

## Proposed In-Country RC/HC CERF Reporting Process

The Resident/Humanitarian Coordinator (RC/HC) is responsible for consolidating and submitting the CERF RC/HC report to the CERF secretariat. However, the preparation of the report should be a collective effort by all relevant stakeholders at country level. The process should not only aim to produce a quality report on the use of CERF funds and the results achieved but also help foster a collective reflection on the CERF process and help establish lessons learned for improving future allocations. The RC/HC is responsible for deciding how to manage the reporting process at the country level but the CERF secretariat would like to propose key steps in the reporting process that can help ensure preparation of high quality RC/HC reports. Based on CERF's experience and informed by feedback from the field it is recommended to structure the in-country process as follows:

### I. Notification – Prior to grant expiration<sup>1</sup>

#### Twelve (Rapid Response) to ten (Underfunded Emergency) weeks prior to grant expiration

- CERF notifies the RC/HC about upcoming expiration of CERF grant package and advises on the reporting requirements, including the report due date and how it will vary in case of no-cost extension (NCE) of one or more projects.
- An in-country focal point for the reporting process is appointed by the RC/HC and communicated to the CERF secretariat.
- Following the notification from CERF, the RC/HC informs recipient agencies about the upcoming end-date for the CERF grants and asks for confirmation that all CERF projects will be implemented by the deadline<sup>2</sup>.
- If one or more projects will not be implemented by the deadline, the RC/HC will inform CERF at the soonest possible and, if relevant, NCE requests are prepared and submitted no later than two weeks prior to grant expiration.

#### Four weeks prior to grant expiration

- The CERF secretariat submits a complete reporting package and guidance to the RC/HC.
- In case of approved NCEs, the CERF secretariat will also clarify to the RC/HC if these will affect the reporting deadlines

#### Four weeks prior to Report due date

- The CERF secretariat sends a final reminder to the in-country reporting focal point on the upcoming due date for the submission of the report.
- The in-country reporting focal point informs the CERF secretariat of any challenge or delay encountered in the process.

<sup>1</sup> In order to establish report-related timeline and deadlines, grant expiration of Rapid Response allocations is set six months after the ERC approval email date. For Underfunded Emergencies, grant expiration dates are 31 December (Round I allocations) and 30 June (Round II allocations).

<sup>2</sup> No-cost-extensions (NCEs) will only be considered in exceptional circumstances and only if the request is submitted a minimum of two weeks prior to the expiry date of the grant.

## II. Process Preparation - Start during last weeks before grant expiration

It is highly recommended that the RC/HC ensures thorough preparations prior to the reporting process that include:

- familiarization with RC/HC reporting guidelines and template;
- preparation of a schedule that: a) includes deadlines for cluster/sector-leads and recipient agencies for their provision of input to be submitted to the RC/HC; and b) accommodates the time necessary for drafting and consolidation of data required by the RC/HCs' offices following cluster/sector-leads' and recipient agencies' submission of input.

## III. After Action Review - Upon expiration of grant

It is expected that the RC/HC reporting process be initiated with an After Action Review (AAR) or similar consultative process. The AAR represents a key step of the country-level reporting process in that it helps identifying key points and strategic issues to be raised in the RC/HC report, and as such provides the foundation for drafting the main parts of the report.

The AAR should be a light and informal exercise that allows for open and frank discussions about achievements and challenges related to the CERF allocation. Through the AAR, the Humanitarian Country Team (HCT) (or similar forum) and key CERF stakeholders have the opportunity to reflect on the overall CERF process, including how the HCT and the broader humanitarian community worked together, what was learned, what was achieved with the grant and what follow-up actions should be taken<sup>3</sup>.

To ensure common ground for the discussions, it is recommended that the AAR meeting begins with a recap of the background for the CERF allocation followed by a short debrief from each recipient agency on the status of CERF grants, the results achieved and any important challenges encountered during implementation. Secondly, to ensure an effective reporting process, it is recommended that the AAR includes a thorough briefing by the RC/HC's office on the RC/HC reporting requirements and division of duties between OCHA/the office of the RC/HC, reporting focal points, recipient agencies and cluster/sector-leads.

## IV. Preparation of Report Inputs - Within 5 weeks after grant expiration

Key input to the report is prepared by relevant actors and submitted to the RC/HC. This includes:

- [OCHA/the Office of the RC/HC](#): Drafting basic elements of the report informed by the outcomes of the AAR ( i.e. mainly sections I, II and III of the reporting template);
- [Recipient Agencies](#): Information on project results (Section VI) including information on sub-grants to implementing partners (Annex 1);
- [Cluster/Sector-Leads](#): Beneficiary estimates (Tables 4 and 5 in section IV).

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<sup>3</sup> CERF AARs at country level have in independent evaluations and reviews been identified as key for ensuring joint lesson learning and mutual accountability for CERF allocations and for enabling quality reporting. Further guidance on AAR's can be found on CERF's website – <http://cerf.un.org>

## **V. Preparation of Zero Draft of Report - Within 7 weeks after grant expiration**

OCHA/the office of the RC/HC consolidates all inputs and circulates a zero draft to the HCT (or similar forum), recipient agencies and cluster/sector-leads for review and comments. Cluster/sector-leads are expected to circulate the draft within the cluster/sector and consolidate relevant comments. Feedback should be provided within two weeks.

## **VI. Reporting Meeting - Within 9-10 weeks after grant expiration**

The RC/HC invites key stakeholders to a meeting to discuss the zero draft CERF report and prepare the remaining elements of the report. The objective of the meeting is to clarify any outstanding issues or missing information and to ensure that the report reflects a common understanding amongst stakeholders. With the draft CERF report as point of departure, the meeting may consist of the following elements:

- based on comments and feedback to the draft report the RC/HC highlights any remaining issues that need clarification and agreement in order to finalise the report;
- short debrief from sector-leads on beneficiary estimates, and if necessary followed by a discussion of any outstanding numbers;
- with reference to the draft report, and in continuation of related discussions during the AAR, a short discussion on the implementation of CERF grants, in particular for projects that significantly deviated from the original implementation plan;
- a common discussion and agreement on CERF results and added value;
- a common discussion on lessons learned and agreement on recommendations for improvements to future CERF processes;
- a discussion on other aspects of the report that need clarification.

## **VII. Final Draft Report Circulated - Within 11 weeks after grant expiration**

The OCHA office/the office of the RC/HC prepares a final draft report based on agreements at the reporting meeting (VI) and circulates it to the HCT (or similar forum), recipient agencies and cluster/sector-leads for final review and comments.

## **VIII. Report Finalisation and Submission - within 12 weeks after grant expiration**

The RC/HC finalises and submits the final report to the CERF secretariat.

## **IX. CERF Review and Publishing**

CERF conducts a review of the submitted CERF report and if necessary seeks additional information from the RC/HC on issues that need clarification. Once the report is finalized it is posted on CERF's website. The final report should be shared by the RC/HC with all relevant stakeholders at country-level.