



Guidance Note for the Underfunded Working Group, Second Round 2011

-- 13 May 2011 --

1. Summary guidelines for CAP and non-CAP countries¹

A. Planning figures:

The amount: In 2011 to date, donors have pledged or committed \$433 million to the CERF² allowing the CERF to reserve approximately \$144 million for the underfunded window.

- Round I: The CERF Secretariat approved \$84 million.
- Round II: The current planning figure is **\$55-60 million**.

Number of countries: **8 to 10** with no fixed ratio between countries with Consolidated Appeals (CAPs) in place and those countries without appeals (non-CAP). Given that the First Round 2011 supported 15 countries with allocations ranging from \$3 million to \$15 million, a more targeted and limited approach in the Second Round is considered appropriate.

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 appeal requirements as of 30 May.³ For recommended countries without a CAP, UN and IOM headquarters will provide relevant data on humanitarian funding requirements and contributions.

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

- Under the leadership of a lead agency, UN⁴ and IOM headquarters will internally prioritize non-CAP countries. Each agency will recommend countries by utilizing a tier system and recommending no more than four countries with the highest priority (tier 1) and no more than three countries with high priority (tier 2).
- As stipulated in *section 4.3 of the SGB*⁵, 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 30 June 2012.
- The lead agency will consolidate a list of **no more than eight non-CAP countries**, ranked according to agencies' support. Each agency must provide full funding and narrative information for each of the final eight countries.

CAP and non-CAP designation:

- CAP countries: Afghanistan, Central African Republic, Chad, Democratic Republic of the Congo, Djibouti, Haiti, Kenya, Niger, occupied Palestinian territory, Philippines (Mindanao), Somalia, Sri Lanka, Sudan, Yemen and Zimbabwe
- Special cases:
 - Sudan: The 2011 Sudan Work Plan will be divided into two separate appeals in the coming months. In the event this process is not well enough advanced during the underfunded country selection phase, the CERF Secretariat will liaise with the OCHA's Sudan Office and CAP Section with the aim of gathering sufficient information for separate funding analysis for the two countries.

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

² As of 29 April 2011, the CERF Secretariat had received \$309 million in paid pledges for 2011.

³ Mid-year review CAP requirements will not be available until 22-29 June. However, the CERF Secretariat will liaise with the OCHA's CAP Section for forecasts on changes to appeal requirements.

⁴ UNICEF, UNHCR, WFP, UNFPA, UNDP, WHO, UNDSS, FAO, UNOPS

⁵ ST/SGB/2010/5*, 23 April 2010



- West Africa: Given the complexities of analysing this regional appeal on a country-by-country basis, as well as the addition of emergency humanitarian action plans like Cote d'Ivoire + 5 and Liberia to the appeal, the CERF proposes **not** including this appeal and associated countries in the CAP analysis. UN and IOM headquarters should take this into account when recommending non-CAP countries.

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 2010/2011, the IASC Early Warning - Early Action Report March-June 2011⁶ and the Global Focus Model (September 2010).

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.⁷

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 their country emphasising 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 from the Mid-Year Review.

RC/HCs can request the CERF Secretariat for a surge mission to assist with the prioritization 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

- 28 April CERF to circulate draft Guidance Note and supporting documents for the selection of non-CAP countries to the Underfunded Working Group (UFWG).
- 6 May UFWG to send comments on draft Guidance Note and supporting documents to Shelley Cheatham (cheatham@un.org) and copy Genevieve Wills (wills@un.org) and Jean-Marie Garelli (garelli@un.org).
- 10 May 1st UFWG consultation:** Finalization of the Guidance Note and confirmation of the lead agency for non-CAP selection

B. Country Selection

- 11-30 May UFWG to carry out internal consultations to recommend eight non-CAP countries. Lead agency is requested to share with CERF preliminary results by 23 May.
- 18 May *Deadline for organizations to report on CAP funding to FTS for mid-year review*
- 30 May CERF to complete CAP funding analysis
- 31 May UFWG to submit final list of and recommendation forms for eight recommended non-CAP countries**

⁶ From the IASC Sub-Working Group on Preparedness and Contingency Planning

⁷ The final amount allocated to each country may be adjusted following review of country submissions



3 June	CERF to complete funding and vulnerability analysis of CAP and non-CAP countries for ERC consideration
6-8 June	OCHA internal consultation with CAP Section, Coordination and Response Division (CRD), and ERC on country selection
10 June	CERF to send funding and vulnerability analysis as well as list of selected countries to UFWG
14 June	2nd UFWG consultation: Confirmation of selected countries and potential surge support
<i>16 and 23 June</i>	<i>Deadline for organizations to finalize CAP projects and requirements at mid-year review</i>
24 June	CERF to send final country selection to UFWG following a final review of selected countries after CAP mid-year review

C. Apportionment

By 30 June	OCHA internal consultation with ERC on apportionment
1 July	3rd UFWG consultation: Discussion on country selection and apportionment
By 5 July	ERC to communicate decision with RC/HCs and request confirmation of needs and implementation capacity
By 12 July	RC/HCs to respond to ERC
13 July	CERF to confirm with UFWG final country selection and apportionment
By 15 July	ERC to publicly announce country selection and allocations
By 15 July	ERC to communicate final decisions to RC/HCs and request prioritization strategy

D. Field Prioritization and Submission

By 30 July	RC/HC to submit prioritization strategy or reaffirmation of prioritization based on CAP mid-year review to ERC
22 August	Deadline for submission from CAP countries
29 August	Deadline for submission from non-CAP countries

E. Submission Review

By 30 September	Second Round 2011 closes
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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 Criteria⁸:**
 - 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.⁹

Role of the Individual Agency:

- **Step 1:** Each agency will be invited to recommend a maximum of four highest priority (tier 1) and three 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 eight 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: 2010 and 2011 humanitarian requirements and funding received.

Role of the Lead Agency: On 10 May, the Underfunded Working Group selected IOM 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 eight 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, January 2010: constitutes the policy basis for appropriate and timely allocations of funding to underfunded crises
- Global Focus Model, OCHA, draft, September 2010
- IASC Early Warning – Early Action Report March-June 2011
- ECHO Global Needs Assessment 2010/2011

⁸ Available at: cerf.un.org

⁹ Funds must be implemented by 30 June 2012