

# CERF UNDERFUNDED EMERGENCIES, 2018, 1<sup>ST</sup> ROUND

Overview of Decisions, 15 March 2018



## Summary

The United Nations Emergency Relief Coordinator (ERC) has set aside **US\$100 million** for the first allocation round in 2018 of the Underfunded Emergencies (UFE) window of the Central Emergency Response Fund (CERF).

Following a detailed analysis of global funding coverage and levels of risk, vulnerability and humanitarian needs, a document review, and consultations with UN agencies, NGOs and different parts of OCHA, the ERC decided to focus this allocation on the life-saving needs in neglected emergencies affecting nine countries. The funds will sustain life-saving relief in protracted emergencies where humanitarian suffering is alarmingly high while available resources are critically low. This funding will target:

- Populations affected/displaced by conflict in Cameroon, the Democratic Republic of the Congo, Mali, Pakistan and the Philippines. In Cameroon, the response also includes refugee and returnee communities, while in Pakistan and the Philippines, the response includes IDP returnees;
- Refugees and asylum seekers in Tanzania and Uganda;
- Food security and malnutrition needs in Eritrea for the local and refugee populations; and
- Populations affected by disease outbreaks and recent hurricanes in Haiti.

All of the selected crises are severely underfunded as of end-2017. Globally, the humanitarian funding gap stood at \$17.3 billion in mid-2017 and only one humanitarian response plan was more than 50 per cent funded.<sup>1</sup> The humanitarian emergencies selected for this allocation round are among the most poorly funded. The highest-funded among them, Cameroon, has only received 47 per cent of its requirements at the time of CERF's analysis in December 2017. All of the selected crises show high levels of risk, vulnerability and humanitarian needs, as further described below. The following table lists the selected countries with allocation amounts.

### UFE Funding envelope

#	Country	Response Plan	Allocation
1	Cameroon	HRP	10
2	DRC	HRP	28
3	Eritrea	Non-HRP	5
4	Haiti	HRP	9
5	Mali	HRP	8
6	Pakistan	HRP	8
7	Philippines	Non-HRP	5
8	Tanzania	Non-HRP	10
9	Uganda	Non-HRP	17
		<b>Total</b>	<b>100M</b>

The CERF secretariat's data analysis and document review, and consultations with the UN agency Underfunded Emergencies Working Group, an NGO working group on humanitarian financing, and other parts of OCHA highlighted the high levels of risk, vulnerability and humanitarian needs, and the severe funding shortfalls in the recommended countries.

<sup>1</sup> OCHA: Global Humanitarian Overview 2017, June Status Report

## Background

CERF was established by General Assembly Resolution 60/124 of 15 December 2005 and is managed by the Emergency Relief Coordinator and Under-Secretary-General for Humanitarian Affairs. The general mandate of CERF is to: 1) promote early action and response to reduce loss of life; 2) enhance response to time-critical humanitarian requirements; and 3) strengthen core elements of humanitarian response in underfunded crises.

To meet these objectives, CERF has two grant windows: rapid response (RR) and underfunded emergencies (UFE). Within an annual fundraising target of \$450 million, two-thirds of the Fund is earmarked for rapid response grants. The remaining one-third is set aside for underfunded emergencies and allocated in two rounds per year (first round in January-March and second round in July-September). To maximize the impact of the underfunded window, grants are allocated to a limited number of countries per round.

In December 2017, the ERC set aside \$100 million for the UFE 2018 first round. The purpose of this document is to provide a summary of the process and decisions that led to the country selection and apportionment for the round.

## Key Participants

The ERC manages CERF on behalf of the United Nations Secretary-General, and decides which countries will receive allocations and how much to provide to each country.

The CERF secretariat, in the UN Office for the Coordination of Humanitarian Affairs (OCHA), leads the UFE process, compiling and analysing information, consulting with stakeholders and presenting recommendations to the ERC.

The CERF Underfunded Emergencies Working Group (UFEWG) is composed of the headquarter-level CERF focal points of UN agencies, funds and programmes,<sup>2</sup> and OCHA. The UFEWG provides guidance and comments during the CERF underfunded emergencies process, including recommending countries without a Humanitarian Response Plan (HRP), or similar strategy, for allocations.

NGOs were consulted, both to provide inputs on specific emergencies and to provide feedback on the methodology of the analysis. The CERF secretariat, together with ICVA, invited members of an NGO working group on humanitarian financing to a meeting.

Various OCHA entities are consulted during the underfunded emergencies process, including the Coordination and Response Division (CRD) and the Programme Support Branch (PSB). Other parts of OCHA, regional and country offices are consulted as needed.

## Steps for Initial Short-Listing of Countries

As a starting point, all countries with a humanitarian response plan (HRP), regional (refugee) response plan (RRP) or a similar humanitarian strategy were considered, as long as funding for the strategy is tracked in detail on the Financial Tracking Service (FTS).<sup>3</sup> These countries are referred to as 'HRP countries'. The UFEWG recommended an additional four countries without an HRP, RRP or similar strategy, the 'non-HRP countries', which were also included in the analysis.

Appeals **excluded** from consideration were the following:

- Countries that received CERF Underfunded Emergency allocations in the 2017 Second Round with implementation of funds ongoing through June 2018: Afghanistan, Central African Republic, Chad and Sudan.
- Countries with 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: Regional Refugee and Migration Response Plan for Europe (Turkey, Greece, Former Yugoslav Republic of Macedonia, Serbia)

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

<sup>3</sup> fts.unocha.org

The UFEWG recommended five non-HRP countries (in order of ranking): Uganda, Tanzania, Eritrea, Cuba and Philippines.

Thus, a total of 29 emergencies (in 34 countries) were considered for this UFE round, including 29 covered by a Humanitarian Response Plan (HRP) or equivalent response plan, five covered by the Syria Regional Refugee and Resilience Plan (3RP), collectively referred to as 'HRP countries', and five countries without a response plan that were recommended by the UFE working group ('non-HRP countries'): Burkina Faso, Burundi, Cameroon, Cuba, Djibouti, Democratic Republic of Congo, Eritrea, Ethiopia, Haiti, Iraq, Kenya, Democratic People's Republic of Korea, Libya, Mali, Mauritania, Myanmar, Niger, Nigeria, the occupied Palestinian territory, Pakistan, Philippines, Senegal, Somalia, South Sudan, Syria, the Syria refugee response plan (Egypt, Iraq, Jordan, Lebanon and Turkey), Tanzania, Uganda, Ukraine, and Yemen.

## Analysis

The analysis is described in detail in a separate document on the methodology for UFE allocations, available on the CERF website.<sup>4</sup>

### Funding Analysis

The objective of the funding analysis is to identify emergencies with the most severe level of underfunding. This is the primary criterion for inclusion in a UFE round.

The data for the funding analysis of HRP countries come from the FTS.<sup>5</sup> The funding data for recommended non-HRP countries are collected from the members of the UFEWG, since they are not fully available on FTS.

In the analysis, available funding for humanitarian programming is compared to funding requirements to calculate the funding level. The funding level of each eligible HRP country and of the recommended non-HRP countries is compared to the global average funding level. The global average funding level can be calculated in different ways. Thus, emergencies whose funding level is below all measures remain in the pool of eligible countries. The range between the lowest and the highest measures represents a grey zone, and emergencies whose funding level falls in the grey zone may remain in the pool of eligible countries. Emergencies with a funding level above all measures are typically not considered, unless there are other, extraordinary reasons.

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<sup>4</sup> [cerf.un.org](http://cerf.un.org)

<sup>5</sup> <https://fts.unocha.org/>

## Risk and Vulnerability Analysis

For underfunded emergencies, as defined during the funding analysis, the level of risk and vulnerability is assessed. Data on all aspects of risk, vulnerability and humanitarian needs are combined into a single index, the **CERF Index for Risk and Vulnerability (CIRV)**.<sup>6</sup> CIRV includes six measures that cover the full range of factors influencing the humanitarian situation, which are listed in the index. The six measures are standardized and then weighted according to the scope of information each covers before being included in the CIRV. The Index for Risk Management (INFORM) accounts for 50 per cent of CIRV since it already includes about 50 different measures, and the five other components together account for the remaining 50 per cent.<sup>7</sup>

CERF Index for Risk and Vulnerability (CIRV)	
50% of CIRV	50% of CIRV
<p><b>Index for Risk Management (INFORM)</b></p> <p>Accounts for 1/2 of CIRV</p> <p>Includes about 50 indicators</p> <p>Based on quantitative data</p> <p>Forward-looking (3-5 years)</p> <p>Dimensions include conflict, natural disaster, displaced and other vulnerable people, coping capacity</p>	<p><b>Projected risk of increase in humanitarian needs</b></p> <p>From IASC Alert, Early Warning &amp; Readiness Report</p> <p>Accounts for 1/12 of CIRV</p> <p>Based on qualitative assessments</p> <p>Forward-looking (6 months)</p>
	<p><b>Food Insecurity</b></p> <p>From FEWSNet Food Assistance Outlook Brief, FAO's Global Information and Early Warning System, and WFP's Vulnerability Analysis and Mapping</p> <p>Accounts for 1/12 of CIRV</p> <p>Based on quantitative data on food insecurity</p> <p>Forward-looking (6 months)</p>
	<p><b>Prevalence of conflict</b></p> <p>From Uppsala Conflict Data Program</p> <p>Accounts for 1/12 of CIRV</p> <p>Based on quantitative data on civil and int'l conflict</p>
	<p><b>Change in conflict intensity and conflict risk alert</b></p> <p>From International Crisis Group</p> <p>Accounts for 1/12 of CIRV</p> <p>Based on qualitative assessment of conflict</p> <p>Conflict risk alerts are forward-looking</p>
	<p><b>Human rights violations</b></p> <p>From Political Terror Scale</p> <p>Accounts for 1/12 of CIRV</p> <p>Based on US State Department, Amnesty International, Human Rights Watch reports</p>

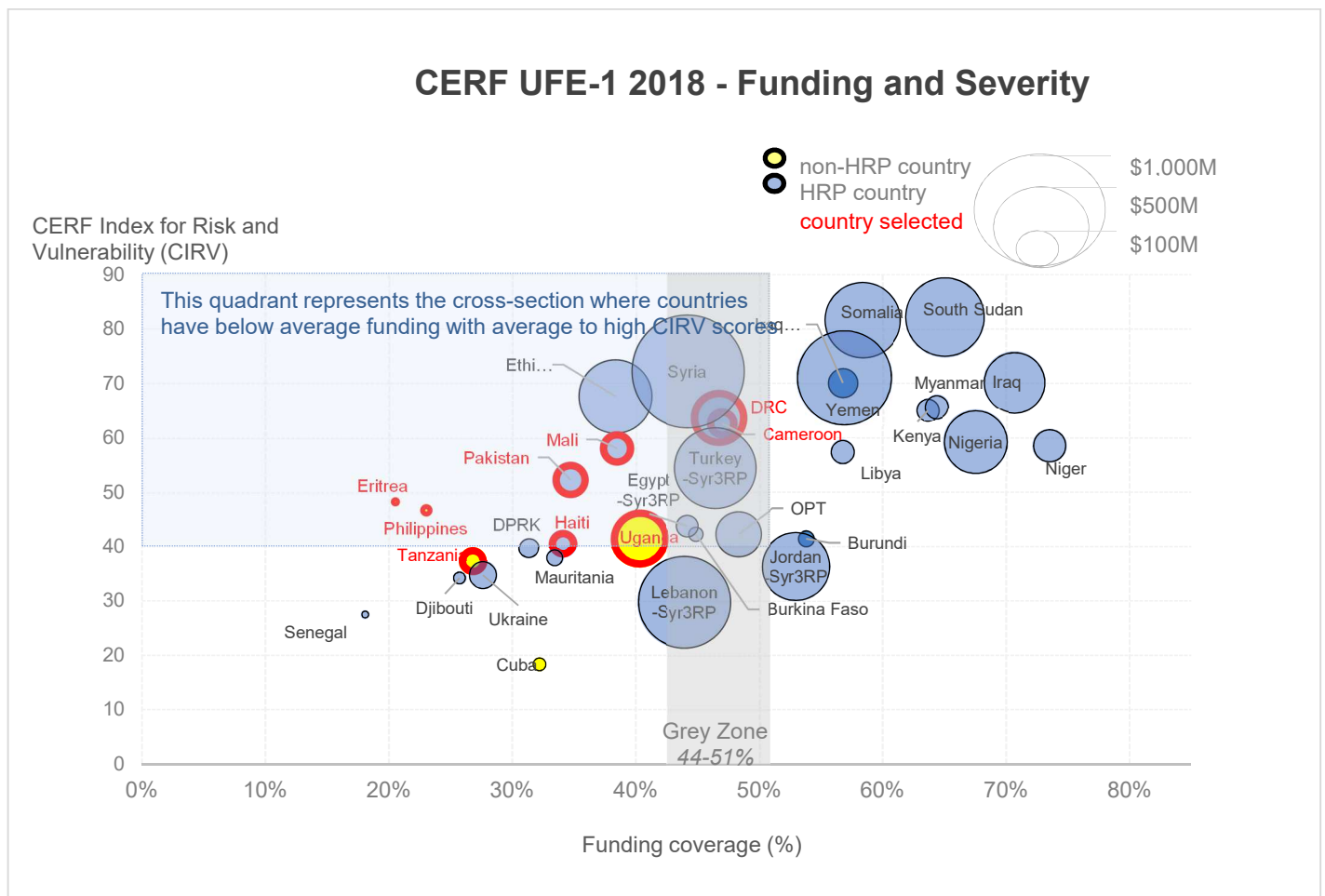
<sup>6</sup> First introduced for the 2016 first allocation round, see [www.unocha.org/cerf/resources/how-apply/underfunded-emergencies-0](http://www.unocha.org/cerf/resources/how-apply/underfunded-emergencies-0)

<sup>7</sup> Since the Early Warning Project no longer seems to update its assessments of the risk of massive human rights violations (mass killings), this indicator, which was used for the first UFE round in 2016, could not be used for the second round in 2016.

Graph 1 visualizes the funding, risk and vulnerability analysis. The horizontal axis shows the funding level and the vertical axis shows the risk and vulnerability level at the time of our analysis. The size of the bubbles indicates the absolute funding requirements for 2017, ranging from \$16 million for Senegal to \$3.4 billion for Syria. The average funding level of all analysed countries is 44 per cent based on FTS data for HRP countries and UN agency reporting for non-HRP countries. The global funding level was 51 per cent. Thus, countries with a funding level above 51 per cent are excluded, and countries with a funding level between 44 per cent and 51 per cent fall into a 'grey zone', which is indicated on the graph. The average CIRV score of countries analysed is 51, with a low 18 (Cuba) and a high 82 (Somalia and South Sudan).

The graph shows that for most emergencies the more severe the level of risk and vulnerability, the better the funding level. For example, Somalia and South Sudan have the highest vulnerability scores but are the most well-funded. The decision for some crises was clear. Eritrea, Mali, Pakistan and the Philippines had relatively low funding and high vulnerability. For other countries it was less clear. Haiti, Tanzania and Uganda had near-average vulnerability scores but relatively low funding. DRC and Cameroon had high vulnerability but their funding was in the 'grey zone' – funding levels between 44 and 51 percent. This quantitative analysis does not automatically translate into a country being selected for an allocation but it does contribute to the decision to recommend a country the ERC.

Graph 1: Funding, requirements, risk and vulnerability analysis for UFE allocation



## Recommended Countries

The ERC decided to focus this allocation on the life-saving needs in neglected emergencies affecting nine countries: Cameroon, DRC, Eritrea, Haiti, Mali, Pakistan, the Philippines, Tanzania and Uganda. Infographics on each individual country are available on the [CERF website](https://cerf.un.org).

## Non-Recommended Countries

All humanitarian emergencies are underfunded and the amount that will be available for this allocation round, \$100 million, is small compared to global needs. Thus, there were no easy choices in recommending the countries listed above and excluding others that also face funding gaps and high levels of needs.

#	Country	Response Plan	#	Country	Response Plan
1	Burkina Faso	HRP	14	Mauritania	HRP
2	Burundi	HRP	15	Myanmar	HRP
3	Cuba	non-HRP	16	Niger	HRP
4	Djibouti	HRP	17	Nigeria	HRP
5	Egypt	Syria 3RP	18	oPt	HRP
6	Ethiopia	HRP	19	Senegal	HRP
7	Iraq	HRP	20	Somalia	HRP
8	Iraq	Syria 3RP	21	South Sudan	HRP
9	Jordan	Syria 3RP	22	Syria	HRP
10	Kenya	other plan	23	Turkey	Syria 3RP
11	Korea, DPR	other plan	24	Ukraine	HRP
12	Lebanon	Syria 3RP	25	Yemen	HRP
13	Libya	HRP			

The following countries/emergencies were not recommended because, at the time of analysis, their funding level (or estimated funding level, in some cases) was above average levels: Burundi (54 per cent), Iraq-HRP (71 per cent), Iraq-3RP (57 per cent), Jordan-3RP (53 per cent), Kenya (64 per cent), Libya (57 per cent), Myanmar (64 per cent), Niger (74 per cent), Nigeria (68 per cent), Somalia (58 per cent), South Sudan (65 per cent) and Yemen (57 per cent).

Another group of countries, even though their funding level was low, was not recommended because the level of humanitarian needs, as measured by the CIRV index, was lower than in those recommended: Cuba (18), Djibouti (34), Senegal (28), Lebanon-3RP (30), Mauritania (38), Ukraine (35) and DPRK (40). Moreover, the countries did not receive much support from UN agencies or NGOs during the consultations.

Among the remaining countries, with higher levels of both underfunding and humanitarian needs, the decision became even more difficult. Ethiopia currently has 38 per cent funding reported on FTS against the \$1.4 billion humanitarian requirement, which combined with their high vulnerability levels would make the country an ideal candidate for UFE. However, most UN agencies disputed the low funding reported on FTS and based on details they provided to CERF, the UN agency funding coverage was found to be much higher, thus excluding Ethiopia from further consideration.

Further, even though the humanitarian needs in Burkina Faso, Egypt-3RP, occupied Palestinian territories (oPt), Turkey-3RP and Syria are not lower than in those recommended, their funding level falls into the 'grey zone'. Ranging between the global funding average of 51 per cent and the average of short-listed countries of 44 per cent, they were not prioritized over countries with comparably lower funding levels. Moreover, compared to the recommended countries Cameroon and Democratic Republic of Congo which also fall into the 'grey zone', but received support from most of the UN agencies and NGOs during the consultations, neither Burkina Faso, Egypt-3RP, occupied Palestinian territories (oPt), Turkey-3RP nor Syria were considered as top priority countries.

Another factor for not recommending Syria-3RP countries was that when taking funding outside the appeal into consideration Iraq (119 per cent), Lebanon (92 per cent), Jordan (111 per cent) and Turkey (98 per cent) appear to be considerably higher than average funded. Additionally, neither country received much support from UN agencies or NGOs during the consultations.