

<p style="text-align: center;">CONSOLIDATED APPEAL PROCESS GUIDELINES <i>[As endorsed by the Inter-Agency Standing Committee on 13 April 1994]</i></p>

A. INTRODUCTION

The Consolidated Appeal is one of the our main components of General Assembly Resolution 46/182 provided to the Emergency Relief Coordinator (ERC) to promote effective and appropriate responses to emergencies. As envisaged in General Assembly Resolution 46/182, the ECOSOC Agreed Conclusions of Summer Session 1993. General Assembly Resolution 48/57 and based upon extensive consultations with the Inter-Agency Standing Committee membership, the Consolidated Appeal Process [CAP] should serve:

1. To facilitate a coordinated response by all those involved in meeting emergency needs throughout the course of an emergency by:
 - (a) ensuring that priority actions are focused upon those in the greatest need of humanitarian assistance;
 - (b) integrating to the extent possible, humanitarian activities to promote cost effective and efficient relief and recovery activities and to avoid duplication;
 - (c) promoting, through the process of consolidation, closer collaborative emergency responses amongst all relief and recovery actors;
 - (d) strengthening the capacities of governments and national authorities of emergency-affected states to handle emergency relief and recovery.
2. To provide an appeal through which resources are mobilised to implement programmes to meet the needs of people affected by complex or major emergencies in a manner that illustrates clearly the total range of needs and its relationship with the plans and appeals of the actors involved.

B. ASSUMPTIONS AND DEFINITIONS

1. The following recommendations use the definition of the Consolidated Appeal Process (CAP) adopted by the Inter-Agency Standing Committee (IASC) on 5 July 1993; namely, that the CAP is a programming process through which national, regional and international relief systems (including UN operational agencies; and where appropriate to the situation, the International Committee of the Red Cross (ICRC), the International Federation of Red Cross' and Red Crescent Societies (IFRC), the

International Organization for Migration (IOM), NGOs, bilateral donors as well as appropriate national and regional structures) are able to mobilise and respond to selective major or complex emergencies that require a system-wide response to humanitarian crises.

The preparation of the UN appeal document, per se, is one of the five components of the Consolidated Appeal Process.

2. The use of the CAP is principally to meet the demands of “major” as well as “complex emergencies”. Both major and complex emergencies are generally acknowledged to be those which exceed the mandate and/or capacity of any agency and are deemed to require a system-wide approach. The determination of a complex or major Emergency will be made by the Inter-Agency Standing Committee (IASC), led by the Emergency Relief Coordinator. It is assumed that, as is the case for most international responses to disasters and emergencies, the initial request for assistance of a complex or major emergency will come from the Government of the affected community.
3. The CAP is principally a process in response to a major or complex emergency in one or more countries. The process will whenever possible be guided and coordinated by the country or countries concerned, with the assistance of agreed coordination mechanisms of the regional and international community.
4. In light of the importance of national coordination, the agencies/ organisations as members of the IASC, led by the Emergency Relief Coordinator, will undertake measures to support the in-country coordination structure¹ through the provision of resources as well as personnel on a short-term or longer-term basis, depending upon the requests of the in-country coordination structure².
5. The Consolidated Appeal Process will be triggered upon receipt from a country and after consultation with the IASC, in close collaboration with the UN Secretary-General’s office, through the ERC. The ERC will facilitate all aspects of this process to enable the IASC structure to function in an action-orientated manner, which reflects the increased collaboration of ICRC, IFRC, IOM and NGOs.

¹ This phrase is defined in this paper to include the national emergency coordination structure as well as the support provided to it by the entire community of interest.

² The term Coordination Structure (or Coordinator where appropriate) used in this review recognises that there are different models of coordination according to different emergencies, e.g. Resident Coordinator, Humanitarian Coordinator, Disaster Management Team (DMT).

C. THE FIVE MAIN STAGES OF THE CAP: A OVERVIEW

The Consolidated Appeal Process is a continuum from initial disaster planning through to post-appeal activities, including resource mobilisation. For the purpose of these guidelines, five stages have been identified:

1. PRE-DISASTER PLANNING
2. ASESMENT OF NEEDS
3. STRATEGIC PLANNING
4. APPEAL FORMULATION
5. POST-APPEAL ACTIVITIES

1. PRE-DISASTER PLANNING

Complex and major emergencies do not occur suddenly. Most commonly, they stem from the accumulative effects of natural phenomena as well as from breakdown of political processes, including conflict, which threatens the survival of affected populations. Complex emergencies are often linked to natural calamities, e.g., drought, which compounds the intensity of a humanitarian crisis. It is essential that the international community be in a position to react in a timely and appropriate fashion. Therefore, in-country capacity should be strengthened to ensure adequate monitoring, early warning and preparation for possible/impending humanitarian crises.

Action Guidelines

- i) **In countries where a complex emergency may develop, crisis monitoring and preparation for emergency relief management should be ongoing activities under the responsibility of the in-country coordination structure.**

To monitor evolving developments, the coordination structure should establish an information source network including UN agencies, NGOs and relevant government bodies. The Disaster Management Team (DMT) will assist in the arranging of disaster management training, elaboration of emergency relief plans and other preparatory measures and keep the international community regularly informed.

- ii) **To keep abreast of developments, delegated country representatives should communicate regular updates on potential crises and preparedness activities to the concerned units at their headquarters, which should inform the ERC as well as other members of the IASC and other interested parties.**

Regular updates regarding the potential emergencies and measures to be taken, including contingency plans, are of utmost importance for timely intervention to halt or reduce human suffering resulting from a looming complex emergency.

iii) The ERC should provide support to the in-country coordination structure to carry out the role of monitoring.

When so requested by the DMT, the ERC should assist by the strengthening the in-country coordination structure and by helping in the preparation of strategic planning, to prepare for assessment missions. Whenever needed, the ERC should seek the necessary resources, including the seconding of appropriate personnel from other UN agencies and operational organizations.

2. ASSESSMENTS

Assessments are a means of identifying and prioritising needs in an emergency to meet the critical requirements of those most directly at risk. Assessments rely on a clear appreciation of the evolving situation in-country, and for this reason should be part of a regular review process undertaken through the coordination structure by in-country assessment teams. In so saying, it is fully recognised that there are organisations specifically mandated to undertake specialised assessment missions which, due to such factors as agricultural cycles, will be solely responsible for determining when mandated assessment procedures would be implemented. Furthermore, despite the principal role and responsibilities of the field staff, there will be situations when external assessment teams would be required to:

- provide extra capacity and experience to augment that of the field to carry out needs assessments and develop coordination structures;
- enhance the credibility of assessments and, in so doing, mobilise international attention and support more effectively;
- work with the DMT to minimize the effect of competing relief needs and/or interventions, which may exist, and facilitate the prioritization process.

Action Guidelines

i) Assessments should provide a comprehensive picture of the emergency situation and overall relief requirements.

Assessments need to reflect precision and a level of detail which necessitates collaboration amongst all relief partners, particularly those that work at the “grass-roots” level on a day-to-day basis.

- ii) Inter-agency field assessment missions should be mobilised and prepared, including the drafting of terms of reference with participating agencies and organisations, though the in-country coordinating structure of the affected country.**
- iii) The composition of field assessment teams, both in-country and external, should reflect the particular nature of the emergency being addressed. It should include representatives of relevant Governmental bodies, the office of the Resident Coordinator, UN agencies and other intergovernmental organisations, donors and NGOs which are, or will be, involved in emergency assistance and which are able to supply personnel who possess appropriate knowledge and experience.**
- iv) When external assessment missions are requested by the in-country coordination structure, participants should draw extensively from locally available knowledge, competence and perspectives. Overall guidance of such missions should remain the responsibility of the organization that fields the mission.**
- v) When deemed by the DT to be necessary, external assessment teams should include members who are capable of remaining in-country coordination efforts, including establishing coordination mechanisms in the initial stages of the emergency until more permanent structures are developed, and also to assist with the development of the strategy and subsequent appeals where appropriate.**
- vi) The ERC will act, in cooperation with other UN agencies and relief organisations, as a focal point for the systematic pooling, analysis and dissemination of comprehensive information on relief needs on affected populations presented in assessment reports.**

INTERIM APPEALS AND USE OF EMERGENCY FUNDS

An interim appeal is intended to generate emergency funds to initiate urgently required emergency resources prior to the finalisation of a consolidated inter-agency appeal. It is fully recognised that an interim appeal should be but one of several measures used to garner urgently required resources. Yet, as one such measure, an interim appeal will normally be based upon indicative figures which will be adjusted during the planning of the strategy and the inter-agency consolidated appeal.

To support urgent funding needs, Coordinator, on the advice, *inter alia*, of the assessment missions, may request that funds from the Central Emergency Revolving Fund (CERF) be used to meet interim appeals' requirements in order to enable those agencies and organisations in-country, without available resources, to respond rapidly to an unusually urgent situation.

Action Guidelines

- i) All inter-agency interim appeals will be coordinated through the in-country coordination structure following agreement with the IASC membership.**
- ii) The interim appeal and the resources mobilised through it would be reflected in the in-country strategy and subsequently incorporated into inter-agency consolidated appeals.**
- iii) Individual agencies may also wish to respond with their own interim appeals, particularly where an emergency directly involves their mandate. Interim sectoral appeals launched by an agency will be issued in consultation with the Coordinator, the IASC and DHA, based on the following procedures:**
 - a) An agency's intention to issue an interim appeal for an updated appeal addressing the partial needs of such a situation must be brought to the attention of the Emergency Relief Coordinator, prior to its issuance.**
 - b) The Emergency Relief Coordinator will have to be satisfied that it falls within the agreed parameters of prioritised needs, and that it is consistent with germane activities of other agencies.**
 - c) In the foreword or introductory section of such interim or updated appeals, reference should be made to the fact that the interim or updated appeal forms part of a specific consolidated appeal process, and the inputs of either interim or updated appeal will be incorporated into the consolidated inter-agency appeal.**

3. STRATEGIC PLANNING

An integral part of the consolidated appeal process is the strategic plan which should clearly define the objectives of the proposed relief programme, the relief programme's linkage to longer-term rehabilitation and development requirements and means to address root causes with special attention to vulnerable groups. The strategic plan should also reflect specific ways in which relief programmes' operations will be implemented, including the roles and responsibilities of organisations involved in the process.

The strategic plan should provide the blue print on which all agencies and organisations agree to work together to meet agreed prioritised, survival requirements and urgent humanitarian needs. The strategic plan, therefore, becomes a critical tool of coordination and an essential component of the relief-to-development continuum.

Recognizing that complex emergencies in particular evolve extremely rapidly and therefore involve rapidly changing needs, the strategic plan will be subject to regular reviews and evaluations in response to changes in circumstances.

The strategic plan will form the basis for the formulation of the consolidated inter-agency appeals, and, where deemed appropriate by other relief partners, the basis for their own appeals. Such information could be presented in the form of a spreadsheet matrix, or other analytical formats. The strategic plan should:

- provide written analysis of those factors that contributed to the emergency, including political, ethnic, and economic factors, as well as those factors that may affect the provision relief;
- provide an account of activities of bilateral donors, ICRC, IFRC, other IGOs, and NGOs as well as make reference to related disbursements from the CERF;
- provide a clear description of emergency needs, a forecast of future needs drawn from the needs assessments carried out by relief partners in-country and an analysis for responding to these needs and in which priority;
- provide a precise indication of the roles, mandates, and intended involvement of relief organisations in the emergency. The presentation would clearly show the activities of each relief partner in terms of:
 - current and planned activities (with planned timing);
 - sectoral activities e.g., water, shelter, food distributions;
 - geographical region;
- provide agreement of the principles and modalities on which aid is to be delivered:
 - include the Terms of Reference of the Coordination Unit, where necessary and according to previous models and how it plans to function;
 - an agreement on a code of conduct between participating relief organizations which would outline the broad parameters of behaviour in the operation. It should be recognised that inappropriate actions of some individuals and organisations affect the security of others;
 - agreement on logistical and administrative modalities e.g., levels of payment to national staff, agreement of procedures of entering sensitive areas, radio and communication protocols, flight clearances, representation to government and access to sensitive areas;
- provide guidelines on linkages to the relief-to-development continuum. In particular it should be recognised that the way a relief programme is carried out directly affects the rehabilitation activities which follow. Rehabilitation can be both a phase which follows relief and also include activities which can function

in parallel to relief interventions. Thus, many relief activities can be designed in a nature that enhances linkages to later rehabilitation work;

- provide a framework for the formulation of appeals, not only of UN agencies but also of other agencies. In so doing, the strategy plan should demonstrate that the inter-agency consolidated appeal fits into a comprehensive and coordinated strategy;
- Advocate the principles of neutrality and impartiality and should explain linkages with political and military components of the operation where relevant.

Action Guidelines

- i) **As part of the Consolidated Appeal Process, a strategic plan would be drawn up in-country. It would be the task of each participating organisation to ensure that its programme is cleared with its headquarters and that its representatives in-country possess the authority to make decisions and commitments. Alternatively, participating agencies may wish to send appropriately trained experts to help perform this task.**
- ii) **The strategic plan needs to be formulated at the very early stages of an emergency, be based upon inter-agency assessments, and should be founded on regular discussions between participating relief partners to enable collaboration and agreement on its various components.**
- iii) **In order to ensure that the full capacity of the international system is brought to bear on the “relief-to-development continuum”, other relevant organizations such as UNICO, UNESCO, IOM and Bretton Woods Institution should be invited to participate where relevant to the strategic planning process.**

4. CONSOLIDATED INTER-AGENCY APPEAL

The consolidated inter-agency appeal derives from the assessment and the strategic plan. The main task of the team which prepares the appeal is to develop a set of funding requirements which are based on what it needed to meet the strategic plan’s most urgent components. These components must reflect prioritised needs and, whenever possible, integrated activities³. As the initial appeal refers to the situation and needs at one [point in time, it will, therefore, require a process of regular adjustment.

Normally the in-country coordination structure should have the capacity to draft the initial appeal. However, the coordinator may request external assistance in order to:

³ Although the ICRC prepares its own financial appeals to governments. ICRC data will, however, be included in the UN appeals in order to meet the requirements of donor governments. The IFRC, IOM and other non-UN agencies have indicated similarly their willingness to do so.

- Finalise projects to be included in the appeal by the appealing agencies;
- Compile relevant documents and prepare for distribution to the interested donor community;
- Resolve differences which occur in the field over the prioritising and integrating of activities;
- Undertake project costing exercises.

Action Guidelines

- i) DHA will consult closely with operational agencies both at in-country and headquarters levels to ensure that consolidated inter-agency appeals achieve the objectives of prioritisation and integration.**

In instances where consensus cannot be reached about the relevance of UN agency activities to meet these objectives, the operational agencies have requested the ERC and the ERV has agreed to act as arbiter to ensure that a solution would be forthcoming and that the prioritisation and integration objectives of consolidated inter-agency appeals would be met while giving due consideration in relevant circumstances to the concerns of the host Government.

- ii) Volatility and rapid change are features of most complex emergencies. Operational agencies, individually or collectively, may therefore find it necessary to revise consolidated appeals periodically to meet new needs.**

In such cases, the agency or agencies will work closely with the ERC to ensure that revisions are consistent with the overall objectives of the initial appeal, and that changes in financial and resource requirements are linked to the initial appeal in a manner that will reflect overall coherence. Such individual revisions would normally result in a subsequent revision of the overall Consolidated Inter-Agency Appeal.

- iii) Non-UN agencies should be able to request resources directly through the appeal, where their programmes are linked, directly or indirectly, to the operations of UN agencies and consistent with the strategic plan.**

- iv) Appeals should, whenever possible, aim to be finalised in-country with minimal alterations at headquarters level. It is imperative that in-country representatives have the capacity to make decisions, whenever possible, on behalf of their individual agencies.**

- v) **The modalities for launching of individual appeals will be agreed with the ERC on a case by case basis in consultation with the concerned Government and the IASC membership.**

5. POST APPEAL FOLLOW-UP ACTIVITIES

REPORTING – Situation Reports

Situation Reports should be prepared by the coordination structure, and would aim to give a regular update of the situation, major trends and new or diminishing relief needs. Such a report would be submitted on a regular basis – according to the situation – and be available to all appropriate members of the relief community.

The situation report would include financial tracking information where it was considered appropriate. DHA may issue, *inter alia*, **resource mobilisation reports** in consultation with the agencies, to target international attention on met and unmet resource requirements.

Action Guidelines

- i) **The frequency of situation reports will be determined on a case by case basis between the IASC and the in-country coordination structure.**
- ii) **The issuing of these reports should rest with the ERC, in consultation with the in-country coordination structure.**
- iii) **Responsibility for “clearing” report information with agencies should be undertaken by agency representatives in-country with their respective headquarters.**
- iv) **Reports should provide an overview of the situation and major developments of the humanitarian situation including donor contributions. Hence, they should avoid reporting in any detail on individual agency programmes, which would be the task of individual agencies based upon their mandates and specific programmes.**
- v) **These reports should be provided regularly to Governments, UN agencies, NGOs and donors.**

THE PRINCIPLES OF PRIORITIZATION IN THE CONSOLIDATED APPEAL PROCESS

Two fundamental principles underline the “Consolidated Appeal Process”: integration of agency activities and prioritisation. This brief note concerns the latter, namely, prioritisation.

Both the July 1993 ECOSOC Agreed Conclusions and GA Resolution 48/57 reiterate the primary importance that member states give to the concept of prioritisation. However, it is recognised that the different agency mandates result in differing concepts of prioritisation even in the context of emergency relief but there is a clear need to reconcile the imperatives of mandates with those prioritisation.

The “Consolidated Appeal Process”, as reflected in drafts and comments, since first presented to the IASC-Working Group and subsequently to the IASC, seeks through its section on “strategy” to demonstrate how emergency relief activities are to be linked to those of rehabilitation and development. The appeal section, however, per se, focuses upon urgently required relief needs, while the strategy section paves the way for subsequent agency actions for recovery and development programmes.

Within the appeal section, those elements that are essentially required for survival needs or which help re-establish a part of the infrastructure that is necessary to deliver emergency assistance or reduce dependency on food aid and other emergency aid should frame the concept of prioritisation. The appeal section must not be used as a “shopping list” for what should either be normal programme activities or actually be accomplished within the time frame of the appeal. The criteria for priority inputs in consolidated inter-agency appeals are outlined below:

- [1] While overall estimates of emergency requirements, by sector and sub-sectors, can be used as background information, the emergency components selected for inclusion in the appeal for which funding is actually requested must meet the following criteria:
1. demonstrated relationship to survival requirements of identified groups/s of severely affected people including refugees and IDPs;
 2. demonstrated delivery and implementation capacity by the concerned agency to procure and deliver inputs:
 - i. within the time frame of the appeal;

- ii. according to specific nature of the input, e.g., seeds depending upon agricultural cycle.

[2] Inclusion of rehabilitation activities and inputs must meet the following criteria:

1. demonstrated functional/supportive relationship to relief interventions such as:
 - i. e.g., repair or construction of infrastructure such as roads, bridges and ports, demining, aircraft hire and similar;
 - ii. restoration of essential facilities, [e.g., provision of potable water, basic health care infrastructure, cattle vaccination, shelter];
 - iii. costs of administration, monitoring etc. that are directly related to [1] i. above.
2. demonstrated agency capacity to procure, deliver and distribute required inputs and ensure implementation within the appeal time frame.
3. demonstrated in-country capacity to develop for and maintain the infrastructure required to undertake rehabilitation activities and meet delivery and distribution targets within the appeal time frame.