

## I. Summary guidelines for Country Selection and Apportionment

**Amount and Number of Countries:** Unlike in previous years and rounds, the overall Underfunded Emergencies (UFE) amount for the **UFE 2018 second round** will be determined at the end of the UFE analytical and consultative process. It 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 most underfunded and vulnerable countries. A later timing of the allocation decision will also allow CERF to solidify the forecast of its 2018 income, thus providing the basis for a decision on optimal UFE allocation. Given the expectation of increased income toward the \$1 billion funding target, CERF will recommend an allocation amount to the ERC based on the needs determined by the analysis and forecasted income for 2018.

### i. Country selection process

**a. 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 agencies and donors to check and update FTS records (inside and outside the HRP) and report any discrepancies or missing funding ([fts@un.org](mailto:fts@un.org)). For countries with an HRP or comparable appeal, CERF will base the analysis on 2018 appeal funding levels reported in FTS as at 22 May 2018. For recommended "non-HRP" countries (i.e. not tracked in FTS), UN agencies 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 case it was not reported before.

### b. 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<sup>1</sup>.

### c. For non-HRP countries (see Annex for more details):

Under the leadership of a lead agency, UN<sup>2</sup> agency headquarters ("agencies") will prioritize "non-HRP" countries in the UFEWG. Each agency will provide its recommended countries in order of priority, starting with the country of highest priority. 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 HRP countries (see below), and all emergencies – HRP and "non-HRP" countries – are analyzed to allow the ERC to make an informed overall 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 following main factors:
  - 2018 funding level of core humanitarian activities/programmes in the country
  - Severity of humanitarian needs, risk and vulnerability

<sup>1</sup> Methodology for UFE Analysis available at: [https://cerf.un.org/sites/default/files/resources/cerf\\_analysis-methodology\\_2018\\_en.pdf](https://cerf.un.org/sites/default/files/resources/cerf_analysis-methodology_2018_en.pdf)

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

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

- Type of programmes/activities implemented
  - Capacity to address existing needs and to implement CERF funds by 30 June 2019
- Agencies assume the role of lead agency on a rotating basis. **WFP will be the lead agency of the UFEWG for this round.** The lead agency will consolidate the UFEWG list of prioritized “non-HRP” countries. Each agency must provide full funding and specific narrative information for each of the final recommended “non-HRP” countries. The UFEWG should agree on a joint ‘statement of priorities’ for each of the recommended “non-HRP” countries.

**d. Additional considerations**

The CERF secretariat will consult the UFEWG and the International Council of Voluntary Agencies (ICVA) Humanitarian Financing Working Group to ensure that all factors which influence the humanitarian situation are carefully reviewed and considered. The CERF secretariat will review Humanitarian Needs Overviews, HRPs and other available documents such as upcoming donor conferences and expected pledges. The CERF secretariat will also review the Resident/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. 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).

**ii. ERC Country Selection and Funding Apportionment**

The ERC, when making the final decision on the total allocation amount for this UFE allocation round and the country selection, also determines the 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 funding requirements, funding levels, prioritization and complementary information provided by the UFEWG.

**iii. Announcement and Initiation process**

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. For countries with an HRP, the prioritization strategy should reflect or summarize consultations and decisions made during the 2018 planning process. For the “non-HRP” countries the consultations undertaken in the CERF UFE prioritization process are to be taken into account.

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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.

- iv. HRP (i.e. countries tracked in FTS) and “non-HRP” (i.e. countries not tracked in FTS) countries to be considered for UFE 2018 second round**
- a. Countries and emergencies with an HRP or comparable response plan that are tracked in FTS to be considered (22):**
- Afghanistan, Burundi, Chad, Central African Republic, Ethiopia, Iraq, Libya, Myanmar, Niger, Nigeria, occupied Palestinian territory, Republic of South Sudan, Somalia, Sudan, Syria, Ukraine, Yemen
  - Comparable response plans that are tracked on FTS: Bangladesh (Rohingya Refugee Crisis Joint Response Plan), Burkina Faso, DPR Korea, Mauritania, Senegal
- b. HRPs or comparable response plans that are tracked in FTS which are EXCLUDED from underfunded consideration (6):**
- Countries that received CERF UFE allocations in the 2018 first round with implementation of funds ongoing through June 2018: Cameroon, Democratic Republic of the Congo, Haiti, Mali, Pakistan
- c. Countries covered by a Regional Refugee Response Plan (RRRP) that will be considered as “non-HRP” countries for their refugee needs (18) as these are not comprehensively tracked in FTS:**
- Burundi RRRP: Rwanda
  - DRC RRRP: Angola, Burundi, Republic of Congo, Rwanda, South Africa, Zambia
  - South Sudan RRRP: Central African Republic, Ethiopia, Kenya, Sudan
  - Syria RRRP: Egypt, Iraq, Jordan, Lebanon, Turkey
  - Nigeria RRRP: Chad, Niger
  - The other countries under these RRRPs received a CERF UFE allocations in the 2018 first round. Thus, they are excluded from consideration in this UFE round.
- d. “Non-HRP” countries (i.e. countries not tracked in FTS) EXCLUDED from consideration in this UFE round (4):**
- Countries that received CERF Underfunded Emergencies allocations in the 2018 first round with implementation of activities through June 2018: Eritrea, Philippines, Tanzania, Uganda

## II. Timeline

### A. Preparations

15 May	CERF circulates the Draft Underfunded Emergencies 2018 Second Round Guidance Note to UFEWG, ICVA humanitarian financing working group, OCHA Operations and Advocacy Division (OAD) and OCHA Assessment, Planning and Monitoring Branch (APMB) <u>with comments due by 30 May 2018</u>
22 May	Cut-off date for Financial Tracking Service (FTS) data on 2018 HRP funding to be used for CERF funding analysis
28 May	UFEWG members email initial non-HRP country proposal(s) to CERF secretariat
<b>29 May</b>	<b>1<sup>st</sup> UFEWG meeting: Review of the Guidance Note and Initial discussion on proposed countries</b>
30 May	Deadline: Comments due on draft UFE Guidance Note
31 May	Final Guidance Note: i) posted on CERF's website; distributed ii) to UN agency focal points; iii) to RCs/HCs in countries included in the Guidance Note; and iv) to all OCHA regional and country offices.

### B. Country Selection

1 June	UN-agency meeting facilitated by WFP to prioritize “non-HRP” country recommendations
7 June	Deadline for UFEWG members to send initial “non-HRP” country recommendation forms to UFEWG lead agency WFP
11 June	NOON deadline for UFEWG lead agency to send initial “non-HRP” country recommendation forms to CERF
<b>12 June</b>	<b>2<sup>nd</sup> UFEWG meeting: Finalize list of prioritized “non-HRP” countries for recommendation</b>
19 June	Deadline for UFEWG members to send completed final “non-HRP” country recommendation forms to UFEWG lead agency
20 June	Deadline for UFEWG lead agency to send consolidated final “non-HRP” country recommendation forms to CERF
22 June	Deadline for UFEWG members to email list of recommended HRP countries to CERF and the UFEWG lead agency
25 June	CERF completes and circulates updated funding and severity analysis of HRP and “non-HRP” countries to UFEWG members
25 June	Consultations with ICVA humanitarian financing working group
25 June	Consultations with OCHA APMB
<b>26 June</b>	<b>3<sup>rd</sup> UFEWG meeting: Final Consultation on HRP and “non-HRP” countries</b>
29 June	CERF makes total allocation, country and country apportionment recommendation to ERC and Deputy ERC
2 July	ERC-CERF consultation on country selection and apportionment
25 July	<b>CERF communicates ERC allocation decisions to relevant RC/HCs</b>
27 July	Deadline for RC/HCs to respond to ERC
22 August 2	<b>4<sup>th</sup> UFEWG meeting: Lessons Learnt</b>

### C. Field prioritization process and application

30 July	CERF sends application guidance package to country focal points
1-8 August	CERF provides webinars for country teams on the prioritization and strategy development process
10 August	Deadline for RC/HCs submission of prioritization strategy to CERF
15-28 August	CERF provides webinars for country teams/applying agencies on project budgets

4 September                      Deadline for RC/HCs submission of full application to CERF

**D. Application review**

30 September                      UFE 2018 Second Round closes

## **Annex 1: Guidance for “non-HRP” countries** (i.e. countries that are not tracked on FTS)

The CERF secretariat relies on recommendations made by the headquarters representatives of UN agencies in the UFEWG for the selection of countries that are not tracked on FTS (“non-HRP” 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 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 propose a preliminary list of “non-HRP” 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-HRP country” recommendation form to the UFEWG lead agency.
- **Step 3:** Once the final recommended list of prioritised “non-HRP” countries has been validated by the UFEWG, each agency must submit to the lead agency a final “non-HRP” country recommendation form for each of the final prioritized countries.

### **Role of the Lead Agency:**

- **Step 1:** WFP, as the lead agency, will prepare and submit a consolidated list of initial recommended “non-HRP countries” to the CERF secretariat to start the initial analysis.
- **Step 2:** Once the final recommended list of “non-HRP” countries has been validated by the UFEWG, the lead agency receives the final “non-HRP” country recommendation forms from the agencies.
- **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-HRP” consolidated statement of priorities to the UFEWG for review, receives feedback, finalises and submits to the CERF secretariat.

### **Forms to be used:**

- Initial and final “non-HRP” consolidated recommendations table (with final consolidated statement of priorities) for the lead agency.
- Initial and final “non-HRP” country recommendation forms.

### **Key documents available:**

- 2018 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 2019.

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