

**PERFORMANCE AND ACCOUNTABILITY FRAMEWORK (PAF) FOR THE  
CENTRAL EMERGENCY RESPONSE FUND (CERF)**

August 2010

## I. BACKGROUND AND RATIONALE

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. It was intended as a UN financing vehicle to mitigate unevenness and delays in voluntary contributions. The rapid response window of CERF provides seed money for life-saving humanitarian activities in the immediate aftermath of a sudden onset crises or deteriorations in existing crises. The underfunded component of CERF provides critical coverage of core humanitarian activities for emergencies that have not attracted sufficient funds. Approved by consensus by the United Nations General Assembly Resolution 60/124, CERF was established to achieve the following specific objectives:

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

In response to the Resolution calling 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, at its first meeting, 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.’*

Stakeholders repeatedly recognize that a core strength of CERF is that funding comes quickly and with a degree of flexibility that not all other sources of funding can match. At the same time, Member States and private donors require assurance that CERF funds are being used and managed appropriately and view the establishment of a formal PAF as a means for formalizing a clear set of accountability mechanisms and reporting processes.

The CERF Secretariat, and by extension the Emergency Relief Coordinator (ERC), 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.

The development of a CERF PAF is not intended to add additional layers of bureaucracy or rigidity to current CERF process nor is it expected to increase the current reporting responsibilities of fund recipients. The PAF does not seek to duplicate or replace existing oversight mechanisms and tools nor will it override recipient agency’s internal accountability frameworks. Its purpose rather is to ensure that the flexibility and straightforward nature of the Fund is complemented by an appropriate level of transparency and accountability.

The PAF makes use of a logic model approach as a means of clarifying accountability and performance expectations around a set of agreed CERF outputs, outcomes and impacts. Accordingly, different levels of the logic model are linked to different indicator sets. The viability of the logic model was tested through an independent consultant’s review in Kenya in February 2010. The report is available on the CERF website.

### 1.1 Development of the CERF PAF: A Participatory Process

The CERF Secretariat was supported by an external consultant and OCHA's Evaluation and Studies Section in its development of the PAF. The PAF reflects the outcomes of the development process. Significant consultations took place both at headquarters and in the field with a range of stakeholders.<sup>1</sup> All recipient agencies at headquarters provided inputs, and two of CERF's largest recipient countries, Kenya and Somalia, were visited, where UN agencies, IOM, most cluster leads, the RC/HCs and representative NGOs were consulted. An initial draft was presented to the CERF Advisory Group at their meeting on 2-3 November 2009. At this meeting, the Advisory Group was able to engage in detailed discussions with the UN agencies and IOM on performance and accountability issues. This first wave of feedback was incorporated into a second draft, which was then endorsed by the Advisory Group at its 1 July 2010 meeting.

## **II. INTRODUCTION TO THE PAF**

### 2.1 Defining Accountability

Accountability is defined here as the process whereby public service organizations and individuals within them are held responsible for their decisions and actions. This includes their stewardship of public funds, fairness, aspects of performance, in accordance with agreed rules and standards, and fair and accurate reporting on performance results vis-à-vis mandated roles and/or plans.<sup>2</sup> This framework delineates roles, responsibilities and performance measures to ensure the efficient, effective and transparent management of the Fund based on its three mandated objectives.

### 2.2 Defining Performance

The DAC/OECD guidelines define performance as: the degree to which a humanitarian intervention or partner operates according to specific criteria, standards or guidelines or achieves results in accordance with stated goals or plans. As specified in the Report of the Secretary-General (60/432), the overall performance of the CERF is measured against the three aforementioned mandated objectives. The development of performance measures includes defining key indicators and entities responsible for meeting objectives.

### 2.3 Current Tools for Accountability within CERF

Although the PAF has just been finalized, it is important to note that CERF already has a number of tools that measure and guide the use of funds. These tools have been used to review the use of CERF funds and report back to Member States on their implementation. The PAF incorporates much of what already has been agreed to in these mechanisms and builds upon improvements already made.

The development of the PAF has helped to identify gaps in the information being collected, and to provide options for filling these gaps. The table below summarizes both the tools currently in use to measure accountability, and the new measures incorporated in the PAF.

**TABLE 1. CURRENT OVERSIGHT AND ACCOUNTABILITY TOOLS FOR CERF**

<sup>1</sup> See Annex I for documents referenced. See Annex II for persons consulted. See Annex III for interview guide.

<sup>2</sup> INTOSAI "Guidelines for Internal Control Standards for the Public Sector" (Vienna, INTOSAI General Secretariat, 2004).

<b>Public Reporting Mechanisms</b>	
<b>Tool</b>	<b>Accountability Information Provided</b>
Secretary-General Report	✓ Highlights how CERF funds were used to make a difference in humanitarian response at the country and recipient agency levels. Usually covers the period of July to June.
CERF Annual Report	✓ Provides an account of the all CERF activities for the calendar year-allocations, contributions, management, oversight and accountability activities are typically reported on.
CERF Website	<ul style="list-style-type: none"> <li>✓ Donations and expenditures linked to the financial tracking service (FTS)</li> <li>✓ All RC/HC Annual Reports posted to the website.</li> <li>✓ Advisory Group Recommendations and Conclusions</li> <li>✓ Trends in CERF funding</li> <li>✓ CERF Guidance and Training materials</li> </ul>
<b>Compliance and Guidance Documents</b>	
<b>Tool</b>	<b>Accountability Information Provided</b>
CERF Guidance and Training	<ul style="list-style-type: none"> <li>✓ Application Procedures, Life-Saving Criteria, Reporting Guidelines</li> <li>✓ CERF Guidance and Training lays out expectations on all aspects of the operation of the CERF for which performance can later be measured against.</li> </ul>
SG Bulletin	✓ Lays out a regime for the administration and management of the Fund.
<b>Internal Project Review &amp; Control Processes</b>	
<b>Tool</b>	<b>Accountability Information Provided</b>
Prioritization at Country Level	✓ Provided in the Application Template
CERF Secretariat Application Review	<ul style="list-style-type: none"> <li>✓ Review by CERF program officer, CERF Head of Programme, CERF finance officer, Chief of CERF Secretariat, and Director of OCHA New York</li> <li>✓ ERC for final review and signature</li> <li>✓ Office of the Controller review prior to dissemination of funds.</li> </ul>
LOU at HQ level	✓ Details recipient agency responsibilities in regard to the use of the funds and reporting requirements
Country Level After Action Review	<ul style="list-style-type: none"> <li>✓ Would be a mechanism to ensure at country level that funds were spent as intended</li> <li>✓ Opportunity for recipient agencies to review process of prioritization and implementation</li> </ul>
<b>External Audits, Evaluations &amp; Reviews</b>	
<b>Tool</b>	<b>Accountability Information Provided</b>
Country- Level Annual Independent Reviews	✓ Will provide a verification of the operational impact, outcomes and outputs of CERF funded projects in three to five countries annually.
Evaluations	<ul style="list-style-type: none"> <li>✓ Funded activities are subject to evaluations in line with the established evaluation procedures of each recipient agency.</li> <li>✓ The ERC may request additional ad hoc evaluations as the need arises.</li> <li>✓ Independent global evaluations of CERF were conducted for the UN General Assembly in 2006 and 2008. Another is planned for 2011.</li> <li>✓ Inter-agency real time evaluations (IA RTEs) may play some role in verifying that CERF has played an effective role during the initial phases of a response.</li> </ul>
Audits	✓ The UN Board of Auditors and the UN OIOS have the necessary authority to conduct audits on both the use and management of the Fund.

<b>Supervision &amp; Advisory Mechanisms</b>	
<b>Tool</b>	<b>Accountability Information Provided</b>
CERF Advisory Group	✓ CERF Advisory Group provides the SG with expert advice on the use and impact of the Fund through the ERC.
IASC Humanitarian Financing Group	✓ Meetings are held monthly and provide an opportunity to discuss common issues of interest and/or concern.
Field Missions	✓ CERF Secretariat staff undertake missions to CERF supported countries.
<b>Performance Reporting</b>	
<b>Tool</b>	<b>Accountability Information Provided</b>
Reporting at HQ level	✓ Annual report submission follows either the UNDG or the recipient agency specific standard format for reporting.
Reporting at field level	✓ Annual report for each country submitted by the RC/HC on broad overview of the impact of and results achieved with CERF funding on the sectors/clusters of the overall humanitarian response.
Financial Reporting	✓ Financial reports on CERF grants from UN Agencies and IOM are due twice a year.

### **III. KEY CHALLENGES**

Several key challenges were identified through the consultation with CERF stakeholders and should be kept in mind when reviewing the PAF:

#### 3.1 UN Agency/IOM Internal Accountability

UN Agencies/IOM are accountable to their individual Executive Boards and for implementation of their own mandates. The use of CERF resources is integrated within these existing reporting and accountability structures. Recipient agency accountability to the RC/HC at the field level is not formalized, nor is it formally recognized by agencies consulted at field level as having a significant influence on the direction of their programming.

#### 3.2 RC/HC and Cluster Leads: Accountability without Authority

The RC/HC serves as process manager for the submission of the CERF proposal. S/he has the authority to include or exclude UN Agencies/IOM in a proposal, but once it is submitted and approved, the RC/HC does not have formal oversight of agencies/IOM over actual use of the funds. Similarly, within the cluster system, participating UN Agencies/IOM and NGOs do not as yet have an obligation to report to the cluster lead. Once the intra-cluster prioritization has taken place and projects for funding are submitted, the cluster lead does not have formal authority over the use of the funds.

#### 3.3 Reporting Requirements

In most cases, RC/HCs and UN agencies/IOM adhere to CERF reporting requirements, but there have been gaps. When RCs have failed to provide annual reports after repeated reminders, the ERC has given a final warning that the failure to submit a report would lead to eligibility for future grants. In all cases, the final warning has resolved the issue. However, it should be noted that this provision may not be rigidly enforced in the case of a new situation requiring a rapid response grant. In such a case, the ERC may wish to make an exception, despite the outstanding report.

### 3.4 OCHA's Role at Field Level

The role and capacity of the relevant OCHA Country Office (CO) or Regional Office (RO) vis-à-vis CERF oversight requirements needs to be clarified, and the CERF Secretariat will develop the appropriate guidelines. At present, the OCHA CO or RO acts as “facilitator” in the CERF process, providing support to the RC/HC and guidance to applicants on CERF criteria and guidelines. The OCHA CO or RO also assists the RC/HC in the compilation of UN Agency/IOM inputs to the RC/HC Annual Report.

At the field level, OCHA currently has neither the mandate nor the capacity to provide a ‘watchdog’ function for the performance of recipient agencies. While the research for the PAF suggests that this is widely understood at the country level, some stakeholders suggested that OCHA should be accountable for the use of CERF funding. It should be recognized that the CERF Secretariat and the OCHA CO or RO do not and will not have the capacity to monitor the implementation of CERF funded projects at the field level.

### 3.5 Attribution vs. Contribution

Rigorous attribution of beneficiary level outcomes to CERF funding is very difficult. While CERF funds clearly represent a vital source of funding to kick-start numerous agency/IOM programmes, they are not the only source. Extensive co-mingling of funds by recipient agencies at the country level is the norm. The CERF was not intended to cover 100 percent of project costs or to be a primary funding mechanism. Therefore, attributing all beneficiary level impacts to CERF supported activities would be neither practicable nor feasible. However, we can indicate where the CERF is making a considerable contribution towards positive outcomes, especially during the initial phase of a crisis or when other resources have not materialized.

### 3.6 Accountability to Affected Populations

Accountability at the level of affected populations is particularly challenging in the context of humanitarian emergency response. CERF rapid response funds are typically granted in the earliest stages of an emergency, often before proper needs assessments or affected population consultations have taken place.

The Humanitarian Accountability Partnership (HAP) was consulted during the development of the PAF to determine how best to incorporate affected population level accountability mechanisms within the CERF. Primary responsibility to address affected population level impact and accountability issues resides with recipient agencies. Some recipients have already made significant progress in this direction, and CERF will continue to coordinate with them. Further, the CERF will incorporate any decisions of the Inter-Agency Standing Committee Working Group regarding beneficiary accountability into the PAF.

## **IV. THE CERF LOGIC MODEL**

Given the above challenges, the following analytical framework outlines the accountability systems for the use of CERF funding.

A logic model is a text or diagram which describes the logically-related parts of a program or process, showing the links between processes, expected outputs, outcomes and impacts. It is a picture or description that demonstrates what is supposed to be achieved. It provides a basis for developing the performance measurement. The logic model has been developed around the three mandated objectives of the CERF and performance will ultimately be based on CERF meeting its objectives.

The logic model described below outlines a results hierarchy for CERF with associated indicators. The model defines the different levels of CERF, which range from input-related process type indicators up towards outcomes and impact level indicators. All indicators within the PAF are linked to a stakeholder analysis to ensure a proper relationship between performance and accountability structures. An annex clarifying the specific roles and responsibilities for CERF stakeholders will be forthcoming. This performance framework only encompasses the grant element of the CERF; the advocacy and fundraising components of CERF are not included.

#### **4.1 Definitions in the Logic Model**

The logic model is based on the fundamental assumption that the CERF is well funded, if not fully funded, funded on an annual basis. Specific indicators for each of the levels are outlined in Section 3.2, but this Section gives an overview and defines each level of the results hierarchy.

##### Inputs:

Initial inputs and processes are required both at country and HQ levels for CERF grants to operate as intended. The inputs at country level include a rigorous and inclusive prioritization leading to a coherent country submission. Internal recipient agency monitoring and evaluation systems are required for CERF funding and are an essential process within the accountability mechanism. The CERF Secretariat also follows a set of processes to ensure that funds are transferred as quickly as possible. As stated above, the processes around fundraising and advocacy performed at the Secretariat level are not included in this framework, yet are essential to ensuring that CERF can operate.

##### Outputs:

The overall outputs of the availability of CERF funding is that UN agencies and IOM are able to respond more quickly to prioritized needs at the time. At HQ level, support can be initiated with speed and efficiency. At country level, the output will be a timely response to life-saving activities which have been prioritized through an inclusive process with all relevant stakeholders.

##### Outcomes or Operational Effects:

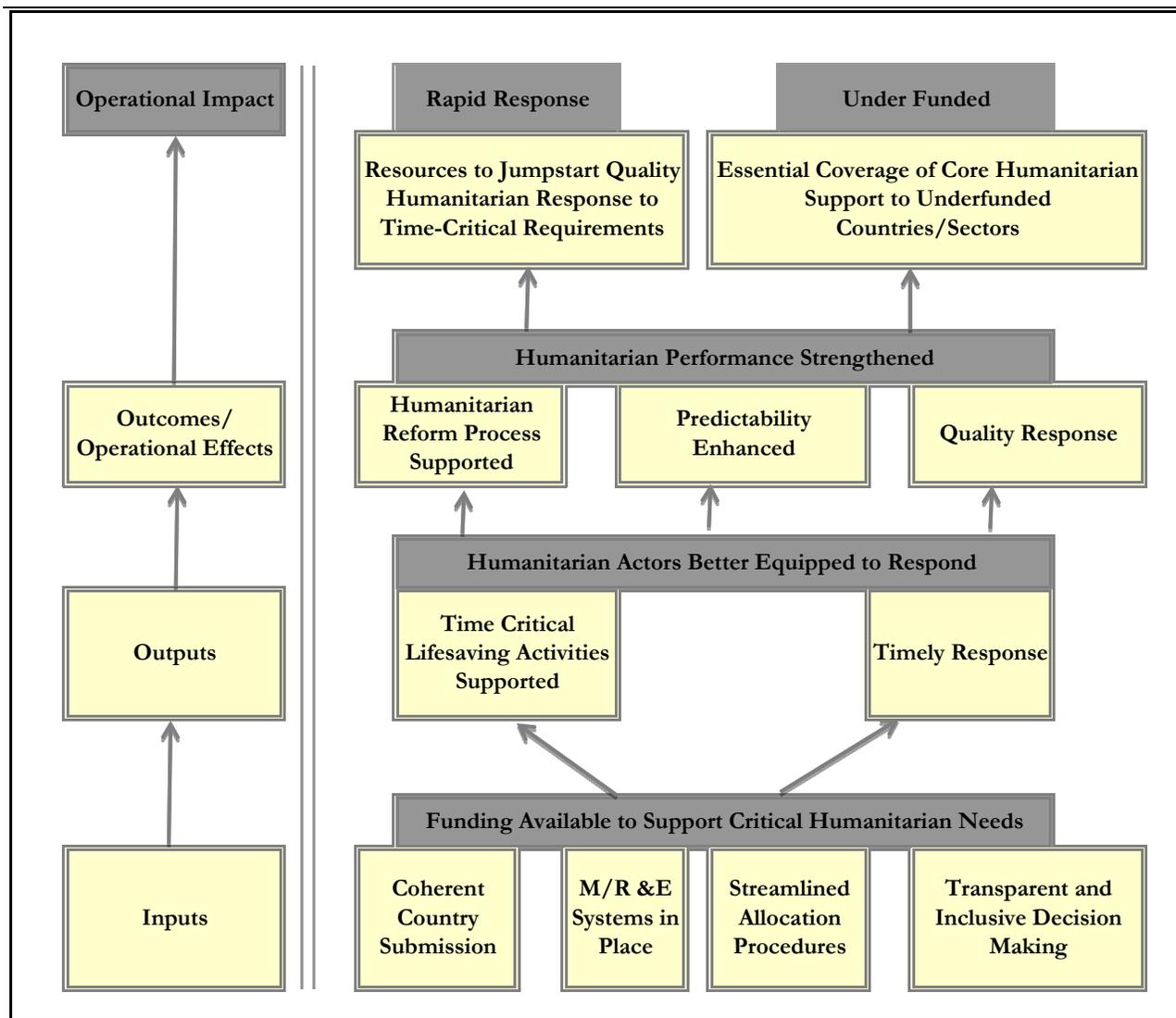
In line with the objectives of overall humanitarian reform efforts, an outcome of the CERF grant has been the strengthening of humanitarian response. CERF provides an incentive for country level coordination as well as supporting the role of the RC/HC. By supporting the humanitarian reform process, CERF also contributes to enhanced coordination and an overall quality response. The built-in monitoring and evaluation processes for each recipient agency promotes quality assurance. The enhanced predictability and reliability of CERF provides UN agencies and IOM with the assurance they need to start operations and maintain or broaden coverage.

##### Operational Impact:

The impact of CERF is broken down by its two grant components – rapid response and underfunded. Ultimately, success is measured not in the number of dollars disbursed or countries reached, but in the actual impact that the allocations have on affected populations. It is challenging to measure these impacts – especially those at affected population level – but anecdotal evidence has revealed that CERF funding has had a significant impact on the humanitarian system. UN agencies and IOM consistently report that CERF rapid response funds are critical in the immediate aftermath of an emergency, allowing them to respond to time-critical requirements. The CERF's underfunded window is a particularly valuable tool for supporting specific sector/clusters that may not have received sufficient donor funds but which nonetheless need attention.

Ultimately these two grant types have led to greater coverage to affected population needs in a more timely manner.

**DIAGRAM 1. LOGIC MODEL FOR THE CENTRAL EMERGENCY RESPONSE FUND**



#### 4.2 Indicators for CERF Logic Model

In addition to the assumption that CERF is sufficiently funded on an annual basis and therefore has the ability to respond as intended, it is also assumed that:

- Where the RC/HC is mentioned below, it is assumed that s/he is fully supported by OCHA where an OCHA presence exists. Ultimate accountability for these indicators falls with the RC/HC, but OCHA plays a significant role in facilitating these processes.
- The cluster approach is the system that should be implemented/used in emergency settings. However, in some contexts, this is not established. In these cases, coordination responsibilities lie with the sector leadership.

**INPUTS**  
**FUNDING AVAILABLE**

**Transparent and Inclusive Prioritization and Decision-Making**

A transparent and inclusive prioritization at the country level is the foundation on which CERF grants are based. This process happens both at the intra-cluster level (led by the cluster leads) and then at the inter-cluster level (overseen by the RC/HC), as delineated in the indicators below. An inclusive prioritization is meant to ensure that all relevant actors are present to define the most critical needs at the time. The prioritization is expected to take place through the sector/cluster system to ensure allocations are based on cluster objectives, field-based operational knowledge, needs assessments (where available), and reflect a diversity of views.

Indicator	Responsible Entity
<ul style="list-style-type: none"> <li>▪ All members of UN Humanitarian Country Team (UNHCT) and clusters aware of CERF availability (for RR and UFE)</li> <li>▪ Intra- and inter - cluster prioritization process is inclusive of all relevant stakeholders (including INGOs and NGOs), (for RR and UFE) and adheres to Principles of Partnership (Endorsed by the Global Humanitarian Platform, 12 July 2007)</li> <li>▪ Analysis of funding undertaken to inform prioritization process and facilitate appropriate direction of funds</li> <li>▪ CERF underfunded country selection/apportionment process undertaken in a timely and transparent manner with available resources frontloaded (NOTE: Process occurs only for UFE and at CERF Secretariat level, <i>not</i> at country level.)</li> </ul>	<ul style="list-style-type: none"> <li>▪ RC/HC and Cluster Leads/Co-Cluster Leads</li> <li>▪ Cluster Leads/Co-Cluster Leads</li> <li>▪ RC/HC</li> <li>▪ CERF Secretariat</li> </ul>

**Coherent Country Submission**

The submission should be done under the guidance of the RC/HC, facilitated by OCHA, and driven through cluster leadership. The submission process should be transparent and inclusive of all humanitarian actors at the country level. In addition, quality submissions which adhere to the CERF Life-Saving Criteria and other CERF guidelines are expected.

Indicator	Responsible Entity
<ul style="list-style-type: none"> <li>▪ Cluster submission to the RC/HC is of high quality and reflects views of cluster members</li> <li>▪ UN Agency/IOM performance (capacity to implement within the timeframe of the grant, past performance, speed of distribution and absorptive capacity) is considered when developing proposal</li> <li>▪ CERF request adheres to cluster standards and CERF Life-Saving Criteria</li> </ul>	<ul style="list-style-type: none"> <li>▪ Cluster Leads/Co-Cluster Leads</li> <li>▪ RC/HC and Cluster Leads/Co-Cluster Leads</li> <li>▪ RC/HC</li> </ul>

### Streamlined Review, Allocation and Distribution

Transparent systems that allow for timely approval, allocation, disbursement and transfer of funds by UN Controller, ERC, CERF Secretariat, OCHA, UN Agencies/IOM and NGOs must be in place in order for CERF to be a rapid mechanism for fund distribution.

Indicator	Responsible Entity
<ul style="list-style-type: none"> <li>▪ Average number of working days between final submission of a CERF grant request package from RC/HC and ERC decision. (Benchmark: three working days for RR and five working days for UFE)</li> <li>▪ Average number of working days between receipt of LoU from a grant recipient and request (memo for disbursement to OPPBA (Benchmark: two working days)</li> <li>▪ Average number of days between request (memo) for fund disbursement by OPPBA to grant recipient</li> <li>▪ Average number of working days from disbursement from UN HQ to country office</li> <li>▪ Time from UN Agency/IOM country offices signing project agreement with implementing partners to them receiving funding</li> </ul>	<ul style="list-style-type: none"> <li>▪ CERF Secretariat, ERC</li> <li>▪ CERF Secretariat</li> <li>▪ Office of the UN Controller</li> <li>▪ UN HQ</li> <li>▪ UN Agency/IOM CO</li> </ul>

### UN Agency/IOM Monitoring, Reporting and Evaluation (M/R & E) Systems in Place

All CERF recipient agencies are expected to have internal monitoring and reporting mechanisms as endorsed by their executive boards. The existence of these systems is a requirement for CERF funding whose processes underlie CERF project implementation. UN Agencies/IOM must also submit high quality reports to RC/HC, via OCHA, who in turn reports back to the CERF Secretariat. Evaluation reports from recipient agencies should be made available at request of member states or the CERF Secretariat.

Indicator	Responsible Entity
<ul style="list-style-type: none"> <li>▪ UN Agencies/IOM receiving grants have internal evaluation and accountability mechanisms</li> <li>▪ CERF Secretariat has provided adequate global guidance on the standards for reporting</li> <li>▪ OCHA CO/RO, in support of the RC/HC, provides guidance to UN Agencies and IOM, and facilitates input for annual report</li> <li>▪ UN Agencies and IOM, both at HQ and in the field provide satisfactory input (as</li> </ul>	<ul style="list-style-type: none"> <li>▪ UN agency/IOM HQ</li> <li>▪ CERF Secretariat</li> <li>▪ OCHA CO/RO</li> <li>▪ UN Agency/IOM CO and HQ</li> </ul>

defined by CERF Secretariat Guidelines) to the annual RC/HC Report which adheres to reporting guidelines

## OUTPUTS

### HUMANITARIAN ACTORS ABLE TO RESPOND MORE QUICKLY

#### Life-Saving Activities Supported

With a field driven and effective prioritization process at cluster level, the CERF funds should be directed to the most critical humanitarian needs at the time.

Indicators	Information Source
<ul style="list-style-type: none"> <li>▪ CERF funds allow UN Agencies/IOM to demonstrate capability to leverage donor confidence for future contributions</li> <li>▪ Availability of CERF funding recognized by recipient agencies as being fundamental to ability to respond to life saving needs and gaps</li> <li>▪ Extent to which gaps, both geographic and sectoral, have been identified and addressed through use of CERF funds</li> </ul>	<ul style="list-style-type: none"> <li>▪ UN Agency/IOM financial data and qualitative feedback</li> <li>▪ Qualitative feedback</li> <li>▪ Project/cluster documents</li> </ul>

#### Timely Response

This output focuses on the ability of UN Agencies/IOM to use CERF funds quickly. When submissions meet quality standards (as outlined by CERF Secretariat guidelines and the CERF Life-Saving Criteria), the time taken for negotiating elements of proposals is reduced. In addition when the appropriate systems for rapid disbursement of funds are in place at each level, UN Agencies/IOM can quickly receive funding and begin implementing in a timely manner – as agreed within the LOU.

Indicators	Information Source
<ul style="list-style-type: none"> <li>▪ Number of No-Cost Extensions requested</li> <li>▪ CERF funds fill a critical time gap as measured in relation to time that other contributions are received</li> <li>▪ Percentage of total amount of CERF funding to flash appeals provided within the first two weeks (of appeal publication)</li> </ul>	<ul style="list-style-type: none"> <li>▪ CERF internal tracking</li> <li>▪ UN Agency/IOM specific financial data</li> <li>▪ CERF Secretariat</li> </ul>

## OUTCOMES

### HUMANITARIAN PERFORMANCE STRENGTHENED

#### Predictability and Reliability Enhanced

Predictable funding facilitates effective planning, preparation and a more rapid response to humanitarian needs. Predictability is enhanced when UN Agencies/IOM know that CERF will be a reliable source of

funding in emergencies.

Indicators	Information Source
<ul style="list-style-type: none"> <li>▪ Response capacity is strengthened given knowledge that CERF is a reliable source of funding</li> <li>▪ Operations deployed more rapidly due to ‘predictability’ of quick funding source</li> </ul>	<ul style="list-style-type: none"> <li>▪ Qualitative feedback from UN Agencies/IOM</li> <li>▪ UN Agency/IOM reporting</li> </ul>

### Quality Response

A unified plan representing the views of the humanitarian community as a whole facilitates better coverage, both geographical and sectoral, eliminates gaps and distributes work based on capacities and resources. In addition, ensuring that internal accountability and monitoring mechanisms for each implementing UN Agency/IOM are in place helps provide confidence that the response is of high quality.

Indicators	Information Source
<ul style="list-style-type: none"> <li>▪ Transparent information management of recipient agencies on status of CERF projects</li> <li>▪ Accountability to affected populations, as outlined in the Humanitarian Accountability Project (HAP), is incorporated into project submissions where recipient has signed up to HAP (NOTE: Internal agency/IOM specific affected population accountability mechanisms will be followed)</li> <li>▪ Evaluative mechanisms established (NOTE: CERF evaluative processes to be developed. See Sections 5.2-5.3)</li> <li>▪ Real-Time and internal UN Agency/IOM evaluations, when conducted, demonstrate CERF’s contribution to a more coherent response</li> </ul>	<ul style="list-style-type: none"> <li>▪ Cluster specific information management data</li> <li>▪ UN Agency/IOM internal project documents</li> <li>▪ External, internal, real time evaluation reports</li> </ul>

### Humanitarian Reform Process Supported

CERF should actively reinforce the role of the RC/HC and strengthen cluster and inter-cluster/sector coordination. This is a byproduct of the effective use of CERF funds.

Indicators	Information Source
<ul style="list-style-type: none"> <li>▪ Extent to which RC/HC, UNHCT and cluster leads use the CERF process as a tool to strengthen coordination</li> <li>▪ Strengthened function of clusters and of inter-cluster forum</li> <li>▪ Leadership and involvement of RC/HC in humanitarian operation improved</li> </ul>	<ul style="list-style-type: none"> <li>▪ Qualitative feedback from stakeholders</li> </ul>

## OPERATIONAL IMPACT

### TIME SENSITIVE COVERAGE OF CRITICAL BENEFICIARY NEEDS

The impact of CERF should be measured by how the availability of this funding stream improves humanitarian operations. Although the processes of the two elements of CERF – the rapid response and the under-funded - are generally similar, the overall intended impacts of the two are different and will be discussed accordingly. The overall impact of these two are as follows:

**Rapid Response**

Quality humanitarian response based on prioritized needs is provided in the earliest stage of an emergency. The CERF grant allows UN Agencies/IOM to jumpstart their activities at a critical time to mitigate further loss of life. CERF support provides funding during the gap when other funds are being secured.

**Underfunded**

In chronically underfunded emergencies, essential coverage of core humanitarian needs is ensured. Countries selected by the ERC have undergone an analysis of needs and consultation with UN Headquarters. The number of countries selected is limited to maximize impact of the funding.

**4.3 Tracking the Indicators for CERF Logic Model**

As shown in Table 2 below, the CERF Secretariat currently tracks many of these indicators. Table 2 summarizes the level of the logic model and the mechanism currently in place to track each level. In conjunction with the development of the PAF, the CERF Secretariat has revised the reporting templates to track these indicators. Further discussion on how to monitor and fine tune the indicators will evolve through consultation with the UN agencies and IOM. In addition, the measures for strengthening accountability described in section V will help bolster tracking and accountability.

	Indicator Category	Responsibility	Means of Verification	Monitoring Tool
Inputs and Process	Inclusive Country Level Prioritization Process	RC/HC	<ul style="list-style-type: none"> <li>✓ Communication with RC/HC which states CERF Secretariat assumes prioritization was inclusive</li> <li>✓ Application template requests information on prioritization process. Coordination process are also addressed in the narrative reporting template</li> </ul>	<ul style="list-style-type: none"> <li>✓ Communication between CS and RC/HC</li> <li>✓ Application Template</li> <li>✓ RC/HC Annual Report</li> </ul>
	Coherent Country Submission	RC/HC	<ul style="list-style-type: none"> <li>✓ High quality submission received by CERF Secretariat using the current CERF application template and adhering to CERF Life-Saving Criteria.</li> </ul>	<ul style="list-style-type: none"> <li>✓ CERF Submission</li> </ul>
	Streamlined Review, Allocation and Distribution	ERC, CERF Secretariat, UN Agency/IOM HQ	<ul style="list-style-type: none"> <li>✓ Time from proposal submission to allocation of funds following internal CERF Guidance Process. All UN agencies and IOM sign LOUs which details their responsibilities. (Umbrella LOU in place in 2010)</li> </ul>	<ul style="list-style-type: none"> <li>✓ CERF Database</li> <li>✓ LOUs</li> </ul>
	UN Agency/IOM M/R &E Systems in Place	UN Agency/IOM HQ	<ul style="list-style-type: none"> <li>✓ Explanation on submission of agency's internal M/R&amp;E procedures (including measuring impact at beneficiary level)</li> </ul>	<ul style="list-style-type: none"> <li>✓ RC/HC Annual Report</li> <li>✓ Application Template</li> </ul>
Outputs	Life-Saving Activities Supported	UN Agency/IOM Field Office	<ul style="list-style-type: none"> <li>✓ Final report submissions which describe the activities supported</li> <li>✓ CERF evaluations outline the life-saving activities to which CERF funds contributed</li> </ul>	<ul style="list-style-type: none"> <li>✓ Application Template</li> <li>✓ RC/HC Annual Report</li> <li>✓ UN Agency/IOM HQ Narrative and Financial Reporting</li> <li>✓ CERF evaluations</li> </ul>
	Timely Response	UN Agency/IOM Field Officer and HQ, CERF Secretariat	<ul style="list-style-type: none"> <li>✓ Tracking of time from time LOU was signed to UN Agency/IOM HQ receiving funds</li> <li>✓ Time from HQ receiving funds to disbursing to FO</li> <li>✓ Time from FO receiving funds from HQ to disbursing to implementing partners</li> </ul>	<ul style="list-style-type: none"> <li>✓ CERF Data Base</li> <li>✓ RC/HC Annual Report</li> </ul>
Outcomes	Predictability and Reliability Enhanced	CERF Secretariat	<ul style="list-style-type: none"> <li>✓ Project documents, qualitative feedback, CERF Annual Report</li> </ul>	<ul style="list-style-type: none"> <li>✓ CERF Annual Report</li> <li>✓ RC/HC Annual Report</li> </ul>
	Quality Response	UN Agency/IOM Field Office	<ul style="list-style-type: none"> <li>✓ Project documents and evaluations</li> </ul>	<ul style="list-style-type: none"> <li>✓ Agency evaluation provided to CERF Secretariat</li> </ul>
	Humanitarian Reform Process Supported	RC/HC	<ul style="list-style-type: none"> <li>✓ RC/HC feedback</li> <li>✓ Application Template requests description of the decision making process</li> </ul>	<ul style="list-style-type: none"> <li>✓ Application Template</li> </ul>
Impact	Time Sensitive Coverage of Critical Beneficiary Needs	All stakeholders	<ul style="list-style-type: none"> <li>✓ Final reports submitted by the UN Agencies/IOM</li> </ul>	<ul style="list-style-type: none"> <li>✓ RC/HC Annual Report</li> <li>✓ UN Agency/IOM HQ Narrative and Financial Reporting</li> </ul>

## V. INTRODUCTION OF NEW REVIEW MECHANISMS

In order to address the gaps identified in Table 2, two new review mechanisms would take place at the country level. Both review processes would be triggered by a request from the ERC to the RC/HC.

### 5.1 Country-level Independent Review of CERF

The introduction of independent reviews will constitute a new oversight tool for the CERF. The main purpose of the reviews will be to provide the ERC with an appropriate level of independent assurance around the achievement of key performance benchmarks and planned results for CERF as a whole through country-level reviews in a sample of three to five countries per year. The reviews will also include recommendations aimed at improving country-level operational aspects of CERF, and may also identify policy issues which need to be addressed at a global level. The CERF Secretariat will develop a standard methodology for the country-level reviews and manage the review process. It is anticipated that the country reviews will be conducted by an external consultant and managed by the CERF Secretariat.

### 5.2 Humanitarian After Action Reviews

In countries where there have been significant CERF grants, the ERC may request that the HC/RC undertake an After Action Review (hereafter AAR). An AAR is a discussion that allows a Humanitarian Country Team (HCT) to reflect on a CERF allocation process, how the HCT worked together, what was learned, what follow-up action should be taken and how it can be done better next time. Ideally, AARs should be a routine part of any grant allocation process with a view towards making recommendations for improving the efficiency and effectiveness of humanitarian response.

The purpose of AARs is to inform future CERF application requests and prioritization processes (either by the HCT or technical members from the UN Agencies/IOM which are CERF grant recipients) through sharing information and identifying lessons and actionable recommendations. AARs should be conducted in a spirit of openness and learning – they are **not** performance reviews and should not be conducted in order to allocate blame (or credit), but rather to encourage honest reflection by practitioners on CERF processes. The formal assessment of UN Agency/IOM performance vis-a-vis CERF funded activities remains the prerogative of the recipient agencies via their own internal oversight procedures.

Under the current reporting system, UN Agencies/IOM at the country level submit narrative reports to the RC/HC, who consolidates them and sends them to the ERC. UN Agencies/IOM also provide financial reports to their own headquarters on the use of the funds. However, there is a lack of shared information and reflection at the country level after CERF grants have been made and implemented. An AAR at country level could help improve performance and promote greater accountability within the HCT. The inclusive inter-cluster prioritization process that occurs during the submission phase of a CERF application should be replicated at the conclusion of the grant.

Using a methodology developed by the CERF Secretariat and under the guidance of the RC/HC's office, all recipient agencies and their respective implementing partners would be asked to engage in a review of outcomes of CERF grants at the end of the grant implementation period. The RC/HC would decide upon the appropriate forum depending on the structures within their specific country (i.e. inter-cluster lead meetings, IASC, HCT, etc.). The length of an AAR will vary, depending on the size of the grant and the number of partners involved, but it is estimated that between half an hour and several hours would be required. The length of the AAR would be set by the participants in the process.

These reviews would help provide stakeholders with a better understanding of outcomes and impacts of CERF funding, and help with future prioritization processes through the dissemination of lessons learned and best practices. AAR's should also enable the quick development of the RC/HC's annual report.