

Technical guidelines for the preparation of Consolidated Appeal documents

Purpose of these guidelines

To support the humanitarian system to develop effective consolidated appeal documents for 1999 by:

- a) Providing the context within which the consolidated appeal documents are prepared;
- b) providing an annotated contents framework for appeal documents;
- c) providing technical guidance to the field on the preparation and finalisation of the consolidated appeal documents.

Introduction

The concept of consolidated appeals was laid down in the General Assembly (GA) resolution 46/182, which stated that, for emergencies requiring a coordinated response, the Secretary-General should ensure the issuance of consolidated appeals covering all concerned organizations of the system and prepared in consultation with the affected State. In 1993, both the Economic and Social Council and the GA (GA resolution 48/57) requested that, in preparing consolidated appeals at field level, the activities of bilateral donors, ICRC, IFRC and NGOs should be taken into account.

Although the specific details of appeal preparation may vary from case to case, some technical step by step indications are needed to guide field and headquarter offices on procedures recommended to prepare the documents up to their launch. This guide should be read in supplement to the 1994 IASC Approved Guidelines on the CAP (attached as Annex 1). Specifically, the present guidelines are intended to clarify what steps are involved in finalizing an appeal document and related roles and responsibilities.

It goes beyond the scope of the guidelines to detail responsibilities concerning other aspects of the consolidated appeal process, namely:

- the pre-document phase, mainly involving strategic decisions on the need for an appeal and advance strategic planning to determine the scope and priorities of the appeal. This phase also includes appeal scheduling which would involve determination of a detailed workplan indicating the dates for needs assessments and the series of strategic and programme planning meetings required in-country to produce a well structured field draft.
- the post-document follow-up, consisting of defining and implementing a donor mobilization strategy for the appeal, monitoring the humanitarian programme and review and evaluation of the process at the end of the appeal period.

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

Consolidated Appeal Process: *A programming process through which national, regional and international relief systems are able to mobilize and respond to selective major or complex emergencies that require a system-wide response to humanitarian crisis.*

Common Humanitarian Action Plan: *A coordinated programme of interventions based on an agreed strategy designed to achieve shared goals.*

Consolidated Appeal: *A reference document for the international community on the humanitarian strategy, programme and funding requirements in response to a complex emergency.*

Step 1 Preparation of the draft appeal

Primary responsibility: Field office

Support is available from the OCHA / UN agency CAP facilitators

Content

The content of the draft appeal document should always be the result of close consultation between agency field offices and their headquarters, as well as between agencies and OCHA in the field.

Consolidated Appeal Document Content Outline

Volume 1. The Common Humanitarian Action Plan (maximum 10 pages)

1. Executive Summary (1-2 pages)

- The context
- Description of common humanitarian action plan formulation process
- Long term goals
- Short term goals and operational objectives (for the period of the Appeal)
- Relationship with other humanitarian and development programmes
- Monitoring plan
- Total budget requirements by sector

2. Previous CAP in Review (1-2 pages)

- Financial Overview
- Changes in the Humanitarian Situation
- Progress Made
- Lessons Learned

3. Humanitarian Context (1-2 pages)

- Political, Economic, Security and Constraints Analysis
- Problem Analysis, Response and Prospects

4. Common Humanitarian Action Plan (5-6 pages)

- Presentation of 2/3 Scenarios

Current and Needed Competencies and Capacity
 Statement of Humanitarian Principles
 Long Term Goals (over the next 1-3 years)
 Short term Goals (covering period of CAP)
 Sectors to be Addressed and Operational Objectives by Sector
 Criteria for Prioritisation
 Relationship with Other Assistance Programmes
 Indicators for Assessing Sectoral Objectives

Volume 2. Sectoral Programme/Projects

- 1. Prioritisation Criteria and Process (1 page)**
- 2. Summary of programmes/projects by sector (1 page)**
- 3. Individual programmes/projects**
- 4. Budget summary by organisation (1 page)**

Annotated contents list

1. Executive Summary (1-2 pages)

The context

Current humanitarian and political overview; resulting needs and responses to date.

Explain the need for a common humanitarian action plan (CHAP) and briefly describe the formulation process and its actors

Description of who has been involved in developing the common humanitarian action plan.

The derived common humanitarian long term goals (1-3 years)

Statement of the long term goals and reasons

Short term goals and sectoral operational objectives lie at the centre of the common humanitarian action plan. (for the period of the CAP)

Statement of the short term goals and sectoral operational objectives and reasons.

Relationship with other humanitarian and development programmes.

Assistance programmes taking place outside of the context of the CAP should be mentioned, highlighting the source and application of funds as well as the complementarity of the CHAP to these other sources and processes.

Monitoring Plan

Description of the monitoring plan for the CAP.

Total Budget Requirement by sector

2. CAP, the Year in Review (1-2 pages)

Financial Overview

Using OCHA financial tracking information and other financial information available

locally, present an analysis of funding made available through the CAP during the previous period, highlighting the impact of the use of funds on the beneficiaries and negative consequence of any shortfalls or delays in pledges.

Changes in the Humanitarian Situation

Any significant or unforeseen changes in the external environment should be highlighted here. Mention should be made of the consequences and impact of these changes.

Progress Made

An attempt should be made to highlight relevant information on the impact or outcomes of programming within the previous CAP. This section should go beyond an expression of inputs by the system.

Lessons Learned

Key lessons learned should be highlighted. What did and what did not work and what were the results of any reviews/evaluations concerning outcomes and impact of programming that took place within the context of the previous CAP.

3. Humanitarian Context (1-2 pages)

Political, Economic, Security and Constraints Analysis

Political, economic, security and constraints analysis in the context of the humanitarian programme.

Problem Analysis, Response and Prospects

Main short and longer term problems facing the affected populations and how the humanitarian community has been attempting to address them.

An analysis of projected humanitarian needs over the next 1-3 years in the country/region based on a sector analysis, identifying any potential gaps.

Based on the above the next step is to prepare the Common Humanitarian Action Plan.

4. Common Humanitarian Action Plan (5-6 pages)

Presentation of possible Scenarios

Based on a discussion with key players concerned with the development of the common humanitarian action plan agree upon the formulation of 2-3 possible scenarios.

Scenarios should be: "Internally consistent, challenging descriptions of possible futures"

*The **purpose** of developing the scenarios is to:*

- Develop a humanitarian action plan that can accommodate the different scenarios.*
- Ensure that the strategy remains appropriate during the process of implementation by systematically monitoring the situation against the various scenarios.*
- Demonstrate to donors that the humanitarian community has gone through a process that will help ensure that the humanitarian programme is relevant and appropriate.*

Competencies and Capacity Analysis

The purpose of this section is to identify whether, over the medium term (1-3 years), the current competencies and capacities are sufficient and if gaps are identified whether other organisations may be needed to assist the humanitarian community. The process should help build a common understanding of competencies and capacities among the participating organisations (UN, Government, INGO's etc).

Statement of Humanitarian Principles

A statement of generic humanitarian principles as well as principles specific to the location should be made, including an explanation of how the principles are being applied operationally.

Long Term Goals (over the next 1-3 years)

Goals should be generated from the humanitarian context (section 3) drawing upon analysis of the external environment and the response capacity of the humanitarian system. A long term goal is defined as:

A statement providing a direction and some expected outcomes for the humanitarian community participating in the CAP over the longer term. The long term goals should express explicitly where the humanitarian community hopes to be in two to three years time i.e. what will be different as a result of achieving the goals. The long term goals should also specify how the humanitarian community plans to address the underlying causes and should articulate an exit strategy wherever possible.

An example of long term goals for Sudan could be:

- 1. Reduced dependency on external humanitarian aid.*
- 2. Reduction in chronic poverty problems.*
- 3. Adequate local capacity for emergency preparedness.*

Under each long term goal a description should be given to explain the goal and how it will be achieved.

Each long term goal should be measurable and have at least one benchmark to assist the monitoring process.

Short term Goals (covering period of CAP)

Short term goals will be more specific than long term goals and will set the direction and outcomes for the organisations participating in the CAP. They should express the key characteristics necessary to ensure the long term goals are realised.

Examples of short term goals for Sudan could be:

- 1. Reduction in chronic poverty in Khartoum by:*

- Advocating for donors to support poverty alleviation programmes of the UN and NGOs.*
- Building an effective shared approach to poverty alleviation in Khartoum.*

- 2. A n effective coordination mechanism to assist in building and implement a successful common humanitarian action programme.*

Under each short term goal a description should be given to explain the goal and how it will be achieved.

Each short term goal should be measurable and have at least one benchmark to assist the monitoring process.

Sectors to be Addressed and Operational Objectives by Sector

Sectoral operational objectives will be for the duration of the CAP and will be specific, measurable, achievable and time bound. It should be possible for indicators to be developed to measure progress in achieving the objectives.

The sectors first need to be identified and priorities between sectors agreed upon. This should be done where possible within existing coordination mechanisms.

The two outputs should be:

- A short analytical background statement for the sector, highlighting the priorities.*
- The sectoral operational objectives for the period of the CAP should relate to the totality of organisations in the CAP. At the same time they should also take into consideration assistance programmes working outside of the CAP. An analysis of competencies and capacity should be part of the objective setting process and this should be done by sector.*

A definition of an objective is:

a specific statement of a desired result to be achieved within a given time frame.

Criteria for prioritisation

Establishing criteria for prioritisation is an integral part of the goal and objective setting process and may need to be adjusted during the CAP cycle. Overall criteria for the selection of projects or programmes that will go into the Consolidated Appeal should be stated by the country team responsible for developing the common humanitarian action plan. Factors to be considered in establishing the criteria for pprioritisation should include

- The long and short term goals of the CHAP.*
- The sector based operational objectives*
- Capacities and Competencies*
- The intention of other humanitarian actors working outside of the CHAP.*

The in-country team should agree on the criteria for prioritisation and these should then be developed within the sectors and made explicit in the appeal

Relationship with Other Assistance Programmes

This section should describe other relevant assistance programmes and how they relate to the CAP. It should be noted that governments and nations do not live by the consolidated appeal.

Indicators for Assessing Sectoral Objectives

In order to assist with making the common humanitarian action plan operational indicators should be developed for the different operational objectives. The main types of indicators that could be used are:

Input Indicators; *provide a reference point for measuring resource issues.*

Output Indicators; *look at changes that have occurred as a result of the implementation of the consolidated humanitarian programme.*

Impact Indicators; *Measurable criteria to determine the effects of the humanitarian programme.*

The indicators should be identified by the sector working groups and then tracked and reported on during the process of implementation.

Volume 2. Sectoral Programmes/Projects

1. Prioritisation Criteria and Process (1 Page)

Volume 2 should start with a re-statement of the prioritisation criteria outlined in the common humanitarian action plan. This will help set the scene for the sectoral programmes/projects and should encourage donors to see the integral relationship between volume 1 and 2.

2. Summary of Programmes/Projects by Sector (1-2 Pages)

The summary has the following structure by sector:

a) Introduction covering:

Long term and short term goals relating to the sector

Statement of sectoral operational objectives

Statement of indicators for the sectoral operational objectives

Relationship to assistance programmes outside of the CAP

b) List of programmes and projects, title and funds requested. Programmes may involve more than one agency contributing to the attainment of the same sectoral objective.

3. Individual Projects/Programmes by Sector

The project summaries should include a line where the project identifies which sectoral objective it is working towards and how it relates to other projects in the sector.

*The Objectives for the individual project submissions **MUST** be **Specific, Measurable, Achievable, Realistic and Time bound (SMART)**. Consistency should exist across the project submissions in terms of objectives and the presentation of budget outlines.*

Annex 1

Summary of humanitarian coordination arrangements in the country

Annex 2 & 3

ICRC / IFRC

Including a section showing linkages to the common humanitarian action plan in the CAP.

Text format

The field offices' role is essential in ensuring that the draft text is sent to the CER-CAP Branch in the best possible shape in terms of formatting conditions, accuracy of financial figures and editorial details.

The **compatibility of the editing systems** in the field and in the CERCAP branch should be assessed in advance so as to ensure a subsequent expeditious final formatting of the document. These are a few detailed points which the field offices should take into account in preparing the draft text:

the text will be written in a compatible format (presently the CERCAP Branch works with word perfect 6). Paper size should be A4 and the font preferably Arial 11 pt. If a different system is used, the CERCAP Branch will be informed as soon as possible

page margins, for both the text and the tables, should be:
left 3 cm, right 2 cm, top 2 cm, bottom 1.30 cm

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 Unit

page numbering should start on the first page and be the same all over the document. If there is any problem with the numbering, the CERCAP Branch will rather take care of the page numbering at the final formatting stage

The field offices will ensure the **correctness and consistency of data** transmitted to the CERCAP Branch. 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:

cross-check all figures contained in the draft before sending it to the CERCAP Branch, particularly if figures have been changed during the various stages of preparation of the document

in situations where the appeal follows up on one of a previous year, review the latest financial tables provided by the CAP Unit on contributions received against the previous appeal. If in that table a contribution is not recorded, or if the amount recorded is incorrect, the mistake will immediately be signaled to the CERCAP Branch for correction

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)

The field offices will also ensure the **editorial accuracy** of the draft text, before sending it to the CERCAP Branch namely:

avoiding excessive use of UN jargon and acronyms

spelling 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 instruction will be sent to the CERCAP Branch

following, as extensively as possible, the relevant UN editorial rules

systematically performing a computerized spell check

First review of the draft

The draft, once sent to the CERCAP Branch in Geneva, will be quickly reviewed by the responsible humanitarian affairs officer, in order to ensure that the **document is complete and readable**. Following this first reading, the document will be immediately sent to agency headquarter focal points.

Step 2 Headquarter agencies' comments to the draft appeal

Primary responsibility: CERCAP Branch

The confirmation and **updating of the agency headquarter focal points list** will be done, before receiving the draft, by the responsible humanitarian affairs officer, in consultation with the agencies concerned.

The responsible humanitarian affairs officer will supervise the **transmission of the draft** to the agency headquarter focal points and ensure that the following actions are taken:

e-mailing the draft to focal points for comments. Five working days will be given to them to reply;

ensuring that agencies have received the draft;

sending a reminder to agencies one day before the deadline;

inviting relevant agencies to provide comments missing the day following the deadline;

Step 3 Finalisation of the appeal

Primary responsibility: CERCAP Branch

Translation. The responsible humanitarian affairs officer will request a decision by the ERC, in consultation with the government and UN agencies, on whether a translation of the appeal in one or more of the UN official languages is needed. This will also include a decision as to whether a simultaneous launch in two or more languages is necessary

and related liaison by the CERCAP Branch officer with the translation office. Translation cannot begin until a final draft is available in the first language.

Correctness of the revised text. The responsible humanitarian affairs officer will review the comments received from agencies and ensure their incorporation. The same officer will also ensure:

correctness of text incorporated and figures, both in the narrative text and in the project summaries;

consistency between the various sections;

editorial refinement as needed;

information to the field office on any substantial change to the document is requested;

Editorial details. The responsible humanitarian affairs officer will supervise the final formatting of the document and the inclusion of editorial complements to the document, namely:

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

an executive summary to introduce the appeal;

a table of contents;

an updated and sufficiently detailed map;

financial tables (currently in Lotus 1-2-3) regarding the funding requests for the new appeal, as well as the funding report on the previous year's appeal, to be attached as an annex;

an annex describing ICRC and IFRC activities, requirements and linkages;

an acronym glossary. A comprehensive document listing acronyms commonly used in the international context is being finalised by CERCAP.

The responsible humanitarian affairs officer, who will bear the overall responsibility for the document, will ensure, in consultation with the field, a **final review** of the document before sending it to the printers.

Step 4 Printing and distribution of the appeal

Primary responsibility: CERCAP Branch

As soon as the document is finalised, it will be **e-mailed** to UN agency focal points, to the field office and, for information, to OCHA desk officers in Geneva and New York. This will comply with agencies' (and OCHA desk officers') request of having a copy of the document some days before governments and missions, so as to be able to respond to any questions or requests for details on

projects and programmes.

The **printing and distribution** are subject to a bureaucratic **procedure**, implying the preparation of printing semestral forecasts, individual printing and distribution requests, internal OCHA authorization, authorization from the UNOG printing office, transmission of authorization 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 a responsibility of the CAP Unit responsible officer

The **distribution lists** have to be cleared by eliminating duplications , updating addresses and names of focal points and filling existing gaps, as well as integrating, as much as possible, the distribution lists of other organizations involved in the dissemination of the appeals (ex. partner agencies, OCHA New York) within the OCHA appeal distribution system. This will be a responsibility of the CERCAP Branch, which is already involved in a process of gradual improvement of the distribution coverage.

The **pouching** of the document to OCHA New York and field offices may require changes from one year to the other. The CERCAP Branch documentalist will check with concerned offices the correct number of copies to be pouched and follow up on the pouching, with the support of the responsible CAP Unit officer as needed.

The documentalist will also ensure the posting of the document on relevant **electronic dissemination systems**, such as DHA on-line and Reliefweb.

Step 5 Launch of the appeal

Primary responsibility: CERCAP Branch

Press release

The **organisation** of the press release will be the responsibility of the concerned humanitarian affairs officer. This will be done in close collaboration with the OCHA PAID focal point, who will be provided with a copy of the appeal and any other relevant material.

The press release will be disseminated simultaneously by the OCHA PAID in Geneva, New York and the field. Its **synchronization with the distribution** of the document **and with the organisation of any donor meeting** is crucial and should follow the procedure detailed below:

press release/document distribution. The press announcement will be issued on the day when the distribution starts, to make sure that interested donors are already aware of the forthcoming appeal a few days before they receive the document.

press release/donor meeting. The document will be made available ten working days prior to any meeting or briefing. A time span of about 13-15 days will therefore elapse between the press release and the donor briefing.

Donor meeting

The meeting will usually take place in Geneva. An **invitation list** will be drafted under the supervision of the responsible desk officer. Invitees should include the members of the HLWG, relevant States in the region and recent major donors within and outside the appeal framework (with

attention paid to political sensitivities). The desk officer's secretary will have the responsibility for the organisation of the meeting, including timely distribution of invitations, scheduling of the meeting, room reservation, provision of documentary material and necessary equipment, secretarial support during the meeting, etc.

Below are some suggested guidelines on the content and **structure of the donor meeting** (according to requests expressed by donors in the meeting on the CAP of November 1997):

- focus of presentations should be on 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.

The **preparation of the agenda** will be the responsibility of the CER desk officer in collaboration with the Office of the Humanitarian Coordinator. Specifically, consideration will be given to issues such as:

- context (impact of previous appeal, changes in situation etc)
- strategy
- institutional and thematic inter-linkages
- priority activities and rationale
- financial requirements

These meetings should be **presided over** by the ERC, the Deputy ERC or by the Director of OCHA Geneva. Speaking points for the chairman will be prepared by the CER desk officer. The podium should also include at least the Humanitarian or Resident Coordinator (or his/her representative).

Joint appeal meetings with donors, or different meetings with donors organised on the same day, will be avoided as much as possible. When this is not feasible, a strategic matching of the meetings will be proposed by the responsible CER desk officer, so as to avoid overburdening donors and seeming to compete for resources.

The desk officer will prepare a **report** on the meeting and share it with OCHA colleagues, field offices and IASC members.

OCHA/CERCAP
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