

OFFICE OF THE EXECUTIVE DIRECTOR

CF/EXD/MEM/2003-17

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Date: 7 August 2003
From: Carol Bellamy
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To: Alan Doss
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Simon Nhongo
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RC/HC, Sudan

William Paton
RC/HC, Tajikistan

cc: Carolyn McCaskie
Acting Emergency Relief Coordinator

Mark Malloch Brown
Chair, UNDG

Sally Fegan-Wyles
Director, DGO

Re: Interim Guidance on Transitional Appeals, 2004

I am writing to you in my capacity as Chair of the UNDG/ECHA Working Group on Transition Issues. As you are aware, the working group was set up towards the end of 2002 to review the UN's role in post-conflict transitional situations and to propose an action plan for integrated approaches to planning, implementation and resource mobilization for transition. The working group is in the process of completing its work and will be submitting its report and recommendations to the Secretary-General in September 2003.

Meanwhile, I am aware that you and the UN teams in your respective countries wish to embark on a transitional appeal for 2004 within the framework of the consolidated appeal process.

I am pleased to share the attached interim guidance to support you in your endeavour. The interim guidance builds on the work of the UNDG/ECHA working group, the emerging lessons from the eight country reviews undertaken and the discussions within the IASC on the consolidated appeal process for 2004.

I urge you to please use this guidance as the basis for further consultations and follow up at the country level.

The IASC, OCHA and UNDG stand committed to providing coherent and coordinated support to you and your country teams as you embark on the planning and development of the 2004 transitional appeal. To enable us to do so, please address any questions, clarifications and requests for further information/support to Ms. Wendy Cue, OIC of OCHA's CAP Unit, Geneva (Tel No: 41-22-917-2632; email: cue@un.org) and Ms. Mona Hammam, Associate Director, UNDGO, NY (Tel. No: 212-906-5122; e-mail: mona.hammam@undp.org). They will consult amongst themselves and with others concerned and revert to you with a consolidated response.

My best wishes to you and the members of your team on this important and exciting initiative.

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Proposed Interim Guidance on Transitional Appeals for 2004

The interim guidance below is applicable for 2004 appeals only and for select countries that are considering preparation of a transitional appeal to be launched at the CAP Global Launch on 18-19 November 2003. Specifically, this guidance is for: Angola, Eritrea, Sudan and Tajikistan. The UNDG/ECHA WG on Transition finalises its work in September 2003 when recommendations will be presented to the Secretary-General for endorsement.

1. The decision making process

In considering whether to embark on a planning process and appeal document that goes beyond the CAP, the Country Team should consider whether the following benchmarks have been met. These benchmarks have been identified in other situations as being good indicators of the need for transitional assistance and planning and can be used to guide decision-making.

- A peace agreement has been signed *or* the peace process is very advanced.
- The Government is agreeable to embark on a transition process.
- Major donors accept the need for, and are willing to support transitional programmes for the country.
- The situation is conducive, including politically, for the return and reintegration of refugee and internally displaced populations, if appropriate.
- The Government has the capacity or is being supported to build its capacity to work in partnership with the UN on transitional planning, coordination and programme implementation.
- Support is available, or can be quickly obtained, in the RC/HC's office to coordinate planning for the transition.
- Coordination mechanisms are in place or can be adapted quickly to plan and implement a transition programme.
- Coordination mechanisms include active participation by key transition stakeholders, including Government.

If the Country Team agrees that the above benchmarks are sufficiently met, it should elaborate a transitional appeal instead of a traditional CAP. If the above benchmarks are not sufficiently met, it is advised that the Country Team continue with the CAP.

Lessons learned from countries in transition suggest the following:

- In many transitional situations, significant humanitarian needs remain. Therefore, while Government participation and partnership in transition is critical, it is equally important to ensure that this partnership helps to preserve humanitarian space and to ensure that protection needs are addressed. Weak capacity might well determine the pace at which government and communities can lead the transition, hence the importance of capacity building.

- A pro-active donor outreach strategy is essential to ensuring support for transitional appeals as many traditional donors are still unaccustomed to such appeals and are not bureaucratically set up to fund such appeals.
- The support within the HC/RC office required for the transitional period commonly needs to be strengthened, and be provided jointly by both OCHA and UNDG.

2. The Transitional Appeal

- a.) The transitional appeal should include two elements:
 - a summary of the integrated, inter-agency Transitional Strategy, and
 - project activities to implement this strategy for which funds are needed.
- b.) The planning process used to devise the transitional appeal should be broadly inclusive, including local populations, governments and its peace partners as well as a wide range of international stakeholders. Participation of NGOs is strongly encouraged and all organisations that are part of the IASC, ECHA and/or UNDG may appeal for funds through the appeal.
- c.) A fully consultative assessment and analysis exercise should underpin the transitional strategy and appeal. The assessment should take into account a range of needs of a population, including re-absorption requirements of the displaced population (e.g. relief, capacity building, social services, peacebuilding, human rights).
- d.) This strategy should identify remaining humanitarian priorities as well as rehabilitation, recovery, reconstruction and return/reintegration priorities by sector and by geographic area and not on the basis of agency-specific mandates.
- e.) For the purposes of the Appeal it would be helpful for the Country Team to define country-specific understanding of terminology such as relief, transition and recovery.
- f.) The strategy should have clear objectives and monitoring mechanisms to measure progress against these objectives and to revalidate their utility.
- g.) The strategy should link to longer term strategies, such as the UNDAF or PRSP as well as large IFI/regional bank programmes.
- h.) The strategy and programme activities may be multi-year; however:
 - any multi-year strategy used should include clear time-lines and milestones;
 - all multi-year resource requirements should be broken down into one year requirements;
 - the appeal document itself should cover project activities for a one year period.
- i.) Project activities for which funds are requested should be divided into categories such as relief, transition and recovery, according to the agreed criteria for each (see 2e above).
- j.) Selection criteria should be developed for the activities to be included in the appeal. This includes criteria for relief as well as programmes that have a transitional character.
- k.) For donors' ease of reference, it may be useful to code types of activities to facilitate readability, usability and financial tracking.

- l.) Recognising that the UNCT may have an established name for its transitional appeal, or may wish to assign one for the purpose of the forthcoming global CAP launch, the document should clearly be marked on the top right-hand corner of the cover page: Transitional Appeal for (Country X)."