



Guidance Note for the CERF 2012 First Underfunded Round

-- 18 November --

1. Summary guidelines for CAP and non-CAP countries¹

A. Planning figures:

The amount: The exact funding levels for CERF in 2012 will be based on the pledges announced during the CERF High Level Conference 15-16 December. Assuming that CERF has roughly the same amount of money available in 2012 as it did in 2011, the CERF Secretariat will frontload underfunded allocations as follows:

- First Round: approximately 100 million
- Second Round: approximately 50 million

Number of countries: **12 to 15 countries** with no fixed ratio between countries with Consolidated Appeals (CAPs) in place and those countries without appeals (non-CAP). To better diversify the countries benefitting from the CERF Underfunded Window, please note that countries receiving allocations in the First Round will not be considered for the Second Round except in extraordinary circumstances.

B. Country selection process:

Funding analysis: The CERF Secretariat and the Emergency Relief Coordinator (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 the CERF Secretariat encourages agencies and donors to check and update FTS records (inside and outside the CAP) and report any discrepancies or missing contributions (fts@un.org). For countries with a CAP the analysis will be based on current 2011 appeal requirements and projected 2012 appeal requirements. For recommended countries without a CAP, UN and IOM headquarters will provide relevant data on 2011 humanitarian funding requirements and contributions and projected 2012 requirements.

For non-CAP countries (see Annex 1 for more details):

- Under the leadership of a lead agency, UN² and IOM headquarters will internally prioritize non-CAP countries. Each agency will recommend countries by utilizing a tier system and recommending no more than five countries with the highest priority (tier 1) and no more than five countries with high priority (tier 2).
- As stipulated in *section 4.3 of the SGB³*, the recommended countries should address core emergency humanitarian needs in current chronically underfunded emergencies based on:
 - 2011 funding level of core humanitarian activities/programmes in a country;
 - Severity of humanitarian needs and type of programmes/activities implemented; and
 - Capacity to address existing needs and to implement CERF funds by 31 December 2012.
- The lead agency will consolidate a list of **no more than ten non-CAP countries**, ranked according to agencies' support. Each agency must provide full funding and narrative information for each of the final ten countries.

CAP and non-CAP designation:

- CAP countries: Afghanistan, Central African Republic, Chad, Cote d'Ivoire, Democratic Republic of the Congo, Djibouti, Haiti, Liberia, Kenya, Niger, occupied Palestinian territory, Philippines (Mindanao), Somalia, South Sudan, Sri Lanka, Sudan, Yemen and Zimbabwe. For Liberia and Cote d'Ivoire, 2011 funding analysis will be based on the Liberia EHAP and Cote d'Ivoire EHAP projects in the 2011 West Africa CAP.
- Particular cases: For the Philippines, humanitarian programs and needs included in the 2011 and 2012 Mindanao Humanitarian Action Plans will be analyzed and considered under the CAP country list. However, humanitarian needs outside Mindanao should be considered and recommended within the non-CAP process.

¹ For full details refer to OCHA Guidelines: CERF Underfunded Emergencies Window: Procedures and Criteria, 18 March 2010

² FAO, IOM, UNDP, UNDSS, UNFPA, UNHCR, UNICEF, UNOPS, WFP, WHO

³ ST/SGB/2010/5*, 23 April 2010

Vulnerability analysis: Financial analysis is coupled with vulnerability data to provide a more rounded vision of humanitarian requirements in the country. Vulnerability data includes the ECHO Vulnerability Index 2011/2012, the IASC Early Warning - Early Action Reports July-October 2011 and November 2011-February 2012⁴ and OCHA's 2012 Global Focus Model (November 2011 draft).

Additional considerations: The CERF Secretariat will review 2010 annual reports from the Resident Coordinators in the shortlisted countries to examine implementation capacity and operating environment, as well as quality of reporting.

C. Apportionment process:

Upon completion of the country selection process the ERC decides an allocation envelope for each selected country comparing funding gaps and requirements across all countries.⁵

D. Field consultations:

Following decisions on country selection and apportionment, the ERC will inform Resident and Humanitarian Coordinators (RC/HCs) of the rationale for selecting the country emphasizing particular gaps they may consider during the prioritization process. The ERC will ask them to confirm that the CERF funds are needed and that in-country capacity to program the proposed amount is in place. Furthermore, the RC/HCs will be requested to confirm their commitment to lead the prioritization process and asked to submit a brief prioritization strategy in a one-page maximum document to the CERF approximately two weeks after the allocation is announced. For countries with a CAP, the prioritization strategy should reflect or summarize consultations and decisions in the 2012 CAP.

RC/HCs can request the CERF Secretariat for a surge mission to assist with the prioritization and submission process. The two countries deemed most in need of support can expect to receive a surge mission; however efforts will be made to meet as many requests as possible. Agencies are encouraged to volunteer to participate in surge missions on behalf of CERF Secretariat.

2. Timeline

A. Preparations

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|--------|---|
| 11 Nov | CERF to circulate draft Guidance Note and supporting documents for the selection of non-CAP countries to the Underfunded Working Group (UFWG). |
| 16 Nov | UFWG to send comments on draft Guidance Note and supporting documents to Shelley Cheatham (cheatham@un.org) and copy Ozgul Ozcan (ozcan@un.org) and Jean-Marie Garelli (garelli@un.org). |
| 18 Nov | 1st UFWG consultation: Finalization of the Guidance Note and confirmation of the lead agency for non-CAP recommendations |

B. Country Selection

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|----------------|---|
| 18 Nov – 5 Dec | UFWG to carry out internal consultations to recommend ten non-CAP countries. Lead agency is requested to share with CERF preliminary results by 29 Nov. |
| 30 Nov | CERF to complete CAP funding analysis |
| 5 Dec | UFWG to submit final list of and recommendation forms for ten recommended non-CAP countries |
| 7 Dec | CERF to complete funding and vulnerability analysis of CAP and non-CAP countries for ERC consideration |
| 8-12 Dec | OCHA internal consultation with CAP Section, Coordination and Response Division (CRD), and ERC on country selection |

⁴ From the IASC Sub-Working Group on Preparedness

⁵ The final amount allocated to each country may be adjusted following review of country submissions

13 Dec CERF to send funding and vulnerability analysis as well as list of selected countries to UFWG
14 Dec **2nd UFWG consultation:** Confirmation of final country selection

C. Apportionment

By 16 Dec OCHA internal consultation with ERC on apportionment.
20 Dec **3rd UFWG consultation, via telecom or email:** Confirmation of final apportionment
By 23 Dec ERC to communicate decision with RC/HCs and request confirmation of needs and implementation capacity
By 6 Jan RC/HCs to respond to ERC
9 Jan CERF to confirm via email with UFWG final country selection and apportionment, and inform group of any surge mission requests
By 9 Jan ERC to communicate final decisions to RC/HCs and request prioritization strategy
By 13 Jan ERC to publicly announce country selection and allocations

D. Field Prioritization and Submission

By 25 Jan RC/HC to submit prioritization strategy to ERC, copying CERF Secretariat
17 Feb Deadline for submission from CAP countries
24 Feb Deadline for submission from non-CAP countries

E. Submission Review

By 31 Mar First Round 2012 closes

Annex 1: Guidance for non-CAP countries

The CERF Secretariat relies on recommendations made by the Underfunded Working Group for the selection of countries without a Consolidated Appeal (CAP). Analysis should consist of the following:

Country selection criteria:

- **Level of underfundedness of core humanitarian activities/programmes in a country:**
 - Established annual funding requirements for current core humanitarian country programme(s), 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 Criteria⁶:**
 - Please note that 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.⁷

Role of the Individual Agency:

- **Step 1:** Each agency will be invited to recommend a maximum of five highest priority (tier 1) and five high priority (tier 2) countries. In addition, each agency will submit a brief note outlining the criteria used internally to select the countries.
- **Step 2:** Once the final recommended list of ten countries has been validated by the UFWG, each agency must submit to the lead agency a non-CAP country recommendation form for each of the final countries. The form should include:
 - Narrative information: Brief description of current caseload, programming, priorities and implementation capacity, and an initial indication of how CERF funds would be utilized.
 - Funding information: 2011 humanitarian requirements and funding received and 2012 projected requirements

Role of the Lead Agency: On 18 November, the Underfunded Working Group confirmed UNFPA as lead agency for the Second Underfunded Round of 2011.

- **Step 1:** The lead agency will consolidate a list of recommended countries, ranked by number of supporting agencies. A two-tier system can be employed. Once the list is agreed, the lead agency should inform the CERF Secretariat to start initial analysis.
- **Step 2:** Once the final recommended list of no more than ten countries has been validated by the UFWG, the lead agency receives the non-CAP country recommendation forms from each agency.
- **Step 3:** The lead agency then consolidates the information using the agreed formats and submits it to the CERF Secretariat on the closing date.

Forms to be used:

- Non-CAP consolidated recommendations sheet (for lead agency)
- Non-CAP agency recommendation form

Key documents available:

- CERF Procedures for Grant Allocations to Under-Funded Emergencies, March 2010: constitutes the policy basis for appropriate and timely allocations of funding to underfunded crises
- OCHA 2012 Global Focus Model (November 2011 draft)
- IASC Early Warning – Early Action Reports Jul-Oct 2011 and Nov 2011-Feb 2012
- ECHO Global Needs Assessment 2011/2012

⁶ Available at: cerf.un.org

⁷ Funds must be implemented by 31 December 2012