

# ANALYSIS OF DATA FROM 2014 RC/HC REPORTS ON THE USE OF CERF FUNDS

PARTNERSHIPS IN THE IMPLEMENTATION OF 2014 CERF FUNDING



United Nations  
**CERF**

**10** YEARS OF  
SAVING LIVES  
TOGETHER

The introduction of a new CERF narrative reporting framework in 2013 has improved the overall quality of reporting by Resident and Humanitarian Coordinators on the use of CERF funds (RC/HC reports) and has allowed for a more systematic and timely analysis of the data and information provided in the reports. The CERF secretariat has analyzed key performance data from all RC/HC reports submitted for 2014 CERF grants (second year under the new reporting framework) and produced several briefing notes to present the findings of the analysis.

This briefing note summarizes information on partnerships in the implementation of CERF funding. All RC/HC reports used for the analysis that follows can be found on CERF's website<sup>1</sup>. Given up to nine month implementation time frame of CERF grants followed by a three-month reporting period, the complete reports on the implementation of all CERF-funded projects in 2014 were only available at the beginning of 2016 for consolidation.

## **GLOBAL REACH OF CERF PARTNERSHIPS**

While anchored in the UN system, CERF is a mechanism that benefits the entire humanitarian community. A CERF-funded response is a collective effort by in-country humanitarian partners under the leadership of Humanitarian Coordinators. CERF requests are prioritized and planned by the Humanitarian Country Teams and cluster/sector structures, which include NGOs as active participants.

General Assembly Resolution 46/182 sets out that CERF can only directly fund UN Agencies<sup>2</sup>. By limiting direct recipients of grants to UN organisations, CERF can disburse funding quickly and efficiently with streamlined processes, enabling it to meet its rapid response mandate.

However, CERF grants are implemented in close partnerships between UN agencies and local/international NGOs, host governments and Red Cross/Red Crescent societies. Once the inclusive planning process is completed, these organisations receive CERF funding from UN Agencies through sub-grants.

In 2014, CERF allocated US\$ 471 million<sup>3</sup> to 14 UN Agencies in response to humanitarian crises in 45 countries. Out of this amount, \$106 million<sup>4</sup> was sub-granted to over 550

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<sup>1</sup> [www.unocha.org/cerf/partner-resources/grant-reports/grant-reports-2014](http://www.unocha.org/cerf/partner-resources/grant-reports/grant-reports-2014)

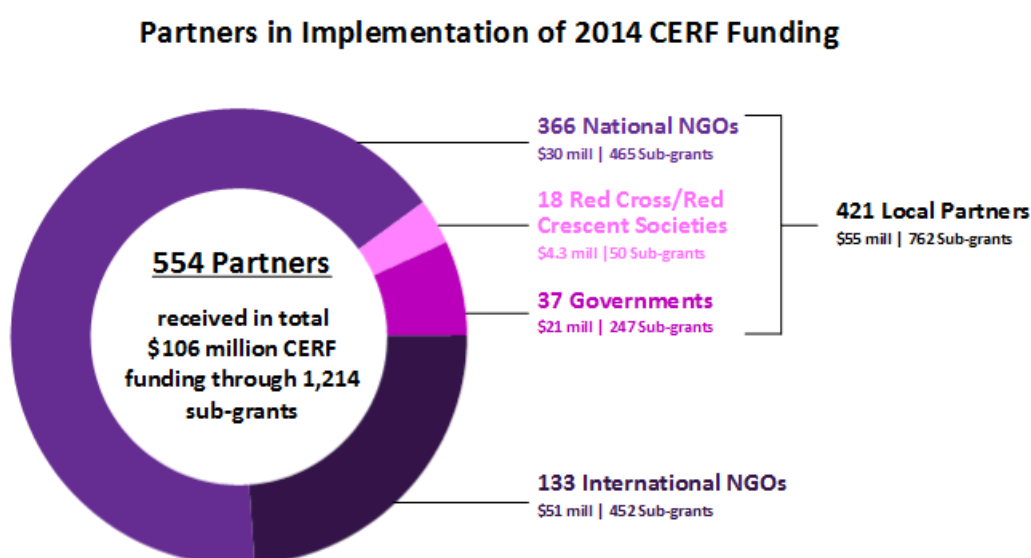
<sup>2</sup> The terms "UN agencies", "UN Organizations", "UN agencies and IOM", and "agencies" are used interchangeably

<sup>3</sup> The sub-grant analysis is based on reports on all 2014 CERF applications despite that some of them also included projects approved in the last days of 2013 and in the first days of 2015. Hence, the overall 2014 allocation amount referenced in this note differs by \$10 million from the official 2014 CERF allocation figure (\$461 million).

<sup>4</sup> The sub-grant figures included in this note are based on self-reporting by each agency at the country level and there are no systems in place to verify this information at headquarters level. As such, these figures should be considered indicative only.

Implementing Partners (IPs) through the far reaching partnership networks of UN agencies. This represents 23 per cent of the overall 2014 CERF funding and does not include the value of in-kind partnership arrangements.

The majority of organisations that received CERF funding in 2014 were local partners including 366 local NGOs, 37 government partners and 18 Red Cross/Red Crescent Societies. The remaining 133 partners were international NGOs.



This represents an unparalleled global reach that would be difficult to achieve for CERF or CERF's donors through direct funding agreements. Since inception in 2006, CERF has funded humanitarian action in 96 countries.

The extensive partnerships under CERF grants between UN agencies and local organisations in crises across the world help localise humanitarian response and enhance the capacity of local actors, while at the same time fostering a coordinated and coherent response to needs.

More than half of CERF funding to Colombia and Eritrea was implemented through partners. In DRC, Haiti, Myanmar, Solomon Islands and Yemen between 40 and 50 per cent of CERF funding was implemented through non-UN actors. In contrast, in Cameroon, Djibouti, Guatemala, DPRK, Liberia, Nepal, Serbia, Sierra Leone and Zimbabwe below 10 per cent of CERF funding was implemented by partners. Nevertheless, in all 45 countries assisted by CERF in 2014, UN Agencies entered in partnerships with non-UN actors in implementing CERF funding.

Over half of sub-granted CERF funding in 2014 went to local partners including local NGOs, Government partners and Red Cross/Red Crescent societies. In Eritrea, Colombia, Yemen and DRC over 30 per cent of CERF funding was implemented through local partners. In Nigeria, Myanmar, Somalia, Pakistan and the Republic of Congo between 20 and 30 per cent of CERF funding went to local partners. Overall, UN agencies reported partnerships with local actors

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However, the consistency in reported data year by year since 2011 indicates that the data are a good estimate of actual sub-grants.



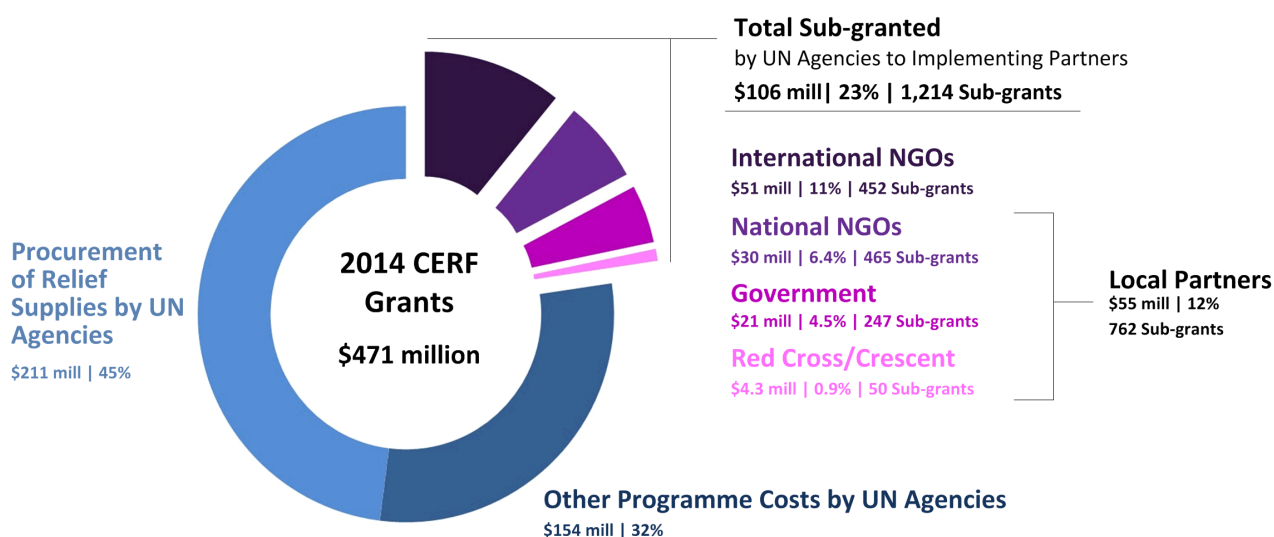
in implementation of CERF funding in 44 out of 45 countries, which received CERF support in 2014.

The world maps included in annexes represent partnerships in implementation of 2014 CERF funding globally. The first map illustrates the distribution of all partnerships under CERF grants whereas the second map focusses on the involvement of local partners.

## TRENDS IN SUB-GRANTS OF CERF FUNDING

In 2014, agencies sub-granted to Implementing Partners (IPs) \$106 million out of \$471 million received from CERF (23 per cent). Twelve per cent of all 2014 CERF funding was sub-granted to local partners (local NGOs, government partners and Red Cross/Red Crescent); and eleven per cent was sub-granted to international NGOs. The proportion of 2014 sub-granted CERF funding as compared to the total amount allocated is presented in the following chart.

### 2014 CERF Funding by Implementation Modality

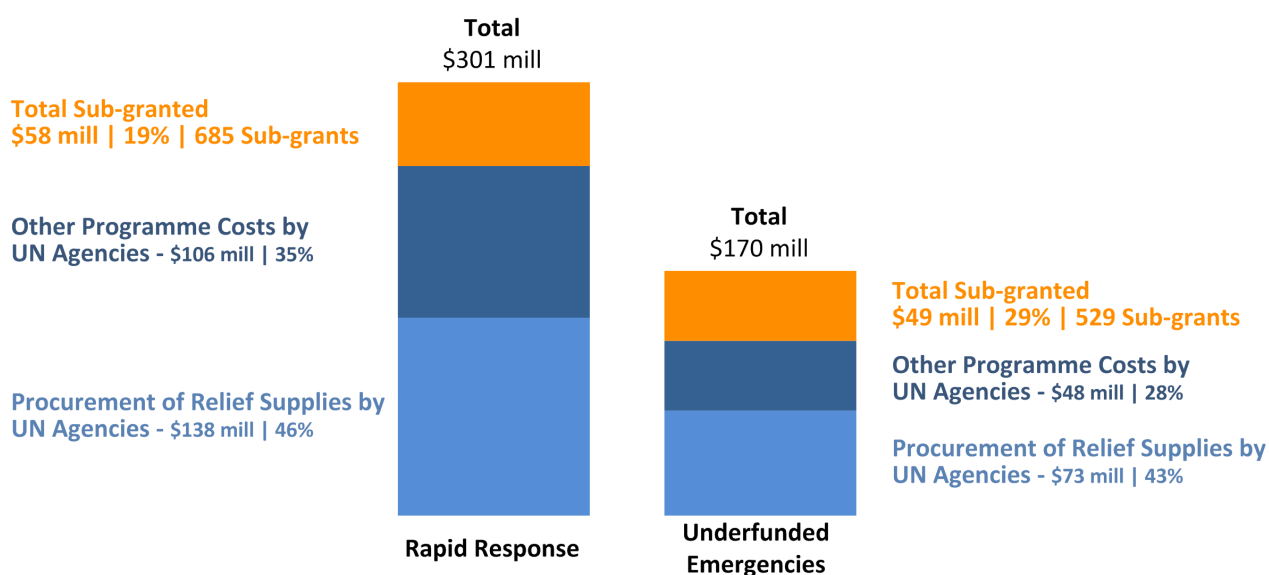


Apart from implementing sub-grants, IPs also played an important role in distributing to beneficiaries relief supplies procured by UN Agencies using funding from CERF. According to the budget breakdown of all 2014 projects, 45 per cent of CERF funding or \$211 million was used by recipient agencies for procurement of relief supplies such as food, shelters or medicines.

Out of \$106 million sub-granted in 2014 to IPs, \$55 million or 52 per cent was sub-granted to local partners. This included \$30 million (28 per cent) to local NGOs, \$21 million (20 per cent) to government partners and \$4.3 million (4.1 per cent) to Red Cross/Crescent societies. Another \$51 million or 48 per cent was sub-granted to International NGOs.

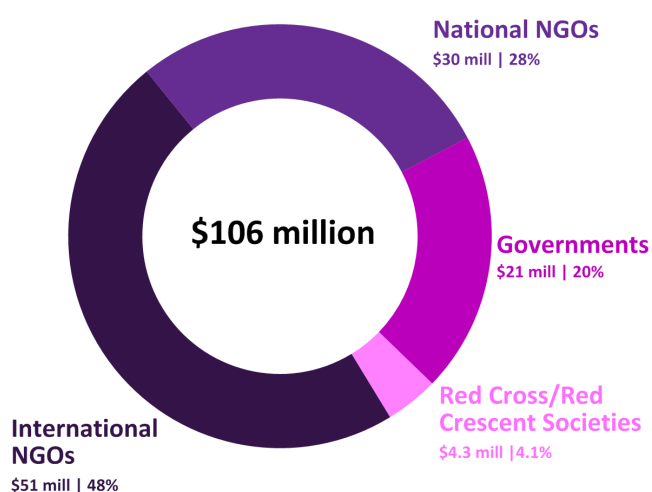
The proportion of sub-granted funding varied between the two CERF windows. While the overall sub-granted funding was 23 per cent for all 2014 CERF funds, the percentage was 19 for Rapid Response (RR) funding and 29 for funding for underfunded emergencies (UFE).

#### 2014 CERF Funding by Window and Implementation Modality

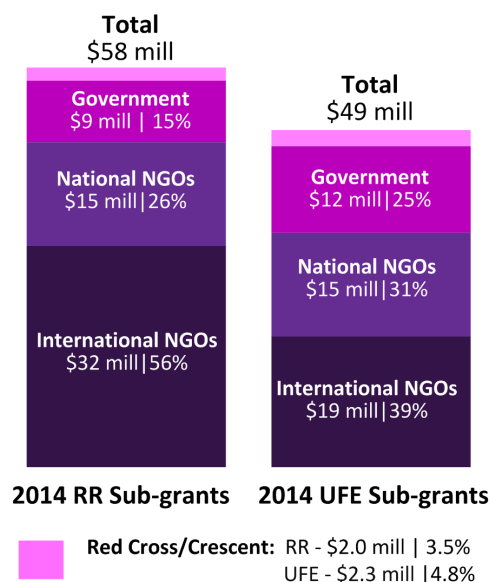


The proportion of sub-granted funding by partner type also differed between the two CERF windows. International NGOs were the largest recipients of rapid response funding, receiving \$32 million or 56% per cent of sub-granted RR funding; while local partners were the largest recipients of funding for underfunded emergencies, receiving \$30 million or 61 per cent of sub-granted UFE funding.

#### Sub-granted 2014 CERF Funding



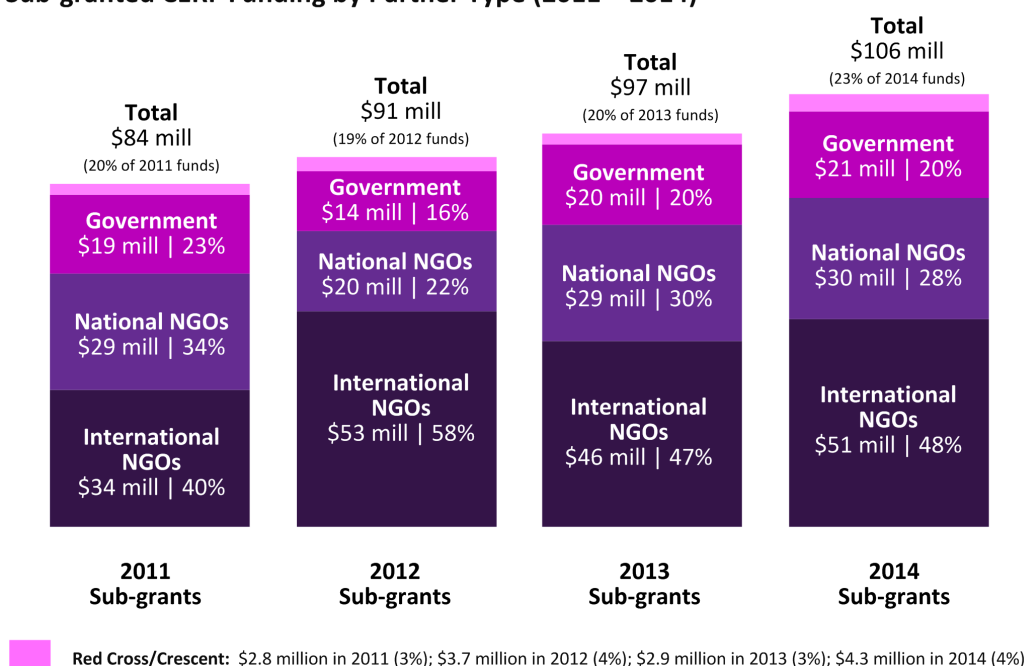
#### Sub-granted 2014 CERF Funding by Window



The total CERF sub-granted funding as reported by agencies has been on a steady increase in dollar terms over the past years with the total \$84 million in 2011, \$91 million in 2012, \$97 million in 2013, and \$106 million in 2014. As percentage of overall CERF funding, the sub-granted amount increased to the highest ever in 2014 to 23 from around 20 in the period

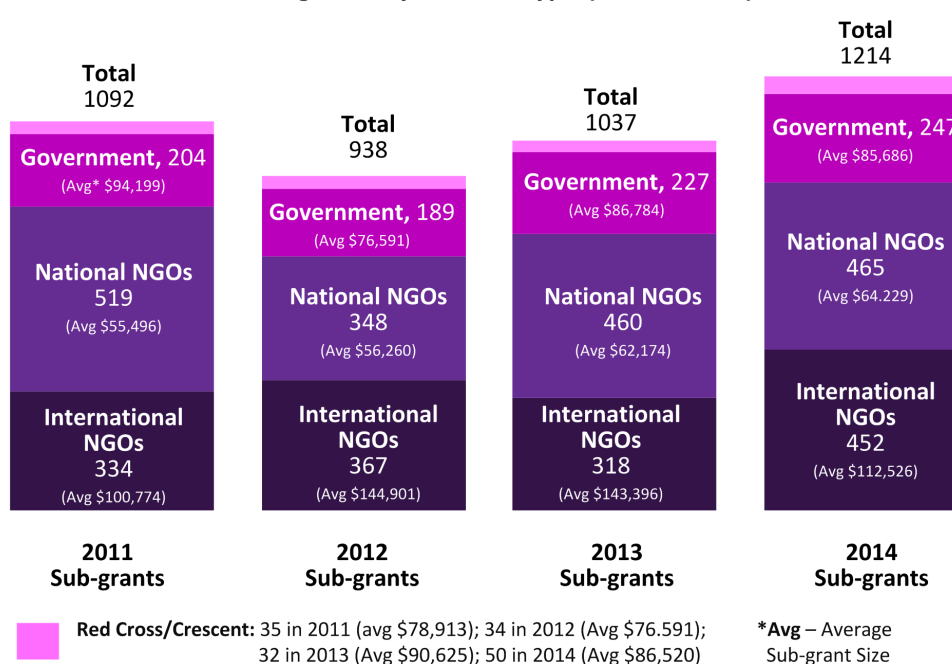
2011 – 2014. The proportions of sub-granted funding by partner type were comparable across years, with a peak in funding to international NGOs and a corresponding drop for local partners in 2012.

#### Sub-granted CERF Funding by Partner Type (2011 – 2014)



The number of reported sub-grants in 2014 increased as compared to previous years. Out of 1,214 sub-grants reported in total for 2014, local NGOs accounted for the largest number with 465 sub-grants, followed by international NGOs with 452. Government partners received 247 and the Red Cross/Red Crescent Societies 50 sub-grants.

#### Number and Size of Sub-grants by Partner Type (2011 – 2014)



The average sub-grant size in 2014 for international NGOs (\$112,526) was nearly twice bigger than for local NGOs (\$64,229), hence although local NGOs received a higher number of sub-grants, international NGOs received more funding through sub-grants. The average sub-grant size for government partners and for Red Cross/Crescent was approximately \$86,000.

## SUB-GRANTS OF CERF FUNDING BY SECTOR AND AGENCY

All sectors receiving CERF funding in 2014, apart from Security, reported sub-grants. However, the proportion of sub-granted funding varied significantly between sectors. According to reported data, Health (the largest sector) sub-granted 20 per cent of CERF funding received and Food (the second largest sector) sub-granted 7 per cent.

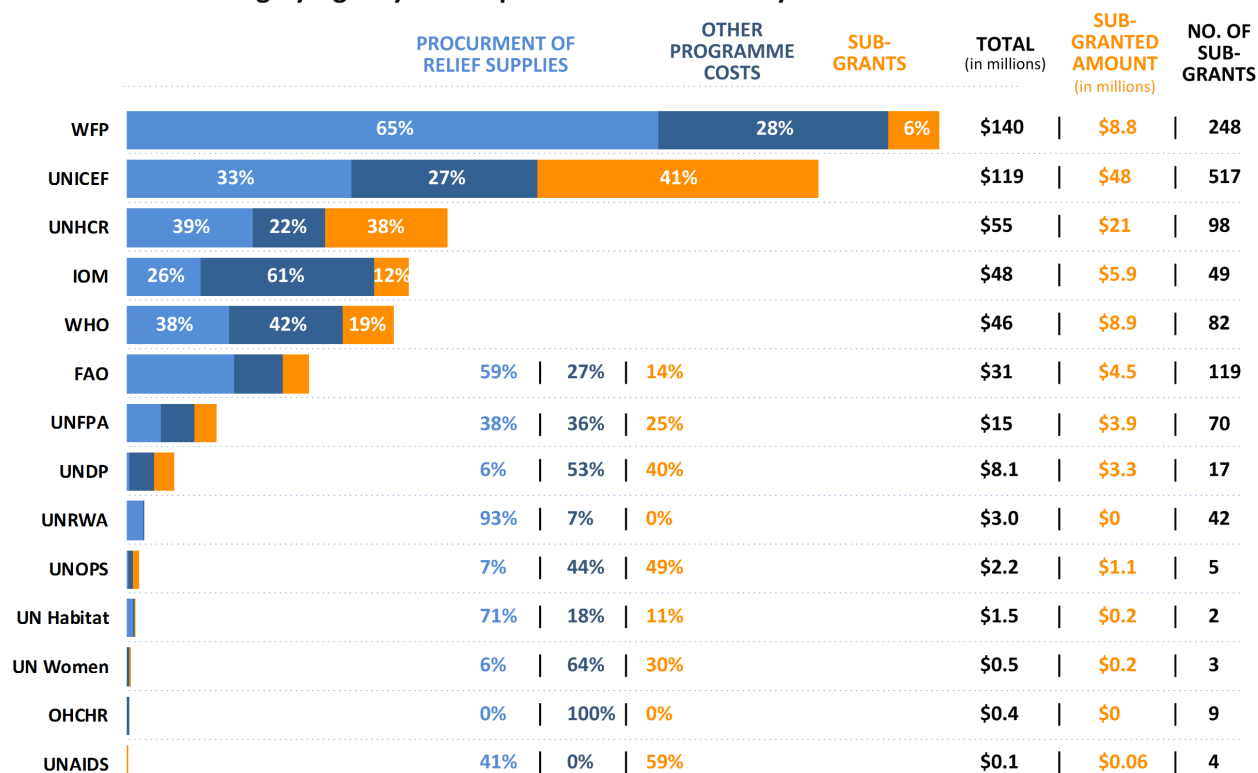
### 2014 CERF Funding by Sector and Implementation Modality

	PROCURMENT OF RELIEF SUPPLIES			OTHER PROGRAMME COSTS	SUB-GRANTS	TOTAL (in millions)	SUB-GRANTED AMOUNT (in millions)	NO. OF SUB-GRANTS
Health	47%			32%	20%	\$123	\$25	347
Food	72%			22%	7%	\$111	\$7.4	184
Water and sanitation	23%	41%	37%			\$56	\$21	196
Protection/Human Rights/Rule of Law				15%	34%	\$33	\$17	169
Agriculture				49%	26%	\$32	\$8.1	110
Shelter and non-food items				67%	17%	\$31	\$5.0	33
Multi-sector				31%	29%	\$31	\$13	101
Camp Management				8%	78%	\$24	\$3.6	17
Coordination and Support Services				11%	86%	\$15	\$0.6	2
Education				23%	25%	\$7.0	\$3.6	42
Mine Action				0%	39%	\$3.2	\$2.0	4
Security				0%	100%	\$1.9	\$0	0
Economic Recovery and Infrastructure				3%	32%	\$1.3	\$0.9	9

Protection, Education, Mine Action, and Economic Recovery and Development sectors sub-granted over half of CERF funding received; while Shelter and Non-food items, Camp Management and Coordination sectors sub-granted less than 20 per cent of CERF funding received.

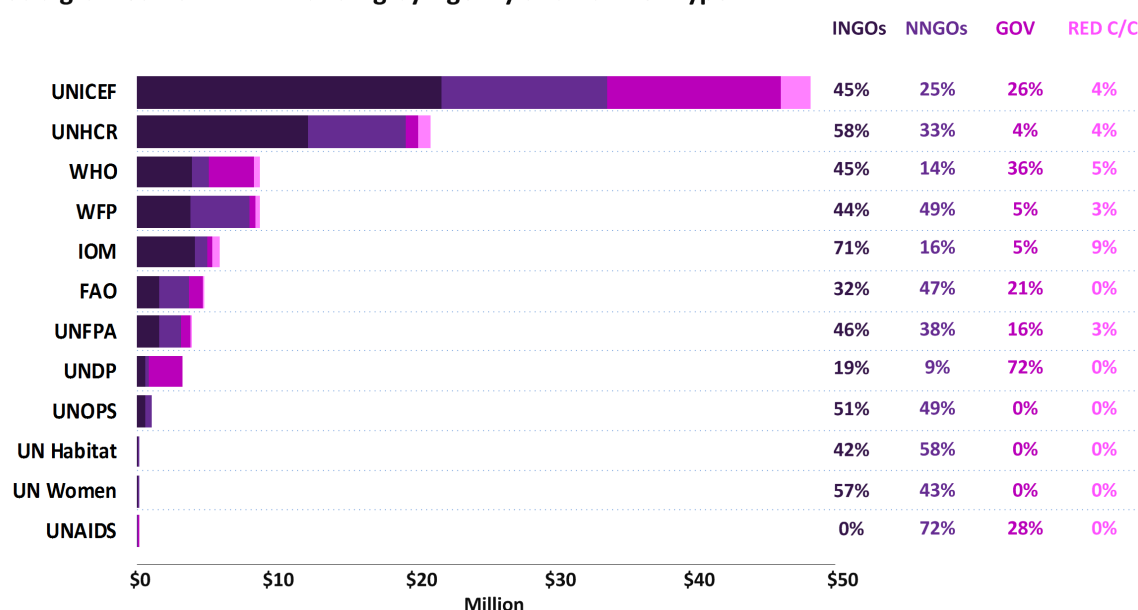
All CERF recipient agencies, except UN Habitat and UNWRA, reported sub-grants in 2014. According to reported data, UNICEF, the second largest recipient of CERF funds in 2014, implemented the largest total amount through partners (\$48.4 million through 517 sub-grants). This amount accounted for 41 per cent of all CERF funding received by UNICEF in 2014. In comparison WFP, the largest CERF recipient reported \$8.8 million, or 6 per cent of received CERF funds as implemented through partners (in-kind arrangements, such as the value of relief items distributed to beneficiaries, are not included in these figures).

## 2014 CERF Funding by Agency and Implementation Modality



According to reported data there were significant differences in the partner type profile of agencies' implementation of CERF grants in 2014. Forty-five per cent of funding sub-granted by UNICEF (the biggest provider of sub-grants) went to international NGOs, while 55 per cent went to local actors of which half was for government counterparts. UNHCR (second biggest provider of sub-grants) contracted 58 per cent of its sub-granted funding to international NGOs, 41 percent went to local partners of which the majority was to local NGOs and only 4 per cent to government partners.

## Sub-granted 2014 CERF Funding by Agency and Partner Type





WFP and FAO worked mostly with local NGOs providing to them nearly half of their sub-granted funding. UNDP's major implementing partners were government partners, which received 72 per cent of total UNDP's sub-granted funding.

## **TIMING OF SUB-GRANTED 2014 CERF FUNDING**

The quality of partnerships between CERF recipient agencies and their implementing partners is a priority issue for CERF and its donors. Given that 23 per cent of 2014 CERF funding was reported as having been sub-contracted by agencies to their implementing partners (IPs), the timeliness of sub-granting is a factor in determining the effectiveness of CERF-funded projects. While important for CERF project implementation, the efficiency and effectiveness of sub-granting from agencies to their partners is a broader UN/NGO partnership issue and is not exclusive to CERF-funded projects.

Timeliness of sub-grants shall be understood in the context of overall project implementation, i.e. how and when are sub-grant procedures undertaken in relation to the implementation plans and requirements of the respective CERF projects. Speed and timing of sub-grants is therefore not an accurate reflection of the timeliness of sub-grants. However, in the absence of detailed information on individual sub-grants and given the high volume of data, information on timing can serve as a process indicator that may provide useful information for understanding implementation of CERF grants, when complementing qualitative data. The CERF secretariat therefore tracks and analyses the timing of CERF sub-grants from UN agencies to their implementing partners. The following two process indicators are tracked based on information reported by agencies in RC/HC reports:

**Process Indicator 1 – Implementation Timing:** Number of working days between the disbursement of funds from CERF to the recipient agency and implementation start of sub-granted activities by the agency's partner.

**Process Indicator 2 – Disbursement Timing:** Number of working days between the disbursement of funds from CERF to the recipient agency and the disbursement of the first instalment under the sub-grant from the agency to its implementing partner.

While the two indicators are closely related, the first one is considered more important because it focuses on the provision of CERF-funded assistance to people, whereas the second indicator focuses on when agencies process and disburse sub-grants.

As outlined above, while these indicators are useful for understanding how CERF projects are implemented, and to some degree for identifying potential bottlenecks and inefficiencies, they cannot be used for directly measuring performance of sub-granting procedures. Each sub-grant should be considered within a given context to fully understand the data. A long sub-granting process could be the result of delays in partnership processes between an agency and its implementing partner, but it could also reflect the planned timing of project implementation according to the nature of the specific project, which would not indicate any delay in project delivery. The data will not necessarily reveal this and the analysis in this section should be considered bearing this in mind. To ensure a fuller understanding of CERF project delivery through implementing partners the CERF secretariat therefore works closely with recipient agencies on gathering qualitative information related to their partnerships

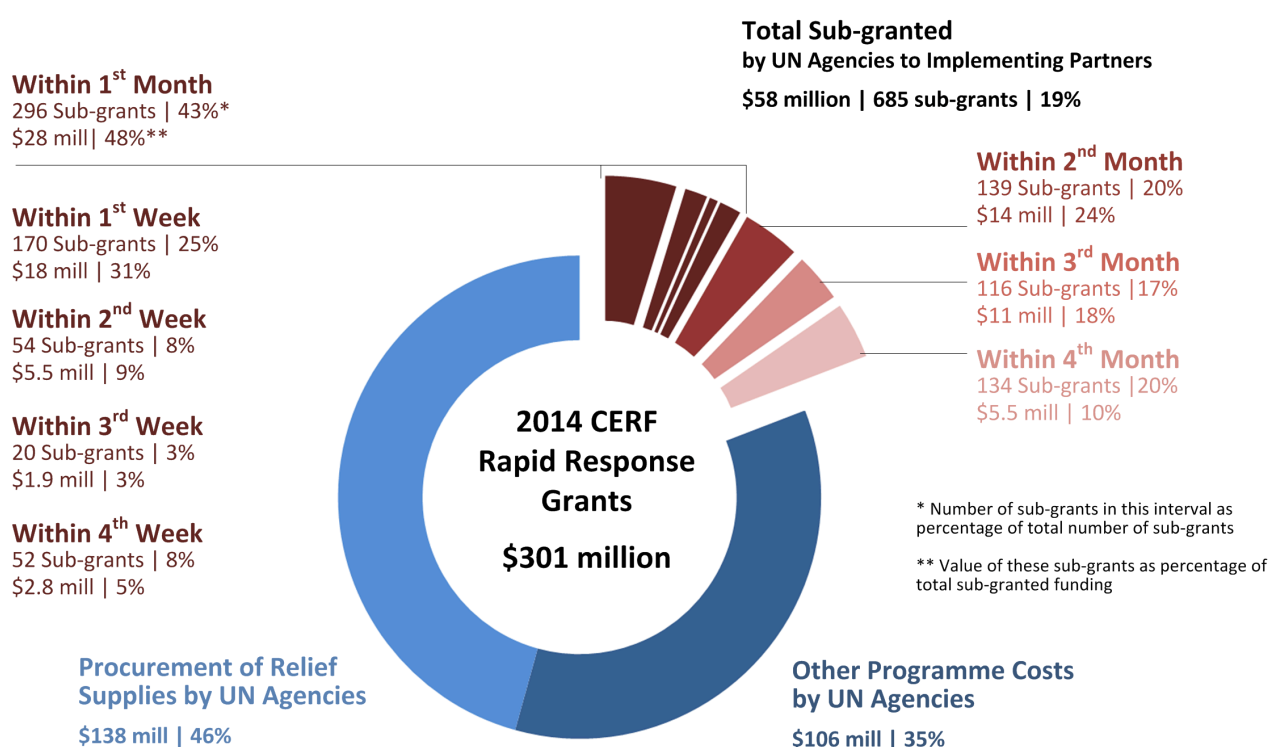
under CERF grants. Partnership issues are also explored in evaluations of CERF's operations in specific emergencies.

The timing analysis included in this section focuses on Rapid Response (RR) sub-grants only. These sub-grants have six months implementation period and their timing is a critical factor in project implementation.

### Timing of Activities Implementation Start (indicator 1)

As illustrated in the following chart, the implementation by IPs of a quarter of 2014 RR sub-grants of CERF funding (170 out of 685) started within the first week from the disbursement of funding from CERF to recipient agencies.

#### Timing of Activities Implementation Start Under 2014 RR Sub-grants



During the next three weeks, agencies' implementing partners had begun to implement another 126 sub-grants. In total, the implementation of 296 out of 685 sub-grants (43 per cent per cent of all 2014 CERF RR sub-grants) started within the first four weeks after disbursement of grants from CERF to recipient agencies.

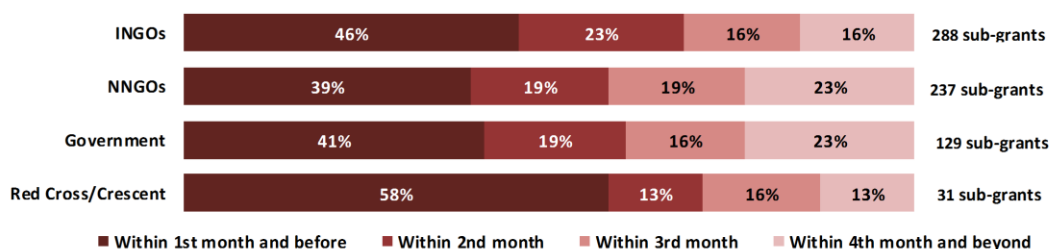
In the second month after the disbursement from the CERF, the implementation of another 20 per cent of sub-grants began. Thus, within the first two months following the disbursement from the CERF, the implementation of 63 per cent of all RR sub-grants started.

In the third month after the disbursement from the CERF, the implementation of further 17 per cent of sub-grants began. By that time, the implementation of 80 per cent of all RR sub-grants started. The implementation of the remaining 20 per cent of sub-grants (134 sub-grants) did not start until the fourth month or later. The data shows a similar timing

distribution as for 2013 sub-grants which may indicate a pattern in CERF implementation reflecting the nature of the projects typically funded by CERF.

The implementation start time varies somewhat between partner types but is comparable. As seen in the following chart, implementation of activities by international NGOs on average started sooner than for local NGOs and host governments.

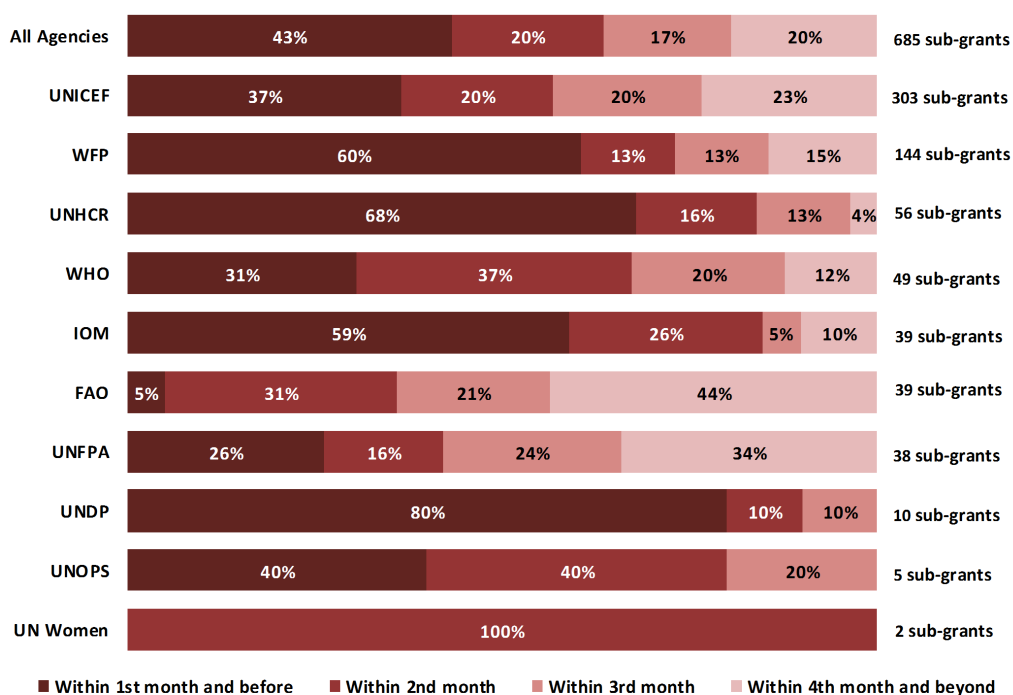
**Timing of Activities Implementation Start by Partner Type Under 2014 RR Sub-grants**



There were differences between the timing of implementation start depending on the provider of sub-grants. The statistics of the timing of implementation start by IPs of UNDP, UNOPS and UN Women should be interpreted with caution due to very small sample size (only 10 sub-grants and below) which may reflect the characteristics of individual sub-grants rather than represent trends.

The timing statistics by agencies for 2014 sub-grants are very similar to those seen for 2013. This may indicate that the overall data trends reflect the typical implementation profile of the type of agency projects normally funded by CERF over a year and the partnership modalities used by each agency.

**Timing of Activities Implementation Start by Agency Under 2014 RR Sub-grants**

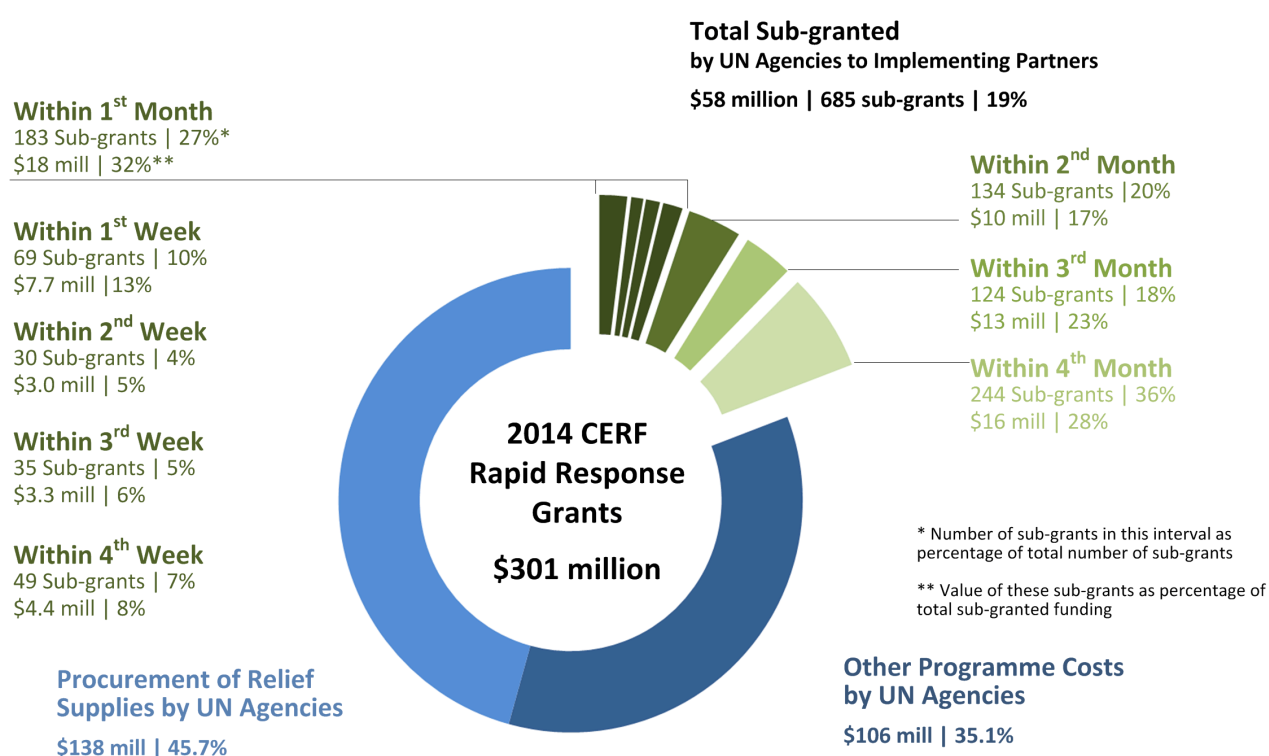


## Timing of Disbursement (indicator 2)

The disbursement of sub-grants by agencies to their implementing partners on average happened after the implementation start by these partners. This indicates a high degree of CERF implementation under existing partnership agreements and a capacity among IPs to pre-finance the implementation of some activities. Disbursement timing therefore, do not necessarily influence the timing of implementation of CERF-funded activities.

The disbursement of 27 per cent of sub-grants from agencies to IPs was done within the first four weeks from the disbursement of funds from the CERF to agencies (183 out of 685 sub-grants). Within the second and third month the disbursement of another 20 per cent of sub-grants took place. Thus, the disbursement of nearly half of 2014 sub-grants took place within the first two month (317 out of 685 sub-grants). Another 18 per cent of sub-grants were disbursed in the third month and the remaining 36 per cent of sub-grants were disbursed within the fourth month and beyond.

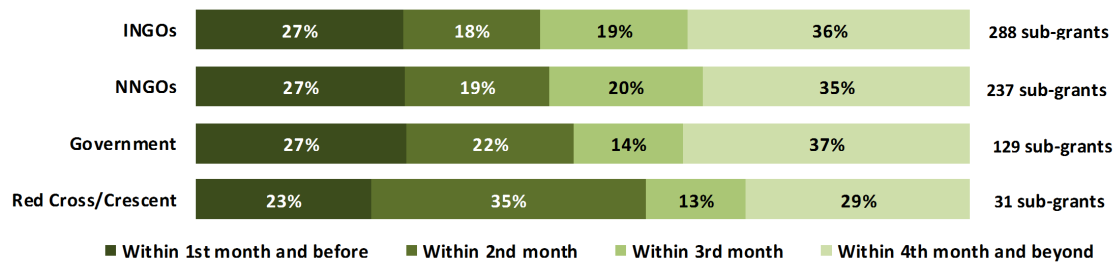
### Timing of 2014 RR Sub-grants Disbursements



As illustrated in the following chart, the disbursement time was similar across partner types with disbursement to Red Cross/Crescent being slightly faster. Though, given the small sample size (only 31 sub-grants) this information should be interpreted with caution.

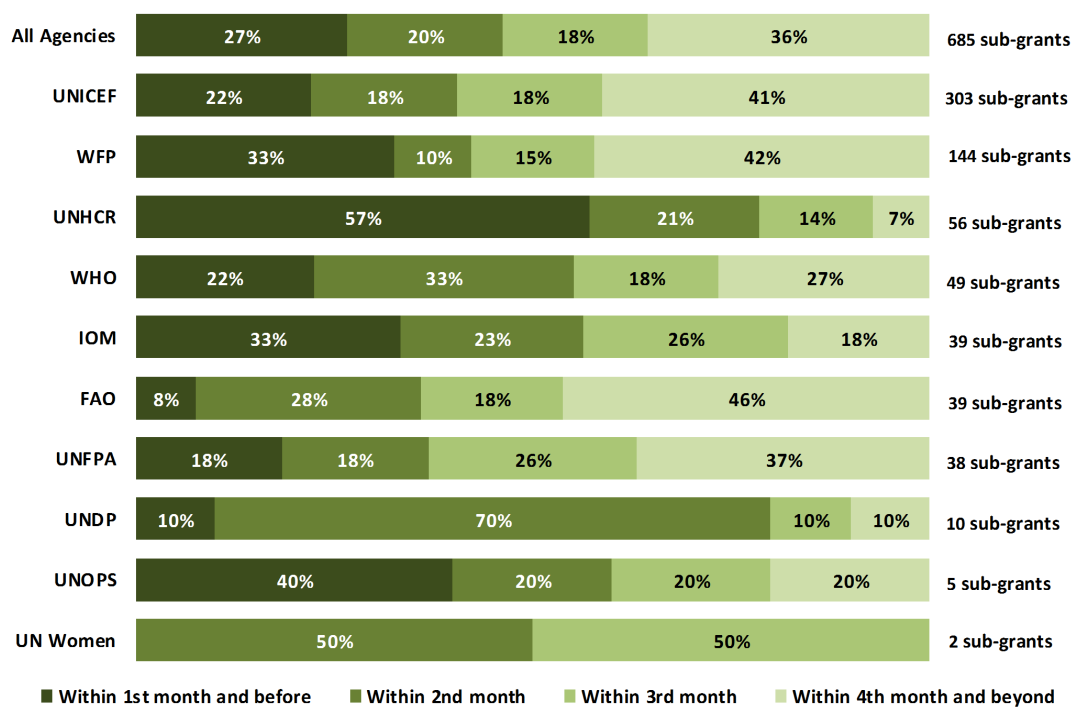


### Timing of 2014 RR Sub-grants Disbursements by Partner Type



There were however significant differences between the timing of disbursements depending on the provider of sub-grants. The statistics of the timing of disbursement to IPs of UNDP, UNOPS and UN Women should be interpreted with caution due to very small sample size (only 10 sub-grants and below) which may reflect the characteristics of individual sub-grants rather than represent trends.

### Timing of RR 2014 Sub-grants Disbursements by Agency



While reviewing this information, it is important to note that sub-grants to implementing partners may be planned to happen at various times during the cycle of a project implementation reflecting the sequencing of its activities. The timing of sub-grants under CERF projects is therefore not a strong stand-alone proxy indicator for measuring the timeliness of response. In addition, very often the timing of disbursements is not directly correlated with the timing and speed of related activities as demonstrated by the CERF sub-grant data.

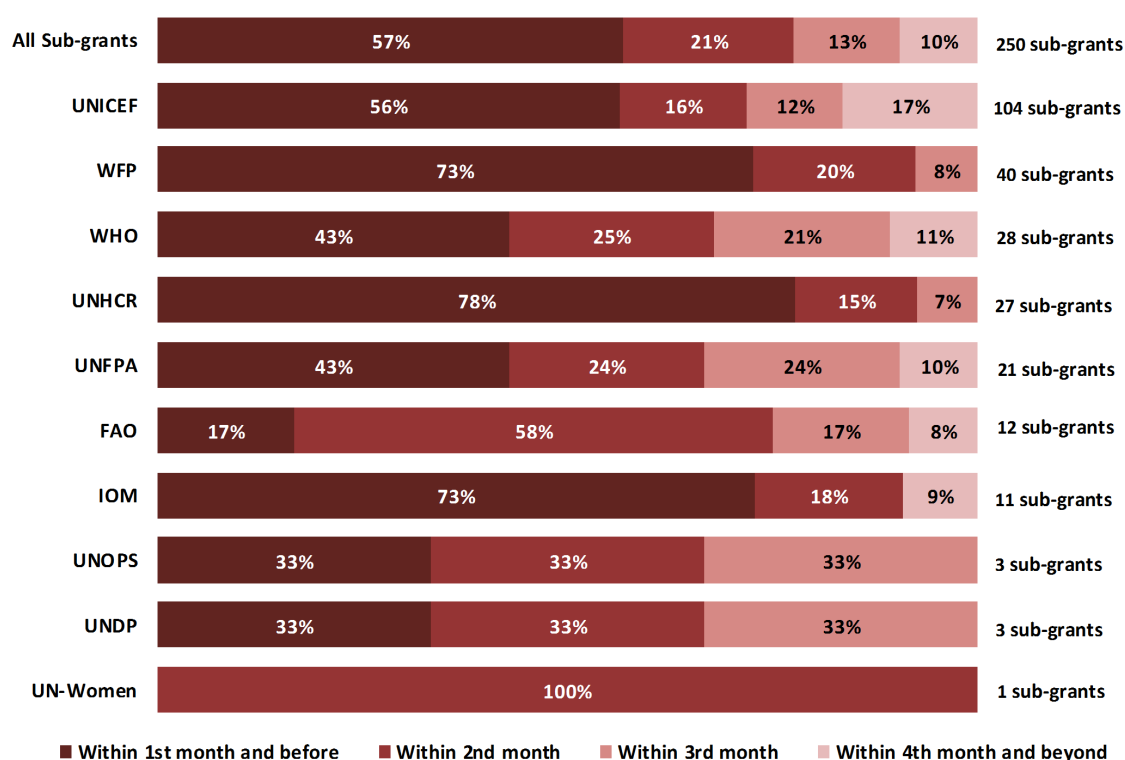
## Sub-grants as Indicators for Implementation Timeliness

As discussed previously in this note, while efficient and effective partnership processes are critical for the effective and timely implementation of CERF grants, the timing of sub-grant disbursements is not in itself a good indicator for overall timeliness of CERF implementation. Nevertheless, the timing of sub-grants will remain a key aspect considered by donors and other stakeholders when assessing CERF speed and effectiveness. The remainder of this section will therefore attempt to view the sub-grant data through this lens.

Narrowing the sub-grants' timing analysis to only the first sub-grant for each project (many CERF projects have multiple sub-grants disbursed at different times) can potentially improve the relevance of sub-grants timing as a timeliness indicator as it narrows the focus to a set of sub-grants that are more likely to be 'urgent' and linked to the speed of response.

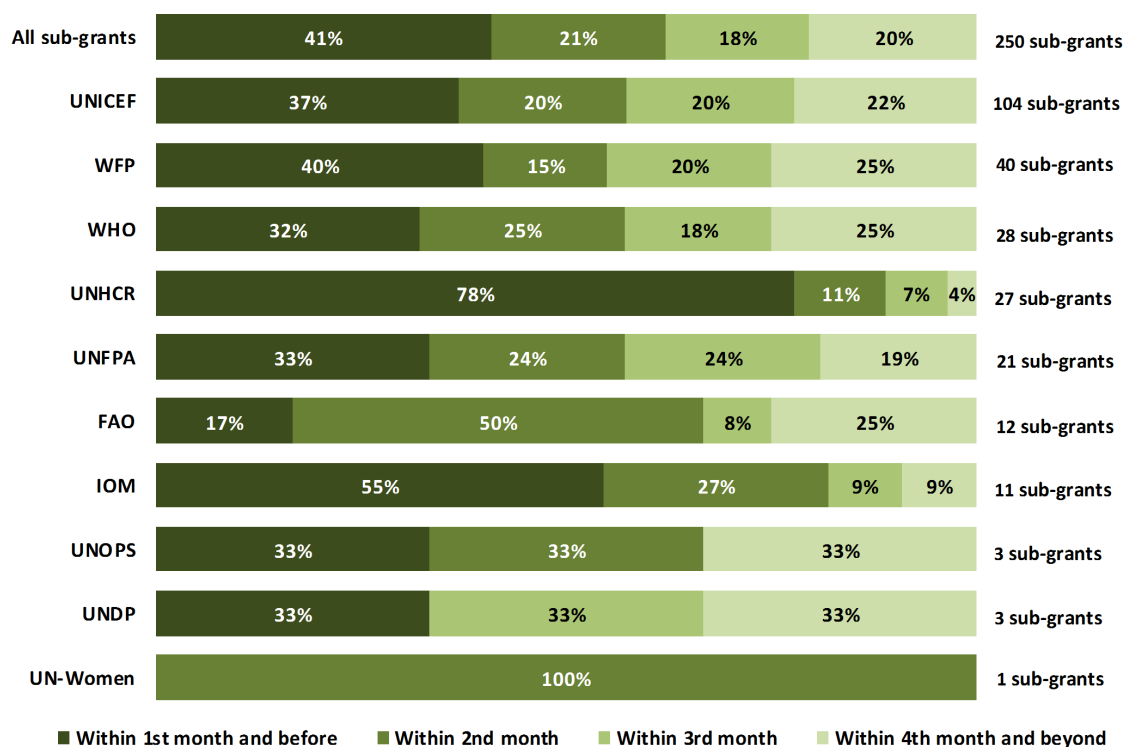
2014 sub-grants data for all the 'first' sub-grants shows that the implementation of activities under 57 per cent of these sub-grants started within the first four weeks and as much as 36 per cent were reported as having started within the first week.

**Timing of Activities Implementation Start – 'First' 2014 RR Sub-grants per Project**



The first instalments of 41 per cent of these 'first' sub-grants were disbursed within the first four weeks and 17 per cent of first instalments were disbursed already within the first week.

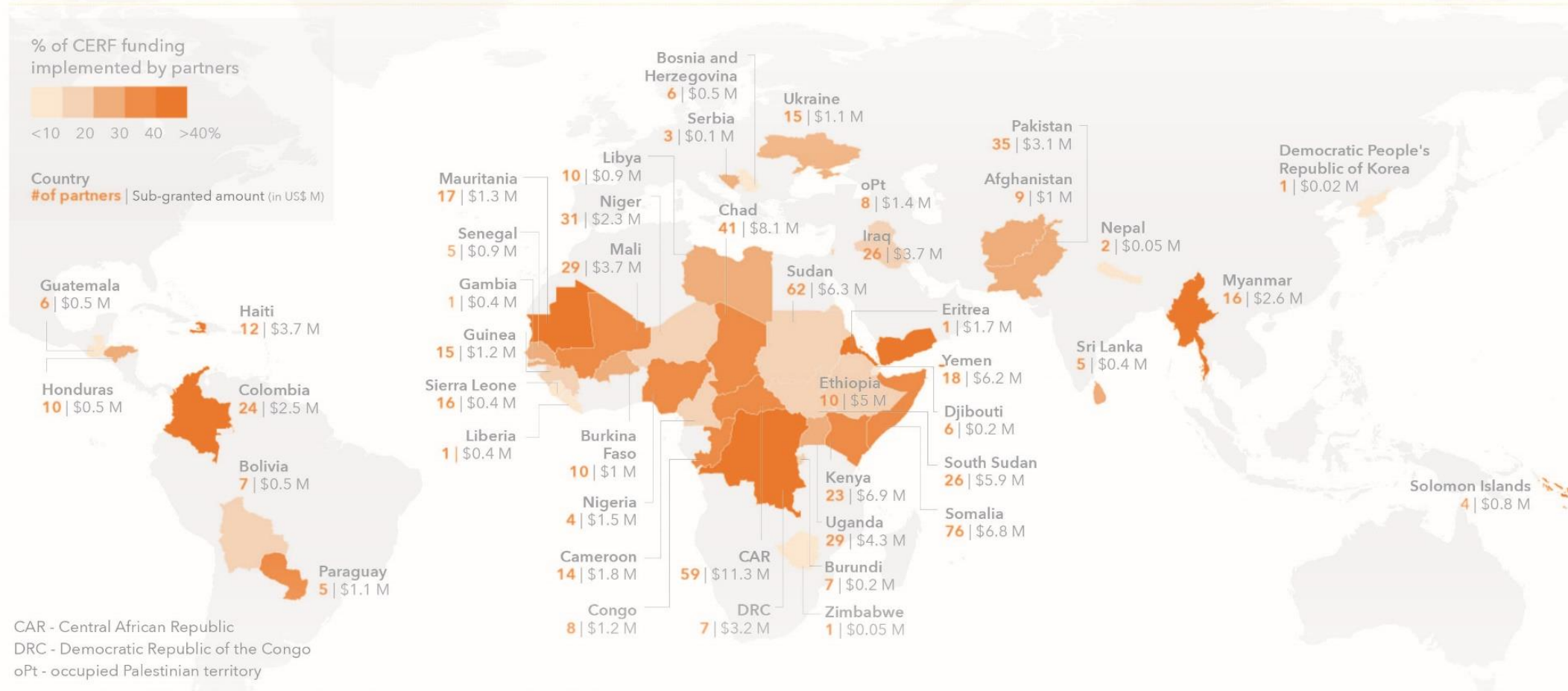
### Timing of Disbursements - 'First' 2014 RR Sub-grants per Project



Comparison between these two indicators shows that a considerable number of NGOs and other implementing partners were able to start their work before the disbursal of the sub-grant by the recipient UN agency.

When reflecting on the timelines of CERF implementation, it should also be noted that of 589 CERF grants provided in 2014 only 26 grants had a no-cost extension approved and 9 requests for no-cost extensions were rejected. The vast majority of CERF grants were thus implemented within the grant period. The analysis of information on 2014 non-cost extensions did not show any correlation between this data and sub-grants data. It is therefore unlikely that delays in the implementation of CERF-funded projects were caused by delays in sub-grant processes and disbursements.

# ANNEX 1 - PARTNERS IN IMPLEMENTATION OF CERF FUNDING



CAR - Central African Republic

DRC - Democratic Republic of the Congo

oPt - occupied Palestinian territory

\*2014 is the latest full year for which complete sub-grant data is currently available

\*\*INGO - International Non-governmental Organisations

\*\*\*NNGO - National Non-governmental Organisations

The boundaries and names shown and the designations used on this map do not imply official endorsement or acceptance by the United Nations. Dotted line represents approximately the Line of Control in Jammu and Kashmir agreed upon by India and Pakistan. The final status of Jammu and Kashmir has not yet been agreed upon by the parties. Final boundary between the Republic of Sudan and the Republic of South Sudan has not yet been determined. Final status of the Abyei area is not yet determined. Creation date: 16 May 2016 Sources: UNCS, CERF Feedback: [cerf@un.org](mailto:cerf@un.org) [www.unocha.org/cerf](http://www.unocha.org/cerf) [www.reliefweb.int](http://www.reliefweb.int)



# ANNEX 2 - LOCAL PARTNERS IN IMPLEMENTATION OF CERF FUNDING



TOTAL 2014\*  
CERF FUNDING  
**\$471 M**

SUB-GRANTED TO  
NATIONAL PARTNERS  
**\$55 M**

**12%** OVERALL  
PERCENTAGE  
SUB-GRANTED



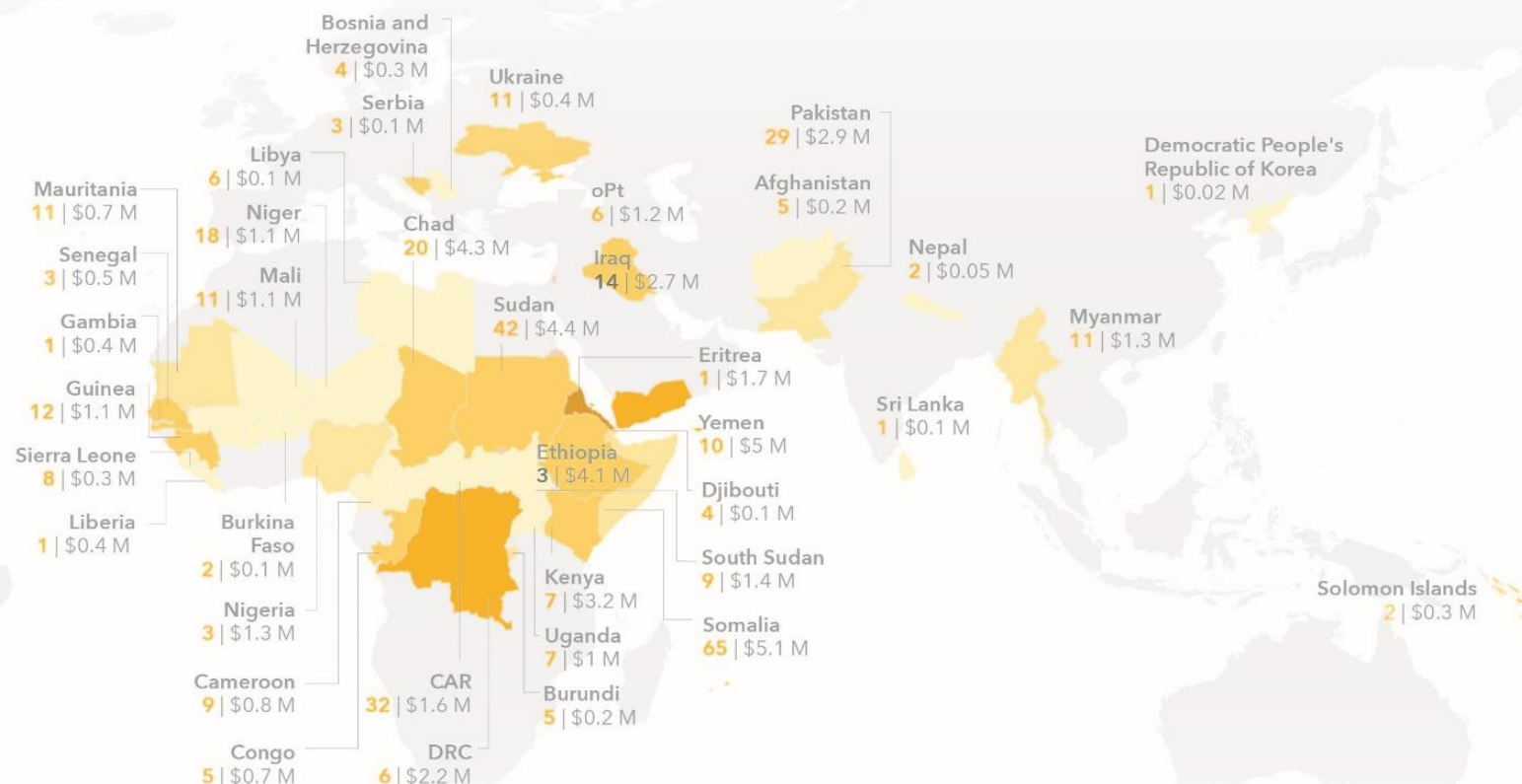
# OF PARTNERS:  
**366** NNGO\*\*  
**37** GOVERNMENTS  
**18** RED CROSS/CRESCENT

% of CERF funding implemented  
by national partners



<10 20 30 40 >40%

Country  
# of partners | Sub-granted amount (in US\$ M)



CAR - Central African Republic  
DRC - Democratic Republic of the Congo  
oPt - occupied Palestinian territory

\*2014 is the latest full year for which complete sub-grant data is currently available

\*\*NNGO - National Non-governmental Organisations

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