

## Overview

- This Reserve Allocation Strategy is issued by the Humanitarian Coordinator (HC), in consultation with the Clusters and Advisory Board of the IHF, to set the IHF funding priorities for the Hawiga Response Plan.
- A total amount of up to USD 20 million is available for this allocation. This allocation strategy paper outlines the allocation priorities and rationale for the prioritization.
- This allocation paper also provides strategic direction and a timeline for the allocation process.
- The “Reserve Allocation” modality has been chosen for this allocation for the following reasons;
  - The military operation is about to commence, therefore there is an urgent need to disburse funds as soon as possible.
  - The Reserve Allocation Modality will reduce the time taken for administrative and technical review processes
  - A standard allocation process would take longer and clash with the timeframe for the HNO/HRP development process creating additional workload on partners and clusters

## Allocation strategy and rationale

### Situation overview

Hawiga district in Kirkuk Governorate has been under the control of the Islamic State of Iraq and the Levant (ISIL) since June 2014. On 21 September, the military operation to retake Hawiga and East Shirqat from ISIL started and is likely to cause a sudden displacement of the population from Hawiga district towards the south-west of Kirkuk Governorate and Salah al Din.

To support preparedness efforts and to ensure a well-coordinated, timely and effective humanitarian response, OCHA, with support from Clusters, has developed the Hawiga Response Plan. This plan, now endorsed by the HCT, identifies each Cluster’s critical response priorities and funding requirements to respond to the displacement. Following HCT approval the Humanitarian Coordinator has authorised an IHF Reserve Allocation of up to \$20 million to be made available to partners in support of the Hawiga Response Plan which forms the basis of this Allocation Strategy.

### Humanitarian Response Plan (Hawiga Response Plan)

This allocation strategy is based on priorities as outlined in the Hawiga Response Plan as developed and agreed by the ICCG. The nature of the military offensive will determine the number of people displaced, vulnerable groups and their specific needs. First line emergency assistance covering water and sanitation, ready-to-eat food and emergency medical care at checkpoints and reception centres will need to scale up. Some families will settle with relatives and host communities already in stretched conditions. Access of those families to assistance will need to be strengthened. Based on the Iraqi Central Statistics Office population figures pre-ISIL period, and considering the displacements since June 2014, it is estimated that about 85,000 people currently remains in east Shirqat and Hawiga districts and could be potentially affected by the military operation to retake the areas from ISIL.

A major challenge remains providing humanitarian assistance once areas become accessible, including to Hawiga town itself. The military strategy and the military forces that will run the operation will influence the number of people displaced, the displacement routes and accessibility. Based on the available information at this stage, the humanitarian community, in consultation with the local authorities and partners in the field, identified possible scenarios in the Hawiga Response Plan for when the military operation starts. In turn these scenarios will influence the design and implementation of Humanitarian projects submitted for funding under this allocation.

## IHF strategic priorities

As indicated by the HC, this allocation provides up to \$20 million dollars for the Hawiga response or approximately two thirds of the total funding requirements. OCHA Humanitarian Financing Unit (HFU) has therefore agreed with Clusters at the ICCG for them to prioritise only the most critical elements of the Hawiga plan and budget for approximately two thirds of the Cluster requirements. Individual Cluster priorities and funding requirements for this allocation are detailed in the Cluster pages below. Only Clusters identified in the Hawiga Response Plan are considered for Funding. Logistics, Food Security, CCCM and Rapid Response Mechanism Clusters have indicated that their funding requirements are met and are also not included in this Strategy.

## Prioritization of projects

- Given that this is a Reserve Allocation with the emphasis on timely response to urgent needs, the allocation strategy will limit the number of proposals to maximum of 3 proposals per Cluster with exception of Protection which has a limit of 2 proposals per sub Cluster. This will speed up both the review and administrative processing phase of the allocation.
- Limiting the number of proposals does not necessarily translate into limiting the number of partners. The HFU and ICCG have agreed to encourage multi partner proposals or “consortium bids” from multiple partners. The contracting partner should have the capacity and experience of this but does not need to be a UN agency. Sub implementing partners do not have to be IHF partners and the contracting partner may decide to provide sub implementing partners with a percentage of the 7% program support costs allowable under the CBPF Global Guidelines.
- For proposals for projects to be implemented in existing camps, only pre-existing partners already operational in these camps as identified in both the Hawiga Response Plan and the CCCM Cluster Hawiga Matrix are eligible to apply.
- For proposals for projects to be implemented outside of camp locations, Clusters will use objective criteria such as capacity, access and history of working in proposed locations to select partners. The Clusters will communicate to partners their own criteria but these should also make operational sense. Given the urgent nature of the response, the ability to pre finance projects once Grants are signed may also be considered.
- Flexibility is built into this strategy to allocate funds in accordance with the scenarios identified in the Hawiga Plan (please see above). This strategy enables partners to indicate within their project proposals multiple locations for project implementation to be determined based on which of the scenarios unfolds. This will enable partners to change the location of their projects based on the outcomes of the military operation without the need for a grant amendment. Partners will only need to notify the relevant Cluster coordinator and the HFU of the change of location.

## Project Proposal Preparation and Submission

### Proposal Preparation

1. All project proposals should be submitted via Grant Management System (GMS) **by Saturday, 7<sup>th</sup> October 2017 00:00 (Midnight - Iraq time). Any submission after this date will not be accepted.** GMS registration is obligatory for all eligible partners prior to the project proposal submission with **due diligence component approved.** GMS is a web-based platform that supports the management of the entire grant life cycle for the HF. <https://cbpf.unocha.org/>
2. Once you complete your registration on the GMS, please login to CBPF GMS Support portal and read instructions on how to submit a project proposal. <http://gms.unocha.org/content/partner>
3. Project proposals should be prepared in line with the objectives of the Hawiga Response Plan and the Allocation Paper. This needs to be supported by clear log frames with outcomes, outputs, SMART indicators and detailed activities. (Please refer to Annex 22 for a sample Project Proposal Template).
4. Organisations should consult with relevant cluster coordinators during the project proposal preparation phase.

### Budget Preparation

5. All project proposals must have a detailed budget outlining all the project related expenditures under relevant budget lines. Please refer to Operational Manual [Annex 21](#) Project Budget Template and [Annex 9](#) Budget and Due Diligence Checklist for further details.
6. Budget proposals must reflect the correct and fair budget breakdown of the planned costs and clearly outline units, quantities and percentages. When budget lines contain costs of multiple items greater than US\$4,000 a budget breakdown should be included in excel listing item, unit, quantity, value or cost (per unit and total cost. The document will be uploaded later in the Grant Management System (GMS).
7. Provide a budget narrative (as an essential component of the budget) that clearly explains the object and the rationale of any budget line. For example, shared costs, large/expensive assets, and costs/equipment required to support the regular operation of the implementing partner, are clear cases where the provision of details will be necessary in the budget narrative.
8. Project proposals with that do not meet the above requirements or with missing financial and budgeting information will not make it to the strategic review stage and project proposal will be eliminated.
9. For further guidance on budgeting (eligible and ineligible costs, direct or indirect costs) please also refer to the Operational Handbook for CBPF pages 35-39.

### Start date and eligibility of expenditure

10. The HFU will liaise with the implementing partner to determine the start date of the project. The earliest possible start date of the project is the date of signature of the grant agreement by the partner. The agreed upon start date will be included in the grant agreement. If the signature of the grant agreement occurs after the agreed upon start date, the date of the signature of the grant agreement takes precedence. The HC can then sign the grant agreement.
11. Upon signature by the HC, the HFU notifies the partner that the project has been approved, and sends the agreement for counter signature. Once the partner has countersigned, the agreement will be sent to OCHA for Executive Officer Approval. Eligibility of expenditures will be determined by the date of implementing partner's signature of the grant agreement.

### **Contacts and complaints mechanism**

All correspondence regarding the IHF should be sent to [ihpf@un.org](mailto:ihpf@un.org). Complaints from stakeholders regarding the IHF allocation process should be sent to [feedback-ihpf@un.org](mailto:feedback-ihpf@un.org). The OCHA Head of Office will receive, address and refer any critical issues to the HC for decision-making.

## Timeline and procedure (dates subject to change)

Phase	Step	What	Who	Date
PREPARATION	Prepare Matrix of camp capacity and needs	Needs Assessment	CCCM	Completed
	Prepare and approve Response Plan	Response Plan	Clusters, OCHA, HCT	Completed
	IHF to draft Allocation strategy based Cluster inputs form Hawiga Plan	Draft Allocation Strategy	Clusters, OCHA	Completed
	HC Agrees elements of response plan to be funded and informs the Advisory Board	Draft Allocation Strategy	HC, OCHA, AB	Completed
	Advisory Board Meeting		HC, AB, OCHA	2 <sup>nd</sup> October
	Allocation Strategy Paper Finalized	Allocation Strategy	OCHA	2 <sup>nd</sup> October
PROPOSAL DEVELOPMENT	<b>Launch Allocation Strategy paper – Call for Proposals</b>	<b>Allocation Strategy</b>	<b>HC, OCHA</b>	<b>2<sup>nd</sup> October</b>
	Proposal Development Phase	Proposal Preparation	IPs	2 <sup>nd</sup> October to 7 <sup>th</sup> October
	Deadline for submission of Project Proposals	Full project proposals	IPs	7 <sup>th</sup> October Midnight
REVIEW PROCESS	Strategic and Technical Review	Review of Proposal & Budget	TRCs and OCHA	by 9 October
	Partner Proposal Revision and Adjustments	Proposal review feedback to IP	IPs	by 14 October
APPROVAL PHASE	Final check and revision	TRC & OCHA Approval	TRCs, OCHA	by 17 October
	Grant Agreement (GA) preparation	GA prepared Start date agreed with IP	OCHA	by 18 October
	HC signs GA / Final approval	Signature of GA collected	HC	by 19 October
	GA countersignature	Collect GA signature from IP	IPs	by 20 October
DISBURSEMENT	GA final clearance	GA cleared and signed	OCHA	by 23 October
	First disbursements	Payment request processed	OCHA	From 1 November
	Payments Received	Payment in Partners account	Bank	From 7 November

Annex 1 – Summary of Hawiga Plan Cluster Priorities Proposed for Funding

	Cluster Priority	Location	Recommended activities	Budget
SHELTER	<b>Procurement, Provision and installation of site Infrastructure:</b>	<ul style="list-style-type: none"> <li>• Baseteen 1 Camp</li> <li>• Baseteen 2 Camp</li> </ul>	<ul style="list-style-type: none"> <li>• Install drainage channels</li> <li>• Procure and Install tents</li> </ul>	<b>\$0.6 million</b>
	<b>Provision of NFIs &amp; Winterisation Kits</b>	<ul style="list-style-type: none"> <li>• Samra Camp in Sammara;; Al Alam 1-5 ; Baseteen 1, (winter top up) : Olympic Stadium</li> </ul>	<ul style="list-style-type: none"> <li>• 3,200 Winterised NFI kits for Samra @ USD 532.8 per kit plus 8,300 winter top kits for Al Alam 3,4 and 5, Olympic Stadium and Basteen 1 @ USD 53.5 per kit (Kerosene Heater:Kerosene Jerry Can;Thermal Roll Mat x6*;Carpet x2;Winter Clothing Kit x6*)</li> </ul>	<b>\$2.15 million</b>
	<b>Provision of Sealing off Kits to Out of Camp and Informal settlements</b>	<ul style="list-style-type: none"> <li>• Kirkuk and Shirqat Informal Settlements</li> </ul>	<ul style="list-style-type: none"> <li>• Provision of Sealing off Kits to out of camp critical shelter and informal settlements</li> </ul>	<p><b>\$0.25 million</b></p> <p><b><u>Total \$3.0 M</u></b></p>
EDUCATION	<b>Establish safe and appropriate temporary learning spaces (tented TLS or prefabs).</b>	<ul style="list-style-type: none"> <li>• Laylan 3, Nesrawa, Daquq,</li> <li>• Hawiga centre</li> <li>• Tikrit Olympic stadium</li> </ul>	<ul style="list-style-type: none"> <li>• Establish TLS in camps to provide Non-formal education</li> <li>• Provide prefabs as an alternative solution for the damaged schools.</li> <li>• Encourage communities to send boys and girls to learning sites</li> <li>• Support restoration of formal education in and off camps.</li> <li>• Provision of recreational learning activities in both formal and non-formal education sites</li> </ul>	<b>\$580,000</b>
	<b>Identify and mobilize community members with previous teaching experience</b>	<ul style="list-style-type: none"> <li>• Laylan 3, Nesrawa, Daquq, Hawiga Centre</li> <li>• Olympic stadium</li> </ul>	<ul style="list-style-type: none"> <li>• Train teachers/facilitators on emergency education, child protection referral pathways, psychosocial support, life skills and mine risk education</li> <li>• Provide trained teachers/facilitators to the established temporary learning spaces</li> </ul>	<b>\$120,000</b>
	<b>Distribute appropriate emergency education teaching and learning materials, i.e. text books.</b>	<ul style="list-style-type: none"> <li>• Laylan 3, Nesrawa, Daquq, Hawiga centre</li> <li>• Olympic stadium</li> </ul>	<ul style="list-style-type: none"> <li>• Provision of emergency teaching/learning materials, stationaries, text books &amp; school bags</li> <li>• Provision of school kits, student kits and teacher kits to the TLS and formal education sites</li> <li>• Provision of basic equipment's to damaged schools</li> </ul>	<p><b>\$700,000</b></p> <p><b><u>Total \$1.4 M</u></b></p>

HEALTH	<b>Provision of front-line trauma management and referrals</b>	Along the front-line of conflict & in referral hospitals	<ul style="list-style-type: none"> <li>• Provide triage and front line trauma care services</li> <li>• Support transport of emergency referral cases</li> <li>• Support secondary care facilities including trauma services</li> </ul>	<b>\$1.1 million</b>
	<b>Provision of a comprehensive package of PHC services, including reproductive health services, emergency immunization, nutritional screening and referrals</b>	Salah al-Din <ul style="list-style-type: none"> <li>• Al Alam (1,2 &amp; 3)</li> <li>• Karama</li> <li>• Shahama</li> <li>• Basateen Al Shyoukh</li> <li>• Stadium</li> </ul> Kirkuk <ul style="list-style-type: none"> <li>• Laylan (1,2 &amp;3)</li> <li>• Daquq</li> <li>• Nazrawah</li> <li>• Yahyawa</li> </ul>	<ul style="list-style-type: none"> <li>• Provide Basic and Emergency Primary Health Care – fixed and mobile.</li> <li>• Support provision of high quality, comprehensive reproductive health services including family planning, antenatal care, postnatal care, and deliveries</li> <li>• Improve access to medical services for survivors of sexual violence</li> <li>• Screen children for nutritional status and provide treatment or referral for acute and complicated cases of malnutrition</li> <li>• Provision of essential medicines, medical consumables, emergency health kits, trauma kits and diarrhoeal disease kits</li> <li>• Increase the availability of staff trained to provide psychological first aid</li> <li>• Support provision of psychosocial support and early identification and referral</li> <li>• Emergency immunization campaigns for polio and measles</li> </ul>	<b>\$3.22 million</b>
	<b>Monitoring disease trends for early detection and response to outbreaks of communicable and water borne diseases</b>	<ul style="list-style-type: none"> <li>• Screening/mustering sites, static PHCCs in camps, MMCs, referral hospitals</li> </ul>	<ul style="list-style-type: none"> <li>• Monitor disease trends for early detection and response to outbreaks of public health risks, particularly communicable and water borne diseases. Ensure availability of emergency stocks of supplies for management of communicable diseases.</li> <li>• Maintain vigilance regarding epidemic surveillance; emergency immunization campaigns targeting measles and polio will be carried out under the leadership of the Ministry of Health.</li> </ul>	<b>\$0.25 million</b>  <b><u>Total \$4.57 M</u></b>
MPCA	<b>Provision of Multipurpose Cash Assistance (MPCA) to meet urgent basic needs of vulnerable IDPs residing outside of camps.</b>	<ul style="list-style-type: none"> <li>• Salah al Din: Shirqat, Tikrit</li> </ul>	<ul style="list-style-type: none"> <li>• Emergency one-off cash transfers to highly vulnerable households within two months of displacement;</li> <li>• Additional cash transfers to highly vulnerable newly displaced households;</li> <li>• Multi-month cash transfers to highly vulnerable households in priority locations</li> </ul>	<b><u>Total \$2.3 M</u></b>
WASH	<b>Delivery of initial immediate assistance-emergency water, sanitation and hygiene services to meet immediate WASH needs</b>	<ul style="list-style-type: none"> <li>• Transit/Emergency sites</li> </ul>	<ul style="list-style-type: none"> <li>• Water trucking to in emergency sites and informal settlements.</li> <li>• Installing temporary toilets for emergency sites and informal settlements,</li> <li>• Installing Temporary Showers for emergency sites and informal settlements.</li> <li>• New water sources and installing water storage tanks in new emergency camp sites, and informal settlements.</li> <li>• Solid waste management</li> </ul>	<b>\$1,945,000</b>
	<b>Expand coverage of water and sanitation services and hygiene &amp; Support upgrade of water and sanitation facilities</b>	<ul style="list-style-type: none"> <li>• Laylan 3, Al Hardania, Tikrit Olympic Stadium, Basateen Al Sheuokh, Al-Alam (3/4), Samra and Salamyia 3</li> </ul>	<ul style="list-style-type: none"> <li>• Upgrading and maintenance of water and sanitation facilities in existing camps.</li> <li>• Development of sustainable water delivery Including O/M of water networks/treatment facilities and water tanks in existing camps. Including improving on water quality and working with government line department of water and health</li> </ul>	<b>\$984,500</b>
	<b>Hygiene Promotion activities including basic and consumable hygiene Kits</b>		<ul style="list-style-type: none"> <li>• Hygiene promotion activities including distributing basic and consumable hygiene Kits.</li> </ul>	<b>\$425,000</b>  <b><u>Total \$3.44 M</u></b>

General Protection	Protection monitoring to inform advocacy and programmatic response	Al-Alam sub-district: Al-Hayakil Al-Rubaydha; Al-Alam camps and Al-Alam town. Tikrit: Al-Shahama, Al-Karama, Olympic Stadium camp, Samra and Tikrit West Shirqat: Jumaila screening site and Basateen camp	<ul style="list-style-type: none"> <li>• Deployment of Protection mobile teams,</li> <li>• Conduct HH and community level assessments to identify protection risks and those with specific needs are suggested as effective way.</li> <li>• Refer cases identified to other service providers.</li> </ul>	\$250,000
	Provision of legal assistance	As Above	<ul style="list-style-type: none"> <li>• Deployment of legal mobile teams</li> <li>• Monitor and follow up detention on detention cases at screening site/checkpoint and camps.</li> <li>• Identify and receive referrals on civil documentation needs of new arrivals.</li> <li>• Follow up with government departments to facilitate issuance of civil documents.</li> <li>• Provide legal counselling and awareness-raising on procedures to obtain civil documents and accessing government social welfare system</li> </ul>	\$300,000
	Provision of emergency ad-hoc assistance for extremely vulnerable IDPs	As Above	<ul style="list-style-type: none"> <li>• Receive referrals from Protection monitoring teams and case management partners.</li> <li>• Undertake vulnerability assessment,</li> <li>• Provide the required service.</li> </ul>	\$300,000
Mine Action	Risk Education, Survey and Clearance	Hawiga	<ul style="list-style-type: none"> <li>• Risk Education</li> <li>• Surveys</li> <li>• Clearance</li> </ul>	\$1,400,000
GBV	GBV emergency response	Al Alam 3&4 (SAD) Basateen Al Sheuokh (Shirqat, SAD) Samra (SAD) Laylan 3 (Kirkuk) Shahama/Karamah (SAD) Haj Ali Screening site	<ul style="list-style-type: none"> <li>• Providing psychological first aid, emergency case management and psychosocial support through mobile team and static center</li> <li>• Conducting GBV safety audit and other assessments</li> <li>• Coordinate with other cluster partners (especially, camp management, shelter, WASH, food and NFI) for GBV mainstreaming to mitigate GBV risks</li> </ul>	\$700,000
Child Protection	Identification, registration of children with different protection risks especially unaccompanied children establishing of hotline and family tracing and reunification referral	Screening site/ reception/ transit site in Shirqat, Al Alam and Tikrit (including Jumeila , Hiakel, Roubaida etc)	<ul style="list-style-type: none"> <li>• Establishment of hotline for Unaccompanied Children for health and military actors</li> <li>• Prevention of separation on site</li> <li>• Rapid onsite reunification</li> <li>• Provision of Psychological First Aid</li> <li>• Establish onward referral for tracing and alternative care of UACs</li> </ul>	\$200,000
	Provision of full Case Management for the most vulnerable children, especially alternative care for unaccompanied children	Al Basateen 1-2 camp, Shirqat town Al karama camp, Tikrit town, Al Alam 1 -5, Al Alam town	<ul style="list-style-type: none"> <li>• Receive referrals from the transit/ reception site and offer full case management services,</li> <li>• Support transitional alternative care centres and place children in pre-trained foster families</li> <li>• Legal support for children in detention</li> </ul>	\$300,000
	Support government-run alternative care site	Tikrit	<ul style="list-style-type: none"> <li>• Support government staff capacity building and supervision for case management of children who has no family based alternative care option</li> </ul>	\$200,000
				<b>Total \$3.65 M</b>