



ALLOCATION STRATEGY PAPER – FIRST STANDARD ALLOCATION (April 2016)

DEADLINE for submissions of concept notes: Tuesday 3rd May 2016 at 18h Amman & Sana'a time

The Humanitarian Pooled Fund (HPF) for Yemen was established early 2015 under the leadership of the Humanitarian Coordinator (HC). The objectives of the Yemen HPF are to promote needs-based assistance in accordance with humanitarian principles, respond to the most urgent needs, strengthen cluster coordination system and reinforce the leadership of the HC.

This allocation strategy paper is the result of consultations with stakeholders from March 2016 onwards; including national and international NGOs, UN agencies, the Inter-Cluster Coordination Mechanism (ICCM) and the Humanitarian Country Team (HCT). The HPF Advisory Board (AB) provided feedback on the strategy paper at a meeting on 18th April, before the final endorsement by the HC.

A. Financing Overview

A total of **US\$34 million** will be made available from the Yemen HPF under the First Standard Allocation, representing 1.6 per cent of the humanitarian funding requested under the [2016 Yemen Humanitarian Response Plan](#) (HRP). This strategy paper outlines the sectors, geographical areas and activities recommended for funding under this allocation. Submissions that do not respond to the priorities outlined in this paper will be automatically rejected.

As of 14 April 2016, OCHA's Financial Tracking System (FTS) has already recorded pledges of US\$290 million against the 2016 Yemen HRP, representing 16 per cent of the US\$1.8 billion requested, with an additional US\$83 million in outstanding pledges. This brings the total to US\$373 million or 20 per cent of the total 2016 requirements.

B. Broad Objectives of the Allocation Strategy

Within the overall framework of the HRP and in line with the [IDP Strategy](#) adopted by the HCT, the main strategic objectives of the First Standard Allocation 2016 are as follows:

1. **Promote an integrated and coordinated response for IDPs** in Yemen, as part of the broader humanitarian response, throughout all phases of displacement.
2. **Encourage multi-sector programming and the use of different response modalities** (cash, voucher and in-kind assistance) in responding to the needs of IDPs based on their vulnerability, preference and geographical location.
3. **Support innovation, partnership and learning** by encouraging organisations to explore new response modalities and invest in strengthening the capacities of their sub-implementing partners.
4. **Create a multiplier effect** by allowing clusters and organisations to leverage additional funds to build on activities funded by the HPF, including around partnerships and learning.

The HPF allocation strategy should be fully aligned with the strategic priorities and assessed needs presented in the 2016 HRP. A copy can be downloaded from the HRP 2016 microsite: <http://ochayemen.org/hrp2016/>

C. Allocation Envelopes

| Envelope | HRP Amount Requested in US\$ | HPF Amount Allocated in US\$ | HPF Amount compared to HRP Requirement |
|-----------------------------|------------------------------|------------------------------|--|
| Food Security & Agriculture | \$847.1m | \$8m | 1% |
| Shelter, NFI & CCCM | \$156.2m | \$7m | 4.5% |
| WASH | \$158.4m | \$7m | 4.5% |
| Health | \$182.3m | \$5m | 2.7% |
| Nutrition | \$178.9m | \$2m | 1.2% |
| Protection | \$52.4m | \$4m | 7.6% |
| Logistics | \$39m | \$1m | 2.5% |
| TOTAL | | \$34M | |

D. Eligible Geographical Areas

According to the latest report of the Task Force on Population Movement (TFPM) (8th Report - April 2016) the situation in Yemen continues to evolve, with a recorded general increase in the IDP population in the North and North West areas, and a decrease in the South and South East areas. In order to ensure some level of balance in assistance between the North and South and to maintain a strategic focus the following geographical areas were prioritised for assistance under this allocation:

| Governorate | IDP (Individuals) | Returnees (Individuals) | Projected Population 2016 |
|-------------|-------------------|-------------------------|---------------------------|
| Taizz | 620,934 | 12,396 | 3,117,000 |
| Hajjah | 367,007 | - | 2,072,000 |
| Amran | 295,620 | - | 1,040,000 |
| Sana'a | 272,589 | - | 3,094,000 |
| Sa'ada | 245,897 | - | 1,044,000 |
| Dhamar | 118,477 | - | 1,862,000 |
| Hudaydah | 113,488 | - | 3,097,000 |
| Ibb | 111,384 | 2,154 | 2,778,000 |
| Al Jawf | 33,354 | 5,322 | 576,000 |
| Al Bayda | 33,246 | 2,160 | 744,000 |
| Al Dhalee | 27,654 | 25,230 | 698,000 |
| Aden | 25,566 | 300,912 | 895,000 |
| Abyan | 23,148 | 9,942 | 557,000 |

E. Eligible Partners and Partnership Arrangements

In line with the Global Guidelines for Country Based Pooled Funds (CBPF), HPF Operational Manual and eligibility guidance documents¹ that govern the management of the Yemen HPF, only organisations that are eligible partners can apply for direct funding under this allocation.

Support to NGOs through this allocation will be prioritised, based on their access and experience in the prioritised geographical areas. However, the decision to fund either an NGO or UN agency through this allocation will be determined by the demonstrated comparative advantage of each organisation to deliver the articulated response.

| | |
|----------------------------------|---|
| Eligible Partners | - The HPF can only fund active national and international NGOs who have been confirmed as eligible partners to the HPF and finalised their capacity assessment, as well as UN Agencies and IOM. |
| Consortium | - <u>A consortium approach</u> with several partners working in cooperation is encouraged: several partners can either apply together with one NGO taking the lead or the partners can decide to apply for funding separately (each submitting their own project). The objective would be for partners to either deliver the same package of assistance in different geographical areas or to complement each other's work (i.e. one organisation delivers WASH and another shelter in the same community). |
| Sub-implementing Partners | - <u>Partnership</u> between international and national NGOs is strongly encouraged - clear and identifiable coaching, mentoring, and capacity building activities should be integrated as much as possible. However whilst these activities can form a sub-set of the overall outcome of the project, they cannot represent the main output of the project. - Organisations that are not currently eligible can be sub-implementing partners to an eligible organisation. However the eligible organisation will bear full responsibility for the work and actions of their sub-implementing partner. |

- Any questions or concerns with regards to eligibility and/or partnership arrangements can be directed at OCHA HFU: Robin Glinka, Programme Officer, glinka@un.org, +962 79 656 716

¹ Available for download in English and Arabic at: <http://www.unocha.org/yemen/about-hpf-yemen>

Allocation Envelopes and Specific Priorities

Thematic Priority: IDP Response

Target Groups: IDPs (from 2015 onwards) and Host Communities, Returning IDPs

Targeting should be based on the vulnerability criteria established for each cluster and, as relevant, cross-cluster with the approach clearly defined in any project concept note.

With no formal camps for IDPs in Yemen, displacement has led to dispersed IDP populations in urban and rural areas who are often difficult to identify or assess for vulnerability or specific needs. The majority of IDPs reside with host families, exhausting already stretched basic services of host communities, impacting on their living conditions and adding to their protection risks. IDPs face a range of protection challenges, have limited access to services (shelter, food, water, health, and education), and lack of livelihood opportunities. In addition, IDPs often have little information about the situation in their areas of origin or their area of displacement including how to access protection and humanitarian assistance. Access to basic life-saving services has therefore been prioritised, while maintaining focus on the centrality of protection, to prevent a further deterioration of an already critical situation.

CASH PROGRAMMING

The HPF encourages the use of alternatives to in-kind programming as a response modality for partners with demonstrated technical capacity and strong knowledge and experience of cash transfer programmes. For the use of cash and voucher assistance, as part of the cross-cluster approach², organisations must prepare a protection risk analysis to ensure that cash can be used for its intended purpose and to mitigate any negative consequences. Partners must also provide information on the functionality of the markets and financial service providers, and demonstrate that cash will be equally accessible to men and women, according to vulnerability criteria established for each cluster and, as relevant, cross-cluster (see Annex II for further tips on cash programming).

SECTOR: FOOD SECURITY

| Allocation Envelope 2 | Associated SRP Strategic Objective | Amount Allocated |
|-----------------------|---|------------------|
| FSAC | <ul style="list-style-type: none"> Objective 1: Improve availability of and access to food for the most vulnerable Objective 2: Ensure equitable access and protection for women, girls, boys, and men in all activities Objective 3: Strengthen capacity of partners, communities and authorities on preparedness and response | \$8 million |

FSAC Eligible Programme Areas:

- Improve immediate household availability of and access to food for the most vulnerable through conditional or unconditional cash/voucher transfers or in-kind assistance.

SECTOR: SHELTER, NFI & CCCM

| Allocation Envelope 3 | Associated SRP Strategic Objective | Amount Allocated |
|-----------------------|---|------------------|
| Shelter, NFI & CCCM | <ul style="list-style-type: none"> Objective 1: Provide adequate shelters solutions and non-food items to the most vulnerable Objective 2: Ensure access to basic services for the most vulnerable living in collective centres and settlements Objective 3: Strengthen local stakeholders' capacity for Shelter, NFI & CCCM response | \$7 million |

² These activities will be supported by the Cash and Markets Technical Working Group.

Shelter, NFI & CCCM Eligible Programme Areas:

- Procurement and distribution of non-food items (NFIs), emergency shelter kits, tents or returnee kits.
- Provision of humanitarian cash assistance.
- Provision of adequate, safe shelter solutions that provide privacy, security and protection from the elements and allow IDPs to live in a dignified manner.
- Rehabilitation and/or upgrading of collective centres to meet the shelter needs of residents.
- Provision of management and monitoring services at Collective Centres.
- Strengthen local stakeholders' capacity to respond to shelter, NFI and CCCM needs.

SECTOR: WASH

| Allocation Envelope 1 | Associated SRP Strategic Objective | Amount Allocated |
|-----------------------|--|--------------------|
| WASH | <ul style="list-style-type: none"> • Objective 1: Restore or maintain sustainable water and sanitation systems to improve public health and resilience • Objective 2: Provide emergency WASH assistance to the most vulnerable so as to reduce excess morbidity and mortality • Objective 3: Ensure sufficient sectorial coordination and capacity at the national and sub-national levels | \$7 million |

WASH Eligible Programme Areas:

- Provision of safe drinking water through trucking, installation of water tanks, construction/rehabilitation of water infrastructure, treatment of water resources, distribution of chlorine tablets, jerry cans and ceramic water filters to households.
- Provision of emergency sanitation through the construction and maintenance of appropriate temporary emergency latrines and hand washing facilities for males and females and maintaining environmental sanitation through solid waste management.
- Provision of hygiene kits and hygiene behavioural change interventions focuses on personal, household and community hygiene in addition to training community health volunteers (CHVs).

SECTOR: HEALTH

| Allocation Envelope 4 | Associated SRP Strategic Objective | Amount Allocated |
|-----------------------|--|--------------------|
| Health | <ul style="list-style-type: none"> • Objective 1: Provide integrated essential health service delivery, surveillance and medical supplies in priority districts • Objective 2: Strengthen reproductive, maternal, new-born and child health (RMNCH) interventions, including violence against women • Objective 3: Support community-based health initiatives and sustain the main pillars and infrastructure of the health system | \$5 million |

Health Eligible Programme Areas:

- Establishment and support to mobile clinics and outreach services at the community level for IDPs, including routine primary care, antenatal, deliveries and postnatal care for mothers, new-born care, routine immunisation, psychosocial and mental healthcare, trauma care, chronic disease management, GBV management, screening and treatment.
- Support to existing health facilities that are over-burdened including secondary care and referral facilities that do not have sufficient capacity or are not functioning due to lack of resources, to respond to the influx of patients with essential medicines and equipment and personnel.
- Support to timely referral of medical cases through strengthened referral systems.
- Response to outbreaks of communicable diseases commonly encountered during displacement such as diarrhoea and measles, and support to environmental health.

SECTOR: NUTRITION

| Allocation Envelope 5 | Associated SRP Strategic Objective | Amount Allocated |
|-----------------------|---|--------------------|
| Nutrition | <ul style="list-style-type: none"> • Objective 1: Scale up equitable, high-quality life-saving services for acutely | \$2 million |

malnourished children and mothers

- **Objective 2:** Prevent under-nutrition among children and mothers in priority governorates
- **Objective 3:** Strengthen capacity of relevant authorities and local partners to ensure effective nutrition response

Nutrition Eligible Programme Areas:

- Provide integrated package of nutrition services for children 6-59 months with severe and moderate acute malnutrition in close collaboration with health and WASH clusters.
- Prevent malnutrition in children 6-24 months through the provision of micronutrient supplementation and blanket supplementary feeding.
- Provide counselling on infant and young child feeding (IYCF) practices for care-takers and build capacity of local technical authorities.
- Carryout assessments including SMART surveys and rapid assessments to support the interventions.

SECTOR: PROTECTION

| Allocation Envelope 6 | Associated SRP Strategic Objective | Amount Allocated |
|-----------------------|--|--------------------|
| Protection | <ul style="list-style-type: none"> • Objective 1: Identify, analyse and advocate on protection risks, rights violations and population movements • Objective 2: Provide direct assistance to individuals with protection needs, including survivors of rights violations • Objective 3: Strengthen capacity of and communication with affected communities to promote positive coping strategies and participation in the response | \$4 million |

Protection Eligible Programme Areas:

- Displacement tracking, household-level assessments, protection monitoring and providing information/communicating with communities.
- Provision of direct protection assistance, including health, psychosocial support, legal assistance, cash or material support, and referrals for protection and vulnerable cases.
- Establishment of case management capacity (with mapping of services, referrals and follow-up), including support to local partners and authorities based on humanitarian and protection principles.
- Support to safe places for the most vulnerable of men, women, boys and girls to seek protection services.

SECTOR: LOGISTICS

| Allocation Envelope 7 | Associated SRP Strategic Objective | Amount Allocated |
|-----------------------|---|--------------------|
| Logistics | <ul style="list-style-type: none"> • Objective 1: Provide essential common services for road, sea and air transport of cargo and passengers • Objective 2: Consolidate and share logistics information to support operational decision making to improve response • Objective 3: Coordinate logistics services to avoid duplication and ensure efficient emergency response | \$1 million |

Logistics Eligible Programme Areas:

- Provision of common logistics services to the wider humanitarian community to allow for the timely and safe transport of goods and commodities to various locations, including through sea transport from Djibouti, land transport from current logistics hubs towards other priority areas and air transport through airlift of cargo on behalf of organisations operating in Yemen to Sana'a.
- Provision of common storage facilities for the humanitarian community to preposition and consolidate cargo before distributions.

F. Guidance on Selection of Projects

The following criteria will be used by the Strategic Review Committees (SRC) when reviewing potential projects. Partners who wish to be successful in getting their respective project funded should consider demonstrating adherence to the following guidance in their concept note.

| | |
|--------------------------------------|--|
| Submission of Concept Note | Organisations must use the HPF Grant Management System (GMS) to submit concept notes in the English language (cbpf.unocha.org). Concept notes submitted outside the GMS will not be considered. |
| Project Amount | Recommended minimum: \$500,000 and maximum: \$2.5 million per project |
| Duration of Projects | Maximum 12 months per project |
| Gender Mainstreaming | Projects must demonstrate an analysis of relevant gender issues, activities designed to address gender differences, and targets/indicators that will enable reporting on distinct benefits to males and females (Gender Marker Code 2) |
| Gender Monitoring Tool (GAMM) | Successful applicants will be asked to complete the IASC Gender & Age Marker for Monitoring. This is a new monitoring tool that assesses programme quality with respect to gender, age and accountability. |
| Protection Mainstreaming | Projects must demonstrate how protection will be included in programming, including (a) avoid causing harm; (b) meaningful access; (c) participation and empowerment; and (d) accountability. Projects must also demonstrate how protection issues for different groups will be identified, monitored, referred and addressed throughout implementation. |
| Communication | All partners will be required to commit to the delivery of communication materials around the deliverables of the project (i.e. human interest stories, pictures, videos, case studies etc.) in line with the Communication & Visibility Guidelines ³ |

1. *Assessments*: Projects should be based on recent assessments with detailed information provided on gaps in assistance together with a justification for the programming approach selected.
2. *Beneficiary prioritisation and selection*: Project beneficiaries are selected based on strict vulnerability criteria with a demonstrated verification process.
3. *Monitoring and Reporting*: Projects demonstrating clear linkages between their monitoring methodology and geographic/programme requirements will be favourably weighted.
4. *Innovative approaches to work*: the use of innovative methodologies or modalities for aid delivery, which are relevant to the beneficiary group, geographic specificities or programmatic approach.
5. *Value for Money*: Projects that can demonstrate a high degree of cost effectiveness (i.e. maximum output and beneficiary reach for every dollar invested) relative to the project budget will be prioritised.
6. *Crosscutting Issues*: Projects demonstrating attention to the impact on the environment and propose appropriate mitigation measures, the centrality of protection, and equitable benefits for males and females will be favourably weighted.
7. *Coordination*: Strong participation in national and regional coordination mechanisms is a requirement.
8. *Accountability to Affected Populations*: Projects that demonstrate strong linkages with beneficiary communities and documented feedback and complaints mechanisms will be favourably weighted.

G. Timeline and Procedures

This HPF Allocation Strategy is published by the HC on Tuesday 19th April 2016. From this day, **eligible humanitarian organisations with projects aligned to the allocation envelopes have 15 days, i.e. until Tuesday 3rd May 2016, to submit project concept notes** through the HPF online Grants Management System (GMS), available at <https://cbpf.unocha.org/>

On behalf of the HC, the Cluster Leads and Co-Leads establish SRCs to review and score the strategic relevance of submitted concept notes. Only after the approval by the HPF Advisory Board and decision by the HC, will successful applicant organisations be invited to submit the full proposal for subsequent analysis by Technical Review Committees (TRC).

| | |
|-------------------------------------|--|
| Tuesday 19 th April 2016 | The HC publishes the First Standard Allocation 2016 strategy paper |
|-------------------------------------|--|

³ The Communication & Visibility Guidelines can be downloaded on: <http://www.unocha.org/yemen/governance-policy-and-guidance>

| | |
|---|---|
| Tuesday 3rd May 2016 | Deadline for interested organisations to submit HPF project concept notes through the online database (GMS) |
| Wed 4 th – Thu 12 th May 2016 | Concept notes submitted are scored by the respective Strategic Review Committee (SRCs) |
| Monday 16 th May 2016 | Clusters defend list of prioritised projects for HPF funding to the HPF Advisory Board outlining the project priorities |
| Tuesday 17 th May 2016 | HC: Decision on concept notes finalised |
| Sunday 29th May | Deadline for full-fledged proposal submission by invited organisations through the GMS |
| 30 th May-9 th June | Technical Review Committees, partner feedback and finalisation of project proposals |
| Sunday 12 th June | HC approval and grant agreement preparations |
| Sunday 19 th June | Disbursement process begins |

H. Contact Information

Interested organisations should liaise with the respective clusters to ensure their proposed intervention is aligned to the HRP 2016 priorities and the guidance provided by this allocation strategy paper and is properly coordinated with other stakeholders:

| Cluster/Working Group/Adviser | Name | E-Mail |
|-------------------------------|---------------------|--|
| Food Security & Agriculture | Gordon Dudi | gordon.dudi@fao.org |
| Shelter, NFI & CCCM | Graham Eastmond | coord.yemen@sheltercluster.org |
| WASH | Derek Kim | dhkim@unicef.org |
| Health | Jude Harvie | judithr@who.int |
| Nutrition | Jamal Seid Mohammed | jsmohammed@unicef.org |
| Protection | Jun Shirato | shirato@unhcr.org |
| Cash & Markets | Sabah Fara | fsabah@oxfam.org.uk |
| Logistics | Christophe Morard | christophe.morard@wfp.org |
| Gender Adviser | Deborah Clifton | clifton@un.org |

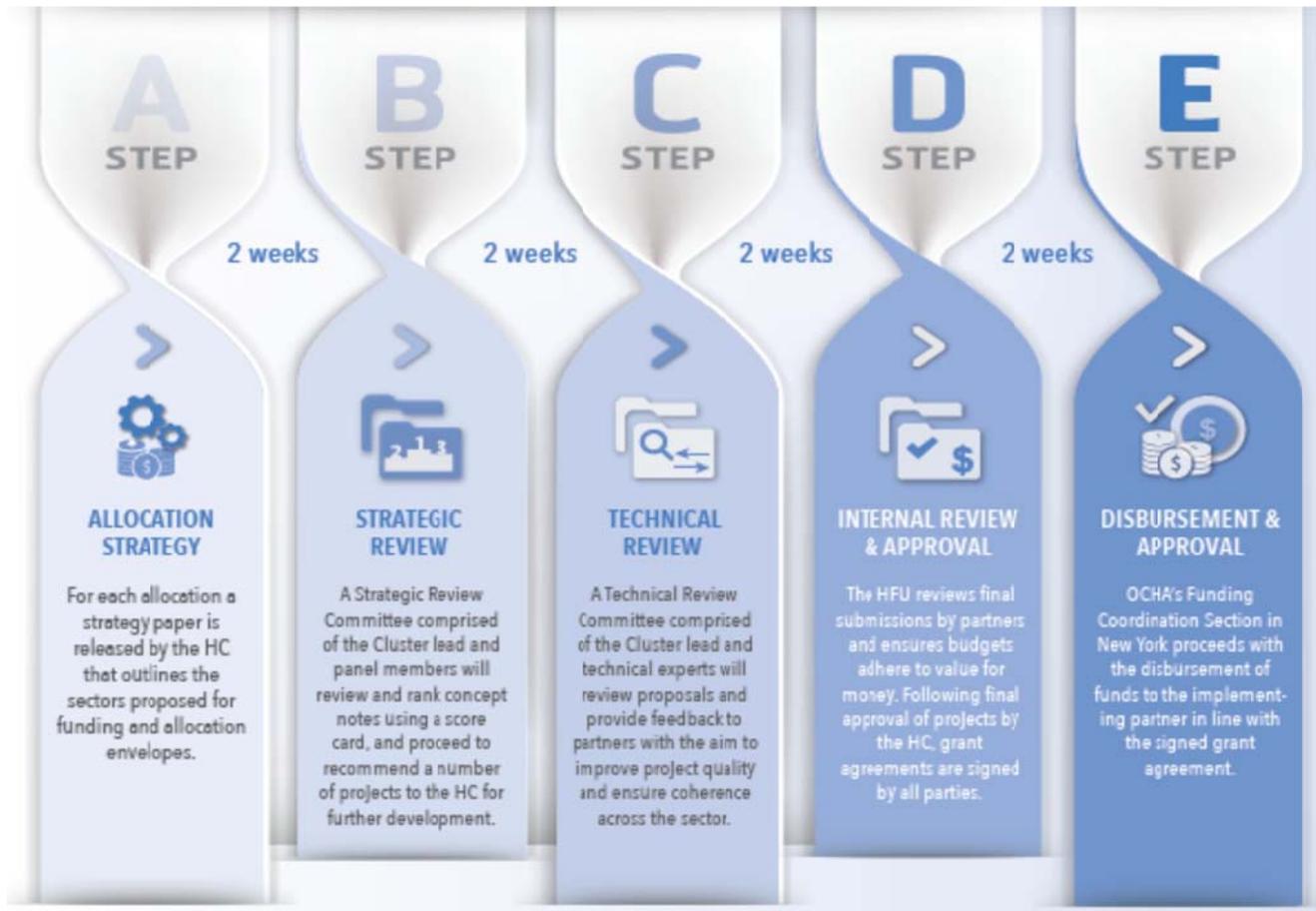
OCHA Humanitarian Financing Unit Contacts

- Laurianne Leca, Team Leader, leca@un.org, +962 79 7126163
- Liisamaria Keates, keates@un.org, +962 79 6713982

I. Complaints Mechanism

HPF stakeholders with insufficiently addressed concerns or complaints regarding Yemen HPF processes or decisions can at any point in time contact the OCHA Head of Office or write to yemenhpfcomplaints@un.org with these concerns. Complaints will be compiled, reviewed and raised with the HC, who will then take a decision on necessary action(s). The HC will share with the Advisory Board any such concerns or complaints and actions taken thereof.

Annex I – Standard Allocation Process



Annex II – Tips for Cash Programming Projects

Projects which can demonstrate the following evidence based analysis of the feasibility of their cash based programme will be positively scored:

- Functionality of the market, dynamism of the market.
- Availability and quality of goods (related to the scale of the intervention and sectorial needs)
- Mapping of the market and location of the beneficiaries.
- Physical, political and social access to the market for beneficiaries.
- Acceptance of cash in the community.
- Mapping of financial service providers and physical, social and political access to beneficiaries.
- Global risk analysis (institutional, programmatic, contextual)

Annex III - Operational Modalities and Control Mechanisms for NGO Partners

| Risk level | Project duration (months) | Project value (thousand USD) | Maximum amount per project* (thousand USD) | Disbursements (in % of total) | Financial reporting | | | Narrative reporting | | Monitoring | | Audit |
|------------|---------------------------|------------------------------|--|-------------------------------|---------------------|------------|-------|---------------------|-------|---------------|----------------------|-------|
| | | | | | For disbursements | 31 January | Final | Progress | Final | Field visit** | Financial spot check | |
| High | Less than 7 | ≤ 250 | | 60-40 | Yes | Yes | Yes | 1 (interim) | Yes | 1 | 1 | Yes |
| | | > 250 | 500 | 40-30-30 | Yes | Yes | Yes | 1 (interim) | Yes | 1 | 1 | |
| | Between 7-12 | ≤ 250 | | 60-40 | Yes | Yes | Yes | 1 (quarter) | Yes | 1 | 1 | |
| | | > 250 | 750 | 40-30-30 | Yes | Yes | Yes | 1 (quarter) | Yes | 2 | 1 | |
| Medium | Less than 7 | ≤ 250 | | 100 | - | Yes | Yes | No | Yes | - | - | |
| | | > 250 | 750 | 60-40 | Yes | Yes | Yes | 1 (interim) | Yes | 1 | - | |
| | Between 7-12 | ≤ 250 | | 100 | - | Yes | Yes | 1 (interim) | Yes | 1 | - | |
| | | > 250 | 1,500 | 60-40 | Yes | Yes | Yes | 1 (interim) | Yes | 2 | 1 | |
| Low | Less than 7 | ≤ 400 | | 100 | - | Yes | Yes | No | Yes | - | - | |
| | | > 400 | | | - | Yes | Yes | No | Yes | - | - | |
| | Between 7-12 | ≤ 400 | | 100 | - | Yes | Yes | 1 (interim) | Yes | - | - | |
| | | > 400 | | 80-20 | Yes | Yes | Yes | 1 (interim) | Yes | 2 | 1 | |

* Total USD of Grant Agreements held by individual NGOs with OCHA not to exceed \$2.5 million USD at any one time. Project closure should be completed before further funds are disbursed.
 ** As safety/security and access allow

Third Party Monitoring

OCHA reserves the right to contract a service provider who will be tasked with carrying out direct field monitoring visits to HPF funded projects on behalf of the agency. NGO partners will however be notified of this arrangement ahead of time.