

Summary guidelines for Country Selection and Apportionment

- A. **Amount and Number of Countries:** The overall Underfunded Emergencies (UFE) amount for the **UFE 2019 first round** will be determined at the end of the UFE analytical and consultative process.¹ This will allow CERF to apply an evidenced-based approach to better align the total allocation to the results of the analytical prioritization process undertaken jointly by CERF, the UN-agencies and other stakeholders in prioritizing the most underfunded and vulnerable countries. A later timing of the allocation decision will also allow CERF to solidify the forecast of its 2019 income, thus providing the basis for a decision on an optimal UFE allocation. Given the expectation of increased income toward the \$1 billion funding target, CERF will recommend an allocation amount to the Emergency Relief Coordinator (ERC) in mid-December based on the needs determined by the analysis and forecasted income for 2019.
- B. **Country Identification**
1. Countries can qualify for UFE consideration either with or without a Humanitarian Response Plan (HRP) or equivalent appeal, henceforth known as “Financial Tracking Services (FTS)-tracked Appeals” and “non-FTS-tracked countries”.
 - a. The term “**FTS-tracked Appeals**” refers to countries with (1) an HRP or comparable appeal in place which is (2) tracked on FTS and (3) in sufficient detail, namely, funding to and outside the HRP/appeal as well as funding level per cluster/sector.
 - b. Countries not meeting the three criteria of FTS-tracked Appeals are considered “**non-FTS-tracked countries**”. These countries are identified and prioritized by the UN agency headquarters representatives of the UFEWG.² Each agency will provide its recommended countries in order of priority, starting with the country of highest priority and utilize a two-tier system for recommending said countries. The agencies should only include countries they propose to be discussed in the UFE-analytical process for potential funding. These countries are added to the list of all FTS-tracked Appeals (see item 2) and all emergencies are then analyzed to allow the ERC to make an informed overall funding decision.
 - c. Each UFE round, agencies assume the role of lead agency on a rotating basis. The International Organization for Migration (IOM) will be the lead agency of the UFEWG for this round. The lead agency will consolidate the UFEWG list of prioritized non-FTS-tracked countries. Each agency must provide full funding and specific narrative information for each of the final recommended non-FTS-tracked countries. The UFEWG should agree on a joint ‘statement of priorities’ for each of the recommended non-FTS-tracked countries given they have no inter-agency response plan, which outlines the needs and response of the country.
 2. Countries with FTS-tracked Appeals to be considered for this round (27):
 - a. HRPs and Regional Refugee and Resilience Plan (3RP): Afghanistan, Cameroon, Chad, Democratic Republic of the Congo, Ethiopia, Haiti, Iraq, Mali, Myanmar, Niger, Nigeria, occupied Palestinian territory, South Sudan, Somalia, Syria, Syria 3RP (covering Egypt, Iraq, Jordan, Lebanon, Turkey), Ukraine, Yemen.
 - b. Comparable other response plans that are tracked on FTS: Burkina Faso, Mauritania, Pakistan, Philippines, Senegal.
 3. Non-FTS-tracked countries to be considered this round (8):
 - a. Non-FTS-tracked countries: Any additional countries, which are not FTS-tracked, that are identified as priority by the UFEWG in the UFE-process.

¹ This practice was instituted during the UFE 2018 second round.

² Members of the UFEWG include headquarters representatives from: FAO, IOM, OCHA, UNDP, UNFPA, UNHCR, UNICEF, WFP, WHO

4. FTS-tracked Appeals and non-FTS-tracked countries to be excluded for this round (10):
 - a. FTS-tracked Appeals that received a UFE 2018 second round allocation with implementation of funds/activities through 30 June 2019: Bangladesh, Burundi, Central African Republic, Democratic People's Republic of Korea, Libya and Sudan. In addition, the Indonesia earthquake appeal is excluded as it was launched 1 October 2018.
 - b. Non-FTS-tracked countries that received a UFE 2018 second round allocation with implementation of funds/activities through 30 June 2019: Angola, Republic of Congo, Rwanda.

C. Analysis

5. As stipulated in section 4.3 of the Secretary-General's Bulletin on CERF,³ aid agencies in the recommended countries should address core emergency humanitarian needs in chronically underfunded emergencies. The selection will be based on following main factors:
 - o 2018 funding level of core humanitarian activities/programmes in the country
 - o Severity of humanitarian needs, risk and vulnerability
 - o Type of programmes/activities implemented
 - o Capacity to address existing needs and to implement CERF funds by 31 December 2019
6. **Funding analysis:** The CERF secretariat and ERC rely on information from OCHA's Financial Tracking Service (FTS) to analyze funding levels of emergencies. It is essential that this information is accurate, and it is important for organizations and donors to check and update FTS records (inside and outside a funding appeal) and report any discrepancies or missing funding (fts@un.org). For FTS-tracked Appeals, CERF will base the analysis on 2018 appeal funding levels reported in FTS as of 5 December 2018. For recommended "non-FTS-tracked countries", UN agency Headquarters will provide data on 2018 humanitarian funding requirements and contributions via the CERF Underfunded Emergencies Working Group (UFEWG). Information on contributions should also be reported to FTS in instances where it was not previously reported.
7. **Needs, 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 document⁴.
8. **Consultations:** The CERF secretariat will consult the UFEWG, the International Council of Voluntary Agencies (ICVA) Humanitarian Financing Working Group and OCHA⁵ to ensure that all factors which influence the humanitarian situation are carefully reviewed and considered.
9. **Additional considerations:** CERF will further review Humanitarian Needs Overviews (HNOs), HRP and other available documents such as upcoming donor conferences and expected pledges. Consideration is also given for FTS-tracked Appeals and any funding reported outside those appeals but that may support the overall humanitarian response; and funding through the 18 Country Based Pooled Funds.⁶ The CERF secretariat will also review the Resident Coordinator and Humanitarian Coordinator (RC/HC) narrative CERF reports for previous years on the use of CERF funds in the shortlisted countries to examine implementation capacity and operating environment, as well as quality of reporting. The secretariat will further consider previous and ongoing CERF support and each country's ability to implement by reviewing no-cost extension and

³ ST/SGB/2010/5, 23 April 2010, available at: <https://undocs.org/ST/SGB/2010/5>

⁴ Methodology for UFE Analysis available at:

http://www.unocha.org/cerf/sites/default/files/CERF/Underfunded%20Emergencies_Technical%20Methodology.pdf

⁵ OCHA is represented by the Operations and Advocacy Division in the UFEWG and the Assessment Planning and Monitoring Branch/Coordination Division is bilaterally consulted given their leadership on the development of HRP and management of FTS.

⁶ The 18 CBPF countries are: Afghanistan, Central African Republic, Democratic Republic of Congo, Ethiopia, Iraq, Jordan, occupied Palestinian territory, Lebanon, Myanmar, Nigeria, Somalia, South Sudan, Sudan, Syria, Turkey, Yemen,

reprogramming requests, as well as the status of financial reporting (i.e., funds used vs. unused/returned).

D. ERC Country Selection and Funding Apportionment

10. The ERC, when making the final decision on the total allocation amount for this UFE round and the country selection, also determines the funding envelope for each country comparing funding gaps and requirements across the selected countries. This apportionment calculation will be based on the review of funding requirements, funding levels, prioritization and complementary information provided by the UFEWG.

E. Announcement and Initiation process

11. Following the decision on the country selection and apportionment, the ERC informs the respective RC/HCs of their country's selection and may indicate specific identified needs for consideration during the prioritization process. RC/HCs are requested to confirm their commitment to lead the prioritization process and the UNCT/HCT's capacity to implement a CERF allocation, and to submit a prioritization strategy to the CERF approximately two weeks after the ERC's decision has been communicated in late December. For countries with an HRP, the prioritization strategy should reflect or summarize consultations and decisions made during the 2018 planning process. For the non-FTS-tracked countries, consultations undertaken in the CERF UFE prioritization process are to be considered.

F. CERF UFE 2019 first round timeline

Preparations	
26-Oct	Announcement to the UFEWG of the new round beginning with key dates
2-Nov	CERF circulates the draft UFE Guidance Note to UFEWG, ICVA Humanitarian Financing Working Group, OCHA Operations and Advocacy Division (OAD) and OCHA Assessment, Planning and Monitoring Branch (APMB)
7 Nov (10am NY)	Individual UFEWG members email preliminary priority suggestions for non-FTS-tracked countries to CERF
7 Nov (COB NY)	CERF shares with the UFEWG 1) consolidated list of prioritized non-FTS-tracked countries; 2) initial funding and severity analysis for FTS-tracked Appeals and 3) severity analysis of the non-FTS-tracked countries
9-Nov	1st UFEWG Meeting: Review of the Guidance Note and preliminary discussion of all countries under consideration
9-Nov (COB NY)	Deadline for comments on UFE Draft Guidance Note
12-Nov	Final Guidance Note: a. posted on CERF's website; and b. distributed to i) UN agency focal points, ii) RCs/HCs in countries included in the Guidance Note and iii) all OCHA country and regional offices.
Country selection	
13 Nov (TBD)	UFEWG lead agency/IOM facilitates a meeting to prioritize non-FTS-tracked countries initial recommendations list
19 Nov (12pm NY)	Deadline for UFEWG members to send "Initial Recommendation Forms for non-FTS-tracked Countries" to IOM (including initial funding data)
20-Nov (12pm NY)	Deadline for IOM to send consolidated UFEWG initial recommendation information for non-FTS-tracked countries to CERF
20-Nov (COB NY)	CERF to circulate funding and severity analysis of FTS-tracked Appeals and initial list of non-FTS-tracked countries under consideration
21-Nov	2nd UFEWG Meeting: Finalize list of prioritized non-FTS-tracked countries for recommendation
30 Nov (12pm NY)	Deadline for UFEWG members to send "Final Recommendation Form for non-FTS-tracked Countries" to IOM
5 Dec (COB NY)	Deadline for IOM to send consolidated UFEWG "Final Recommendation Forms for non-FTS-tracked Countries" and "Statement of Priorities" to CERF
5 Dec	CERF to extract data from Financial Tracking Service (FTS) on 2018 FTS-tracked Appeals to be used for final funding analysis
7 Dec	CERF to complete and circulate final funding and severity analysis of all countries under consideration to UFEWG, ICVA-led Humanitarian Financing Work Group and OCHA APMB
11 Dec (12pm NY)	UFEWG members to send CERF their top 10 recommendations for FTS-tracked Appeals
11-12 Dec	Consultations with ICVA-led Humanitarian Financing Work Group
11-12 Dec	Consultations with OCHA APMB
12 Dec	CERF to circulate back to the UFEWG their consolidated list top 10 FTS-tracked Appeals
13 Dec	3rd UFEWG Meeting: Final consultations with UFEWG
17 Dec	CERF submits the proposed country selection and apportionment to ERC
18-19 Dec	ERC-CERF consultation on country selection and apportionment
Country notification and public communications	

November	Development of UFE communications plan with the OCHA Strategic Communications Branch and Partnerships and Resource Mobilization Branch
21 Dec	ERC communicates allocation decisions to RC/HCs and requests acceptance via e-mail
4 Jan 2019	Deadline for RC/HCs to respond to ERC confirming acceptance of funds and identification of CERF focal points
7 Jan	CERF confirms final country selection and apportionment with UFEWG
14-18 Jan	4th UFEWG Meeting: Lessons learned (flexible date)
late Jan / early Feb	ERC press release for UFE 2019 First Round (flexible date)
Field prioritization and application process	
7-Jan	CERF sends application guidance package to country focal points
Week of 14 Jan	CERF provides webinars for country teams on the prioritization and strategy development process
28 Jan	Deadline for RC/HCs to submit respective prioritization strategy to ERC
18 Feb	Deadline for submission of full application with project proposals to the CERF secretariat
31 March	UFE 2019 First Round closes (i.e., cut-off date for field revisions to projects)

Annex 1: Guidance for Selection of Countries/Appeals not tracked on FTS/ non-FTS-tracked countries

The CERF secretariat relies on recommendations made by the headquarters representatives of UN agencies members of the UFEWG for the selection of countries that are not tracked on FTS (non-FTS-tracked countries). The recommendation should be based on an analysis 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 Criteria⁷:**
 - 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.⁸

Role of the Individual Agency:

- **Step 1:** Each agency will be invited to propose a preliminary list of Countries which have been identified/prioritized as the most underfunded and vulnerable, and email to the CERF secretariat prior to the 1st UFEWG meeting.
- **Step 2:** Each agency will submit an initial non-FTS-tracked countries recommendation form to the UFEWG lead agency.
- **Step 3:** Once the final recommended list of prioritized non-FTS-tracked countries has been validated by the UFEWG, each agency must submit to the lead agency a final non-FTS-tracked countries recommendation form for each of the final prioritized countries.

Role of the Lead Agency:

- **Step 1:** IOM, as the lead agency, will prepare and submit a consolidated list of initial recommended Countries to the CERF secretariat to start the initial analysis.
- **Step 2:** Once the final recommended list of non-FTS-tracked countries has been validated by the UFEWG, the lead agency receives the final non-FTS-tracked country recommendation forms and inputs for each country statement of priorities from the agencies. For each non-FTS-tracked country, the agency will need to identify which emergency in the country they are supporting (e.g., for a particular refugee caseload).
- **Step 3:** The lead agency consolidates the information using the agreed format and submits to the CERF secretariat by the closing date.
- **Step 4:** The lead agency circulates the non-FTS-tracked countries consolidated statement of priorities to the UFEWG for review – including per country the emergency to be supported. Members to provide feedback for the UFEWG Lead who finalizes and submits it to the CERF secretariat.

Forms to be used:

- Initial and final non-FTS-tracked countries consolidated recommendations table (with final consolidated statement of priorities) for the lead agency.
- Initial and final non-FTS-tracked country recommendation forms.

⁷ Available at: www.unocha.org/cerf

⁸ Funds must be expended, and activities completed by 30 June 2019.

Key documents available:

- 2019 Index for Risk Management⁹
- Other data and documents will be added as they become available.

⁹ INFORM-Index available at: www.inform-index.org