



1. Summary guidelines for Country Selection and Apportionment

A. Planning figures

Amount: The Central Emergency Response Fund (CERF) secretariat foresees approximately \$150 million for the two underfunded emergencies rounds in 2018. This amount is based on CERF's funding target of \$450 million for the year and reflects the one-third provision for underfunded emergencies. For the first round in 2018, an amount of **\$100 million** is planned, subject to availability of funds.

Number of countries: The Emergency Relief Coordinator (ERC) will select about **8-10 countries** with no fixed ratio between those with Humanitarian Response Plans or other response plans in place ("HRP countries") and countries without response plans ("non-HRP countries"). To better diversify the countries benefitting from the underfunded emergencies window, the CERF secretariat will consider whether each country, in 2017, has received allocations from both the rapid response and underfunded emergencies windows when making recommendations for the selection of countries.

B. Country selection process

I. Funding analysis: The CERF secretariat and ERC rely on information from OCHA's Financial Tracking Service (FTS) to analyse funding levels of emergencies. It is essential that this information is accurate and it is important for agencies and donors to check and update FTS records (inside and outside the HRP) and report any discrepancies or missing funding (fts@un.org). **For countries with an HRP or comparable appeal, the analysis will be based on 2017 appeal funding levels reported in FTS as of 10 November.** For recommended non-HRP countries, UN agencies will provide data on 2017 humanitarian funding requirements and contributions via the CERF Underfunded Emergencies Working Group (UFEWG). Information on contributions should also be reported to FTS, in case it was not reported before.

For non-HRP countries (see annex 1 for more details):

- Under the leadership of a lead agency, UN¹ agency headquarters ("agencies") will prioritize non-HRP countries in the UFEWG. Each agency will recommend countries by using a two-tier system, recommending two countries with the highest priority (tier 1) and three countries with high priority (tier 2). Agencies assume the role of lead agency on a rotating basis. UNICEF will be the lead agency of the UFEWG for this round. These countries are then added to the list of all HRP countries, and all emergencies – HRP and non-HRP countries – are then analysed to allow the ERC to make an informed funding decision.
- As stipulated in section 4.3 of the Secretary-General's Bulletin on CERF,² aid agencies in the recommended countries should address core emergency humanitarian needs in chronically underfunded emergencies. The selection will be based on, among possible other factors:
 - 2017 funding level of core humanitarian activities/programmes in a country
 - Severity of humanitarian needs, risk and vulnerability
 - Type of programmes/activities implemented
 - Capacity to address existing needs and to implement CERF funds by 31 December 2018
- The lead agency will consolidate the UFEWG list of **no more than five non-HRP countries**, ranked according to agencies' support.³ Each agency must provide full funding and narrative information for each of the final recommended countries. The UFEWG should agree on a joint 'statement of priorities' for each of the recommended countries.

¹ FAO, IOM, OCHA, UNDP, UNFPA, UNHCR, UNICEF, WFP, WHO

² ST/SGB/2010/5, 23 April 2010, available at <http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N10/327/44/PDF/N1032744.pdf?OpenElement>

³ If the score of the sixth-ranked country is equal to the fifth-ranked country, it may also be included.

HRP and non-HRP countries

HRP countries:

- a. Countries and emergencies with an HRP or comparable response plan to be considered (29):
 - o Burkina Faso, Burundi, Cameroon, Democratic Republic of Congo, Djibouti, Ethiopia, Haiti, Iraq, Libya, Mali, Mauritania, Myanmar, Niger, Nigeria, occupied Palestinian territory, Republic of South Sudan, Senegal, Somalia, Syria, Syria 3RP (Egypt, Iraq, Jordan, Lebanon, Turkey), Ukraine, Yemen
 - o Comparable response plans that are tracked on FTS: Democratic People's Republic of Korea, Pakistan Humanitarian Strategic Plan
 - o The Kenya Flash Appeal is included because the duration of the appeal is ten months and the type of emergency is slow onset drought and food insecurity, not a sudden onset natural disaster
- b. HRPs or comparable response plans EXCLUDED from underfunded consideration (8):
 - o Countries that received CERF Underfunded Emergency allocations in the 2016 Second Round with implementation of funds ongoing through June 2017: Afghanistan, Central African Republic, Chad and Sudan
 - o New or upcoming Rapid Response applications: no countries have received rapid response allocations substantial enough to exclude them from this round
 - o Regional appeals with no country requirements specified: Regional Refugee and Migration Response Plan for Europe (Turkey, Greece, Former Yugoslav Republic of Macedonia, Serbia)

Non-HRP countries (all countries with humanitarian needs, even those not listed below, can be considered as non-HRP countries):

- c. Countries with a Flash Appeal or other type of appeal or plan document in 2017 that can be considered as non-HRP countries (7):
 - o Republic of Congo, Dominica, Madagascar, Mozambique, Peru
 - o Other types of appeals: Bangladesh, Cuba
 - o Colombia (the HRP is not tracked on FTS)
- d. Countries covered by a Regional Refugee Response Plan (RRRP) that will be considered as non-HRP countries (3):
 - o Burundi RRP: Uganda, Rwanda and Tanzania
 - o South Sudan RRP: Uganda
 - o The other countries under these refugee response plans and all countries under the Nigeria refugee response plan are covered by HRPs and are thus included under a.
- e. Non-HRP countries EXCLUDED from underfunded consideration:
 - o Countries that received CERF Underfunded Emergencies allocations in the 2017 Second Round with implementation of activities through June 2018: none
 - o Countries that have received substantial Rapid Response funds in 2017 that will still be implemented in 2018: none

II. Risk and vulnerability analysis: Financial analysis is coupled with an analysis of risk and vulnerability to provide a more rounded vision of humanitarian requirements in the country. Thus, while the allocation will focus on underfunded emergencies, the level of underfunding alone will not determine whether a country will be included in this allocation round. Vulnerability data includes the most recent data available from the Index for Risk Management (INFORM) and several other components, which are aggregated in the CERF Index for Risk and Vulnerability (CIRV). The methodology is described in detail in a separate document.

III. Additional considerations: The CERF secretariat will consult the UFEWG, different parts of OCHA, and the ICVA-led NGO working group on humanitarian financing to ensure that all factors which influence the humanitarian situation are carefully reviewed and considered. The CERF secretariat will review Humanitarian Needs Overviews, Humanitarian Response Plans and other available documents. The CERF secretariat will also review the Resident/Humanitarian Coordinator (RC/HC) narrative CERF reports for

2016/2017 on the use of CERF funds in the shortlisted countries to examine implementation capacity and operating environment, as well as quality of reporting. In addition, the CERF secretariat will consider previous and ongoing CERF support and each country's ability to implement by reviewing no-cost extension and reprogramming requests, as well as the status of financial reporting (i.e., funds used vs. unused/returned).

C. ERC Country Selection and Funding Apportionment

The ERC, when making the final decision on the country selection for this allocation round, also decides an allocation envelope for each country comparing funding gaps and requirements across the selected countries.⁴ The apportionment calculation will be based on the review of HRP requirements and funding, and information provided by the UFEWG.

D. Field consultations

Following decisions on country selection and apportionment, the ERC informs the respective RC/HCs of their country's selection and may emphasize particular gaps to consider during the prioritization process. RC/HCs are requested to confirm their commitment to lead the prioritization process and asked to submit a prioritization strategy to the CERF approximately two weeks after the final decision is communicated. For countries with an HRP, the prioritization strategy should reflect or summarize consultations and decisions during the 2018 planning process.

⁴ The final amount allocated to each country may be adjusted following review of country applications submitted to CERF.

2. Timeline

A. Preparations

27 October 2017	CERF circulates the draft Guidance Note to the UFEWG, NGO focal points and OCHA PSB <u>with comments due by 9 November</u>
7 November	CERF circulates initial risk and vulnerability analysis
9 November	1st UFEWG meeting: Preliminary discussion of non-HRP countries
10 November	Final version of the Underfunded Emergencies 2018 First Round Guidance Note posted on the CERF website and disseminated to UN agencies and OCHA HQ

B. Country Selection

10 November	Cutoff date for HRP countries 2017 reporting to the Financial Tracking Service http://fts.unocha.org/
13 November	UN agencies submit initial non-HRP recommendation forms to UFEWG Lead
13 November	CERF begins analysis on HRP funding and finalizes severity analysis
14 November	UFEWG lead agency shares initial non-HRP recommendations with the WG and CERF
16 November	2nd UFEWG meeting: Decide on final five non-HRP countries for recommendation
20 November	UN agencies submit final non-HRP recommendation forms and statements of priorities to UFEWG Lead
21 November	Deadline for UFEWG lead agency to submit recommendation forms for the five agreed non-HRP countries to the CERF secretariat
24 November	Deadline for UFEWG lead agency to submit the non-HRP consolidated statement of priorities for review by the group
24 November	CERF to complete and circulate funding and severity analysis of HRP and non-HRP countries
28 November	3rd UFEWG meeting: Consultations and recommendations on five HRP countries
28 November	Deadline for UN agencies to provide feedback on statement of priorities to the UFEWG lead agency
29 November	Consultations with NGO Working Group on Finance
29 November	Consultations with OCHA PSB
29 November	Deadline for UFEWG lead agency to submit final statement of priorities to CERF
1 December	CERF submits the proposed country selection and apportionment to ERC
4 December	ERC consultation on country selection and apportionment
5 December	ERC communicates allocation decisions to RC/HCs and requests acceptance via email
7 December	Deadline for RC/HCs to respond to ERC
7 December	CERF circulates final country selection and apportionment
8 December	SG announcement of UFE countries at the CERF 2018 High Level Conference
12 December	CERF sends guidance package to RC/HCs and country focal points
13 December	4th UFEWG meeting: Lessons learned

C. Field prioritization process and submission

19 January	Deadline for RC/HCs submission of prioritization strategy to CERF
Early February	ERC press release and launch of communications strategy
12 February	Deadline for RC/HCs submission of full application to CERF

D. Submission review

31 March	UFE 2018 Round 1 closes (i.e., cut-off for field revisions to projects)
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Annex 1: Guidance for non-HRP countries

The CERF secretariat relies on recommendations made by the headquarters representatives of UN agencies in the UFEWG for the selection of countries without a HRP. The analysis should consist of the following:

Country selection criteria:

- **Level of underfunding of core humanitarian activities/programmes in a country:**
 - Established annual funding requirements for current core humanitarian country programmes, based on demonstrable needs assessments measured against available funding
 - When assessing the level of funding, agencies should consider forthcoming contributions and/or allocations
- **Severity of humanitarian needs in the country and the type of programmes/activities implemented in line with the CERF Life-Saving Criteria:⁵**
 - Countries in a transitional or developmental state, in which agencies implement clearly development-oriented interventions, can usually not be considered.
- **Capacity to address existing needs and to implement CERF funds in time:**
 - Agencies must have the capacity to provide life-saving relief and implement CERF grants within the established timeframe.⁶

Role of the Individual Agency:

- **Step 1:** Each agency will be invited to recommend a maximum of two highest-priority (tier 1) and three high priority (tier 2) countries.
- **Step 2:** Once the final recommended list of five countries has been validated by the UFEWG, each agency must submit to the lead agency a non-HRP country recommendation form for each of the final countries. The form includes:
 - Narrative information: A brief description of current caseload, programming, priorities and implementation capacity
 - Funding information: 2017 humanitarian requirements and funding commitments received to date and 2018 expected humanitarian requirements
 - Details on the humanitarian situation to contribute to the “statement of priorities”

Role of the Lead Agency:

- **Step 1:** UNICEF, as the lead agency, will consolidate a list of recommended countries, ranked by voting score (adding up 1 point for each tier 1 vote and 0.5 points for each tier 2 vote). Once the list is formulated, the lead agency should inform the CERF secretariat to start initial analysis.
- **Step 2:** Once the final recommended list of countries has been validated by the UFEWG, the lead agency receives the non-HRP country recommendation forms from each agency.
- **Step 3:** The lead agency then consolidates the information using the agreed formats and submits it to the CERF secretariat on the closing date.
- **Step 4:** The lead agency to submit the non-HRP consolidated statement of priorities for review by the group, receives feedback, finalizes and submits to the CERF secretariat on the closing date.

Forms to be used:

- Initial and final non-HRP consolidated recommendations sheet (for lead agency). The final sheet includes statements of priorities.
- Initial and final non-HRP agency recommendation form

Key documents available:

- 2018 Index for Risk Management⁷
- Other data and documents will be added as they become available

⁵ Available at: www.unocha.org/cerf

⁶ Funds must be expended and activities completed by 30 June 2017.

⁷ www.inform-index.org