TECHNICAL GUIDELINES

FOR THE

CONSOLIDATED APPEALS PROCESS

www.reliefweb.int/cap

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1.0 PURPOSE OF THE GUIDELINES

> *"The Consolidated Appeal document should represent no more than a 'snapshot,' an output at a given moment in time of a permanent process of reflection and analysis about how to work in a given situation."*
> -*"An External Review of the CAP," Commissioned by OCHA's Evaluation and Studies Unit, April 2002*

A clearly written, concise Consolidated Appeal can be a powerful advocacy and fundraising tool. The Appeal document is an opportunity to showcase a well-coordinated humanitarian strategy that articulates the key humanitarian problems in a given crisis, identifies main programme priorities, and explains how the international humanitarian community aims to respond.

Conversely, a poorly written document can be damaging to the overall humanitarian programme. Most donors read the Consolidated Appeals, and use them, at the very least, as a reference document for a given emergency. Therefore, it is important that the Appeal is readable and user-friendly, while at the same time, substantive and serious.

The Technical Guidelines for the CAP aim to help CAP Country Teams produce a high-quality *document*. They provide practical guidance on:

- organisation of the Appeal document
- procedures for finalising and launching the Appeals
- text formatting
- the timetable for CAP/CHAP preparation
- revisions to the Appeal

The Appeal document, however, can only be as good as the ***process*** behind it. Therefore, the Technical Guidelines should be read in supplement to the 1994 IASC Approved Guidelines on the CAP, which outline the policy framework for the Consolidated Appeals *Process*.

Glossary
For the purposes of this document, the following terms will be used and understood as follows:

Consolidated Appeals Process (CAP)
A programming process through which national, regional and international relief systems are able to mobilise in order to respond to selected major or complex emergencies that require a system-wide response to humanitarian crisis.

Common Humanitarian Action Plan (CHAP)
A coordinated programme based on an agreed strategy designed to achieve shared goals. In the Consolidated Appeal, the CHAP is the bulk of the document, but does not include the projects.

Consolidated Appeal (CA)
A reference document for humanitarian, development, multilateral, national, bilateral and non-governmental communities on the humanitarian strategy, programme and funding requirements in response to a major or complex emergency.

CAP Country Team
The organisations and/or individuals participating in the Consolidated Appeals Process, and/or development of the CHAP, including UN, NGOs, Red Cross Movement, donors, government, etc.

Strategic Monitoring
A process for assessing the effectiveness of a given CHAP which indicates when modification to the humanitarian strategy is necessary.

2.0 ORGANISATION OF THE APPEAL DOCUMENT

2.1   Executive Summary (1 Page)

The Executive Summary is a snapshot of the <u>main</u> issues facing the CAP Country Team in the next 12 months, and includes the <u>key</u> elements of the CHAP for addressing these. Some audiences may only read the Executive Summary so it should be particularly well written. Write the Executive Summary last.

The Executive Summary should include:

√   A brief summary of the current humanitarian situation.

   ▪   What are the keys factors (political, economic, etc.) influencing the humanitarian situation?
   ▪   Which of the affected population are the most vulnerable groups (with brief description)?
   ▪   What are the key humanitarian principles at stake?

√   A snapshot of the CAP Country Team.

√   A brief description of the main humanitarian priorities and how the CAP Country Team will try to address them in the next twelve months.

√   The total amount of the Appeal (in US dollars).

2.2   The Year in Review (2 - 3 Pages)

This section should describe—to the extent possible—the impact of the humanitarian response during the past year on the lives of the *people* affected by the crisis. It should focus on achievements in the overall humanitarian strategy, as well as constraints posed by external factors, such as lack of access, no funding, and security concerns. The Year in Review also helps to establish continuity with the previous year's CAP (if applicable) by explaining how lessons learned from the previous year will be applied to the coming year's humanitarian strategy.

> *Remember:* "Good reporting, explaining and recording the performance of a program... is an integral part of any project cycle. It is key in assisting donors in making funding decisions"
> – Montreux Donors' Retreat, 2002

The Year in Review should include:

2.2.1   <u>New for CAP 2003!</u> Monitoring Report and Monitoring Matrix

The CHAP from the previous year should have been monitored regularly using the monitoring mechanisms / matrixes that were documented in the Consolidated Appeal. Using information from these mechanisms, write a concise analysis of accomplishments of the current humanitarian strategy, as well as constraints to implementation. Explain the impact of humanitarian assistance on decreasing—or inadvertently increasing—vulnerability. Do not simply report on agency's project implementation. Aim to provide *evidence of progress* towards the Strategic Goals and Objectives. Attach a completed monitoring matrix as an Annex, if applicable.

2.2.2 Financial Overview

Using OCHA financial tracking tables (www.reliefweb.int/fts) and other information available to the CAP Country Team, write a brief analysis of resources (cash and in-kind contributions) made available during the previous period. Use concrete examples to highlight the positive and negative impact of the use of resources <u>on the beneficiaries.</u> Describe the negative consequence of shortfalls or delays in the receipt of contributions.

> *Writing tip: Avoid general statements such as "lack of funding meant that vulnerable people suffered more." Do not assume that lack of funding to the CAP meant that beneficiaries were negatively impacted. An unfunded CA project may have been implemented by another organisation outside of the CA, such as an NGO. Note when funding provided outside of the CA (for example to an NGO) helped to achieve the goals and objectives that were included in the CHAP.*

2.2.3 Changes in the Humanitarian Situation

Highlight significant changes in the external environment during the past year that have had an impact on the humanitarian situation, and how the humanitarian strategy changed in response.

2.2.4 Lessons Learned

Highlight key lessons identified while trying to implement the CHAP during the past year. What elements of the strategy did or did not work? What were the results of any reviews/evaluations of the humanitarian response? How will the CAP Country Team learn the lessons from the past year? Include a synopsis of any innovations made by the CAP Country Team this year. (e.g. a new joint monitoring plan, use of Sphere indicators, etc.)

2.3 Humanitarian Context (3-4 Pages)

The Humanitarian Context section is a synopsis of the *current* humanitarian crisis, including background facts to help the reader understand the root causes of the crisis. This section should not give a comprehensive political analysis. It should focus on factors that influence the humanitarian situation and should include constraints and opportunities for humanitarian action.

The Humanitarian Context section also describes the underlying humanitarian principles and human rights issues that are of key concern to the humanitarian programme. It outlines clearly and succinctly who are the most vulnerable people in a given crisis. When possible, this information should be presented graphically (e.g. a map or table).

The Humanitarian Context section should include:

2.3.1 Problem Analysis

Explain the factors (e.g., political, security, economic, gender, social, cultural, environmental) that are currently influencing the humanitarian situation—positively or negatively—and may influence the situation in the next 12 months. Outline opportunities and constraints for humanitarian action.

> *Writing tip: Draw on reports and articles from key Government ministries, UN, Red Cross, donors, regional entities, local and international NGOs, press reports, academic studies and evaluations and interviews with key stakeholders, <u>including the beneficiaries.</u> Where necessary, be sure to credit the source of information.*

2.3.2 Humanitarian Principles and Human Rights

Greater efforts should be made to integrate human rights and humanitarian principles in the CAP, in accordance with the Secretary General's Report on UN reform in 1997 to mainstream human rights throughout the UN's work with a view to enhancing its effectiveness and ensuring its principled basis.

- √ Describe the key humanitarian principles and human rights issues that are of primary concern to the humanitarian programme.
- √ Outline the implication of these for humanitarian action.
- √ Explain how the CAP Country Team aims to address these issues, either through programming or advocacy.
- √ The CAP Country Team should be able to demonstrate (in the "Response Plans" section of the document) how their sector strategies and projects contribute to addressing these issues.

> *Writing tip: It may be useful to consult and work closely with the local representative of the Office for the High Commissioner for Human Rights, UNHCR, and the ICRC. Also, refer to any agreed upon Codes of Conduct for the country. Humanitarian Principles and Human Rights may also form the basis of a Code of Conduct for the country. For reference, consult the following documents: The Sphere Project Humanitarian Charter and Minimum Standards in Disaster Response, and the Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief (both of which can be found at www.sphereproject.org).*

2.3.3 Capacities and Vulnerabilities Analysis (CVA)

People can be affected by the same crisis in different ways, depending on their capacity to cope with external shocks, such as war or natural disasters. Factors that may influence peoples' coping capacity include gender, poverty, abuse of rights and their HIV/AIDS status. CVA is an analysis tool for planning a humanitarian response in a way that meets immediate needs, while at the same time builds on the strengths and existing capacities of men, women and children and their efforts to achieve long-term social and economic development. See **Annex II** for a version of the CVA tool.

CAP Country Teams are encouraged to do a CVA to help to:
- (a) Improve targeting and prioritisation of needs;
- (b) Ensure humanitarian programmes effectively support longer-term development in addressing underlying vulnerabilities of the population; and
- (c) Support and maximise local capacities and coping strategies.

The CVA section of the document should:

- √ Describe who is most vulnerable to the humanitarian crisis, and why. Take account of specific vulnerabilities to gender based violence, including sexual exploitation and abuse.

- √ Describe the coping capacities of the most vulnerable as well as other groups that may be supporting humanitarian response (e.g. host communities, government infrastructure, and community support systems).

- √ Disaggregate data by gender, and age.

- √ Outline the primary short-term and longer-term problems facing the affected population. [The discussion on longer-term needs could link with the section, "Complementarity with Other Actors"; i.e. development programmes that seek to address underlying root causes of vulnerability]

- √ Clearly state which vulnerable groups will be the focus of this year's CHAP.

2.4   Scenarios (0.5 Page)

Scenarios are visions of alternative future environments within which humanitarian actors may be required to perform. The purpose of developing scenarios is to:

- **Develop a humanitarian strategy that is based on the most likely scenario, but which takes into consideration the best and worst-case scenarios.**

- **Ensure that the strategy remains appropriate during the implementation period by systematically monitoring the situation against the various scenarios.**

- **Provide the basis for contingency and preparedness planning.**

Based on the Context Analysis formulate a best, worst and most likely scenario. <u>All three should be included in the CA document</u>.

Scenarios should include:

√   Core assumptions
√   Potential triggers for future events (these triggers can then be monitored)
√   A brief explanation of who would be affected and how
√   A 10-line narrative description

2.5   Complementarity with Other Actors (0.5 - 1 page)

The purpose of this section is to describe the complementarity between the CHAP and the strategies of the Government and the wider aid community in responding to the humanitarian crisis. In some countries, the CAP covers only a portion of all humanitarian needs. For the CAP to be credible, it must acknowledge the role of other actors (e.g. the Government, World Bank, regional organisations) and strategic planning processes (e.g. CCA/UNDAF) for responding to humanitarian and/or recovery needs. When appropriate, the CAP should seek complementarity with these other processes.

The Government of the affected country has primary responsibility for providing humanitarian assistance. They and other national and international aid actors can add value to the CAP Country Team's work. For example, some of these actors may be those the Team aspires to "hand over" programmes; they may have access to resources that are usually not available for humanitarian purposes; or they may have more direct influence on government policy. These actors may also constitute a threat to the CAP because they support a policy that might exacerbate the humanitarian situation.

In this section:

√ Describe the CAP's niche or added value to the overall aid effort, and identify ways to work more effectively with other aid programmes to achieve the goals and objectives outlined in the CHAP.

√ Identify threats and opportunities for complementarity with these actors, and identify concrete mechanisms for increasing complementarity with them.

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> Writing tip: Describe and quantify the extent of complementarity (e.g. the percentage of total humanitarian aid to the country covered in the Consolidated Appeal). Avoid simply writing a list of the other actors working outside of the CAP. Explain the partnerships with other aid actors, and, if these do not exist, explain why. Describe strategies for overcoming these constraints.

Competencies and Capacity Analysis)

The purpose of this section is to explain the roles and responsibilities of organisations participating in the CAP and CHAP. This section also identifies gaps in the CAP Country Team and points to an advocacy strategy for ensuring these gaps are filled.

When analysing roles and responsibilities, be sure to look at:

☞ The added value of each organisation and the government in implementing the CHAP
☞ Organisational mandates
☞ Agencies' capacities in-country to carry out their proposed projects
☞ Leadership roles played by certain agencies in certain sectors or geographic regions
☞ The coordination mechanisms that exist to facilitate organisations working together

> *Writing tip: Avoid simply writing a list of the actors in the CAP Country Team. Write a compelling narrative that clearly explains the complementarity between participating organisations, and how they relate to one another through existing—or proposed—coordination mechanisms. Think about creative ways to represent the information graphically, such as flow charts, coordination maps, maps showing where organisations are working, and in what sector, etc.*

2.7 Strategic Goals (1 Page)

Strategic Goals in the CAP succinctly state what the CAP Country Team hopes to *realistically* contribute over the next two to three years towards alleviating the overall humanitarian situation. Strategic Goals are the basis for designing response plans and sector objectives. There should be a clear link between Strategic Goals, Sector Objectives and Projects.

In the CAP, Strategic Goals should be:
√ Multi-sectoral
√ Agreed upon and supported by the entire CAP Country Team
√ Realistic

> *Writing tip: If your Appeal document were to be summarised by a few headlines, these headlines would be the Strategic Goals. They should be succinct and express the main components of the Common Humanitarian Action Plan. A reader should be able to relate every sector objective and each project in the Appeal to one of the Strategic Goals. This helps to ensure coherence of the strategy!*

When writing Strategic Goals, be sure to look at:

- ✍ Are your goals complementary to other strategic processes such as CCA/UNDAF, World Bank Poverty Reduction Programmes, peace processes etc.?

- ✍ Have your goals addressed relief to development linkages?

- ✍ Are they achievable within the time frame?

- ✍ Will fulfilment of the goals protect human rights and support gender equity?

- ✍ Can achievement of the goals be measured?

2.8   Response Plans

(2-3 Pages per Sector / Region / or other grouping agreed by the CAP Country Team)

While many CAP Country Teams continue to organise their humanitarian response by sector, in some situations, it may be more appropriate to develop a multi-sector humanitarian response, according to geographic regions or livelihoods. Teams are encouraged to organise their humanitarian strategy in a way that makes sense in their given context. The CAP is flexible enough to accommodate different kinds of response plans. However, please contact the CAP and Donor Relations Section in OCHA for further clarification.

Response Plans detail the *strategy* for achieving the Strategic Goals. Each Response Plan (e.g. for the food sector) must set objectives that will help to achieve the Goals. Every objective should be SMART (Specific, Measurable, Achievable, Realistic, and Time bound) and include indicators to measure progress. Indicators may be based on an agreed-upon standard, such as the Minimum Standards in Disaster Response developed by the Sphere Project. A well-written, SMART objective is the foundation of the monitoring system.

Each Response Plan should include:

- √ A short **analytical background** statement for the sector/region, highlighting the key problems and the priorities for action. This should not repeat what has already been said in the Context Analysis section.

- √ A brief **strategy** for addressing the key problems.

- √ An explanation of how the Response Plan will support the Strategic Goals t.

- √ **Operational objectives** for the entire sector / region, including the major actors, all of whom should have participated in the strategy setting.

    A **definition** of an objective is:
    A specific statement of a desired result to be achieved within a given time frame.

- √ Quantitative and/or qualitative **indicators** for measuring progress towards objectives.

    Examples of indicators (from the Sphere Project's Humanitarian Charter and Minimum Standards in Disaster Response):
    - Quantitative: "At least 15 litres of water per person per day is collected."
    - Qualitative: "People are aware of the quantity and type of ration to be distributed for each distribution cycle, and reasons for any differences from established norms are provided."

- √ A brief explanation of how the objectives will be monitored.

2.9   Criteria for Prioritisation of Projects (0.5 Page)

The purpose of this section is to explicitly state the selection criteria for projects included in the Consolidated Appeal. Implicit in this is the recognition that the humanitarian community lacks sufficient resources to address all needs. Consequently, the CAP Country Team must prioritise the most urgent needs, as well as those that they can realistically address.

Criteria for project prioritisation could include, for example:

Organisational criteria: technical expertise, capacity, and mandate of appealing organisations

Geographic criteria: where are the more acute needs, where are security conditions and access favourable

Sectoral criteria: projects help to achieve at least two response plan objectives

Demographic criteria: who is most vulnerable, where can capacity be built

Temporal criteria: projects that can make a measurable impact in one year

2.10   Strategic Monitoring (0.5 Page)

The Strategic Monitoring Section should outline the CAP Country Team's plan for monitoring the Strategic Goals and Objectives in the CHAP, using agreed-upon indicators. The plan could include regular monitoring meetings; a monitoring matrix (see below); regular monitoring missions, etc.

The purpose of a strategic monitoring framework is to:

- Improve strategic decision making;

- Identify in a timely way problems or gaps in the humanitarian response;

- Clarify accountability within the humanitarian system and between the international system and recipient governments or national authorities;

- Ensure that the views and perceptions of beneficiaries affected by humanitarian interventions are available to humanitarian decision makers;

- Support resource mobilisation;

- Build consensus and transparency in information collection and analysis;

- Provide the humanitarian community with a basis for reviews and evaluations.

The monitoring plan should include a strategy for monitoring all elements of the CHAP, namely:

√   Impact of humanitarian activities on the beneficiaries
√   Humanitarian Principles and Human Rights
√   Capacities and Vulnerabilities of the population, including their vulnerability to sexual abuse and exploitation
√   The influence of aid actors outside of the CHAP on CHAP strategy
√   Scenarios
√   Strategic Goals
√   Response Plans and Objectives

A suggested matrix for Strategic Monitoring is:

STRATEGIC GOAL (state the goal to be achieved)			
Response Plan Objectives (4 Max)	Output (1 per objective)	Indicator (1 for each objective)	Achievements/Constraints (to be monitored and reported regularly)

2.11   Project Summaries

Projects are the activities that help to achieve the Response Plan objectives, and thereby the Strategic Goals. Each project should specifically refer to one or more sector objectives, and contribute to achieving one or more of the Strategic Goals.

> *Writing tip: The Project descriptions in the CAP are <u>summaries</u>. The summaries should be concise, straightforward, and they should avoid jargon. A donor will not usually make a funding decision based on the Project Summary, but if the Summary is well written and coherent with the rest of the document, a donor may contact the relevant agency for more information.*

Project Summaries include the following:

1. <u>A Project Header</u>: Every Project Summary in the CAP must have a Project Header. Please fill out each Project Header according to the annotated header below.

Appealing Agency:	Name of the organisation who will receive the contribution
Project Title:	Be concise. Capture the essence of the project.
Project Code:	(Number assigned by OCHA's Financial Tracking Unit)
Sector:	For the purpose of Financial Tracking, please choose ONE sector from the list below. *
Themes:	For the purpose of Financial Tracking, please choose themes from the list below** (you may list more than one)
Objective:	What / Where/ When/ to Whom does the project aim to achieve (this should relate directly to one of the sector objectives)
Targeted Beneficiaries: (total # & description)	Of the total number of targeted beneficiaries above, the following number are*:* **Children:** **Women:**
Implementing Partners:	List partners and describe their role below
Project Duration:	From when to when does the project run?
Total Project Budget:	(Optional if different from Funds Requested)
Funds Requested:	Bottom-line how much you are appealing for

2. <u>The Project Description</u>**:** In half a page, provide the justification for the project; explain how the project supports the CHAP strategic and short-term goals and sector objectives; explain the project's relationship with other projects in the CAP; describe the main activities; and explain the expected outcome.

3. <u>Financial Summary:</u> Table with primary budget items and total appealing amount

*SECTORS for Financial Tracking of CA Projects

Note: Each project can have only ONE sector identification. If a project addresses different sectors, please select the primary area of activity and choose the other sectors as sub-sectors. (If there is equal distribution of activity/funds among many sectors, only then choose "multi-sector".) See www.reliefweb.int/fts

FOOD
Includes: transport costs

AGRICULTURE
Includes: Food security

HEALTH
Includes: Reproductive Health Nutrition Psycho-social support / Mental Health

WATER AND SANITATION

FAMILY SHELTER AND NON-FOOD ITEMS
Includes: transport costs

EDUCATION

PROTECTION / HUMAN RIGHTS / RULE OF LAW
Includes: Advocacy & Monitoring for Human Rights / International Humanitarian Law / Protection from Gender-based Violence *Peace-building and peace promotion activities* Advocacy on the Convention of the Rights of the Child Institution building: justice, police, and national human rights groups

ECONOMIC RECOVERY AND INFRASTRUCTURE
Includes: Rehabilitation (airports, roads) Income-generation

COORDINATION AND SUPPORT SERVICES
Includes: Telecommunications Logistics

SECURITY
Includes: Staff safety

MINE ACTION
Includes: De-mining / Mine Awareness

MULTI-SECTOR°
Includes: Multi-sector refugee assistance ° This sector will be phased out

** THEMES and SUB-SECTORS

A project may have multiple themes or sub-sectors, it may have only one, or it may have none. The purpose of identifying themes is to provide indicative information on the types of projects included in the Consolidated Appeals.

1.	Gender
2.	HIV / AIDs
3.	IDPs
4.	Refugees
5.	Children / Youth
6.	Rights of the Child
7.	Child Soldiers
8.	Elderly
9.	Disabled
10.	Human Rights
11.	Justice / Police
12.	National HR Institutions
13.	Infrastructure rehabilitation (airports, ports, roads)
14.	Income Generation
15.	Telecommunications
16.	Logistics
17.	Elimination of Drug Trafficking
18.	Mental Health
19.	Nutrition
20.	Safe motherhood
21.	Sexual violence – prevention & management
22.	Adolescent Reproductive Health
23.	Family Planning
24.	Psycho-social support
25.	Governance / Public Administration
26.	Emergency Response Funds
27.	Preparedness and Contingency Planning
28.	Community Services
29.	Information management
30.	Mine Action
31.	Security of Humanitarian Workers
32.	Peace Building/ Promotion
33.	Sanitation
34.	Potable Water
35.	Support services / Administration
36.	Other _ specify

3.0 PROCEDURES FOR FINALISING AND LAUNCHING CONSOLIDATED APPEALS

1. Drafting the Consolidated Appeal document

Primary responsibility: Resident/Humanitarian Coordinator, in collaboration with the CAP Country Team and supported by the OCHA Field Office.

Headquarters of participating agencies should be closely associated with the preparation of relevant sections, programmes and projects during the entire drafting process. Drafts should be sent by the participating agencies to their respective headquarters for comments.

A final field draft will be sent to the CAP and Donor Relations Section, OCHA Geneva by the Resident / Humanitarian Coordinator (usually through a designated OCHA Humanitarian Affairs Officer (HAO)). The document will be reviewed in Geneva by the OCHA Desk Officer or Section Chief. It will then be forwarded by the CAP and Donor Relations Section to agency headquarters for formal endorsement. Agencies are expected to respond within five working days.

2. Finalising the Appeal document

Primary responsibility: Response Coordination Branch, OCHA Geneva

The responsible OCHA Desk Officer or Section Chief will review the final draft from the field and ensure:

➢ Consistency of text and figures, both in the narrative sections and in the project summaries;

➢ Consistency between the various sections;

➢ Inclusion of agency headquarters comments;

➢ Editorial refinement as needed;

➢ Field office is informed if any substantial change to the document is requested.

Editorial details
The responsible OCHA Desk Officer or Section Chief, with support from the CAP and Donor Relations Section, will supervise the final formatting and inclusion of editorial comments to the document, and prepare the following:

➢ Once the final requirements are known, a presentation letter to be cleared by the Emergency Relief Coordinator and distributed with the appeal;

➢ Updated and sufficiently detailed map;

➢ Annex describing IFRC activities, requirements and linkages.

Document formatting and production
The CAP and Donor Relations Unit, with support from the relevant geographic desk will be responsible for the following:

➢ Table of contents;

➢ Financial tables for the new appeal, as well as the funding report on the previous year's appeal, to be attached as an annex;

➢ Glossary of acronyms. A comprehensive document listing acronyms commonly used in the international context is being finalised by OCHA.

The responsible OCHA Desk Officer or Section Chief will conduct, in consultation with the field, a

final review of the document before sending it to the printers.

Translation
(Optional) The responsible OCHA Desk Officer or Section Chief will request a decision by the Emergency Relief Coordinator, in consultation with the Government and UN Agencies, on whether an (unofficial) translation of the appeal in one of the UN official languages is needed. Translation cannot begin until a final draft is available in the first language and takes <u>at least three weeks</u>. In order to have a translated version available for the launch deadlines may need to be advanced.

3. **Printing and distribution**

Primary responsibility: CAP and Donor Relations Section, OCHA Geneva

As soon as the document is considered final by the relevant OCHA Desk Officer or Section Chief, it will be sent on behalf of the HC / RC by **e-mail** to UN Agency focal points, to the field office and, for information, to OCHA Desk Officers in Geneva and New York. This complies with agency requests for a copy of the document several days before distribution to member states and the public, to be able to respond to any questions or requests for details on projects and programmes.

The **printing and distribution** of the documents are subject to an administrative **procedure**, implying the preparation of printing semestral forecasts, individual printing and distribution requests, internal OCHA authorisation, authorisation from the UNOG printing office, and transmission of authorisation to the distribution and printing offices. All these procedures, as well as the organisation of the work in the event of any alternative printing arrangement, will be the responsibility of the CAP and Donor Relations Section.

<u>Field-based printing</u>: Following approval by the CAP and Donor Relations Section, certain OCHA Offices in the Field may assume responsibility for local printing. Responsibility for formatting (See Annex IV) reverts to the field (according to standardised specifications.) Responsibility for electronic distribution of the pre-print version is by <u>OCHA Geneva</u>.

The maintenance and updating of **distribution lists** are responsibilities of the CAP and Donor Relations Section. This involves updating addresses and names of focal points, as well as integrating, as much as possible, the distribution lists of other organisations involved in the dissemination of the appeals (e.g. partner agencies, OCHA New York)

The **pouching** of the document to OCHA New York and field offices may require changes from year to year. The OCHA CAP and Donor Relations Section will check with concerned offices the correct number of copies to be pouched and will follow up on the pouching, with the support of the responsible OCHA field-based HAO as needed.

The CAP and Donor Relations Section will also ensure the posting of the document on relevant **electronic dissemination systems**, such as OCHA on-line and ReliefWeb.

4. **Launching the Appeal documents**

a) **Global Launch**

Primary responsibility: OCHA with Agency focal points

The simultaneous presentation of all Consolidated Appeals is generally scheduled for end November, to coincide with the calendar-year budget cycle of most donor countries. The Global Launch, celebrated as World Humanitarian Day, has been expanded to include events in the capitals of donor countries and follows the general format of donor meetings with public information activities described below. Since the Global Launch in November 2000, a UN Head of Agency has launched the Appeals in various donor capitals.

In addition, events in donor capitals include meetings with government officials and lawmakers. Press conferences and media events will also be held. Some suggested guidelines on the content and **structure of the donor meetings**:

- ➢ Focus of presentations should be on strategy and linkages between programmes rather than on individual agency programmes;

- ➢ Explanation should be given of what was not included in an appeal and why;

- ➢ Agencies should strictly focus on additional information that provides clarity on the issues presented;

- ➢ Agencies should not call for their own individual fund raising meetings in addition to the presentation of the Consolidated Appeal.

b) Public Information Activities

Primary responsibility: IASC SWG on the CAP and PI focal points

- • The organisation and preparation of press and public information activities related to the Consolidated Appeal should be undertaken simultaneously at field and headquarters levels by Public Information focal points. The IASC SWG on the CAP will closely coordinate these activities. Activities may include the preparation of press releases, video documentary and other audiovisual support material, which depict the intentions of the Appealing agencies response outlined in the Appeal document. The timing of these activities will be coordinated to ensure the maximum exposure and impact.

Process:

- • Primary responsibility resides with the Humanitarian/Resident Coordinator, in collaboration with the CAP Country Team and supported by the OCHA Field Office

- • Support and guidance is provided by OCHA / UN Agencies as required

- • The Process can be initiated through a 2-3 day CAP workshop, facilitated by trained CAP trainers.

- • In addition, it may be necessary to follow up with a 1-2 day retreat to discuss and agree on the CHAP.

3.1   Reporting Formats

The Resident/Humanitarian Coordinator, in collaboration with the CAP Country Team, should determine the periodicity of reporting on humanitarian strategies and revisions to the Appeal (see CAP Revision Guidelines, Annex I).

ANNEX I: CAP Revision Guidelines

> **CAP REVISIONS ENABLE APPEAL DOCUMENTS TO REFLECT THE EVOLVING SITUATION BY UPDATING STRATEGY AND/OR PROJECT CONTENT.**

<Submit a CAP Revision Request on www.reliefweb.int/fts or via e-mail to cap@reliefweb.int>

1. Why revise the CAP?

Situations change – the CAP should be able to reflect this.
Examples: FAO/WFP Crop Assessments provide revised food requirements
   Natural disasters – e.g. drought (Sudan)
   Beneficiary numbers change
   Projects get timed out (e.g. agriculture cycles)
   Changes in access/security situation

2. What triggers a CAP Revision?

➢ **The CAP country-team will initiate a CAP Revision request, acting on the basis of**

   (i)   Information received from the Sectoral Groups who use indicators contained in the sectoral analysis of the CHAP
   (ii)   External changes impacting on the described humanitarian situation
   (iii)   Budgetary and financial changes reported to the CAP Country Team by appealing agencies, or as a result of analysis of FTS information.

3. What do CAP Revisions add to the Consolidated Appeals Process?

➢ The overall intention is to make the Consolidated Appeal more of a 'living document', more flexible and responsive to changing conditions and events.
➢ Revisions provide the CAP Country Team with the opportunity to regularly update strategy and project requirements to reflect current reality and to ensure that the information reaches interested parties.
➢ CAP Revisions do not need to be as 'all-encompassing' as Mid-Year Reviews.
➢ Revisions assist in keeping the responsibility for the process at the country level.
➢ Eliminate the requirement for new CAPs if the situation changes
➢ Regular revisions should decrease the requirement for a labour intensive CAP exercise in September each year.

4. What are the criteria?

➢ <u>Frequency to be determined by the CAP Country Team</u>, (However, a review should be provided at least at mid-year).
➢ CHAP revisions should only be made when the CAP Country Team determines that there has been a substantive change in the environment (either global or sectoral).
➢ Project changes should reflect the situation on the ground (e.g. deletion of timed-out projects, revisions taking into account shortened implementation periods or projects affected by changes external to the CAP).
➢ Revision requests are not limited to changes in strategy or projects but can be applicable to changes in actors and country inclusion within regional appeals.
➢ Any section of the CAP may be revised.

5.   What about Monitoring and Reporting – is this the same as CAP Revisions?

➢ No, monitoring and reporting should reflect progress made against sector objectives and indicators as well as external factors impacting on CHAP implementation.
➢ Operational monitoring and reporting information related to indicators originally defined in the CHAP as well as strategic measurement of progress against CHAP Goals should be submitted to OCHA Geneva according to the format agreed by the Country Team
This information will be:
>   (i)   Distributed to stakeholders (donors, Agencies)
>   (ii)   Made available on ReliefWeb
>   (iii)   Included in the CAP update history document.
➢ Results of monitoring and reporting will act as a basis for CAP Revisions, if needed.

6.   How does the Revision process work?

➢ Revision Request originates from the CAP Country Team.
➢ The HC must approve any revision request, generally on the basis of recommendations made by the CAP Country Team.
➢ The HC (or designated officer) must submit the approved revision request to OCHA Geneva.
➢ OCHA Geneva checks submission and may return to HC if further clarifications are required.
➢ Revision requests are circulated to agency HQs for review within 3 days, after which time the revision will be posted on ReliefWeb.
➢ OCHA and IASC members will inform stakeholders of the latest revision and support additional publicity if required.

7.   Other Points

➢ There is no pre-determined format for CAP Revisions. For changes to narrative text the CCT may want to send a revised section which will be pasted into the 'latest version' of the CAP or send a message indicating where changes should be inserted:

>   Replace sentence 3 of Sector Analysis for Food Aid with the following: "WFP has determined that the beneficiary caseload as at end-March 2001 is 275,000 people".

➢ For revised project budgets, rationale/ explanation should be provided. Where necessary, changes to the narrative should accompany the budget change.

ANNEX II: Capacities and Vulnerabilities Matrix

CAPACITIES AND VULNERABILITIES ANALYSIS MATRIX

Physical/Material	Capacities			Vulnerabilities		
	Females	Males	Children*	Females	Males	Children*
• Health and disability • Livelihoods/ Vocational skills • Livestock • Access to markets • Transport • Staple crops • Housing • Technologies • Water supply • Food supply • Access to capital or other assets • Relative poverty and wealth • Features of land, climate, environment						

All of the listed categories will be different for women and for men. While women and men suffer material deprivation during crisis, they always have some resources left. These resources serve as capacities on which agencies can build.

The following questions should be answered through this section of the CVA
→ What physical/material resources exist in the community?
→ What are the access and control patterns for these resources?
→ How do these patterns change in crisis?

Social/Organisational	Capacities			Vulnerabilities		
	Females	Males	Children*	Females	Males	Children*
• Family structures • Kinship groups, clans • Formal social and political organisations • Informal social gatherings • Divisions of : - gender, - race, - ethnicity - class - caste - religion • Social capital (systems of support and power) • Education • Systems for distributing goods and services						

Gender analysis in this category is crucial, to understand women's and men's different roles in decision-making, as well as access to resources and social systems of exchange. Divisions on the basis of gender, race, ethnicity, class, caste or religion can weaken the social fabric, increasing a group's vulnerability. Social organisations usually are disrupted in crisis, creating both chaos and opportunities for social change, e.g., around gender roles.

The following questions should be answered through this section of the CVA

→ What social/organisational institutions and relationships exist in the community? How does crisis impact these structures? How do these structures transform during crisis?

→ What are the opportunities and challenges to people's capacities provided by this transformation?

Motivational Attitudinal	Capacities			Vulnerabilities		
	Females	Males	Children*	Females	Males	Children*
• Psycho social profile • History of crisis • Expectation of emergency Relief • Existing coping strategy • Cultural and psychological Factors • Change in power structures and relations						

This category includes cultural and psychological factors based on traditional mid views, the people's history of crisis, their expectation of emergency relief assistance, and their coping strategies. When people feel victimised and dependent; they may become fatalistic and passive, and suffer a decrease in their coping strategies. Inappropriate relief that does not build on their capacities can also increase their vulnerabilities.

Some of the relevant questions to ask may be:
How does the community perceive the crisis?
What are the capacities for coping strategies in the community?

*Note:
In the matrix the columns on children can be further broken down into different age groups but for the purpose of this training exercise we will only keep it limited to the broad category of children under 18 years of age.

ANNEX III: CAP Timetable for 2002

Early April	Fax from OCHA to Humanitarian Coordinator requests monitoring and reporting plans for the year. Guidance / instruction provided on the process and how to revise the Appeal accordingly.
April / May	CAP Country Team gather to analyse information, financial responses, indicators relating to previous year's strategy.
Mid May	Trainers are trained on CAP in advance of deployment from June – July.
Mid May	Appeals are revised according to the latest situation and changes reflected in on-line Appeal.
29 May	Meeting held in Geneva on mid-year status of the Consolidated Appeals
June*	CAP Field Workshops begin – include all key stakeholders and facilitated with IASC CAP sub-working group support.
3rd week July	CAP Country Team meets to review situation and determine strategy for following year. Designation of country level CAP 'Focal Points ' to guide the process. (How does steering committee differ from Country team?) CAP 'Focal Points' convene to discuss time frame and structure of Appeal for following year and to formulate and agree on the CHAP.
Early August	Assess and develop Sector Analysis, including progress made, needs, identification of objectives and indicators.
September	Sector lead agencies determine priority areas of activity and associated projects for inclusion in the new Appeal in accordance with the CHAP. Projects formulated in consultation with appealing agency headquarters. Humanitarian Coordinator and CAP Country Team review and finalise response plans and projects.
Tuesday 1 October	**Completed field drafts are submitted for finalisation by OCHA Geneva.**
Early November	Published Consolidated Appeals documents are disseminated to member states and partner organisations.
19 and 20 November	Global launch by the UN Deputy Secretary-General and IASC principals.

* All facilitator / training support at the field level should have taken place by end July.

ANNEX IV: Text Formatting

The OCHA field office has an essential role in ensuring that the draft texts for the Consolidated Appeals and revisions are sent to the CAP and Donor Relations Section in plain typed text (Arial 11pt) (no formatting, no shading) with accurate financial figures.

** Please note that final field drafts will still need to be circulated among Agency headquarters and at this stage substantial editing may occur. Insertion of photos, text boxes, or other formatting designs should be reserved for the final cleared version. (Step 5. In Annex IV)

1. The **compatibility of the editing systems** in the field and in the CAP and Donor Relations Section should be assessed in advance to ensure a subsequent expeditious final formatting of the document. Below are a few detailed points which the field offices should take into account in preparing the draft text:

2. The text will be written in a compatible format (presently OCHA Geneva works with MSOffice 97' Microsoft Word). Paper size should be **A4** (in centimetres 21cm x 29.7cm – in inches 8.27" x 11.69") and the font preferably **Arial 11pt**. If a different system is used, OCHA Geneva will be informed as soon as possible.

3. Page margins, for both the text and the tables, should be:
   Left 3 **cm**, Right **2 cm**, Top **2 cm**, Bottom **2 cm**

4. Tabulations (tab set), underlined or italic text, footers or headers should **not be used** (bold text and footnotes are admitted): if the document requires special fonts, instructions will be sent to the CAP and Donor Relations Section.

5. Page numbering should start on the first page and be the same throughout the document. The CAP and Donor Relations Section will check to ensure correct page numbering at the final formatting stage.

The OCHA field offices will ensure the **correctness and consistency of data** transmitted to the CAP and Donor Relations Section. A careful review of the figures contained in the document, particularly in the project financial summaries, will avoid time-consuming re-calculations and ex-post corrections. Particularly the field offices will:

6. Cross-check all figures before sending the draft to the CAP and Donor Relations Section, particularly if figures have been changed during various stages of preparation of the document.

7. Where the appeal follows up on one of a previous year, review the latest financial tables from the CAP and Donor Relations Section on contributions received against the previous appeal. If in that table a contribution is not recorded, or if the amount recorded is incorrect, the discrepancy will be signalled immediately to the CAP and Donor Relations Section for review.

8. Prepare, in a compatible word processing system, all tables to be placed in the body of the document. Any carry-over funds expected to be available during the appeal period should be mentioned. The final requirement table will therefore show:

   a) Gross requirements (total humanitarian needs that are covered by the programme);

   b) Expected carry-over, if any;

   c) Net requirements (money requested from donors)[1]

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[1] During the appeal period agencies will inform OCHA Geneva, in response to the monthly reminders sent by the Branch, of any response to the appeal as: 1) pledges and contributions, 2) funds carried over from previous years, 3) fund re-allocated internally.

The OCHA field offices will also ensure the **editorial accuracy** of the draft text, before sending it to the CAP and Donor Relations Section:

9. Avoid excessive use of UN jargon and acronyms

10. Use short and clear sentences

11. Spell out acronyms the first time they appear in the text. If any other arrangement is preferred (for example spelling out acronyms more than once for specific purposes), this request will be sent to the CAP and Donor Relations Section

12. Follow, as extensively as possible, the relevant UN editorial rules [2]

13. Systematically proofread for errors (typographical or spelling).

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[2]   Particularly, "center" will be replaced by "centre", "organization" by "organisation" (except when otherwise spelled in an acronym or agency name), "metric tonnes" by "MTs", "UN agency" or "UN agencies" by "UN Agency" or "UN Agencies", "program" by "programme", "labor" by "labour" etc.