

Final version, 18 December 2018

## Summary

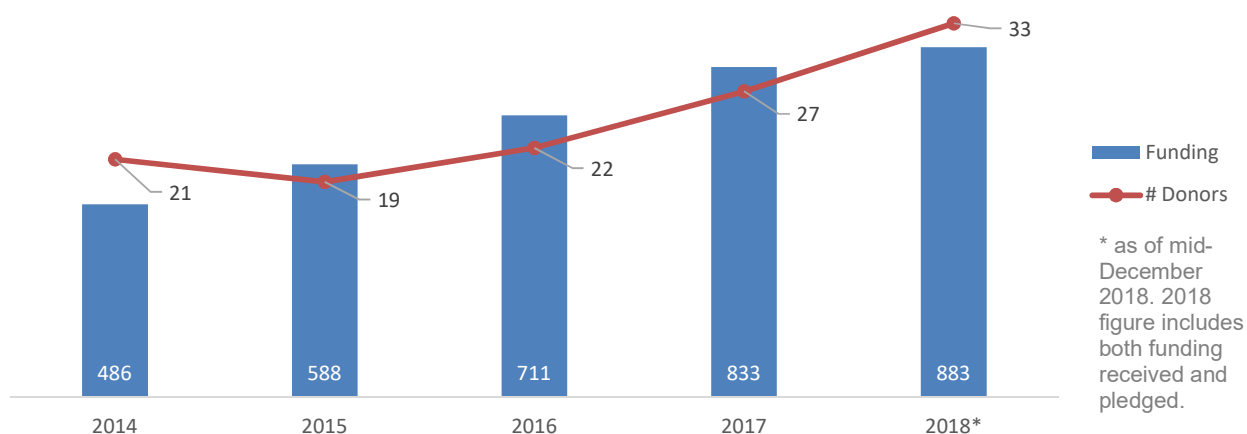
1. OCHA is commissioning an evaluation of the currently 18 country-based pooled funds (CBPFs) it manages, covering the years 2015-2018. This will be the first evaluation of CBPFs since they were standardized globally in a 2015 Policy Instruction and Operational Handbook. The evaluation will examine the results of humanitarian action supported by CBPFs, and will assess the standard evaluation criteria of relevance, effectiveness, efficiency, connectedness and impact. The evaluation methodology will include a document review, data analysis, in-person and remote interviews, a survey, and 2-week visits to each of five countries with a CBPF, including project visits. The deliverables will include an inception report, short country reports for each of the visited pooled fund, and a global synthesis report.

2. The purpose of this evaluation is to draw lessons on what has worked well and to identify challenges to the effective functioning of CBPFs in order to provide recommendations on how to continue to strengthen the CBPF as a funding mechanism in support of timely, coordinated and principled humanitarian response for affected people. The evaluation will also contribute to greater transparency and accountability for all stakeholders involved. Areas of focus include results and outcomes, governance and management, gender and other cross-cutting issues, complementarity with other funding mechanisms and key CBPFs' contributions to the Grand Bargain and Agenda for Humanity.

## Background

3. Country-based pooled funds (CBPFs) have become a central feature of the humanitarian financing landscape and have contributed to strengthening humanitarian coordination. CBPFs allow multiple donors to pool their contributions into unearmarked funds, which support humanitarian efforts at the country level. Thus, partners in crisis-affected countries can deliver timely, coordinated and principled assistance. CBPFs are managed by OCHA country offices on behalf of the Humanitarian Coordinator and in close collaboration with the humanitarian community, and are supported by OCHA headquarters. They constitute an expanding resource base and a vital input into Humanitarian Response Plans. OCHA currently manages a portfolio of 18 CBPFs (see map),<sup>1</sup> and in 2017

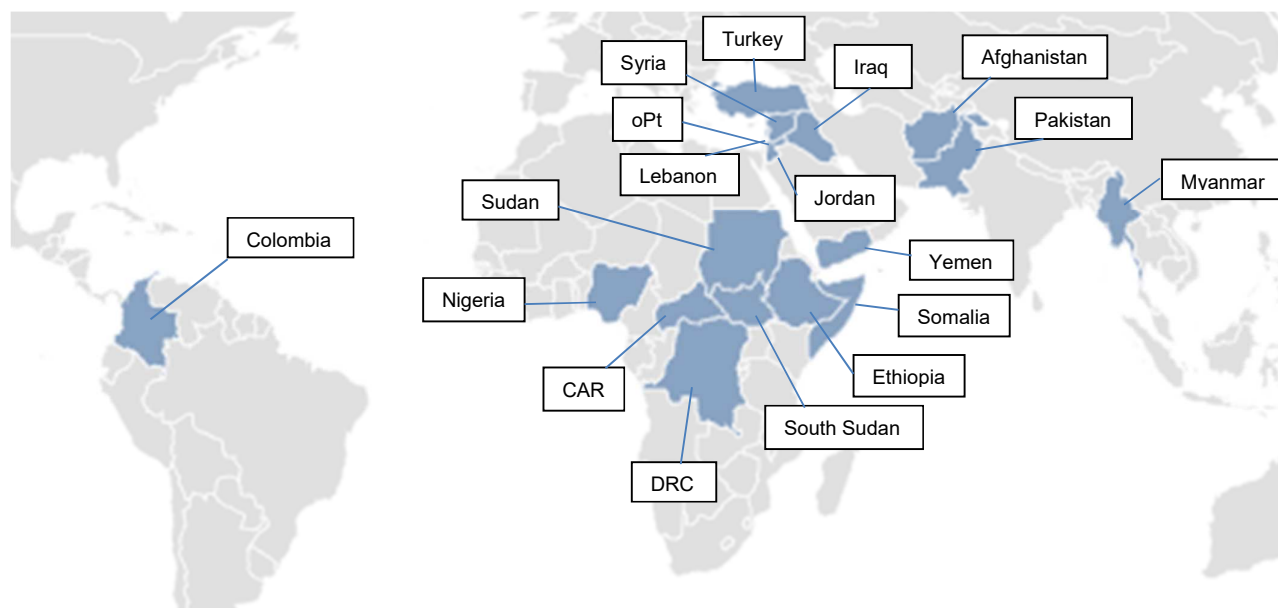
**Total funding received (in million USD) and number of donors for CBPFs**



<sup>1</sup> CBPFs are operational in the following countries: Afghanistan, Central African Republic, Colombia, Democratic Republic of the Congo, Ethiopia, Iraq, Jordan, Lebanon, Nigeria, Myanmar, Pakistan, occupied Palestinian territory, Somalia, South Sudan, Sudan, Syria, Turkey and Yemen. CBPFs are managed by OCHA. Some funds are administered by UNDP's Multi-Partner Trust Fund Office (MPTF) as "Administrative Agent" and for some funds, UNDP country offices act as "Managing Agent", i.e., they transfer money to NGOs.

contributions reached \$832 million from an increasing number of donors (see chart). This represents a growth rate of 17 per cent between 2016 and 2017.<sup>2</sup>

### OCHA manages 18 CBPFs worldwide



#### *CBPF Objectives, Operational Impact and Principles*

4. The evaluation will assess how CBPFs have performed against their strategic objectives and principles, as per the 2015 OCHA CBPF Policy Instruction.<sup>3</sup> The CBPF's three strategic objectives or expected outcomes are to:

1. Improve effectiveness of the humanitarian response by directing funding towards priority humanitarian needs
2. Strengthen the leadership and leverage the coordination role of the Humanitarian Coordinator (HC)
3. Mobilize resources and support coordination in support of the Humanitarian Response Plan (HRP)

5. As shown in the graphic below, these outcomes are expected to lead to the overall operational impact of CBPFs, i.e., “the provision of timely, coordinated, principled assistance to save lives, alleviate suffering and maintain human dignity.”<sup>4</sup>

6. CBPFs embody the fundamental humanitarian principles of humanity, impartiality, neutrality and independence, and function according to a set of specific principles:<sup>5</sup>

<sup>2</sup> Data is taken from the OCHA CBPF Grand Management System (GMS) – Business Intelligence at:

<https://gms.unocha.org/content/cbpf-contributions>

<sup>3</sup> Page 4

<sup>4</sup> This is the definition of the CBPFs' expected operational impact, as per the 2015 Policy Instruction. The OECD DAC evaluation criterion of “impact” is defined as follows: “Impact looks at the wider effects of the project – social, economic, technical, environmental – on individuals, gender- and age-groups, communities and institutions. Impact can be intended and unintended, positive and negative, macro (sector) and micro (household)” (ALNAP (2006): “Evaluating humanitarian action using the OECD-DAC criteria: An ALNAP guide for humanitarian agencies,” available at <https://www.alnap.org/help-library/evaluating-humanitarian-action-using-the-oecd-dac-criteria>, accessed 13 December 2018). This evaluation will focus on the operational impact of CBPFs.

<sup>5</sup> These principles are taken from the OCHA 2015 Policy Instruction for Country-Based Pooled Funds, page 4, available at <https://www.unocha.org/sites/dms/Documents/Policy%20Instruction%20on%20OCHA%20CBPFs.pdf>. Accountability and Risk

- **Inclusiveness:** A broad range of humanitarian partner organizations (UN agencies and NGOs) participate in CBPF processes and receive funding to implement projects addressing identified priority needs.
- **Flexibility:** The programmatic focus and funding priorities of CBPFs are set at the country level and may shift rapidly, especially in volatile humanitarian contexts. CBPFs are able to adapt rapidly to changing priorities and allow humanitarian partners to identify appropriate solutions to address humanitarian needs in the most effective way.
- **Timeliness:** CBPFs allocate funds and save lives as humanitarian needs emerge or escalate.
- **Efficiency:** Management of all processes related to CBPFs enables timely and strategic responses to identified humanitarian needs. CBPFs seek to employ effective disbursement mechanisms and minimize transaction costs, while operating in a transparent and accountable manner.
- **Accountability and Risk Management:** CBPFs manage risk and effectively monitor partner capacity and performance. CBPFs utilize a full range of accountability tools and measures, including the Common Performance Framework.

### *Link to humanitarian reforms*

7. A major **Humanitarian Reform** was initiated by the Emergency Relief Coordinator (ERC) and the Inter-Agency Standing Committee (IASC) in 2005. Based on an independent Humanitarian Response Review<sup>6</sup> the reform's four pillars included one to provide "adequate, flexible and predictable humanitarian financing." While the first CBPFs date back to the 1990s, the first larger funds – the Common Humanitarian Funds in Sudan and the DRC – were set up as part of the reform effort in 2005. In 2011, the IASC launched a new reform, the **Transformative Agenda**, focusing on the three areas of leadership, coordination and accountability but not specifically on humanitarian financing.

8. In line with the first-ever World Humanitarian Summit in 2016, the **Agenda for Humanity** encourages humanitarian actors to fulfill five core responsibilities, 24 'key transformations', dozens of initiatives, partnerships, platforms and alliances, and 3,700 commitments. These include targets by OCHA "to enhance engagement with national and local NGOs, leveraging the role as partners in the programming and delivery of humanitarian assistance through country-based pooled funds" and to ensure that CBPFs are ready to support cash programming.<sup>7</sup>

9. As one of the initiatives under the Agenda for Humanity, the **Grand Bargain**<sup>8</sup> aims to increase efficiency in humanitarian action. The Grand Bargain partly responds to a 2016 report by the Secretary General's High-Level Panel on Humanitarian Financing.<sup>9</sup> It references two related aspects of country-based pooled funds: the UN Secretary-General's commitment to increase the portion of appeal funding that goes to CBPFs to 15 per cent, and a commitment to make greater use of CBPFs to increase and improve assistance delivered by national and local responders to strengthen the localization of the humanitarian response. OCHA has identified seven of the ten Grand Bargain workstreams, to which CBPFs can contribute: transparency (workstream 1), support to local responders (2), cash-based programming (3), reduced management costs (4), a participation revolution (6), unearmarked funding (8), and reporting (9).<sup>10</sup> OCHA has been able to increase the share of CBPF funding to national and local NGOs by improving risk management, including the implementation of more robust accountability frameworks and risk management systems.<sup>11</sup> In 2017, CBPFs already allocated 23 per cent of funding directly to local NGOs, compared to 2.7 per cent of humanitarian funding globally going directly to local NGOs.<sup>12</sup> The CBPFs' share of HRP varies, with the proportion in 2017 ranging from 9.5% in Afghanistan to 1.8% in Colombia.<sup>13</sup>

---

Management was added as principle in March 2017 in the Common Performance Framework considering it is a central theme in the Global Guidelines.

<sup>6</sup> Available at

[https://interagencystandingcommittee.org/system/files/legacy\\_files/Humanitarian%20Response%20Review%202005.pdf](https://interagencystandingcommittee.org/system/files/legacy_files/Humanitarian%20Response%20Review%202005.pdf)

<sup>7</sup> <https://agendaforhumanity.org/explore-commitments/indv-commitments>

<sup>8</sup> [www.agendaforhumanity.org/initiatives/3861](http://www.agendaforhumanity.org/initiatives/3861)

<sup>9</sup> <https://reliefweb.int/sites/reliefweb.int/files/resources/%5BHLP%20Report%5D%20Too%20important%20to%20fail%20E2%80%94%20addressing%20the%20humanitarian%20financing%20gap.pdf>

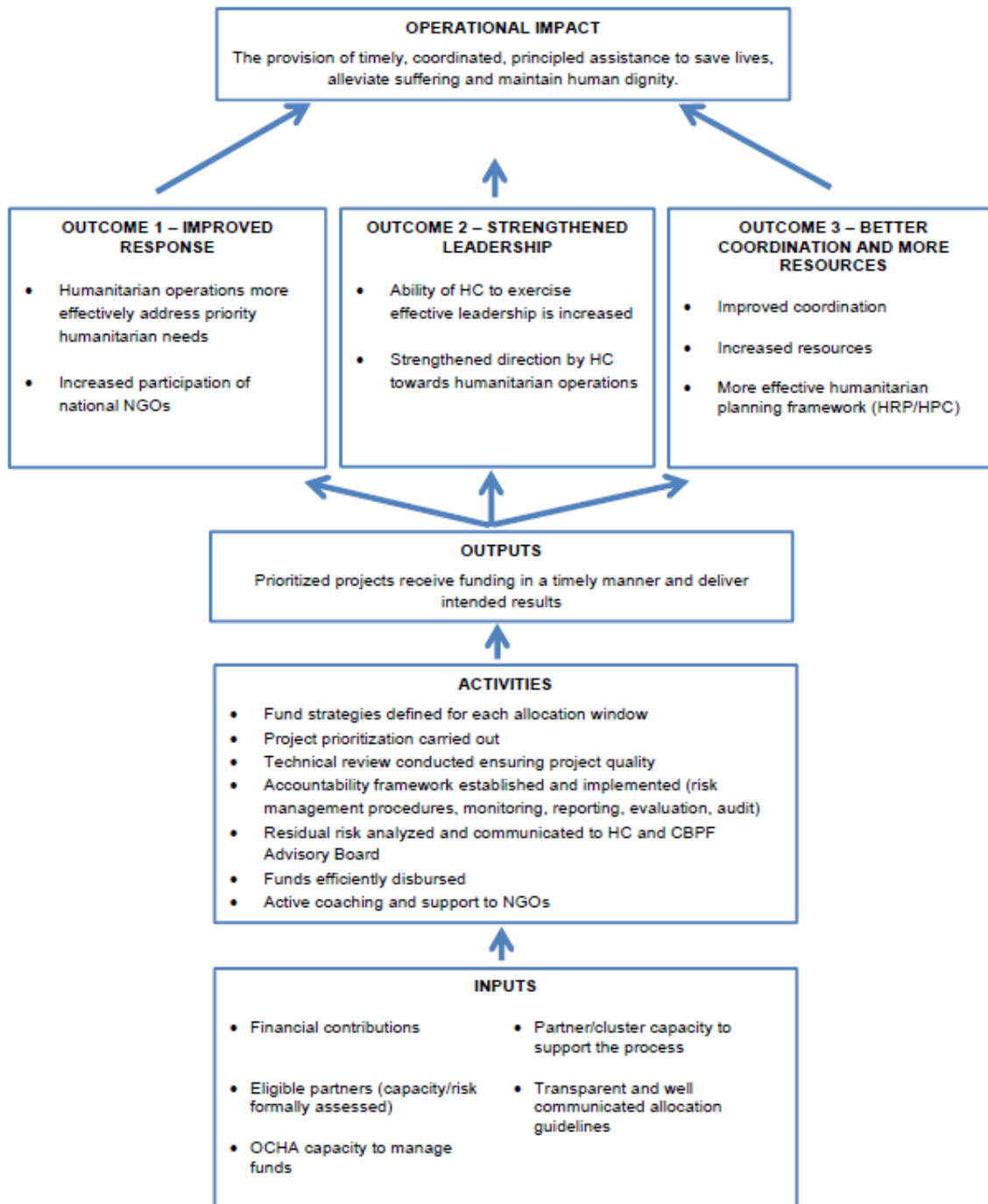
<sup>10</sup> OCHA (5 June 2017): "Country-Based Pooled Funds and the Grand Bargain – Investing in Humanity." Available at <https://reliefweb.int/report/world/country-based-pooled-funds-and-grand-bargain>, accessed 12 December 2018.

<sup>11</sup> See Capacity Strengthening Opportunities and the Role of Country-Based Pooled Funds (CBPFs), Analytical Report, May 2017, Page 3.

<sup>12</sup> Development Initiatives: Global Humanitarian Assistance Report 2018. <http://devinit.org/wp-content/uploads/2018/06/GHA-Report-2018.pdf>

<sup>13</sup> Figure taken from the OCHA CBPF Grand Management System (GMS) – Business Intelligence (7 November 2018). The percentage is CPBF funding over HRP funding requirements (not HRP received funding).

## CBPF Operational Impact<sup>14</sup>



<sup>14</sup> This graphic is taken from the 2015 CBPF Policy Instruction, page 5

## Governance

10. Country-based pooled funds were until recently separated into (typically larger) Common Humanitarian Funds (CHF) and (smaller) Emergency Relief Funds (ERFs). In 2015, the two models were merged in a Policy Instruction and an accompanying Operational Handbook, which prescribed global standards in different areas of fund management ranging from grant duration to accountability and risk management. The handbook took into account lessons learned from previous evaluations, allowing for the implementation of a number of recommendations. A Common Performance Framework contributed to strengthening accountability and oversight. The present evaluation is the first evaluation of CBPFs since the publication of the Policy Instruction, Operational Handbook and Common Performance Framework.

11. *Local Governance.* The **Humanitarian Coordinator (HC)** acts as the custodian of the CBPF on behalf of the ERC. The HC decides the strategy for the use of the fund and ensures that the fund is delivering on its key objectives and is managed in accordance with the Handbook. The HC is supported in the day-to-day management of the fund by the OCHA Head of Office and Humanitarian Financing Unit (HFU). An Advisory Board advises the HC on the allocation of funds and other strategic issues. Specific HC responsibilities include leading the process of opening and closing of CBPFs, leading country-level resource mobilization in coordination with headquarters, defining the strategic focus of fund allocation, approving projects and initiating disbursements, and ensuring the CBPF operates in complementarity with other funding sources including the Central Emergency Response Fund (CERF) and other funding sources depending on the context.

12. The **Advisory Board (AB)** supports the HC in steering the strategy and oversees the performance of the CBPF. The final decision-making authority rests entirely with the HC, who is the chair of the AB. The AB consults on four key areas of the CBPF: strategic focus, risk management, transparency and operational reviews. The composition of the AB is determined based on consultations between the HC, the Humanitarian Country Team (HCT), contributing donors and NGOs, and therefore varies from country to country. The HC and the OCHA Head of Office are the only permanent members, with other members serving as technical or strategic experts.

13. CBPF allocations pass through two types of project review: a strategic review and a technical review, which assesses the technical soundness and quality of project proposals. The strategic and technical reviews are conducted by respective **review committees** operating separately by sector/cluster.

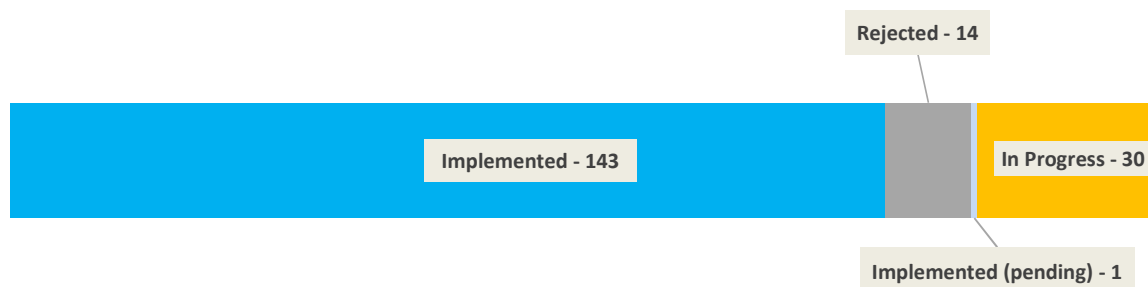
14. *Global Governance.* The **Emergency Relief Coordinator** holds authority over and is accountable for all CBPFs. The ERC monitors the performance of each fund through the CBPF Section at OCHA headquarters and makes decisions on their establishment, re-organization and closure.

15. The **CBPF Section**, part of the Humanitarian Financing and Resource Mobilization Division in OCHA's headquarters, is responsible for policy, operational, programmatic, administrative and financial issues related to the management of CBPFs. The CBPF section supports OCHA country offices in the establishment, management and closing of CBPFs.

## Previous Evaluations

16. OCHA is committed to undertaking periodic evaluations of its country-based pooled funds every three years. The Operational Handbook stipulates that evaluations are an important component of the accountability framework and help in continuously improving the funds. Global evaluations have been conducted of the two precursors of CBPFs: in 2015 and 2011 of the Common Humanitarian Funds (CHF), and of the Emergency Relief Funds (ERFs) in 2013 and 2007. Also in 2007, an evaluation of the CHFs in the Democratic Republic of the Congo and Sudan was

### Status of 188 CBPF-related recommendations



conducted and an evaluation of the ERF in Haiti was published in 2011.<sup>15</sup> A 2018 UNDP evaluation of Inter-Agency Pooled Financing Services contains useful findings, and there are numerous studies and reports on humanitarian financing mechanisms more broadly.

17. Independent evaluations of humanitarian pooled funds have proven useful tools for promoting accountability and learning. Evidence-based findings and recommendations from the evaluations, as well as from external audits, have helped improve the effectiveness and efficiency of the funds, enhanced accountability and oversight, and strengthened their capacity to support timely and coherent humanitarian response, to address humanitarian needs, and to support the leadership role of Humanitarian Coordinators. Since 2005, 188 recommendations related to CBPFs have been issued in evaluations and audits, with 157 (84 per cent) having been closed (143 implemented, 1 implemented but pending approval and 14 rejected) and 30 currently in progress.<sup>16</sup> Out of these 188 recommendations, OCHA's CBPF Section has received 109 recommendations, including 52 from the Office for Internal Oversight Services (OIOS), 37 from OCHA evaluations, 13 from the Board of Auditors (BOA) and 7 from the Joint Inspection Unit (JIU). The other 79 recommendations have been directed at OCHA country offices, 67 of these coming from the 2015 OCHA evaluation of Common Humanitarian Funds and 12 from OIOS audits.

18. Three years have passed since OCHA conducted the last evaluation of country-based pooled funds, making it appropriate to undertake another evaluation of the funding mechanism at this time. This is in line with the CBPF Operational Handbook, in which a commitment was made for the next global evaluation of CBPFs in 2018.

## **Purpose, Objectives, Scope and Use of the evaluation**

### *Purpose*

19. The fundamental goals of evaluation are to improve accountability and learning. In accordance, the purpose of this evaluation is to draw lessons on what has worked well and to identify challenges to the effective functioning of CBPFs in order to provide recommendations on how to continue to strengthen the CBPF as a funding mechanism in support of timely, coordinated and principled humanitarian response for affected people. The evaluation will also contribute to greater transparency and accountability for all stakeholders involved.

### *Intended Users*

20. The intended users at global level are the ERC and OCHA, UNDP and MPTF, the Pooled Fund Working Group (PFWG), the CBPF/NGO platform, UN and NGO partner organizations, and the OCHA Donor Support Group (ODSG). The intended users at country level are the Humanitarian Coordinators, Humanitarian Country Teams, Advisory Boards, OCHA offices including Humanitarian Financing Units, UNDP offices where they act as Managing Agent, representatives from the affected population, NGOs including local NGOs, UN agencies and donor representatives.

### *Evaluation Objectives and Scope*

21. The scope of the evaluation is global; it will provide an assessment of all CBPFs. In addition, country studies will review the funds in five specific country contexts. The selection of the countries will be based on a number of criteria (identified by OCHA and the Evaluation Team, in consultation with the Advisory Group). This will allow the evaluation to assess how CBPFs operate in different environments, including natural disasters, conflict situations and complex emergencies, protracted crises and new emergencies.

22. The evaluation will provide an independent assessment of the funds during the period January 2015 to December 2018, since the inception of CBPFs as a single type of country-based pooled funds following the issuance of the 2015 Policy Instruction.

23. The evaluation will assess the CBPF's strengths, weaknesses, and areas where improvements can make a positive difference to the functioning and impact of funds. The evaluation will assess the past performance of CBPFs and include concrete recommendations to make the funds fit for the future.

24. A key area of focus of the evaluation will be on the extent to which CBPFs contribute to the provision of timely, coordinated, principled assistance to save lives, alleviate suffering and maintain human dignity. The evaluation will seek to identify the impact, results and outcomes of CBPFs in supporting a timely, coordinated and principled humanitarian response for people affected by crisis. This will include an assessment of the number of people reached

<sup>15</sup> The evaluation reports are available on the OCHA website, at [www.unocha.org/themes/evaluations-and-reviews/reports](http://www.unocha.org/themes/evaluations-and-reviews/reports)

<sup>16</sup> The data on CBPF recommendations is as of 19 November 2018, as recorded in OCHA's Recommendations Tracking System (RTS).

by CBPF-supported humanitarian action and the extent to which the assistance received made a difference in their lives, in particular in the countries visited. While the detailed methodology for this component of the evaluation will be defined during the inception phase, it will include a review of the monitoring data of recipient organizations, project visits and the collection of feedback from affected people, focusing on a sample of funded projects. This is in line with conclusion 3 of the UNDP evaluation on inter-agency pooled financing services, which found that (for UNDP/MPTF-managed funds) “donors remain concerned about the reporting on outcome-level changes further down the results delivery chain.”<sup>17</sup>

25. The evaluation will also assess how CBPFs have performed against their three expected outcomes and five principles.<sup>18</sup> The outcomes, as listed above, focus on response, leadership, coordination and resource mobilization; the principles on inclusiveness, flexibility, timeliness, efficiency, and accountability and risk management. Thus, it will assess the governance and management of CBPFs, including the role of Humanitarian Coordinators, Advisory Boards, Review Committee(s), Clusters, OCHA offices and, where applicable, UNDP offices as managing agents at the country level. At the global level, it will include OCHA headquarters and the MPTF Office as administrative agent. It will assess whether CBPFs are managed and administered consistently across countries according to the CBPF Policy Instruction, Operational Handbook and Common Performance Framework. The evaluation will assess how OCHA manages accountability for CBPF performance, oversight and risk management.

26. This evaluation will not assess in detail the links between CBPFs and early recovery or development programming. However, examples of good practices in this regard should be identified where they exist.

27. The evaluation will include a gender analysis, in line with the UNEG Guidance on Integrating Human Rights and Gender Equality in evaluation,<sup>19</sup> and will consider other cross-cutting issues of good programming, such as age, disability or other relevant factors depending on the context. Thus, it will analyze how pooled funds are used to mainstream these issues in humanitarian action.<sup>20</sup>

28. The evaluation will assess how Resident and Humanitarian Coordinators use CBPFs in complementarity to the other mechanisms over which they have control or influence. This will include complementarity with the Central Emergency Response Fund (CERF) and other mechanisms depending on country context. The evaluation will also assess complementarity between CBPFs and bilateral donor funding.

29. The evaluation will assess how CBPFs have contributed to relevant Grand Bargain and Agenda for Humanity commitments, ensuring complementarity with a planned OCHA/NRC study on, among other aspects, links between CBPFs and the Grand Bargain.<sup>21</sup> Relevant aspects of the Grand Bargain and Agenda for Humanity include: unearmarked funding, localization (funding to local NGOs), transparency, cash-based programming, reporting requirements, management costs and the participation revolution (accountability to affected people).

### Evaluation Criteria and Questions

30. The evaluation will assess these issues under the following selected and agreed standard evaluation criteria:<sup>22</sup>

- **Relevance**

To what extent are CBPFs being used strategically to meet the most urgent, prioritized humanitarian needs? To what extent are they aligned with Humanitarian Response Plans or other relevant strategies?<sup>23</sup> To what extent are CBPFs adequate to meet the expected outcomes they have been set up to achieve? Are the expected outcomes and principles that have been set for CBPFs still relevant?

- **Effectiveness**

<sup>17</sup> UNDP (August 2018): *Evaluation of UNDP Inter-Agency Pooled Financing Services*. Available at:

<sup>18</sup> OCHA Operational Handbook for Country-Based Pooled Funds (Version 1.2), October 2017. Available at <https://erc.undp.org/evaluation/evaluations/detail/9522>, accessed 13 December 2018.

[https://www.unocha.org/sites/unocha/files/Operational\\_Handbook\\_for\\_OCHA\\_CBPFs\\_Version1.2.pdf](https://www.unocha.org/sites/unocha/files/Operational_Handbook_for_OCHA_CBPFs_Version1.2.pdf)

<sup>19</sup> [www.uneval.org/papersandpubs/documentdetail.jsp?doc\\_id=1401](http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=1401)

<sup>20</sup> Disability, for example, will only be disaggregated in the number of people targeted starting in January 2019.

<sup>21</sup> The study’s working title is “OCHA-Managed Pooled Funds: Fit for Purpose? The NGO Perspective”. The study’s concept note states that “NRC and OCHA will ensure that the study complements the planned global evaluation [of CBPFs] from a[n] NGO perspective, and does not create duplication.”

<sup>22</sup> ALNAP (2016): “Evaluation of Humanitarian Action Guide”, pages 111-112. Available at

[www.alnap.org/system/files/content/resource/files/main/alnap-evaluation-humanitarian-action-2016.pdf](http://www.alnap.org/system/files/content/resource/files/main/alnap-evaluation-humanitarian-action-2016.pdf)

<sup>23</sup> Such as, for example, the Humanitarian and Disaster Resilience Plan in Ethiopia

Do CBPFs support HC leadership? How do they contribute to a coordinated response? Do they support overall resource mobilization for HRPs? To what extent are the funds able to meet newly emerging needs in a timely and flexible manner? Are risks managed appropriately, and is there sufficient oversight and accountability, including monitoring and reporting systems? Do CBPF contribute to the relevant aspects (see above) of the Agenda for Humanity and Grand Bargain?

- **Efficiency**

Is the management of CBPFs ‘fit for purpose’ and ‘fit for the future’ and do they operate efficiently? Has the global standardization of CBPFs (as per the Policy Instruction, Operational Handbook and Common Performance Framework) increased efficiency? To what extent do CBPFs employ effective disbursement mechanisms and minimize transaction costs?

- **Connectedness**

Do RC/HCs use CBPFs strategically and in complementarity to other mechanisms and do CBPFs complement bilateral donor funding? Do CBPFs drive forward the localization of humanitarian action and make use of the best placed partners to respond to identified needs?

- **Impact**

To what extent do CBPFs contribute to the provision of timely, coordinated and principled assistance to save lives, alleviate suffering and maintain human dignity? To what extent do they make a difference in the lives of affected people?

31. Under these evaluation criteria and questions, which are linked to the evaluation scope, more detailed key areas of inquiry will be further identified during the inception phase through consultations with members of the Pooled Funds Working Group, Heads of OCHA Offices in CBPF countries, fund managers, representatives from relevant OCHA branches and the Advisory Group (see below).

## Methodology

32. The evaluation will employ mixed methods (qualitative, quantitative, participatory) and a number of data collection tools. Information will be derived from primary and secondary sources, including a desk review of relevant documents, an analysis of datasets, key informant interviews, focus groups, and a survey. All information will be triangulated for validation.

33. The evaluation process will include (1) an inception phase including a visit to New York, after which the Evaluation Team will submit an inception report, (2) a data gathering phase which includes visits to five CBPF countries, New York and Geneva, remote interviews and a survey, and (3) a reporting phase at the end of which the team will submit the global synthesis report.

34. Individual country reports for the CBPFs visited during the evaluation will also be submitted, which will give insights into how CBPFs operate across different contexts and to provide direct constructive feedback to the Humanitarian Country Teams, Advisory Boards and OCHA offices including Humanitarian Financing Units in those countries. The choice of which CBPFs to visit will be made during the inception phase, ensuring that funds with different characteristics and in different types of contexts are included. A CBPF country selectivity matrix, which provides data on these aspects, is available and may be supplemented during the inception phase. The country selection will take place in collaboration between the Evaluation Team and OCHA, and in consultation with the Advisory Group. It will take into account requests from countries to be included. Country reports will identify best practices and lessons learned that may be systematized and applied to other CBPF contexts.

35. A sample of funded projects will be analyzed to provide insight into the full project cycle and the impact of CBPF funding, including the tracking of the project until its eventual impact in the field, for the degree to which they are meeting their initial targets in terms of the number of people reached, usefulness and results of the assistance provided. Project visits should include focus group discussions with affected people. The sample of projects should cover different sectors, groups of affected people (e.g., displaced or not), modalities (e.g. cash or in-kind) and types of implementing partners (UN agencies, international and local NGOs, and the Red Cross/Red Crescent associations).

36. A survey of stakeholders with an interest in CBPFs will be conducted and analyzed. The methodology should also include the interpretation of existing survey data, e.g. from the annual OCHA partner surveys.

37. As part of the evaluation, the team should conduct a thorough data analysis, in particular of primary data from the CBPF Grant Management System (GMS), as well as humanitarian financing data from the Financial Tracking

Service (FTS). This should include an analysis of CBPF allocations by sector compared to the severity of needs, where this data is available. The team should also review and interpret existing data analyses, e.g. the Global Humanitarian Assistance and World Humanitarian Data and Trends reports.

38. The methodology will include the review of previous evaluations and audits of country-based pooled funds, including the 2015 CHF evaluation. It will review how recommendations have been implemented to improve the funds or why they remain open or have been rejected.

39. Perspectives from all stakeholders should be solicited including (but not limited to): OCHA, UNDP, the MPTF Office, recipient and relevant non-recipient organizations (including NGOs who chose not to pursue CBPF funds), HCs, HCTs, Advisory Boards, clusters, Government stakeholders in recipient and donor countries, civil society groups and members, and affected people. Local and national NGO perceptions (recipient and non-recipient) will be sought throughout the evaluation process. People at headquarters level, in the five visited countries and, remotely, in other CBPF countries should be interviewed.

40. The detailed methodology, including standardized data collection instruments (surveys, interview guides, etc.), will be developed during the inception phase of the evaluation. The Evaluation Team will visit New York during the inception phase. During the data gathering phase, the team will visit New York and Geneva, and five CBPF countries, to be selected during the inception phase.

## Governance

### *Advisory Group*

41. The Advisory Group will be comprised of, preferably, experts with substantive evaluation background from UN agencies, NGOs and donors, though they will not represent their own entities. Alternatively, Advisory Group members should consult colleagues in their respective evaluation functions. Advisory Group members should also have a thorough understanding of CBPFs. The Advisory Group will review and comment on draft outputs throughout the evaluation process including the Terms of Reference, inception report and final report. The Advisory Group provides advice to key deliverables during all stages of the evaluation. OCHA, as Evaluation Manager, will take final decisions on the management of the evaluation. To safeguard the independence of the evaluation, the Evaluation Team will respond to all comments on draft deliverables in a timely and transparent manner. Not all comments will necessarily be incorporated in the revised deliverables. In this case, the Evaluation Team will provide a rationale for any comments that were not incorporated.

42. The Advisory Group's main role will be to contribute to the relevance, quality and credibility of the evaluation process by providing advice throughout the process of the evaluation.

43. Concretely, the Advisory Group will:

- Provide background information and contextual knowledge, to help ensure that the evaluation is relevant, appropriate and adds value to the existing body of work on CBPFs, and that the evaluation contextualizes CBPFs within the overall humanitarian architecture
- Provide advice and technical guidance to the Evaluation Manager and Evaluation Team on key evaluation questions and additional areas of investigation
- Provide inputs to the development of the evaluation and review draft documents
- Assist the Evaluation Manager to ensure quality control according to relevant standards (UNEG/ALNAP)
- Ensure consideration of gender, age and, to the extent possible, disability mainstreaming in the evaluation
- Ensure the utility of the evaluation and its recommendations, by ensuring that recommendations are helpful and targeted, and by participating in the dissemination of the report and its findings

44. Specifically, the Advisory Group will review and provide comments on the:

- Terms of Reference
- Country/fund selection for case studies
- Draft inception report
- Any interim updates
- Draft country reports
- Draft final evaluation report

45. The Advisory Group consists of:

- Five representatives of CBPF donors
- Two representatives from UN agencies

- Two representatives from NGOs that receive CBPF funding, including one local NGO
- One representative from each of the three entities managing and supporting CBPFs: OCHA's CBPF section as the fund manager, UNDP as Managing Agent of some funds, and the Multi-Partner Trust Fund Office as Administrative Agent of some funds
- OCHA's Strategy, Planning, Evaluation and Guidance Section, as Evaluation Manager and chair of the group

(See the separate Terms of Reference for the Advisory Group for further details.)

### *Reference Groups*

46. At country level, the CBPF Advisory Boards will function as in-country Reference Groups. The Advisory Boards include the Humanitarian Coordinator as chair, OCHA, donors, UN agencies, national and international NGOs, and are supported by OCHA's Humanitarian Financing Unit as secretariat.<sup>24</sup> If necessary in exceptional circumstances, relevant stakeholders or experts may be added to these in-country Reference Groups, in addition to the Advisory Board members. Members of the Reference Groups should not represent the interests of any specific entity. In contrast to the Advisory Group, each Reference Group focuses on the evaluation's case study in their respective country.

47. Similar to the global-level Advisory Group, the main role of the in-country Reference Groups is to contribute to the relevance, quality and credibility of the evaluation process by providing advice throughout the process of the evaluation.

48. Concretely, the Reference Groups' main roles will be to:

- Provide background information and contextual knowledge for their specific country context, to help ensure that the evaluation is relevant, appropriate and adds value to the existing body of work on CBPFs, and that the evaluation contextualizes CBPFs within the country's overall humanitarian architecture
- Provide advice and technical guidance to the Evaluation Manager and Evaluation Team on key evaluation questions and additional areas of investigation in their country
- Participate in an exit briefing by the Evaluation Team at the end of their country visit, and provide feedback, advice and comments on preliminary findings, conclusions and recommendations
- Provide inputs to the development of, review and provide appropriate and timely feedback on the draft country report

(See the separate Terms of Reference for the Reference Groups for further details.)

### *OCHA*

49. The evaluation will be managed by an Evaluation Manager in OCHA's Strategy, Planning, Evaluation and Guidance Section (SPEGS). The Evaluation Manager will ensure consistency throughout the evaluation process, from the drafting of the Terms of Reference to the dissemination of the report and will support the preparation of the management response and follow-up to recommendations. The Evaluation Manager will be the contact person for all administrative and organizational issues and will coordinate activities of the different actors involved in the evaluation. He will organize and supervise the different phases of the evaluation process and ensure the quality of all deliverables submitted by the Evaluation Team. The Evaluation Manager will participate in at least some of the field missions. SPEGS will chair the Advisory Group.

50. The Humanitarian Financing and Resource Mobilization Division/CBPF Section will appoint a focal point for the evaluation to facilitate access to pertinent information, documents and contacts relating to CBPFs.

51. OCHA country offices will help facilitate the Evaluation Team's access to in-country informants and documentation and organize the in-country field missions and the exit workshops/presentations. OCHA country offices may propose additional issues specific to the CBPF under consideration.

### **Deliverables**

---

<sup>24</sup> Operational Handbook for Country-Based Pooled Funds, version 1.2 (October 2017), paragraph 42.

### *Inception Report*

52. The Evaluation Team will produce an inception report not to exceed 10,000 words (excluding the executive summary and annexes), setting out:

- The team's understanding of the functioning of the Country-Based Pooled Fund mechanism, the contexts in which the CBPFs operate and OCHA's mandate in managing CBPFs
- Any suggested deviations from the Terms of Reference, including any additional issues raised during the initial consultations
- The evaluation framework, second-level questions and identification of key areas of inquiry
- An evaluation matrix showing, for each question, the indicators proposed and sources of information
- A methodology, including any changes to the proposed methodology, how the comparative analysis of the funds will be conducted, details of the ge and the triangulation strategy
- The evaluation criteria to be used, including the rationale for using each evaluation criterion and, if needed, for rejecting any of the criteria proposed in the Terms of Reference
- How gender, age and other cross-cutting issues will be analyzed during the evaluation
- Data collection tools (survey, interview questions, document with the preparation of field visits and schedule of interviews, etc.)
- Description of any limitations of the chosen methods of data collection and analysis
- Other methodological limitations and evaluability issues and how they will be addressed
- Stakeholder analysis and a plan for their involvement in the evaluation process
- Data collection plan
- Detailed fieldwork plan, after the strategic selection of the five CBPF field visits
- Draft dissemination strategy of the evaluation findings and recommendations
- Draft outline for the country reports and global synthesis report

### *Interim Updates*

53. The Evaluation Team will produce a short interim update (about 2 pages, in bullet points) outlining the preliminary findings within one week after the completion of each field mission. In addition, the Evaluation Team should keep the Evaluation Manager regularly updated on any issues, findings and concerns.

### *Country Reports*

54. The Evaluation Team will produce a report of no more than 5,000 words (excluding the executive summary and annexes) for each of the five CBPFs visited. The country reports should have a uniform structure and present analysis of issues specific to each fund and context. They should identify any improvements that would help strengthen the functioning of the respective funds and identify best practices that might be systematized and applied in other CBPF contexts. Common issues will be addressed in the global synthesis report.

55. The country studies will identify best practices and innovative solutions, factors influencing the achievement of objectives, and any barriers or procedural obstacles or redundancies affecting the funds and their accessibility for all. The country reports will contain a small number of recommendations to stakeholders in the specific country. Recommendations in the different country reports must not contradict each other. Any recommendations that apply to all funds or at the global level should be in the global synthesis report.

### *Global Synthesis Report*

56. The Evaluation Team will produce the global synthesis report, written in a clear and accessible manner, allowing the readers to understand readily evaluation findings and their inter-relationship. While relying on the five case studies, the report should provide a global assessment of all 18 CBPFs. It should not simply summarize the findings for each of the five countries. The report should not exceed 15,000 words (excluding the executive summary and annexes) and should be comprised of:

- Table of contents
- Executive summary of no more than 2,000 words
- Summary table linking findings, conclusions and recommendations, including where and with whom responsibility for follow up should lie
- Analysis of context in which CBPFs were implemented and operating

- A desk review of previous evaluations and studies relating to pooled funds, and a summary explanation of how this evaluation is positioned among them
- Overview of how the CBPF is being used in each country: objectives, amounts to various categories of agency and types of activity, etc.
- Methodology summary – a brief chapter, with a more detailed description provided in an annex
- Main body of the report, including findings in response to the evaluation questions, conclusions and recommendations
- Annexes will include: (1) Terms of Reference, (2) detailed methodology, (3) analysis of CBPF funding flows, (4) list of persons met, (5) details of all surveys undertaken, (6) details of any quantitative analysis undertaken, (7) team itinerary, (8) all evaluation tools employed, (9) bibliography of documents (including web pages, etc.) relevant to the evaluation and (10) description of selection of case studies including the Field Visit Country Selectivity Matrix, (11) list of acronyms

57. For accuracy and credibility, recommendations should be the logical implications of the findings and conclusions. Recommendations should follow logically from the evaluation findings and conclusions and be:

- Categorized as a) Critical, b) Important, or c) Opportunity for learning
- Relevant, realistic and useful, and reflect the reality of the context within which CBPFs operate
- Clearly stated and not broad or vague
- Realistic and reflect an understanding of OCHA and the humanitarian system and potential constraints to follow up
- Suggest where responsibility for follow-up should lie and include a timeframe for follow-up
- Small in number

### *Evaluation Briefs*

58. The Evaluation Team will produce evaluation briefs of no more than 2 pages for the global synthesis report and of no more than 1 page each for the country reports.

### **Dissemination and Follow-up**

59. The Evaluation Team will conduct the following presentations:

- At the end of each 2-week country visit, the Team will conduct a validation workshop with a presentation of the main findings to primary stakeholders and intended users. The presentations (slide decks) will be shared with the Evaluation Manager.
- Upon completion of the draft synthesis report, a validation workshop will be held in New York with a presentation of the main findings, conclusions and recommendations. The presentation will be shared with the Evaluation Manager.
- Once the evaluation is completed, presentations of the main findings and recommendations will be made to various fora as decided by OCHA and the Advisory Group. The Evaluation Team may be requested to assist with these presentations.
- In addition to the global synthesis report and briefings, the evaluation findings and recommendations can be presented through alternative ways of dissemination, such as video. The Evaluation Team will consider possible ways to present the evaluation and include a dissemination strategy proposal in the inception report
- The recommendations addressed at OCHA's partners will be discussed at the Pooled Fund Working Group to develop action plans for their implementation. Follow-up to country-level recommendations will be determined by CBPF Advisory Boards.
- For recommendations relating to OCHA, a Management Response Plan will be prepared as per OCHA Evaluation Policy.

60. For all deliverables, draft versions will be submitted for comments, which should be considered for the final version. Several rounds of comments may be necessary. For each round, the Evaluation Team will prepare a comments matrix, listing all comments received and explaining how they have been addressed or why not.

61. All deliverables must be written according to the OCHA Style Guide.<sup>25</sup> The final versions must be proofread and undergo professional graphic design. All deliverables should include relevant graphs, charts and maps to present findings and trends visually.

62. OCHA intends to publish the inception, country and synthesis reports. A Management Response Plan (MRP) will be developed in response to the evaluation's global and country-level recommendations, and will track the implementation of the MRP through established mechanisms and procedures, as it does for all other evaluations and audits.

## Evaluation Team

63. The Evaluation Team will be recruited by the company contracted to conduct this evaluation, in close cooperation and mutual agreement with OCHA. The Evaluation Team will include a Team Leader, a Senior Evaluator, an Evaluator and a Data Analyst. A local/ national evaluator should be recruited, to the extent possible, for the country visits, and in particular to support research on the impact and results of CBPF-funded humanitarian action. The OCHA Evaluation Manager, who has a humanitarian financing background, will accompany the team on some of its headquarters and country visits, to act as a liaison between the team and OCHA and to ensure that the evaluation meets with relevant colleagues and has access to related information on CBPFs. Collectively, the team will have the following experience and skills:

- Extensive evaluation experience of humanitarian strategies and programmes and in the areas of key humanitarian issues, especially humanitarian finance and funding instruments
- Experience with and institutional knowledge of the humanitarian system, UN and NGO actors, the inter-agency mechanisms headquarters and in the field and the Inter-Agency Standing Committee (IASC)
- In-depth knowledge of the humanitarian reform and coordination processes and issues, including the Humanitarian Programme Cycle (HPC)
- In-depth knowledge and experience with identifying, assessing, monitoring and managing risks in unstable contexts
- Knowledge and experience with using human rights and gender analysis in evaluations; good understanding of cross-cutting issues
- An appropriate range of field experience
- Experience in facilitating consultative workshops involving a wide range of organizations and participants
- Excellent writing and communication skills in English, and communication skills in French

64. The Evaluation Team will include a Team Leader, who is responsible for the overall conduct of the evaluation in accordance with the TOR, including:

- Developing and adjusting the evaluation methodology
- Managing the Evaluation Team, ensuring efficient division of tasks between mission members, managing conflicts and addressing shortcomings within the team
- Representing the Evaluation Team in meetings, e.g., with senior managers at field and headquarters level, the in-country Reference Groups, Advisory Group, and OCHA, including SPEGS, and the Humanitarian Financing and Resource Mobilization Division
- Ensuring the quality of all outputs
- Submitting all outputs in a timely manner

65. The Team Leader will have no less than 15 years of professional experience in humanitarian action, including experience in the management of humanitarian operations. S/he will have extensive experience in leading and conducting evaluations of humanitarian operations and of funding instruments, and demonstrate strong analytical, communication and writing skills.

66. The Evaluation Team will be gender balanced and, to the extent possible, represent regional diversity.

---

<sup>25</sup> <https://www.unocha.org/sites/dms/Documents/OCHASStyleGuide-OnScreen.pdf>

## Timeline

The timeline may be further adjusted or refined during the inception phase.

Item	Estimated Timeline	Comment
Development of evaluation TOR	Nov-Dec 2018	An in-person meeting on 11 December in New York will be used to finalize the TORs with the Advisory Group.
Contracting of evaluation company, team selection and recruitment	Jan 2019	The evaluation company will be recruited under OCHA's long-term agreements. The company will recruit the Evaluation Team in collaboration with OCHA.
Country/fund selection for case studies	Mar 2019	Based on objective criteria, the selection of the 5 countries that the Evaluation Team will visit will take place during the inception phase.
Draft inception report	Mar-Apr 2019	Stakeholders and data sources will be identified, as well as the refining of the evaluation methodology. The draft inception report will be submitted and shared by email with the relevant parties for comments. If necessary, a virtual meeting will be called, including possibly with the Evaluation Team before the finalizing of the inception report.
Interim updates	May-Jul 2019	The Evaluation Team will visit the selected countries with pooled funds. Immediately after each of the 5 country visits, the evaluation team will prepare a short interim update, each of which will be shared by email with relevant parties for comments. Desk reviews and HQ visits where appropriate will also be conducted. The Evaluation Team will provide updates.
Country reports	Jun-Aug 2019	Draft country reports of no more than 5,000 words for each of the 5 countries visited, identifying best practices and innovative solutions will be shared by email with relevant parties for comments. If necessary, a virtual meeting will be called, including possibly with the Evaluation Team. The 5 country reports will then be finalized. Each country report will contain a small number of coherent recommendations at country-level.
Draft synthesis report	Sep-Oct 2019	The draft synthesis report will be shared by email with the relevant parties, not to exceed 15,000 words, excluding annexes and an executive summary of 2,000 words. In a workshop, the Evaluation Team will be invited to present the draft report and its findings. Several iterations of the draft report may be shared for comments. The global synthesis report will then be finalized.
Other deliverables	Oct-Nov 2019	Other deliverables, such as presentations, briefs, etc. will be shared with relevant parties. Briefs will not exceed 2 pages for the global synthesis report and 1 page for the country reports.
Implementation	Nov 2019 Onwards	A Management Response Plan (MRP) will be created in agreement between the responsible parties designated for any evaluation recommendations. There will be regular reporting and monitoring on the progress of the implementation of recommendations, including to the Pooled Fund Working Group.

