

Independent Review of CERF Allocations to Iraq during 2013 – 2015

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List of Acronyms

AAP	Accountability to Affected Populations
AAR	After-Action Review
CCCM	Camp Coordination and Camp Management (cluster)
CERF	Central Emergency Response Fund
CHF	Common Humanitarian Fund
DRR	Disaster Risk Reduction
ERC	Emergency Relief Coordinator
ERF	Emergency Response Fund
GBV	Gender-Based Violence
FTS	Financial Tracking Service
HC	Humanitarian Coordinator
HCT	Humanitarian Country Team
HRP	Humanitarian Response Plan
IASC	Inter-Agency Standing Committee
ICCM	Inter-Cluster Coordination Mechanism
ICRC	International Committee of the Red Cross
IDP	Internally Displaced Person
INGO	International Non-Governmental Organisation
IOM	International Organisation for Migration
NCE	No-Cost Extension
NFI	Non-Food Item
NGO	Non-Governmental Organisation
NNGO	National Non-Governmental Organisation
OCHA	Office for the Coordination of Humanitarian Affairs (United Nations)
PAF	Performance and Accountability Framework (CERF)
PCA	Programme Cooperation Agreement (UNICEF)
RC/HC	Resident Coordinator/Humanitarian Coordinator
RR	Rapid Response
TOR	Terms of Reference
SRP	Strategic Response Plan
UFE	Underfunded Emergency

UN	United Nations
UNDP	United Nations Development Program
UNDSS	UN Department of Safety and Security
UNFPA	United Nations Population Fund
UNICEF	United Nations Children’s Fund
WASH	Water, Sanitation and Hygiene
WHO	World Health Organization (United Nations)

Acknowledgements

The support and engagement of OCHA, UN agency staff in Erbil was essential to the success of this exercise. CERF country studies evaluate CERF process, rather than agency performance, and lend themselves to open dialogue in that they tend are not to viewed as threatening in the manner of more formal evaluations. The openness of dialogue with all stakeholders in the CERF process is very welcome and contributes greatly to the success of the PAF reviews.

This is an independent review and the author therefore assumes responsibility for all opinions, recommendations and any inadvertent errors that appear in this report.

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EXECUTIVE SUMMARY

This review is an assessment of the value added by the Central Emergency Response Fund (CERF) in the complex crises in Iraq, with a specific focus on allocations made from 2013 to 2015. Over the period reviewed CERF made six allocations¹ for humanitarian response in Iraq totalling close to \$44 million. The review uses the latest version of the Performance and Accountability Framework (PAF) of the CERF as an evaluation framework.

In keeping with this framework, the review covers the following key questions:

- Were CERF submissions based on an inclusive planning process and adhered to established quality criteria?
- Were transparent systems in place for efficient allocation and use of CERF by recipient agencies and their partners?
- Were adequate monitoring and evaluation systems in place at the agency level for measuring and reporting on results?

During the review's specific time-frame, the operational context in Iraq evolved quickly and continuously. As the response, including coordination structures and funding tried to keep pace with the conflict, the CERF played a significant role. Until 2014, Iraq had been viewed as an extension to the Syria crisis and the response principally geared towards refugees. The Rapid Response (RR) window was invoked once in 2013² for the refugees response, and on four occasions³ in 2014 as the conflict spread through Anbar Province and beyond. OCHA's presence was re-established during 2014 and a Level 3 emergency (L3) declared in August of the same year. OCHA presence has been split between Kurdistan (referred to hereafter as the Kurdish Region of Iraq (KRI)) and Baghdad. Split coordination and an extraordinary turnover of staff during this period means that recall of allocations prior to 2015 was relatively low.

Value Added by CERF

Overall, the CERF is perceived as having added significant value; supportive of timely response (principally via the rapid response window in the event of shocks unforeseen in the HRP). One overarching conclusion is that the CERF has strengthened the response and enhanced capacity in niche areas (sectoral and geographic) i.e. gap filling and scaling critical response elements. For example, in both 2014 and 2015, as the response to both internal strife and refugees was scaling up, CERF was noted as supporting the strengthening of the response in the protection sector. Although CERF provided a small proportion of overall funding, it was viewed by recipient Agencies as some redress to a lack of protection funding from mainstream donors.

¹ Five allocations from the rapid response window and one from the underfunded emergencies window

² US\$10 million as part of a region-wide pre-emptive allocation in advance of potential US airstrikes.

³ Allocations of US\$4.9 million, \$2.0 million, \$3.9 million and \$14.9 million over the course of the year.

Recipient Agencies were also very positive of the CERF's capacity to leverage other donor funding.

Transparency, inclusiveness and awareness

Allocation processes for CERF funds have evolved in keeping with numerous changes in leadership and coordination structures⁴. Allocation processes for refugees have been led by UNHCR and its partners, although sector and cluster coordination for refugees and internal conflict respectively are well aligned. Both positive (such as fully inclusive cluster process) and negative (such as lead Agency making non-transparent decisions) examples were raised during interviews. On the whole, however, there was little awareness of CERF allocations beyond UN Agencies and international partners in clusters / sectors with transparent processes. Donors interviewed in country had no awareness of CERF allocations. Those with a stake in the Iraq Humanitarian Pooled Fund (IHPF) felt that they ought to be aware of CERF process and allocations. Some would ideally see CERF run through a fully complementary process, mirroring the IHPF process in which clusters or sectors defend the selection of individual projects. In keeping with CERF guidance, greater complementary with the IHPF would be ideal. A number of interviewees, however, were equally wary of adding a heavy process to CERF allocations. It was also clear, at the time of the field visit that OCHA IHPE unit was operating at or beyond capacity with very limited involvement in CERF process.

Coherence of CERF submissions and timeliness

Few specific issues were raised in respect of the timeliness of transfers to partners. As was the case in Syria and the sub-region⁵, UN Agencies showed a preference for using partners with pre-existing partnership arrangements to avoid contractual delays (and ultimately delays with fund transfers). As above, none of the partners interviewed (international or national) was aware that they were using CERF funds and raised broader issues with partnership and timing. Two international partners expressed a great deal of frustration with a pattern of short term and unpredictable contractual arrangements with UN Agencies. Short term funding was noted as particularly problematic for starting sensitive operations in conflict affected areas. While CERF is meeting its objective to prioritising life-saving work, the inability of the Agency to guarantee a stable funding platform for the partner brought the value of the start-up funding into question. In a counter-point to this argument, UN Agencies, were positive about CERF's ability to leverage other donor funding i.e. donors were perceived to look more favourably on programmes running with seed funding rather than those which had yet to commence.

Overall, for the period under study, CERF funding has arguably played a more significant role in Iraq than in the sub-region. In part, this is due to the respective 'phases' of the response;

⁴ At the time of the field visit in late 2015, there was a sense that coordination had consolidated in recent months.

⁵ This review was done in conjunction with a larger study on CERF allocations to Syria and the sub-region (Lebanon and Jordan).

operations in Iraq still being in a 'scale-up phase' in which more extensive and flexible use of the Rapid Response window was able to clearly add value. It is clear that the specific application and allocation of CERF funding has varied between clusters / sectors and with the rapid evolution of context and leadership, and is very likely to continue to evolve under current leadership. This report offers no specific recommendations.

INTRODUCTION

Objectives, scope and methodology of the review

The purpose of this review is to provide re-assurance to the ERC and the CERF secretariat on the value added of the CERF in the response to the crises in Iraq 2013. The Terms of Reference (TOR) for this review (Annex A) lays out the key questions of the review. Its scope covers inputs, processes, outputs and outcomes of CERF allocations during 2013, 14 and 15 for Iraq. This report covers allocations for Iraq's 'internal strife' (i.e. allocations towards programming within the scope of the Iraq HRP, as well as allocations for Syrian refugees in Iraq i.e. programming within the scope of the UNHCR and UNDP led Regional Refugee and Resilience Plan (3RP).

The CERF secretariat developed a Performance and Accountability Framework (PAF) in 2010, which proposes that the ERC select between three to five countries each year where CERF country-level reviews⁶ will be carried out. This study used the latest available revision of the PAF indicators (in full at annex B), as the core research framework. PAF indicators provided the basis of quality assurance around certain specific broad areas of concern to the ERC:

1. *An independent assessment on how CERF processes are achieving key management benchmarks:*
 - CERF submissions are based on an inclusive planning process and adhere to established quality criteria;
 - Transparent systems are in place for correct allocation, efficient flow and use of CERF by agencies;
 - Adequate monitoring and evaluation systems are in place at the agency level for measuring and reporting on results;
2. *An independent assessment on the extent to which CERF has achieved the following:*
 - Consolidation of humanitarian reform by empowering the RC/HC and enhancing the quality of coordination within the cluster approach and across clusters;
 - Facilitation of adequate coverage, eliminates gaps and facilitates an effective division of labour among humanitarian actors;
 - Contribution to a timelier response; and
 - Favours the delivery of relevant life-saving actions at critical moments.

These indicators formed the basis of the research framework and the research tools used: a semi-structured guide; a facilitation tool for discussions and de-briefing at the end of the field visits. Field work in Erbil included two brief field visits. The first to Barhaka IDP camp, where both IOM and WHO had undertaken CERF funded activities (NFI distribution and cholera

⁶ CERF Country Reviews can be downloaded from the CERF website at <http://www.unocha.org/cerf/reportsevaluations/evaluations/country-reviews/performance-and-accountability-framework>

vaccination respectively). The second to Shaqlawa General Hospital where UNFPA was supporting maternal health activities.

Limitations and Constraints

The conflict in Iraq, the implications of the conflict in Syria and the international humanitarian response to all of the events have been through a number of rapid evolutions since 2013 – as summarised below in the context section. Coordination for the response is now in a relatively stable situation. The frequent and rapid changes to response frameworks and coordination structures, however, mean that different approaches to the use of the CERF have been taken over time, leaving it hard to make generalisations.

One significant factor Iraq has seen extraordinary levels of international staff turnover. As an example, OCHA staff estimated that between 150 and 200 staff on short term contracts had cycled through the OCHA offices in Erbil and Baghdad since the start of 2015. Institutional memory on the part of UN Agencies, cluster leads and INGOs was limited, most obviously for CERF allocations prior to 2015.

Many noted significant language barriers, with a limited number of staff fluent in English, Kurdish and Arabic (and vice versa for the internationals), and less technical capacity than other parts of the region.

Iraq – Overview of context and coordination

This review covers allocations from the CERF from 2013 to 2015, to programmes for Syrian Refugees in Iraq and to programmes for Iraqi IDPs and other vulnerable populations. In 2013 and early 2014, the humanitarian response in Iraq was framed around the consequences of the Syrian conflict and led by UNHCR for the Syrian Refugee response, in conjunction with UNAMI⁷'s Integrated Coordination Office for Development and Humanitarian Affairs. UN response capacity scaled up in mid-2014, in response to an escalation in the 'internal armed conflict in Iraq⁸', most notably the fall of Mosul to ISIL, which led to massive new displacement (an estimated 1.8 million people between January and October of 2014). The needs of IDPs and other affected populations had been covered under a number of relatively small and geographically limited UNAMI response plans.

⁷ United Nations Assistance Mission to Iraq

⁸ Iraq SRP 2014/5

With the re-establishment of an OCHA office mid-2014 and a huge increase in the requirement for a humanitarian response (an estimated 5.2 million people were in need of assistance in 2014/15), OCHA launched a two year (2014/15) Humanitarian Response Plan (HRP) in 2014. In June of 2014, the Kingdom of Saudi Arabia (KSA) injected a non-earmarked contribution of US\$500 million, covering more than 100% of the UN appeal at that point in time (pre HRP). This contribution had a significant effect on the response and on the approach of UN agencies and donors to fund mobilisation, with obvious consequences for the CERF. A significant change in leadership came in mid-2015, with the arrival of a new RC/HC. Interviewees noted clear shifts in emphasis during this period. One involved deliberately paring down and prioritising the UN appeal; presenting evidenced figures for affected populations and response plan based on the realistic capacity of agencies to respond.

During 2015, efforts were also undertaken to address the 'imbalance' of operations between KRI and south central Iraq. While the response served high numbers and concentrations of IDPs and refugees in KRI, as well as a number of 'hard to reach areas', it was acknowledged that large areas in South Central Iraq had been under-served in relative terms. This re-balance also reflects the political reality; the need for the UN to partner with the federal Government in Baghdad, as well as the authorities in Kurdistan. The Kurdish Government has a high degree of autonomy, but the central Iraqi Government has central co-ordination structures and policy making bodies that influence governmental and non-governmental systems and policy in KRI. It is hard for all actors to deal with some aspects of this overlap, most notably those with representation in only one location. The role of Government in coordination is seen as strengthening, however, both via the Joint Coordination and Monitoring Center (JCMC) in Baghdad and the Joint Crisis Coordination Centre (JCC) in Erbil. For UN led coordination, most coordination meetings, including the Inter cluster coordination group (ICCG) run with a VCT link to Baghdad. Most interviewees noted that split coordination between Baghdad and Erbil adds an additional challenge to the context. Sub regional / field level coordination (i.e. beyond Erbil or Baghdad) remains weak.

Much of the response capacity remained in Erbil at the time of the visit. It remains significantly easier for INGOs to obtain registration and visas for KRI and running costs are significantly less than in Baghdad. In addition, security concerns mean that operations are especially constrained in and around Baghdad. The challenges of operating in and around the Green Zones in Baghdad are also significant⁹.

⁹ One INGO based outside of the Green Zone in Baghdad talked of being unable on occasion to access meetings in the Green zone and using a poor quality video link from another part of the city. In addition, it remains possible to run programming in South Central from headquarters in Erbil.

The role of CERF - overview

This review covers only the period from 2013-15. During this specific time-frame, the CERF has played a significant role in Iraq, the rapid response window being utilized more frequently than in Syria and the rest of the sub-region. This is largely due to the scaling up of the Iraq specific response at this time, Syria having seen more use of the CERF RR window during 2011 and 2012. As noted throughout the study, high staff turnover meant that there was little recall of allocations in 2014 and earlier. Throughout the interviews, however, there was no sense, as in other parts of the region, that CERF rapid response allocations had been anything other than field driven. Although the first allocation in 2013 was the result of a decision to pre-empt the effects of potential airstrikes (i.e. a decision by the ERC), the CERF intervention was seen as timely. Whereas Syria received an ‘automatic’ allocation on the declaration of the emergency as ‘L3’, no such allocation was made in the case of Iraq at the point of the L3 declaration in August of 2014¹⁰. As noted in the Syria study, lessons learned from the Syria crisis meant that earlier CERF contributions to the Iraq crisis were recognized¹¹, and no ‘automatic’ allocation generated¹². As needs increased later in the year, the result of further violence in Anbar province, unpredicted at the time of the revision of the humanitarian plan, the CERF RR window was triggered again.

CERF Allocations (2013-15)

Sep 2013	Iraq RR	Iraq (Syrian Refugees) Part of a combined \$50 mill allocation given for propositioning based on the possible refugee movements resulting from potential airstrikes	IOM, UNDP, UNESCO, UNFPA, UNHCR, UNICEF, WFP, WHO	\$10.0 mill
Feb 2014	Iraq RR	IDPs in Western Iraq due to of conflict between Islamic State of Iraq and the Levant (ISIL) -- al-Qaeda's affiliate in Iraq and Syria (and forces aligned to it) and the Iraqi Security Forces (and allied tribal groups)	IOM, UNHCR, UNICEF, WFP, WHO, UNFPA	\$4.9 mill

¹⁰ CERF support to large-scale humanitarian crises: A CERF Advisory Group background paper (May 2015)

¹¹ ‘the ERC did not consider further CERF funding for the emergency at the time of the L3 declaration’ – also from CERF support to large-scale humanitarian crises: A CERF Advisory Group background paper (May 2015)

¹² This has also been the case in CAR and South Sudan.

May 2014	Iraq RR	Outbreak of the wild-polio virus in Anbar – confirmed to be of the Syrian strain.	UNICEF, WHO	\$2.0 mill
July 2014	Iraq RR	IDPs in Western Iraq due to of conflict between Islamic State of Iraq and the Levant (ISIL) -- al-Qaeda's affiliate in Iraq and Syria (and forces aligned to it) and the Iraqi Security Forces (and allied tribal groups)	IOM, UNHCR, WFP, UNICEF	\$3.9 mill
Dec 2014	Iraq RR	IDPs mainly in in Anbar, Sulaymaniyah, Kirkuk due to increased conflict between Islamic State of Iraq and the Levant (ISIL) -- al-Qaeda's affiliate in Iraq and Syria (and forces aligned to it) and the Iraqi Security Forces (and allied tribal groups)	IOM, UNICEF, UNHCR, UNFPA, FAO, WHO, WFP	\$14.9 mill
Apr 2015	Iraq UFE	Iraq (Syrian Refugees) - Refugee influx due to conflict in Syria	FAO, UNDP, UNFPA, UNHCR, UNICEF, WFP	\$8.0 mill
Oct 2015	Iraq RR	Iraq Cholera Response ¹³	WHO, UNICEF	\$4.49 mill

¹³ This Rapid Response Allocation in 2015 was for a cholera outbreak response by UNICEF and WHO and was not included in the scope of the review at the time of the study visit, and as result the allocation is not discussed as part of this review.

Context at the time of the field visit

At the time of the study visit in December 2015, UNHCR had registered 244,527¹⁴ refugees in Iraq, and continued to appeal separately for refugee programming through the Iraq portion of the Regional Refugee / Resilience Appeal. Sixty-one per cent of refugees are living amongst Iraqi populations, strengthening the case for joined up coordination. The refugee response is seen as a 'distinct' response, and coordination is still overseen by UNHCR along sector lines. Coordination for IDPs and other vulnerable Iraqis is run by OCHA along cluster lines. Many or most meetings run simultaneously (split meetings which cover IDPs and refugees with, by and large, the same partners), and with a video link between Erbil and Baghdad.

¹⁴ <http://data.unhcr.org/syrianrefugees/country.php?id=103> – figure updated Nov 28th 2015

MAIN FINDINGS

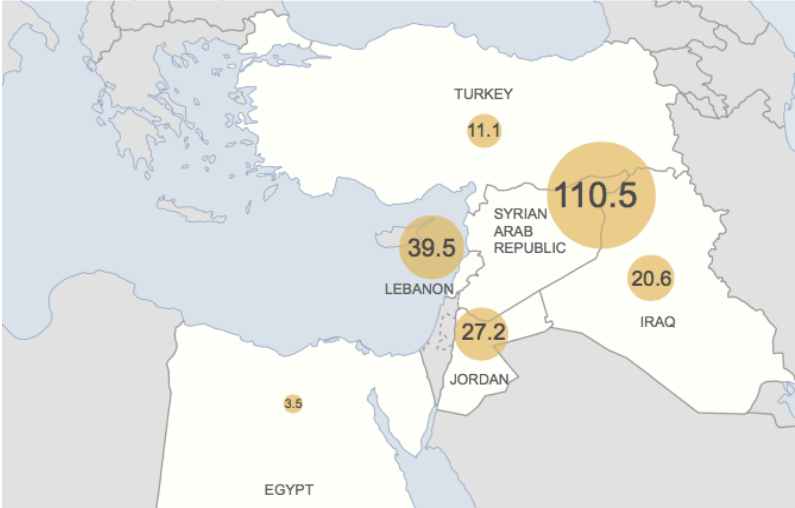
CERF Inputs

Indicators for inputs in the revised version of the CERF PAF aim to assess levels of funding, inclusiveness of the allocation process, quality of CERF submissions to each country, quality assurance systems of individual recipient agencies, reporting processes.

I. Funding Availability (PAF Indicator 1)

The tables below show funding levels to Iraq in comparison to overall funding levels as recorded in FTS and also allows for a comparison with rest of the region. The single CERF allocation in 2013 accounts for 3.9% of total funding to Iraq. This has to be viewed in the context described above, with relatively small appeals for the early part of that year, for refugees only. From 2014 onwards, CERF represents less than 2% of overall funding (for both refugees and internal strife). Senior UN leadership views the CERF as having filled key gaps and as having been used for 'scaling' critical response elements. This positive view is echoed by UN Agency staff, and specific examples are described below.

Allocation by country (in US\$ million)



CERF Allocations 2015/2014/2013: Syria, Regional Refugee response and Iraq Internal Strife

2015

Recipient Country	CERF RR Allocations	CERF UFE Allocations	Total CERF Allocations	Total Humanitarian Funding Received	CERF as % of Total Humanitarian Funding Received
Lebanon		18,004,139	18,004,139	1,057,114,940	1.7%
Jordan		7,700,313	7,700,313	688,944,919	1.1%
Iraq	4,490,040	7,988,899	12,478,939	889,925,513	1.4%
Syrian Arab Republic		31,226,054	31,226,054	1,892,683,503	1.6%

2014

Recipient Country	CERF Rapid Response Allocations	CERF Underfunded Allocations	Total CERF Allocations	Total Humanitarian Funding Received	CERF as % of Total Humanitarian Funding Received
Iraq	25,675,459		25,675,459	1,376,757,183	1.9%

2013

Recipient Country	CERF Rapid Response Allocations	CERF Underfunded Allocations	Total CERF Allocations	Total Humanitarian Funding Received	CERF as % of Total Humanitarian Funding Received
Lebanon	18,531,518		18,531,518	1,036,242,187	1.8%
Jordan	14,754,548		14,754,548	933,581,268	1.6%
Iraq	9,999,143		9,999,143	254,380,245	3.9%
Syrian Arab Republic	40,403,807		40,403,807	1,440,573,316	2.8%

Tables showing CERF allocations broken down by Agency and by sector are at Annex B. Overall, the pattern mirrors that of the rest of the region, the majority of funds going to the biggest Agencies; those doing the largest volumes of life-saving work. In the case of Iraq, given the emphasis on internal displacement as well as refugee response, a higher proportion of funding goes to IOM. As noted in the analysis which follows, protection is relatively prominent in the sectoral breakdown. In the eyes of the interviewees for this review, this sector was under-served by mainstream donors.

II. **Inclusiveness and Transparency of the Allocation Process (PAF Indicators 2-7)**

PAF indicators for inclusiveness and transparency aim to measure the level of engagement of clusters/sectors, analysis of funding levels, inclusion of implementing partners in CERF processes, and consultation of affected communities in the strategic prioritization of CERF funding.

Overall, it is hard to make general statements about inclusivity and transparency across the span between 2013 and 2015. Allocation processes appears to have evolved over time as a result of changes in coordination structures and leadership in Iraq. Practice has also varied between refugee allocations and those for the rest of the Iraq response.

In 2015, for which recall was strongest amongst interviewees, it is possible to state that high level decisions on CERF allocations were taken within the UN system and with little awareness of partners. For these recent, non-refugee receipts, decisions on the high level allocations to priority clusters (provisional 'envelopes' for each cluster) was consistently described as 'top down' i.e. a set of decisions taken by the senior management. That said, there was little or no dissent about the decisions that were taken. While OCHA and UN staff consistently stated that the priorities were tabled for discussion at the HCT, which includes donor and INGO reps. Neither donors nor INGO reps interviewed could recall these discussions, although this is possibly due to absence from specific meetings or staff turnover. The UFE allocation in early 2015 for refugee programmes was a UNHCR led process, in which a call was put out to 'interested UN agencies'¹⁵ (i.e. with no involvement of sectors or partners). A meeting of these agencies decided on top-line allocation envelopes (ultimately prioritising food, WASH and protection).

Amongst interviewees there was little recall of allocations in 2014 beyond the health and WASH clusters for the polio response (below). Looking further back in time, one interviewee recalled that the decision on cluster 'envelopes' for the 2013 RR allocation was taken jointly within the HCT meeting, in the absence of an OCHA office at the time.

¹⁵ Interview with UN staff

At the cluster / sector level, interviewees recalled a variety of allocation practice from cluster to cluster (and sector to sector) and over time. Positive examples of inclusive and transparent behaviour emerged from some clusters and around certain allocations and less positive in examples in others. The RR allocation for polio in 2014 in particular was seen in a positive light. Partners described how the allocation was tabled at the relevant Government led coordination forum and then at the cluster level (health and WASH). Discussions included all partners and priorities were determined on the basis of analysis from 'extensive' assessments. Ultimately, the CERF funding was used by the UN partners to complement other funding sources and response components.

In another sector, however, two UN Agencies described a straightforward and standing agreement to split CERF allocations '50/50 - to avoid arguments'. Activities with these allocations were better described as de-conflicted rather than coordinated, as the agencies concerned were undertaking identical distributions in the same Governorates but made sure that they were targeting different localities. In another instance, a cluster/sector-lead Agency, in the eyes of other agencies, took advantage of the position by 'capturing' a proportion of the CERF funding for themselves, prior to discussing allocation with UN agencies only from the relevant sector.

With respect to partnerships in implementing CERF funding and in keeping with the rest of the region; it has to be kept in mind that Iraq is a middle income country. In a number of geographical and technical areas, implementation is undertaken directly by UN agencies, via Government counterparts or through national NGOs. There are very few instances of implementation in partnership with INGOs that might be considered the norm in other contexts. One UN agency stated clearly that in the context of Iraq, INGOs were the partnership option of last resort; on the basis that Government systems were to be supported where feasible and that national partners offered significantly better value for money.

Donors interviewed in country had no awareness of CERF allocations. Most notably donors to the Iraq Humanitarian Pooled Fund (IHPF) felt that there should be greater transparency on CERF allocations. IHPF allocations are being run through a recently strengthened process which tries to take other funding sources into consideration (see complementarity with CBPFs below). Some suggested that allocations from the CERF, as an instrument complementary to CBPFs should be run through the same allocation and defence process. Failing this, greater visibility of CERF allocations (as those of all donors), would be preferable as part of a culture of transparency, enabling better informed allocations through the IHPF.

III. Coherence of the Country Submission (PAF Indicators 8-13)

PAF indicators for coherency of country submission aim to measure its timeliness, quality, consideration of other funding sources and consistency with CERF life-saving criteria and accountability to affected populations.

Coherence of submissions: UN agencies recognised the importance of collaboration on CERF submissions overall (although one Agency described the practice of joint submissions as ‘enforced’ and ‘a necessary evil’). As noted below under ‘prioritisation’, CERF funds tended to be prioritized in accordance with a jointly constructed, high level strategy specifying priority themes, sectors and geographic areas. At the operational level, however, there was little explicit joint planning, despite CERF funded projects (2015 UFE) taking place in common geographical areas. Such collaboration often amount to de-confliction in areas of intervention (ensuring that no duplication took place) as opposed to coordination with positive intent. In one instance, however, three UN agencies collaborated explicitly on a CERF proposal which centred on complimentary technical support to a single national partner. Another described a separate process of joint planning as providing the opportunity for ‘peer review’ of project elements. In summary, for the UFE allocation of 2015, coordination at the sector and cluster level was generally seen in positive terms, but active inter-agency collaboration at the programmatic level was the exception rather than the rule.

Prioritisation of CERF funds: The application of life-saving criteria and collective prioritization is evident in the ‘prioritization strategy¹⁶’ presented to the CERF secretariat in advance of the 2015 UFE allocation. Led by UNHCR with the support of OCHA, the strategy cites the provision of ‘life-saving support for high priority activities in the food security, protection, WASH and health sectors, as prioritized by the HCT and the Humanitarian Coordinator.’ Under the prevailing conditions in Iraq, the strategy prioritizes:

- ‘registration of refugees’ in urban areas and camps as a means of supporting protection and refugee rights, with an emphasis on GBV, SGBV and children;
- food aid to refugees (via vouchers); food to livestock and local livelihoods and food production cycles;
- reproductive health, with an emphasis on safe delivery and emergency obstetric care;
- Water trucking and latrine desludging in refugee camps, during the construction of more permanent water networks.

This strategy played out through the allocations which followed. The pattern of allocation is similar to the use of the UFE in Syria (and typical of the use of the UFE window in general) in that the funding prioritizes key funding gaps in UN Agency programming. The emphasis and

¹⁶ CERF Underfunded Emergencies, Prioritization Strategy: Iraq – 23 January 2015

largest allocations go to the larger agencies and to emergency interventions, with smaller, 'balancing' contributions to smaller agencies and life-sustaining / resilience activities.

IV. Agency Capacity: Quality Assurance, Monitoring & Evaluation (Indicators 14-20)

These PAF indicators aim to measure whether agency capacity is taken into account during proposal development, the extent to which agencies respect reporting guidelines, inclusiveness of reporting processes, quality of OCHA support along with the adequacy of contracting, procurement and M&E systems of recipient agencies.

In terms of project monitoring, Agencies reported that CERF projects were rolled into ongoing M+E activities i.e. no Agency reported specific monitoring for CERF funded projects (nor is there any requirement to do so under CERF guidance). Most notably when implementation was undertaken through national actors, Agencies noted specific attention to M+E: for example, an in-built project monitoring function for an international technical assistant (TA) attached to the project; regular procurement audits; ongoing evaluation of technical capacity.

There were no specific examples of joint / inclusive reporting, monitoring or evaluation, related either to programmes undertaken with CERF funding or in general. Both Agencies which reported having undertaken joint planning for CERF allocations (above) did, however, report regular and useful discussions of progress among the partners.

V. Streamlined Review, Allocation, Distribution & Reporting (PAF Indicators 21-24)

By and large UN agencies were satisfied with the overall efficiency of the CERF process, which was viewed as relatively light. There was also a broad degree of satisfaction with the level of support from the CERF secretariat. Typifying these views, one UN staff member stated that the workload involved in CERF processes was acceptable given the amount of CERF funding involved.

The only significant exception was raised in respect of the 2014 RR allocation for polio. One partner raised the issue of a three to four week processing time, from their perspective 'a delay' which came as a result of numerous clarifications required by the CERF secretariat. Given the extreme time sensitivity of the response, one UN staff member questioned whether some form of fast track (or 'no regrets') process might be employed in such circumstance, to enable the procurement of key supplies. It was noted that a small team was very stretched by the demands of the response itself and that the process had added a significant burden. From the perspective of the Cerf secretariat, however, the initial request did not 'meet sufficiently the CERF's Rapid Response criteria'¹⁷. CERF went on to comment that the Fund could not typically support immunization, nor was it able to cover 100% of an intervention. The Agency revised its concept note, was requested to submit an application and answer a number of questions

¹⁷ Comment from correspondence between CERF and the recipient Agency.

remaining¹⁸. Aside from the polio response, a relatively small number of partners questioned the need for the level of detail requested by the CERF. One or two raised perceptions that the CERF was becoming more heavy in terms of process and acting ‘more like a mainstream donor’ in terms of the level of detail (and multiple clarifications required).

The only engagement of Iraq’s Humanitarian Pooled Fund Unit (HPFU) in CERF allocations is the function of compiling inputs to the CERF report. Overall, the poor quality of reporting from Agencies was raised as an issue. Weakness overall was attributed to a number of possible factors: a perceived disconnect between reporting officers and programme functions, exacerbated by high levels of turnover and at times the relatively junior level of reporting officers, often with poor written English. The overall consequence of these factors is a lengthy and challenging job for the staff of the HPFU, who themselves feel little ownership of CERF process. By and large, agency staff accept the need for reporting to the CERF, but there were some calls for a lessening of the workload associated with reporting (this refers both to the quantity of reporting and in analysing (isolating) the outputs of projects normally reported as a part of programme based approaches .

VI. Timeliness of Onward Funding to Implementing Partners

None of the implementing partners (UFE 2015) interviewed¹⁹ were aware that they were implementing projects funded via CERF and as a result, none was aware of the timing of onward funding. Aware of the short time frame for CERF implementation, UN agencies in Iraq often expressed a preference for partners with pre-existing partnership agreements. The CERF has no requirement around the choice of implement partners i.e. an indirect consequence of CERF criteria. This tactic is similar to that used by UN Agencies in Syria and the sub-region; a deliberate move to maximise efficiency and speed over transparency and inclusivity. Pooled funds, including the CERF have a long acknowledged trade-off between the two. Efficiency is clearly seen as a positive trait in general. This is one factor in a lack of awareness at field level of the CERF outside of the UN. One interviewee recalled challenges with onward transfer of funds to partners in 2014. The data²⁰ shows that a clear majority of transfers were completed prior to intended project initiation.

As in other parts of the region, partners raised issues with timing and partnerships in the broader sense. Two implementing agencies (in this case INGOs), expressed a very high degree of frustration of implementing through UN partnerships. These relationships were noted as especially problematic when funding was unpredictable and when projects had to be managed and implemented across a sequence of short funding windows. The challenge of sustaining

¹⁸ The number of questions was not atypical in the view of the CERF secretariat.

¹⁹ A small number but significant proportion (more than 50%) of international NGOs partners were interviewed, and a small number and small proportion of national partners.

²⁰ Records provided by the CERF Secretariat

projects in protracted emergencies is a systemic issue, arguably beyond the scope of a CERF review. It is important, however, that agencies do not exacerbate poor practice through CERF funds. One partner raised the issue of a project of short duration in a hard to reach (and therefore prioritised) part of Iraq²¹. Whilst recognising the priority attached to the work, which included protection work and food security, they described setting up the project for a limited number of months with no guarantee of extension as highly problematic. Of particular concern was the need to build relationships for sensitive protection work and the need to offer continuity to staff, not least as there was a significant element of risk associated with the project. Three months of food security work was also noted, by the same partner, as ‘an oxymoron (*sic*)’.

This is an important but complex issue, beyond the scope of a country case study. CERF UFE grants have a 9 months implementation timeframe i.e. the three months referenced here is not equivalent to the overall duration of a CERF grant. It is also important to note that the CERF (UFE in this case) is meant to address underfunded gaps in response and not to fully fund projects. In this case, from the perspective of the implementing partner, they were approached with the offer of funding (of unstated origin). In this instance, the partner was unaware that a CERF grant of relatively short duration was involved in the equation. They were unclear as to why follow on funding from the Agency in question was unavailable and complementary funding from other donors did not materialize.

CERF Outputs: Better Response Capacities

I. Time-Critical Life-Saving Activities Supported; UN Agencies’ Capacity Strengthened; Predictability and Reliability Enhanced and quality of response (PAF Indicators 25-27; 32; 38-43)

These output indicators aim to include measurement of the extent to which CERF funds; allow agencies to gain donor confidence; achieve geographic and sectoral coverage and enhance the response capacity of recipient agencies; contribute to meeting critical life-saving needs in the eyes of key stakeholders; strengthen response capacity with the knowledge that CERF will be a reliable source of funding.

Again noting a lack of specific recall around CERF allocations pre-2015, there was overall, a positive view of CERF interventions, the support of the CERF at key points in the response and its role in filling gaps and enhancing response capacity. One interviewee recalled the value of the pre-emptive CERF allocations in 2013. Neither the airstrikes nor the projected displacement materialised, but the reprogrammed money was seen as having filled key gaps given low funding at that time. In 2014, senior staff noted that the CERF had been used to scale up critical

²¹ Prior to the interview, they were unaware that the funding for the project had come from the CERF.

response elements and as having supported key 'niche' components. In 2014, senior staff noted that the CERF had been used to scale up critical response elements and as having supported key 'niche' components. CERF funding was seen as having filled key gaps and scaled up interventions in protection (both SGBV and child protection), health and food security. Specifically, one Agency noted that the CERF had been prioritised for response in Kirkuk, a hard to reach area at that time. Noting the challenges around short term interventions raised above (section VI), CERF was seen as having played a part in encouraging programming in under-served areas.

Specifically in 2015, the UFE allocation was seen as having filled a critical gap in the protection sector. This was viewed a positive example of the use of CERF funding; an appreciation that protection fits within the life-saving criteria of the CERF. In this instance, CERF was seen as filling the gap left by donors who, overall, had failed to prioritize protection and specifically work on SGBV, notwithstanding high level of sexual violence associated with the 'Kobani influx'.

The outputs of CERF funded projects were apparent in the two short field visits undertaken as part of the study. The first was a visit to Shaqlawa Hospital, supported by UNFPA using the CERF UFE grant of 2015. Shaqlawa sits in a relatively secure area in the hills between Erbil and the Iranian border. As a result, the area is not prioritised as hard to reach or insecure and, as a result, receives only a small amount of targeted support. Readily accessible and secure, the area is a popular destination for both IDPs and refugees seeking stable living conditions. Hospital records showed that the number of consultations for pre- and post-natal care and for deliveries had almost doubled (from 90,000 to 175,000 annually) between 2013 and 2015. UNFPA provides largely material support for pre and post-natal consultations and for obstetric emergencies. The hospital is, at face value, well-functioning, well maintained and well-staffed, but struggling to cope with the sheer numbers of consultations. Hospital records clearly indicated consultations for those with IDP and / or refugee status and eligible for treatment with UNFPA materials. Collaboration between UNFPA and hospital management was clearly consultative and positive.

The second visit was to Barhaka IDP camp, supplied in 2014 with NFIs and vaccinations via CERF funding. Although camp staff did not recall the specifics of distributions undertaken with CERF funding, they were able to describe a history and expansion of the camp over time; including the distribution of supplies to various waves of new-comers.

Most agencies were very positive of the CERF's capacity to leverage other donor funding. Again in general terms, most recognised that projects which were running, with CERF funding as 'seed money', were more attractive to other donors than those which had yet to commence. Some agencies were able to point to specific instances of CERF funded projects being taken up by

other donors. These included a WHO project which was able to attract both bilateral funding and a new partnership with UNICEF as a result of CERF funding.

As noted in section I, CERF inputs remain a small amount of the overall funding received (between 1.5 and 3.9% year on year.) The overarching conclusion is that the CERF has strengthened the response and enhanced capacity in niche areas, both sectorally and geographically.

II. Increased Coordination and HC Leadership (PAF Indicators 28-31); Humanitarian Reform Process Supported (PAF Indicator 36-37)

These output indicators aim to measure how CERF helped improve coordination mechanisms and to enhance HC leadership; the extent to which CERF supports the full Humanitarian Cycle and how CERF has acted as a tool to promote humanitarian coordination, including accountability to affected populations. In addition, how CERF complements other sources of funding and the extent to which the reporting process has fostered joint reflection.

The HRP process and a larger and stronger humanitarian pooled fund for Iraq are seen as having played a part in consolidating coordination and the new strategic process around the HRP. Overall, the CERF is seen as playing a positive, if modest, role as one of a set of ongoing initiatives. Senior OCHA leadership specifically described the CERF as a tool which works in synergy with strong coordination structures, rather than as a mechanism through which coordination is strengthened: 'good teams know what to do' when presented with CERF funding. In this way, the CERF was viewed as a tool supportive of the HC function.

CERF process was noted specifically as strengthening coordination in WASH (including prioritisation and gap analysis) and in child protection and in food security. In the latter, the CERF and IHPF were both cited as having improved the inclusion of NNGOs in response planning. Only one agency representative took an opposing view. Looking back over the CERF allocations since 2013, they thought that on balance, the CERF had 'driven competition' amongst agencies, rather than enhancing coordination.

Complementarity with the Iraq humanitarian pooled fund: Again under the influence of the new HC and OCHA HoO, bringing in experience from other humanitarian responses, the Iraq Humanitarian Pooled Fund (IHPF), has grown in size and has strengthened in terms of process and oversight, via an advisory board. The fund now runs standard allocations (at regular intervals throughout the year), as well as an emergency reserve. For standard allocations rounds feature cluster defences for selected projects. No concrete examples of complementarity between the CERF and the IHPF were offered. An interview with Senior management suggested that the CERF and the IHPF are viewed in different light; the IHPF as a

tool to consistently enhance support around core strategy and the CERF as a more flexible, intermittent instrument with a more flexible remit to fill critical gaps at times of stress.

A number of interviewees called for CERF allocations to be run through a similar, or completely parallel / joint process, when timing of allocations allowed²². This was normally on the basis of improving transparency, and demonstrating faith in the ongoing process of strengthening the HRP. A number of respondents recognised the benefits of getting a higher proportion of funding to national NGOs. A combined / complementary allocation process between the CERF and IHPF was seen as more likely to end up in a higher proportion of funding for NGOs from the IHPF, as the CERF would be for UN agency programming²³ thereby reserving more of IHPF funding for NGOs.

Such a course of action has an inherent logic, and would certainly deal with the criticisms of the partners least happy with the level of awareness of the CERF in Iraq and the current CERF process in some sectors / clusters. As above, however, senior staff clearly stated their reluctance to increase the element of process in any existing mechanism. Not least, this is due to the recent completion of the HRP and a standard allocation round for the IHPF. It is also clearly recognised that the capacity of the HPFU²⁴ in Iraq is severely stretched and was working at or beyond capacity at the time of the field visit. Significant strengthening would be required if any additional workload was to be added to this unit.

III. Timely Response (PAF Indicators 33-35)

This output measures timeliness via indicators relating to the number and cause of no-cost extension requests (NCE), utilization of funds, and to what extent CERF fills critical time gaps compared to other contributions.

A relatively small number of No Cost Extensions (NCEs) were requested in late 2013 and during 2014. WFP and FAO requested NCEs during 2014 due to shifting access and security constraints caused by ongoing fighting in Anbar and neighbouring areas. IOM's NCE in the same period came as a result of a change in guidance from Government (specifically a request to cease the procurement of tents). In each case, funding implementation was delayed and / or funding reprogrammed. In late 2013 / early 2014, a small number of NCEs were requested due to issues with camp management and camp planning. UNFPA, UNESCO noted the need to re-plan health and education facilities due shifts in the use of space within camps; UNDP required extra time to coordinate protection activities with UNHCR. Neither recipient agencies nor the CERF Secretariat raised any specific issues with the issuance of NCEs in these cases.

²² This is in keeping with CERF and CBPF Guidance.

²³ This model of direct complementarity matches that of other countries with large, country-based pooled funds.

²⁴ As above, the IHPF unit had no involvement in CERF process beyond the reporting phase.

Overall, CERF was seen to support timely response, principally via the rapid response window in the event of shocks unforeseen in the SRP, HRP planning. In the case of the UFE round of 2015, and in keeping with the findings from Syria, CERF was seen to have filled critical funding gaps, largely as a result of regular funding deficits in quarter 1 of any given year.

Overarching conclusion

Overall, for the period under study, CERF funding has arguably played a more significant role in Iraq than in the sub-region. In part, this is due to the respective 'phases' of the response; operations in Iraq still being in a 'scale-up phase' in which more extensive and flexible use of the Rapid Response window was able to clearly add value. It is clear that the specific application and allocation of CERF funding has varied between the refugee and 'internal responses; between clusters / sectors and in keeping with the rapid evolution of context and leadership. This pattern is very likely to continue to evolve along similar lines under current leadership. This report offers no specific recommendations.

Annex A: Terms of Reference

INDEPENDENT REVIEW OF THE VALUE ADDED OF THE CENTRAL EMERGENCY RESPONSE FUND (CERF) IN THE COUNTRIES AFFECTED BY THE SYRIA CONFLICT AND IN RECENT IRAQ EMERGENCIES

Terms of Reference

1. Background to the CERF and Performance and Accountability Framework (PAF)

It is widely recognized that the key strengths of the CERF lie in its ability to respond quickly and in the relatively high degree of flexibility it affords users compared with other sources of humanitarian funding. Member States and private donors require appropriate assurances that the considerable funds involved are managed appropriately and meaningful results are being achieved. The ERC function is charged with a formal fiduciary responsibility over the proper use of CERF funds, and relies upon the CERF Secretariat to assist with the proper discharge of these responsibilities. In this context, the development of a PAF for the CERF is regarded as an effective tool.

Paragraph 19 of General Assembly Resolution 60/124 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.” Consequently, the CERF Advisory Group at its meeting on 12 October 2006 called for the development of a Performance and Accountability Framework (PAF). In addition, the 2008 CERF Two-year Evaluation gave as Key Recommendation 4: “The multiple lines of accountability for CERF need to be clarified, in consultation with the UN Controller and the operational agencies, to specify the roles of each actor.” In response, the CERF Secretariat worked on developing a PAF, a first draft was circulated in 2009 and a PAF adopted in 2010.

The CERF PAF proposes, among other things, the introduction of independent reviews to be conducted annually within a sample of three to five countries as determined by the ERC. The CERF Advisory Group supported the inclusion of such an independent country-level mechanism. Following a pilot review conducted in Kenya in early 2010, the CERF AG met on 1 July and endorsed the PAF. Since then, the CERF secretariat has aimed to conduct between three and five country-level reviews per year²⁵.

2. Scope and Purpose

The purpose of the present country-level reviews will be twofold. The review will aim to assess the value-added of CERF funding towards the humanitarian response to the crisis in Syria and its neighboring countries since the beginning of the conflict in 2011 but with main focus on allocations since 2013. Since the crisis began in 2011, CERF has allocated \$213.1 million to humanitarian operations in Syria and neighbouring countries in response to the crisis. UN agencies and IOM in Syria have received more than \$122 million in CERF funds. An additional \$91.1 million has gone to relief agencies supporting Syrians who have fled to Iraq,

²⁵ A full list of reviews conducted to date and final reports are available online at <http://unocha.org/cerf/reportsevaluations/evaluations/country-reviews/performance-and-accountability-framework>

Jordan, Lebanon, Turkey and Egypt. In addition the review will also assess the value-added of CERF allocations in response to humanitarian needs in Iraq not directly related to the Syria crisis. A total of \$25.7 mill were allocated from CERF in 2014 in this respect²⁶.

A major aim of the review will be to provide the ERC with an appropriate level of assurance around the achievement of key performance benchmarks and planned results for the CERF mechanism. The review will also include recommendations aimed at improving operational aspects of the CERF and may also identify relevant policy issues which need to be addressed at a global level.

3. Key issues

The critical overriding question on which assurance is sought by the ERC is: **Have CERF operations in the country successfully added value to the broader humanitarian endeavor?**

Using the PAF indicator sets as basis, assurances will be sought around the following specific broad areas of concern to the ERC:

1. *CERF processes are achieving key management benchmarks in that:*
 - CERF submissions are based on an inclusive planning process and adhere to established quality criteria.
 - Transparent systems are in place for correct allocation, efficient flow and use of CERF by agencies.
 - Adequate monitoring and evaluation systems are in place at the agency level for measuring and reporting on results.
2. *There are reasonable grounds to believe that CERF operations favour the following results:*
 - CERF consolidates humanitarian reform by empowering the RC/HC and enhancing the quality of coordination within the cluster approach and across clusters.
 - CERF facilitates adequate coverage, eliminates gaps and facilitates an effective division of labour among humanitarian actors.
 - CERF contributes to a more timely response to needs.
 - CERF favors the delivery of relevant life-saving actions at critical moments.

4. Review Methodology

During the PAF development process, UN agencies emphasized that the formal assessment of agency performance vis-a-vis CERF-funded activities remains the prerogative of recipient agencies via their own internal oversight procedures (internal performance reporting, audit and evaluation etc.). The review approach will therefore be designed in a manner which avoids duplication with such procedures and meets only the immediate assurance needs of the ERC in relation to the PAF.

Recognizing that CERF funds are often co-mingled with other donor funds by agencies and that the in-depth assessment of beneficiary-level impact is formally the charge of recipient agencies, the review will not attempt to link beneficiary-level changes to CERF activity, except where recipient agencies already have this data. The review mechanism will not seek to provide comprehensive coverage linked to detailed narratives and

²⁶ Relevant CERF allocations are listed in Annex I

contextual analysis around how and why results are being achieved. Rather it will focus instead on providing an assurance around issues of the Fund's operational impact. In line with the agreement on CERF grants, recipient agencies are expected to support the CERF review process, including sharing relevant project level information and allowing on-site visits of CERF funded projects if deemed relevant for the review.

Key components of the methodology will include a rapid desk review and field visits by the consultant to Syria, Iraq, Lebanon and Jordan including interviews with key stakeholders. Visits to one or more regional coordination hubs can be envisaged if these play a substantive role in CERF processes. The analytical approach will be deliberately kept rapid and light.

Prior to leaving each country, the Consultant will leave with the RC/HC a short analytical report consisting of a series of short observations and recommendations in relation to the key assurance issues identified above. The RC/HC, together with the HCT, will subsequently be requested to provide a "management response" to the recommendations contained in the report.

Desk review: A quantitative analysis will be conducted on the data, reports and files available at the HQ and Country level. These include:

- Funding data, including funding from sources other than the CERF (e.g. OCHA's Financial Tracking System);
- Timelines on sums requested, allocated from CERF database;
- CERF country-level reports on context, needs, status of implementation, activities, results and lessons learned;
- CERF meeting minutes at HQ and country-level and notifications of application decisions;
- CERF Project files at HQ and country-level.

Semi-structured interviews at country level will include: RC/HC, Cluster leads and coordinators, Heads of Agencies, I/NGO partner implementing CERF projects and those without access to CERF funds, host government, donors. Interviews will also take place with selected CERF Secretariat staff to get further background and perspective. UN Agencies and IOM will be asked to provide relevant documents and indicate interview partners to facilitate the review.

Select project site visits: These may be included as appropriate and time permitting to help provide some anecdotal information regarding the use of funding at the affected population level and can provide a field-level snapshot and some direct contact with affected populations.

In-Country briefings will be used as learning opportunities to discuss and validate the findings, explore possible recommendations and further refine the analytical approaches.

5. Proposed Consultants

It is anticipated that one or two consultant(s) will be required to prepare the reviews for the review. The consultant will be independent. He/she should have the following skills:

- Expertise in UN humanitarian reform & financing and knowledge of the CAP and Flash Appeal process;
- Expertise and extensive experience in humanitarian evaluation;
- Expertise in analyzing financial data in tandem with other types of information;

- Expertise in project management and implementation;
- Knowledge, including field experience with a broad range of humanitarian actors, such as UN agencies, Red Cross/Red Crescent Movement, local government disaster response structures and systems, and NGOs;
- Fluency in written and spoken English;
- Familiarity with man-made disaster settings.

6. Management and Support

The review will be managed by the CERF Secretariat, who will identify country-level focal points to support the review mission. Their responsibilities will include:

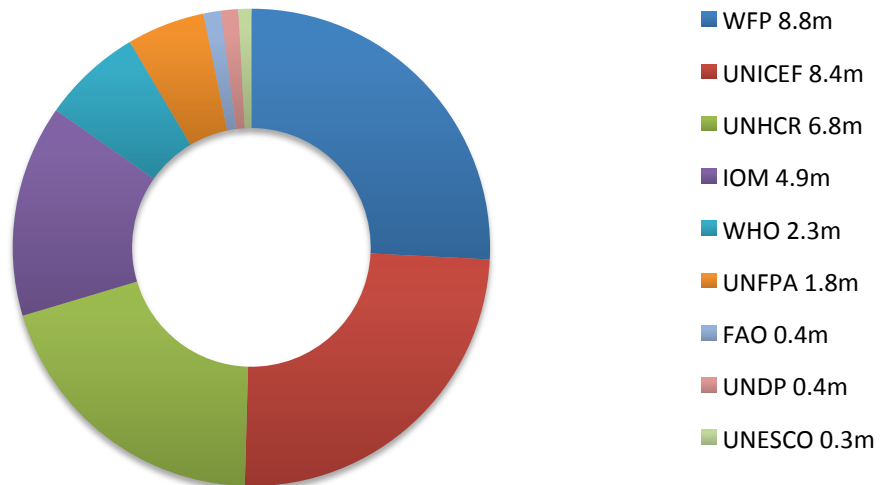
- Provide necessary administrative, coordination and logistical support to the consultants;
- Facilitate the consultants' access to specific information or expertise necessary to perform the assessment;
- Monitor and assess the quality of the review and its process;
- Ensure sufficient engagement by UNCT on initial findings prior to dissemination;
- When appropriate, recommend approval of final report;
- Disseminate final report; and
- Facilitate management response to the final report and subsequent follow up.

7. Deliverables

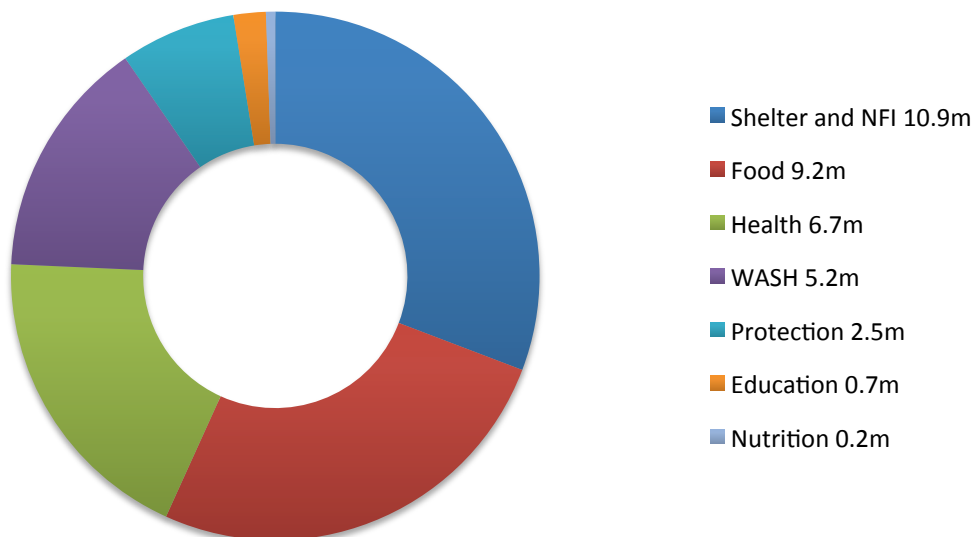
The main output will be two concise reports in English in an electronic version to the ERC, through the CERF Secretariat, one report covering the Iraq crisis and the other covering the Syria crisis including neighboring countries. The Iraq report should have no more than 30 pages and the Syria report no more than 50 pages, both excluding appendices as well as an executive summary (up to three pages). The report will be structured in the form of short observations and conclusions around the different assurance concerns linked to the PAF. The reports will include, as appropriate, a set of specific, well targeted and action-oriented recommendations whose purpose should be to improve the performance of the CERF within the country or raising any policy issues. The annexes will include a brief description of the methods used and the tests performed and a list of persons interviewed.

Annex B: Allocations by agency and sector

**Iraq Allocations by Recipient Agencies 2013-2014:
9 Agencies, 36 projects (all rapid response)**



CERF Allocations by sector: Iraq 2013 -2014



Annex C: CERF Performance and Accountability Framework (PAF) Indicators

Inputs: CERF Funding			
Input I: Funding Available to UN Agencies/IOM			
#	Indicator	Responsible	Level
1	Funding available for crises (rapid response & underfunded window) by country. CERF as a percentage of other sources of funding available.	CERF secretariat	Global
Input II: Transparent and Inclusive Prioritization and Decision Making			
#	Indicator	Responsible	Level
2	Intra- and inter-cluster/sector prioritization process is inclusive of all relevant stakeholders, and adheres to Principles of Partnership (endorsed by the Global Humanitarian Platform, 12 July 2007).	RC/HC, cluster leads, recipient agencies	Country
3	Agencies involve their intended implementing partners in CERF project selection and formulation.	Cluster leads, recipient agencies	Country
4	Demonstrated involvement of affected community in needs assessment and programme design (required for underfunded emergencies and if unavailable for rapid onset, justification and plan for consultation in place).	RC/HC and Cluster Leads/Co-Cluster Leads, Recipient agencies	Country
5	Analysis of funding undertaken to inform prioritization process and facilitate appropriate direction of funds	RC/HC	Country
6	CERF underfunded (UFE) country selection/apportionment process at headquarters level undertaken in a transparent manner.	CERF secretariat	Global
7	Where applicable, the analysis, consultation and prioritization processes for CERF allocation take into consideration Country Based Pooled Funds.	RC/HC	Country
Input III: Coherent Country Submission (including complementarity with other sources of funding)			
#	Indicator	Responsible	Level
8	CERF submission to the HC is of high quality and consistent with humanitarian priorities.	Cluster Leads, Recipient agencies	Country
9	CERF request adheres to relevant quality standards and the CERF life-saving criteria.	RC/HC	Country
10	CERF request is considered timely and appropriate with respect to needs and context.	RC/HC	Country

11	CERF where applicable uses existing Country Based Pooled Fund processes and structures to support CERF allocations.	RC/HC	Country
12	RC/HC allocates CERF funds through a strategy that considers other sources of funding (including Country Based Pooled Funds where these exists) and uses these according to their comparative advantage.	RC/HC	Country
13	The IASC Principals' 2011 Commitments on AAP demonstrably incorporated into project submissions and reporting as per the guidelines (This includes that agency commitments on such cross-cutting issues as gender, protection, diversity and disability are identified and addressed in the proposed response).	RC/HC, cluster leads, recipient agencies	Country

Input IV. Agency Capacity, M/R & E + Quality Assurance Systems in Place

#	Indicator	Responsible	Level
14	Agency performance (capacity to implement within the timeframe of the grant, past performance, speed of distribution and absorptive capacity) is considered when developing and reviewing the proposal.	RC/HC, cluster leads, recipient agencies, implementing partners	Country
15	Agencies, both at HQ and in the field provide satisfactory (quality and timeliness) inputs (as defined by CERF secretariat guidelines) to the RC/HC CERF Report and the UN Agency/IOM HQ narrative report, which adhere to reporting guidelines	UN agencies/IOM CO and HQ	Country, Global
16	The RC/HC CERF report is prepared in an inclusive and transparent manner involving relevant stakeholders	UN agencies, cluster leads, implementing partners, OCHA CO/RO	Country
17	Agencies have the procurement/sub-contracting procedures suited for emergency situations and sufficient staff, access, etc.	UN agencies/ IOM CO and HQ	Country, Global
18	Agencies receiving grants have internal monitoring, evaluation, quality assurance and accountability mechanisms.	UN agencies/ IOM HQ	Country, Global
19	CERF secretariat has provided adequate global guidance on the standards for reporting and CERF-related processes.	CERF secretariat	Global
20	OCHA CO/RO, in support of the RC/HC, provides guidance to agencies, and facilitates input for RC/HC CERF report.	OCHA CO/RO	Country

Input V: Streamlined Review, Allocation, Distribution and Overall Reporting

#	Indicator	Responsible	Level
21	Average number of working days between final submission of a CERF grant request package from RC/HC and fund disbursement by OPPBA to UN HQ	CERF secretariat, Office of the Controller, ERC	Global

22	Average number of working days from disbursement from UN HQ to country office	UN HQ	Country, Global
23	a) Timely sub-granting arrangements between CERF recipient agencies and their implementing partners. b) Number of days from UN agency/IOM HQ receives CERF funding to first installment disbursed to implementing partners (IPs). c) Number of days from UN agency/IOM HQ receives CERF funding to their implementing partners (IPs) start implementation of CERF funded activities.	Recipient agencies with partners	Country (a), Global (a, b, c)
24	Overall quality and timeliness of the RC/HC CERF report	HC/RC, UN agencies	Country
Outputs: Humanitarian Actors Better Able to Respond			
Output I: Time-Critical Life-Saving Activities Supported			
#	Indicator	Source	Level
25	CERF funds allow agencies to demonstrate capability to leverage donor confidence for future contributions.	UN agency/IOM financial data and qualitative feedback from Country Reviews, After Action Reviews and Evaluations.	Country, Global
26	Availability of CERF funding recognized by relevant stakeholders (recipient agencies, NGOs, INGOs, Government, other donors) as being fundamental to ability to respond to life saving needs and gaps.	Qualitative Feedback from RC/HC CERF reports, Country Reviews, After Action Reviews and Evaluations	Country
27	Extent to which gaps, both geographic and sectoral, have been identified and addressed through use of CERF funds.	Country reviews, Project/cluster documents	
Output II: Increased Coordination and HC Leadership			
#	Indicator	Source	Level
28	CERF contributes to improve coordination and to enhance HC leadership.	Qualitative Feedback from RC/HC CERF reports and Country Reviews, After Action Reviews and Evaluations	Country
29	Strengthened function of clusters and of inter-cluster forum.	Qualitative feedback from Stakeholders	Country

30	RC/HC leverages CERF and complementarity between different sources of funding is enhanced. (e.g. funds are used jointly and strategically according to their respective comparative advantages).	Qualitative Feedback from Country Reviews, After Action Reviews and Evaluations, OCHA CO/RO	Country
31	The RC/HC CERF reporting process fosters joint reflection on results achieved with CERF funds and lessons learned	UN agencies, cluster leads, implementing partners, OCHA CO/RO	Country
Output III: UN Agencies' Capacity Strengthened			
#	Indicator	Source	Level
32	Extent to which CERF enhances the ability of recipient agencies to respond to humanitarian crises.	Qualitative Feedback from Country Reviews, After Action Reviews and Evaluations HQ level bilateral partnership reporting and meetings	Country
Output IV. Timely Response			
#	Indicator	Source	Level
33	Number and cause of no-cost extension requests.	CERF Internal Tracking, Third Party Monitoring, After Action Reviews, Country Reviews	Country
34	CERF funds fill a critical time gap as measured in relation to time that other contributions are received.	UN Agency/IOM specific financial data, Qualitative Feedback from Country Reviews, RC/HC CERF reports	Country
35	Utilization rates of CERF funding.	CERF Financial Reports	Global
Outcomes: Humanitarian Performance Strengthened			
Outcome I: Humanitarian Reform Process, incl. Transformative Agenda, Supported			
#	Indicator	Source	Level

36	Extent to which CERF supports the full Humanitarian Programme Cycle and the collective results that the humanitarian community aims to achieve.	Indicators when available. Qualitative Feedback from Country Reviews, After Action Reviews and Evaluations	Country
37	Extent to which CERF has acted as a tool to incentivize overall coordination, empowered RC/HC leadership and strengthened accountability, including accountability to affected populations.	Qualitative Feedback from Country Reviews, RC/HC CERF reports, After Action Reviews and Evaluations	Country
Outcome II: Predictability and Reliability Enhanced			
#	Indicator	Source	Level
38	Response capacity is strengthened given knowledge that CERF is a reliable source of funding.	Qualitative Feedback from UN agencies/IOM	Country
39	Operations deployed more rapidly due to 'predictability' of CERF as a quick funding source.	UN Agency/IOM reporting	Country
Outcome III: Quality Response			
#	Indicator	Source	Level
39	Extent of coverage of beneficiary targets in relation to the initial proposal (e.g. number, type).	Monitoring data when available, HC/RC CERF report template, Qualitative Feedback	Country
40	Agencies' CERF-related outcomes are reported to CERF and the RC/HC on the basis of their M/R & E and quality assurance systems	UN agencies/IOM reporting, third party monitoring, evaluations, Qualitative Feedback from Country Reviews	Country
41	For the CERF, evaluative processes enable continuous improvement and ensure a quality response. Evaluations are undertaken regularly and there is a management response to recommendations.	Qualitative Feedback from Country Reviews, After Action Reviews and Evaluations Website analytics	Global
44	Evaluations undertaken demonstrate CERF's contribution to a more coherent and effective quality response.	Qualitative Feedback from Country Reviews, After Action Reviews and Evaluations	Global Country

