

Review of the Central Emergency Response Fund (CERF) Performance and Accountability Framework

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development and humanitarian learning in action



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Executive Summary

1. The CERF has had a solid performance and accountability framework in place since 2010. This type of framework is noteworthy in the humanitarian sector. The CERF Advisory Group had called for the development of a Performance Accountability Framework (PAF) to strengthen transparency and accountability and to ensure that the funds allocated through the CERF are “used in the most efficient, effective and transparent manner possible.” The PAF was also originally designed as a means of clarifying performance expectations, management and monitoring responsibilities among actors and formalising a set of accountability mechanisms and reporting processes.
2. The independent review of the PAF reflects a commitment to continue improving and strengthening CERF performance and accountability. To review the existing framework, 54 persons from different stakeholder groups were interviewed and 130 document sources consulted.
3. The CERF’s Performance and Accountability Framework (PAF) has achieved its main intended objectives in terms of fulfilling a requirement and a genuine need that helps clarify what the CERF is and what it intends to achieve. It focuses on process indicators that were important for the CERF at the time of its establishment and explains what was considered the CERF’s added-value. A number of CERF stakeholders tend to equate the PAF to the independent country review mechanism that was introduced both given the importance of such reviews and because the PAF has not been widely referred to, or used as an overarching framework.
4. The PAF has above all been used as a framework for the independent country reviews, the main review mechanism that was effectively introduced with the PAF. The PAF country reviews have been considered extremely useful for understanding the CERF’s support, processes and function across different contexts. These reviews have proven an important source of information which reduces the problem of the CERF’s reliance on weaker self-reporting systems. The CERF secretariat has also been systematic in developing management responses to the issues raised in these reviews and other CERF-related evaluations.
5. The secretariat undertook an important effort by comprehensively reporting against PAF indicators in May 2012. Although the effort of producing this report on indicators is a milestone, the work that it involved should nevertheless be easier and the exercise is not considered straightforward enough to facilitate more regular reporting.
6. Donors and Advisory Group members would welcome a PAF that further focuses on outcomes and better supports improved reporting on overall humanitarian response. Recipient agencies are largely unfamiliar with the PAF and find that CERF reporting at present is not demanding. CERF processes, however, try to encourage multi-agency approaches that are often considered more burdensome. Agencies in the field also tend to have a greater sense of the need for increased accountability, but largely report to their agency hierarchy for various purposes. For recipient agencies as well as OCHA, there are increasing and sometimes competing demands for different types of information at the country level and the need for a streamlining of processes and some harmonization is more and more recognised.
7. It is tempting to make only minor changes given the delicate balance that the PAF has managed to achieve and maintain. Some of the main elements of the PAF are also still valid. For the PAF to remain relevant, however, it should be adapted to:
 1. Focus on providing meaningful information that also helps ensure the CERF’s credibility;
 2. Become a living tool with information that is easier to capture and that helps the CERF secretariat manage the fund; and

3. Take into account developments in the sector, namely the Humanitarian Programme Cycle, progress made on common monitoring and other tools developed within the Transformative Agenda. As the CERF is an instrument of the UN-led humanitarian system, and works for and through this system, the PAF, among others, should capture where the CERF fits in the overall response and adapt to on-going transformation efforts (e.g. where relevant, IASC Reference Module for the Implementation of the Humanitarian Programme Cycle prepared by the IASC Programme Cycle Steering Group 213).
8. To better capture CERF's workings and added value in a changing humanitarian landscape and consider stakeholder recommendations, the PAF's logical framework and indicators are updated in this review.
9. Building on the PAF's foundation, the revisions recommended in this report aim to improve the relevance and usefulness of the framework and strengthen performance and accountability across the CERF. Monitoring and reporting has been systematically identified as an area of weakness due to the current reliance on often poor self-reporting that is not verifiable.
10. The review identified opportunities to strengthen the PAF by:
 - Updating the PAF to better reflect the current context;
 - Enhancing accountability and including Commitments to Accountability to Affected Populations¹;
 - Widening the scope of the PAF so that it better covers the CERF's objectives and action;
 - Including the partnership dimension and CERF-related performance of recipient agencies within the PAF to help identify priorities for agencies to address to strengthen their performance going forward;
 - Understanding where the CERF lies in the universe of overall aid financing and incorporating complementarity with other sources of funding, mainly, when relevant, country based pooled funds (e.g. CHF's and ERF's);
 - Reconsidering the usefulness of the PAF and its indicators to make them more purposeful and credible, as well as enhancing their focus;
 - Improving the accessibility of comparable data and the ability to gather data through existing or foreseen processes in a more systematic way;
 - Reviewing the hierarchy, scope and clarity of the logic model;
 - Enabling closer integration of CERF planning and priority setting;
 - Creating incentives for mid-term monitoring, reporting and purposeful After Action Review (AAR) lessons and learning exercises; and
 - Viewing the performance and accountability process as a cycle wherein baseline data can be identified and against which progress can be measured.
11. A main challenge and opportunity for the CERF is that it does not act in isolation. Ultimately the CERF as a fund is a tool of the Humanitarian Reform process and also depends on a functioning system. The CERF secretariat has been flexible and responsive enough to allow for context-appropriate funding. The PAF has also attempted to define a model that is contingent on functioning elements within a system. There is a trade-off between trying to support processes and mechanisms and the CERF's functioning having to rely on these in order to be effective.²
12. The CERF has, in practice, been responsive and flexible, adapting to different contexts and

¹ The IASC Task Force on Accountability to Affected Populations provided substantive input to the review.

² The level of leadership of the HC has been cited as one example where donors, as well as the CERF, may tend to direct more funding to crises where leadership is strong but avoid funding in contexts where it is weak, ultimately further jeopardising difficult country responses.

recognizing that humanitarian aid should be context-specific. There are new tools and processes being developed as part of the Transformative Agenda that pursue shared CERF goals. There is a rift between theory and practice as many of the tools foreseen at the Geneva IASC/HQ level have not been rolled-out at country level. A balance has to be struck between how much the CERF can tie an evolving performance and accountability framework to broader reform efforts and conversely manage to seize opportunities and promote aid reform.

I. Introduction

Background

13. The need to improve funding for humanitarian crises on a global scale through the use of pooled funding was a key element of the humanitarian reform process that began in 2005. The Central Emergency Response Fund (CERF) is a humanitarian fund established by the United Nations General Assembly in 2006 as a pool of reserve funding to enable more timely and reliable needs-based humanitarian assistance.³ The fund has a rapid response and an underfunded emergencies window. It exclusively provides direct funding to UN agencies and IOM. The CERF is managed on behalf of the United Nations Secretary-General (SG) by the Emergency Relief Coordinator (ERC) and a dedicated secretariat within OCHA. A CERF Advisory Group was established to provide expert guidance and advice to the ERC on the fund's use and impact.
14. The CERF's specific objectives are to:
 - 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.
15. The CERF Advisory Group called for the development of a Performance Accountability Framework (PAF) to strengthen transparency and accountability and to ensure that the funds allocated through the CERF are "used in the most efficient, effective and transparent manner possible." Adopted in 2010, the PAF was also designed as a means of clarifying performance expectations, management and monitoring responsibilities among actors and formalising a set of accountability mechanisms and reporting processes.
16. In addition to defining a range of performance and accountability tools and mechanisms for the CERF⁴, the PAF also develops the CERF's program theory – what it is and how it is supposed to achieve its aims – and establishes a logic model around the three specific mandated objectives of the CERF with a series of indicators. The PAF has been in use since mid-2010. In addition, the three to five independent CERF country reviews conducted each year under the PAF and the General Assembly-mandated CERF five - year evaluation have been structured according to the indicators of the PAF logic model. The CERF secretariat also issued a CERF Performance and Accountability Framework report on the Status of Indicators in May 2012.
17. This present report summarizes the results of an independent review of the Performance and Accountability Framework (PAF) of the CERF carried out between January and June 2013.

Objectives of the Review

18. This review of the PAF was commissioned to take stock of the two years of experience of its use.⁵ The objectives of the review are laid out in the TOR for the study.⁶ Essentially, the goal of this review is to determine what, if any, changes are required to be made to the PAF. The review considers the adjustments needed to make the PAF a more effective tool for managing performance and accountability around the CERF.
19. The review measures the PAF against three main parameters:
 - The extent to which the PAF meets the management requirements of the ERC and the CERF secretariat;

³ Approved by the United Nations General Assembly Resolution 60/124

⁴ Most of these were in existence prior to the development of the PAF

⁵ The review has, in practice, covered close to three years of use of the PAF and includes data up to May 2013.

⁶ See Annex.

- The extent to which the PAF meets the information needs of donors to the CERF; and
- The extent to which recipient agencies consider the PAF and its review mechanisms appropriate, as well as the extent to which the provisions of the PAF can be readily complied with by agencies through their own monitoring and evaluation systems.

II. Methods and approach

20. The review of the PAF was primarily desk-based and included studying relevant documentation and undertaking key informant interviews to:
 - Review the mapping of roles and responsibilities of key stakeholders and related accountability lines.
 - Reconstruct a timeline providing an overview of the over two to three years of experience with the PAF, considering basic baseline information and the changes and progress achieved since the framework's development, including information gathering on concerns about monitoring and evaluation expressed in the five-year evaluation of the CERF⁷, country reviews conducted under the PAF and interviews.
 - Reconsider the six main challenges highlighted in the PAF document.⁸
 - Review mechanisms outlined in the PAF and gather data on potential gaps concerning PAF-related demands/needs and supply, in terms of the information and capacity available.
 - Assess the logic model and indicators and benchmarks, revise these and, when relevant, propose new performance indicators for measuring CERF effectiveness.
21. The document review included over 120 sources. Forty-seven key informant interviews were carried out with: staff of the CERF secretariat and other OCHA staff in New York; relevant OCHA staff in Geneva; members of the CERF Advisory Group; donors; CERF focal points and other personnel from FAO, IOM, UNDP, UNFPA, UNICEF, UNHCR, WFP and WHO; Humanitarian Coordinators; selected OCHA field staff; members of the IASC task force on Accountability to Affected Populations (AAP), the IASC Sub-Working Group on Humanitarian Financing, and the Monitoring Technical Working group; the consultant and other staff involved in the development of the PAF; and independent consultants who have undertaken CERF country reviews, the review of the Underfunded Emergencies (UFE) window and the CERF five-year evaluation.
22. It should be noted that the consultant also later undertook the PAF DRC Country study towards the end of the review, in May 2013, and was informed by this process. The country review considered the trial development of a scorecard based on current PAF indicators (see Annex 1).

⁷ Including the potential for greater synergies and harmonisation between the CERF processes at country-level, such as the prioritisation of humanitarian interventions, budget preparation and reporting, and country-based pooled funds

⁸ These are: 1. UN Agency/IOM Internal Accountability; 2. RC/HC Cluster leads Accountability and authority; 3. Reporting requirements; 4. OCHA's role at field level; 5. Attribution vs. contribution, and; 6. Accountability to affected populations

III. Role of the PAF

Performance and accountability framework objectives

23. Understanding what constitutes an optimal performance accountability framework varies, as does recognizing how to best ensure compliance. Ultimately, the CERF's PAF should strengthen the CERF and help guarantee that it remains a credible fund that achieves its purpose. The PAF should also be a useful framework.⁹ The review assesses the PAF against shared criteria for measuring the quality of performance and includes the views of the CERF's key stakeholders.
24. The initial independent review, conducted in 2007, of the first year of operation of the CERF also recommended that the secretariat develop a CERF performance framework to:
 - (1) Define key results;
 - (2) Identify information to be collected on an on-going basis;
 - (3) Identify baseline data for key variables;
 - (4) Develop methodologies for addressing some of the more challenging issues, such as assessing the impact on beneficiaries and additionality (which considers specific changes attributable to the CERF and its net contribution to wider efforts); and
 - (5) Identify external reporting mechanisms.
25. When developing the PAF, the CERF secretariat consulted a wide range of actors and referred to the few frameworks developed by other agencies and institutions for additional guidance and models.¹⁰ The PAF had become an outstanding issue for the CERF secretariat and there were a range of viewpoints on what a performance and accountability framework was. Accountability lines were clearer for the CERF, but there was less of a definition of what should be covered as performance. The Advisory Group and donors were not prescriptive in their definition of performance and accountability frameworks but initially wanted to focus on having information on the CERF's impact on beneficiaries. Recipient agencies, above all, wanted to ensure that the framework would not entail excessive reporting or become burdensome and add additional layers. The consensus arrived at during a meeting between the Advisory Group and recipient agency representatives was that the PAF would focus on the added-value of the CERF.¹¹
26. In addition to commonly accepted principles, the review considers CERF specific characteristics and objectives, such as those mentioned by the CERF's Advisory Group (e.g. the PAF's focus on the CERF's added-value). The CERF's added-value is based on its ability to fill a critical gap by allocating funds within days of an emergency to kick-start relief efforts and play a catalytic role within humanitarian response. Redressing the imbalance in aid distribution and it promotes improved humanitarian response through enhanced leadership, coordination and prioritization.
27. Added-value considers the specific features that the CERF, as a global humanitarian pooled fund, has in relation to other sources of funding. In addition to being a global humanitarian pooled fund

⁹ "The best performance measurement framework is ineffective if it is not used by the board, senior management, and indeed the whole organisation to drive performance." National Audit Office, *Performance Frameworks and Board Reporting*, 2009 p.23.

¹⁰ Supported by an external consultant and OCHA's Evaluation and Studies Section

¹¹ At the CERF Advisory Group meeting held in New York in November 2009, an inter-agency discussion on accountability and a session on "Developing and Implementing a Performance and Accountability Framework (PAF): PAF Draft Elements" were held.

focusing on time-sensitive life-saving activities through its two windows – Rapid Response and Underfunded Emergencies – the CERF can only directly fund UN agencies and IOM. This central characteristic of the CERF presents both opportunities and challenges. The special partnership with UN agencies and IOM, as regular recipients of CERF funding, should therefore feature in the CERF’s PAF. Over time, the CERF, with the work of its secretariat and its track-record, has acquired additional characteristics that are part of its added-value and are especially important for both key donors and recipient agencies. The CERF secretariat’s level of responsiveness and transparency are also considered distinctive in the sector.

28. Part of this review has focused on more recent learning derived from reviews of Performance and Accountability Frameworks, cases considered to constitute good practice, and from comparing the CERF’s PAF with other processes. Performance and Accountability Frameworks are designed to enhance accountability and performance and help deliver improvements in operations and outcomes. Performance measurement is viewed as a process that:
 - considers what is worth measuring;
 - gathers data that has integrity;
 - manages accessible information that is effectively communicated; and
 - facilitates decision-making and improvement.
29. Performance accountability relates to the extent to which the fund as a whole, through the recipient agencies and providers, can be shown to have achieved its humanitarian objectives effectively and efficiently. Frameworks are designed to help measure and coherently manage performance, wherever the ability to measure performance is seen as a key step to managing performance. Performance and Accountability Frameworks aim to bring together different types of indicators, usually covering categories such as inputs, capacity, activities, outputs and outcomes, in a logical way to help organisational planning, monitoring and performance reporting.
30. Performance reporting to boards, and in the case of the CERF, reporting by the SG and the secretariat, and the provision of information to the Advisory Group and donors, is a key element in effective organisational governance, as well as a useful indication of what really matters for the Fund. The review of the CERF Performance and Accountability Framework focus on assessing current arrangements and the level of reporting across three interrelated areas:
 - The appropriateness and resourcefulness of the performance information that is included in reports, particularly the degree to which it is linked to the CERF’s strategic objectives;
 - The quality of data that is included in accountability reports and the way it is presented to provide insight and explanation to inform decisions; and
 - The degree to which the ERC, the CERF secretariat and the Advisory Board are able to make decisions based on comprehensive and reliable information and, therefore, drive the Fund’s improvement.
31. The secretariat provides insightful information to allow the Advisory Group to fulfil its role. The PAF offers a more helpful systematic approach to considering the CERF and its objectives. Performance reports are produced summarising the main findings of reports, reviews and evaluations and the CERF secretariat’s management response to the recommendations contained therein. As per the PAF, three to five independent country reviews are undertaken. A five-year evaluation of the CERF was completed in 2011, three years after the two-year evaluation. Both the independent country reviews and the five-year evaluation follow the PAF structure to a certain degree. These reviews have filled a key gap in terms of understanding and looking at the CERF

process at the field level. A first report consolidating findings on performance against PAF indicators was prepared by the CERF secretariat in May 2012.

32. For performance frameworks to be of value, practice suggests that frameworks:
 1. Cover all key objectives and major activities;
 2. Remain structured around a delivery map and help assess effectiveness;
 3. Be integrated into management systems and provide insights into economy, efficiency and effectiveness; and
 4. Be based on a validated business model, help optimise resource allocation and drive high performance.

33. In the case of the CERF, the fund's three key objectives - promoting early action and response to reduce loss of life; enhancing response to time-critical requirements; and strengthening core elements of humanitarian response in underfunded crises – are covered in the PAF. The CERF also sets out to reinforce broader improvements in the international humanitarian system, particularly in the areas of coordination, leadership and partnership. It is also largely structured along a delivery map, which the Secretariat has since strengthened by providing additional guidance on allocation processes and criteria. The delivery map, as seen in a later section on the logic model, needs to be revised based on practice and subsequently updated to reflect the current context. Finally, the CERF's logic model has yet to be validated in practice because its success has largely depended on functioning elements of the humanitarian system.

34. Within OCHA's overall strategy, the CERF secretariat main priorities include (1) managing the fund effectively and with accountability, and ensuring that the CERF provides funding to the highest priority humanitarian needs in a timely and transparent manner, and (2) engaging more systematically on macro-level policy/operational issues with a view to improving the common humanitarian programme cycle (HPC). In view of this second priority, this review has sought to further understand and connect the CERF to the HPC. The figure and table below provide an overview of the humanitarian programme cycle and illustrate how each phase can be related to the CERF. Better integration of pooled funds within the humanitarian programme cycle should lead to improved performance of the funds themselves, while further helping to reinforce elements of the cycle.

Figure 1. The Humanitarian Programme Cycle

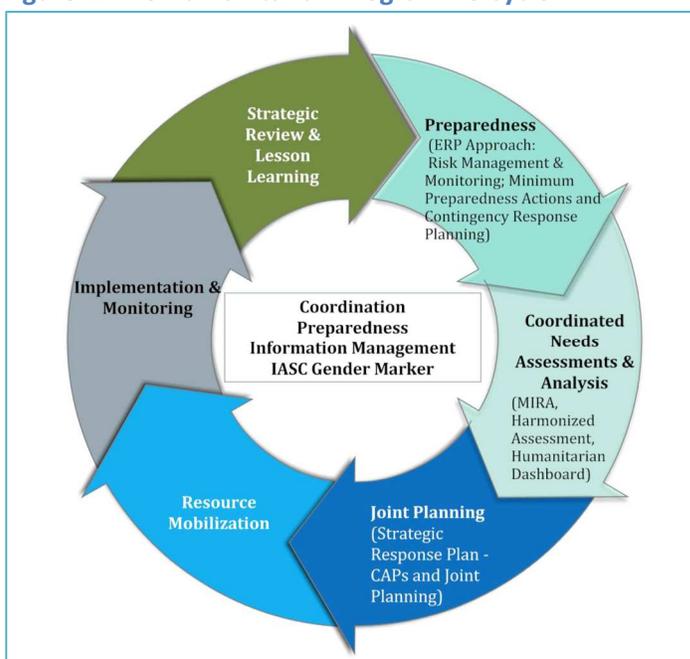


Table 1. CERF in relation to the Humanitarian Programme Cycle

| HPC Phase | CERF related issue |
|--|--|
| Preparedness | <ul style="list-style-type: none"> • Contributes to CERF performance by enhancing the readiness of humanitarian actors. • Contingency planning can help identify potential triggers for CERF requests. • Possible support from CERF to time critical interventions. |
| Assessment & Planning | <ul style="list-style-type: none"> • CERF might increase the predictability of funding for emergencies and complement existing appeal mechanisms such as the CAP. • CERF provides start-up funds for life-saving programmes not yet covered by other actors. • CERF fosters joint coordination and distribution of responsibilities according to agencies' capacities and expertise. • CERF should provide for a transparent and inclusive prioritisation process at the country level, based on life saving criteria. |
| Resource Mobilisation | <ul style="list-style-type: none"> • CERF plays a catalytic role in resource mobilisation. • CERF helps to allocate more resources for underfunded emergencies. • UN agencies use CERF as an effective gap filler between the onset of a crisis and before the replenishment of funding streams. • CERF funds mitigate unevenness and delays in voluntary contributions. |
| Implementation & Monitoring | <ul style="list-style-type: none"> • CERF is the largest and among the most direct pools of emergency funding available for UN agencies to respond quickly and on a large scale to humanitarian crises. • CERF's Rapid Response window provides seed money for life-saving activities in the aftermath of a sudden onset crisis or the deterioration of existing ones. • The Underfunded component of the CERF provides critical coverage of core humanitarian activities for emergencies that have not attracted sufficient funds. |

| | |
|--|---|
| | <ul style="list-style-type: none"> • The CERF’s PAF establishes a mechanism as a means for formalising a clear set of accountability mechanisms and reporting processes. • Primary responsibility for monitoring CERF funded projects currently rests with UN agencies receiving funds. • The HC has the mandate to monitor CERF funds but formal capacity is limited and relies on agency self-reporting. |
| Strategic Review & Lessons Learning | <ul style="list-style-type: none"> • PAF Country reviews provide the CERF with an appropriate level of independent assurance around the achievement of key performance benchmarks and could be a tool for lessons learning for the wider humanitarian community. • The CERF reporting process or CERF's After Action Reviews, if implemented, could allow reflection and continuous learning at country level. |

35. Moreover, OCHA’s strategic framework includes as a key objective the need to have “more systematic coordination of the common humanitarian programme cycle, including needs assessment and analysis, joint planning, fund-raising, resource allocation, and monitoring and evaluation”.¹² Within this objective, there is an indicator measuring whether OCHA-managed pooled funds use standard monitoring frameworks that are consistent with the wider CAP monitoring framework.

Main achievements of the PAF

36. The CERF’s Performance and Accountability Framework (PAF) has achieved its main intended objectives in terms of fulfilling a requirement and a genuine need. The PAF had become the “outstanding issue” for the CERF until its endorsement in 2010. The CERF’s 2007 interim review recommended that OCHA, in consultation with donors, IASC members and the CERF Advisory Group, develop a performance framework for the CERF. This recommendation was repeated in the two-year evaluation of the CERF.

37. Furthermore, the PAF helps clarify what the CERF is and what it intends to achieve. It focuses on process indicators that were important for the CERF at the time of its establishment and clarifies what was considered the CERF’s added-value.

38. When assessed against the objectives outlined in the recommended performance framework, the CERF’s PAF defines key results, largely identifies information to be collected on an on-going basis and identifies external reporting mechanisms. However in 2010, the PAF, beyond the Kenya pilot, does not establish baseline data for key variables and recognises the challenge of “additionality” (e.g. attribution) and accountability to beneficiaries.

39. The PAF has, above all, been used as a framework for the independent country reviews, the main review mechanism effectively introduced with the PAF. The PAF country reviews have been considered extremely useful to understand the CERF’s support, processes and function across different contexts. These reviews have proven an important source of information, which reduce the problem of CERF’s reliance on weaker self-reporting systems. The secretariat has also been systematic in developing management responses to the issues raised in these reviews and other CERF-related evaluations.

40. A number of CERF stakeholders tend to equate the PAF to the country review mechanism that was

¹² See objective 2.4 of OCHA’s Strategic Framework (http://www.unocha.org/ocha2012-13/strategic-plan/objective-2_4) and indicator 4, which defines as a target the development of a PAF for CBPF and improvements to the CERF PAF

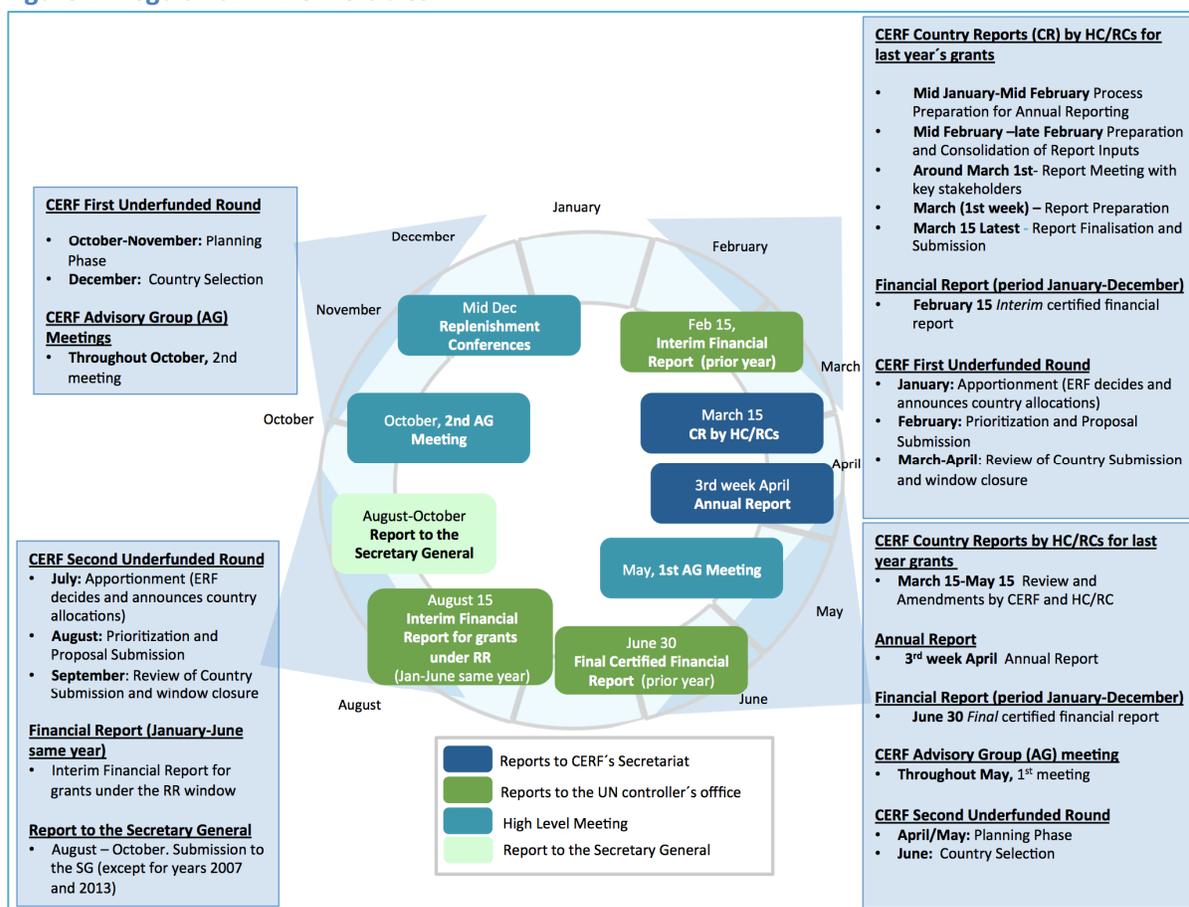
introduced both because of the importance of the reviews and because the PAF has not been widely referred to, or used, as an overarching framework. The secretariat made an important effort by comprehensively reporting against PAF indicators in May 2012. While the effort of producing this report on indicators is a milestone, the work that it involved should nevertheless be easier, and the exercise is not considered straightforward enough to facilitate more regular reporting.

41. It is tempting to make only minor changes given the delicate balance that the PAF has managed to achieve and maintain. Some of the main elements of the PAF are also still valid. However, for the PAF to remain relevant, however it, should be adapted to:
 1. Focus on providing meaningful information that also helps ensure the CERF's credibility;
 2. Become a living tool with information that is easier to capture and that helps the CERF secretariat manage the fund; and
 3. Take into account developments in the humanitarian sector, namely the Humanitarian Programme Cycle, progress made on common monitoring and other tools developed within the Transformative Agenda. As the CERF is an instrument of the UN-led humanitarian system, and works for and through this system, the PAF should capture where the CERF fits in the overall response and adapt to on-going transformation efforts (e.g. where relevant, IASC Reference Module for the Implementation of the Humanitarian Programme Cycle 2013 guidelines on monitoring).
42. In view of these considerations and stakeholder recommendations, the PAF's logical framework and indicators are proposed adapted in the review. This review of the PAF and the changes emerging from this process demonstrate the CERF's commitment to an evolving framework.

IV. Management needs of the CERF Secretariat

43. Instilled in the CERF secretariat is a culture of transparency and performance. It has consistently raised the need for accountability, as well as for monitoring and learning systems that help maximize the impact of the CERF, but seeking to do so in ways that were not demanding for recipient agencies. The CERF secretariat has developed a system of elaborate and comprehensive processes with many CERF deliverables programmed throughout the year (see the figure below). The question remains how the PAF can feed into and strengthen CERF processes, contribute to reporting, and how the indicator set of an overall PAF information system can translate into improved response (measured on the basis of better results).

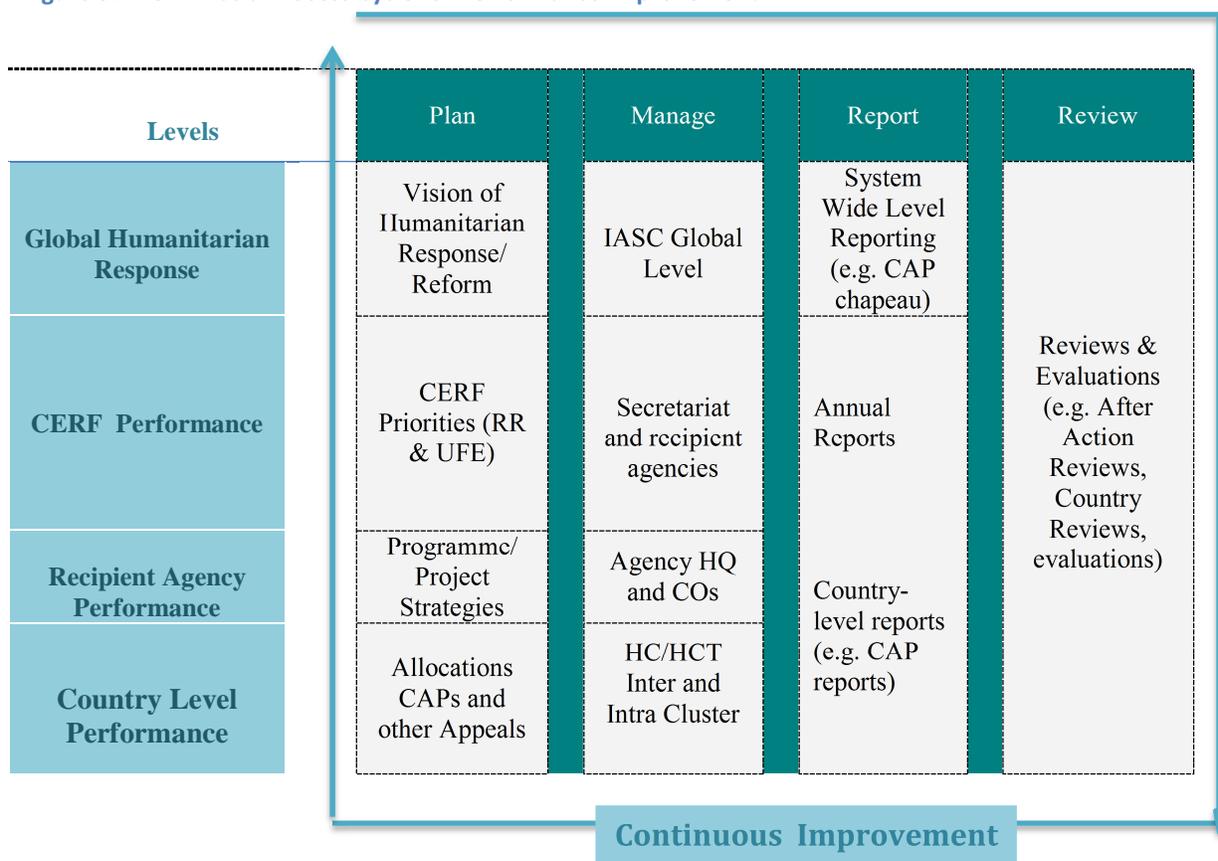
Figure 2. Regular CERF Deliverables



44. A key focus area for the CERF secretariat has been to strengthen CERF reporting and monitoring mechanisms through its own efforts and to support Humanitarian Coordinators and other field actors in better prioritising humanitarian activities for submission to CERF. The 2011 CERF evaluation found that ‘in many ways the CERF Secretariat provides a good practice model of a UN body facilitating interagency processes’.
45. While many elements of good performance assessment and reporting are in place, the CERF secretariat could obtain additional value from a Performance and Accountability Framework and associated systems that focus on the range of its priorities and key objectives. The PAF, at present, is not viewed as an all-encompassing framework covering all of the CERF secretariat’s activities. Although this simplifies the PAF, it can detract from a sense of ownership and wider use of, or reference to, the PAF.
46. The review identified factors, as follows, which are important to getting full value from a Performance and Accountability Framework:
- Further and closer integration of the CERF’s priorities, efforts and plans;
 - Enhancing the focus and usefulness of performance indicators;
 - Developing an understanding for baselines against which to measure performance;
 - Conceiving the PAF as a process cycle for continuous improvement; and
 - Improving the clarity, efficiency and usefulness of reports.

47. A robust performance and accountability framework depends on sound structures and processes through the entire performance cycle. The performance and accountability process can also be viewed as a cycle. As reflected in the figure below, it can provide a model to help translate goals into actions and results by continually refining strategies to ensure performance and accountability. This cycle is on-going, with the review stage informing future planning. There are different, but connected, cycles for each of the levels at which performance can be assessed.
48. Four basic components of this cycle are:
- Planning actions;
 - Managing delivery;
 - Reporting on performance; and
 - Reviewing and evaluating the outcome of the process.

Figure 3. The PAF as a Process Cycle for Performance Improvement



49. In introducing three to five annual independent country reviews, the PAF has helped develop an understanding of how the CERF operates and its processes, value and function in different contexts.¹³

¹³ Djibouti was repeatedly cited as an example of a country in which the CERF is engaged and where a better understanding of projects and its added-value has been achieved through the independent country reviews.

50. To better understand the management needs of the secretariat, the review considered information provided in interviews; CERF reporting on PAF indicators (May 2012) and management responses to evaluations and reviews (OIOS risk assessment, CERF five-Year and FAO CERF evaluations, PAF reviews); the guidance note on CERF and country-based pooled fund (CBPF) harmonisation; and regular CERF deliverables. The review found that certain processes, information gathering tools and elements of the PAF needed to be updated to account for progress in certain areas and that new elements should be incorporated: the Humanitarian Programme Cycle (HPC), and complementarity with the IASC Transformative Agenda to strengthen the CERF's monitoring framework. With regard to in-country monitoring, the CERF secretariat has looked for ways to specifically strengthen linkages with CBPFs, CAPs and other relevant systems and frameworks.
51. Overall, the CERF secretariat is heavily reliant on UN agency reporting. Reporting can be of variable quality and independent monitoring and evaluation is limited. The CERF secretariat has invested great time and effort in improving the quality of RC/HC reports. These remain the most important tool for capturing CERF-related performance and results. The secretariat has further sought to strengthen country reporting so that it more clearly reports on achievements against planned outcomes. The template of the report was revised in 2012 and can be refined to try to capture additional information that would be necessary to gather if PAF indicators are revised.
52. Despite notable efforts, the secretariat continues to struggle with the quality of reports. Reports are still largely ineffective because they contain limited data that can be readily compiled across crisis countries. Because they rely on self-reporting, information is not verifiable and agencies seldom have an incentive to provide meaningful data or report on challenges. The CERF secretariat agreed with a recommendation from the five-year evaluation that an interagency workshop be held at country-level as part of the annual narrative reporting exercise and this recommendation is part of the official guidance provided to RC/HCs on the CERF reporting process. The CERF secretariat is also considering introducing staggered reporting and having agencies report three months after the end of project implementation for a tranche. The independent country reviews undertaken in 2013 have considered the AAR process and ways to link it to RC/HC annual reporting.

V. Donor requirements

53. The main donors supporting the CERF recognise the CERF secretariat's achievements and the PAF.¹⁴ Donors were not prescriptive when the PAF was developed. They now find that the PAF answers or has answered many important questions related to the CERF process. Donors would now value regular quality reporting that also focuses on improved, increased reporting on results and outcomes, and less emphasis on indicators that served a purpose in the past, but are now regarded as less useful.
54. Donors to the CERF consider that the added-value of the fund lies in its ability to contribute to improved humanitarian response and change from within the UN system. They also support the global fund's ability to respond across different crises and cover a range of services (e.g. logistics) that receive less attention. In contrast, donors in interviews voice concern over what are considered structural weaknesses in the humanitarian response of specific recipient agency of CERF funding

¹⁴ This review covers donors at an HQ and Advisory Group level. Donors in the field have different concerns and an altogether different view of the CERF's added-value which is formed by the specific response in a country context. Some of these concerns are covered in the PAF country reviews and CERF 5-year evaluation case studies.

and feel that a PAF should capture and track agency performance improvements as other multi-lateral assessments.

55. Donors and Advisory Group members would welcome a PAF that further focuses on outcomes and better supports improved reporting on overall humanitarian response. On the whole, donors emphasise that the CERF must also be seen within the larger context of humanitarian response where the CERF is a slice or layer of the activity and part of the equation. OCHA maintains that in order to be accountable, the fund needs to be able to report on what is being delivered at output level, both to ensure that agencies do what they said they would, and report on results. OCHA, beyond the secretariat, was also in favour of detailed reporting at a disaggregated level.
56. From a donor's perspective, the CERF can manage to support multilateral response and advocate for improvements and numerous system wide concerns from within. They feel that this is where the fund can also add value. Alignment with other pooled funding mechanisms, which has been emphasised in many country reviews, also makes sense for donors.
57. Moreover, for donors, the PAF would ideally be adapted to better promote a more responsive system and better capture and understand collective outputs. They feel that the CERF, in practice, shares many of the collective concerns of donors and challenges that they face, and that it can report against their added-value and achievements in this area. Overall, donors felt that the CERF adds value in funding both in countries where they are active and where they are not, and covering both sectors and activities that they fund and those that they do not, but had greater concerns regarding specific recipient agencies and their individual performance. It is in this sense that donors would also welcome the CERF engaging more directly on a bilateral basis with recipient agencies where their performance and systems are regarded as weak for humanitarian response, in order to improve overall response. CERF limitations in this respect are recognised, but donors and NGOs like feel that the CERF plays an important role in collecting and posting information, and that its reporting can cover these other critical areas. Evaluations of recipient agencies use of CERF, similar to FAO's evaluation of its use of CERF, were considered very appropriate, especially when considering that the CERF's effectiveness largely depends on the capacities which recipient agencies have in place.
58. At the same time, donors to the CERF have concerns that separate reporting efforts diminish the quality of overall reporting efforts. For instance, reporting on the CERF separate from other reporting efforts on a CAP or the sum of cluster response plans and strategic action plans may create an added layer that is not helpful. This was also a prevailing view considering the weaknesses present in agency reporting on the CERF. Furthermore, for some donor representatives in the Advisory Group, the PAF and indicator report focus on certain indicators that are perceived as too technical, even though they understand that it can be important for the secretariat to follow up on these indicators.
59. Finally, donors and other external stakeholders underlined that the CERF as an early respondent and source of financing can be important in setting the stage and the benchmarks of quality in a response. Attention to Accountability to Affected Populations (AAP) is seen as an important aspiration included within the 2010 PAF. The IASC working group on AAP has provided substantive input into the review of the PAF.

VI. Adequacy for Recipient agencies

60. The achievements of the CERF largely depend on the performance of recipient agencies. The CERF as a fund is largely contingent on the information provided by recipient agencies to report on its

results. The terms of reference for the review focused primarily on the extent to which information and accountability requirements outlined in the PAF could be complied with through agencies' existing monitoring, evaluation and reporting systems. Agencies interviewed, however, were mostly not familiar with or did not identify with the PAF and mainly consider it an internal CERF mechanism. Overall, agencies find administrative procedures within CERF processes relatively light. Recipient agencies in general viewed the level of requested reporting by the CERF as undemanding. The CERF secretariat has tried to ease the burden on recipient agencies by requesting limited information, doubling its efforts to strengthen guidance and facilitating the process. The reporting process, however, tends to lose its significance and is, at present, not viewed as a tool for improving performance and organizational learning.

61. The accountability of agencies for performance is primarily toward their own headquarters and their monitoring and reporting systems are structured accordingly. Most agencies are constantly reviewing their performance and accountability as well as monitoring and evaluation systems. Efforts and revisions of these systems could offer opportunities for improving the level of information that is available on CERF funding.¹⁵ Although agency accountability systems have been directed to headquarters, agencies in the field find that they increasingly have to provide different types of information at the country and sector/cluster level and that overall reporting efforts are not aligned. The reporting burden often competes with other efforts and was generally not viewed by interviewees as a means of improving the response.
62. Stakeholders interviewed understood that recipient agencies should within the application process be capable of defining two to three indicators against which they will report. These indicators should in turn feed into the strategic objectives of a response (and would have the qualities of being clear and compelling specific enough i.e. as per CAP 2012 guidelines). Overall, persons interviewed felt that as much as possible essential data should be disaggregated in terms of vulnerability, gender and age. Several donors expressed the need for stronger reporting that contributes to overall efforts and information to be provided on a programmatic basis and where CERF's contribution to the effort is estimated as a rough percentage of the overall support provided. It was felt in this sense that CERF could also benefit from the dialogue that other donors like DFID have with agencies and the multilateral reviews that several donors were undertaking (e.g. MAR, AMA).
63. A key expectation in the PAF is that indicators on Accountability to Affected Populations (AAP) would be incorporated to the Framework when endorsed. CERF recipient agencies have since endorsed the Commitments on AAP. They as organizations recognize that they are accountable to affected populations and the need to strengthen two-way communication processes at field level. Commitments foresee defining, documenting and implementing "expectations and processes to learn and continuously improve, including from monitoring, evaluations and complaints, which include a requirement to routinely involve affected communities in design, monitoring and evaluation."
64. In line with increased coordination and reporting efforts in the field, reporting for the CERF has also primarily taken place at country level through the annual RC/HC reports. A CERF Umbrella Letter of Understanding was agreed between OCHA and the recipient agencies in 2011. Where available, OCHA country offices provide support to the reporting process. The provision made for the RC/HC to oversee the monitoring and reporting on projects funded by the CERF is a basis for further supporting country level processes and agency accountability to the HC/RC. Stakeholders

¹⁵ UNICEF's new program management and financial system, VISION adopted in 2012 is one example where there is a potential for improved reporting on results.

interviewed for this review and the five-year evaluation of the CERF highlight the need for increased support to RC/HCs in defining and exercising their overall monitoring function.

65. CERF is only one layer of funding and the fund's procedures foresee HC reporting and multi-agency processes. Collective processes can prove more tedious for recipient agencies with different reporting systems. CERF project proposals include a description of objectives, activities, outcomes and indicators. Overall, in line with country level plans and IASC work on the establishment of standardized cluster/sector performance indicators, there is a sense that recipient agencies can better identify two to three meaningful indicators to report against, and that these indicators can both feed into the total CERF allocation, other country-level response information management efforts and individual agency programming. Stronger performance reporting can improve effective performance management and alignment between project outputs and outcomes.
66. The current PAF under inputs foresees that UN Agency/IOM Monitoring, Reporting and Evaluation (M/R & E) Systems are in place and UN Agencies/IOM must also submit high quality reports to RC/HC, via OCHA, who in turn reports back to the CERF secretariat. Mechanisms for tracking recipient performance against the guidelines and the LOU provisions on monitoring could be established to encourage better reporting. Recipient agencies could better define indicators in advance and OCHA country offices, where available, could be given a role reporting back on the timeliness and quality of recipient agency reporting and inputs. Overall recipient agency performance across countries could be later reviewed bilaterally on an annual basis between recipient agencies at focal point level and the CERF secretariat.
67. Information from evaluations and independent assessments carried out by recipient agencies of their operations should feature in an overall CERF PAF. Provisions for recipient agencies to incorporate CERF-related questions in their evaluations should be an integral part of the PAF. FAO's 2010 evaluation of its use of CERF-funding and the management response to this evaluation and more specific evaluations of CERF projects help improve overall CERF performance and accountability. The five-year evaluation recommended that agencies "conduct an evaluation of their use of CERF funds within 18 months to determine what internal factors, including partnership policies and practices, influence the effectiveness of CERF projects." The CERF secretariat has since tried to encourage agencies and evaluation departments to undertake similar evaluations or include CERF related issues within their evaluation efforts. Based on the PAF and recommendations from the five-year evaluation, the CERF secretariat could identify CERF-specific questions for agencies to track and report on through their overall monitoring and evaluation processes.
68. There is an opportunity in general for increased two-way feedback and information-sharing on agency performance capability. Good performance requires the capacity within recipient agencies to effectively manage activities and deliver. Key capacities include not only M/R&E systems included as an input in the current PAF and quality assurance systems altogether but the following:
 - Human resources – recruitment, training, development and management;
 - Leadership – strategic planning, internal communication and organizational culture;
 - Systems and processes – information, and financial management;
 - Structures – service delivery mechanisms, decision-making bodies; and
 - Relationships – with partners, other agencies and stakeholders.
69. Current agency HQ template reports, for example, focus to a greater extent on the CERF secretariat's performance as opposed to the agency self-reporting on its performance and learning in relation to CERF funding. Agency reporting to CERF could highlight relevant evaluation or independent assessment findings and other factors and changes affecting the partnership. Reporting could include main elements of progress at different levels that agencies are undertaking at a global

level and that could improve overall CERF performance.

VII. Overall PAF Approach

The CERF logic model

70. The CERF logic model in the PAF intends to provide a basis for developing the performance measurement. A good performance and accountability measurement framework is based around clear performance objectives; tailors performance measurement to key delivery drivers, and affords a full view of the Fund's current performance and projections of future performance. The PAF uses a logic model approach to clarify accountability and performance expectations around a set of agreed CERF outputs, outcomes and impacts. A logic model describes a theory of change and assumptions of how an intervention affects outcomes.
71. The CERF logic model was developed around the three mandated objectives of the CERF and performance will ultimately be based on CERF meeting its objectives. The CERF's framework is strong in that its logic model covers objectives, inputs and outputs and/or outcomes but the definition of the inputs and strength of evidence supporting the framework or the articulation of the underlying model and its assumptions¹⁶ is weaker. This affects the ability to link inputs and activities to outputs and outcomes, to interpret current performance and to project future performance.
72. The results hierarchy for CERF with associated indicators could be fine-tuned. The CERF secretariat overall has consistently improved CERF processes and responded to recommendations from evaluations and reviews in line with a process (e.g. Figure 3). The PAF has been an essential part of this effort as it has provided for independent country reviews that have informed and contributed to this process. The PAF itself as a framework is however not sufficiently seen or used as a process cycle that focuses on systematic performance monitoring and improvement.
73. The CERF secretariat has at the same time systematically referenced findings emerging from the country reviews and the five-year evaluation questioning or contextualizing some of the key assumptions underpinning the model. For example, whether the timely disbursement of CERF funding translated into timely and efficient delivery of humanitarian assistance at the country level has in practice depended on a variety of factors, including differences between individual recipient agencies' procurement and sub-granting procedures.
74. **Suggested revisions:**
The main suggested changes to the initial CERF PAF logic model are described in figure 4 below (figure 5 outlines a proposed revised CERF logic model). These are also further explained in the table reviewing indicators. The main suggested changes to the logic model per level of the results hierarchy are as follows:
Inputs:
75. Initial CERF related inputs and processes required both at country and HQ levels for CERF grants to operate as intended include: (input 1) a rigorous and inclusive prioritization leading to (input 4) a coherent country submission at country level (input 2) internal recipient agency monitoring and evaluation systems (input 3) streamlined allocation processes.

¹⁶ Assumptions are limited to the CERF being sufficiently funded on an annual basis OCHA supporting processes the cluster approach being the system that should be used in emergency settings.

76. A review of the CERF logic model and its inherent theory of change calls for including “funding available to UN agencies/IOM” as a key CERF related input category. The amount of funding that the CERF provides to recipient agencies across different crises and sectors is a key input that is well documented. The logic model would have five main inputs as per figure 5. It is also suggested that “Transparent and inclusive decision-making” (input 4) become input 2 to follow the sequencing of country based processes. Further to current efforts aimed at encouraging increased complementarity between the CERF and CBPFs, the focus of the IASC Sub-Working Group on Humanitarian Financing, country reviews and stakeholders interviewed, attention to other sources of funding and CERF added-value should be part of efforts at global and country level and incorporated in processes that covered by a “Coherent country submission” input. Similarly, it is suggested that an input on “Recipient Agency Capacity” be included broadening the input category “M/R&E systems in place” to include the concern for capacity, past performance, quality assurance systems, etc. This input would further highlight the performance and accountability link between recipient agencies and the CERF and the specificities of the CERF as a fund.

77. Outputs:

In terms of outputs and in line with current reform efforts, the review recommends including two new outputs:

- Increased UN Agency/IOM capacity, quality of response and accountability (as an output related to input 4) and
- Increased/Strengthened Coordination and HC Leadership

78. Outcomes/ Operational Effects:

In terms of outcomes the review does not advise specific changes to the model’s diagram beyond modifying the text of the PAF itself where there assumption that “built-in monitoring and evaluation processes for each recipient agency promote quality assurance” should be revised. The focus of the Transformative Agenda should be included together with the stronger emphasis on accountability, particularly to affected populations, which already featured in the PAF. Through the inclusion of “Increased UN Agency/IOM Capacity” as an output, the link with the outcome “Quality Response” is strengthened as this can be improved overtime and is not limited to short-term in-country CERF funding.

79. Operational impact:

For accuracy, the review suggests modifying the concept of “operational impact” where the CERF’s two grant components are featured: Rapid Response and Underfunded and including an overall level of impact which would encompass the overall aim of the CERF: “improved humanitarian response, lives saved”. The accompanying text should also be modified and not refer to recipient agency reporting on the value of the CERF in the immediate aftermath of an emergency.

Figure 4. Comments to PAF logic model

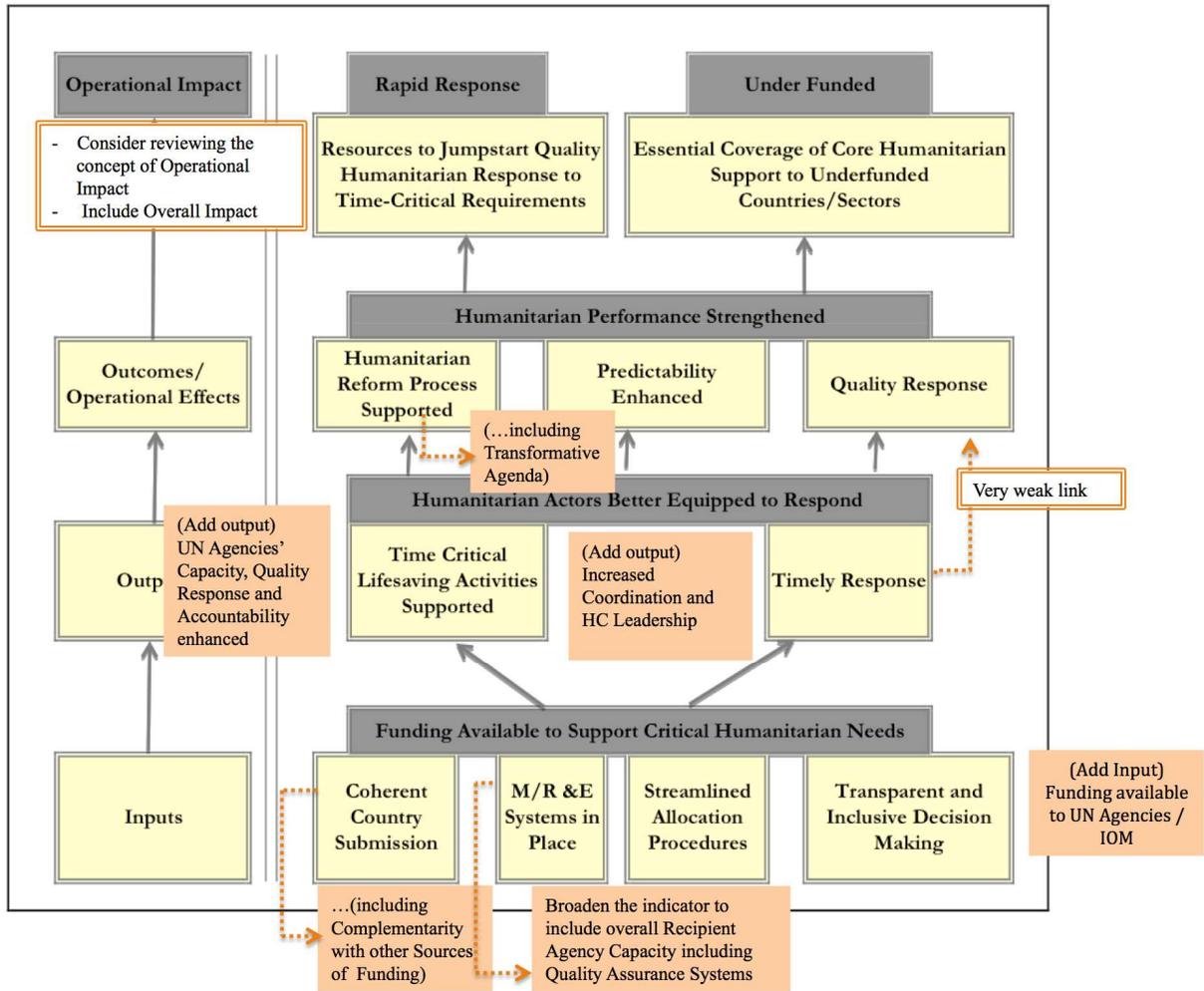
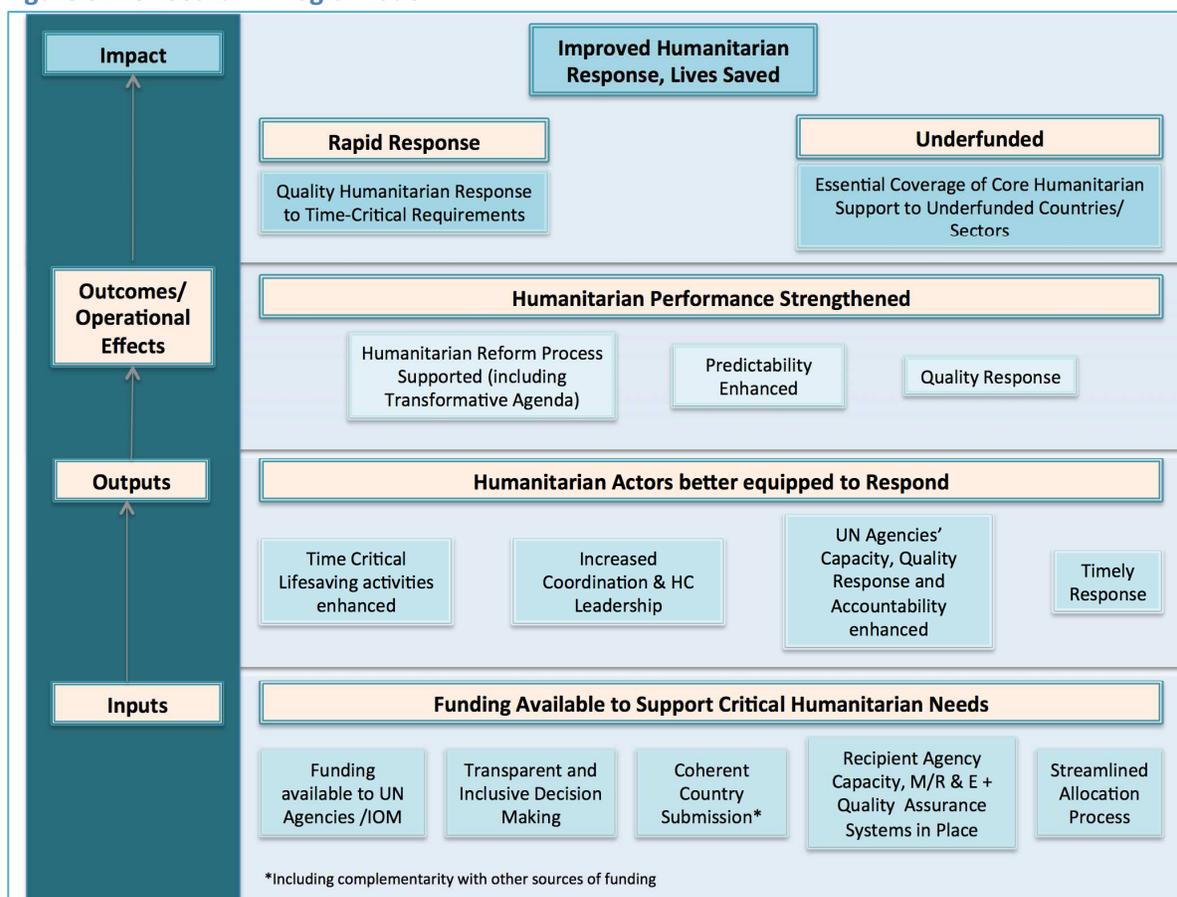


Figure 5. Revised CERF Logic Model



Review of PAF Indicators

The following table provides an overview of comments and suggestions made for each of the CERF’s PAF current logic model indicators.

Table 2. Review of PAF Logic Model Indicators

| Inputs: Funding Available | | | |
|--|--|---------------------|--|
| Overall comments: The review suggests including Funding Available to UN Agencies/IOM as an additional input category. | | | |
| Input I-Transparent & Inclusive Prioritization and Decision Making | | | |
| # | Indicator | Responsible Entity | Comments/Suggestions |
| 1 | All members of Humanitarian Country Team (HCT) and clusters aware of CERF availability (for RR and UFE) | RC/HC Cluster Leads | Based on interviews, this indicator should be merged with indicator below on inclusiveness (Inclusiveness (Indicator # 2)). Interviewees largely felt that awareness of the CERF is no longer a main issue and that this indicator has limited relevance on its own. |
| 2 | Intra- and inter - cluster prioritisation 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 | Cluster Leads | In addition to this indicator, the IASC AAP Task Force has suggested an additional indicator that determines the degree of consultation with affected communities in needs assessments and programme design related to CERF funded activities |

| | | | |
|---|---|------------------|---|
| | Platform, 12 July 2007) | | PAF's Table 2 should include, as an additional means of verification for this indicator, CERF's Application Template Q.13 as well as consultation with main stakeholders in CERF reviews and evaluations. |
| 3 | Analysis of funding undertaken to inform prioritisation process and facilitate appropriate direction of funds | RC/HC | This indicator can be also verified under CERF Application for Grant Funding (Q. 12 & 13) + Minutes of HCT & inter-cluster meetings. |
| 4 | 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, not at country level) | CERF secretariat | Consider eliminating the terms "in a timely" from the indicator which is more related to transparency. |

Input II- Coherent Country Submission

Overall comments: This input should incorporate indicators on complementarity with other sources of funding, including, but not limited to, Country Based Pooled Funds (CBPFs). Additionally, in line with recent developments in the humanitarian sector, a Coherent Country Submission should be one that reflects the commitments of Accountability to Affected Populations (CAAP), as defined by the IASC AAP Task Force in July 2012.

| # | Indicator | Responsible Entity | Comments/Suggestions |
|---|---|--------------------------------|--|
| 5 | Cluster submission to the RC/HC is of high quality and reflects views of cluster members | Country team/ Cluster Leads | <p>What constitutes "high quality" for the CERF should be clearly defined and standardised in the PAF in order for this indicator to be measured. For example, this could encompass meeting quality criteria and beyond Life Saving Criteria Guidelines should comprise the principles of AAP and other quality standards (e.g. The Sphere Project, the Humanitarian Accountability Partnership, the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP), among others)</p> <p>Remove the term "<i>Cluster</i>" system as submission can be broader than the cluster system.</p> <p>Remove the sentence "<i>and reflects views of cluster members</i>", as these views should be already captured through the indicators under Input I: <i>Transparent and Inclusive Decision Making</i>. Instead, replace this with "<i>and is consistent with humanitarian priorities (e.g. MIRA, CAP, Flash Appeals).</i>"</p> <p>The proposed new indicator would read as follows: "CERF submission to the HC meets quality standards and is consistent with humanitarian priorities."</p> |

| | | | |
|---|---|--------------------------|--|
| 6 | 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 the proposal | RC/HC/ Cluster Leads/ | <p>Based on interviews, it was clear that Recipient Agency's Capacity had to be considered as an Input of CERF funds. Consequently, it is suggested that this indicator is included under the new <i>Input category Recipient Agency Capacity</i> (see Input IV in Figure 5 Revised CERF Logic Model.)</p> <p>Additionally, according to the recommendations of the IASC AAP Task Force on Agencies, performance should also be measured with regards to its commitment to AAP. Therefore, it is proposed that the following criteria be included: "<i>commitment to AAP as per the IASC CAAPs or another AAP framework.</i>" within a related separate new indicator.</p> <p>Include the term "<i>and reviewing</i>", so that the phrase reads "<i>Agency Performance (...) is considered when developing and reviewing the proposal.</i>" and include the CERF Secretariat as a responsible entity</p> <p>For monitoring purposes, special attention should be given to the review of CERF Application for Grant Funding (Q. 9 & 11)</p> |
| 7 | CERF request adheres to cluster standards and CERF Life Saving Criteria | RC/HC | Consider completing this indicator with the following information: " <i>CERF request/appeal adheres to quality standards and CERF Life Saving Criteria, and is considered timely and appropriate with respect to needs /context</i> " |

Input III. Streamlined Review, Allocation, Distribution and Reporting

| # | Indicator | Responsible Entity | Comments/Suggestions |
|----|--|--------------------------|---|
| 8 | Average number of working days between final submission of a CERF grant request package from RC/HC and ERC' decision (Benchmark: 3 working days for RR and 5 working days for UFE) | CERF secretariat, ERC | <p>Interviewees suggested that the CERF secretariat has fulfilled this benchmark and suggest monitoring timelines from final submission to fund disbursement. More detail makes the PAF look overly process oriented and "technical".</p> <p>As suggested by the secretariat: indicators 8, 9 and 10 can be replaced with two new indicators that are more relevant:</p> <ol style="list-style-type: none"> 1. "Number of working days between first official to final submission of rapid response projects" 2. "Number of working days between final submission to disbursement of funds for rapid response projects" |
| 9 | Average number of working days between receipt of LoU from a grant recipient and request (memo for disbursement to OPPBA (Benchmark: two working days) | CERF Secretariat | Indicator No. 9 was found to be no longer relevant after the Umbrella LoU was implemented in 2011. |
| 10 | Average number of days between request (memo) for fund disbursement by OPPBA to grant recipient | Office of the Controller | Memos are no longer used when the CERF secretariat asks for CERF fund disbursement. Currently, in order to proceed with grant disbursement, Agencies counter-sign the USG |

| | | | |
|----|--|----------------------|--|
| | | | approval letter and return it to the CERF secretariat to ensure prompt disbursement of funds. Indicator no longer considered very relevant. |
| 11 | Average number of working days from disbursement from UN HQ to country office | UN HQ | There are currently no foreseen mechanisms to measure this indicator (see PAF's document, Table 2). To enable tracking of this indicator, it is suggested that this information be requested from UN Country Offices through the RC/HC Annual Report. Depending on what the PAF chooses to track and whether importance is given to identifying potential problem areas or bottlenecks the indicator can be revised and choose to consider the timespan between disbursement to start of project implementation. This however could prove more difficult to track. |
| 12 | Time from UN agency/IOM country offices signing project agreement with implementing partners to them receiving funding | UN Agency/ IOM CO | There are currently no foreseen mechanisms to measure this indicator. If it needs to be tracked it should be included in the Project sub-granting data from the annual CERF country reports (Annex 1) asks agencies to provide the date when IPs receive the first instalment, but it is not possible determine the date when IP receive the remaining tranches of funding, nor the date when agencies' country offices sign with IPs. Consider requesting this information through the RC/HC CERF country report (Annex 1) or basing indicator on information that is currently requested in the annex of the new HC/RC report. |
| 13 | quality and timeliness of the RC/HC CERF report | | |

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

Overall comment: As stated above, interviewees felt that recipient agency's capacity had to be considered as an input of CERF funding and that this indicator should be broadened to encompass overall recipient agency capacity. In addition to the incorporation of a new indicator as suggested above, quality assurance mechanisms and recipient agencies sub-contracting procedures suited for emergency situations should also be considered.

| # | Indicator | Main Source(s) to compile indicator | Comments/Suggestions |
|----|---|-------------------------------------|--|
| 13 | UN Agencies/IOM receiving grants have internal evaluation and accountability mechanisms | UN agency/ IOM HQ | It is suggested that for the submission, agencies explain in more detail what would be the M, E and accountability mechanisms set in place for the project. For example, a description of the type of monitoring to be followed (direct vs. third party), or information on the type of evaluations, and reviews that will take place should be clearly stated in the application. Presently, the grant application template, except for question 9 which asks a general question, does not contemplate securing this information. Agency HQ Narrative reporting could also be an important source of information, wherein |

| | | | |
|--|---|-------------------------|---|
| | | | <p>agencies could include highlights of their monitoring, evaluation and accountability systems.</p> <p>It is suggested that the CERF secretariat, on an annual basis consider Agencies' progress in strengthening their M, E and accountability mechanisms by taking stock of relevant changes to recipient agencies systems and performance frameworks.</p> <p>Include the words "<i>monitoring and</i>" after the word "internal", in order to complete the indicator.</p> <p>The modified indicator would be "<i>UN Agencies/IOM receiving grants have internal monitoring, evaluation and accountability mechanisms.</i>"</p> |
| 14 | CERF Secretariat has provided adequate global guidance on the standards for reporting | CERF secretariat | No change. |
| 15 | OCHA CO, in support of the HC, provides guidance to agencies, and facilitates input for annual report | OCHA CO/RO | No change. |
| 16 | Agencies, both at HQ and in the field provide satisfactory input (as defined by CERF Secretariat Guidelines) to the annual RC/HC Report which adheres to reporting guidelines | UN Agency/IOM CO and HQ | <p>Indicator should read: "to the RC/HC CERF Report and agency HQ reporting to the CERF for the SG report which adheres to reporting guidelines." Benchmarks should be established in order for progress to be monitored against a given baseline.</p> <p>Progress should not only be tracked systematically for inputs related to the RC/HC CERF Reports, but also for the ones related with the UN Agency/IOM HQ narrative, which currently seems to get less attention.</p> <p>The UN agency report should help track progress in partnership and joint performance with respect to CERF Funds. The guidelines are currently more oriented towards capturing Agencies' impressions of CERF performance, rather than vice versa.</p> <p>It is also advised that the <i>Scoring Methodology</i> - recently created by the Reporting and Information Unit for the RC/HC CERF Report be expanded to keep track of the Agency Annual Report. This methodology established criteria to classify reports according to quality. Yearly communications at HQ and field level to improve reporting will provide room for continuous improvement.</p> |
| <p>Outputs: Humanitarian Actors Able to Respond More Quickly</p> <p>Two additional outputs of CERF funds are suggested based on this review: 1. Increased coordination and HC</p> | | | |

leadership, and 2. Enhanced UN Agencies'/IOM' Capacity, Quality Response and Accountability through CERF.

Output I. Time Critical Life Saving Activities Supported

| # | Indicator | Information Source | Comments/Suggestions |
|----|--|--|--|
| 17 | CERF funds allow agencies to demonstrate capability to leverage donor confidence for future contributions | UN agency/IOM financial data and quantitative feedback | Another source of information for this indicator would be the RC/HC CERF report, narrative section 5c which asks if CERF funds helped improve resource mobilization from other sources of funding as well as the country reviews of the value added of CERF. |
| 18 | Availability of CERF funding recognized by recipient agencies as being fundamental to ability to respond to life saving needs and gaps | Qualitative Feedback | Several people interviewed considered that the credibility of this indicator was compromised given agencies incentive to recognize CERF funding as critical. Consider including other stakeholders, other than recipient agencies, so that the indicator becomes less biased. The information source should be more concrete than mere "qualitative feedback", and thus be expanded to include Independent Country Reviews, After Action Reviews and evaluations. |
| 19 | Extent to which gaps, both geographic and sectoral, have been identified and addressed through use of CERF funds | Project/cluster documents | No change. RC/HC reports and PAF country reviews are potential additional sources of information |

Output II. Timely Response

Overall comment: It is suggested that two additional indicators for this output be included:

1. Implementation dates for time sensitive coverage of needs. Annex 1 of the new HC/RC CERF Report asks agencies to provide the date when IPs start activities, but there is no information on completion dates. Moreover, Annex 1 aims at retrieving information for funds disbursed to implementing partners, but not for Agencies themselves. Having this information will allow the CERF secretariat to measure if its funding helped time-critical response efforts. Narrative Section 5b could be used as a source of information if overall information on agencies as well as these additional dates are included.
2. Percentage of use of CERF funding; CERF PAF is currently not measuring if funds are not used and need to be reimbursed to the Fund.

| # | Indicator | Information Source | Comments/Suggestions |
|----|--|---------------------------------------|--|
| 20 | Number of No-Cost Extensions requested | CERF internal tracking | It is recommended that the duration and qualitative information on NCEs be included. (Number, cause and duration of the extension) |
| 21 | CERF funds fill a critical time gap as measured in relation to time that other contributions are received | UN Agency/IOM specific financial data | No change. |
| 22 | Percentage of total amount of CERF funding to flash appeals provided within the first two weeks (of appeal publications) | CERF Secretariat | This indicator is recommended to be moved to Input level, as the percentage to which this indicator makes reference corresponds not to response but to transfer of funds to Agencies. It is proposed that this indicator be tracked under the new input "Funding available to UN |

| | | | Agencies /IOM". This indicator could also be tracked through the Financial Tracking Service (FTS). |
|--|--|--|---|
| Outcomes: Humanitarian Performance Strengthened | | | |
| Outcome I. Predictability and Reliability Enhanced | | | |
| # | Indicator | Information Source | Comments/Suggestions |
| 23 | Response capacity is strengthened given knowledge that CERF is a reliable source of funding | Qualitative Feedback from UN agencies/IOM | No change |
| 24 | Operations deployed more rapidly due to 'predictability' of quick funding source | UN Agency/IOM reporting | No change |
| Outcome II. Quality Response | | | |
| <p>Overall comment: In addition to the comments and suggestions addressed below, it is recommended this Outcome contains an additional indicator: Percentage of coverage of beneficiaries' targets. Interviewees felt that there was a need to strengthen and have more outcome indicators. This indicator could be constructed using HC/RC CERF report template, section VI. (No. 10 and 11, which correspond accordingly to i) the original expected outcomes from approved CERF proposal, and ii) the actual outcomes achieved.)</p> | | | |
| # | Indicator | Information Source | Comments/Suggestions |
| 25 | Transparent information management of recipient agencies on status of CERF projects | Cluster specific information management data | <p>Having transparent management information systems is an input indicator that contributes to determine recipient agencies' capacity. It is included as part of the agency's M/R and E systems in place, and it is therefore not necessary to duplicate indicators.</p> <p>The review suggests replacing this indicator with a more outcome-level indicator, such as: Agencies' CERF related outcomes are reported on the basis of their M/R & E and quality assurance system, as described in the CERF application form.¹⁷</p> |
| 26 | Accountability to affected populations, as outlined in the Humanitarian Accountability Project (HAP), is incorporated into project submissions | UN Agency/IOM internal project documents | <p>As per the recommendation made by the IASC AAP Task Force, this indicator should be updated with the IASC Principals' 2011 Commitments on AAP demonstrably incorporated into project submissions 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.</p> <p>It is suggested that questions related to AAP be included in CERF's Application Template (Section on <i>Humanitarian Context and Response</i>: Q.10, and Section III Agency Project Proposal, Point 12 Implementation Plan) to better track this indicator.</p> |
| 27 | Evaluative mechanisms established (NOTE: CERF evaluative processes to be | CERF secretariat | As currently phrased, this indicator is more about processes and inputs than outcomes. It is suggested that this indicator be replaced with the |

¹⁷ This indicator can only be obtained if recipient agencies explain in greater detail the M/R & E and accountability mechanisms in place for the project in the Grant Application Form as suggested for indicator 13.

| | | | |
|----|--|------------------|---|
| | developed) | | following: “ <i>For the CERF, evaluative processes enable continuous improvement and ensure a quality response (i.e. evaluations and reviews are undertaken regularly and there is a management response to recommendations.)</i> .” Evaluative processes should include evaluations carried out by recipient agencies on their use of CERF funds (e.g. FAO CERF evaluation 2010). |
| 28 | Real-Time and internal agency evaluations, when conducted, demonstrate CERF’s contribution to a more coherent response | CERF secretariat | To reflect the full range of evaluation possibilities and given the limited number of RTEs, it is suggested this indicator be changed as follows: “ <i>Evaluations undertaken demonstrate CERF’s contribution to a more coherent and effective quality response.</i> ” |

Outcome III. Humanitarian Reform Process Supported

Overall comments: Recognising challenges in multilateral humanitarian response, the IASC Principals agreed to the Transformative Agenda in December 2011 as part of the Humanitarian Reform Process (2005), with an increased emphasis in better leadership of the humanitarian response, improved accountability to all stakeholders, and improved coordination structures, needs assessments, planning and monitoring. The indicators for this outcome should be adapted accordingly to further consider the Transformative Agenda. Concretely, indicators can be refined (as suggested below) and include an additional indicator that reflect the extent to which CERF supports the full Humanitarian Programme Cycle and the collective results that the humanitarian community aims to achieve.

| # | Indicator | Information Source | Comments/Suggestions |
|----|--|--|---|
| 29 | Extent to which RC/HC, Humanitarian Country Team and cluster leads use the CERF process as a tool to strengthen coordination | Qualitative feedback from stakeholders | In line with the transformative agenda, consider simplifying this indicator and adding a stronger focus on Leadership and Accountability: “ <i>Extent to which CERF has acted as a tool to incentivize overall coordination, empowered RC/HC Leadership and Accountability.</i> ” |
| 30 | Strengthened function of clusters and of inter-cluster forum | Qualitative feedback from Stakeholders | It is suggested that this indicator be moved to the new suggested output category “ <i>Increased Coordination and HC Leadership</i> ” |
| 31 | Leadership and involvement of RC/HC in humanitarian operation | Qualitative Feedback from Stakeholders | Consider simplifying this indicator and adding, in line with the transformative agenda, a strengthened focus on leadership and accountability: “ <i>Extent to which CERF has acted as a tool to incentivize overall coordination, empowered RC/HC Leadership and Accountability.</i> ” It is suggested that this indicator also be moved to the new suggested Output category “ <i>Increased Coordination and HC Leadership.</i> ” |

80. The following table provides a proposal of indicators for a revised CERF logic model (figure 5). The table lists 40 indicators that can be systematically tracked at different levels and frequencies. With slight revisions to the logic model, the PAF would remain structured around a more comprehensive delivery map and help better assess effectiveness. While recognizing current data collection limitations, the proposed indicators provide a basis for further considering additional elements that are worth measuring. An attempt is made to further consider the need to find ways of gathering data that has integrity and is part of or can contribute to overall reporting efforts. A

revised PAF and associated data gathering system should provide the CERF Secretariat with accessible information it can manage and more readily and effectively communicate to facilitate decision-making and improvement. In addition, a CERF PAF assessment tool based on these indicators is later proposed (see Table 5).

Table 4. Proposed Indicators for revised CERF Logic Model

| Inputs: CERF Funding | | |
|---|---|--|
| Input I-Funding Available to UN Agencies/IOM | | |
| # | Indicator | Responsible Entity |
| 1 | Funding available for crises (rapid response & underfunded window) by country. CERF as a percentage of other sources of funding available. | CERF secretariat |
| 2 | Percentage of total amount of CERF funding to flash appeals provided within the first two weeks (of appeal publications) | CERF secretariat |
| Input II-Transparent & Inclusive Prioritization and Decision Making | | |
| # | Indicator | Responsible Entity |
| 3 | 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 |
| 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 |
| 5 | Analysis of funding undertaken to inform prioritization process and facilitate appropriate direction of funds | RC/HC |
| 6 | CERF underfunded (UFE) country selection/apportionment process undertaken in a transparent manner (Note: UFE process occurs at headquarters level, not at country level) | CERF secretariat |
| 7 | Where applicable, the analysis, consultation and prioritization processes for CERF allocation take into consideration the CBPFs. | RC/HC |
| Input III- Coherent Country Submission (including complementarity with other sources of Funding) | | |
| # | Indicator | Responsible Entity |
| 8 | CERF submission to the HC meets quality standards and is consistent with humanitarian priorities. | Cluster Leads, Recipient agencies |
| 9 | CERF request adheres to quality standards and the CERF life-saving criteria. | RC/HC |
| 10 | CERF request is considered timely and appropriate with respect to needs /context. | RC/HC |
| 11 | CERF where applicable uses existing CBPF processes and structures to support CERF allocations. | RC/HC |
| 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 |
| Input IV. Agency Capacity, M/R & E + Quality Assurance Systems in Place | | |
| # | Indicator | Responsible Entity |
| 13 | 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 |

| 14 | Agencies, both at HQ and in the field provide satisfactory input (as defined by CERF secretariat guidelines) to the RC/HC CERF Report and the <i>UN Agency/IOM HQ narrative report</i> , which adhere to reporting guidelines. | UN Agency/IOM CO and HQ |
|--|--|---|
| 15 | Agencies have the procurement/sub-contracting procedures suited for emergency situations and sufficient staff, access, etc. | UN Agency/IOM CO and HQ |
| 16 | Agencies receiving grants have internal monitoring, evaluation, quality assurance and accountability mechanisms. | UN Agency/IOM HQ |
| 17 | CERF secretariat has provided adequate global guidance on the standards for reporting and CERF related processes. | CERF secretariat |
| 18 | OCHA CO/RO, in support of the RC/HC, provides guidance to agencies, and facilitates input for RC/HC CERF report. | OCHA CO/RO |
| Input V. Streamlined Review, Allocation, Distribution and overall reporting | | |
| # | Indicator | Responsible Entity |
| 19 | 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 |
| 20 | Average number of working days from disbursement from UN HQ to country office | UN HQ |
| 21 | Average number of days from UN agency/IOM country offices signing project agreement with implementing partners (IPs) to IPs receiving funding | UN Agency/IOM |
| 22 | Overall quality and timeliness of the RC/HC CERF report | HC/RC, UN Agencies |
| Outputs: Humanitarian Actors Better Able to Respond | | |
| Output I. Time Critical Life Saving Activities Supported | | |
| # | Indicator | Information Source |
| 23 | 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. |
| 24 | 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 |
| 25 | 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 | Information Source |
| 26 | CERF contributes to improve coordination and to enhance HC leadership. | Qualitative Feedback from Country Reviews, After Action Reviews and Evaluations |
| 27 | Strengthened function of clusters and of inter-cluster forum. | Qualitative feedback from Stakeholders |
| 28 | 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 |
| Output III- UN Agencies Capacity Strengthened | | |
| # | Indicator | Information Source |

| 29 | 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 |
|--|---|--|
| Output IV. Timely Response | | |
| # | Indicator | Information Source |
| 30 | Number and cause of no-cost extension requests. | CERF Internal Tracking, Third Party Monitoring, After Action Reviews, Country Reviews |
| 31 | Implementation dates as foreseen for time sensitive coverage of needs. | Annex 1, HC/RC Annual Report, if modified. ¹⁸ |
| 32 | CERF funds fill a critical time gap as measured in relation to time that other contributions are received. | UN Agency/IOM specific financial data |
| 33 | Utilization rates of CERF funding. | CERF Financial Reports |
| Outcomes: Humanitarian Performance Strengthened | | |
| Outcome I. Humanitarian Reform Process Supported | | |
| # | Indicator | Information Source |
| 34 | 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 |
| 35 | 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, After Action Reviews and Evaluations |
| Outcome II. Predictability and Reliability Enhanced | | |
| # | Indicator | Information Source |
| 36 | Response capacity is strengthened given knowledge that CERF is a reliable source of funding. | Qualitative Feedback from UN agencies/IOM |
| 37 | Operations deployed more rapidly due to 'predictability' of quick funding source. | UN Agency/IOM reporting |
| Outcome III. Quality Response | | |
| # | Indicator | Information Source |
| 38 | Extent of coverage of beneficiary targets in relation to the initial proposal (e.g. number, type). | Third party monitoring data when available, HC/RC CERF report template, section VI. (No. 10 and 11), Qualitative Feedback |

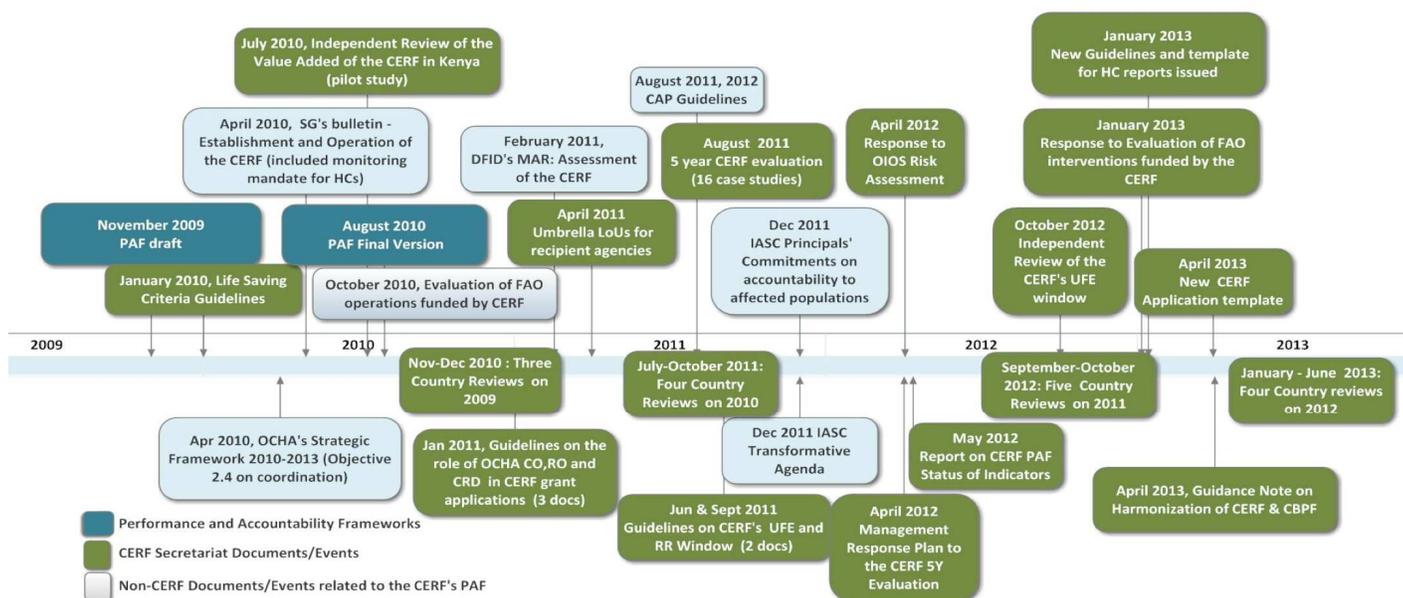
¹⁸ The new HC/RC Annual Report template asks agencies to provide the dates for when IPs start activities, but there is no information on implementation and completion dates. Moreover, Annex 1 aims at retrieving information for funds disbursed to implementing partners, but not for Agencies themselves.

| | | |
|----|--|---|
| 39 | 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 |
| 40 | The IASC Principals' 2011 Commitments on AAP demonstrably incorporated into project submissions and reporting as per the guidelines (<i>This includes that agency commitments on such cross-cutting issues as gender, protection, diversity and disability are identified and addressed in the proposed response</i>). | CERF's application template, if modified. It is suggested that questions related to AAP be included in CERF's application template (Section on <i>Humanitarian Context and Response</i> : Q.10, and Section III agency project proposal, Point 12 implementation plan) and reported on in HC/RC report. |
| 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 (NB. <i>Evaluative processes should include evaluations carried out by recipient agencies on their use of CERF funds (e.g. FAO CERF evaluation 2010)</i>). | Qualitative Feedback from Country Reviews, After Action Reviews and Evaluations Website analytics |
| 42 | <i>"Evaluations undertaken demonstrate CERF's contribution to a more coherent and effective quality response."</i> | Qualitative Feedback from Country Reviews, After Action Reviews and Evaluations |

Updating the PAF

81. The review has also considered contextual changes recognising that the PAF does not have to be static and that rather it can evolve and be refined, responding to the evolving CERF process and the changing nature of humanitarian response. Since the establishment of the PAF in 2010 (see timeline below), a number of important guidance documents related to the CERF have been developed. Elements of these advances can be incorporated into a revised and updated PAF. (see comments to the PAF 2010 document).

Figure 5. Timeline: Key documentation Post-CERF PAF (November 2009-June 2013)



The CERF secretariat has sought to strengthen linkages with CBPFs, CAPs and other relevant systems and frameworks. The main external guidance documents that concern the PAF are:

- **The Commitments to Accountability to Affected Populations (2011)**

82. The PAF foresaw the inclusion of AAP indicators once these were established. The December 2011 IASC Principals meeting endorsed five Commitments to Accountability to Affected Populations (CAAP)¹⁹ and agreed to incorporate the CAAP into the policies and operational guidelines of their organizations and promote them with operational partners, within Humanitarian Country Teams and amongst cluster members. CERF recipients have agreed to integrate accountability to affected populations into their individual agencies' statements of purpose as well as their policies. Given the CERF's significance and its ability to influence a response, persons engaged in the AAP agenda have considered the inclusion of the CAAP in the PAF a real and unique opportunity for progress and improvement. The CERF's PAF can include CAAP indicators ensuring that feedback and accountability mechanisms are integrated into CERF application proposals, monitoring and reporting processes (indicators 12 and 38). Guidance has been developed on tools to assist in meeting the commitments to AAP. One example is that program and project proposal and design documents incorporate AAP into their indicators. A self-assessment tool²⁰ has been developed to provide practical assistance in understanding and measuring against CAAP indicators.

- **The Transformative Agenda**

83. The Transformative Agenda builds on the Humanitarian Reform process and recognizes the need to tackle persistent weaknesses in collective humanitarian response capacity. It aims to further strengthen leadership, coordination and accountability. The Transformative Agenda seeks to further

¹⁹ These commitments are: 1. Leadership/Governance 2. Transparency 3. Feedback and Complaints 4. Participation 5. Design, Monitoring and Evaluation.

²⁰ Ranking scale for the self assessment: 1= Not at all 2= Some, but quite weak 3= Yes, but room for improvements 4= Fully in place

strengthen the HC, the HCT, clusters and cluster lead agencies as the main actors supporting response efforts. Specific priority actions to strengthen all humanitarian operations include:

- Strengthened leadership capacities at all levels of the response.
- Improved strategic planning that clarifies the collective results that the humanitarian community aims to achieve.
- Strengthened needs assessments, information management, planning, monitoring and evaluation for a more effective and strategic response.
- Improved cluster coordination, performance and participation, as well as a more clearly defined cluster-activation procedure.
- Enhanced accountability for the achievement of collective results, based on an agreed performance and monitoring framework linked to the strategic plan.
- Strengthened accountability to affected communities, to be implemented at field level through a defined inter-agency operational framework.

84. There is a delicate balance that the CERF's PAF has to strike between its role of strengthening humanitarian reform processes and assuming that these are in place and relying on these for CERF processes. As a part of the Transformative Agenda, IASC Principals had agreed to "Key Transformative Actions" which included establishing a performance framework for humanitarian action, with measurable indicators, through which the progressive achievement of collective results could be monitored, reported and audited. The performance framework was to provide indicators for the contributions of the HC, HCT, OCHA and the clusters to the overall response including a statement of collective system wide outcomes to be included in the terms of reference of all heads of agencies in the field.²¹ If developed, the framework would be relevant for the CERF and it will be important for PAF reviews to take stock of the main progress made on the Humanitarian Reform agenda (e.g. new guidance, tools adopted in-country). Through a revised PAF, the CERF could also further contribute to Transformative Agenda efforts (ref. indicator 32). The CERF secretariat through the PAF country reviews and other information sources will have to continue to monitor progress on new tools and the extent the CERF and its PAF can support and align to these processes in a meaningful way.

VIII. CERF evaluation and new review mechanisms introduced

Reporting against indicators

85. A key challenge of the PAF and for the CERF secretariat is relying on field-based reporting and being able to track and report on indicators. The CERF's PAF provides a table summarizing the level of the logic model and mechanism in place to collect information and explains that further discussion on how to monitor some of the outstanding indicators would evolve through consultation with the UN agencies and IOM.
86. The CERF secretariat has focused on the option of extending the provisions for monitoring and reporting of CBPFs to the CERF. It has also discussed the possibility with recipient agency evaluation focal points of undertaking CERF-specific evaluations (i.e. along the lines of FAO's 2010 CERF evaluation) and options for including CERF specific questions in agency evaluations.²² The PAF proposed two new review mechanisms as additional measures for strengthening

²¹ 'Key Transformative Actions' from the IASC Principals Meeting 21-22 February, 2011.

²² These efforts should be extended to evaluative assessments (e.g. UNICEF's real-time assessment of the response in Sahel) that could be shared with the CERF Secretariat.

accountability and to help bolster tracking and accountability: Independent Country-level Reviews and After Action Reviews (AAR). AARs, however, have not taken place and their nature was intended as essentially a learning tool and not as a performance review.

87. The five-year evaluation of the CERF raised the need for stronger accountability and monitoring and learning systems that help maximize the impact of the CERF. The evaluation specifically recommended organizing an interagency workshop at the country-level as part of the annual narrative reporting exercise and including CERF issues in inter-agency real-time evaluation. This review found that room for including CERF-related issues in inter-agency real-time evaluations is limited under the current IA-RTE team configurations unless humanitarian financing is included as a specific area of focus and the evaluation team has the capacity to cover this theme in greater depth. In line with the findings of the five-year evaluation, this review of the PAF has also found that there is a need for stronger monitoring, quality assurance and accountability. The five-year evaluation found that reinforcing the HC and OCHA's monitoring capacity at country level was a priority and recommended allocating a percentage of CERF funds from the three per cent UN Secretariat management fees for this purpose.²³ Recipient agencies at HQ level did not always feel that OCHA could provide this monitoring function and the CERF secretariat in its management response to the evaluation also underlined that OCHA does not always have a presence in CERF recipient countries. Ultimately, the CERF secretariat should define a target of what it considers a desirable amount of monitoring and tracking of the fund.
88. For the PAF to be an effective framework efforts should be placed on facilitating reporting against predefined key PAF indicators. The CERF secretariat was already tracking indicators. There is room for better defining the sources that can provide the information on a more systematic basis. Coding and links between the PAF and the CERF application template and HC/RC and recipient agency reporting should be more direct. The CERF secretariat's effort of producing a report on PAF indicators in May 2012 is an important milestone. The process should nevertheless be easier, and the exercise is not considered straightforward enough to facilitate more regular reporting. The CERF secretariat should find ways of at the same time lessening its full reliance on one-shot CERF specific field-based reporting. More regular reporting could help make the reporting process more straightforward and harmonization and alignment easier to achieve.

New review mechanisms

89. The PAF introduced the two new review mechanisms at the country level in an effort to 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.

Country-level Independent Reviews of CERF

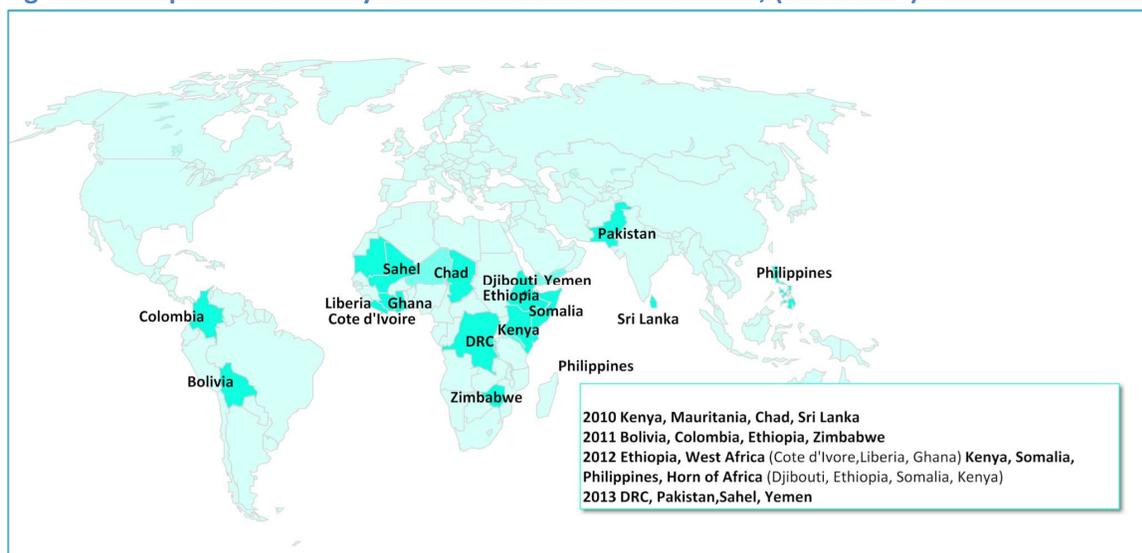
90. Independent reviews have been a key oversight tool for the CERF. The purpose of these country-level reviews on the added value of CERF, conducted under the PAF, has been to provide transparent and accountable information to all stakeholders, including Member States, donors, fund recipients and beneficiaries of CERF funded-projects. The reviews are perceived as the main achievement of the PAF and a number of CERF stakeholders tend to equate the PAF to the country review mechanism. As foreseen in the PAF, the country reviews have been conducted by external

²³ Third party monitoring of information that relates to CERF contributions and further assurances on the ability to independently verify information provided in CERF reporting could assist with this process.

consultants and managed by the CERF secretariat. The CERF secretariat provides consultants with useful background information for the reviews.

91. Although the CERF secretariat manages the review process, it has not been prescriptive developing a standard methodology for the country-level reviews as was initially foreseen in the PAF. The reviews have provided an independent assessment of 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. Three regional reviews have also been undertaken. Reviews have as foreseen comprised a cross-section of the types of proposals that receive CERF funding including, sudden onset natural disasters, underfunded programmes, protracted crises and large allocations. The reviews themselves will also include recommendations aimed at improving country-level operational aspects of CERF, and have also identified policy issues to be addressed at a global level. Currently feeding back lessons learned from country reviews to the field is a challenge as is the expectation that the reviews will be able to provide an account of results achieved and beneficiary level outcomes. The continuous cycle of learning and improvement through the reviews is more limited at the country level and the review mechanism while useful focuses on processes.

Figure 6. Independent Country Reviews of CERF’s Value Added, (2010-2013)



92. Three to five country-level reviews are conducted each year. As mentioned, countries have been purposively selected to reflect recipients of both large and small amounts of CERF funding and the range of different types of crises (see figure 6). Independent country reviews on average have assessed CERF related processes approximately 26% of the CERF’s funding and 20% of projects funded which represents a good sample.

Coverage of Country Reviews over total CERF Allocation and Projects

| | US\$ Allocation | Number of Projects |
|--|-----------------|--------------------|
| Total CERF 2008-2012 for emergencies with Country Reviews | 446,891,746 | 411 |
| Total CERF Allocation 2008-2012 | 1,716,115,328 | 2,049 |
| % of CERF Allocation in Countries with Country Reviews | 26% | 20% |

93. Above all the reviews have provided insight into how the CERF operates across different contexts and been an important source of information for the CERF secretariat. The CERF secretariat

systematically follows up on the recommendations emerging from reviews.²⁴ The country reviews have had less use at the country-level where follow-up has been limited and issues emerging in countries that have been reviewed more than once have largely remained unchanged.

94. An initial pilot country study following the PAF was undertaken in Kenya in 2010.²⁵ This review assessed individual indicators in the PAF and demonstrated the PAF's overall feasibility. The PAF has since been used for country reviews and consultants have to varying degrees followed the main issues and indicators defined by the PAF. The CERF secretariat has over time included other key related questions in the terms of reference of the country reviews. This has ensured that the PAF studies remain relevant and useful for their primary audience.
95. Four main issues were raised in the course of the review process specific to the independent country studies:
 - There is room for some additional standardization and more precise coverage of particular issues. The CERF secretariat has already been including some standard questions on an ad-hoc basis in reviews to gain further insight and gather views on certain issues (e.g. the introduction of new tools). The list of questions to cover in reviews has become extensive and the CERF secretariat should consider explicitly excluding some of the PAF indicators from the review process that do not require verification and which it can gather through other sources.
 - PAF issues related to indicators are considered individually and not as a chain or hierarchy of results. The PAF as a framework for an evaluation is more complex in the sense that the theory of change is not verified and standard evaluation criteria - in terms of relevance, coherence, effectiveness, timeliness, efficiency, coverage outcomes/impact- are not easily associated with the questions covered in the PAF.
 - Similarly, members of the Advisory Group and consultants that have undertaken the reviews generally valued the PAF but have questioned whether the "right" questions were being asked in terms of understanding what concrete results have been achieved with CERF funding. The suggestion was made to focus on one crisis in depth, looking at projects and covering questions more extensively. The review could be done in several phases where an initial preliminary debriefing is included in an After Action Review and part of the process. Another need expressed and that is being considered by some donors is to evaluate the CERF's strategic contribution and value in relation to other sources of funding.
 - For the secretariat the reviews continue to be an important source of information and learning to understand how the fund is functioning in different contexts and what the CERF's value is in specific country. Reviews are also important in this sense as there are increasingly more requests from non-traditional humanitarian countries for CERF funding.
96. The CERF secretariat could consider further defining a methodology to be used in reviews. For comparison purposes, as a means of summarizing information numerically and tracking progress over time, this review of the PAF recommends applying a rating scale based on benchmarks. The scale system presented as table 5 can also be used as an assessment tool in AAR and evaluations. The rating scale does not lead to an empirical result, but highlights trends, patterns in the outcomes, strengths and weaknesses and can help prioritize decision-making and actions.

²⁵ Tasneem Mowjee,(2010), *Independent Review of the Value Added of the Central Emergency Response Fund (CERF) in Kenya. Final Report*, Development Initiatives. Available from: <http://www.unocha.org/cerf/reportsevaluations/evaluations/country-reviews/performance-and-accountability-framework>

Humanitarian After Action Reviews

97. Though foreseen in the PAF for countries where there have been significant CERF grants, After Action Reviews (AAR) have not taken place at the country level. These have not been requested by the ERC and there has been limited incentive or initiative at the country-level to undertake these exercises. An AAR was foreseen as a discussion that allows the Humanitarian Country Team (HCT) to reflect on a CERF allocation process. HCT involvement on the CERF has been limited and it is not necessarily the right forum for this exercise.
98. RC/HC offices and OCHA tend to need additional guidance to engage on country-level processes. The CERF secretariat has consistently updates guidance and AARs have been discussed in the context of CERF trainings. Should AARs not be routinely carried out as a part of the HC/RC reporting process, the CERF secretariat could identify countries that could undertake this exercise and consider available options at the country level. Using a self-assessment tool to guide discussion and contribute to in-country learning and institutional memory, selected questions raised in the PAF could be discussed and outcomes reviewed by all recipient agencies and their respective implementing partners. With staggered HC/RC reporting on the CERF coinciding with the end of the grant period, AAR could help improve the development and usefulness of reports. Alternatively, depending on the structures within their specific country, the CAP workshop with a parallel working group or agenda item at a decentralized level where relevant could prove an appropriate forum.
99. In an effort to improve leadership and coordination, promote clearer accountabilities and faster response IASC field missions validating Transformative Agenda protocols developed a self-assessment tool for HCs and country teams to assess leadership, coordination and decision-making at the country level. A similar exercise has been carried out in relation to CAAP at the recipient agency level. These efforts could at the same time consider the CERF or the CERF application process (in particular for the UFE) and the AAR foreseen by the PAF could also make use of a self-assessment tool to further break down each of the indicators within the analysis, planning and review process.

Table 5. CERF PAF Assessment Tool

| Inputs: Funding Available | | | |
|--|--|--|---|
| Input I-Funding Available to UN Agencies/IOM | | | |
| # | PAF Indicator | Question | Balanced Scoring/standardized review |
| 1 | Funding available for sudden onset crises and underfunded (RR & UFE Window) by country. | What was the level of CERF funding available for the response? | Percentage of CERF funding by crisis, window, agency, in relation to overall funding, overall appeal, by sector .etc. |
| 2 | Percentage of total amount of CERF funding to flash appeals provided within the first two weeks (of appeal publications) | How responsive was CERF funding to a rapid onset crisis? | Percentage and in comparison to other sources of funding. |
| Input II-Transparent & Inclusive Prioritization and Decision Making | | | |
| # | PAF Indicator | Question | Balanced Scoring/standardized review |
| 3 | Intra- and inter – cluster/sector | To what extent is the intra- and inter - | 0=Not at all (i.e. Prioritization process does not include relevant stakeholders, who are not aware of |

| | | | |
|---|---|---|--|
| | prioritization process is inclusive of all relevant stakeholders, and adheres to Principles of Partnership (Endorsed by the Global Humanitarian Platform, 12 July 2007) | cluster prioritization process inclusive of all relevant stakeholders and does it adhere to Principles of Partnership? | CERF Funding and the Principles of Partnership are not taken into account) 1= Somewhat (i.e. Prioritization process takes into account some relevant stakeholders and/or the Principles of Partnership are somewhat taken into account, however the prioritization process is mainly driven by a few actors) 2=Mostly (i.e. Prioritization process takes into account most relevant stakeholders and the Principles of Partnership are taken into account, however not all relevant stakeholders are included) 3= Fully (i.e. All relevant stakeholders are aware of CERF Funding, and all participate in the prioritization process. The process fully takes into account the Principles of Partnership) |
| 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) | To what extent do needs assessments demonstrate consultation with affected communities? | 0=N.A. or Not at all (i.e. Communities are not consulted in needs assessments or programme design. 1= Somewhat (Affected communities are somewhat consulted at the needs assessment stage but relevant stakeholders are not included in processes) 2= Mostly (i.e. Affected communities and most vulnerable groups were actively consulted in both needs assessment and programme design stages,) 3= Fully (Affected communities and vulnerable groups are fully involved in needs assessment and programme design processes) |
| 5 | Analysis of funding undertaken to inform prioritization process and facilitate appropriate direction of funds | What was the level of analysis of other sources of funding to inform the CERF Application process? | 0= None (i.e. Analysis of funding is not undertaken) 1= Low (i.e. Very basic analysis of funding informs the prioritization process) 2=Acceptable (i.e. Analysis of funding to inform prioritization based on available FTS data basic information available on in-country donor programming) 3=Adequate (i.e. Analysis of funding and donor/agency consultation informs the prioritization process) |
| 6 | CERF underfunded country selection/ apportionment process undertaken in a transparent manner | What is the level of transparency of CERF underfunded country selection/apportionment process? | 0= None (i.e. No transparency) 1= Low (i.e. Country selection process lacks transparency) 2=Acceptable (i.e. Country selection process is clear but not well communicated) 3=Good (i.e. Country selection process is transparent and well understood) |
| 7 | Where applicable, the analysis, consultation and prioritization processes for CERF allocation take CBPF mechanisms into consideration. | To what extent have the analysis, consultation and prioritization processes for CERF Allocation takes into consideration the CBPF mechanisms? | 0= Not at all (i.e. Analysis, consultation and prioritization process is separate from CBPF mechanisms) 1= Somewhat (i.e. Analysis, consultation and prioritization process partly considers CBPF mechanisms at certain levels) 2= Mostly (i.e. Analysis, consultation and prioritization process mostly takes into consideration CBPF mechanisms and provisions have been made for processes to be aligned) 3= Fully (Analysis, consultation and prioritization process is fully based on CBPF existing mechanisms) |

| Input III- Coherent Country Submission (including complementarity with other sources of Funding) | | | |
|---|--|---|---|
| # | PAF Indicator | Question | Balanced Scoring/standardized review |
| 8 | CERF submission to the HC meets quality standards and is consistent with humanitarian priorities. | Is Submission to the RC/HC of high quality and is it consistent with humanitarian priorities? | 0= Not at all (i.e. Submission is poor and does not meet standards) 1= Partly (i.e. Cluster submission is mainly driven by CLA, does not necessarily reflect standards or country priorities) 2= Mostly (i.e. Cluster submission is driven by CLA, and mostly reflects standards and country priorities) 3= Fully (i.e. Cluster submission follows guidance and best practice and is consistent with cluster priorities) |
| 9 | CERF request adheres to quality standards and CERF Life Saving Criteria | To what extent does the CERF request/appeal adhere to quality standards Life Saving Criteria? | 0= Not at all (i.e. CERF request does not adhere to quality standards and/or Life Saving Criteria) 1= Partly (i.e. CERF request somewhat adheres to quality standards and Life Saving Criteria) 2= Mostly (i.e. CERF request mostly adheres to quality standards and/or Life Saving Criteria). 3= Fully (i.e. CERF request fully adheres to quality standards and Life Saving Criteria) |
| 10 | CERF request is considered timely and appropriate with respect to needs /context. | To what is the CERF request/appeal considered timely and appropriate with respect to needs and context? | 0= Not at all (i.e. CERF request is not considered timely with respect to needs/context). 1= Partly (CERF request is considered timely with respect to needs/context, |
| 11 | CERF uses existing CBPF processes and structures to support CERF allocations (i.e. CERF requests are be handled by the same staff that manage the CBPF, CBPF processes and structures are used to support CERF allocations) | Does CERF use existing CBPF processes and structures to support CERF allocations? | N.A. 0= Not at all (existing CBPF processes and/or structures are not used for CERF. Funds are not coordinated) 1= Somewhat (There is limited or inconsistent consultation. Information is shared). 2= Mostly (On a regular basis, CERF uses CBPF established structures and processes to guide consultations, identification of needs and prioritization of funds. More can be done to ensure harmonization of funds) 3= Fully CERF has fully integrated its processes and structures with those of CBPF to guide consultations, identification of needs and prioritization of funds. The same staff that manage CERF use CBPF technical bodies for vetting proposals. |
| 12 | RC/HC allocates CERF funds through a strategy that considers other sources of funding (i.e. other donors and CBPF) and these are used according to their comparative advantage | To what extent does the RC/HC consider other sources of funding and are different sources and the CERF used according to their comparative advantage? | 0= Not at all (i.e. RC/HC does not consider other sources of funding) 1= Partly (i.e. RC/HC sometimes considers other sources of funding but this is ad hoc, not based on a strategy or comparative analysis of allocation options) 2= Mostly (i.e. RC/HC usually considers other sources of funding through a strategy that result in funds been used according to actors' competitive advantage, however this is not always the case) 3= Fully (i.e. RC/HC always considers other sources of funding through a strategy that result in funds been used according to actors' competitive advantage) |

| Input IV. Recipient Agency Capacity, M/R & E + Quality Assurance Systems in Place | | | |
|--|--|--|---|
| # | PAF Indicator | Question | Balanced Scoring/standardized review |
| 13 | Agency performance (capacity to implement within the timeframe of the grant, past performance, speed of distribution and absorptive capacity, commitment to AAP as per the IASC CAAPs or another AAP framework) is considered when developing and reviewing the proposal | What is the level of consideration of an Agency's Performance when developing and reviewing a proposal? | 0=None (i.e. Agency's performance and capacity are not considered) 1= Low (i.e. Agency's performance is occasionally/partially taken into account, or only some aspects of performance are considered) 2=Acceptable (i.e. Agency's performance is taken into account well, and most aspects of performance are considered. However, further review could be considered) 3=Adequate (i.e. Agency's performance is fully taken into account and all aspects of performance are considered according to a standardized methodology) |
| 14 | Agencies, both at HQ and in the field provide satisfactory input (as defined by CERF Secretariat Guidelines) to the annual RC/HC Report and the <i>UN Agency/IOM HQ narrative report</i> , which adhere to reporting guidelines | Did agencies in the field provide satisfactory input to the annual RC/HC and the Agency Narrative Report and adhere to reporting guidelines? | 0= Very weak (i.e. Agencies do not provide satisfactory input and do not adhere to reporting guidelines) 1= Weak (i.e. Agencies provide input, however, often they do not adhere to reporting guidelines) 2= Satisfactory (i.e. Agencies provide good input and usually adhere to reporting guidelines, however, there is room for improvement) 3=Good (i.e. Agencies provide very good input and adhere to reporting guidelines) |
| 15 | Agencies have the procurement/sub-contracting procedures suited for emergency situations and sufficient agency staff, access, etc. | Do Agencies have the sub-contracting procedures suited for emergency situations? | 0= Not at all (i.e. Agencies do not have any sub-contracting procedures suited for emergency situations) 1= Partly (i.e. Agencies have some sub-contracting procedures suited for emergency situations) 2= Mostly (i.e. Agencies have most sub-contracting procedures suited for emergency situations) 3= Fully (i.e. Agencies have all sub-contracting procedures suited for emergency situations) |
| 16 | Agencies receiving grants have internal monitoring, evaluation, quality assurance and accountability mechanisms | To what extent do agencies receiving grants have internal monitoring, evaluation, and quality assurance mechanisms? | 0= Not at all (i.e. Agencies do not have a monitoring and/or quality assurance framework and/or evaluation policy, or field staff are unfamiliar with these) 1=Partly (i.e. Some agencies have some of these mechanisms in place) 2= Mostly (i.e. Most agencies have and use monitoring, evaluation and quality assurance mechanisms) 3= Completely (i.e. All agencies have M/R and E and quality assurance mechanisms in place and these are fully applied). |
| 17 | CERF Secretariat has provided adequate global guidance on the standards for reporting and CERF related processes | To what extent to has the CERF Secretariat provided adequate global guidance on the standards for reporting? | 0=Not at all (guidance absent or unclear) 1= Somewhat (i.e. OCHA and UN agency country-level staff members are aware of this guidance, however, it is not fully understood by them and/or they do not ensure adequate reporting from IPs) 2=Mostly (i.e. OCHA and UN agency country-level staff members are aware of this guidance, understand it and ensures adequate reporting from implementing partners, however, more can still be done) |

| | | | |
|----|--|--|---|
| | | | 3= Fully (i.e. OCHA and UN agency country-level staff members are fully aware of this guidance, understand it and ensure adequate reporting from implementing partners) |
| 18 | OCHA CO/RO, in support of the HC, provides guidance to agencies, and facilitates input for RC/HC CERF report | To what extent does the OCHA CO, in support of the HC, provide guidance to agencies, and facilitate input for the annual report? | 0= Not at all (i.e. OCHA does not provide guidance to agencies, nor does it facilitate input for the annual report) 1= Somewhat (i.e. OCHA provides limited guidance to agencies and does not facilitate input for the annual report) 2= Mostly (i.e. OCHA mostly provides guidance and contributes to the annual report, but does not fully promote reporting related processes) 3= Completely (i.e. OCHA CO provides good guidance, facilitates input for the annual report and its related review processes). |

Input V. Streamlined Review, Allocation and Distribution

| # | PAF Indicator | Question | Balanced Scoring/standardized review |
|----|--|---|---|
| 19 | 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 | To what extent are benchmarks and targets met in terms of number of working days? ²⁶ | As per benchmarks 0= Not at all 1= Partly 2= Mostly 3= Fully |
| 20 | Average number of working days from disbursement from UN HQ to country office | To what extent are benchmarks and targets met in terms of number of working days? ²⁷ | As per benchmarks 0= Not at all 1= Partly 2= Mostly 3= Fully |
| 21 | Time from UN agency/IOM country offices signing project agreement with implementing partners to them receiving funding | 12.1 How long did it take IPs to receive funding after UN agency country office signed the project agreement? 12.2 What is the speed of the process? | 12.1 Number of days scored as per benchmarks 12.2. 0=N.A. 1= Slow 2= Acceptable 3= Optimal |
| 22 | Overall quality and timeliness of the RC/HC CERF report | What was the overall quality of the report? How timely was it? | As per (CERF secretariat) benchmarks 0= Not at all 1= Partly 2= Mostly 3= Fully |

Outputs: Humanitarian Actors Able to Respond More Quickly

Output I. Time Critical Life Saving Activities Supported

| # | PAF Indicator | Question | Balanced Scoring/standardized review |
|----|------------------------------|---------------------------------------|--|
| 23 | CERF funds allow agencies to | To what extent do CERF funds leverage | 0= No leverage or negative effect (i.e. Following CERF contributions, the perception is that other donor |

²⁶ Benchmarks can be established by the CERF secretariat. In the current PAF, benchmarks are established to compare target vs. actual number of working days from final submission to grant recipient agency request for funds, but it does not establish a target for fund disbursement.

²⁷ Similar comment as the one above. No benchmarks or targets to measure this indicator has been established in the current CERF PAF.

| | demonstrate capability to leverage donor confidence for future contributions | donor confidence in a given agency for future contributions? | funding goes to other projects, or that future contributions are unrelated to CERF funding) 1= Limited leverage (i.e. Some funding complemented) 2= Partial leverage (i.e. Future contributions are partly related to CERF funding) 3= Significant leverage (i.e. CERF funds significantly leverage donor confidence in a given agency for future contribution) |
|--|--|--|---|
| 24 | Availability of CERF funding recognized by stakeholders (recipient agencies, NGOs, INGOs, Government) as being fundamental to ability to respond to life saving needs and gaps | To what extent is CERF Funding recognized by relevant stakeholders as being fundamental to the ability to respond to life saving needs and gaps? | 0= Not at all (i.e. Relevant stakeholders do not recognize CERF funding as fundamental to the ability to respond to life saving needs and gaps) 1= Somewhat (i.e. Relevant stakeholders recognise in specific cases that CERF funding has been fundamental to the ability to respond to life saving needs and gaps) 2= Mostly (i.e. Most stakeholders almost always recognise that CERF funding has been fundamental to the ability to respond to life saving needs and gaps. However, sometimes CERF funding serves other purposes) 3=Fully (i.e. All stakeholders recognise CERF funding as crucial to the ability to respond to life saving needs and gaps) |
| 25 | Extent to which gaps, both geographic and sectoral, have been identified and addressed through use of CERF funds | To what extent have gaps, both geographic and sectoral, been identified and addressed through the use of CERF funds? | 0= Not at all (i.e. CERF funding does not contribute to identifying and addressing geographical or sectorial gaps) 1= Partly (i.e. CERF funding does not always contribute to identifying and addressing geographical and/or sectorial gaps; geographical and sectorial gaps remain overlooked or other sources of funding contribute more to identifying and addressing these gaps) 2= Mostly (i.e. CERF funding contributes to identifying and addressing geographical and/or sectorial gaps, but CERF has not necessarily been the initial source, or funding is limited) 3= Significantly (i.e. CERF funding |
| Output II- Increased Coordination and HC Leadership | | | |
| # | PAF Indicator | Question | Balanced Scoring/standardized review |
| 26 | CERF contributes to improve coordination and to enhance HC Leadership | To what extent does coordination increase in relation to CERF grants? | 0= Not at all (i.e. CERF is not used to incentivise coordination. No cluster/sectoral meetings or discussions are held on CERF) 1=Partly (i.e. Coordination is partly incentivised through CERF grant discussions in coordination structures) 2= Mostly (i.e. CERF grants' discussions and joint applications increase coordination) 3= Significantly (i.e. CERF grants significantly increase coordination through, discussion, implementation and monitoring and review processes) |
| 27 | Strengthened function of clusters and of inter-cluster forum | To what extent did CERF funding strengthen the function of clusters and ICC? | 0= Not at all (i.e. No cluster system in place) 1= Partly (i.e. CERF funding has, on specific points, strengthened the functioning of clusters; however, this is not generally observed) 2= Mostly (i.e. CERF funding is considered to |

| | | | strengthen the functioning of clusters, however, other factors contribute to the strengthening of the cluster system, or the cluster system in many sectors and ICC remain weak) 3= Significantly (i.e. CERF funding has unquestionably strengthened the functioning of clusters) |
|--|---|--|---|
| 28 | 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) | To what extent does the RC/HC leverage CERF and enhance the complementarity between different sources of funding? | 0= Not at all. (i.e. RC/HC does not leverage CERF or seek to enhance complementarity with other sources of funding) 1= Partly (i.e. RC/HC occasionally/on a limited basis leverages CERF and enhances complementarity with other sources of funding) 2= Mostly (RC/HC leverages CERF and partly enhances complementarity with other sources of funding however more can be done to ensure funds are allocated according to donors' comparative advantages and the CERF's added-value) 3= Significantly (RC/HC leverages CERF and enhances complementarity with other sources of funding, using CERF where it most adds value). |
| Output III- UN Agencies Capacity Strengthened | | | |
| # | PAF Indicator | Question | Balanced Scoring/standardized review |
| 29 | Extent to which CERF helps enhance the capacity of Recipient Agencies to respond to humanitarian crises | To what extent is CERF recognized to enhance the capacity of Recipient Agencies to respond to humanitarian crises? | 0= Not at all (i.e. CERF does not contribute to enhance Agency Capacity) 1= Partly (i.e. CERF somewhat contributes to improve Agencies capacity to respond however no significant effect is perceived or foreseen) 2= Mostly (i.e. CERF is recognized as strengthening agencies' capacity to respond) 3= Significantly (i.e. CERF significantly strengthens Agencies' capacity to respond to humanitarian crisis) |
| Output IV. Timely Response | | | |
| # | PAF Indicator | Question | Balanced Scoring/standardized review |
| 30 | Number of No-Cost Extension (NCE) requests | 28.1 What was the number of NCE requested and approved? 28.2. Level of justification of NCE: Were the reasons given to ask for a NCE acceptable and credible? | 30.1.Number of NCE requested and approved. 30.2 0=Not at all (i.e. Reasons given to justify the NCE were neither acceptable e or credible. 1=Partly (i.e. Some agencies had acceptable and credible reasons to justify the NCE) 2=Mostly (i.e. Most agencies had acceptable and credible reasons to justify the NCE) 3= Always (i.e. All agencies had acceptable and credible reasons to justify the NCE) |
| 31 | Implementation dates as foreseen for time sensitive coverage of needs. | 29.1 How long did it take IPs to start and complete implementation? 12.2 What was the perceived overall timeliness of the process | 29.1 Number of days - scored as per benchmarks. 29.2. 0= Not implemented 1= Important delays 2= Some delays 3= Implemented in a timely manner |
| 32 | CERF funds fill a critical time gap as measured in relation to | To what extent do CERF funds fill a critical time gap as | 0= Not at all (i.e. CERF funding does not fill a critical time gap, funds of other donors arrive earlier than CERF funding) |

| | time that other contributions are received | measured in relation to the time that other contributions are received? | 1= Limited (i.e. CERF funding sometimes fills a critical time gap, however, it is not significant in relation to other contributions received, and critical time gaps remain) 2= Mostly (i.e. CERF funding usually, but not always, fills a critical time gap) 3= Significantly (i.e. CERF funding fills a critical time gap) |
|--|---|---|---|
| 33 | Utilization rates of CERF funding. | What was the level of utilization of CERF funding? | 33.1 Percentage of utilization of CERF Funding after grant approval by crisis, window, agency, etc. 33.3 Qualitative scoring based on benchmarks |
| Outcomes: Humanitarian Performance Strengthened | | | |
| Outcome I. Humanitarian Reform Process Supported | | | |
| # | PAF Indicator | Question | Balanced Scoring/standardized review |
| 34 | Extent to which CERF supports the whole Humanitarian Programme Cycle (HPC) and the collective results that the humanitarian community aims to achieve | To what extent does CERF supports the HPC and the collective results that the humanitarian community aims to achieve? | 0= Not at all (i.e. CERF does not support any of the HPC actions and it is not aligned with the collective results that the humanitarian community aims to achieve) 1= Partly (i.e. CERF supports some of the HPC activities and it is difficult to assess if it supports the collective results that the humanitarian community aims to achieve) 2= Mostly (i.e. CERF supports most of the HPC activities and it is evident that it is aligned with the collective results that the humanitarian community aims to achieve, however more can be done) 3= Significantly (i.e. CERF supports the whole HPC and it is aligned with the collective results that the humanitarian community aims to achieve) |
| 35 | Extent to which CERF has acted as a tool to incentivize overall coordination, empowered RC/HC Leadership and Accountability, including accountability to affected populations | To what extent has CERF acted as a tool to incentivize overall coordination, RC/HC Leadership and Accountability? | 0= Not at all (i.e. CERF has not been a tool to incentivize overall coordination, RC/HC Leadership and Accountability) 1= Partly (i.e. CERF has sometimes been a tool to incentivize overall coordination, RC/HC Leadership and Accountability.) 2= Mostly (i.e. CERF has been a tool to incentivize overall coordination, RC/HC Leadership and Accountability, however it can play a more relevant role) 3= Significantly (i.e. CERF has been a main tool to incentivize overall coordination, RC/HC Leadership and Accountability) |
| Outcome II. Predictability and Reliability Enhanced | | | |
| # | PAF Indicator | Question | Balanced Scoring/standardized review |
| 36 | Response capacity is strengthened given knowledge that CERF is a reliable source of funding | Has response capacity been strengthened given the knowledge that CERF is a reliable source of funding? | 0=Not at all (i.e. CERF is not seen as a reliable source of funding) 1= Partly (i.e. CERF Funding reliability does not necessarily improve response capacity) 2= Mostly (i.e. UN Agencies have sometimes improved capacity to respond given the knowledge that CERF is a reliable source of funding. However, this is not a trend and it is difficult to attribute increases in capacity to CERF's funding) 3= Significantly (i.e. UN Agencies have definitely improved capacity to respond given the knowledge |

| | | | that CERF is a reliable source of funding. Examples are readily found). |
|--------------------------------------|--|--|--|
| 37 | Operations deployed more rapidly due to 'predictability' of quick funding source | To what extent are operations deployed more rapidly due to the 'predictability' of a quick funding source? | 0= N.A. (i.e. CERF is not regarded as a predictable source of funding) 1= Limited (i.e. Operations are not deployed more rapidly due to the predictability of funding) 2= Mostly (i.e. Operations are sometimes deployed more rapidly due to the predictability of funding, however, problems remain in terms of ensuring rapidness) 3= Significantly (i.e. Operations are unquestionably deployed more rapidly due to the predictability of funding, UN agencies feel confident enough to advance funds anticipating CERF grants, and examples of frontloading are easy to find) |
| Outcome III. Quality Response | | | |
| # | PAF Indicator | Question | Balanced Scoring/standardized review |
| 38 | Extent to which coverage of beneficiaries' targets have been covered in relation to the Initial proposal | To what extent were beneficiary targets met? | Comparison of initial targets with actual coverage. |
| 39 | Agencies' CERF related outcomes are reported on the basis of their M/R & E and quality assurance systems, as described in the CERF Application form report | Are Agency CERF related outcomes reported on the basis of their M/R & E and quality assurance systems, as described in the CERF Application form report? | 0= Not incorporated at all (i.e. CERF related outcomes are not reported based on their M/R & E and quality) 1=Occasionally included (i.e. CERF related outcomes are occasionally included on the basis on their M/R & E and quality but not in a systematic way) 2= Regularly included (i.e. CERF related outcomes are regularly included on the basis on their M/R & E and quality) 3= Always included (i.e. CERF related outcomes are always included on the basis on their M/R & E and quality) |
| 40 | The IASC Principals' 2011 Commitments on AAP (CAAP) demonstrably incorporated into project submissions and reporting as per the guidelines <i>(Including agency commitments on cross-cutting issues: gender, protection, diversity and disability are identified and addressed in the proposed response)</i> | To what extent are CAAP incorporated into project submissions and reporting? | 0= Not incorporated (i.e. There is no evidence of incorporation of the IASC Principals' 2011 CAAP in proposed response). These are not identified or addressed. 1=Occasionally included (i.e. Some examples of inclusion of the IASC Principals' 2011 CAAP exist; consideration is limited) 2= Partly included (i.e. IASC Principals' 2011 Commitments on AAP are regularly and systematically included in humanitarian response, however, more can be done) 3= Significantly included (i.e. IASC Principals' 2011 Commitments on AAP are systematically included) |
| 41 | For the CERF, evaluative processes enable continuous improvement and ensure a quality | Do the CERF's evaluative processes enable continuous improvement and ensure a quality | 41.1 Given the importance of the CERF website for transparency and dissemination, tracking of website indicators for hits and downloads of different guidance documents, reviews and evaluations (e.g. number and location). |

| | | | |
|----|---|--|--|
| | response. Evaluations are undertaken regularly and there is a management response to recommendations <i>(Evaluative processes should include evaluations carried out by recipient agencies on their use of CERF funds.</i> | response? | 41.2 0=Not at all (i.e. Evaluative processes are not in place and recipient agencies do not carry out evaluations on their use of CERF funds) 1= Partly (i.e. CERF evaluative processes are partly in place, these however do not necessarily enable continuous improvements and an improved quality response. Evaluations should be taken more regularly, for better coverage of CERF specific issues and management responses should be given more attention) 2= Mostly (i.e. CERF evaluative processes are in place and enable continuous improvements and improved quality response. Evaluations can be undertaken on a more regular basis and management responses be better tracked) 3= Significantly (i.e. i.e. CERF evaluative processes are in place and enable continuous improvements and an improved quality response. Evaluations are undertaken on a regular basis, including evaluations carried out by recipient agencies on their use of funds. Management responses are systematically tracked). |
| 42 | Evaluations undertaken demonstrate CERF's contribution to a more coherent and effective quality response. | Do evaluations undertaken demonstrate CERF's contribution to a more coherent and effective response? | N.A. evaluations are not undertaken 0= Not at all (i.e. Evaluations do not demonstrate that CERF contributes to a more coherent and effective quality response) 1= Partly (i.e. Evaluations demonstrate that CERF's contribution to a more coherent and effective quality response is limited) 2= Mostly (i.e. Evaluations demonstrate that the CERF's mostly contributes to a more coherent and effective quality response) 3= Significantly (i.e Evaluations demonstrate that the CERF significantly contributes to a more coherent and effective quality response). |

The CERF and Common Humanitarian Fund (CHF) monitoring mechanisms

100. Existing CERF guidelines highlight the need for complementary use of the funds. In an effort to boost monitoring and learning and accountability the CERF secretariat has developed guidance that recommends employing CBPF monitoring frameworks to monitor CERF projects. This option is mainly relevant in the case of CHF funding. Utilizing CHF monitoring frameworks to also monitor CERF-funded interventions would provide a good opportunity to gather additional data on CERF related results and enhance accountability. The issue of the cost associated with monitoring has been raised in the five-year evaluation and would still apply to a certain extent when extending CHF frameworks to cover CERF projects. There are however examples of co-funding of projects between CERF and the CHF where monitoring and reporting could be shared and not entail an increase in cost.
101. CHFs are currently present in five countries with on-going, large humanitarian operations in CAR, DRC, South Sudan, Sudan and Somalia. Over time and with the progressive development of CHF monitoring frameworks (e.g. South Sudan and DRC), up to a fourth of CERF funding and 15% of projects could be subjected to monitoring through these shared monitoring frameworks. It should be understood that CHF monitoring frameworks are being piloted and that their capacity is also

limited.

Percentage of CERF Allocation in Countries with CHF Presence

| | Allocation US\$ | Number of Projects |
|--|------------------|--------------------|
| Total CERF 2006-2013 for emergencies with CHF | 706,411,767 | 541 |
| Total CERF 2006-2012 | 2,997,795,982.00 | 3674 |
| % of CERF Allocation in Countries with CHF | 24% | 15% |

VI. Main Conclusions

102. Building on the PAF's solid foundation, the revisions recommended in this report aim to improve the relevance and usefulness of the framework and strengthen performance and accountability across CERF. Monitoring and reporting has been systematically identified as an area of weakness due to the current reliance on often weak self-reporting that is not verifiable and the tendency to focus on available information that covers processes.
103. A PAF needs an associated management information system to compile data and focus on generating information that can complement current reporting efforts. Changes to the PAF require updating other CERF instruments (e.g. CERF application templates, HC/RC and Agency HQ reporting formats) and creating incentives to continuously improve reporting and response. These links between the PAF and other CERF tools need to be further strengthened for coherence and usefulness.
104. Current review mechanisms considered in the PAF can play an important oversight and learning role. Stakeholders find that over time stronger and increased monitoring will need to be introduced. Options for shared monitoring efforts and frameworks (e.g. third party monitoring and CAP monitoring) can be discussed with other fund managers and donors. The ERC and the CERF secretariat should define an appropriate level of progressive monitoring and accountability targets for the CERF (i.e. how much of the CERF funding it aspires to cover through monitoring and other review efforts). The Advisory Group should assist the ERC in this process.
105. The review identified opportunities to strengthen the PAF by:
 - Updating the PAF to better reflect the current context;
 - Enhancing accountability and including Commitments to Accountability to Affected Populations;
 - Widening the scope of the PAF so that it better covers the CERF's objectives and action;
 - Including the partnership dimension and general CERF-related performance of recipient agencies on a general level with UN agencies, and IOM and discussing related lessons at the HQ level, as part of the overall PAF equation;
 - Understanding where the CERF lies in the universe of overall aid financing and incorporating complementarity with other sources of funding, mainly, when relevant, country based pooled funds (e.g. CHF);
 - Reconsidering the usefulness of the PAF and its indicators to make them more purposeful and credible, as well as enhancing their focus;
 - Improving the accessibility of comparable data and the ability to gather data through existing or foreseen processes in a more systematic way;
 - Reviewing the hierarchy, scope and clarity of the logic model;

- Enabling closer integration of CERF planning and priority setting;
 - Creating incentives for mid-term monitoring, reporting and purposeful AAR lessons and learning exercises; and
 - Viewing the performance and accountability process as a cycle wherein baseline data can be identified and against which performance can be measured.
106. The PAF needs to be revised alongside other CERF efforts (e.g. guidance documents on complementarity with other pooled funds) and frequently revised to take stock of changes in the humanitarian landscape.²⁸ The option of receiving feedback from consultants undertaking the country reviews on the potential and need for revising the PAF and CERF tools can be considered. The CERF as a fund is a tool of the Humanitarian Reform process and intends to support but also depends on a functioning system. The CERF secretariat has been flexible and responsive enough to allow for context-appropriate funding.

V. Annexes

²⁸ The PAF for example foresaw including AAP indicators when available and these were endorsed in 2011.

Terms of Reference
REVIEW OF THE PERFORMANCE AND ACCOUNTABILITY FRAMEWORK OF THE
CENTRAL EMERGENCY RESPONSE FUND (CERF)

DRAFT Terms of Reference

Duration of assignment: T.B.D.

Application deadline: -

Tentative contract starting date: As soon as possible

Location: New York City or home-based with travel to NY and other locations as required.

1. Background to the CERF:

The CERF was officially launched in New York on 9 March 2006 by the United Nations Secretary-General. CERF is intended to complement – not to replace – existing humanitarian funding mechanisms. CERF provides seed funds to jump-start critical operations and life-saving programmes not yet funded through other sources.

The grant facility of CERF has two components:

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

2. Performance and Accountability Framework (PAF):

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.

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 two-year evaluation of the CERF recommended that “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 developed the PAF for the CERF to establish a formal framework for defining, managing and monitoring performance and accountability processes related to the operation of the CERF. The PAF was researched and drafted during 2009 and 2010 and, following endorsement by the CERF Advisory Group at its July 2010 meeting, the CERF Secretariat finalized the PAF in August 2010

In addition to compiling a range of performance and accountability tools and mechanisms for the CERF, the PAF also established a logic model around the three mandated objectives of the CERF. The PAF logic model 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.

The PAF has been in use since mid-2010 and subsequently the performance of CERF has been measured against the indicators defined in the CERF logic model. The General Assembly-mandated five-year evaluation of the CERF that was concluded in 2011 was structured according to the indicators of the logic model as are the independent CERF country reviews conducted each year under the PAF.

In preparation for the May 2012 meeting of the CERF Advisory Group, the CERF secretariat drafted a report to take stock and assess the CERF's performance against the various indicators defined in the logic model of the PAF. The report found that that the information gathered from a variety of different sources was by and large coherent and consistent in its conclusions, albeit with nuances and some differences based on context and source. CERF was found to perform well against most indicators outlined in the PAF. At the same time the assessment confirmed what the ERC, the CERF secretariat and the Advisory Group have already identified as areas for improvement or clarification, namely; the quality of narrative reporting to CERF, uneven monitoring and evaluation of CERF funded activities at the country level, CERF's dependency on country level structures resulting in variable involvement of partners in the CERF prioritization processes, and finally the timeliness of sub-granting arrangements between CERF recipient agencies and their implementing partners.

3. Scope and Purpose:

The main purpose of the consultancy will be to assess the PAF taking stock of two years of experience in its use. In that regard, the consultant will interview key stakeholders to gauge their experience with the PAF as well as review relevant literature.

In doing so, the review will examine the extent to which the PAF meets the management requirements of the ERC and CERF secretariat, information needs of donors to the CERF as well as whether the provisions of the PAF can be readily complied with by agencies through their own monitoring and evaluation systems.

The review will also explore options for addressing concerns about monitoring and evaluation expressed in the five-year evaluation of the CERF and country reviews conducted under the PAF. The study will also assess the suitability of the two review mechanisms outlined in the PAF (the country-level review and after action reviews) to contribute to the information needs outlined in the PAF.

The review will consider the following key questions:

- Does the PAF meet the management needs of the ERC and CERF secretariat?
- Is the PAF sufficient in meeting the accountability requirements of donors to the CERF?
- Do recipient agencies consider the PAF appropriate?
 - To what extent can the information and accountability requirements outlined in the PAF be complied with through agencies existing monitoring, evaluation and reporting systems?
- Have the new accountability tools introduced with the PAF proved useful?
 - To what extent are the independent PAF country reviews meeting their objectives as outlined in the PAF itself and review ToRs?
 - Is the scope/ToR of CERF field missions appropriate and have the missions achieved the intended objectives?
 - How can after action reviews be institutionalized as an effective learning mechanisms?
- Is the overall approach to measuring performance and accountability as outlined in the current PAF still accurate?
 - Does the logic model as outlined in the current PAF still capture CERF's workings and added value in a changing humanitarian landscape?
 - What, if any, changes to the logic model would be necessary?
 - Are important performance or accountability aspects currently missing from the PAF?
- Is the PAF logframe (i.e. indicator, responsibility, means of verification and monitoring tools) still up-to-date? What, if any, changes to the logframe are necessary?
 - Based on the experience gained since the PAF was launched in 2010, are the indicators outlined in the PAF the right ones?
 - Will the monitoring and evaluation concerns highlighted in the five-year evaluation and PAF country reviews require a revision of the PAF?
 - Does the work undertaken by the IASC on Accountability to Affected Population since the finalization of the PAF in 2010 warrant a revision of the PAF indicators?

The consultant will prepare a set of recommendations that can guide a revision of the PAF by the CERF secretariat as necessary.

4. Proposed Consultants:

It is anticipated that one consultant will be required to prepare the reviews of the PAF. He/she should have the following skills:

- Substantive knowledge of pooled funding modalities
- Experience with joint planning and evaluation processes, most notably in developing relevant approaches and frameworks,
- Evaluation experience at the strategic and programmatic level,
- Practice of monitoring and evaluation methodologies,
- In-depth knowledge of humanitarian reform, coordination processes and related issues,
- Institutional knowledge of the UN and NGO actors,
- Ability to rapidly analyze and synthesize large quantities of information,
- Excellent communication skills, and i.e. proven excellent presentation and briefings skills,

- Excellent writing and presentation skills in English a must, knowledge of French is an advantage,
- Immediate availability for the period indicated.

5. Deliverables:

The main output will be one concise report in English to the ERC, through the CERF secretariat, of no more than 45 pages (excluding executive summary, table of contents and appendices). The report will review the current PAF and will include, as appropriate, a set of specific, well-targeted and action-oriented recommendations aimed at improving and measuring performance and accountability for CERF-funded operations. The annexes will include a brief description of the methods used and the tests performed and a list of persons interviewed.

6. Methodology:

To achieve this, under the management of the Chief, CERF secretariat, and in coordination with other OCHA sections as necessary, the consultant will:

- Conduct a desk review and consultation with relevant stakeholders (e.g. CERF secretariat staff, recipient agencies, representatives of donors) at the HQ and field levels to review the logical framework for the CERF.
- Review the list of indicators and benchmarks against which the performance of the CERF is currently measured.
- Revise or, as appropriate, develop new performance indicators for measuring CERF effectiveness.
- Review the mapping of roles and responsibilities of key stakeholders and related accountability lines as currently contained in the PAF.

Desk review: An analysis will be conducted on the reports and documents available. These include:

- PAF related documents and reports
- Review reports for the independent country reviews conducted under the PAF
- Annual RC/HC narrative CERF reports,
- CERF country-level reports on context, needs, status of implementation, activities, results and lessons learned,
- CERF Project files at HQ and country-level,
- CERF five-year evaluation and other relevant evaluations and studies.

Semi-structured interviews Possible interlocutors will include: CERF Secretariat staff to get further background and perspective, CERF focal point within UN Agencies and IOM, key CERF donor representatives, CERF Advisory Group members, NGO consortia representatives, relevant OCHA focal points.

List of Persons Interviewed *

| Interviewee | Unit or Position | Organization | Location of Interview | Date of Interview |
|--|---|-----------------------|------------------------------|--------------------------|
| Tasneem Mowjee | Independent Consultant | p2pt | Telecon | 20-Jan-13 |
| Barnaby Willits-Kings | Independent Consultant | Humanitarian Outcomes | Telecon | 25-Jan-13 |
| Jessica Alexander | Consultant PAF | OCHA | Telecon | 29-Jan-13 |
| Glyn Taylor | Independent Consultant country reviews | Humanitarian Outcomes | Telecon | 1-Feb-13 |
| Michael Jensen and David Hartstone | CERF Performance and Monitoring Unit. | CERF | New York | 4-Feb-13 |
| Steve O'Malley | Chief, CERF Secretariat | CERF | New York | 4-Feb-13 |
| Shelley Cheatham | CERF Underfunded Emergencies Window Lead. | CERF | New York | 4-Feb-13 |
| Jean-Marie Garelli | Head of CERF Programme Unit. | CERF | New York | 4-Feb-13 |
| Karen Smith | CERF Rapid Response Window Lead | CERF | New York | 4-Feb-13 |
| Susan LeRoux and Rashad Nelms | CERF Reporting Unit, regarding Advisory Group (AG). | CERF | New York | 4-Feb-13 |
| Sune Gudnitz | OCHA Coordination and Response Division (CRD) Humanitarian Financing focal point. | UNOCHA | New York | 5-Feb-13 |
| Kiki Gebeho | Chief, Africa I Section (Horn and Southern Africa). | UNOCHA | New York | 5-Feb-13 |
| Kate Burns | Gender Advisor and chair of the OCHA Working Group on Accountability to Affected Populations | UNOCHA | New York | 5-Feb-13 |
| Scott Greene and Tijana Bojanic | OCHA Evaluation and Guidance Section | UNOCHA | New York | 5-Feb-13 |
| Shoko Arakaki | Chief, Funding Coordination Section (FCS). | UNOCHA | New York | 6-Feb-13 |
| Andrea De Domenico & Erik Hedblom | Humanitarian Affairs Officer | UNOCHA | New York | 6-Feb-13 |
| Matt Hochbrueckner | OCHA Strategic Planning Unit (SPU). | UNOCHA | New York | 6-Feb-13 |
| Anna Buskens Monika Brühlhart Axel Bisschop | Associate Donor Relations Officer (Inter-Agency) Senior Donor Relations Officer Chief of Humanitarian Financing and Field Support | UNHCR | Telecon | 7-Feb-13 |

| | Section | | | |
|---|---|------------------------------|----------|-----------|
| Nixon Obia Achieng | Humanitarian Programme Specialist | UNFPA | Telecon | 7-Feb-13 |
| Jalpa Ratna Robert McCouch | Senior Evaluation Specialist - Humanitarianç | UNICEF | New York | 7-Feb-13 |
| Susan Le Roux and Mads Frandsen | Reporting and Information Unit | CERF | New York | 8-Feb-13 |
| Marian Yun | CERF Focal Point | WFP | Telecon | 11-Feb-13 |
| Margriet Koeleman | Senior Policy Advisor, Stabilisation and Humanitarian Aid Department | Netherlands | Telecon | 12-Feb-13 |
| Jock Baker | Independent Consultant, 5 Year evaluation | Indevelop | Madrid | 16-Feb-13 |
| Mikael Lindvall | Chair -Advisory Group | Advisory Group / Sweden | Telecon | 20-Mar-13 |
| Caroline Nichols | Senior Manager for Humanitarian Policy at Interaction | Interaction | Telecon | 20-Mar-13 |
| Marie Spaak | Independent Consultant | N.A | Telecon | 22-Mar-13 |
| Zia Choudhury | Consultant/Accountability to Affected Populations | UNOCHA | Telecon | 25-Mar-13 |
| Katleen Maes | Humanitarian and Protection Advisor | Norwegian Refugee Council | Telecon | 25-Mar-13 |
| Vicky Singmin and Stephen Salewicz | Strategic Analysis and Planning Unit | CIDA | Telecon | 5-Apr-13 |
| Mateusz Buczek | Humanitarian Affairs Office | CERF/UNOCHA | Geneva | 8-Apr-13 |
| David Goetghebuer | CAP section/ IASC Monitoring | UNOCHA | Geneva | 8-Apr-13 |
| Jahal de Meritens | Coordinator, Cluster Working Group on Early Recovery | UNDP | Geneva | 8-Apr-13 |
| Cristina del Pueyo | Technical Officer | WHO | Geneva | 9-Apr-13 |
| Sandra Aviles | Senior Liaison Officer in Geneva, FAO | FAO | Geneva | 9-Apr-13 |
| Dominique Burgeon | Director of FAO's Emergency and Rehabilitation Division | FAO | Geneva | 9-Apr-13 |
| Christophe Franzetti | Evaluation Officer | IOM | Geneva | 9-Apr-13 |
| Laura Thompson Carlos Oliver | Deputy Director Executive assistant | IOM | Geneva | 9-Apr-13 |

| | | | | |
|------------------------------|---|------------|---------|-----------|
| Lauren Landis | Director of WFP's office in Geneva | WFP | Telecon | 11-Apr-13 |
| Amy Muedin | Programme Specialist | IOM | Telecon | 15-Apr-13 |
| Barb Wigley | Accountability to Affected Populations | WFP | Telecon | 22-Apr-13 |
| Charlotta Segerstrom | Desk Officer-Donor Focal Point | Sweden MFA | Telecon | 18-Apr-13 |
| Mr. Patrick Jacqueson | Emergency and Rehabilitation Division | FAO | Telecon | 18-Apr-13 |
| Mark Bowden | Former RC/HC Somalia (currently RC/HC in Afghanistan) | RC/HC | Telecon | 18-Apr-13 |

* Does not include Interviews conducted for DRC Country Review

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