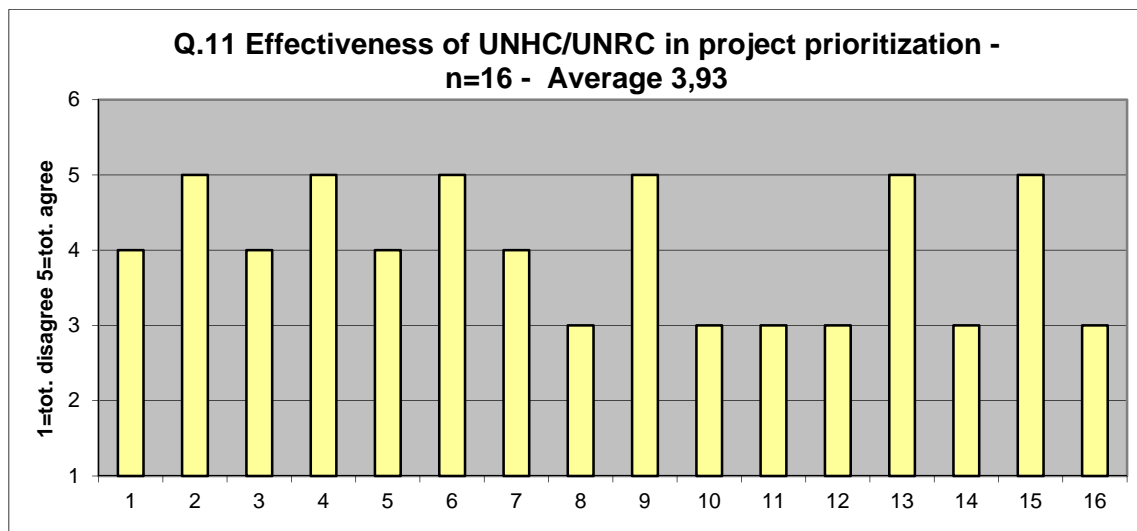
Sixty-eight per cent of respondents agreed that the UNCT assistance was effective in supporting IOM's requests for funds; 12.5 per cent of respondents did not believe that there was any correlation between UNCT support and IOM funding. One respondent indicated N/A (not applicable) given that the UNCT does not have a decision making role in allocating CERF funds.

10. Funding requests reinforcing IOM Cluster lead role



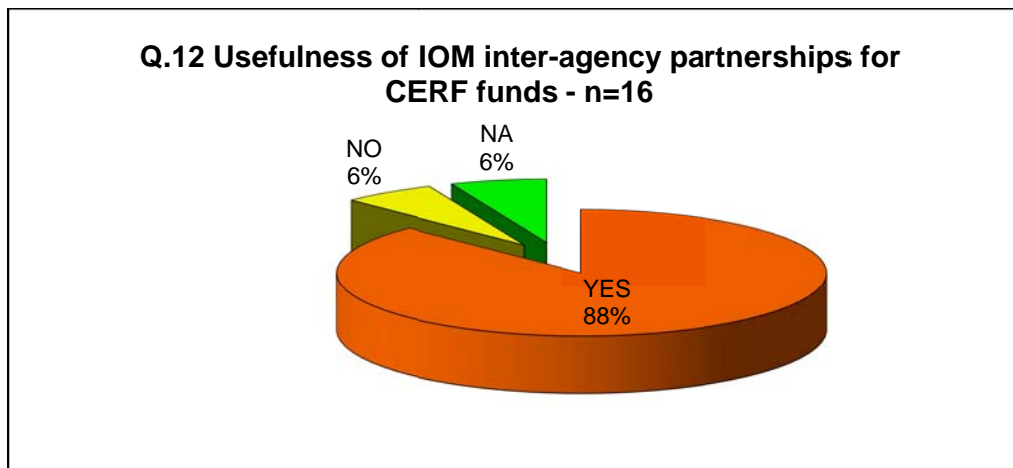
Responses are mixed here with 56% of respondents agreeing that CERF funding requests reinforced IOM's cluster lead role where IOM is cluster lead. However from the three NA responses, one indicated that there did not seem to be any linkage. Other NA responses stemmed from countries where no cluster system was established.

11. Role of the HC/RC for effective prioritisation of projects



62.5 per cent of respondents strongly or totally agreed that the HC/RC had a key role in effective project prioritisation; 37.5 per cent neither agreed nor disagreed.

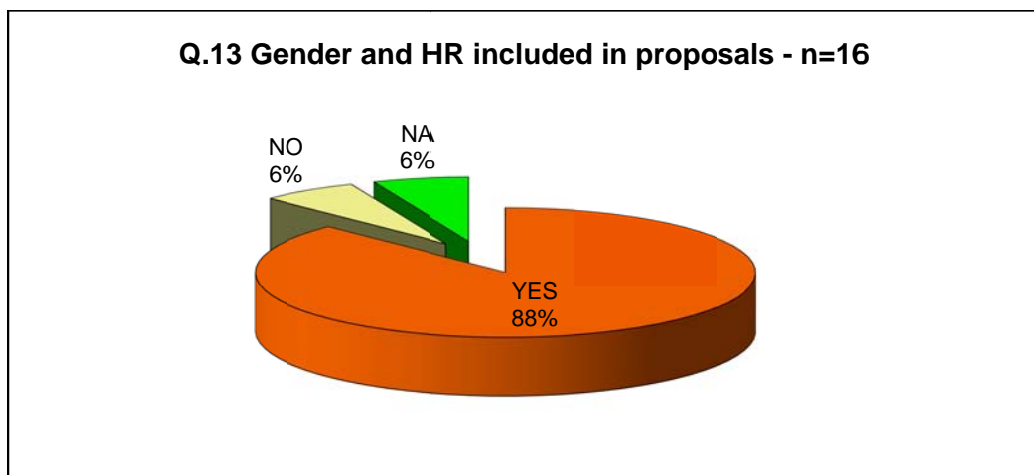
12. IOM partnerships



A wide range of partnerships were developed with OCHA, FAO, UNHCR (CCCM, Shelter and NFIs, multi-sector for refugees), WHO, UNICEF for the WASH cluster, as well as with protection actors (UNHCR, HCHCR). In many cases the partners advocated for IOM to receive funds to undertake critical activities or in under-funded emergencies complementary interventions to FAO and UNDP projects were conducted. All respondents except one indicated at least one partner agency as critical partners, while one other respondent did not answer.

C. Design, implementation and management of CERF funded projects

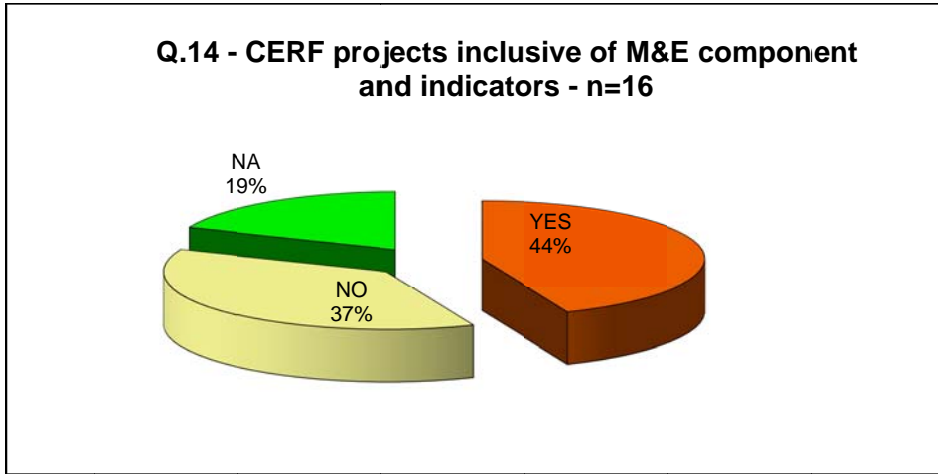
13. Gender and human rights systematically included in the project design



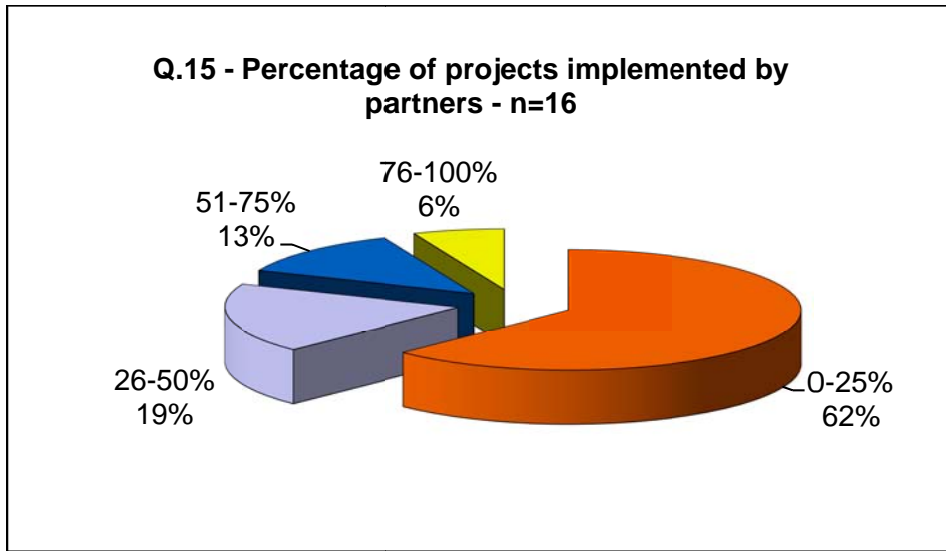
Gender and human rights aspects seem to be widely taken into account in the design of the project proposals; only in one case did the respondent specifically mention that these were not considered, given the emergency nature of the actions to be undertaken that left little time for incorporating these critical issues. In this case, timeliness of support was the overriding concern for responding to the emergency.

14. *Monitoring and evaluation of CERF projects and performance indicators*

Responses were much more mixed, with less than half of respondents indicating a proper M&E component and performance indicators, with 38 per cent believing that more work needs to be put into the format for monitoring and reporting on CERF project performance (also almost one-fifth of respondents indicated that they did not remember the reporting framework exactly). The results could highlight the need to develop monitoring further through a more focused performance reporting framework.

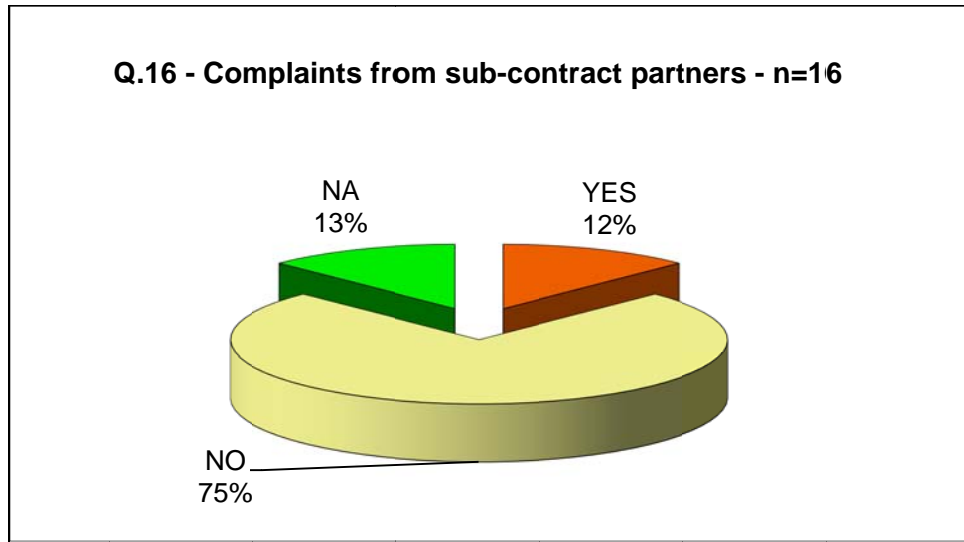


15. *Percentage of IOM projects mainly or exclusively implemented by sub-contracted partners*



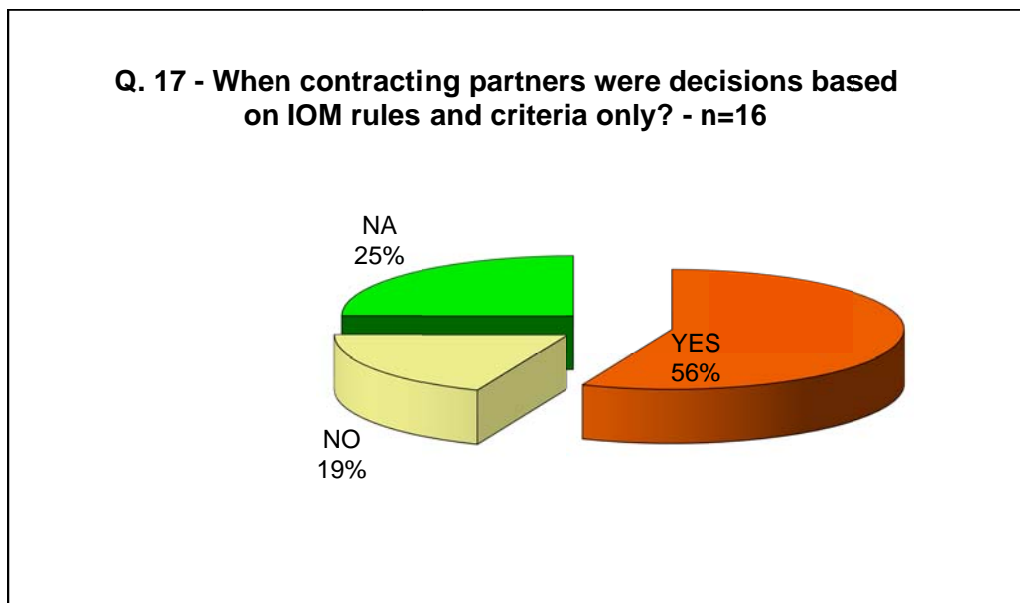
Projects are largely implemented directly by IOM. Implementing partners execute less than 25 per cent of the emergency response in 62 per cent of the cases and in 19 per cent they cover between 26 to 50 per cent of the IOM response. In only 19 per cent (13%+6%) of the cases do implementing partners carry out the majority of project execution (51 to 100%); however, the interviews confirm that the tendency can vary greatly depending on the countries covered. In countries where IOM's presence is not well established, relying on partners is more common than in countries where IOM can easily deploy its own human resources.

16. *Complaints from sub-contract partners*



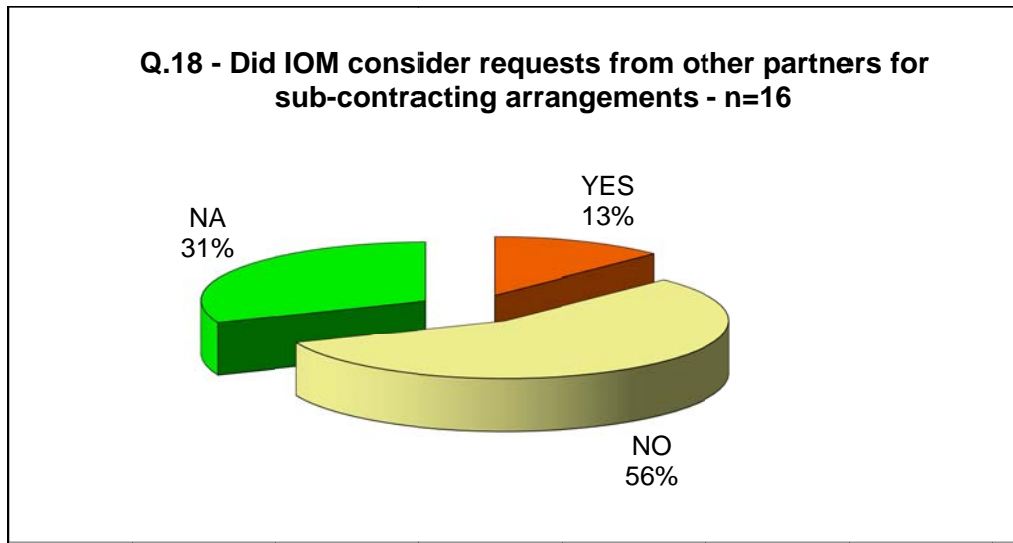
Two informants having registered complaints indicated that IOM was criticized for using informal practices in relation to building partnerships with non-governmental organizations, on occasion with slower disbursement of funds.

17. *Selection criteria and decision making for partners only decided by IOM*



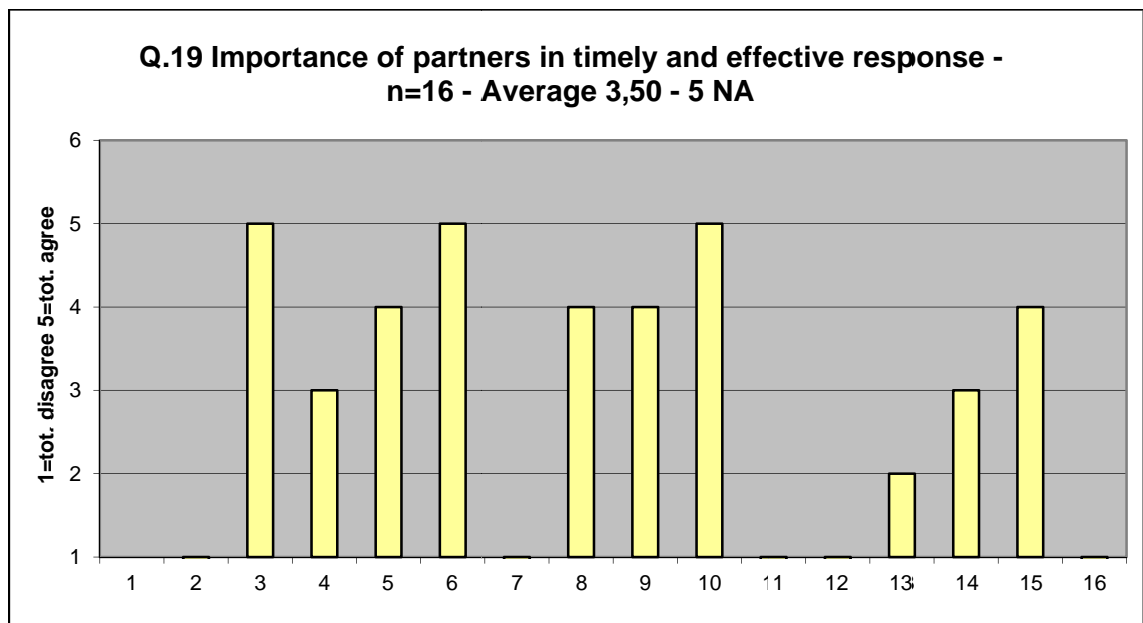
IOM applies its procedures and criteria on the choice of partners; however, in one case the decision was taken at the cluster level and in another case a suggestion was made by the Government. A number of respondents could not remember on what grounds partnerships were decided.

18. Other requests for sub-contracting arrangements



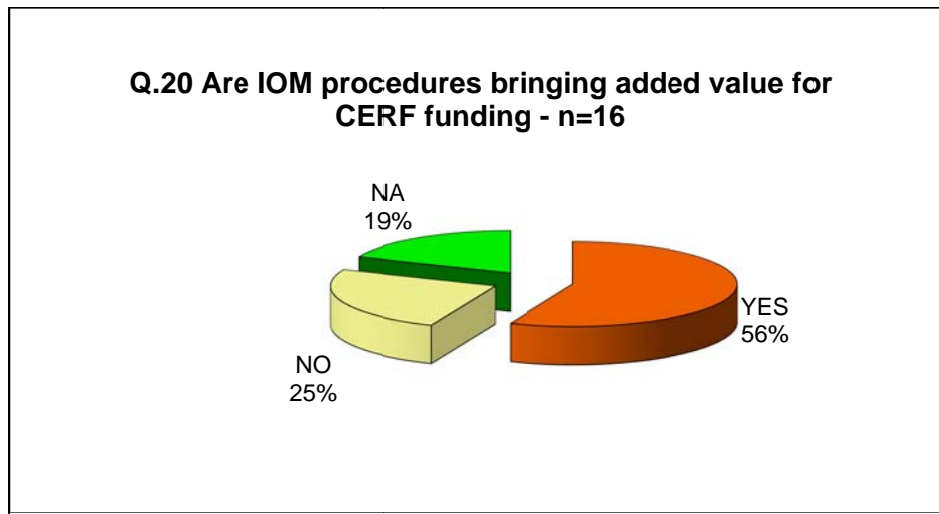
There were few cases of IOM receiving requests for sub-contracting arrangements. This concerned specific UN agencies, when the interventions were mutual.

19. Importance of IOM implementing partners for timely and effective response



Less than half of respondents (43.8%) agreed on the importance of implementing partners to provide timely and effective response, mainly as IOM undertakes a large part of the operational work itself, due to its field experience. The large number of N/A responses is linked to situations where IOM implements projects mostly on its own (see also Question 15 on IOM's low reliance on partners).

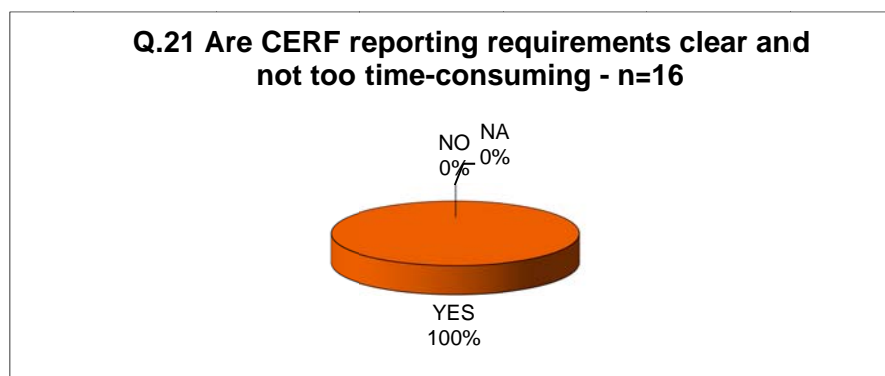
20. Administrative procedures and financial reporting



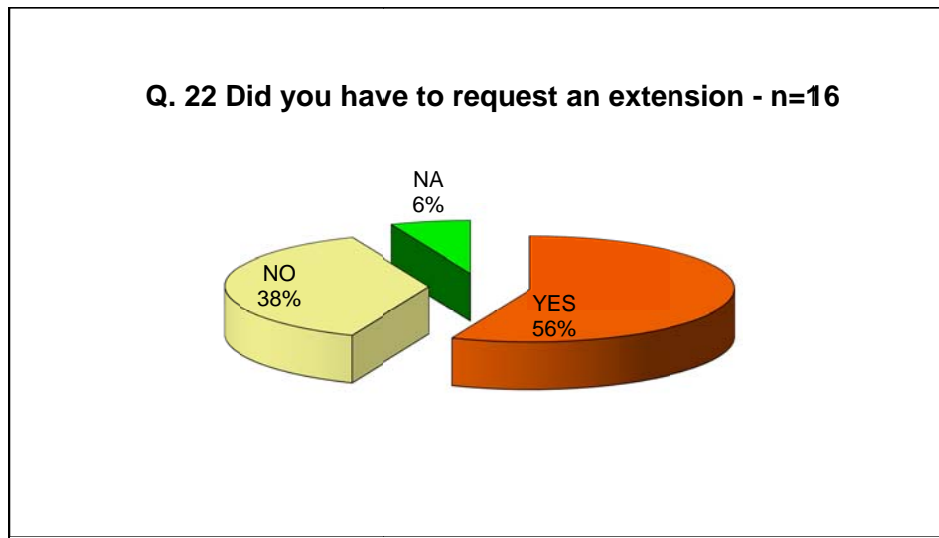
A majority of respondents agree that IOM specific administrative procedures bring added value to management and reporting. The financial systems can accommodate the CERF deadlines in terms of closure of accounts and operational reporting. However one fourth of respondents also indicated a need for more rapid clearance from IOM legal department or more flexibility for some administrative procedures (drawing up partners' contracts, amount of up-front payment). The NA responses correspond to those informants that do not consider IOM procedures giving added value or affecting project implementation.

21. Clarity of CERF requirements

As regards to the reporting requirements, all agree that CERF financial requirements are clear and not too time-consuming, as shown hereunder. The CERF has further mentioned its satisfaction during interviews and formal meetings with the Organization regarding IOM's reporting on CERF-funded projects.

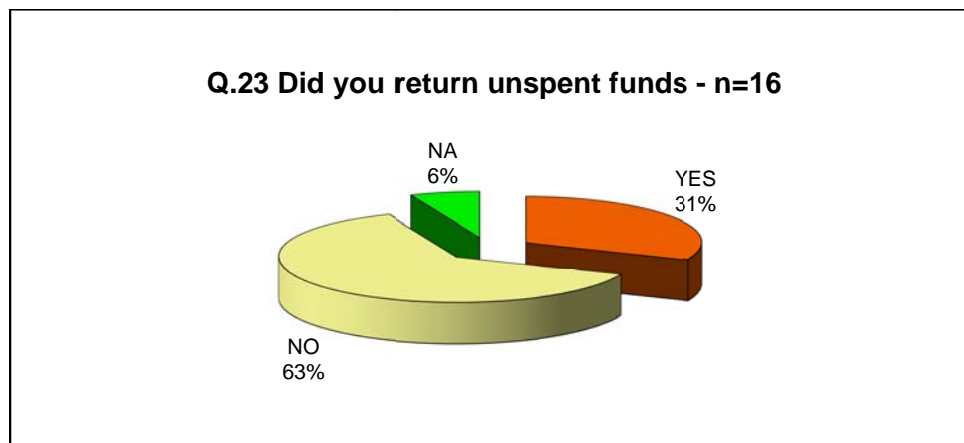


22. CERF project extensions



Over half of respondents indicated that they had to request an extension to implement the CERF-funded interventions for a variety of reasons (unexpected factors affecting access such as security conditions, military operations, climatic conditions affecting the time-frame; extension of the emergency phase of the response beyond the initial expectations; high probability of high influx of returns leading to extension request). All but one of the no-cost extensions were approved by the CERF Secretariat.

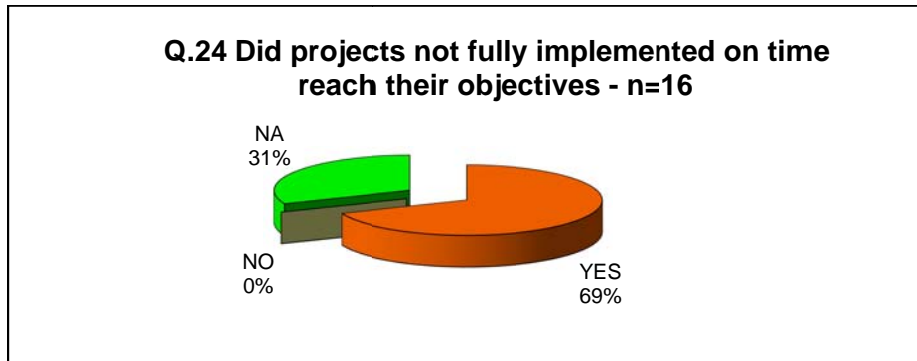
23. Return of unspent funding to CERF



IOM had to return some unspent CERF funds in almost one third of the cases, the primary factors being political constraints beyond the control of IOM affecting project implementation and lack of accessibility due to insecurity at the project sites. One-third of respondents with unspent funding indicated that funds were for very small amounts not affecting implementation.

5. D. Effectiveness, impact and connectedness

24. Effectiveness of implementation for projects extended beyond the initial deadline



All projects that were extended reach their objectives; the NA respondents indicated that they did not remember the final outcome of the extended intervention, had left before the end of the project, or it was still running and could not be quantified at the time of the survey.

25. Effectiveness and impact of CERF funded projects

The CERF funding has enabled IOM to implement its projects at the start of the emergency and has proved instrumental in ensuring the effectiveness of IOM emergency response; this is recognized by all the respondents. The effectiveness and impact of the interventions are due to a combination of factors, and not solely the timeliness with which funding has been provided.

- CERF is a critical instrument for an organization such as IOM to be able to respond almost immediately to an emergency. For IOM in particular CERF resources are often the first ones to be identified in response to a humanitarian emergency. So the impact on IOM's efficiency and responsiveness is significant. Overall effectiveness is only as good as the projects themselves. In that regard, RR projects adhere more closely to life-saving objectives and timely response principles, than some of the UFE projects funded by CERF.

- They more often than not help in alleviating the immediate emergency.

- The CERF allows for a quick response without labour intensive proposal development or reporting processes.

- The CERF is a funding mechanism, the effectiveness of the projects is helped considerably by the swiftness of the CERF funding but it also depends from several other factors, including their viability, capacity of implementing agencies etc.

- In UFE this has provided valuable contribution to otherwise under-funded emergency response for IOM and other agencies, in particular for IDP situations and last year during the Horn of Africa drought, both cases where initial donor interest had ceased and CERF was able to provide a funding boost to address critical needs of affected populations.

- CERF projects continue to be a key factor in the successful delivery of IOM's assistance to the displaced and other families in need of assistance. Since in most emergencies IOM's objectives are quite specific and targeted (i.e.

camp management support, information management, shelter assistance), CERF funding enabled the Mission to reach those in need in comprehensive and timely manner.

- The funds have been critical [...] and helped to influence the outcome and ensure that IOM can reach the objective to evacuate TNC in the shortest time possible.

- It is an effective mechanism but not a solution... It needs to be complement by mid and long term solutions that are not available.

- Excellent and timely.

- Excellent granting mechanism, compared to just about any other funding mechanism it is lightning fast, evidence based and impact orientated. Compared to most funding mechanisms (and if you have a good OCHA in the country) it goes to the agencies with the capacity to deliver.

- In many emergencies, CERF funds arrive among the first available funds to respond to emergencies. The availability of CERF funds has many times initiated additional support from other donors.

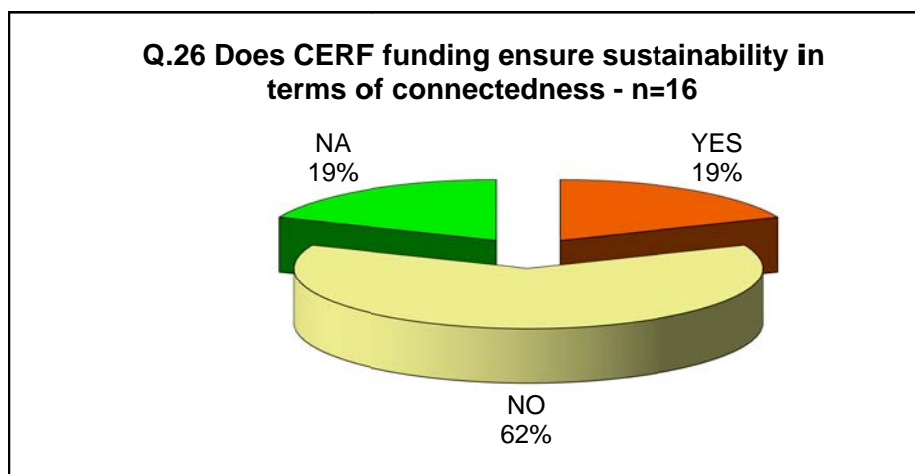
- CERF funded projects are effective. However, it takes some time to get projects approved so this must be corrected if we want to be more effective and have a better response.

- Extremely effective. CERF is very important to IOM in implementing timely emergency activities

- Generally speaking, the CERF funded projects are effective and have an important and positive life-saving and humanitarian impact on the given emergency outcome

- Good effectiveness and quick impacts on beneficiaries, thanks to the easy and quick funding approach, ensured by the expertise and operational capacities of the Missions.

26. Ensuring connectedness



The concept of connectedness does not appear to be embedded in CERF-funded interventions: almost two-thirds of respondents indicated that the concept was not included in the current humanitarian response context. The outlook for results remains the short term, life-saving concept, with little consideration for the mid- and longer-term horizon with concepts such as sustainability or connectedness.

A large number of respondents had difficulty answering the question and marked it NA.

ANNEX 5 List of countries and project selection for the survey

2006				
Window	Sector	Title	Country	USD
UFE	Protection/Human Rights/Rule of Law	Ravine Control in Mariani and Dry Wall Construction in Savanne Pistache	Haiti	270,000
RR	Shelter and NFI	Emergency relief assistance to victims of Typhoon Dorian	Philippines	250,000
UFE	Shelter and NFI	Emergency Provision of temporary shelter and related humanitarian assistance to destitute households affected by operations Murambatsvina	Zimbabwe	250,000
RR	Protection/Human Rights/Rule of Law	IDPs protection	Cote d'Ivoire	272,102
UFE	Multi-sector	Rehabilitation of common infrastructures to facilitate aid and the return of IDPs	DRC	680,000
RR	Health	Malaria control for forced migrants and affected communities in the Mon State	Myanmar	52,645

2007				
Window	Sector	Title	Country	USD
RR	Shelter and NFI	Improvement of temporary shelter in support of populations affected by Hurricane Dean	Haiti	254,660
RR	Coordination and support services	Procurement and distribution of NFIs and potable water to displaced population in flood-affected Balochistan and Sind	Pakistan	593,850
RR	Shelter and NFI	Building of temporary shelters - Bicol	Philippines	520,808
RR	Shelter and NFI	Establish and assist the GOP to manage temporary camps for vulnerable persons in the earthquake affected area and assist local populations in three main camps located in Chinca, Pisco and Ica, during 3 months with shelter and NFI	Peru	4,419,100
RR	Multi-Sector	Assistance to Afghan Families Deported from Iran	Afghanistan	2,840,143
RR	Shelter and NFI	Immediate Humanitarian Relief to IDPs and Host communities	Iraq	3,533,359
UFE	Shelter and NFI	Transitional shelter for mobile and vulnerable populations	Zimbabwe	1,000,000
UFE	Protection/Human Rights/Rule of Law	Assistance to IDPs in Cote d'Ivoire, particularly in the Western Zone including the IDPs camps in Guiglo (CATD)	Cote d'Ivoire	310,300
RR	Shelter and NFI	"Provision of Shelter and Non-Food Items in Tabasco" USD 401,7000 - "Provision of Shelter and non-food items in Chiapas USD 281,900	Mexico	683,600

2008				
Window	Sector	Title	Country	USD
RR	Shelter and NFI	Improvement of temporary shelter in support of populations affected by tropical storms Hanna and Gustav	Haiti	822,563
RR	Shelter and NFI	NFI Support o Abyei Displaced	Sudan	395,900
UFE	Shelter and NFI	Emergency Shelter Kit Procurement and Distribution	Pakistan	1,359,269
RR	CCCM	Emergency Camp Management Support for Displaced Persons in the Show Grounds in Eldoret	Kenya	218,582
UFE	Shelter and NFI	Rapid Response Humanitarian Assistance for IDPs	Afghanistan	1,274,793
UFE	Shelter and NFI	Immediate Humanitarian Relief to IDPs and Host Communities	Iraq	2,300,000
UFE	Multi-Sector	Emergency assistance to Mobile and Vulnerable Populations in Zimbabwe	Zimbabwe	800,000
UFE	Protection/Human Rights/Rule of Law	Facilitation of IDPs return & assistance and protection of host communities within the areas of return of Guiglo-Bloléquin-Toulepleu axis	Cote d'Ivoire	216,675
RR	Shelter and NFI	Rapid Response Humanitarian Assistance to IDPs in Western Georgia	Georgia	100,000
RR	Shelter and NFI	Provision of NFIs / Shelter	Nepal	200,020

2009				
Window	Sector	Title	Country	USD
RR	Shelter and NFI	NFI common pipeline operation: transportation	Sudan	1,241,595
RR	CCCM	CCCM Support	Philippines	447,102
RR	Coordination and support services	Humanitarian Assistance to Refugees in Kenya	Kenya	2,609,156
RR	Shelter and NFI	Fuel Provision for Vulnerable Families in Winter (II)	Afghanistan	495,089
UFE	Health	Consolidating emergency community and environmental health responses for mobile and vulnerable populations	Zimbabwe	697,426
UFE	Protection/Human Rights/Rule of Law	Restore peaceful cohabitation and social cohesion in host communities in western CDI (Dept. of Blolequin)	Cote d'Ivoire	200,000
UFE	Coordination and support services	Ouverture de la route Dungu-Ngilima-Bangadi-Doruma	DRC	1,033,460
UFE	Shelter and NFI	Disaster response and humanitarian assistance to IDPs, Yemen	Yemen	680,000

2010				
Window	Sector	Title	Country	USD
RR	CCCM	CCCM for vulnerable EQ victims in Haiti	Haiti	3,000,000
UFE	Shelter and NFI	emergency shelter and NFI support for flood affected populations	Pakistan	517,496
UFE	CCCM	CCCM and Protection Support to Vulnerable Families in Conflict Affected Areas in Central Mindanao	Philippines	373,568
UFE	Agriculture	Emergency livestock support to refugee hosting communities affected by effects of protracted and extreme climatic conditions in NW Kenya	Kenya	180,001
RR	Shelter and NFI	Assist the Government of Chile to provide temporary houses or shelter, kitchen and hygiene kits to allow beneficiary families in selected areas to return or make basic repairs to homes and obtain basic items to ensure survival over the next 3 months	Chile	3,001,328
RR	Shelter and NFI	Rapid Delivery of life-saving temporary shelter to survivors of Cyclone Giri in Pauktaw Township, Rakhine State	Myanmar	171,007
UFE	Shelter and NFI	Emergency Assistance to 3,000 stranded Ethiopian Migrants in Haradh, Yemen (reprogrammed)	Yemen	450,005
UFE	Multi-Sector	Addressing immediate shelter, NFI and Livelihood needs of IDPs in Somali and SNNP regions of Ethiopia	Ethiopia	800,000
RR	Shelter and NFI	Shelter and NFIs assistance to Haitian EQ Victims in border area with DR	Dominican Republic	436,151

2011				
Window	Sector	Title	Country	USD
RR	CCCM	Life-saving response to the Cholera outbreak in IDP camps and high-risk spontaneous sites	Haiti	1,997,860
RR	Multi-Sector	Returns of highly vulnerable and stranded IDPs from Khartoum to South Sudan: Support for their transportation	Sudan	6,491,958
RR	Multi-Sector	Emergency assistance to conflict affected IDPs in South Sudan	South Sudan	1,850,973
UFE	Shelter and NFI	Emergency shelter support to the most vulnerable population of Sindh floods 2011	Pakistan	1,000,003
RR	CCCM	Emergency Camp Coordination and Management and Essential NFI Distribution Support to Flood Affected Populations of Central Mindanao	Philippines	1,499,985
RR	Health	Provision of emergency assistance to strengthen preparedness and response to diarrhoeal diseases outbreaks in drought affected areas of Turkana	Kenya	115,373
RR	Education	Emergency Rehabilitation Assistance to Storm Affected Schools	Zimbabwe	977,054
RR	Multi-Sector	Emergency evacuation assistance to Third Country Nationals (TCNs) stranded at the Libya border with Tunisia	Tunisia	1,801,078
RR	CCCM	Camp Management Support and Service Provision to IDPs in Western Cote d'Ivoire and around Abidjan	Cote d'Ivoire	365,766
UFE	Health	Provision of Lifesaving Primary, Maternal & Child Health Care and Disease Prevention/Control Measures among Movement-affected Populations in South-East Myanmar	Myanmar	269,714
RR	Protection/Human Rights/Rule of Law	Transportation and Medical Assistance of Asylum Seekers and Refugees fleeing to Ghana from Ivory Coast	Ghana	104,802
RR	Multi-Sector	Emergency Assistance to IDPs From Abyan Governorate	Yemen	884,770
RR	Multi-Sector	Multi Sector Assistance to IDPs in Ethiopia	Ethiopia	749,999
RR	Protection/Human Rights/Rule of Law	Humanitarian assistance, including evacuation assistance, to migrants affected by the crisis in Libya stranded in Niger	Niger	2,574,869
RR	Protection/Human Rights/Rule of Law	Life-saving evacuation of most vulnerable TCNs from conflict areas in Syria	Syria	247,421
RR	Shelter and NFI	Rapid Humanitarian Assistance to Flood Displaced Households in Cambodia	Cambodia	342,379

2012				
Window	Sector	Title	Country	USD
UFE	CCCM	Support and assistance for sustainable return and relocation of IDPs within the framework of CCCM in IDP sites in Port au Prince, Haiti	Haiti	1,900,000
UFE	Shelter and NFI	Provision of Emergency NFIs and ES materials to IDPs, returnees, and host community members	South Sudan	2,599,030
RR	Shelter and NFI	NFIs, Transport and Humanitarian Communications Support for IDPs and returnees of FATA	Pakistan	1,500,043
UFE	Shelter and NFI	Emergency Shelter and Information Management Support to Conflict- and Disaster-Affected Areas in Mindanao	Philippines	500,039
RR	CCCM	Support for collective centre management, shelter and NFIs	Peru	388,710
UFE	Shelter and NFI	Contributing to life-saving needs of the Ivorian conflict affected population through emergency report and rehabilitation of shelters for the most vulnerable families, returnees and local communities, in the most affected areas	Cote d'Ivoire	799,503
UFE	Health	Improving lifesaving health care access and protection of vulnerable migrants in Djibouti	Djibouti	199,998
RR	Multi-Sector	Emergency assistance to new IDPs within Abyan Governorate	Yemen	1,902,431
RR	Protection/ HR/ROL	Humanitarian Evacuation and Assistance for most vulnerable migrant workers and host communities in Syria	Syria	655,919