

## 1. Summary guidelines for Country Selection and Apportionment

The commencement of the underfunded emergencies (UFE) 2017 second round was temporarily suspended this year due to increased demands for humanitarian funding and delayed and inadequate donor contributions to CERF. To mitigate the probability of a negative cash balance, CERF was faced with either reducing or cancelling the UFE round, in addition to lowering projected rapid response (RR) allocations.

Days away from the decision to cancel the UFE for the first time in CERF's history, the CERF secretariat developed additional options and mitigating measures to manage the cash flow and projected end of year balance. The secretariat also engaged in a targeted and rapid resource mobilization campaign. New donor commitments materializing in June have allowed the CERF to proceed with the UFE round.

### A. Planning figures

**Amount:** The Central Emergency Response Fund (CERF) secretariat has set aside \$145 million for the two UFE rounds in 2017. This amount is based on CERF's updated income projection in June of \$435 million for the year and reflects the one-third provision for underfunded emergencies. The first round in 2017 had a volume of \$100 million, thus, for the second round, the Emergency Relief Coordinator (ERC) has set aside **\$45 million**.

**Number of countries:** The Emergency Relief Coordinator (ERC) will select up to **5 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

The UFE second round normally starts in mid-May and runs until 30 September with implementation of agency projects to be completed by 30 June the following year, as determined in the Secretary-General's Bulletin.<sup>1</sup> Due to the delayed start of this round, there is a need to abridge the UFE processes so that the country selection/apportionment and country team applications with project approvals are completed by mid-October to avoid major interference with other Humanitarian Program Cycle processes (such as the development of the 2018 Humanitarian Needs Overviews and Humanitarian Response Plans in September – November; and the commencement of the UFE 2018 first round in October).

By reducing the standard 19-week process to 15-weeks, CERF has condensed the country selection exercise (as described below) and will take additional measures to ensure country teams are afforded the opportunity to complete their projects in the standard nine-month implementation period for UFE. For the 2017 second round, the ERC will allow early start dates for all UFE projects based on the date that the RC/HC submits a country team application thus affording agencies up to three additional weeks. CERF will ensure these corrective actions are duly reflected in the individual agency approval letters and in the final communication from the ERC to respective RC/HCs after the approval of all application projects.

**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**

<sup>1</sup> Secretary-General's Bulletin, Establishment and operation of the Central Emergency Response Fund, 23 April 2010

**be based on 2017 appeal funding levels as of 30 June.** 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 HRP and non-HRP countries (see annex 1 for more details):*

- Prior to the first meeting, CERF will circulate to UFEWG limited funding data and INFORM risk/vulnerability ranking for the 16 identified HRP countries and all other countries represented as non-HRP.
- UN<sup>2</sup> agency headquarters (“agencies”) will prioritize HRP and non-HRP countries in the UFEWG. Each agency will nominate six countries and provide a concise rationale for each nomination. These countries are then compiled into a consolidated list of all nominated countries and emergencies – HRP and non-HRP countries – to be 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>3</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:
  - 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 30 June 2018
- Based on nominated countries from UFEWG agencies CERF will consolidate a list of **no more than six HRP and non-HRP countries**, informed by agencies’ support and rationale.<sup>4</sup> Each agency must provide full funding for non-HRP countries and narrative information for each of the final recommended countries.

*HRP and non-HRP countries:*

*HRP countries:*

- a. 16 countries and emergencies with an HRP or comparable response plan to be considered:
  - Afghanistan, Burkina Faso, Central African Republic, Chad, Democratic Republic of Congo (DRC), Djibouti, Ethiopia, Haiti, Mauritania, occupied Palestinian territory, Senegal, Sudan, Syria, Ukraine, Yemen
  - 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:
  - Countries that received CERF Underfunded Emergency allocations in the 2017 First Round with implementation of funds ongoing through December 2017: Cameroon, Democratic People’s Republic of Korea, Libya, Mali, Niger, Nigeria, Somalia
  - HRPs with funding reported on FTS of 33% (the global average) or higher as of 30 June: Burundi, Iraq, Myanmar, South Sudan and Syria 3RP (Egypt, Iraq, Jordan, Lebanon, Turkey)
  - 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: none

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

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<sup>2</sup> FAO, IOM, OCHA, UNDP, UNFPA, UNHCR, UNICEF, WFP, WHO

<sup>3</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>4</sup> If the score of the sixth-ranked country is equal to the fifth-ranked country, it may also be included.

c. Countries with a Flash Appeal or other type of appeal or plan document in 2017 that will be considered as non-HRP countries:

- Madagascar Flash Appeal, Mozambique Cyclone Dineo Flash Appeal, Peru Flash Appeal

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

- Burundi RRRP: Rwanda, Tanzania  
(The other countries under Burundi RRP (DRC and Uganda) and all countries under the Nigeria RRP (Cameroon, Chad, Niger), South Sudan RRP (CAR, DRC, Ethiopia, Kenya, Sudan, Uganda) are covered by HRPs and are thus included under a.; unless they already received funds during the UFE 2017-1 and are therefore excluded under b and e.)

e. Non-HRP countries EXCLUDED from underfunded consideration:

- Countries that received CERF Underfunded Emergencies allocations in the 2017 first round with implementation of activities through December 2017: Madagascar, Uganda
- Countries that have received substantial Rapid Response funds in 2017 with implementation of funds ongoing through December 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), the IASC Alert, Early Warning and Readiness Report and a limited number of other indicators in this abridged UFE process. The methodology will be 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>5</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 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 2017 planning process.

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<sup>5</sup> The final amount allocated to each country may be adjusted following review of country applications submitted to CERF.

## 2. Timeline

### A. Preparations

3 July	CERF circulates the draft Guidance Note to the UFEWG and OCHA's CRD and PSB with <u>comments due by 7 July</u> CERF circulates to UFEWG limited funding data and INFORM risk/vulnerability ranking for HRP and non-HRP countries
7 July	<b>1<sup>st</sup> UFEWG meeting at 09.00 NY time: Nomination of six HRP and non-HRP countries</b> <b>By NOON NY time all agencies to submit to CERF nominations for HRP and non-HRP countries with rationale per country and the 2017 non-HRP countries humanitarian requirements and funding</b>
7 July	Final version of the Underfunded Emergencies 2017 Second Round Guidance Note posted on the CERF website and disseminated to UN agencies and OCHA HQ

### B. Country Selection and Apportionment

30 June	Cut-off date for agencies reporting to the Financial Tracking Service <a href="http://fts.unocha.org/">http://fts.unocha.org/</a>
8 July	CERF circulates to UFEWG long list #1 of all nominated HRP and non-HRP countries including rationale and non-HRP funding data
13 July	<b>By 10.00 NY time any agencies with updated nominations submit to CERF with rationale per country and, if applicable, the 2017 non-HRP funding data</b>
13 July	By COB CERF consolidates and then circulates to UFEWG long list #2 of all nominated HRP and non-HRP countries including feedback and updated data
14 July	<b>2<sup>nd</sup> UFEWG meeting: Internal consultations on long list #2 of HRP and non-HRP countries</b>
19 July	<b>Deadline for all agencies to submit FINAL nominations for six HRP and non-HRP countries to CERF</b>
20 July	CERF begins analysis based on UFEWG nomination scoring, funding and INFORM ranking of nominated countries
26 July	CERF to complete short-list and circulate funding and severity analysis of HRP and non-HRP countries
28 July	<b>3<sup>rd</sup> UFEWG meeting: Consultations on HRP and non-HRP analysis</b>
1 August	<b>Consultations with OCHA PSB</b>
2 August	<b>Consultations with NGO Finance Working Group (tbc)</b>
4 August	CERF submits the proposed country selection and apportionment to ERC
9 August	1 <sup>st</sup> ERC consultation on country selection and apportionment
10 August	2 <sup>nd</sup> ERC consultation ( <i>if needed</i> )
11 August	<b>4<sup>th</sup> UFEWG meeting on decisions</b>
11 August	ERC communicates allocation decisions to RC/HCs and requests acceptance via email
16 August	Deadline for RC/HCs to respond to ERC
17 August	CERF confirms final country selection and apportionment with UFEWG by email

### D. Field prioritization process and submission

22-23 August	CERF webinars for selected countries
Week of 21 August	ERC press release
28 August	Deadline for RC/HCs submit prioritization strategy to ERC
11 September	Deadline for submission from HRP and non-HRP countries

### E. Submission review

16 October	UFE 2017 Round 2 closes (i.e., cut-off for field revisions to projects)
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## **Annex 1: Guidance for UFEWG**

Given the condensed country selection process for the UFE 2017-2, the CERF secretariat will rely on recommendations made by the headquarters representatives of UN agencies for the short-listing of HRP and non-HRP countries. 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>6</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>7</sup>

### Role of the Individual Agency:

- **Step 1:** 7 July - Each agency will be invited to nominate a maximum of six HRP and non-HRP countries. This includes submission on one form listing the six countries with a brief 200-word justification for each country and financial requirements with funding received for non-HRP countries.
- **Step 2:** 13 July – By 10.00, any agencies with updated nominations submit to CERF with rationale per country and, if applicable, the 2017 non-HRP funding data
- **Step 3:** 19 July – Deadline for all agencies to submit FINAL nominations for six countries to CERF with rationale per country and, if applicable, the 2017 non-HRP funding data

### Role of the CERF to replace the lead agency:

- **Step 1:** 8 July - CERF circulates to UFEWG long list #1 of all nominated HRP and non-HRP countries including rationale and non-HRP funding data
- **Step 2:** 13 July - By COB CERF consolidates and then circulates to UFEWG long list #2 of all nominated HRP and non-HRP countries including feedback and updated data
- **Step 3:** 20 July - CERF begins analysis based on UFEWG nomination scoring, funding and INFORM ranking of nominated countries
- **Step 4:** 26 July - CERF to complete short-list and circulate funding and severity analysis of HRP and non-HRP countries

### Forms to be used:

- HRP and non-HRP nomination form – to be used for initial, updated and final nominations

### Key documents available:

- 2017 Index for Risk Management<sup>8</sup>
- Other data and documents will be added as they become available

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<sup>6</sup> Available at: [www.unocha.org/cerf](http://www.unocha.org/cerf)

<sup>7</sup> Funds must be expended and activities completed by 30 June 2018.

<sup>8</sup> [www.inform-index.org](http://www.inform-index.org)