



EVALUATION QUALITY ASSURANCE SYSTEM

Office Of Evaluation

Measuring Results, Sharing Lessons

WFP'S USE OF POOLED FUNDS FOR HUMANITARIAN PREPAREDNESS AND RESPONSE (2009-2013) A STRATEGIC EVALUATION – FINAL TOR 05 FEBRUARY 2014 TABLE OF CONTENTS

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1. Background

1.1. Introduction

1. Strategic Evaluations focus on strategic and systemic issues of corporate relevance, including new WFP strategic direction and associated policy, operations and activities. They evaluate the quality of the work being done related to the new strategic direction, its results, and seek to explain why and how these results occurred.
2. This evaluation is part of a series of three strategic evaluations¹ addressing the theme of emergency preparedness and response (EPR). This evaluation will analyse the use and benefits of pooled funds (PF) in WFP's preparedness and response, including its work with implementing and coordination partners. The PF included in the evaluation are: the Central Emergency Response Fund (CERF), the Emergency Response Funds (ERF) and the common humanitarian funds (CHF).
3. The Terms of Reference (TOR) were prepared by the WFP Office of Evaluation (OEV) evaluation manager Anne-Claire Luzot, Senior Evaluation Officer, based on a document review and exchanges with internal and external stakeholders.
4. The purpose of these TOR is to provide key information to stakeholders about the proposed evaluation, to guide the evaluation team and specify expectations that the evaluation team should fulfil. The TOR are structured as follows: Chapter 1 provides information on the context; Chapter 2 includes the rationale, objectives, stakeholders and main users of the evaluation; Chapter 3 presents an overview of the various PFs' utilisation in WFP as well as the scope of the evaluation; Chapter 4 deals with the evaluation approach and methodology; and Chapter 5 indicates how the evaluation will be organized.
5. The Annexes include the list of people met, the bibliography, a preliminary list of country selection criteria, the reference groups' membership and other key information.

1.2. Context

6. In 2003, 17 donors endorsed the Principles and Good Practice of Good Humanitarian Donorship. These were drawn up to enhance the coherence and effectiveness of donor action, as well as their accountability to beneficiaries, implementing organisations and domestic constituencies, with regard to funding, co-ordination, follow-up and evaluation².
7. Following this initiative, the humanitarian reform induced, among others, major developments in the humanitarian financing. In an effort to enhance its predictability and reliability, several PFs mechanisms were set up or strengthened over the period. The PFs rely on donors providing un-earmarked contributions to a common source from which allocations are made. While the CERF can cover all countries affected by an emergency, the CHFs and ERFs are country-based PFs that respond to specific humanitarian situations, currently, in 18 countries³.

¹ The other two evaluations are the evaluation of the joint FAO/WFP Global Food Security Cluster and the evaluation of the Preparedness and Response Enhancement Programme.

² For further details see <http://www.goodhumanitarianandonorship.org/gns/home.aspx>

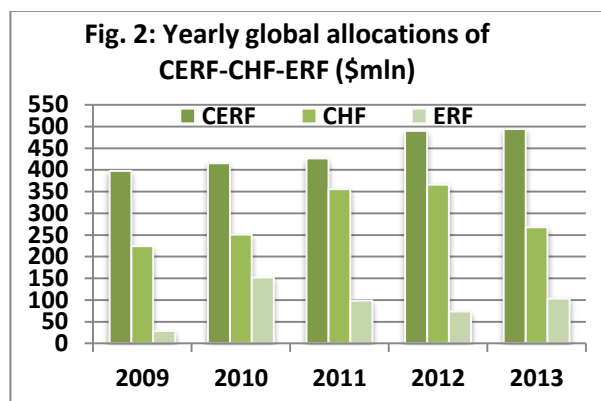
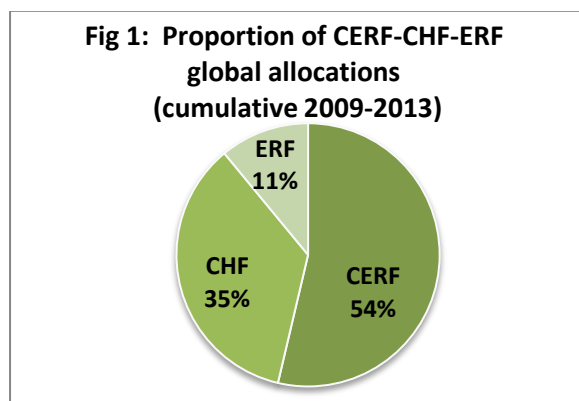
³ For further details on the PF see Annex 5

8. **Pooled Funds Objectives.** The CERF and CHF were both set up as a result of the humanitarian reform agenda, while the ERF exists since 1997. Each PF has its own objectives and characteristics but they also share common aspects as shown in their results frameworks (See table 1 below and for further details see Annex 5). Indeed, all these funds are meant to address critical humanitarian needs in a timely, coordinated and predictable manner. Effective partnership is at the core of all PFs.

Table 1: Key facts about the PFs

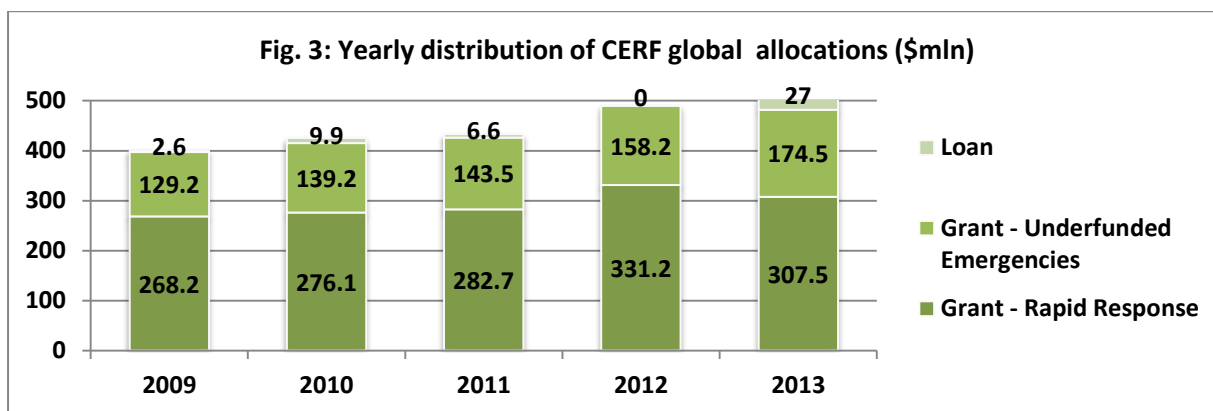
	CERF	CHF	ERF
Established in	2005	2006	1997
Objectives⁴	Promote early action and response to reduce loss of life; enhance response to time critical requirements; and strengthen core elements of humanitarian response in underfunded crises. ⁵	Provide early and predictable funding for their response to critical humanitarian needs.	Provide rapid and flexible funding for unforeseen, sudden-onset humanitarian emergencies.
Management	Centrally managed.	Country based.	Country based.
Main recipients	United Nations (UN) agencies and the International Organisation on Migration (IOM).	UN agencies and the Non-Governmental Organisations (NGOs).	NGOs.

9. **Allocations and Funding.** Globally, the CERF and CHF disburse the largest allocations and both are regularly increasing as shown in Fig. 1 and 2. The CERF can provide funding through loans (minimal amount) and grants. Within the grants, the Rapid Response Window represents about 70% of allocations and the Underfunded Emergencies Window, about 30% (see Fig. 3). Allocations to PFs represent between 5 and 7% of the total yearly humanitarian funding.



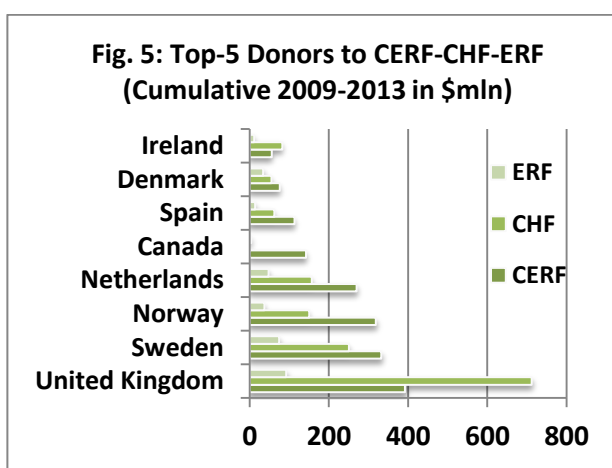
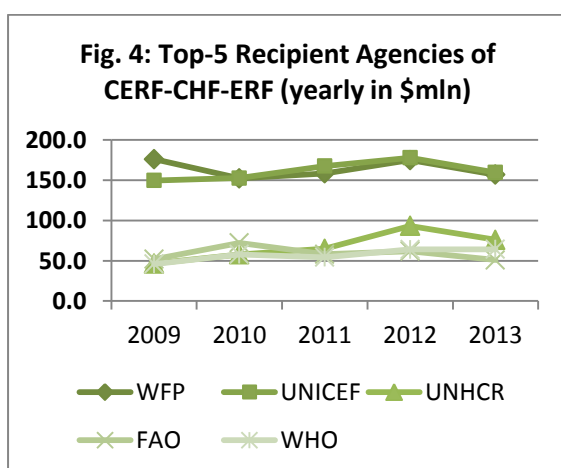
⁴ CERF, CHF and ERF logical frameworks are available in Annex 5.

⁵ It has to be noted that the CERF Performance and accountability framework included in Annex 5 is currently under review.



Sources: OCHA-CERF website (<http://www.unocha.org/cerf/cerf-worldwide/allocations-window>; <http://www.unocha.org/cerf/resources/information-products/annual-reports>).

10. As shown in Fig. 4, WFP has been consistently the largest PF recipient alongside with UNICEF. The main donors to these three PF are the United Kingdom, Sweden, Norway and the Netherlands (Fig. 5).



Source: Based on data from OCHA Financial Tracking Service (<http://fts.unocha.org>)

11. **Roles and Responsibilities.** The CERF is centrally managed by the UN Emergency Relief Coordinator (ERC) supported by the CERF secretariat. Immediately following a disaster, the United Nations Resident Coordinator or Humanitarian Coordinator (RC/HC) can make a CERF application for humanitarian funding for priority, life-saving activities. The CHF⁶ and ERF, being country based, are under the humanitarian coordinator's (HC) authority and managed by the Office for the Coordination of Humanitarian Affairs (OCHA). In these cases, the HC can immediately release available funds upon agreed priorities at the country level. While the CERF is only accessible by UN agencies, the CHF is also open to NGOs and the main ERF recipients are NGO partners.

12. **Pooled Funds Transaction Costs.** A 2009 study⁷, coordinated by UNICEF on behalf of FAO, UNHCR, WFP and UNICEF, defined the transaction costs associated with PFs as "the cumulative cost of adapting to, and integrating, the specific characteristics of the humanitarian PFs, both in terms of time, energy and

⁶ To be noted that the CHF financial management is under the responsibility of the United Nations Development Programme (UNDP) through the Multi-Partner Trust Fund (MPTF)

⁷ D. Salomons, 2009, 'A study of transaction costs associated with humanitarian pooled funds', The Praxis Group LTD.

money spent, and in terms of opportunities missed”. While recognizing the impact of PFs on the work of donors, UN agencies and NGOs, the study identified a number of challenges associated with their transaction costs briefly summarised below:

- “An accelerated decentralisation of resource mobilisation from Headquarters (HQ) to field, increased workload and competency demands on human resources. While traditional resource mobilisation mechanisms are maintained, new management models are created in parallel to deal with the actions required in the countries. This means to develop or enhance Agencies’ capacity to compete for funds at the country level. This also leads to the emergence of two parallel reporting systems to meet both the donors and the PFs’ requirements.
- Shift in accountability from donors to the PF recipients. In pooling resources for humanitarian actions, donors are giving up a large part of their direct oversight role, largely transferring it to the PFs recipients.
- Weakened predictability of funding at individual agency level. While overall annual allocations from humanitarian PFs can be predicted, no agency can actually predict what their share will be.
- Difficulties in balancing a participatory approach with the need to plan strategically. Allocations are very often piecemeal rather than strategic. It places pressure on the cluster leads, thereby testing the limits of democratic and transparent management.
- Irreversible interdependency of the cluster approach and the PF, handicapped by conflicting management assumptions. Collegial and authoritative management styles demanded by the two respective underlying reform concepts are somehow challenging to reconcile”⁸.

13. **Pooled funds global evaluations.** UN OCHA commissioned a global evaluation of each PF over the last few years: the CERF and the CHF in 2011 and the ERF in 2013. These evaluations’ key conclusions and recommendations are informing the TOR. In particular:

- 2011 CERF evaluation⁹: the importance to assess UN agencies’ use of funds, to determine what internal factors, including partnership policies and practices, influence the effectiveness of CERF projects; the timeliness of funds disbursements to implementing partners; and use of internal advance mechanisms to establish interactivity and complementarities between these and the CERF to speed up start-up of response.
- 2011 CHF evaluation¹⁰: the articulation between the various PF within a country, timeliness of funds utilisation and appropriate understanding by the agencies of CHF objectives and procedures.
- 2013 ERF evaluation¹¹: the appropriateness of use versus ERF objectives and the progress made in terms of performance standards development for monitoring purpose.

⁸ Summarized d from D. Salomons, 2009, ‘A study of transaction costs associated with humanitarian pooled funds’, The Praxis Group LTD

⁹ For further details see Channel Research, 2011, ‘5-Year Evaluation of the Central Emergency Response Fund’.

¹⁰ For further details see Channel Research 2011, Evaluation of the Common Humanitarian Fund’.

14. **The Transformative Agenda and the Humanitarian Reform.** The recognition by the ERC in 2009 for a strengthened inter-agency programming cycle, led to an inter-agency agreement on coordinated needs assessment which has been codified and is being rolled out globally. Within the humanitarian programming cycle, all CAPs (now called strategic response plans) are more evidence based and are screened to promote gender equality in programme design. CERF and country-based pooled-fund processes are aligned with needs assessments and priorities set out in CAP and flash appeals. The focus on improved programme cycle management is a priority for the Transformative Agenda (TA) launched by the Inter-Agency Standing Committee (IASC). Initiated in 2011, the TA establishes parameters for improved collective action in humanitarian emergencies, which include empowering country-level leadership strengthening coordination mechanisms, improving the humanitarian programme cycle and becoming more accountable to affected populations. It also defines clear triggers for CERF allocations in the context of Level 3 emergencies.

2. Reasons for the Evaluation

2.1. Rationale

15. As mentioned earlier, the CERF evaluation recommended that the UN agencies “conduct an evaluation of their use of the CERF funds (within the following 18 months) to determine what internal factors, including partnership policies and practices, influence the effectiveness of CERF projects”. Since then, FAO and IOM conducted such evaluations and UNHCR is doing one at the moment.

16. During the 2011 second session of the WFP Executive Board (EB), discussions around the Paper “Efficiency at WFP”, led the EB to urge WFP “to consider evaluating the efficiencies resulting from its use of disbursements from the CERF and other pooled funds”. To address these requests, OEV included in its work-plan the evaluation of WFP’s use of pooled funds (CERF, CHF and ERF) for humanitarian preparedness and response.

17. The evaluation is intended to provide a strategic analysis of the use and benefits of pooled funds in WFP’s emergency preparedness and response (as an operational agency and as a cluster lead), within the context of the good humanitarian donorship and of the transformative agenda. This evaluation will assess the added value of and challenges associated with each PF to WFP’s response to emergency, including its work with implementing and coordination partners, in countries and globally. It will also assess how the PFs are used together with WFP internal financing mechanisms¹².

18. The inclusion of three PFs in the evaluation scope will provide a unique opportunity to analyse their complementarity and coherence at country level from a single agency perspective.

2.2. Objectives

19. All evaluations serve the dual objectives of accountability and learning. As such the evaluation will:

¹¹ For further details see UNIVERSALIA, 2013, ‘The global evaluation of the Emergency Response Fund’.

¹² For further details on these internal mechanisms, see Evaluation Question 3.

- Assess and report on WFP's use of pooled funds for humanitarian preparedness and response; Analyse their potential added value and possible challenges (for instance transaction costs) to the effectiveness and efficiency of WFP's response as an operational agency and cluster lead (accountability); and
- Analyse the internal and external factors affecting the use of these funds, the efficiency gains and the role of partnership; Assess the complementarity, coherence and coordination of all three PF's from a single agency's perspective in so far as overall contribution to enhanced emergency and preparedness response can be adduced (learning).

20. While the initiative for this evaluation came from a request to account for the use of the PFs by WFP, this is also a unique opportunity for WFP to contribute strategically to their relevance and usefulness within the transformative agenda and the good humanitarian donorship, by providing evidence, from a single agency's perspective, of the actual added value of these PFs.

2.3. Stakeholders and Users of the Evaluation

21. It is expected that the evaluation team will undertake a full stakeholder¹³ analysis during the inception phase of the evaluation. Members of various stakeholder groups will also be part of the evaluation reference and advisory groups (for further details see Annex 7). Internal and external stakeholders have initially been identified as follows:

22. **Internal stakeholders.** WFP Management and the Executive Board are the primary audience to the evaluation as recipients of, and donors to the PFs. In WFP, Budget, Finance, Inter-Agency Partnerships and Government Partnerships are key corporate stakeholders alongside the global cluster coordinators (Logistics, Emergency Telecommunications and Food Security) and all the country offices (COs) accessing these PFs. Indeed, the preparation of funding requests, coordination with other partners responding to the emergencies and allocations and implementation are all country based. They will be expected to inform the evaluation throughout its process.

23. **External stakeholders.** At global level OCHA, the CERF secretariat, the MPTF Office and the IASC humanitarian financing task team are key stakeholders considering their roles in the PF management at various levels. Similarly at country level the HC/RC and the partner agencies in the humanitarian response are the key stakeholders. The PF working Group of donor agencies, in particular the United Kingdom, Sweden, Norway and The Netherlands, who are major contributors, will certainly have a keen interest in the evaluation findings as these will be part of their evidence base for their future contributions to and expectations from the PFs. All these external stakeholders will also be key informants to the evaluation and will be expected to contribute their perspective on the PFs and their use by WFP.

24. **Expected users.** The primary expected users are: i) WFP management who will be responsible for taking action, on the basis of the evidence and recommendations provided by the evaluation, to further improve its use of the PF; ii) Donors supporting the PFs, who will be informed in a transparent and credible

¹³ To be noted that considering the subject of the evaluation a gender sensitive stakeholder analysis is not possible.

manner on the results achieved with their support; and iii) WFP Executive Board, who will have the opportunity to review and discuss the evaluation conclusions and recommendations as well as the corresponding Management Response.

25. Another important audience for this evaluation are OCHA, the CERF secretariat, the IASC Humanitarian Financing Task Team, the PF Working Group and the key actors of humanitarian response in countries.

3. Subject of the Evaluation

3.1 Pooled Funds in WFP ¹⁴

26. WFP is an active player in the humanitarian reform and is active in the IASC Humanitarian Financing Task Team, whose main objective is to review potential of the current funding architecture to respond to the evolving nature of humanitarian action.

27. The CERF is the seventh¹⁵ largest contributor to WFP and WFP is the largest recipient agency, representing between 25% and 30% of CERF yearly funding allocations as shown in Table 2. WFP also receives funding from the CHF in all countries (between 3 and 5) where there is a CHF active. Funding from ERF is much more limited.

Table 2: Summary of pooled funding since 2010¹⁶

	2010	2011	2012	2013
CERF				
Total CERF funding to UN agencies	415,223,792	426,157,020	477,342,407	493,916,966
Total CERF funding to WFP	120,284,949	126,152,447	136,788,354	139,556,192
Proportion of WFP in total CERF funding to UN agencies	29.0%	29.6%	28.7%	28.3%
Number of WFP recipient countries of CERF	32	38	40	40
CHF				
Total CHF funding to UN agencies	139,655,842	158,006,293	169,533,964	117,799,732
Total CHF funding to WFP	20,223,674	26,043,866	32,907,068	11,161,096
Proportion of WFP in total CHF funding to UN agencies	14.5%	16.5%	19.4%	9.5%
Number of WFP recipient countries of CHF	3	4	5	5
ERF				
Total ERF funding to UN agencies	64,745,140	21,743,274	22,174,148	31,934,859
Total ERF funding to WFP	11,809,950	6,311,805	6,388,743	6,239,327
Proportion of WFP in total ERF funding to UN agencies	18.2%	29.0%	28.8%	19.5%
Number of WFP recipient countries of ERF	0	2	3	4

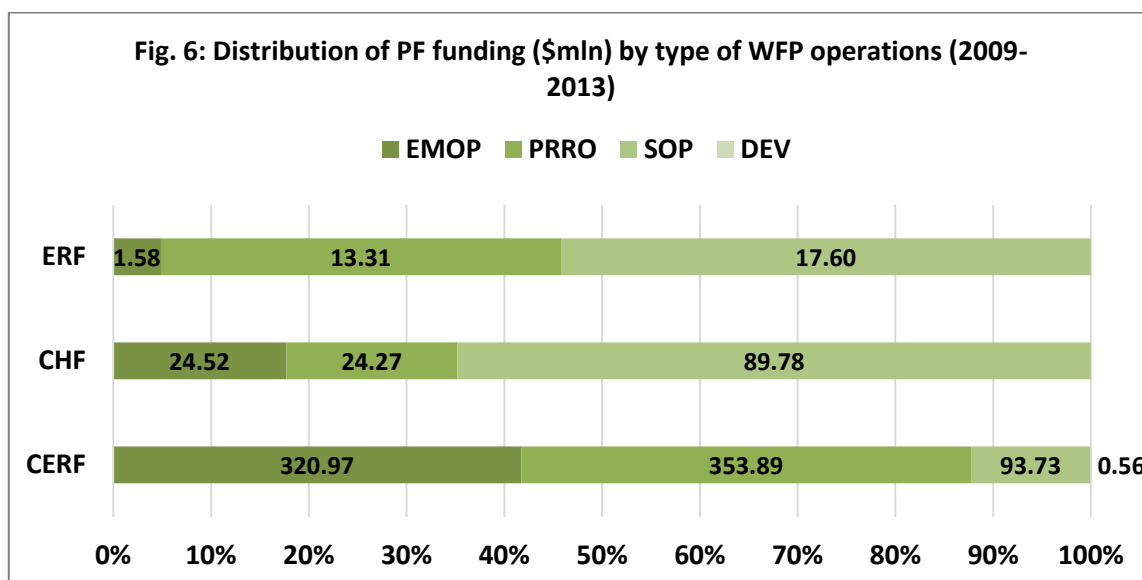
Sources: Financial Tracking Service (FTS) - OCHA [<http://fts.unocha.org>] and WFP Donor Contribution & Forecast Stats (weekly data retrieved on 19 January 2014)

¹⁴ For further data tables see Annex 4.

¹⁵ WFP Government Partnership Division data.

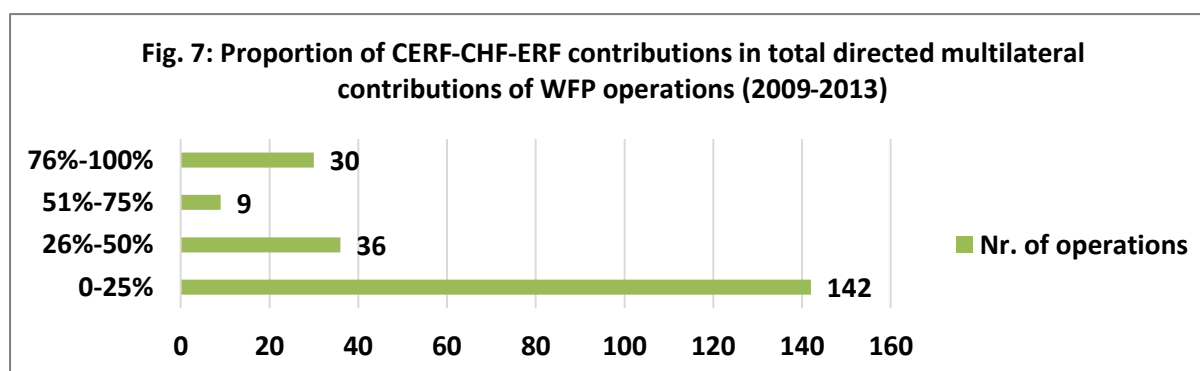
¹⁶ No data for 2009 as there was no disaggregation available for the CHF and the ERF

28. WFP considers that the PFs “have helped WFP to harmonize responses, to increase sectoral coverage of needs and to improve field level coordination. They mainly support food operations, but also WFP’s leadership of the logistics and emergency telecommunication cluster”¹⁷. The majority of funding logically supports Emergency Operations (EMOP), Protracted Relief and Rehabilitation Operations (PRRO) and the Special Operations (SOP).



Source: WFP Donor Contribution & Forecast Stats as of 19 January 2014

29. On average, the CERF contributions represent 30% of the total directed multilateral contributions of the corresponding WFP operations; the CHF contributions represent 15% and the ERF, 7%. Fig. 7 below shows that this proportion can vary greatly from operation to operation. For instance, out of a total of 217 operations which have received PFs contribution over the period 2009-2013, 142 of them received PFs contributions representing between 0 and 25% of the total directed multilateral contributions. Only 30 operations benefitted from PFs contribution amounting between 76 and 100% of the total directed multilateral contributions.



Source: WFP Donor Contribution & Forecast Stats as of 19 January 2014

¹⁷ WFP, EB.1/2010/5-C, ‘WFP’s Role in Humanitarian Assistance System’.

30. WFP as a cluster (co)lead agency is also accessing some PFs to ensure provision of cluster services¹⁸ through some of its special operations.

3.2. Scope of the Evaluation

31. The evaluation will assess the extent to which WFP's use of the PF is aligned with their respective strategic intent (as described in their logical / results frameworks available in Annex 5). In particular, the assessment of timeliness, predictability, quality and partnerships will be prioritized. It will also take note of the progress made in overall implementation of these PFs following the recent global evaluations results and recommendations.

32. To the extent possible, the evaluation will distinguish between PF received for its own operations and those accessed to ensure provision of cluster activities.

33. This evaluation covers the period 2009 to 2013 and the 62 countries which received CERF, CHF and ERF funding over the period. Though PFs were established prior to 2009, a 5-year evaluation period is considered adequate to identify relevant trends and key issues to meaningfully inform the evaluation. If, in some countries selected for the case studies, there are other active humanitarian PFs (that WFP is accessing or not) these will also be included in the analysis¹⁹, to understand the added value for WFP to use them or not.

34. The evaluation will take into consideration the findings, conclusions and recommendations of the various global PFs evaluations which took place during the period under consideration. It will also take into consideration the on-going CHF global evaluation initiated by OCHA to maximise complementarity between both exercises and to avoid duplication of efforts²⁰. The evaluation will also liaise with the UN High Commission for Refugees (HCR) who is also planning an evaluation of its use of the CERF. After consultation with UNHCR and OCHA evaluation colleagues, it was decided to keep each other informed of our respective progress. However, the scopes and approaches being different, there were no efficiency gains to conduct joint evaluations²¹.

35. Considering the low average contributions of the PF to specific operations, the evaluation will not assess the overall effectiveness of PF supported WFP operations (as recommended by the 2011 five-year evaluation of CERF). It is indeed impossible to establish any causal link between operation results and PF contributions. For the 11.5% of the operations where the PF contributions represented 100% of the directed multilateral funding, the evaluation will assess the rationale for this, and ensure that the countries selected for the desk review will include some of these operations.

¹⁸ WFP is jointly conducting with FAO a joint evaluation of the Food Security Clusters. It will assess the ability of the cluster to leverage funds for the cluster activities and to some extent the ability to leverage funds for cluster partners,

¹⁹ Information on humanitarian PFs active in countries is available here:

<http://mptf.undp.org/factsheet/agency/002065>

²⁰ Consultations with OCHA Office of Evaluation led to the conclusion that, considering the specific expectations of each evaluation, they could not be undertaken jointly. It has nevertheless been agreed that both Offices of Evaluations would keep each other informed of the progress and time their respective missions in countries in such a way that they would happen at the same time in order to reduce demands on the time of the stakeholders in countries whenever relevant.

²¹ In order to ensure complementarity and avoid duplication, WFP is including both OCHA and UNHCR evaluation colleagues in the external advisory group of this evaluation (see Annex 7).

36. The nature of this evaluation does provide very limited scope to examine gender dimension. It will however be given due attention whenever possible within specific evaluation questions.

4. Evaluation Approach, Questions and Methodology

4.1 Evaluation Approach

37. It is proposed to undertake a theory-based evaluation using the relevant elements of each PF logical/result frameworks to guide the evaluation design, approach and key evaluation questions. The methodological approach and associated tools will, to the extent possible, assess a series of cases (country-level humanitarian financing) on a range of key results and performance measures. With the overall limitations to evaluability described below, the evaluation will use a mix of methods to answer the evaluation questions.

4.2 Evaluability Assessment

***Evaluability** is the extent to which an activity or a programme can be evaluated in a reliable and credible fashion. It necessitates that a policy, intervention or operation provides: (a) a clear description of the situation before or at its start that can be used as reference point to determine or measure change; (b) a clear statement of intended outcomes, i.e. the desired changes that should be observable once implementation is under way or completed; (c) a set of clearly defined and appropriate indicators with which to measure changes; and (d) a defined timeframe by which outcomes should be occurring.*

38. A preliminary evaluability assessment informs the TOR. At the inception stage, the evaluation team will have to review this preliminary assessment and critically assess data availability and quality to inform its choice of evaluation methods to address each of the evaluation questions developed in section 4.3.

39. This evaluation, for the reasons explained earlier, will not attempt to undertake a systematic analysis of the results achieved within the operations supported by PF. Furthermore, as WFP was receiving contributions from the PFs prior to 2009, it will not be possible to compare the situation before and after the evaluation period. Finally, 81% of WFP countries received PFs contributions over the proposed evaluation period. The remaining countries have not been facing major emergencies over the evaluation period and therefore cannot serve as counterfactual to analyse effectiveness of PFs' use by WFP. Compensating somewhat the absence of counterfactual, the recent global PFs evaluations and key studies will serve as benchmarks for this evaluation.

40. The evaluation will focus on the potential added value for WFP to access these PFs and on some of their key expected outcomes identified in their respective result frameworks such as timeliness, predictability and partnerships. The evaluation will also assess the complementarity, coherence and coordination between the PFs from a single agency perspective. Each of these outcomes will be assessed through specific indicators to be defined during the inception phase in the evaluation matrix to be developed around each of the evaluation questions in section 4.3. The analysis of

efficiency and, in particular of transaction costs, will primarily be qualitative following the definition developed in the 2009 study referred to in section 1.2.

41. The evaluation will have to rely on both quantitative and qualitative data. While some are available globally, others are mainly found at country level. For instance, a large number of these financial data are available globally in the Financial Tracking Service maintained by OCHA and the MPTF gateway²². Within WFP, the Standard Project Reports, the weekly Contributions database and WINGS II will also be very important sources of information. On the other hand, the narrative of emergency reporting and other reporting/monitoring documents are usually only available at country level. Considering the large amount of countries covered by the evaluation, it is neither possible within the time and budget available nor necessary to address meaningfully the evaluation questions developed below, to undertake a comprehensive analysis of all the PFs contributions in the 62 countries. Instead, it is proposed to undertake a three-stage approach as developed in section 4.4. Both qualitative and quantitative data will be used at these three stages to address each evaluation question.

4.3 Evaluation Questions

Important to note: while as formulated the evaluation questions do not differentiate between the PFs, it will be important that when addressing the evaluation questions, the evaluation team does make, whenever relevant, the distinction between the three PFs covered by the evaluation.

42. Overarching question: Is there an added value for WFP to access the PFs both as an operational agency and as a cluster lead? If yes, what does it consist of? If not, why?

1. Do the PF add value to WFP's effective humanitarian preparedness and response, especially in the context of objectives of the current humanitarian reforms under the transformative agenda?
2. Do they add value compared to other sources of funding?
3. Do they add value compared to WFP advance financing mechanisms such as the Immediate Response Account (IRA)²³, Forward Purchase Facility (FPF)²⁴ and the Working Capital Financing (WCF)²⁵?

For each of these questions the evaluation will assess if there is or not a value added for WFP and explain what it is, if there is some added value, and in cases some PFs do not add value, why is it the case.

²² <http://fts.unocha.org/> and <http://mptf.undp.org/factsheet/agency/002065>

²³ The IRA is a multilateral fund facility that enables WFP to provide immediate food aid, as well as fund logistical and other non-food costs, in an emergency situation. It is a revolving account to which donors make cash contributions (Extract from WFP Programme Guidance Manual)

²⁴ The Forward Purchase Facility (FPF) enables WFP to: i) improve the on-time delivery of food by reducing supply lead-times; ii) Procure commodities at the best time or season; and iii) Shorten the response time (during emergency response). It is a mechanism to procure commodities based on the aggregated global demand in advance of a confirmed contribution. FPF stocks are considered global WFP inventory and may only be released to a project against a confirmed contribution or an advance financing grant. (FPF intranet page)

²⁵ It is an advance funding mechanism authorizing spending against forecasted contributions rather than confirmed contributions, to maximize, on-time availability of food aid (Directive OD/2005/005).

43. What is the contribution of the PF to quality WFP interventions and to enable WFP as cluster lead agency?

- Appropriateness:
 4. Is WFP's use of PFs strategically relevant to meet the requirements of a humanitarian response (including setting up and running cluster activities) in line with WFP's mandate and the objectives set-up by the three PFs under consideration?
 5. Are the PF allocations to WFP aligned with WFP's needs and requirements? Are some PFs better suited to some WFP programme categories or types of activities?
- Timeliness :
 6. How timely are the requests, decisions and confirmations (to be compared also with other funding sources) compared with the expressed/prioritised humanitarian needs?
 7. What is the ability of WFP to spend the funds received in a timely manner (requests for grant extension and return of funds)?
 8. What is the timeliness (and volumes, to the extent possible) of PFs released by WFP to cooperating partners?
 9. Are the PFs contributions predictable? How do they influence the access to internal advance financing mechanisms and therefore increase the timeliness of response?
- Utilisation:
 10. What are the PF mainly used for? (Types of interventions supported (WFP programme categories – cluster activities), types of activities within interventions, gender dimension, consistency between plans and reporting, etc.).

44. How do the PFs partnership and coordination mechanisms contribute to WFP's capacity to prepare and respond to emergencies effectively and efficiently?

11. From WFP's perspective, what is the level of coherence with/complementarity between various PFs within a country? (More than 60 WFP countries receive the CERF contributions. Among them, 5 countries are recipients from the CHF and the CERF and another 4 from the ERF and the CERF). When active at the same time in a country, do they contribute to improved effectiveness and efficiency of WFP's response?
12. To what extent do the existing partnerships and coordination mechanisms (Humanitarian / Resident Coordinator, clusters other participating agencies, implementing partners, country versus global levels) affect WFP's access (competition, complementarity) to and use of PFs (focus on WFP operations, on clusters activities, participation to larger response)?

45. What are the main contributing/explanatory factors affecting WFP's effective and efficient use of the PFs?

13. Do specific WFP policies, standard procedures and fundraising guidelines facilitate a systematic, harmonized and relevant use of PFs? Do they guide adequately the discussion with the UN or Humanitarian Country Team, thereby facilitating WFP access to the PFs?

14. How do the PFs transactions' costs²⁶ (especially in terms of reporting requirements, coordination, negotiations, administrative and financial monitoring, earmarking, etc.) compare with those of other sources of funding?
15. What are the roles of WFP's COs, RBs and HQ in submitting PFs proposals? Is a transparent and effective communication and coordination mechanisms in place? Including (programme and finance) reporting?
16. From a WFP perspective, how transparent is the decision-making process to allocate contributions to various agencies?
17. What is the performance of the existing WFP and other stakeholders' M&E systems to track results?

46. Closing question: lessons learned

18. What are the main lessons learned for WFP, in terms of accessing and using the PFs, to prepare and respond effectively and efficiently to emergencies?
19. From a single agency perspective, what are the main lessons to be shared with OCHA at global and country level in terms of the PFs coordination, complementarity and coherence?
20. What are the main lessons learned to further strengthen the current humanitarian reform initiative and the good humanitarian donorship?

4.4 Methodology

47. **Participation.** The approach followed from the onset of the evaluation will be as participative as possible. Stakeholders will participate to the evaluation through discussions, consultations and comments on draft documents. Some stakeholders will also reply to the recommendations made by the evaluation in the Management Response to be presented to the Executive Board together with the evaluation report. In gathering data and views from stakeholders, the evaluation team will ensure that it considers a cross-section of stakeholders with potentially diverse views to ensure that the evaluation findings are as impartial/representative as possible.

48. **Methodology.** The evaluation team at the inception stage will develop the most rigorous and transparent methodology to address the evaluation questions in a way that serves the dual objectives of accountability and learning. The methodology should:

- Be geared towards addressing the evaluation questions presented in section 4.3.
- Take into account the limitations to evaluability pointed out in 4.2 as well as budget and time constraints.

49. The methodology should demonstrate impartiality and lack of biases by relying on a cross-section of information sources (from various stakeholder groups) and using a mixed methodological approach (e.g. quantitative, qualitative and participatory) to ensure triangulation of information through a variety of means.

50. **Benchmarking.** It will be used to locate WFP's efforts within those of the wider humanitarian response, focusing on the identification of commonalities and differences and on the extraction of learning and good practice.

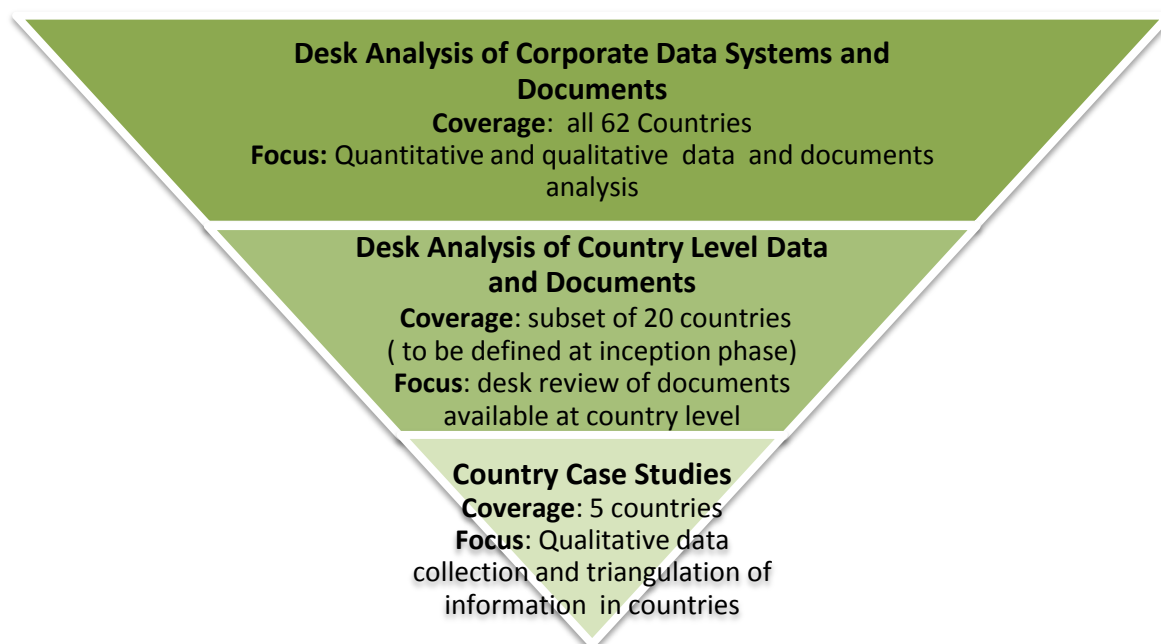
²⁶ For further details on transaction costs please refer to Para 12.

51. **Data collection and analysis.** Considering the nature and diversified locations of the data required to address the evaluation questions, it is proposed to follow a 3-stage approach as described below.

Stage 1 – Desk analysis of corporate data systems and documents: The evaluation will start with a review of the relevant literature related to humanitarian financing, the PFs (studies, evaluations, etc.) as well as the recent evolution as translated in the transformative agenda. This will inform the benchmarking exercise.

Some quantitative data collection and analysis will cover the 62 countries which benefited from PFs during the period 2009 to 2013. The FTS, the MPTF gateway and the Standard Project Reports do provide a lot of data covering the 62 countries. The data available in these corporate systems will inform the volume and weight of various PFs compared with other contributions, the type of operations supported, the ability of WFP to use the funds within their respective windows of expenditures, the use of PFs as collaterals to internal advance mechanisms, etc. While this level of analysis will provide some insights to the PFs timeliness and use it will need to be completed by more in depth analysis taking place in stages 2 and 3.

Fig. 8: 3-stage approach data collection and analysis



Stage 2 – Desk analysis of country level data and documents: the evaluation team will, at the inception phase, on the basis of transparent selection criteria, identify a subset of countries (about 20) for a more in-depth analysis of relevant country level documents and data such as the Consolidated Appeal Process (CAPs), the monitoring and evaluation reports, the contributions' timelines, etc.

The country selection criteria should include the following: geographic regions, types of PF, funding windows within the CERF, size of contributions, proportion of contribution to size of operations, types of operations supported, COs size, etc. The 62 countries are mapped against these criteria in Annex 6 allowing for

the pre-identification of a certain number of countries. Countries²⁷ having a CHF or an ERF will all be included in the desk study as well as those with a level 3 system-wide emergency²⁸. The final selection will be confirmed during the inception phase.

The evaluation team will proceed to a systematic analysis of documents and data sets for each of the 20 selected countries. This analysis will complement the evidence generated at stage 1 and will provide additional evidence to inform evaluation questions which could not be covered at that stage. It will start informing, in particular, the questions related to the appropriateness and use of PFs, those related to the partnership and coordination mechanisms as well as the questions focusing on the transaction costs.

Stage 3 - Country case studies: Finally, the evaluation team will proceed to an in-depth analysis of the added value of the PFs in 4 to 5 of the countries which were included in stage 2. The evaluation will undertake 4 to 5 country visits to inform these country case studies. Countries visited will be purposefully selected on the basis of findings and information gaps identified during stages 1 and 2. The final list of countries to be visited will be finalised jointly with OEV ensuring that diversity of experience is well captured. One of the countries selected should have a CHF²⁹. The country visits will focus on meeting key stakeholders to the emergency responses: WFP colleagues, main humanitarian actors (humanitarian coordinators, UN agencies, Clusters, donors, NGOs, etc.). The main purpose of these visits will be to triangulate the evidence generated through stages 1 and 2 and to fill any information gaps and will mainly focus on the evaluation questions related to partnership and coordination mechanisms and linkages with transformative agenda and on those related to the factors contributing to effective use of the PFs.

52. The number of countries to be covered in stages 2 and 3 takes into account the overall number of countries having benefited from the PFs as well as the evaluation's time and budget constraints.

53. The evaluation team will also proceed to key informant phone interviews and explore the possibility of undertaking an on-line survey.

54. Primary data collection will be guided by potential gaps in the information available to address the evaluation questions, triangulation purposes as well as by budget and time limitations. Data, whenever relevant and possible, will be disaggregated by sex.

4.5 Quality Assurance

55. WFP's evaluation quality assurance system (EQAS) is based on the UNEG norms and standards and good practice of the international evaluation community (ALNAP and DAC). It sets out processes with in-built steps for quality assurance and templates for evaluation products. It also includes quality assurance of evaluation reports (inception, full and summary reports) based on standardised checklists. EQAS will be systematically applied during the course of this evaluation and relevant

²⁷ Central African Republic, Colombia, Democratic Republic of Congo, Ethiopia, Haiti, Iraq, Republic of South Sudan, Somalia, Sudan, Syria, Yemen and Zimbabwe.

²⁸ The Philippines (Central African Republic, South Sudan and Syria already included)

²⁹ As mentioned earlier all efforts will be made to have this mission timed with one of the country visits planned within the CHF global evaluation happening at the same time.

documents will be provided to the evaluation team. The evaluation manager will conduct the first level quality assurance, while the OEV Director will conduct the second level review. This quality assurance process does not interfere with the views and independence of the evaluation team, but ensures the report provides the necessary evidence in a clear and convincing way and draws its conclusions on that basis.

56. The evaluation team will be required to ensure the quality of data (validity, consistency and accuracy) throughout the analytical and reporting phases. The team will be backstopped by their firm under Long Term Agreement with OEV which is responsible for ensuring high quality evaluation process and deliverables as detailed in EQAS.

57. To enhance the quality and credibility of this evaluation, an external advisory group has been created. It is composed of relevant external stakeholders from relevant UN agencies as well as of key donors to the PFs being evaluated. This external advisory group will comment on the draft TOR, inception and evaluation reports.

5. Organization of the Evaluation

5.1. Phases and Deliverables

Preparation

58. These TOR are prepared following the EQAS templates. The final version of the TOR takes into consideration results of consultations with key internal and external stakeholders (for further details see section 5.3)

⇒ **Final TOR**

Inception phase

59. The inception phase will start with a first review of key documents prior to the inception mission to HQ. The mission to HQ will be completed by a joint inception mission by the Team Leader (TL) and Evaluation Manager (EM). The inception mission should take place in a country having benefited from both the CERF and the CHF. During the inception phase the evaluation team will assess the various logical / results frameworks and their underlying Theory of Change. The inception report will close this phase. Its draft will be quality assured by OEV and shared with the Internal Reference Group (IRG) and other internal stakeholders for their feedback.

⇒ **Inception Report (IR)** to be prepared according to EQAS template, it focuses on methodological and planning elements. It will present, taking into account the various logical / results frameworks and the evaluation questions, a detailed evaluation framework and the evaluation matrix. The evaluation team will also strengthen the stakeholder analysis and include an assessment of the reliability of the data. It will identify the countries to be included in the desk review with corresponding criteria and justification used for their selection³⁰. It will also identify the potential countries to be visited (including

³⁰ A primary list of selection criteria is available in Annex 6.

rationale for the choice). Data collection tools and approaches to be used for the desk review and field visits will be clearly identified and related to the evaluation matrix.

Documents and data review

60. This phase will cover stage 1 and 2 of the proposed data collection approach described earlier.

Country visits

61. The evaluation team will conduct one-week missions in 4 to 5 countries as part of the stage 3 of the data collection and analysis approach presented earlier. They will start with a joint pilot mission and then will continue separately in each country. The pilot mission will be the opportunity to ensure that team members do apply the methodology in the same way. Each mission will start with a briefing and end with a debriefing with the CO and key stakeholders on the key findings. The EM and members of the internal reference group may connect via teleconference. The country missions will include meetings with key partners. Considering the nature of the evaluation there are no expectations of field work or direct engagement with the final beneficiaries.

⇒ **Aide memoire** of key findings to be prepared at the end of each country mission to be used to support the debriefing with the stakeholders.

Reporting and communicating

62. This phase is dedicated to the in-depth analysis of the results of the data and documents analysis and of the data collected through the field work. The results of this analysis will be presented in the Evaluation Report (ER).

63. This phase will include a workshop with the Internal Reference Group and other key internal stakeholders. This will be the opportunity for the stakeholders to have an exchange around the main findings, conclusions and preliminary recommendations presented by the evaluation team. It will take place once these stakeholders will have seen a first draft of the Evaluation Report.

64. Draft 1 Evaluation Report will be cleared by OEV/D before being circulated with internal stakeholders. Draft 1.1 of the Evaluation Report will be circulated to the EAG. Draft 2 of the ER and draft 1 of the Summary Evaluation Report (SER) will be cleared by OEV/Dir before being shared with the Executive Management Group (EMG). The OEV/Dir does the final approval of both the ER and the SER following final revisions of both documents by the evaluation team

⇒ **Evaluation Report** will be prepared according to the EQAS template; it will provide an assessment of the results according to the evaluation questions identified in section 4.3. It will include conclusions based on the evidence generated in the findings and draw actionable recommendations.

⇒ **Summary Evaluation Report** will be based on the executive summary of the evaluation report and will follow the relevant EQAS template.

65. *To be noted: Submission of revised versions of any of the deliverables by the evaluation team will be accompanied by a feedback on each comment provided. This feedback will succinctly summarize if and how comments were addressed and if they were not it will justify why.*

Follow up for EB 1/ 2015

66. This will mainly include the summary evaluation report and the finalisation of the Management Response to the evaluation recommendations, initiated as soon as the recommendations become available.

Table3: Timeline summary of the key evaluation milestones³¹

Main Phases	Timeline	Tasks and Deliverables
1. Preparatory	Nov 2013 – Jan 2014	<ul style="list-style-type: none"> Last draft and Final TOR following consultations with various stakeholders as described in 5.3 Evaluation Team and/or firm selection & contract.
2. Inception	Feb – April 2014	<ul style="list-style-type: none"> Briefing at HQ Inception Mission Inception report.
3. Documents and data review	May 2014	<ul style="list-style-type: none"> Review corporate documents and databases Conduct analysis of country level data for a subset of countries
4. Country visits	May - June 2014	<ul style="list-style-type: none"> Pilot mission Evaluation missions and data collection Exit debriefing after each mission and after completion of field work Analysis
5. Reporting / communication	July - Nov 2014	<ul style="list-style-type: none"> Report Drafting Comments Process Workshops with internal stakeholders Final evaluation report
6. EB follow up For EB.1 /2015		<ul style="list-style-type: none"> Summary Evaluation Report editing/Evaluation Report formatting Management Response and EB Preparation

5.2. Evaluation Team

67. To ensure the independence of the evaluation and the credibility of the findings, the evaluation will be conducted by a team of external consultants identified through a transparent selection process. The team will include about 3 members with an appropriate balance of expertise in evaluation methodologies and relevant technical skills as detailed below.

68. The Team Leader will report to the Evaluation Manager. S/he will have strong evaluation experience in international development. S/he will be knowledgeable about Emergency Response, CAPs, the CERF and other PFs and their functioning in countries.

69. His/her primary responsibility will be: setting out the methodology and approach; guiding and managing the team during each phase of the evaluation process; consolidating and quality assuring team members' contribution to the evaluation deliverables; representing the evaluation team in meetings with stakeholders and delivering the reports aligned to EQAS.

70. Team members report to the team leader. They should collectively have strong expertise in: emergency response; humanitarian financing; economic (efficiency) and

³¹ Detailed timeline available in Annex 1.

financial analysis; and ability to process large amount of qualitative and quantitative data.

71. Team members should have good interpersonal skills, ability to work effectively as part of a team and good analytical and writing skills. The report will be written in English.

72. Members of the team will act impartially and respect the code of conduct of the profession notably the 2005 UNEG norms and Standards and the 2007 UNEG ethical guidelines.

5.3. Roles and Responsibilities

73. This evaluation is managed by OEV. Anne-Claire Luzot, Senior Evaluation Officer, has been appointed as evaluation manager. The Evaluation manager has not worked on issues associated with the subject of the evaluation in the past. S/he is responsible for drafting the TOR; selecting and contracting the evaluation team; preparing and managing the budget; setting up the review group; organizing the team briefing in HQ; assisting in the preparation of the field missions; conducting the first level quality assurance of the evaluation products and consolidating comments from stakeholders on the various evaluation products. S/he will also be the main interlocutor between the evaluation team, represented by the team leader, and WFP counterparts to ensure a smooth implementation process.

74. Two key stakeholders groups have been constituted for the purpose of this evaluation³².

- Internal Reference Group (IRG): composed of key stakeholders in WFP, they will be the first line of consultations on all draft documents (TOR, IR and ER).
- External Advisory Group (AEG): composed of key stakeholders to the PFs from other UN agencies and from the donors, they will be consulted on the TOR and the ER.

75. WFP stakeholders at CO, RB and HQ levels are expected to provide information necessary to the evaluation; be available to the evaluation team to discuss the programme, its performance and results; facilitate the evaluation team's contacts with stakeholders for country visits; set up meetings and field visits, organise for interpretation if required and provide logistic support during the fieldwork. A detailed consultation schedule will be presented by the evaluation team in the Inception Report.

76. The WFP Performance Management and Monitoring Division (RMP) will be responsible for coordinating the Management Response to the evaluation and concerned stakeholders will be required to provide inputs.

77. The COs selected for country visits will also be responsible to set up meetings, assist in the identification of sites to visit, provide administrative support, facilitate logistics of the field work and identify a translator if required. To ensure the independence of the evaluation, WFP staff will not be part of the evaluation team or participate in meetings where their presence could bias the responses of the stakeholders.

³² See Annex 7 for membership of each group.

5.4. Communication

78. A communication plan will be developed during the inception phase and articulated around the following elements:

79. **Briefs.** To facilitate communication about the evaluation process, the evaluation manager will prepare briefs on the TOR and inception report to be shared with relevant stakeholders for information prior to visits or interviews.

80. **Briefings and debriefings.** These will be organised all along the evaluation process especially at the inception stage as well as at the start and end of each country visit.

81. **Workshop.** In order to elicit feedback on the findings and exchanges around the conclusions emerging from the data analysis a first workshop will be organised with the Internal Reference Group and the External Advisory Group.

82. **Dissemination of the findings.** As mentioned earlier, a SER and an evaluation brief will be prepared by the evaluation manager to enhance the dissemination of the findings. The ER, SER, the Management Response and the evaluation brief will be public and posted on the WFP external website (www.wfp.org/evaluation).

5.5. Budget

83. The evaluation will be financed from OEV's Programme Support and Administrative budget. Based on the team composition presented in section 5.2, the total cost of the evaluation is US\$ 265,552, excluding OEV's costs.

6. Annexes

Annex 1: Detailed Timeline

Pooled Funds Evaluation timeline 31/01/2014

Phases	Responsibility	Deadline	Nr of weeks
Phase 1 - Preparation			
Draft 0 TOR shared with OEV/D	EM	22/11/2013	1
Feedback OEV/D	OEV/D	29/11/2013	1
Draft 1 TOR shared with IRG	EM	06/12/2013	1
Comments from IRG	Stakeholders	20/12/2013	2
Draft 2 TOR shared with External Advisory Group (EAG)	EM	10/01/2014	2
Comments from external stakeholders	Stakeholders	24/01/2014	2
Draft 3 TOR sent to OEV/D for clearance	EM	31/01/2014	1
Final TOR approved by OEV/D	OEV/D	06/02/2014	1
Final TOR Shared	EM	07/02/2014	0
Contracting evaluation team/firm	EM	07/02/2014	in //
Phase 2 - Inception			
Team preparation prior to HQ briefing	Team	21/02/2014	1
HQ briefing (WFP Rome)	EM & Team	25-27 Feb	1
Work on data and methodology	Team	03-07 March	1
Inception Mission - country to be defined	EM + TL	10-14 March	1
Submit draft 0 Inception Report (IR) to OEV	TL	28/03/2014	2
Comments on draft 0	EM	04/04/2014	1
Submit draft 1 Inception Report (IR) to OEV	TL	11/04/2014	1
Comments on draft 1 from IRG and EAG + consultation with OEV/D	Stakeholders+O EV/D	25/04/2014	2
Submit draft 2 Inception Report (IR) to OEV	TL	02/05/2014	1
Review of draft 2 + consultation with OEV/D	EM+OEV/D	09/05/2014	2
Final IR shared with IRG and AEG	EM	09/05/2014	0
Phase 3 - Document and data review			
Secondary data collection and desk analysis	Team	May	4 weeks
Phase 4 - Fieldwork			
Pilot field mission	Team	12-16 May	1
Field visits RB and COs	Team	End May- June	3
Exit debrief for each visit	TL	ongoing	
Final debriefings after all missions in HQ	EM&TL	25/06/2013	0.5
Phase 5 - Reporting and Communication			
Submit draft 0 Evaluation Report (ER) to OEV	TL	11/07/2014	2.5
Comments on draft 0	EM	17/07/2014	1
Submit draft 0.1 ER to OEV	TL	25/07/2014	1

OEV/D clearance of draft for comments	OEV/D	01/08/2014	1
Comments on draft 1 ER from IRG	Stakeholders	22/08/2014	2
Workshop	Stakeholders+te am+EM	2-4 Sept	0.5
Submit draft 1.1 to OEV	TL	12/09/2014	1
Sharing draft 1.1 ER to EAG	EM	19/09/2014	1
Comments draft 1.1. ER from EAG	Stakeholders	27/09/2014	1
Submit draft 1.2 ER and draft 0 Summary Evaluation Report (SER) to OEV	TL	03/10/2014	1
Review draft 1.2 ER and draft 0 SER	EM	10/10/2014	1
OEV/D clearance to send the draft 1 Summary Evaluation Report (SER) and Draft 2 ER to EMG	OEV/D	17/10/2014	1
Comments on SER from EMG	EM	24/10/2014	1
Submit draft 2.1 ER (with the revised SER) to OEV	TL	31/10/2014	1
Final approval by OEV/D	OEV/D	07/11/2014	1

Phase 5 - Executive Board (EB) and follow-up

Submit SER/recommendations to RMP for management response	EM	03/10/2014
Submit SER to ERBT for editing and translation	EM	07/11/2014
Tail end actions, OEV websites posting, EB Round Table Etc.	EM	
Presentation of Summary Evaluation Report to the EB	D/OEV	EB1/2015
Presentation of management response to the EB	D/RMP	EB1/2015

Annex 2: List of people met

Name	Title	Organization
Manoj Juneja	Assistant Executive Director, Resource Management	WFP
David Kaatrud	Director of Emergencies	WFP
Denise Brown	Regional Director OMD	WFP
Laurent Bukera	Chief, Project Budget & Programming Service	WFP
Calum Gardner	Chief, Organizational Budgeting Service	WFP
Gilles Cimetiere	Logistics Officer	WFP
Michael Hemling	Budget Officer, Organizational Budgeting Service	WFP
Gordana Jerger	Deputy Director, Interagency Partnerships Division	WFP
Marie-Lyne Joseph	Donor Relations Officer, Government Partnerships Division	WFP
Martin Kristensson	IT Officer	WFP
David Matern	Senior Donor Relations Officer Government Partnerships Division	WFP
Irving Prado	Head of Alite (augmented Logistics Intervention Team for Emergencies)	WFP
Otto Reichner	Chief, Financial Systems and Processes Support Branch	WFP
Maria Sfarra	Programme Officer, Operations Management Department	WFP
Anthony Tyrrell	Chief, Contributions & Project, Accounts Branch	WFP
Denis Vidal	Chief Programming Officer, Project Budget and Programming Service	WFP
Thomas Yanga	Director, Interagency Partnerships Division	WFP
Marian Ward	Sr Regional Programme Advisor OMN	WFP
Shoko Arakaki	Chief, Funding Coordination Section	OCHA
Tijana Bojanic	Humanitarian Evaluation Officer	OCHA
Juan Chaves-Gonzalez	Humanitarian Affairs Officer, Funding Coordination Section	OCHA
Andrea De Domenico	Humanitarian Affairs Officer, Funding Coordination Section	OCHA
Scott Green	Chief, Evaluation and Studies Section	OCHA
David Hartstone	Humanitarian Affairs Officer, Performance and Monitoring Unit - CERF	OCHA
Yulca Hasegawa	Head of Programme - CERF	OCHA
Michael Jensen	Head, Performance and Monitoring Unit - CERF	OCHA
Henriette Keijzers	Deputy Executive Coordinator, Multi-Partner Trust Fund Office	UNDP

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Annex 4: Key data related to the various Pooled Funds

Table 1. Proportion of CERF-CHF-ERF allocations between 2009 and 2013 (\$mln)

	2009	2010	2011	2012	2013
CERF	397.4	415.2	426.2	489.5	493.9
CHF	223.6	250.7	355.3	365.8	267.4
ERF	28.6	151.3	98.6	72.9	103.0

Source: OCHA-CERF website (<http://www.unocha.org/cerf/>) and data from OCHA Financial Tracking Service (<http://fts.unocha.org/>)

Table 2. Yearly distribution of CERF allocations (\$mln) 2009-2013

	2009	2010	2011	2012	2013
Grant - Rapid Response	268.2	276.1	282.7	331.2	307.5
Grant - Underfunded Emergencies	129.2	139.2	143.5	158.2	174.5
Loan	2.6	9.9	6.6	0	27 ³³
Total	400	425.2	432.8	489.4	509

Source: OCHA-CERF website (<http://www.unocha.org/cerf/cerf-worldwide/allocations-window;>
<http://www.unocha.org/cerf/resources/information-products/annual-reports>)

Table 3. Top-5 Recipient Agencies of CERF-CHF-ERF (\$mln) 2009-2013

	2009	2010	2011	2012	2013
WFP	176.3	152.3	158.5	175.1	157.0
UNICEF	149.7	152.7	167.7	178.0	159.6
UNHCR	46.5	57.9	64.9	93.4	76.1
FAO	52.0	72.3	58.1	61.8	50.9
WHO	46.1	57.9	54.4	64.1	64.2

Source: OCHA Financial Tracking Service (<http://fts.unocha.org>)

Table 4. Top-5 Donors to CERF-CHF-ERF (\$mln) 2009-2013

	CERF	CHF	ERF
United Kingdom	392.4	712.1	92.2
Sweden	332.0	250.4	74.0
Norway	318.4	150.0	36.8
Netherlands	269.7	157.0	47.7
Canada	141.9	0.0	3.9
Denmark	75.9	54.7	34.3
Ireland	55.9	82.2	10.9

Source: OCHA Financial Tracking Service (<http://fts.unocha.org>)

Table 5. Distribution of PF funding (\$mln) by type of operations 2009-2013

	CERF	CHF	ERF	Total
EMOP	320.97	24.52	1.58	347.07
PRRO	353.89	24.27	13.31	391.46
SOP	93.73	89.78	17.60	201.12
DEV	0.56	0.00	0.00	0.56
Total	769.14	138.58	32.49	940.20

Source: WFP Donor Contribution & Forecast Stats as of 19 January 2014

³³ Data from CERF Quarterly Update of Sept 2013, which states “the ERC also approved a loan request of \$27 million from the World Food Programme (WFP) to further address humanitarian needs in Syria and the region”

Annex 5: CERF – CHF and ERF at a glance

	CERF	CHF	ERF
Year of establishment	2005	2006	1997
Objectives	<ul style="list-style-type: none"> - 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. 	<ul style="list-style-type: none"> - Early & predictable country-based funding - Mainly protracted crises, but also emergency reserve 	<ul style="list-style-type: none"> - Rapid and flexible country-based funding - Unforeseen, sudden-onset humanitarian emergencies - Complementary to CERF and CHF, fill critical gaps and avoid duplication - Known also as Humanitarian Response Funds
Eligible Organizations	<ul style="list-style-type: none"> - Eligible recipients: UN humanitarian agencies and IOM. - NGOs can receive funds as implementing partners (through UN agencies) 	<ul style="list-style-type: none"> - Eligible recipients: NGOs, UN agencies, IOM, Red Cross/Red Crescent 	<ul style="list-style-type: none"> - Eligible recipients: NGOs, UN agencies, IOM, Red Cross/Red Crescent. Main recipients: NGOs
Contributions	<ul style="list-style-type: none"> - Voluntary contributions from governments and the private sector - Contributions managed by UN secretariat 	<ul style="list-style-type: none"> - Voluntary contributions of UN Member States mainly - Contributions managed by UNDP-MPTF 	<ul style="list-style-type: none"> - Voluntary contributions of UN Member States mainly - Contributions managed by OCHA
Fund size	A 30 \$mln loan element plus an annual fundraising target for the grant element of 450 \$mln	\$50-120 mln per year per country	Less than US\$10 million per year per country
Grant size	Generally less than \$1 mln	Generally larger than ERFs	Generally small- to medium-size grants (less than \$500,000)
Management structure	Under-Secretary-General for Humanitarian Affairs and ERC who manages the CERF on behalf of the UN Secretary-General.	<ul style="list-style-type: none"> - Under HC's authority - OCHA: day to day management - UNDP: financial administration (except for Somalia) 	<ul style="list-style-type: none"> - Under HC's authority - OCHA: day to day management plus financial administration
Link to Consolidated Appeal Process (CAP)	Complementary to CAP funding.	Exclusively established to support emergencies in countries where there is a CAP, and to provide core funding to projects within the appeal	Usually meet unforeseen needs not included in the CAP. Exceptionally ERFs may provide funding to critical gaps in the CAP
Allocation process	<u>Grant facility</u> <ul style="list-style-type: none"> - \$450 million target, depending on voluntary contributions received. - Established in 2006 by UN General 	Two allocation modalities: <ul style="list-style-type: none"> - Standard allocation - Emergency reserve Usually, two standard-allocation rounds per	When needs emerge, partners submit funding proposals to OCHA. The HC makes the final allocation decision, supported by a Technical Review Board

Assembly.

- Allows ERC to ensure coverage of life-saving programmes when funds are not available from other sources.
- Used to allocate funds to UN operational agencies to address critical humanitarian needs based on priorities established under the leadership of the RC/HC in the field.
- Each applicant must justify the need for funds, taking into consideration other available resources. If a donor pledge is forthcoming, the loan facility should be used.

Two grant mechanisms:

- Rapid response – for life-saving humanitarian activities during the initial days and weeks of a sudden-onset crisis or deterioration of an existing crisis
- Underfunded emergencies - in two rounds yearly (emergencies that do not attract sufficient funding for life-saving activities)

Loan facility

- \$30 million available
- Established in 1991 as the Central Emergency Revolving Fund. Now managed as part of the upgraded CERF
- Used to make loans to UN agencies for emergency programmes based on indications that donor funding is forthcoming
- Loans must be reimbursed within 1 year
- Primarily used as a cash-flow mechanism allowing UN agencies to access funds rapidly while they wait for donor pledges to be transferred

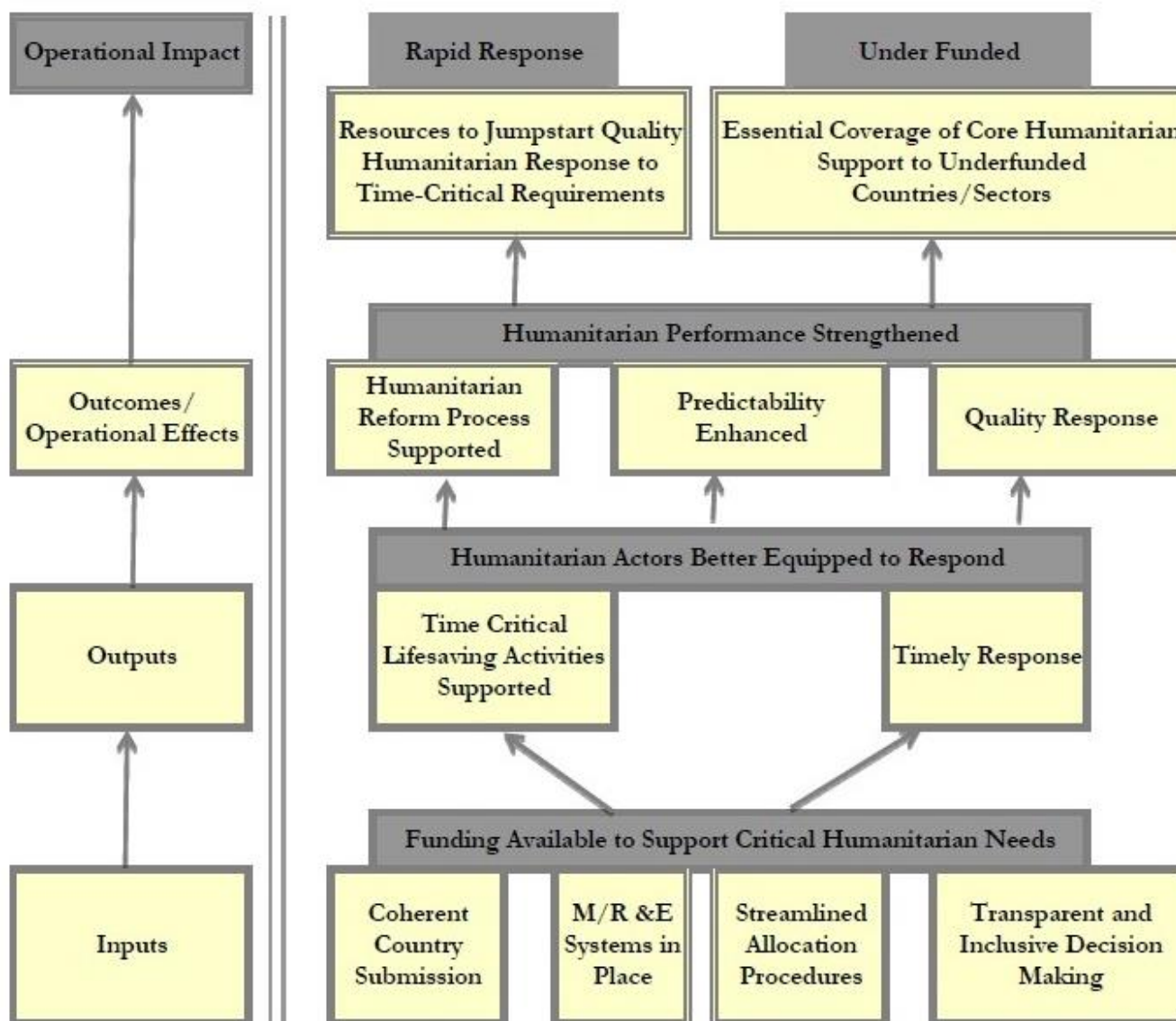
year are undertaken, allocating the bulk of funds.

Inter-relations

CHF/ERF and CERF intending to complement each other. In countries with a CHF/ERF, CERF uses established consultation and review processes to align with funding priorities identified in-country.

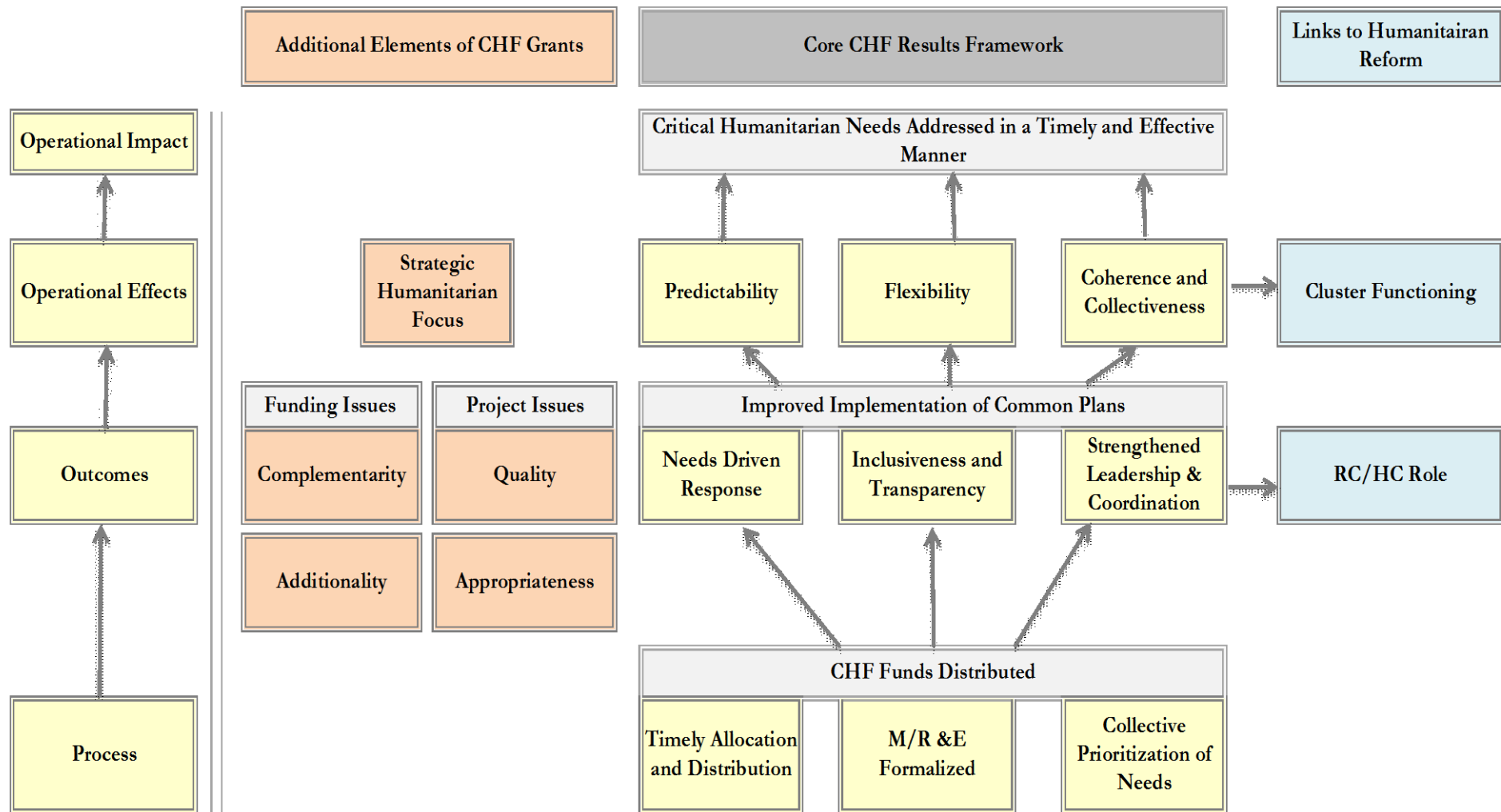
Source: OCHA [Country-Based Humanitarian Pooled Funds at a Glance; CERF Facts 2012; Performance and Accountability Framework (PAF) for the Central Emergency Response Fund]

Diagram 1. Logic Model for the Central Emergency Response Fund



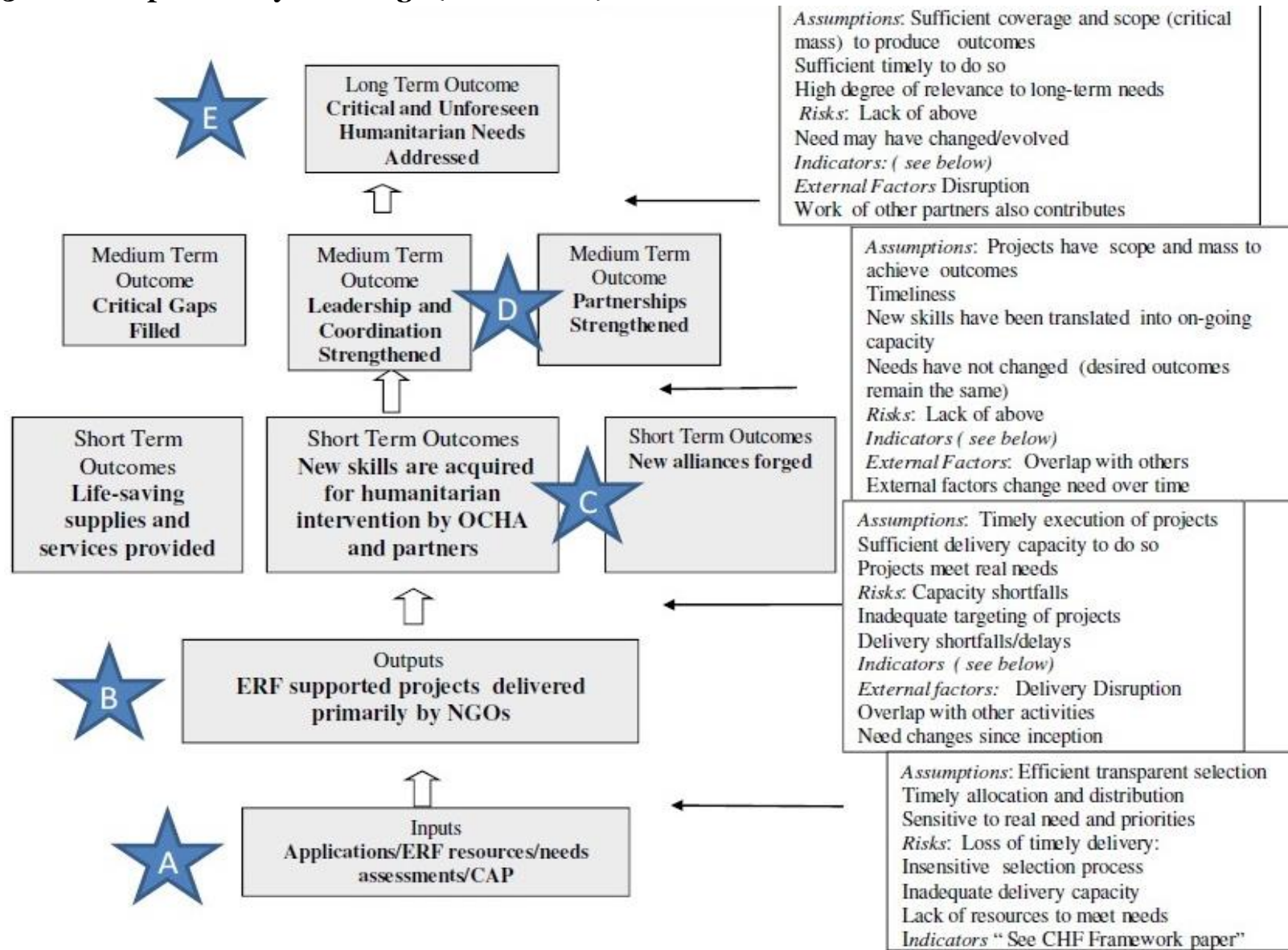
Source: CERF secretariat, 2010, *Performance and Accountability Framework (PAF) for the Central Emergency Response Fund*.

Diagram 2. Results Hierarchy for CHF



Source: Alexander, J., 2009, *Common Humanitarian Fund Evaluation Framework*.

Diagram 3. ERF Simple Theory of Change (Provisional)



Source: Thompson, D., 2013, *The Global Evaluation of Emergency Response Funds (ERFs) – Final Report*.

Annex 7: Key stakeholder groups membership

Internal Reference Group	
Denise Brown	Regional Director OMD
Laurent Bukera	Chief, Project Budget and Programming Service
Calum Gardner	Chief, Organizational Budgeting Service
Gordana Jerger	Deputy Director, Interagency Partnership Division
Marie-Lyne Joseph	Donor Relation Officer, Government Partnership Division
David Kaatrud	Director Emergencies
David Matern	Senior Donor Relation Officer, Government Partnership Division
Otto Reichner	Chief, Financial Systems and Processes Support Branch
Anthony Tyrrell	Chief, Contributions and Project, Accounts Branch
Robert Van Der Zee	Chief Finance and Treasury
Denis Vidal	Chief Programming Officer, Project Budget and Programming Service
Darlene Tymo	Director Geneva Liaison Office
Anne Callanan	Sr Programme Officer - Emergency Food Security Cluster
Gilles Cimetiere	Logistics Officer - Logistics Global Cluster
Irving Prado	Head of Alite (augmented Logistics Intervention Team for Emergencies)
Martin Kristensson	IT officer - Emergency Telecommunication Global Cluster
Delphine Dechaux	Reporting Officer, Ethiopia
Koffi Akakpo	VAM Officer, Democratic Republic of Congo

External Advisory Group	
Juan Chaves-Gonzalez	OCHA - Humanitarian Affairs Officer, Funding Coordination Section
Andrea De Domenico	OCHA - Humanitarian Affairs Officer, Funding Coordination Section
Scott Green	OCHA – Chief Evaluation and Studies Section
Lisa Doughten	OCHA – CERF secretariat, Chief
Michael Jensen	OCHA - CERF secretariat, Head of Performance and Monitoring Unit
Guido Ambroso	HCR – Office of Evaluation
Henriette Keijzers	UNDP - Deputy Executive Coordinator, Multi-Partner Trust Fund Office
The United Kingdom	Abigail Perry, Humanitarian Advisor - DFID
Norway	Torgeir Fyhri, Senior Advisor, Humanitarian Affairs Ministry Of Foreign Affairs
Sweden	Delegation in Rome (tbc)
The Netherlands	Martijn Adelaar, Alternate Permanent Representative - Rome

Acronyms

CAP	Consolidated Appeal Process
CERF	Central Emergency Response Fund
CHF	Common Humanitarian Fund
CO	Country Office
DEV	Development Operation
EAG	External Advisory Group
EB	Executive Board
EM	Evaluation Manager
EMG	Executive Management Group
EMOP	Emergency Operation
EPR	Emergency Preparedness and Response
ER	Evaluation Report
ERC	Emergency Relief Coordinator
ERF	Emergency Response Fund
FPF	Food Purchase Facility
HC	Humanitarian Coordinator
HCR	High Commission for Refugees
HQ	Head Quarter
IASC	Inter-Agency Standing Committee
IOM	International Organisation on Migration
IR	Inception Report
IRA	Immediate Response Account
IRG	Internal Reference Group
M&E	Monitoring and Evaluation
MPTF	Multi-Partner Trust Fund
MTE	Mid-Term Evaluation
NGO	Non-Governmental Organisation
OCHA	Office for the Coordination of Humanitarian Affairs
OEV	Office of Evaluation
PF	Pooled Fund
PRRO	Protracted Relief and Rehabilitation Operation
RB	Regional Bureau
RC	Resident Coordinator
RMP	Performance Management and Monitoring Division
SOP	Special Operation
TA	Transformative Agenda
TL	Team Leader
TOR	Terms Of Reference
UN	United Nations
UNDP	United Nation Development Fund
WCF	Working Capital Financing
WFP	World Food Programme