

14 November 2016

## 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 2017. 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 2017, 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 2016, 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, the analysis will be based on 2016 appeal funding levels as of 13 November.** For recommended non-HRP countries, UN agencies will provide data on 2016 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, UN<sup>1</sup> 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. FAO 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,<sup>2</sup> 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:
  - 2016 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 2017
- The lead agency will consolidate the UFEWG list of **no more than five non-HRP countries**, ranked according to agencies' support.<sup>3</sup> 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.

<sup>1</sup> FAO, IOM, OCHA, UNDP, UNFPA, UNHCR, UNICEF, WFP, WHO

<sup>2</sup> 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>

<sup>3</sup> 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:

- Afghanistan, Burkina Faso, Burundi, Cameroon, Djibouti, Democratic People's Republic of Korea, Gambia, Guatemala, Haiti, Honduras, Iraq, Libya, Mali, Mauritania, Myanmar, Niger, Nigeria, occupied Palestinian territory, Pakistan, Senegal, Somalia, South Sudan, Sudan, Syria, Syria 3RP (Egypt, Iraq, Jordan, Lebanon, Turkey), Ukraine, Zimbabwe,

b. HRPs or comparable response plans EXCLUDED from underfunded consideration:

- Countries that received CERF Underfunded Emergency allocations in the 2016 Second Round with implementation of funds ongoing through June 2017: Chad, Central African Republic, Democratic Republic of the Congo, Yemen
- new or upcoming Rapid Response applications: no countries have received rapid response allocations substantial enough to exclude them from this round
- Regional appeals with no country requirements specified: 2016 Sahel Regional Appeal (individual countries, as listed above, can still be considered)

*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 2016 that will be considered as non-HRP countries:

- Ecuador, Ethiopia, Fiji, RIASCO Action Plan for Southern Africa (Angola, Lesotho, Madagascar, Malawi, Mozambique, Swaziland)

d. Countries covered by a Regional Refugee Response Plan (RRRP) that will be considered as non-HRP countries:

- Burundi RRRP: Tanzania, Uganda
- Central African Republic RRRP: Republic of Congo
- South Sudan: Ethiopia, Kenya, Uganda
- Yemen: Ethiopia

(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:

- Countries that received CERF Underfunded Emergencies allocations in the 2016 Second Round with implementation of activities through June 2017: Eritrea, Rwanda
- Countries that have received substantial Rapid Response funds in 2016 that will still be implemented in 2017: no countries have received rapid response allocations substantial enough to exclude them from this round

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 2015/2016 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. Apportionment process**

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.<sup>4</sup> 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 will inform RC/HCs of the rationale for selecting the country and may emphasize particular gaps to consider during the prioritization process. RC/HCs will be requested to confirm their commitment to lead the prioritization process and asked to submit a prioritization strategy to the CERF approximately one month after the final decision is communicated. For countries with an HRP, the prioritization strategy should reflect or summarize consultations and decisions during the 2017 planning process.

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

## 2. Timeline

### A. Preparations

20 October 2016	CERF circulates the draft Guidance Note to the UFEWG and OCHA's PSB with comments due by 4 November
<b>9 November</b>	<b>1<sup>st</sup> UFEWG meeting: Preliminary discussion of non-HRP countries</b>
14 November	Final version of the Underfunded Emergencies 2017 First Round Guidance Note posted on the CERF website and disseminated to UN agencies and OCHA HQ

### B. Country Selection

13 November	Cutoff date for HRP countries 2016 reporting to the Financial Tracking Service <a href="http://fts.unocha.org/">http://fts.unocha.org/</a>
14 November	UFEWG lead agency shares preliminary non-HRP voting with the CERF secretariat
<b>15 November</b>	<b>2<sup>nd</sup> UFEWG meeting: Internal consultations to recommend six non-HRP countries</b>
17 November	CERF begins HRP funding and severity analysis
<b>23 November</b>	<b>Deadline for UFEWG lead agency to submit final list and recommendation forms for recommended non-HRP countries to the CERF secretariat</b>
30 November	Deadline for UFEWG lead agency to submit narrative information for recommended non-HRP countries to the CERF secretariat
1 December	CERF to complete and circulate funding and severity analysis of HRP and non-HRP countries
<b>6 December</b>	<b>3<sup>rd</sup> UFEWG meeting: Consultations with UFEWG on HRP and non-HRP countries</b>
<b>7 December</b>	<b>Consultations with NGO Working Group on Finance</b>
<b>8 December</b>	<b>Consultations with OCHA PSB</b>
9 December	CERF submits the proposed country selection and apportionment to ERC
<b>12 December</b>	<b>1<sup>st</sup> ERC consultation on country selection and apportionment</b>
14 December	2 <sup>nd</sup> ERC consultation ( <i>if needed</i> )
<b>15 December</b>	<b>4<sup>th</sup> UFEWG meeting: Announcement of selected countries and lessons learned</b>
20 December	ERC communicates allocation decisions to RC/HCs and requests acceptance via email
2 January 2017	Deadline for RC/HCs to respond to ERC
4 January	CERF confirms final country selection and apportionment with UFEWG

### C. Field prioritization process and submission

20 January	Deadline for RC/HCs submit prioritization strategy to ERC
Early February	ERC press release and launch of communications strategy
10 February	Deadline for submission of full application, including projects, from HRP countries
17 February	Deadline for submission of full application, including projects, from non-HRP countries

### D. Submission review

31 March	UFE 2017 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 take into account 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:<sup>5</sup>**
  - 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.<sup>6</sup>

### 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: 2016 humanitarian requirements and funding commitments received to date and 2017 expected humanitarian requirements

### Role of the Lead Agency:

- **Step 1:** 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.

### 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:

- 2016 Index for Risk Management<sup>7</sup>
- Other data and documents will be added as they become available

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<sup>5</sup> Available at: [www.unocha.org/cerf](http://www.unocha.org/cerf)

<sup>6</sup> Funds must be expended and activities completed by 30 June 2017.

<sup>7</sup> [www.inform-index.org](http://www.inform-index.org)

**Annex 2: CERF Process for Underfunded Emergencies Allocations**

