

Guidelines

FLASH APPEALS

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evised Guidelines for Flash Appeals



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UNITED NATIONS

Consolidated Appeals Process (CAP) Aid agencies working together to:



<http://www.humanitarianappeal.net>

SAMPLE OF ORGANISATIONS PARTICIPATING IN CONSOLIDATED APPEALS

AARREC	COSV	HT	MDM	TGH
ACF	CRS	Humedica	MEDAIR	UMCOR
ACTED	CWS	IA	MENTOR	UNAIDS
ADRA	Danchurchaid	ILO	MERLIN	UNDP
Africare	DDG	IMC	NCA	UNDSS
AMI-France	Diakonie Emergency Aid	INTERMON	NPA	UNEP
ARC	DRC	Internews	NRC	UNESCO
ASB	EM-DH	INTERMOS	OCHA	UNFPA
ASI	FAO	IOM	OHCHR	UN-HABITAT
AVSI	FAR	IPHD	OXFAM	UNHCR
CARE	FHI	IR	PA (formerly ITDG)	UNICEF
CARITAS	Finnchurchaid	IRC	PACT	UNIFEM
CEMIR INTERNATIONAL	FSD	IRD	PAI	UNJLC
CESVI	GAA	IRIN	Plan	UNMAS
CFA	GOAL	IRW	PMU-I	UNOPS
CHF	GTZ	Islamic RW	PU	UNRWA
CHFI	GVC	JOIN	RC/Germany	VIS
CISV	Handicap International	JRS	RCO	WFP
CMA	HealthNet TPO	LWF	Samaritan's Purse	WHO
CONCERN	HELP	Malaria Consortium	SECADEV	World Concern
Concern Universal	HelpAge International	Malteser	Solidarités	World Relief
COOPI	HKI	Mercy Corps	SUDO	WV
CORDAID	Horn Relief	MDA	TEARFUND	ZOA

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SUMMARY OF THESE GUIDELINES

- A flash appeal is an inter-agency humanitarian response strategy to a major disaster that requires a coordinated response beyond the capacity of the government plus any single agency. The appeal addresses acute needs for a common planning horizon, normally up to six months.
- The Resident and/or Humanitarian Coordinator (RC/HC) triggers the process in consultation with the humanitarian country team (HCT, comprising UN and non-UN partners and actors) and the affected government (though not depending on permission of the government).
- The decision to develop a flash appeal is based on a rapid appraisal of a disaster's scale and severity, compared to available government capacity
- The flash appeal outlines roles and responsibilities, specific sectoral response plans, and activities needing funding.
- It should be issued, as a rapid first edition, within a week of a triggering event.
- It is a concise document based on available information and reasonable inference, focusing on urgent humanitarian needs. (Early recovery projects can be included in this rapid first edition to the extent that they address time-critical needs, have a strong advantage in starting immediately and a rapid impact on affected populations and/or relief activities.)
- In view of the haste with which the first edition is developed, its projects can be revised online at any point after publication as more information emerges (i.e. agencies can continually adjust their projects on the Financial Tracking Service (FTS) in consultation with relevant coordination mechanisms).
- A scheduled general revision takes place about a month after the appeal's initial publication to incorporate more complete information, improved and in-depth assessments, and more clearly defined early recovery projects. If considered necessary, the appeal may be developed into or succeeded by a consolidated appeal, or other similar appeal, if an inter-agency response is needed beyond six months.
- Flash appeals should include priority projects from all key humanitarian organisations – UN and non-UN – on the ground. It should take into account the actions and plans of entities not in the appeal (for example government, and – usually – the Red Cross and Red Crescent Movement).
- The Central Emergency Response Fund (CERF), as a *funding instrument*, does not replace the need for a flash appeal, which is a *planning tool*. The flash appeal and funding application to CERF are developed simultaneously as parts of the same process.

How to use these guidelines

1. **Part One: A substantive and contextual overview of the flash appeal mechanism, and its links with other humanitarian instruments and principles, such as CERF and clusters.** This section is aimed primarily at RC/HCs, agency heads, and members of HCTs who need to know more about how flash appeals work.
2. **Part Two: Specific and targeted technical advice and suggestions in writing and revising appeals.** This section is aimed primarily at cluster/sector leads and agencies involved in submitting projects to a flash appeal, and who may choose to proceed directly to this section and follow the advice and best practice offered therein.

OVERVIEW OF BEST PRACTICE

Preparedness for a flash appeal (prior to a crisis)

Being ready to issue a flash appeal should form part of a HCT's contingency plans. The following elements, which should all form part of contingency planning, will improve the speed with which the first version of a flash appeal can be produced:

- Identification of risks and vulnerabilities, including protection concerns;
- Identification of baseline data (e.g. demographic [gender, age], economic, urban/rural);, especially regarding at-risk zones or vulnerable populations including internally displaced persons (IDPs)
- Pre-contacts with government and other national actors of concern (e.g. national Red Cross/Red Crescent Society);
- Agreement with government on what kind and scale of crisis would trigger an international appeal and (since some governments are uncomfortable with international organisations issuing an 'appeal' for their country, with its connotation of helplessness) what that appeal should be called;
- Pre-formation of clusters, i.e. assignment of roles and responsibilities;
- Drafting of generic projects at country or regional level, based upon risk and vulnerability assessments, and in-country humanitarian and government capacity. (Where possible HCTs should prepare indicative cost plans for response activities using the flash appeal project box format, to further save time);
- Simulation exercises are recommended, to improve the HCT's familiarity with response tools and mechanisms.

Producing the appeal (within seven days from the start of a humanitarian crisis)

- Activate contingency plans.
- If the Office for the Coordination of Humanitarian Affairs (OCHA) is not present, assign a focal point within the HCT for consolidating the production of the flash appeal.
- Finalise first version of the flash appeal within five days of the triggering event, recalling that best estimates, reasonable inference, limited but credible assessments rating the severity of the disaster and the magnitude of potential need, are appropriate means of determining needs within that timeframe.
- Preliminary funding requirements in this rapid first edition should be commensurately disciplined and conservative. Budgets should be in line with initial information and in-country capacity.
- Produce CERF request and flash appeal in parallel. The appeal serves as the contextual analysis for the CERF application, and the catalogue of projects from which the highest-priority projects are nominated for rapid CERF funding. The CERF (funding instrument) does not replace the need for a flash appeal (planning tool).

Revising the appeal (about 4 weeks after issuing the first version)

- Move to revise appeal using improved information and assessments and completed early recovery analysis and requirements. This is part of the bargain with donors so that they accept to fund flash appeals that are issued rapidly with skeletal information.
- The revision is an opportunity to introduce a fuller range of early recovery projects (which often cannot be assessed or inferred fast enough for the first edition), and to more completely map and divide the labour of covering need, taking government and other actors into account.
- Taking into account improved assessments and analysis of the crisis, projects in revisions must be prioritised.

CAP Section is on standby throughout to assist with a range of issues, such as:

- possible deployment to assist with producing the appeal;
- advice on best practice;
- financial tracking;
- substantive reviewing;
- liaison with agency headquarters;
- pre-drafting of background sections of the appeal, based on information sent by the HCT, or information available from other publicly accessible sources (this assistance would enable in-country staff to focus on other aspects of the appeal and response).

PART ONE

THE FLASH APPEAL AS A CONCEPT

SECTION 1: BACKGROUND, POLICY AND PRACTICE ON KEY SUBSTANTIVE ISSUES

What is a flash appeal?

The flash appeal is a tool for structuring a coordinated humanitarian response for the first three to six months of a new emergency. The UN RC/HC triggers it in consultation with major stakeholders within two days of a major disaster or in response to an ongoing or slow-onset crisis. It contains an analysis of the context and of humanitarian needs (citing whatever specific needs assessments are available, as well as any other evidence such as informal reports, remote sensing, background data, and inference), response plans (at the general strategic level as well as sector plans including specific proposed projects), and information on roles and responsibilities.

When should it be used?

General Assembly Resolution 46/182 on “Strengthening of the coordination of humanitarian emergency assistance of the United Nations” states that *“for emergencies requiring a coordinated response, the Secretary-General should ensure that an initial consolidated appeal covering all concerned organisations of the system, prepared in consultation with the affected State, is issued within the shortest possible time and in any event not longer than one week. In the case of prolonged emergencies, this initial appeal should be updated and elaborated within four weeks, as more information becomes available.”*

There is neither an exhaustive list of types of emergencies a flash appeal can be used, nor a universal set of thresholds that, when passed, would trigger a flash appeal.¹ The key variable here is whether the needs go beyond the ability of the government and any one agency to respond adequately.

- The triggering event can either be a sudden-onset emergency, such as a cyclone or hurricane (Madagascar and Myanmar 2008), earthquake (Peru 2008), floods (Ghana 2007 or Bolivia 2008), or a complex political crisis (such as those experienced in Kenya and Georgia in 2008). The flash appeal in these circumstances must be issued within a week of the disaster if it is to be credible and effective.
- Equally, the triggering event can be a decision made as a result of worsening conditions in an ongoing or slow-onset crisis such as a drought (Lesotho and Swaziland 2007). The appeal in these situations should be issued within a week of the RC/HC deciding to develop it.

Although the needs arising from slow-onset natural disasters (droughts, and certain kinds of flooding) can be met through a flash appeal, the range of projects and the type of response required can sometimes not be suited to one. The prolonged and sometimes slow worsening of the crisis may make it difficult to pinpoint whether and when to do an appeal. This can be the case especially if the needs are more recovery-based rather than humanitarian or early recovery, or involve funding requests for preparedness. Lastly, needs arising from a regional crisis (such as the same floods affecting several countries) could, in theory, be met through a regional flash appeal although this has, until now, not often been used (Southern Africa 2008 is the exception). One of the main problems with such an approach is procedural: the tight deadline would be difficult to achieve if it is necessary to coordinate regional actors, both in drafting the original appeal and its revision.

Because the appeal's first edition has to be issued fast, it is acceptable, and sometimes inevitable, that it is based on early estimates, reasonable inference and best guesses, with commensurate focus on urgent humanitarian needs. Given this, appeals and their projects can be revised at any point after the launch as more information emerges (i.e. agencies/organisations can continually adjust their projects on the FTS). There is a scheduled general revision a month after launch to incorporate more complete information and more early recovery projects (especially connecting to government plans as they crystallise), as well as to prioritise (or reprioritise) the projects in the appeal. The flash appeal may be developed into or succeeded by a consolidated appeal, if an inter-agency response is needed beyond six months (see Section 2: [Revising flash appeals](#)).

¹ The Inter-Agency Standing Committee's CAP Sub-Working Group has been discussing the issue of thresholds. Please refer to Annex II: Thresholds for Triggering Flash Appeals and ERC message to RC.

The main issue here is that a flash appeal is the key tool that allows humanitarian organisations to respond to an event that surpasses the ability of one agency to respond sufficiently. Major humanitarian disasters and crises require a coordinated response from aid agencies to support those in need in a timely, predictable and accountable way. Additionally, some donors will not commit funds if there is no consolidated response.

Is the affected government's permission needed for a flash appeal?

The short answer to this is 'no'. GA Resolution 46/182 states only that an appeal should be developed *in consultation* with the government concerned. A more nuanced response would be that a government implacably opposed to an international response effort, such as the one a flash appeal is designed to assist, could make implementing an appeal very difficult.

In cases where a government is recalcitrant towards an appeal, it is advisable to understand the elements that make up its reluctance. This may include: a perception that the government will suffer a loss of sovereignty or control, or a loss of face (possibly including investor confidence) stemming from their country being the subject of an international appeal; a misunderstanding of the implications of aspects of humanitarian assistance; governmental attitudes towards specific organisations or types of organisations that would join in the appeal; or competition for international funds.

Regarding the issue of loss of face, the image problem of an appeal is often resolved by a simple name change or euphemism – for example “response plan” instead of “flash appeal” (such euphemised names are now permitted by Inter-Agency Standing Committee [IASC] policy). Additionally, it should be noted that many of these issues can be addressed or even averted through pre-disaster preparedness measures such as advocacy and contingency planning that involve the government.

Aside from the issue of “permission”, governments have an important role to play in appeals, commensurate with their lead role in any disaster response. Sector/cluster leads should work in close collaboration with the government; the appeal should map the sectors and areas that the government is covering, and the gaps that are to be filled by international organisations.

Who does what?

- **The RC/HC**, with support from OCHA, is responsible for the overall production, content and quality of the document. In coordinating the process the RC/HC should, in consultation with the Emergency Relief Coordinator (ERC) and with other partners in the HCT, set clear parameters for the scope and size of the appeal. Clear guidance from the beginning in respect to the boundaries of the international response would help in avoiding unrealistic expectations from participating agencies and cluster/sectors, and reduces confusion and delay.²
- **Cluster/sector leads**³ have a key role within the parameters of the appeal set by the RC/HC and HCT: bringing all organisations working significantly in their respective sectors of responsibility into the working group (i.e. the cluster), leading and coordinating the development of response plans, and leading the vetting of projects within their area of activity.
- **The flash appeal is prepared in consultation with key humanitarian actors**, which may include government officials, donors, UN agencies, NGOs, the International Committee of the Red Cross (ICRC), the International Federation of Red Cross and Red Crescent Societies (IFRC), the national Red Cross/Red Crescent Society, and other relevant actors.

² There have been cases where an RC/HC went a step further and also set a ceiling for an appeal's funding request, for various reasons (often stemming from perceived acceptability to donors). The advantages of making this a standard practice are less clear than those of the more general exercise of setting strategic boundaries, and the IASC as yet has no consensus position on it.

³ All “sector”/“cluster” leads have the same responsibilities in preparing flash appeals, irrespective of whether the name sector or cluster is used – see section below on “Flash appeals and the [cluster approach](#)”.

- The flash appeal may include projects from UN agencies, international organisations, national and international NGOs (**Note:** it may include project partnerships with the national Red Cross or Red Crescent Society of the country of operation.⁴) Government ministries **cannot** appeal for funds directly in a flash appeal, but can be partners in UN or NGO projects.

See as well [Section 3: Timelines and Deadlines](#) for more details on who does what by when.

What is in the flash appeal?

The flash appeal document should follow the structure outlined in Part Two of these guidelines ([Template and Content of a Standard Flash Appeal](#)). Required elements include:

- a narrative reviewing the context and the national and international response (including funding) to date;
- figures on affected populations, including numbers and type of population affected by the emergency, disaggregated to the extent possible by gender and age, and in any other specific or relevant manner (e.g. number of persons displaced by the disaster, persons affected by region, livelihood, etc.), and specifying what is meant by “affected” in this case;
- response plans incorporating information and findings from, for example, any assessments, pre-crisis baseline data (such as that available from government ministries or departments, or international programmes) or contingency plans. Response plans should state the needs, outline the strategy to respond to them, the activities that will be undertaken, and any indicators to measure progress;
- a mapping or tabulation of needs and coverage, including coverage by government, International Red Cross and Red Crescent Movement, and international organisations. This can be organised as the HCT sees fit (e.g. by cluster, by region). Note that this goes beyond the usual 3W (Who does What Where) in that it matches coverage with needs;
- A summary box for each project.

Why issue it quickly and keep it brief?

There are good reasons why an initial flash appeal should be issued fast with available information, inference and elemental joint planning, instead of waiting a few weeks until there is better information, detailed assessments and elaborate planning:

- The humanitarian system, particularly donors, relies on flash appeals as proxies for estimating the scale, severity, nature and urgency of disasters.
- If the implementing side of the humanitarian system with all its expertise cannot provide this overview within a few days, the credibility of and confidence in humanitarian response suffers.
- Some donors can access emergency funding reserves only, or more easily and quickly, if a flash appeal has been launched.
- A rapid flash appeal pre-empts individual agencies’ appeals that they might otherwise feel obliged to launch. Those solo appeals concern some stakeholders, mainly donors who might see or perceive them as a sign of systemic fragmentation, but also some international partners who might prefer a more coordinated response.
- The strategic planning forum that the development of a flash appeal provides – even if the joint planning is elemental in the first days – can produce a more prioritised immediate response than disconnected actions.

Be concise and keep the language simple so that donors respond swiftly whilst the event is still fresh in people’s minds (including the politicians who may control special funding appropriations). Readers (government officials, donors, UN agencies, NGOs, the media, and other stakeholders) need to know what happened, the humanitarian consequences, needs and risks, what the humanitarian response plan is, and the cost. A flash appeal can be as short as ten pages. Use charts and tables to explain issues whenever possible.

⁴ The only Red Cross/Crescent National Society that can appeal for funding as a project partner for a UN agency is the National Society of the country of operation. Participating National Societies (PNS) from outside the country of operation must work through the International Federation Appeal, or the ICRC. In principle, the IFRC may participate in (but not appeal through) Flash Appeals in the form of an Annex to the Appeal. In accordance with the Fundamental Principles of the International Red Cross and Red Crescent Movement, in particular independence, the IFRC and the ICRC manage their own, separate appeal funding mechanisms. The national Red Cross or Red Crescent Society of the country of operation may become a project partner of the UN, provided that it can adhere to the Fundamental Principles and policies of the International Movement of Red Cross and Red Crescent Movement (see as well Part Two, Section 3: Response Plans: [Note on partners](#)).

What does the appeal's "duration" mean?

Flash appeals have a defined duration so as to provide a common basis for calculating funding requirements and give a time horizon for the response strategy. The duration can always be amended after launch as new information emerges. If the usual maximum duration of six months is chosen, this of course does not mean that all projects must last exactly six months; they last as long as they need to, up to a maximum of six months, and budgets are calculated accordingly.⁵ Experience shows that the appeal's duration is often a source of confusion in the pressurised days of appeal development, so the RC/HC should decide early (see [timeline](#) below) and communicate clearly what is the unified planning and budgeting horizon for the appeal. The duration can be extended when the flash appeal is revised – either up to the usual maximum of six months, or longer if it is converted into a longer-term appeal, such as a consolidated appeal. (Note that this common planning and budgeting horizon does not mean that projects and expenditure must end at the flash appeal's six-month mark. The reality is that funding does not arrive immediately, so projects do not start the moment the flash appeal is launched. The specific duration of a grant is agreed between donor and recipient.)

How is the Financial Tracking Service used in flash appeals?

The Financial Tracking Service (FTS) is a global, real-time database which records all reported international humanitarian aid (including that for NGOs and the Red Cross/Red Crescent Movement, bilateral aid, in-kind aid, and private donations). FTS features a special focus on consolidated and flash appeals, because they cover the major humanitarian crises and because their funding requirements are well-defined – which allows FTS to indicate to what extent populations in crisis receive humanitarian aid in proportion to needs. FTS is managed by OCHA. All FTS data are provided by donors or recipient organisations.

FTS is an invaluable tool for HCTs preparing or revising flash appeals. For instance, in the preparation stage it allows HCTs to analyse reported funding and other assistance already being given to the emergency (e.g. through tracking in-kind or bilateral donations), or to compare their emergency to other, similar ones. For revisions, it allows the HCT to review the whole range of projects submitted in the original appeal, and apply different means of analysis – requirements and funding received by clusters/sectors, by location, by priority, or appealing agency; when funding arrived; how funding to projects not included in the original appeal compares to funding to projects in it – and apply this level of detail to in-country knowledge of the emergency's specific context.

Note on the Online Project Submission (OPS) system

The OPS is a system deployed by OCHA which enables agencies to submit their project descriptions and funding needs online. This system became operational for CAPs in November 2008. The modalities of how the OPS will or might be used for flash appeals are still being considered and discussed. Whilst it is unlikely that OPS will be used for the first versions of flash appeals because of the practical difficulties of learning a new system in a hurry, it is likely to be used for revisions (especially revisions that transform into longer and more complex appeals, such as those for Kenya or Myanmar in 2008). Further consideration needs to be given as to how to use the OPS when flash appeals are produced for countries which have CAPs (such as the recent Gaza Flash Appeal), and where it might make sense to incorporate the flash appeal into the CAP. Once these modalities have been discussed and worked out, these Guidelines will be revised accordingly.



Click [here](#) for direct access to the Financial Tracking Service

⁵ See also the caveat mentioned on page 7 of these guidelines with regard to early recovery projects.

How do flash appeals relate to the Central Emergency Response Fund?

The CERF is a stand-by fund established by the United Nations General Assembly to enable more timely, reliable and equitable humanitarian assistance to those affected by natural disasters and other types of emergency. Only UN organisations and the International Organization for Migration (IOM) can access the CERF grant and loan elements, by mandate of the GA. The CERF is a funding mechanism, pooling resources from donors for humanitarian response, and the flash appeal is the strategic plan and list of projects that CERF (and bilateral donors) should fund.⁶

Flash appeals are necessary to form a framework of coordinated strategic response, and to obtain funding. CERF can provide seed funds to jump-start critical operations planned in the appeal. The CERF may also allocate further funds in a second allotment if needed, for example if donor response to critical activities in the appeal is inadequate.

Flash appeals and CERF applications should be developed in parallel, with the flash appeal noting the amount committed by CERF (if CERF did so before flash appeal publication⁷), and CERF kick-starting the response to the flash appeal. The CERF request and the flash appeal belong to the same process of coordinated response, and therefore should be mutually consistent. The information required for both is broadly similar, and if the CERF grant request is submitted first, a large part of the information and analysis submitted to support it is easily transferable to the flash appeal.

Experience to date indicates that the following is the ideal sequencing for flash appeals and CERF requests:

- RC/HC triggers a coordinated response to a disaster or emergency, starting with rapid appraisal of scale and severity, and assignment of roles and responsibilities.
- RC/HC determines as soon as possible whether the event is likely to be of a scale that requires an inter-agency response (exceeding the capacity of any single agency and the Government concerned).
- If an inter-agency response is required, the RC/HC consults all relevant partners at the country level, triggers a coordinated response starting with rapid needs assessments, and assigns roles and responsibilities, including designation of cluster/sector leads in consultation with the ERC.
- The RC/HC then triggers a flash appeal. The RC/HC leads the HCT to produce as soon as possible a clear articulation of humanitarian needs, priority sectors for response, sectoral response plans including specific projects, and roles and responsibilities (these are the same as the main components of a flash appeal).
- If funding is likely to be inadequate, the RC/HC may suggest to the ERC that an initial CERF funding 'envelope' be provided, based on the best estimate of the scale of the emergency and the immediate funding needs. The provision of CERF funding would be contingent upon the quality of the grant request, which should focus on under-resourced core humanitarian activities.
- Based on this draft response strategy (flash appeal), the HC/RC should determine the CERF funding priorities and request clusters/sectors to review the critical needs and implementation capacity and identify/vet projects that fill the highest priority needs. The highest priority projects should be presented to the RC/HC for approval. The RC/HC should send the selected proposals as a package to the ERC, with a copy to the CERF Secretariat. The grant request should be in line with the allocation announced by the ERC and in accordance with CERF application guidelines. The process for developing a grant request should be evidence-based, inclusive and transparent. NGOs and other humanitarian partners should be involved.
- The RC/HC immediately sends whichever is ready first – the CERF request to the CERF Secretariat, or the flash appeal to CAP Section in Geneva – and completes the other as soon as possible. (Normally, the CERF request package takes less time to complete than the flash appeal, but this flexible method allows for exceptions).
- Please keep in mind that FTS needs to be up-to-date to reflect the funding situation of each project. The CERF Secretariat will review proposed projects against FTS data.



Click [here](#) for more information on flash appeals and CERF

⁶ Please refer to the CERF Application Template available on the CERF website.

⁷ However, the CERF Secretariat prefers that flash appeals not mention dollar amounts of CERF requests, or of indicative envelopes expressed by the ERC to RC/HCs, because doing so before the amounts are committed creates a specific expectation that CERF may not be able to fulfil. If CERF funds are already committed before the flash appeal is published, however, the flash appeal should cite them in detail.

How do flash appeals and early recovery interact?

Well-prioritised early recovery (ER) interventions address time-critical needs and contribute to saving lives, although not immediately. In addition, they hasten the end of aid dependence, thus freeing humanitarian resources that can be allocated to other outstanding life-saving actions. Donors may be averse to seeing heavy ER funding requests in rapid first editions of flash appeals, feeling that they can justify funding immediately life-saving actions even if the supporting information is sketchy, but cannot similarly justify extensive ER actions at that stage. They do however allow some scope for ER in the first edition if the nature of the need is obvious and there is a clear advantage to starting an ER action soon (for example an imminent planting season). Common sense and emerging policy thus suggest that ER projects can be proposed in a flash appeal's rapid first edition, to the extent that they:

1. address time-critical needs that are obvious or have otherwise been reliably assessed (including through reasonable inference);
2. have a strong rationale for beginning sooner rather than later and a rapid impact on the affected populations and/or relief activities; and,
3. can preferably be completed within the flash appeal's usual six-month planning horizon. Essential 'start-up' costs for ER (to support coordination, rapid assessments and initial planning) can also be included.

Additional ER projects, based on subsequent and more thorough assessments of ER needs, e.g. a Post-Disaster Needs Assessment (PDNA) in natural disasters,⁸ can be included in the flash appeal revision (hence a phased approach). The presentation of ER projects and requirements in both the flash appeal and its revision is based on the following key principles:

- Early recovery needs and projects should be mainstreamed, to the extent possible, within their respective cluster/sectors;
- The areas that fall outside of the main clusters/sectors (such as governance, rule of law, non-agricultural livelihoods, land & property, reintegration, basic infrastructure, etc.) would be presented in a section on ER, together with the essential early recovery 'start-up' costs.

Further and more specific guidance on this 'phased approach' is included in a document that has been developed by the inter-agency Cluster Working Group on Early Recovery (CWGER) and has also received the endorsement of the IASC CAP Sub-Working Group.⁹

It should be noted that denying the opportunity to appeal for ER activities that might need a swift start but also a longer implementation timeframe (over six months) could impede an effective response that can truly meet the needs of the affected populations. Therefore, should circumstances so require, the six-month implementation requirement might be relaxed – particularly when the flash appeal is revised.

Whilst ER projects in flash appeals may sometimes be perceived as 'non-humanitarian', since most of them do not entail 'life-saving' activities, this is an erroneous perception. Prioritised ER interventions do in fact address time-critical needs and may certainly be life-saving in the longer term, if not necessarily immediately, including by hastening the end of aid dependence (which allows donors to re-direct humanitarian resources towards other life-saving activities). In addition, they contribute to finding durable solutions for disaster-induced displacement.



Click [here](#) for the CWGER guidelines on early recovery specifically in flash appeals, and [here](#) for the guidance note on early recovery

⁸ United Nations Agencies – led by UNDP as Chair of the global CWGER –, the World Bank and the European Commission (EC) have committed to an integrated approach to Multi-Stakeholder Post-Disaster Needs Assessment (PDNA) and the development of a Recovery Framework (RF) in the context of natural disasters. Ideally, a PDNA should be conducted when a revised Flash Appeal is projected beyond six months for the RF to identify recovery requirements in the humanitarian context (i.e. early recovery) as the beginning of the recovery process.

⁹ *Including Early Recovery in Flash Appeals: A Phased Approach*, CWGER/CAP SWG, January 2009.

Flash appeals and the cluster approach¹⁰

The cluster approach should be used in all contingency planning for new emergencies, as per the 2007 IASC Contingency Planning Guidelines. The IASC Guidance Note on the cluster approach also states that *“In the event of a sudden major new emergency requiring a multi-sectoral response with the participation of a wide range of international humanitarian actors, the cluster approach should be used from the start in planning and organising the international response.”* Establishment of clear sectors, with clear cluster leads, at the outset of an emergency, should help to improve efficiency in putting together the flash appeal.¹¹

While the application of the cluster approach in a country with little or no humanitarian tradition or CAP process might be challenging, it should not delay the production of an initial flash appeal. In some cases, the role of clusters may be much more important during the stage of flash appeal revision. The disaster and the flash appeal should be a signal that clusters need to be activated to permit a coherent response including revision of the flash appeal. Better still would be for HCTs to consult government in advance, as part of disaster risk management (DRM) and contingency planning, and decide beforehand which clusters should be in place as a preparedness measure, or be activated after a disaster. The cluster approach also offers a good opportunity for the HCT to consult government counterparts as part of DRM and contingency planning, to ensure good coordination and synergy in the event of a disaster.

The cluster approach does not mandate new coordination structures or groupings: it mandates an enhanced approach to sectoral organisation. It should be applied to existing structures as much as possible. Clusters thus strengthen sector working groups; they enhance sectors by mandating a structure of accountability and mutual obligation, a provider of last resort, and clear goals. It is irrelevant whether HCTs use the terms clusters, sectors or working groups; it is the substance of the cluster approach that is important.¹²

Lastly, a cluster lead does not have to be a UN agency. It should be whatever agency has the technical and organisational capacity to lead the sector working group, as identified by the HC and HCT. Non-governmental organisations (NGOs) lead or co-lead clusters in several countries. There is a group of [“Global Cluster Leads”](#) who provide normative guidance and stand-by capacity, but even these leads are not all UN – they include IOM, and IFRC as a convenor.



Click [here](#) for more information on the cluster approach

¹⁰ Further practical information on clusters is included in Part Two, Section 3: [Response Plans](#).

¹¹ For specific guidance in using the cluster approach in emergencies, please refer to the Section 6 of the *Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response* (a link to this document is available in Annex I).

¹² Some HCTs prefer to speak of “Clusters/Sectors” and “cluster leads”, while others prefer to stick to the more traditional terminology of “sectors”, “sectoral groups” and “sector leads” (or in some cases, “working groups”, “thematic groups” or “task forces”). It should be left to HCTs to decide on appropriate terminology for their country, depending on the working language and agency preferences. To ensure coherence, standard terminology should be used within each country and similar standards should be applied to all the key sectors or areas of humanitarian activity. There should be no differentiation between “Clusters/Sectors” and “sectors”. (However, HCTs not formally adopting the cluster approach should not call their sector working groups “clusters,” because that term implies formal responsibilities on the part of cluster leads.)

Flash appeals and contingency planning¹³

Contingency planning can be used to plan for all types of emergencies including complex emergencies, natural and environmental disasters and other significant crises. Inter-agency contingency planning should focus on situations in which the scale and impact of the potential emergency requires the concerted action of a number of agencies/organisations. Inter-agency contingency planning should address response actions and coordination needs at multiple levels – regional, national, sub-national and local. Contingency planning is a process that includes:

- analysing potential emergencies;
- analysing the potential humanitarian impact and consequences of identified emergencies;
- establishing clear objectives, strategies, policies and procedures and articulating critical actions that must be taken to respond to an emergency; and,
- ensuring that agreements are recorded and necessary actions are taken to enhance preparedness.

Table-top exercises (including rapid appraisal, simulation exercises designed to improve the organisation and capacity of clusters, and flash appeal/CERF preparation) may improve country-level contingency planning.¹⁴ Whenever possible, inter-agency contingency planning should involve the government as they hold the primary responsibility for providing humanitarian assistance to people in need.¹⁵ Inter-agency contingency planning should be based on knowledge of the planning, capacities and systems of national and local authorities and guided by principles including neutrality and impartiality.

These processes are similar, if not identical, to those that must be undertaken to put together a flash appeal. The added advantage is that if much of this has been done for contingency planning, then the flash appeal will benefit enormously, particularly in those countries with little or no humanitarian capacity or experience, or with no OCHA presence. Baseline data on demographics, risk and vulnerability mapping, and coordination mechanisms will all be available. Going further still, a generic or pre-prepared flash appeal could ideally be part of the contingency plan itself, based upon an agreed analysis of the most likely risks to the country in question, and how international humanitarian organisations could best respond.



Click [here](#) for more information on contingency planning

Flash appeals and non-governmental organisations

As RC/HCs assume a greater role in the production of flash appeals, they should ensure that NGOs participate not only in assessments and prioritisation of action, but also in appeal drafting and project inclusion. Furthermore, cluster leads should register all funding needs of all cluster partners, including NGOs. This responsibility must be communicated clearly, by the RC/HC to the HCT, in particular to the cluster leads, and from higher if necessary, to avoid UN-centric flash appeals wherever possible.

The RC/HC should also endeavour to ensure that NGO participation in a flash appeal not be an onerous process, especially considering that many national or local NGOs do not necessarily have extra staff to spare from operations to represent them (for example at cluster meetings and flash appeal discussions) and may not be familiar with global appeal or cluster procedures. This same consideration related to staffing and capacity should also be given to UN or other international agencies that might have a limited presence in the affected country. A list of [frequently asked questions](#) concerning NGOs is annexed to these guidelines.

¹³ Specific reference for some of the material for this section from the IASC *Contingency Planning Guidelines for Humanitarian Assistance*, November 2007, pp. 8 & 10 (a link to this document is available in Annex I).

¹⁴ Recent good practice on this comes from the OCHA Regional Office for West Africa, where a series of flash appeal simulations, involving HCTs operating in a variety of scenarios, have taken place over the past year.

¹⁵ “Each State has the responsibility first and foremost to take care of the victims of natural disasters and other emergencies occurring on its territory. Hence, the affected State has the primary role in the initiation, organisation, coordination, and implementation of humanitarian assistance within its territory.” GA Resolution 46/182.

Flash appeals and CAP Section

Last, but not least... what can CAP Section do for you in the preparation of a flash appeal? CAP Section is available before and during emergencies to assist with a range of issues, such as:

- possible deployment of CAP Section staff to assist with producing the appeal;
- advice on best practice;
- financial tracking and financial analysis of funding;
- substantive reviewing of the draft appeal;
- liaison with headquarters of agencies participating in the appeal;
- pre-drafting of background sections of the appeal, based on information sent by the HCT, or information available from other publicly accessible sources (this assistance would enable in-country staff to focus on other aspects of the appeal and response).



Click [here](#) for access to the CAP Section's website

SECTION 2: REVISING FLASH APPEALS

Why revise a flash appeal?

Donors accept that there is a trade-off between speed and precision. Because the appeal's first edition has to be issued fast, it inevitably is based on early estimates and inference, and focuses on urgent humanitarian needs (with early recovery proposals limited to those that can be assessed fast enough for the first edition and that have a strong rationale for beginning immediately). Because of this, agencies and clusters can modify their project funding requests by continually updating projects online on FTS at any point after the appeal launch as more information emerges and needs change. This update can be done, in consultation with relevant coordination mechanisms such as the cluster lead or with the RC/HC (and with the latter's approval), simply by informing the OCHA CAP Section (fts@reliefweb.int) of funding received and if any projects change.

However to assimilate emerging new information, ensure a strategic response thereto, and justify the funding requests, the HCT must do a scheduled general revision about a month after the initial launch. Another incentive to revise flash appeals is that, according to the 'phased approach' guiding the inclusion of early recovery in Flash Appeals (as outlined in the section on [early recovery](#) and flash appeals), the revision provides the opportunity introduce a broader range of early recovery projects – some of which could not be assessed or inferred fast enough for the first edition. In addition, it should be recalled that early recovery priorities are often linked to – and complement – governmental initial recovery plans, which usually take some time to be elaborated in coordination with the international responses.

Purposes of flash appeal revisions

In a flash appeal revision, the HCT aims to:

- **present** the most recent and analysed assessment information available (e.g. joint or cluster-based assessments, or information on the government's response which, presumably, would have evolved since the start of the emergency) highlighting, if any, the gaps in response;
- **outline** progress made in achieving the common humanitarian action plan as set out in the first draft and report findings to stakeholders;
- **determine** whether or not the agreed strategy is having the desired impact, and if necessary **change** the strategy to adapt to new conditions;
- **update** the cluster/sector response plans and their portfolios of projects – adding, modifying or deleting them as appropriate, taking into account changes in the strategy and funding received, and incorporating organisations and projects that were not incorporated in the rapid first edition;
- **reprioritise** humanitarian response activities and projects (see below on Revisions and Prioritisation);
- **analyse** funding, in particular funding given to the emergency outside the appeal;
- **advocate** for donor support.

Note as well that the flash appeal may be developed into or succeeded by a consolidated appeal, or other similar appeal, if an inter-agency response is needed beyond six months. Such a scenario should be amongst those considered at the time of revision.¹⁶ Equally, a HCT may decide that the unfolding of the emergency is either not as serious as originally thought, or perhaps is unfolding as predicted, and that in both cases no further assistance is required other than that requested in the original appeal. In this case, a 'light' revision may be envisaged. This would simply:

- **update** key contextual parts of the appeal (executive summary, context, humanitarian needs and consequences) with any new relevant information; this is important to do, because no matter if the emergency is following a stable trajectory or even declining in severity, there will be new information available (such as from more recent assessments, or from government sources) that will support this assertion and justify the original funding request;
- **confirm** the original strategic assumptions as still valid;
- **update** response plans and projects as or if needed.

¹⁶ Two recent examples of this come from Kenya and Myanmar: both initial flash appeals were developed respectively into nine-month and one-year appeals.

Who does what?

As with the initial drafting of the flash appeal, many of the responsibilities are fundamentally the same, with some aspects acquiring or requiring greater responsibility or emphasis:

- The RC/HC, supported by OCHA, is responsible for the revision;
- Cluster/sector leads have a pivotal role: their responsibility is to review their response plan and reconfirm that all project proposals counted in their sector of the flash appeal are still relevant (if not, the proposing organisation should either delete or revise them), and that all suitable proposals are included (especially NGO proposals);¹⁷
- Revision discussions should include all of the organisations engaged in humanitarian action (e.g. UN agencies, donors, and host authorities, NGOs, the ICRC and IFRC), and not just those involved in the appeal itself. This is so that the revision can present as complete a picture as possible of the context and response to date, and so assist in identifying priority areas for action, and overlaps or possible gaps in response;
- Agencies involved in revisions should ensure that their headquarters' colleagues are involved in the process and are given an early look at new or revised projects during the revision process, to minimise misunderstandings and last-minute changes. In the interests of ensuring programmatic quality, appealing agencies may wish to consult the Global Cluster Leads.



Click [here](#) for more information on the Global Clusters

See as well [Section 3: Suggested timeline and workflow for revising appeals](#) for more details on who does what by when.

What is in the revision?

The revision follows the same structure as the original flash appeal, with additions to the context and response plans as necessary. It is not necessary to repeat everything in the original appeal, except to summarise key points. Elements required include the following:

- An updated narrative part reviewing the context and the national and international response (including funding) to date;
- Updated figures on affected populations, including to the extent possible improved numbers of the range and type of population affected by the emergency disaggregated by sex and age (including specific needs for women, girls, boys and men);
- Updated response plans incorporating data and findings from any new assessments (which should be clearly referenced in the text). There should already have been clarification on whether the revision still needs to be primarily life-saving or can be more holistic (i.e. an increase in early recovery projects that are based on subsequent more thorough assessments of early recovery needs);
- A clear mapping or tabulation of needs and coverage, including coverage by the government of the concerned country, the International Red Cross and Red Crescent Movement,¹⁸ and international organisations. This can be organised as the HCT sees fit (e.g. by cluster, by region). Note that this goes beyond the usual 3W (Who does What Where) in that it matches coverage with needs;
- Summarising outputs achieved to date vs. the targets or priorities stated in the original appeal (e.g. in tabular form);¹⁹
- Summary boxes for all projects, highlighting those that are new or significantly revised;

¹⁷ Humanitarian projects already funded but not yet counted in the flash appeal should be counted in it as part of the revision (as long as they are consistent with the appeal); this helps to accurately measure funding according to need, and to broaden the response and make it as comprehensive as possible (see 3.6 below). This should be done in consultation with the cluster lead and with the agencies'/NGO's agreement.

¹⁸ After consultation with the concerned components of the International Red Cross and Red Crescent Movement.

¹⁹ Note that *impact* analysis is unlikely to be feasible one month after the disaster. Outputs are the actions completed to date by the project (number of boreholes drilled, number of children vaccinated, etc). Impact is the effect on the affected population (increase in litres per person per day of household consumption of potable water, reduction in measles incidence, reduction in gender-based violence in camps, etc). By their nature, outputs are much easier to measure. By the time of a revision, impact will likely be hard to measure (although it might be easier in some cases and for some clusters/sectors), so output reporting is sufficient for revisions. However, the output reporting should be specific and comprehensive. See Part Two; Section 1; 2.2 [Response to date in revisions](#) for more details.

- The projects can stay presented in their current short 'box' format, or the HCT can consider expanding projects to a longer one-page format as used in CAPs.²⁰ (The project box idea was an expedient improvised to try to speed appeals up by limiting the amount of project detail that agencies were required to submit, and the amount of time spent on editing). Whilst expanding the projects is in keeping with the aim that a revision should present more complete information and better-developed plans, note that using the on-line CAP-style project sheets will significantly increase the time needed to draft and review the revision.
- Analysis of funding, including what has been given to activities and projects not included in the appeal, using the affected country's page on FTS. Funding analysis is useful as a way of spotting potential gaps in the response. It is also a useful exercise to try and capture funding outside the appeal (for example to NGOs) that corresponds to its objectives and to bring it in. In the build-up to the revision, funding analysis should be done by individual agencies on their own funding, and whenever possible by the cluster/sector leads so as to track overall response to the appeal. This can be done through direct contacts with agencies who are receiving funding and ascertaining whether they would consider bringing their projects into the appeal.

Revisions and prioritisation

Selection means selection of projects for inclusion in the CAP, after vetting to make sure they are suitable. **Prioritisation** means differentiating the selected projects to ensure that donors cover the most urgent ones first. Prioritisation is an essential piece of the revision, should be conducted at the country level, **and should not be regarded as optional**. The RC/HC has the overall responsibility of ensuring that the HCT and the clusters/sectors agree clear common criteria by which projects or thematic areas are prioritised. The cluster/sector leads are responsible for ensuring completion of this piece of the revision, and are expected to work with the entire cluster/sector in completing this task.

Prioritisation plays an added role in the construction of flash appeals because of their two-step process (initial appeal, followed by its revision). Whereas it is understood that a prioritisation exercise would be difficult for the rapid first version of a flash appeal, donors expect projects listed in a revision to be prioritised as part of the bargain for agreeing to fund appeals issued within a week of a disaster (and thus whose assessment might largely be based upon inference). This enables them to ensure that the most important needs and projects are covered, given limited funds. It also allows for HCTs which have prioritised their projects to hold donors to account for the funding, or lack thereof, committed to them. In prioritising, flash appeals are following the overall trend in humanitarian appeals of having, at a minimum, two tiers of prioritisation. (If prioritisation *per se* is too contentious, the HCT might use a euphemised option of 'categorisation'.)

Though most life-saving projects are likely to be top-priority, not all top-priority projects have to be directly life-saving. The specific context of an emergency will often determine the priorities assigned to projects. They can instead enable other top-priority projects (e.g. joint logistics or telecommunications projects); reduce aid dependence or facilitate access to the affected populations (objectives pursued by key early recovery projects); avert harm in a time-critical way (e.g. animal vaccination projects); or facilitate key protection and advocacy activities (such as education projects). The chosen scheme should consider whatever the most important factors are in a specific crisis. Those could, for example, include:

- coordination, assessment and planning (pre-conditions to a coherent and targeted response);
- continued emphasis on humanitarian relief vs. increased early recovery/transition assistance;
- geographical areas or particular target groups;
- pre-selecting projects that meet the CERF life-saving criterion;
- time-bound projects (e.g. because of the agricultural season, because of the approach of winter);
- projects aimed at facilitating access to affected populations (e.g. rubble removal) or at reducing aid dependence (e.g. distribution of seeds and tools, etc.);
- if CERF funding is allocated, projects designated as top priority and which are likely to be under-resourced, should be proposed.

²⁰ CAPs now use an on-line format for project drafting, cluster review, and publication. This on-line system will not yet be used for a flash appeal's rapid first edition, because it may take too long for field offices to become familiar with how to use the system. However, it should be used for flash appeal revisions. The On-line Projects System can be accessed at <http://ocha.unog.ch/capprojects>.

Each project should be marked with its priority designation in the document. FTS also records and displays each project's priority rating, which is a useful tool for advocacy in that it makes clear whether donors have managed to fund the top priority projects. Further material on prioritisation can be found in [Annex III: Examples of prioritisation](#), and on the CAP Section's website



Click [here](#) for more information on best practice in flash appeals and CAPs

SECTION 3: TIMELINES AND DEADLINES

Suggested timeline and workflow for producing and preparing a flash appeal

This is an ideal timeline that may vary according to the situation. However, undue delay is harmful to a flash appeal's credibility.

NB: References to "OCHA" mean the OCHA office in-country unless otherwise stated.

Day 1	Flash appeal triggered by the UN RC/HC, in consultation with the HCT. The RC/HC in consultation with the HCT assigns one organisation to lead and coordinate the response in each priority sector or area of activity (e.g. cluster/sector leads). If there is no OCHA presence in the affected country, the RC/HC assigns an appeal focal point for consolidating inputs from agencies in the field. The government of the affected country is consulted (though its permission is not needed for a flash appeal).
Day 2	The RC/HC communicates the appeal's overall direction, strategy, and criteria for selection of projects to the HCT, in particular to the cluster leads. Rapid needs assessments or appraisals begin (if required). All needs assessments are to be reported to relevant cluster/sector leads. Each cluster/sector group meets at the national level to map capacity and assign roles and responsibilities within the sector or area of activity. The IASC CAP Sub-working Group or other HQ-level taskforce establishes regular teleconferences to coordinate any HQ level issues if required.
Day 3	RC/HC's team (including OCHA if present) drafts general sections of appeal document. RC/HC decides on appeal duration and communicates this clearly to the HCT. Relevant organisations in each cluster/sector meet to analyse needs assessment information; agree on general response strategy; review and select their members' proposed projects; review pre-crisis baseline information (e.g. from contingency plans); establish parameters for use of information available through inference and reasonable estimation. Cluster/sector leads coordinate and facilitate the consensus building on project inclusion, draft response plan section, incorporate the selected projects into the response plan section, and forward to OCHA or other designated focal point. OCHA/focal point compiles these with general sections to produce assembled appeal draft.
Day 4	RC/HC and HCT approve final field draft of the appeal and sends to OCHA CAP Section (Geneva), including cover photo (with credit). (Note: once the RC/HC and HCT have sent the document to Geneva, they cannot make further changes before publication. They will be consulted, however, if agency headquarters request any significant changes.)
Subsequent actions at OCHA and IASC agency HQs	
Day 1 (of receiving final draft)	CAP Section circulates final field draft to agency HQs, which have 24 hours to return comments on the document.
	Final comments from IASC headquarters due.
	OCHA-HQ Desk Officer incorporates and reconciles HQs' comments, and returns document to CAP Section.
Day 2 (of receiving final draft)	CAP Section performs final substantive review, style-checks, uploads changes onto FTS, and formats the document.
The appeal is finalised: if a launch is planned this takes place at identified time/place(s). However, experience has shown that a launch meeting must not be scheduled either at HQ or in the field until the final field draft is received in Geneva; otherwise, the final document may not be ready for the launch.	

The document should consist of one file only. If there are pictures, graphs and tables, they should be inserted in the main document already; but please do provide the CAP section with separate Excel files (if any) containing graphs and tables, so that they can be edited quickly if necessary.

Following the flash appeal's launch, its funding status can be viewed on FTS, where a dedicated page will appear such as the one given in this example:

The screenshot shows the ReliefWeb website interface. At the top, the ReliefWeb logo is on the left, and navigation links (help, Contact) and a search bar are on the right. Below the logo is a horizontal menu with categories: HOME, LATEST UPDATES, COUNTRIES & EMERGENCIES, APPEALS & FUNDING (selected), POLICY & ISSUES, PROFESSIONAL RESOURCES, and MAPS. The main content area is titled 'APPEALS & FUNDING' and features a banner for the 'FINANCIAL TRACKING SERVICE (FTS) THE GLOBAL HUMANITARIAN AID DATABASE'. The central focus is the 'Kyrgyzstan - Severe Winter and Food Insecurity - November 2008' Flash Appeal. To the left of this central area is a sidebar with links under 'FTS Focus on', 'Overviews', 'My tasks', and 'About FTS'. To the right is a summary box for the 'Kyrgyzstan Flash Appeal (Revised) 2008' showing requested funding (14 million USD), actual funding (6.6 million USD), coverage (45.2%), and pledges (1.2 million USD). The main content lists eight categories of funding data (A-H) with links to detailed tables, each accompanied by a document icon. A 'See also' section at the bottom links to a table of funding grouped by non-standard sector.

FTS Focus on

- [CAP: Consolidated & Flash Appeals](#) »
- [Natural Disasters](#) »
- [CERF](#) »
- [Appeals & Funding per Country and Emergency](#) »
- [Tsunami Expenditure Tracking](#) »

Overviews

- [Menu of Global Overview Tables](#) »
- [Donor Profiles](#) »

My tasks

- [Make Financial Tables using my own criteria](#) »
- [Report a Contribution \(Donors, NGOs & Agencies\)](#) »

About FTS

- [Help](#) »
- [Introduction](#) »
- [About the Data](#) »
- [Definitions](#) »
- [FTS & Donor Field Offices](#) »
- [FTS & NGOs](#) »
- [FTS & OCHA Field Offices](#) »
- [FTS & UN Agency Field Offices](#) »
- [Donor Support](#) »
- [Feedback](#) »

Emergency: Kyrgyzstan - Severe Winter and Food Insecurity - November 2008

Total Humanitarian Funding

A. List of all humanitarian pledges, commitments & contributions in 2008 »

B. Total Humanitarian Funding per Donor in 2008 »

Flash Appeal: Kyrgyzstan Flash Appeal (Revised) 2008

C. Requirements and Funding per Appealing Organization »

D. Requirements and Funding per Sector »

E. List of Appeal Projects (grouped by sector), with funding status of each »

F. List of Commitments/Contributions and pledges to projects in the Appeal »

G. Total Funding per Donor (to projects listed in the Appeal) »

H. Other Humanitarian Funding (to projects not listed in the Appeal) »

See also:

Kyrgyzstan Flash Appeal (Revised) 2008, grouped by non-standard sector »

Kyrgyzstan Flash Appeal (Revised) 2008 (Flash appeal)

Requested: 14 million USD

Funding: 6.6 million USD

Coverage: 45.2%

Pledges: 1.2 million USD

Home | Search | Site Map | About ReliefWeb | Contact | Privacy Statement | Legal | Donor Support | Comments.

The funding tables available through this page should be continually reviewed by appealing agencies and cluster leads, and should form the basis for the revision of the appeal (see below Part Two, Section 3: [Response Plans](#)).

Suggested timeline and workflow for revising flash appeals

NB: References to “OCHA” mean the OCHA office in-country

(Dates)	till	(Dates)	
			Flash appeal is launched
Ensuing two-three weeks			
			Flash appeal implementation begins: evolution of crisis/disaster is tracked, and progress of projects monitored.
Stock-taking exercise within the HCT begins			
			Consultations begin taking place on the evolution of the crisis since the launch of the appeal; funding to appeal projects is tracked; analysis of crisis and response deepens; clusters track progress of their specific objectives.
			Cluster/sector working groups review sectoral objectives and update as needed; review each project in the flash appeal and add, modify, or delete as appropriate, and review official FTS funding tables and communicate any corrections to fts@reliefweb.int , including use of flexible funds; compile reports on outputs, and impact assessment if available, and summarise for inclusion in concept documents or revision itself.
			The HCT, in consultation with the relevant authorities and donors, reviews and updates needs analysis, strategic priorities, objectives, and changes in key monitoring indicators; agrees on general boundaries of humanitarian action for remainder of the appeal timeline (or beyond, if expansion of current activities is called for); agrees with donors and other stakeholders a plan for needs assessment and analysis for the revision or expansion.
			<i>The above may take place within individual clusters, or (perhaps more usefully), it could take place in a workshop-type (or similar) environment.</i>
			Following consultations, RC/HC, in consultation with the cluster leads, sets a date for completion of the revision, and appoints focal point within the HCT to oversee the process. To meet that deadline, a workflow or calendar of steps must be elaborated and agreed upon depending upon context as illustrated below.
Revision timetable set			
1-4 days			Sector working groups draft sector inputs, while OCHA or other focal point drafts rest of document (executive summary, context, response to date, strategic priorities, etc).
Day 4			Deadline for sector working groups to submit sector inputs to OCHA or other focal point.
Day 5-6			OCHA or focal point compiles draft of revision.
Day 7-8			RC/HC distributes the draft to the HCT. These have two full working days to read the draft and <u>consult their headquarters to discuss the draft.</u>
Day 9			Deadline for HCT comments on draft to be sent to the OCHA field office or focal point.
Day 9-10			OCHA or focal point incorporates comments in consultation with the HCT and sends new draft to the RC/HC.
Day 11			RC/HC clears final field draft and sends it to OCHA's CAP Section. (Note: If the RC/HC is absent on this date, s/he must empower the deputy or OIC to approve and send the document, on time.)
Subsequent actions at OCHA and HQs of IASC organisation			
Day 1 (of receiving final draft)			CAP Section circulates final field draft to agency HQs, which have one (or more if necessary) working days to return comments on the document.
			Final comments from HQs of IASC organisations due.
			OCHA-HQ Desk Officer incorporates and reconciles HQs' comments, and returns document to CAP Section.
Day 2 (of receiving final draft)			CAP Section performs final substantive review, style-checks, uploads changes onto FTS, and formats revision.
The revision is finalised: if a launch is planned this takes place at identified time/place(s).			

PART TWO

TECHNICAL GUIDELINES FOR WRITING FLASH APPEALS AND FLASH APPEAL REVISIONS

SECTION 1: ADVICE ON WRITING A FLASH APPEAL



A completely formatted, blank template of a flash appeal can be accessed [here](#)

Where it is particularly relevant (such as where best practice and/or policy require distinct activities) specific reference is made to what needs to be done for revisions.

COVER PHOTO

Photos should mean something. For example use a close up of a beneficiary with a background reflecting humanitarian interest (sectoral: food distribution, education, health, shelter, water...) or, in case of natural disaster, a background showing the impact of the catastrophe.

Each picture must have photo credits: Agency (or photographer's name), country name, and the year.

Definition: slide or high-resolution digital copy (700kb + 1536x2048 (in *.jpg 300 or 600dpi))

GENERIC MAP

If you cannot find a map, try [ReliefWeb](#) or the [UN Cartographic Section](#). Thematic maps can be inserted in the document at appropriate locations. If they are too big, send them as a separate attachment, indicating clearly where they should be inserted, making sure the map is readable once printed in black and white.

1. EXECUTIVE SUMMARY (1 PAGE)

Some readers may only read the executive summary, so it needs to be concise, as well-written as possible, and should state **no more than three** clearly articulated messages, in one page.

- The crisis – what happened, when, where, [why], to whom?
- What are the priority needs and the humanitarian response plan for the appeal's six-month timespan?
- What is the amount of money needed in US\$?

The table below is designed to show a snapshot of the affected country through using some basic standard humanitarian and development indicators. The sources for the information mentioned are not obligatory for the HCT to use, but have been found by CAP Section to be the most reliable, and allow for aggregation and comparison across all appeals. If the HCT can/does not have access to this information, CAP Section can complete it.

Some basic facts about [affected country]

➤	Population	... people (UNFPA 2007)
➤	Under-five mortality	... p/1,000 (UNICEF 2005)
➤	Life expectancy	... years (UNDP HDR 2007)
➤	Prevalence of under nourishment in total population	... % (FAO Statistical Division 2004 estimate)
➤	Gross national income per capita	USD ... (World Bank Key Development Data & Statistics 2006)
➤	Percentage of population living on less than \$1 per day	... % (UNDP HDR 2007)
➤	Proportion of population without sustainable access to an improved drinking water source	... % (UNDP HDR 2007)
➤	IDPs (number and percent of population)	...
➤	Refugees	➤ In-country ➤ Abroad
➤	ECHO Vulnerability and Crisis Index score (V/C)	.../... (To be filled in by CAP Section if HCT has no access to the data)
➤	2007 UNDP Human Development Index score	... (score, position, low/medium/high Human Development)
Also	State here other interesting or relevant statistics concerning the country or area affected by the disaster, such as: ➤ disaggregated demographic data (sex and age) of the affected population ➤ population growth ➤ maternal/infant mortality ➤ % population living with HIV/AIDS ➤ % population involved in activities particularly disrupted or affected by the disaster ➤ etc	

2. CONTEXT AND HUMANITARIAN CONSEQUENCES (IDEALLY 1.5 PAGES)

2.1 Context

- What happened?
- Where?
- Who is affected? Figures on affected populations, including numbers and type of population affected by the emergency, disaggregated to the extent possible by gender and age, and any other specific or relevant manner (e.g. number of disaster-induced IDPs, persons affected by region, livelihood, etc). (Note: do not write "affected" without defining what you mean by affected in this context).
- What has happened since the onset of the crisis? (e.g. information gathered, government agrees to international assistance, immediate response by agencies, assessments done, etc.).
- If major uncertainty exists about the evolution of the crisis, what are the best, worst, and most likely scenarios?

Key questions to consider in analysing the context for the revision

1. What were the overarching goals/priorities in the original appeal?
2. What has been the cumulative result of pursuing the original appeal's goals/priorities?
3. Why has the HCT achieved or not achieved its goals/priorities?
4. Based on what was achieved or not achieved during the previous appeal period, what lessons have been taken into account in the revision for the remainder of the six months (or longer, if the appeal is being extended)?

In reporting on this, remember to focus on the HCT's overall priorities and goals, not just those of one block of actors (e.g. the UN) or a single organisation. Include the impact of activities outside the flash appeal. Use credible evidence with specific facts and numbers to back up statements, like monitoring/assessment/evaluation reports, surveys, academic research, and FTS data.

When using FTS, do not assume that lack of funding to flash appeal projects means beneficiaries were not assisted. The activities in an unfunded project may have been implemented outside the appeal. Cluster/sector leads should be monitoring this, and the appeal should reflect it.

2.2 Response to date

- Outline concisely (in tabular form, for example) what has been accomplished to date by cluster/sector. As far as possible, an agency-specific review should be avoided: this has the tendency to offer a fragmented and sometimes partial review of what has been done. A cluster/sector-based response offers a more holistic appraisal;
- Indicate what has been accomplished by other actors (bilaterally, International Red Cross and Red Crescent Movement,²¹ etc.);
- Identify remaining gaps.

Key facts and figures of response to date in [affected country]

Cluster/sector	Key elements of response to date
Shelter & NFIs*	<ul style="list-style-type: none"> • IOM staff members in Gonaives are evaluating the state of the infrastructure and immediate needs in temporary shelters. • NFI stockpiles and distribution plans are prepared, with distributions of various kits (e.g. hygiene kits) ongoing. <p>Other observations/findings</p> <ul style="list-style-type: none"> • Reports received from Les Cayes, Petit/Grand Goave, IOM Gonaives show a number of major temporary shelter infrastructure damaged or not presenting adequate or minimal shelter conditions. The shelter sector will be attempting to immediately improve shelter conditions there (protection from the elements, sanitary facilities). • There is now an urgent need to replenish stocks; the volume of NFIs available will not meet the needs, given the size of the affected population. • The shelter sector has also identified the need to provide affected communities with basic tool kits and possibly basic construction materials for the affected groups not housed in temporary shelters; this will allow people to be able to clear up the damage themselves and protect/reinforce/insulate their dwellings.

* Example from 2008 Haiti Flash Appeal.

²¹ After consultation with the concerned components of the International Red Cross and Red Crescent Movement.

Response to date in revisions

Response to date can, as in the original version of the appeal, be reported on by cluster/sector

Shelter*	<ul style="list-style-type: none"> As of 30 June, the humanitarian community has provided some form of emergency shelter assistance to over 195,000 cyclone-affected households living in 11 townships in Ayeyarwady Division and 29 townships in Yangon Division. To date, the following has been provided: <ul style="list-style-type: none"> 390,000 plastic sheets/tarpaulins (4mx6m sheets, two per household); 19,000 community tool kits (one kit per five families); 7,000 household relief kits (two blankets, two mosquito nets, water container, cooking sets and sanitary materials per household).
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* Example from the 2008 Myanmar Flash Appeal revision

Equally, summaries of sectoral achievements can be presented against the objectives (either the cluster/sector objectives or the overall objectives) determined in the original appeal:

Cluster/sector objectives*	Evaluation
Health	
Improve the management of obstetrical and neonatal emergency care in the most affected conflict zones	<ul style="list-style-type: none"> Obstetric kits available in all health centres and maternity hospitals in zones affected by conflict. 200 health staff trained to manage obstetric emergencies. National training module and treatment guideline developed. Obstetric referral system strengthened by the donation of six ambulances to six health zones. The United Nations Population Fund (UNFPA) donated midwife kits to 32 health units in conflict areas.

* Example from the 2008 CAP for the Central African Republic.

2.3 Humanitarian consequences and needs analysis

- Who is most affected and why? Provide estimates, if possible, of specific groups most affected, disaggregated as far as possible and appropriate (e.g. by sex and age, by region, by livelihood, etc.).
- What are the needs (of specific groups, disaggregated by sex and age) as a direct and immediate result of this crisis? (Use inference if necessary, and specify the basis for inference).
- What would be the needs in the best, worst, and most likely scenarios (if major uncertainty exists)?
- What are the priority sectors/areas for response?

There are a number of tools to support humanitarian actors to assess both general and specific programming needs during a humanitarian crisis, both agency- and sector-specific. Some of these tools are referenced in Annex I of these Guidelines. If possible, efforts should be placed to coordinate assessments so as to ensure efficient use of resources and achieve the most accurate and comprehensive needs assessment in the time available.

3. RESPONSE PLANS (IDEALLY 1 PAGE PER CLUSTER/SECTOR + ADDITIONAL PAGES FOR PROJECTS)

Strategic priorities for humanitarian response

This section should start with a (re)statement of the criteria used to determine the range of projects included in the appeal.

Example from 2008 Georgia Flash Appeal

Initial assessment data has been difficult to collect due to access limitations, and the almost daily fluctuations in the situation and in available information. Priority needs and sectors have been identified through consultations between the sector leads and members, including government, after reviewing available assessment data and response capacities. Wherever possible, these projects aim to complement the activities and available resources of the government, activities by the ICRC and NGO partners.

Projects selected for this appeal met the following criteria:

1. The project directly preserves life, health or safety; or,
2. The project reduces aid dependence with a time-critical factor (i.e. within the six months of this appeal); or,
3. The project provides essential common services that enable such actions.

For each cluster/sector that the HCT decides to include:

- specify the cluster/sector lead;
- specify key cluster/sector partners;
- describe the needs that the sectoral response plan is aiming to meet, including gender-specific needs;
- objectives (bearing in mind the need to issue the appeal fast, there should not be an exhaustive list, but each should be specific and measurable);
- what is the strategy for achieving the objectives (this should be elaborated in terms of the planning assumptions and scenario agreed to by the HCT as part of the initial discussion on the appeal [see Part One, Section 1: What is in the flash appeal & Section 2: Suggested timeline]);
- humanitarian actions that can be implemented within the time span of this flash appeal (maximum six months);
- expected outputs and impacts.

How to state funding needs in flash appeals

This section on funding cannot claim to be exhaustive of all the situations a HCT will face in putting together projects and budgets. However, it does provide a comprehensive summary of the most common issues that a team will face in putting together an appeal. (See as well Annex...: Financial Tracking Tips and Guidelines for OCHA Focal points and Cluster Leads).

Recall that agencies produce projects, and budgets for them, that a) correspond to the overall objectives and criteria set for the appeal by the RC/HC, and b) correspond to the cluster/sector objectives as elaborated by the cluster lead in relation to the overall objectives of the appeal. A flash appeal project box is deliberately concise, in keeping with the need to produce the appeal quickly. Admittedly, this might be unreflective of the significant amount of work – by the individual appealing agency, by the cluster, by the cluster lead – that took place to get it to this point. When it comes to appealing agencies and clusters setting priorities, establishing assessment methodologies, or designing templates for cluster members to submit proposals and input, any form or format may be used.

However, when it comes time to incorporate that material into the flash appeal, a flash appeal project box should look only like this:

FOOD			\$
WORLD FOOD PROGRAMME (WFP) GEO-08/F01*	Project Title	Provision of Emergency Food Assistance for Conflict-Affected Population	12,900,000
	Objectives	WFP will provide emergency food assistance to 146,000 persons affected by the conflict. WFP will support the ongoing relief response through the provision of basic food rations. Distribution will be coordinated with the relevant government authorities and carried out through agreements with partner organisations	
	Beneficiaries	146,000 IDPs and conflict-affected persons	
	Partners	Save the Children (SC), World Vision International (WVI), CARE, Action Contre la Faim (ACF), CARITAS, MERCY CORPS, CHF, Norwegian Refugee Council (NRC)	

* Example from the 2008 Georgia Flash Appeal

Note on partners: with regards to the Red Cross/Red Crescent National Society: **(i)** the ICRC, the IFRC and Red Cross or Red Crescent National Societies from outside the country of operation cannot be (listed as) (implementing) partners; **(ii)** only the official name of the concerned Red Cross/Red Crescent National Society (i.e. Kenyan Red Cross Society) should be used, instead of general formulations such as "Red Cross" or "Red Cross Movement."

Field staff does not need to spend time trying to add up project budgets to produce exact sectoral totals (although this should be done, if only approximately, so that the RC/HC has an idea of the total and can defend it, or require it to be revised, as appropriate). OCHA CAP Section staff will produce the final totals (grand total, sectoral totals, totals by appealing agency, etc.) as a final step, when all last-minute budget modifications are done. (OPS, which will eventually be used for revisions, has a convenient function to show running totals per sector/cluster and per organisation throughout the draft stage.)

Sectors or clusters as grouping variables for projects?

The appeal should reflect the HCT's organisation: by sectors, cluster, themes, or other grouping, and response plans should be submitted accordingly. FTS, which historically has grouped appeal projects in the traditional or standard IASC sectors, so as to have consistent groupings that allow comparison across appeals and years, can also create tables that will reflect the appeal's organisation, groupings and labels. In the finalised flash appeal, and on the appeal's country page, FTS will paste or show tables according to the preferred country-specific labels and groupings.

CERF

If a CERF request is being made, the projects in the appeal should state their entire funding target for the appeal's time horizon (i.e. not subtracting any expected CERF funding), but without stating the amount being requested from CERF. If, however, the specific amount per project requested from the CERF has been approved before the finalisation of the appeal, the CAP Section will indicate that in the document – see example below:

			\$
WFP KEN-08/F01*	Project Title	EMOP 10374.0 - Food assistance to drought-affected people in Kenya (Budget Revision 12 covers populations displaced or affected by post-election crisis in Kenya)	10,204,932
	Objective	Provide food assistance for persons displaced or affected by the post-election violence in Kenya for up to three months, to protect their nutritional status from deterioration due to displacement and loss of assets; provide micro-nutrient rich commodities through health facilities to address moderate malnutrition	<i>Less CERF commitment</i> 3,353,681
	Beneficiaries	250,000 IDPs	Net requirements 6,851,251
	Partners	KRCS, Government of Kenya, UNICEF, NGOs	

* Example from 2008 Kenya Flash Appeal.

Multiple appealing agencies

A project may have more than one appealing agency, if this reflects a reality that the project is shared. However, each agency must state its specific portion of the appealed amount (this is to reflect the reality that donors commit funds to one agency at a time, not jointly under one contract to two or more agencies). If no such breakdown per agency within a shared project is stated, FTS will split the overall project amount equally. The following table shows how to reflect multiple appealing agencies:

			\$
UNDP BOL-08/S/NF02A*	Project Title	Preliminary measures for sustainable housing	1,000,000
	Objective	Support to the National Government, regional, local governments and local builders and masons for the rehabilitation of destroyed and damaged houses	UNDP 500,000
	Beneficiaries	10,000 families who lost their dwellings	UN-HABITAT 500,000
	Partners	Ministry of Housing, Regional Governments of Santa Cruz and Beni, municipalities	

* Example from the 2008 Bolivia Flash Appeal.

Submission of projects directly from agency HQs

Agency headquarters sometimes submit additional projects directly to OCHA CAP Section during the period of headquarters review. This is permissible in a fast-moving situation, but in these cases it is necessary for the agency to accompany the new project with evidence of the RC/HC's approval (deadlines do not allow the OCHA CAP Section to contact the RC/HC and await approval in the short period between agency HQ comments and publication).

Agencies with limited or no presence in the affected country (e.g. regional offices only) may contact the appeal focal point in the field to incorporate the projects while the appeal is still being developed in the field. OCHA CAP Section can put such agencies in touch with the field focal point. If that is not feasible, they can, as a last resort, submit projects with the RC/HC's approval during the headquarters review period. However, agencies which do this should be prepared to answer questions relating to their capacity to implement projects within the appeal's timeframe.

Notes on how to state funding needs specifically for revisions

Briefly summarise general funding trends and issues. For example, state whether funding is coming to the right sectors, in accordance with stated priorities, is timely, etc.

When it comes time to conduct the revision, appealing agencies must be very careful in how they present their projects and funding needs, so as to ensure that the revised requirements reflect total (gross) requirements, **not** unmet requirements net of funding to date. A second major problem in processing revisions is that the field drafts often quote funding figures different from what donors and agencies have reported to FTS. When the revision process and date is agreed upon, the HCT and in particular the cluster leads, must disseminate the project-by-project funding information (table E) available on the appeal's webpage on FTS (as shown in the example given above on page 12).

Table E can be produced (by the OCHA office in-country or the appeal focal point) in Excel format and circulated to all appealing agencies. This will allow the following:

- The CAP Section, HCT, clusters, and individual appealing agencies all work from the same basic document with the same funding information;
- Appealing agencies are able to check the funding information for their projects;
- Appealing agencies can update funding information as required (i.e. inform the CAP Section of funding that is not reported in FTS [email to fts@reliefweb.int]);
- Sector/cluster leads can and should review each proposed project in their sector, confirming those that are still relevant. Proposing organisations should delete or revise those projects which are no longer relevant.

Table E can be circulated with whatever additions the HCT feels necessary for the revision, but it should not look more complex than the following:

Revised in the Flash Appeal									
Yes (state new requirements if any)		No (project cancelled/fully funded)		?					
Project code	Project Title	Appealing agency	Original requirements USD	Revised requirements USD	Funding received	% Covered	Unmet requirements USD	Uncommitted Pledges USD	Revised in the Flash Appeal
AGRICULTURE									
GEO-08/A01	Post-Conflict	FAO	112,714	112,714	112,714	100%	0	0	N (fully funded)
Sub total for AGRICULTURE			112,714	112,714	112,714	100%	0	0	
COORDINATION AND SUPPORT SERVICES									
GEO-08/CSS01	Logistics Coordination and Support for the Response to Relief Emergency Operations	WFP	2,500,000	2,500,000	1,000,000	40%	1,500,000	0	N (no further funding required)
GEO-08/CSS02	Emergency Logistical Support for the Displaced Persons in Tbilisi and Other Parts of Georgia	IOM	600,000	600,000	0	0%	600,000	0	N (project cancelled)
GEO-08/CSS03	Setting up Common Information and Telecommunications Services	UNHCR	400,000	400,000	100,119	25%	299,881	0	N (no further funding required)
GEO-08/CSS04	Inter-Agency Coordination of Humanitarian Response	OCHA	680,450	680,450	657,270	97%	23,180	0	Y (798,493)
Sub total for COORDINATION AND SUPPORT SERVICES			4,180,450	4,180,450	1,757,389	42%	2,423,061	0	

Extract of Table E from material used during revision of the 2008 Georgia Flash Appeal

Experience has shown that projects that appealing agencies individually, and the cluster leads collectively, will have to deal with during revisions will take the following form (listed in likely order of frequency or occurrence):

- New projects;
- Projects from the original appeal that are being revised (financial requirements reduced or increased);
- Projects from the original appeal that are unrevised (financial requirements remain the same);
- Projects from the original appeal that are fully funded and will not be revised;
- Projects from the original appeal that are fully funded and will be revised;
- Projects from the original appeal that are discontinued (some funding received, new requirement matches funding received (leaving zero unmet requirements);
- Projects that are cancelled (no funding received, or received funding transferred to another project).

Essentially, you have to show the relationship between the projects you stated in the original appeal and what you are presenting now. Sweeping revisions are no problem, as long as they are clear.

A revised project box will look like this:

			\$
WFP GEO-08/F01* <i>(Revised)</i> Category A	Project Title	Provision of Emergency Food Assistance for Conflict-Affected Populations (PRRO 10211.1)	20,400,000
	Objectives	WFP will provide emergency food assistance to 100,000 persons affected by the conflict in the region through the provision of emergency food rations and cash transfers. Initially, basic food rations will be provided as WFP in-kind rations, however, gradually, as the population stabilises and more temporary shelter locations with adequate cooking facilities have been identified for the remaining IDPs, a transition to cash transfers will be explored and implemented where possible, based on assessment	
		Returnees and vulnerable populations in the conflict zones will be provided with emergency food rations through the winter. Depending on assessment and implementation of agricultural livelihood recovery programmes, WFP will scale down food distribution	
		Distribution will be coordinated with the relevant government authorities and carried out through agreements with partner organisations	
	Beneficiaries	100,000 IDPs, returnees and other vulnerable conflict-affected populations	
	Partners	National authorities, SC, WVI, CARE, ACF, CARITAS, Mercy Corps, IOCC	

* Example from the 2008 Georgia flash appeal

In this example, you can see that it is the same project from the original Georgia Flash Appeal, but revised in several key areas:

- It shows some increased information on the objectives;
- It shows a revised number of beneficiaries;
- The budget total is the total requirements for the project, NOT what is new funding requirements;
- It also shows the prioritisation (category) assigned to the project (see Part One: Section 2: Revisions and Prioritisation).

Note: For a flash appeal, unlike a CAP, a summary table per project is sufficient. However, depending upon the decision taken by the HCT on the breadth and range of the revision, CAP-style project sheets (now handled in an on-line format via OPS) may be appropriate. As long as only minor changes are implied, for example in beneficiary numbers or objectives, project titles can be changed and still keep the same code and can still track funding received.

4. ROLES AND RESPONSIBILITIES (0.5 PAGE)

A short paragraph (no more than ten lines) on how the response is being coordinated and who is responsible within the government and the UN should be included. The table (as below) should be completed, indicating cluster/sector leads and the major humanitarian stakeholders that are responding to the crisis in affected regions, by sector (e.g. government, UN, Red Cross/Red Crescent National Society of the country of operation, NGOs).

Sector/cluster	Governmental institutions	Cluster lead	Other humanitarian stakeholders
Food Security*	MRA, MoA	WFP & FAO	ACF, CARE, CARITAS, CHF, IOCC, IOM, IRD, Mercy Corps, NRC, OXFAM, SC, UMCOR, UNDP, WVI

*Example from 2008 Georgia Crisis Flash Appeal revision.

ANNEXES

The appeal may have as many annexes as is deemed fit for the situation in question. Common annexes are:

- IFRC appeal (if any);
- Who What Where maps;
- Strategic monitoring framework;
- any other material the HCT deems particularly useful (e.g. map of food distributions);
- An annex on Acronyms and Abbreviations is standard for all flash appeals: while the CAP section does check acronyms, many are specific to a country, region or language, national authorities and local NGOs being typical examples. Thus, the HCT must provide an acronyms list spelling out each acronym used in the document. Example:

AWKAF

Ministry of Religious Affairs

When an acronym is in a foreign language, a translation is preferable

BF

Breast Feeding

CAP

Consolidated Appeals Process

CERF

Central Emergency Response Fund

CSO

Civil Society Organisation

PART THREE: FURTHER RESOURCES

ANNEX I. SELECTED GUIDANCE DOCUMENTS AND OTHER RESOURCES

Clusters/sectors

[IASC Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response](#), 24 November 2006

[IASC Generic Terms of Reference for Sector/Cluster Leads at the Country Level](#)

Central Emergency Response Fund (CERF)

Guidance on the loan and grant component may be found at [What is the CERF?](#) on the Fund's website

Contingency planning

[IASC Contingency Planning Guidelines for Humanitarian Assistance](#), (*Revised version*), December 2007

Disaster Preparedness and Response

[Disaster Preparedness for Effective Response - Guidance and Indicator Package for Implementing Priority Five of the Hyogo Framework](#), October 2008

OCHA [Disaster Response Preparedness Toolkit](#)

[SPHERE](#)

[IASC Civil-Military Guidelines and References for Complex Emergencies](#), January 2009

Early recovery

Cluster Working Group on Early Recovery (CWGER) and CAP SWG: [Including Early Recovery in Flash Appeals: A Phased Approach](#), January 2009

CWGER: [Guidance Note on Early Recovery](#), April 2008

Protection

[IASC Operational Guidelines and Field Manual on Human Rights Protection in situations of Natural Disaster](#), (*Pilot Version*) March 2008

IASC Gender Handbook in Humanitarian Action

[Women, Girls, Boys, and Men: Different Needs - Equal Opportunities](#), December 2006

Gender-based Violence Programming

[IASC Guidelines for Gender-based Violence Interventions in Humanitarian Settings](#), September 2005

Mental Health and Psychosocial Support

[IASC Guidelines on Mental Health and Psychosocial Support in Emergency Settings](#), December 2008

ANNEX II. THRESHOLDS FOR TRIGGERING FLASH APPEALS

Thresholds for triggering flash appeals and

ERC message to RC

IASC CAP SWG – June 2007

1. Background

To date there are no clear-cut criteria or benchmarks for triggering Flash Appeals. Having a clear-cut decision on this could help RCs and HCTs in issuing timely flash appeals. As an example, in recent appeals history, several HCTs issued their flash appeals more than a month after the disaster, contrary to IASC guidelines and common sense.

Moreover, there may be a need for the ERC to send a communication to an RC soon after a disaster that surpasses trigger levels, instructing the RC to follow standard operating procedure by developing a flash appeal quickly.

The process outlined in this note applies to sudden-onset disasters (either natural or conflict-based). Flash appeal triggers for slow-onset disasters should be the subject of another paper.

IASC policy says that an appeal should be issued for any crisis or disaster needing humanitarian response that (a) exceeds the capacity of the affected country government, and (b) exceeds the capacity and/or mandate of any one UN agency. The question then becomes how to operationalise these very clear criteria, and apply them to any situation fast enough to make the right decision about whether to mobilise the flash appeal process.

2. Proposed triggers and process

(A general trigger that would short-cut the others would be an appeal for international assistance by the affected country government, in a case where a single agency cannot cover the needs.)

If there is no formal request for international assistance, a flash appeal might still be necessary if any of the following have happened:

- Significant number of dead and/or injured;
- Significant number of displaced population;
- Significant level of destruction of homes, infrastructure, or food supplies;
- Interruption of basic essential services (especially potable water, sanitation, or primary health care).

For any situation where one of these indicators has happened²², OCHA shall rapidly research the affected country government's capacity (plus that of the local Red Cross or Red Crescent Society, supported by IFRC, in case of natural disaster) to cover all urgent needs. OCHA shall simultaneously consult with the RC and the HCT (through the OCHA CRD Desk Officer or relevant OCHA regional office, as appropriate).

²² Sources of information for these indicators will be sitreps by OCHA, UNHCR, IFRC, the RC/HC, or the UNCT. If information is lacking, OCHA will try to infer these indicators using indirect methods (e.g. water levels, satellite imagery and topographical maps to infer the effects of flooding).

There can be no fixed benchmarks or thresholds that would allow these indicators alone to signal that a government's capacity is surpassed, because each government's capacity to respond differs. Ideally, contingency plans would always provide up-to-date information on government capacity; however in the real world such planning is uneven. OCHA will therefore quickly research the affected country government's response to previous disasters on a similar scale. (ReliefWeb has such information going back 15 years for many countries.) A shortfall in government capacity, requiring an inter-agency response, in the most recent similar disaster shall suffice to trigger the flash appeal process.

(A situation may arise where the claim is made that the government has greatly improved its capacity and can now handle the current crisis. In such a case, the burden of proof should be on the Resident Coordinator to show that government stockpiles, logistics, coordination, and personnel are sufficient to avert the need for inter-agency response. If the RC cannot quickly demonstrate this capacity, s/he will have the responsibility to proceed with the flash appeal process.)

In researching government capacity, OCHA will liaise closely with IFRC (if natural disaster), with UNHCR (if the emergency consists primarily of refugee movement), or with UNHCR and IOM (if the emergency consists primarily of internal displacement), in order to double-check information on the scale of the disaster and on the capacity of the organisation mandated to respond to that type of disaster (local Red Cross/Red Crescent supported by IFRC for natural disaster, or UNHCR plus its implementing partners for refugee movements). In addition, OCHA would factor in relevant contingency plans of the Resident Coordinator and IASC CT. (As a preparedness step, OCHA will ascertain whether IFRC has contingency information for most countries that could be shared as background and baseline.)

Within OCHA, CAP Section shall take the lead in this triggering process. An important role is likely to be played by OCHA-NY desk officers and regional offices (or country office, if there is one).

IASC CAP SWG, May 2007

ANNEX III. EXAMPLES OF PRIORITISATION

For revisions, some or all of the following could be useful for determining possible criteria for selecting and prioritising (or categorising) projects:

- *Assessment criteria*: the appealing organisation's project is based on an ex ante risk/needs assessment
- *Sectoral criteria*: the appealing organisation's project brings an added value to sector strategy objectives which have been developed to address priority needs deriving from the current crisis.
- *Organisational criteria*: the appealing organisation was present in-country prior to onset of the crisis and/or has the technical expertise in-country, capacity, and mandate to implement the project, or can scale up this operational capacity rapidly as required.
- *Beneficiary criteria*: the project will address a priority vulnerable group.
- *Geographic criteria*: the project will be implemented in a region that is considered to be a priority, as determined and agreed by the HCT.
- *Temporal criteria*: the projects can make a measurable impact in the time-frame of the appeal; are necessary to allow affected persons to survive over the winter (winterisation).
- *Other context-specific criteria*: e.g. projects that
 - include a focus on housing, land and property;
 - help to build local capacity;
 - promote gender equality;
 - lead into follow on mechanisms;
 - offer common services that enable other projects to take place (i.e. joint logistics services);
 - reduce aid dependence;
 - facilitate access to affected populations;
 - avert harm in a time-critical way.
- *Knowledge management criteria*: the project will document its experience for advocacy purposes.

Whilst CAPs sometime use a point system to determine prioritisation, this might be harder to do in the shorter timeframe of a flash appeal (both in terms of the time the HCT has to work on it and the timeframe of the appeal itself). There is no perfect example to use when deciding how to prioritise projects in a revision, but at a minimum, bearing in mind the short timeframe, the main criteria should be time-bound, or time-critical – which projects must start immediately, or before a certain date, in order to have the greatest impact.

Example from the revised 2008 Georgia Flash Appeal

The HCT also conducted a prioritisation, or categorisation, exercise designed and understood as a method of taking into account the evolving nature of this crisis, and of directing attention and resources at the right time to where the needs are greatest. This furthers the implicit prioritisation in the revised Flash Appeal stemming from the JNA's identification of 'immediate priorities' to be met within the first six months of its timeframe. As the response planning and fundraising mechanism for the first six months of the [World Bank/UN/EU-led Joint Needs Assessment], the revised Appeal's projects have thus been categorised into:

- A. projects that are vital to sustaining returnees or displaced persons, in particular throughout the winter, and that must start as soon as possible;
- B. projects that support returnees, displaced populations, and other conflict-affected persons and that should be started and finished within the six months of the appeal;
- C. projects that should start and finish within the six months of the appeal, and aim to ensure self-sufficiency of affected populations into the JNA period.

It is important to state that the categorisation chosen (A, B, C) in no way implies a qualitative assessment of the projects, and only reflects the priority given in terms of the need to start certain projects as quickly as possible so that beneficiaries may be best prepared for the winter.

Summary of project categorisation

Category	No. of projects (68 total)	% of total projects	Funding requested	% of funding
A	33	47%	85,346,952	27%
B	24	34%	12,096,619	29%
C	13	19%	6,820,000	3%

Example from the revised 2008 Haiti Flash Appeal

Strategic priorities for humanitarian response

In terms of timeframe, this revision of the Flash Appeal has been tailored to ensure consistency with the PDNA.²³ For this same reason, the revised Appeal will run a total of eight months instead of the usual six, to the end of April 2009.

The response for the next six months until April 2009 retains a primary humanitarian dimension, the continuation of the relief efforts being the first priority of the international assistance community with the focus on life-saving activities.

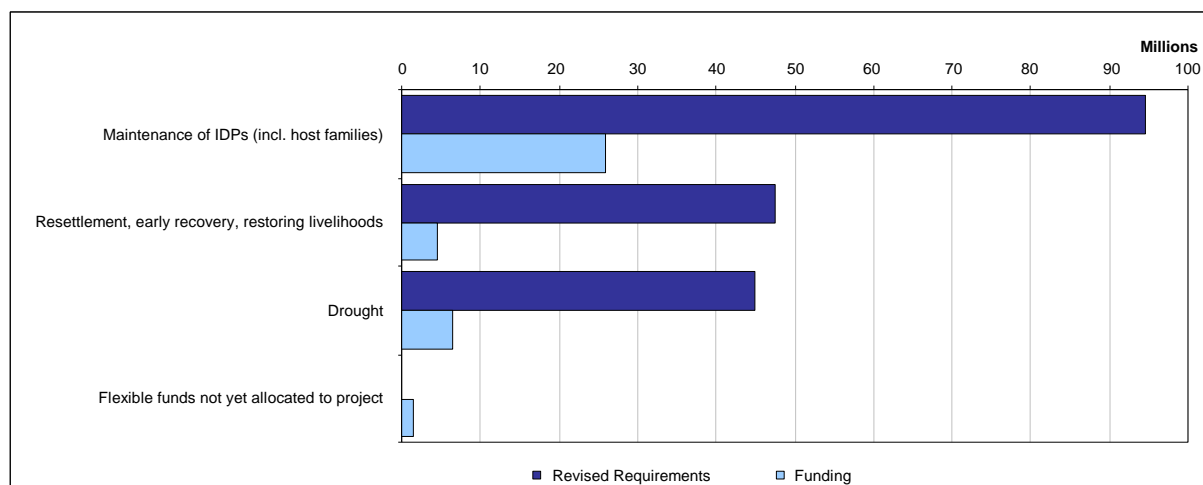
Equally important, the response has been tackling key early recovery activities as essential non-life-saving actions that have to be carried out during the humanitarian phase and beyond into the recovery phase. These activities are critical as they set the basis to prevent unnecessary prolongation of humanitarian assistance, as well as laying out foundations for the recovery of livelihoods and coping mechanisms of the population. It is a key characteristic of early recovery actions that, by hastening the end of aid dependence, they free resources for other life-saving actions.

In view of the above, three categories of projects have been identified:

Category A	Immediate:	Life-saving interventions in the most affected areas, namely Gonaïves (Artibonite), South and South-East regions;
Category B	Continuation:	Continuation of life-saving assistance throughout the country;
Category C	Time Critical:	Recovery of livelihoods through necessary, rapid and time-limited actions required to immediately avert or minimise additional loss of lives and damage to social and economic assets.

Example from the revised 2008 Kenya Humanitarian Response Plan

Projects in the revised appeal can be broadly categorised as being for maintenance of IDPs (including host families), resettlement / early recovery / restoring livelihoods, and drought. The IDP maintenance category has unmet requirements of \$70 million; the drought category, \$38 million; and the resettlement / early recovery category, \$43 million (for the sake of this analysis, a simplifying assumption is made that one-half of the food needs are for the drought).



²³ Please see related footnote on page 8 of these Guidelines.

ANNEX IV. NGOS AND FLASH APPEALS

FREQUENTLY ASKED QUESTIONS

A primary purpose of flash appeals is to present total humanitarian funding needs for a crisis, to make it clear to donors what their responsibility is. Increased NGO participation is important so as to present a global, complete view of the humanitarian response, to be clear on who does what where, and to show the role of NGOs alongside those of the UN and, where relevant, the International Red Cross and Red Crescent Movement. Flash appeals are also more meaningful as funding barometers if NGO funding needs are counted.

Improved pre-appeal contingency planning can help to overcome many of the problems that have been faced in the past, such as NGO unfamiliarity with United Nations' response mechanisms, and time lost spent ascertaining who is available to assist in the response. Some of the most common issues that NGOs face when deciding whether or not to involve themselves in an appeal are the following:

- **Why could it help NGOs to list their project proposals and funding needs in flash appeals?**
Visibility: each flash appeal is sent in electronic and hard copy to each donor.
- **How can NGOs have project proposals included in flash appeals?**
Via clusters or sector working groups. Cluster leads have an explicit responsibility to gather and review all priority funding needs from all organisations in their cluster.
- **Can NGOs also send the same proposals directly to their usual donors?**
Definitely: this is also what UN agencies do.
- **Are flash appeals a funding pool or channel – in other words, do NGOs receive funding “through the flash appeal?”**
No: the projects in flash appeals serve as a catalogue for donors for them to be able to structure their own response. NGOs will receive their funding directly from donors, but are encouraged to report it to FTS
- **Should an NGO still put its project in a flash appeal even if it is already likely to get funding for it?**
NGOs should list their projects in the flash appeal. Donors appreciate their funding being counted in the appeal, plus it helps the humanitarian system to present the overall funding needs for that crisis, demonstrate prioritisation, and measure the funding in response.
- **Should NGOs list their own proposals directly in a flash appeal, or should they be represented in “umbrella” proposals by UN agencies with NGOs as implementing partners?**
This is entirely up to the NGOs and the relevant UN agency, and is not up to the UN agency or cluster lead to decide alone: The main problem with “umbrella” projects is that funding is usually delayed before it reaches the NGO, and there are losses from pass-through costs. On the other hand, in some situations the stakeholders might agree that this is the best arrangement. NGOs should feel entitled to list their projects directly as an appealing agency.

ANNEX V. FINANCIAL TRACKING TIPS AND GUIDELINES FOR OCHA FOCAL POINTS AND CLUSTER LEADS

An accurate and complete record of the current funding status of a flash appeal is a key element of revision. It provides a quick overview of funding gaps and needs, as well as a barometer of activities/organisations that have not been previously included, but that should be brought into the strategic planning process.

The following are some brief tips and guidelines for ensuring that the information recorded on OCHA's Financial Tracking Service are as up-to-date and accurate as possible.

1. Download funding tables from FTS and make them available for all partners. FTS in Geneva can help you create a customised table and add additional relevant columns for reporting if you wish. The most useful tables are Table A (all contributions to Appeal and non-Appeal projects); Table E (list of projects grouped by sector); and Table F (list of contributions to projects in the Appeal).
2. Ask partners to update all information. It is important that we have each individual contribution (i.e. by donor, amount, and date), as well as the project or activity/sector for which it will be used.
3. Ensure that a contact name and email is provided for each organisation for follow-up.
4. It is best if the FA revision team can compile the information and send to OCHA in Geneva.

Frequently Asked Questions

1. **The information in your records is not correct—where did FTS get it?** We receive information directly from donors and recipient agencies. It is important to note that we cross-check all information with the donor and recipient agencies. We also use information reported in situation reports, UNCT notes and official press releases. Sometimes the information is received in the early days of the emergency and we rely on donors and partners to provide updated information.
2. **Why are some contributions registered against the appeal and some contributions are registered outside the appeal?** Some contributions are specifically earmarked for organisations and activities that are included in the Appeal, and are registered against the Appeal (Table F on FTS). However, some contributions are made to organisations and activities that have not been included in the Appeal and these are registered "outside" (Table H on FTS). Most donors have expressed a preference to have their funds counted against Appeal projects when possible. If we do not have the detailed information, we do our best to match reported contributions with projects (based on sector, activities, geographical location, etc.). Please inform us if what we have online is not correct. Bilateral and in-kind contributions and contributions to ICRC and IFRC are also registered outside the Appeal.
3. **The dollar value of the contribution we received in Euros (or another currency) is not correct—why?** If the contribution is not in US\$, FTS records the original currency and amount. We use the UN monthly exchange rate conversions, so there may be small differences in what you see online and in your bank accounts.
4. **Our organisation has used some of its own funds for the emergency response—can you record this?** Absolutely. In this case, your organisation would be listed as both donor and recipient. If you have more than one project, please make sure and estimate the amount for each one (when relevant).
5. **We only have pledge information—can you still record it? We don't have the exact amount of the contribution yet—can you still record it?** Yes. FTS is updated daily so just provide us with additional details when they are available.
6. **Can NGOs report directly to FTS?** Yes. We encourage it. Please see our website for the online contribution report form.
7. **We received much more funding than expected—can projects be more than 100% funded?** We prefer not to have projects funded much more than 100% percent and encourage organisations to revise their requirements to reflect the actual situation (in consultation with sector/cluster leads, the OCHA FA team, and according to agreed FA revision guidelines).



Click [here](#) for direct access to the Financial Tracking Service

ANNEX VI. USEFUL CONTACTS

Contacts within OCHA

Name	Function	Email	Telephone/Fax
CAP Section (Geneva)			
Robert Smith	Chief of Section	smith50@un.org	+41 22 917 1695
Luke McCallin	Humanitarian Affairs Officer, Flash Appeal Coordinator	mccallin@un.org	+41 22 917 1603
Ysabel Fougery	Humanitarian Affairs Officer, Policy Officer	fougery@un.org	+41 22 917 1400
Esther Kuisch	Humanitarian Affairs Officer, FTS Manager	kuisch@un.org	+41 22 917 3404
Julie Thompson	Humanitarian Affairs Officer, Financial Tracking Service	thompson8@un.org	+41 22 917 1298
Lauro Calvio	Humanitarian Affairs Officer, Information Officer	calvio@un.org	+41 22 917 1874
Rosa Rosetti	Documentation Assistant (document formatting)	rosettir@un.org	+41 22 917 1842
CERF Secretariat (New York & Geneva)			
Karen Smith	Programme Officer, Rapid Response - CERF Secretariat	smith3@un.org	+1 917 367 8117 Cell: +1 646-400-2652
Shelley Cheatham	CERF Focal Point (Geneva) - CERF Secretariat	cheatham@un.org	+41 22 917 1994
Coordination and Response Division (New York)			
Heidi Kuttub	Liaison officer for CAP-related issues	kuttub@un.org	+1 917 367 3365
Humanitarian Coordination Support Section (Geneva)			
Tom Delrue	Humanitarian Affairs Officer	delrue@un.org	+41 22 917 2296
Displacement and Protection Support Section (Geneva)			
Ramesh Rajasingham	Chief of Section	rajasingham@un.org	+41 22 917 1543
Victoria Metcalfe	Senior Protection Officer	Metcalfe@un.org	+41 22 917 1618
Anne-Marie Linde-Thalmann	Humanitarian Affairs Officer	lindea@un.org	+41 22 917 1604
Disaster and Vulnerability Support Section (Geneva)			
Niels Scott	Chief of Section	Scott2@un.org	+41 22 917 3518

For contacts within the Global Cluster Leads, please refer to the [Global Cluster Leads contact list \(4 March 2009\)](#) on the [Humanitarian Reform](#) website.

Contacts within IASC Subsidiary Bodies

Name	Function/Organisation	Email	Telephone/Fax
Sub-Working Group on the Consolidated Appeals Process			
Robert Smith	Details as above		
Contact Group on Good Humanitarian Donorship			
Robert Smith	Details as above		
Sub-Working Group on Emergency Telecommunications (SWGET)			
Cherif Ghaly	Chief, Information and Communications Technology Section, OCHA (Geneva)	ghaly@un.org	+41 22 917 2184
Task Force on Information Management			
Mr. Brendan McDonald	Manager, Field Information Services - Communications and Information Services Branch, OCHA (New York)	mcdonaldb@un.org	+1 917-367-3557
Sub-Working Group on Gender and Humanitarian Action			
Dr. Henia Dakkak	Technical Specialist, UNFPA (New York)	dakkak@unfpa.org	+1 212 297 5069
Sub-Working Group on Preparedness and Contingency Planning			
Carlos Veloso	Chief, Emergency, Preparedness and Response Branch, WFP (Rome)	carlos.veloso@wfp.org	+39 06 6513 2462
Michel Le Pechoux	Chief, Early Warning and Preparedness, Office of Emergency Programmes, UNICEF	mlepechoux@unicef.org	
Task Force on HIV in Humanitarian Situations			
Dr. Karl L. Dehne	AIDS, Security & Humanitarian Response Unit, Country and Regional Support Department, UNAIDS (Geneva)	dehnek@unaids.org	+41 22 791 1255
Reference Group on Human Rights and Humanitarian Action			
Kazumi Ogawa	Human Rights Officer, Capacity Building and Field Operations Branch, OHCHR (Geneva)	kogawa@ohchr.org	+41 22 928 9846
Reference Group on Mental Health and Psychosocial Support			
Amanda Melville	Project Officer Child Protection, UNICEF (New York)	amelville@unicef.org	+1 212 326 7208
Ms Alison Schafer	World Vision	alison.schafer@worldvision.com.au	-

ANNEX VII. ACRONYMS AND ABBREVIATIONS

ACF	Action Contre la Faim
AIDS	Acquired Immuno-deficiency Syndrome
BCPR	Bureau of Conflict Prevention and Recovery
CAP	Consolidated Appeals Process
CARE	Cooperative for Assistance and Relief Everywhere
CERF	Central Emergency Response Fund
CWGER	Cluster Working Group on Early Recovery
DRM	Disaster Risk Management
EMOPs	Emergency Operations
ER	Early Recovery
ERC	Emergency Relief Coordinator
EU	European Union
FAO	Food and Agriculture Organization
FTS	Financial Tracking Service
HC	Humanitarian Coordinator
HCT	Humanitarian Country Team
HDR	Human Development Report
HQ	headquarter
HRU	Humanitarian Response Unit
IASC	Inter-Agency Standing Committee
ICRC	International Committee of the Red Cross
IDPs	internally displaced persons
IFRC	International Federation of Red Cross and Red Crescent Societies
IOM	International Organization for Migration
JNA	Joint Needs Assessment
KRCS	Kenyan Red Cross Society
NGOs	non-governmental organisations
NRC	Norwegian Refugee Council
OCHA	Office for the Coordination of Humanitarian Affairs
OHCHR	Office of the High Commissioner for Human Rights
OPS	On-line Project Submission
PDNA	Post-Disaster Needs Assessment
PNS	Participating National Societies
RC	Resident Coordinator
SC	Save the Children
SWGET	Sub-Working Group on Emergency Telecommunications
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNDP	United Nations Development Programme
UNFPA	United Nations Population Funds Requested
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
WFP	World Food Programme
WHO	World Health Organization
WVI	World Vision International

Consolidated Appeal Process (CAP)

The CAP is a tool for aid organisations to jointly plan, coordinate, implement and monitor their response to disasters and emergencies, and to appeal for funds together instead of competitively.

It is the forum for developing a strategic approach to humanitarian action, focusing on close cooperation between host governments, donors, non-governmental organisations (NGOs), the International Red Cross and Red Crescent Movement, International Organization for Migration (IOM), and United Nations agencies. As such, it presents a snapshot of the situation and response plans, and is an inclusive and coordinated programme cycle of:

- Strategic planning leading to a Common Humanitarian Action Plan (CHAP);
- Resource mobilisation leading to a Consolidated Appeal or a Flash Appeal;
- Coordinated programme implementation;
- Joint monitoring and evaluation;
- Revision, if necessary;
- Reporting on results.

The CHAP is the core of the CAP – a strategic plan for humanitarian response in a given country or region, including the following elements:

- A common analysis of the context in which humanitarian action takes place;
- An assessment of needs;
- Best, worst, and most likely scenarios;
- A clear statement of longer-term objectives and goals;
- Prioritised response plans, including a detailed mapping of projects to cover all needs;
- A framework for monitoring the strategy and revising it if necessary.

The CHAP is the core of a Consolidated Appeal or, when crises break out or natural disasters strike, a Flash Appeal. Under the leadership of the Humanitarian Coordinator, and in consultation with host Governments and donors, the CHAP is developed at the field level by the Humanitarian Country Team. This team includes IASC members and standing invitees (UN agencies, the International Organization for Migration, the International Red Cross and Red Crescent Movement, and NGOs that belong to ICVA, Interaction, or SCHR), but non-IASC members, such as national NGOs, can also be included.

The Humanitarian Coordinator is responsible for the annual preparation of the consolidated appeal document. The document is launched globally near the end of each year to enhance advocacy and resource mobilisation. An update, known as the Mid-Year Review, is presented to donors the following July.

Donors generally fund appealing agencies directly in response to project proposals listed in appeals. The **Financial Tracking Service (FTS)**, managed by the United Nations Office for the Coordination of Humanitarian Affairs (OCHA), is a database of appeal funding needs and worldwide donor contributions, and can be found on www.reliefweb.int/fts.

In sum, the CAP is how aid agencies join forces to provide people in need the best available protection and assistance, on time.

**OFFICE FOR THE COORDINATION OF HUMANITARIAN AFFAIRS
(OCHA)**

**UNITED NATIONS
NEW YORK, NY 10017
USA**

**PALAIS DES NATIONS
1211 GENEVA 10
SWITZERLAND**