

**PROPOSAL TO THE IASC WORKING GROUP**



**NOMENCLATURE FOR IASC  
APPEAL AND STRATEGY  
DOCUMENTS**

**February 2003**

Produced by the IASC CAP Sub-Working Group

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## **Background**

In June 2002, the IASC Working Group requested the IASC CAP Sub-Working Group to clarify nomenclature for humanitarian appeals and strategy documents and to propose criteria for determining the appropriate strategy and appeal tool for a given emergency. The request came about as a result of a proliferation of *ad hoc* appeal and strategy documents produced for crisis situations that, for one reason or another, did not meet commonly understood criteria for a Consolidated Appeals Process (CAP)<sup>1</sup>. The number of different titles used and the lack of common understanding of these names different actors (agencies, donors, host governments, NGOs) has resulted in several instances of uncoordinated action and what is believed to be avoidable inter-agency and donor confusion.

## **Proposal**

The IASC CAP Sub-Working Group proposes to produce a coherent set of guidelines for no more than four appeal/strategy documents to cover day one of an emergency through to the transitional period.<sup>2</sup> The guidelines will be applicable for either natural disasters or complex/major emergencies<sup>3</sup>. The Common Humanitarian Action Plan (CHAP) will be the foundation of each of the documents, to varying degrees of comprehensiveness and detail, depending on time available (e.g. at the onset of an emergency, a CHAP may be a brief summary without comprehensive information). The CHAP can also be a stand-alone humanitarian strategy document for countries that do not require a consolidated approach to resource mobilisation.<sup>4</sup>

The guidelines will be published by OCHA in pocket-size booklet with accompanying document templates (available on CD-Rom or via the web).

The proposed guidelines would serve to:

- Ensure a more systematic approach to decision-making by country teams and the IASC on appeal/strategy documents by setting clear criteria for each type of document;
- Ensure greater predictability in the names, format and timing of appeal/strategy documents collectively produced by the IASC;
- Clarify definitions of commonly used terms, such as CAP, CHAP, and Flash Appeal;
- Ease the workload of field colleagues by standardising guidelines for appeal documents for both complex/major emergencies and natural disasters.

## **Definitions**

The IASC CAP SWG proposes the following nomenclature for the various planning and appeal processes:

1. **Consolidated Appeals Process (CAP)**: In case of a major or complex emergency, *determined to be such by the IASC*, the UN Humanitarian Coordinator<sup>5</sup> of the affected country initiates with the member organisations and standing invitees of the IASC (hereafter referred to as the IASC Country Team), and other relevant non-IASC organisations an *inclusive, coordinated programme cycle* of:
  - strategic planning (leading to a Common Humanitarian Action Plan, or CHAP),
  - resource mobilisation (leading to a Consolidated Appeal or a Flash Appeal);
  - coordinated implementation;
  - joint monitoring and evaluation;

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<sup>1</sup> Examples include: "Humanitarian Plan of Action" plus appeal for Colombia; "Donor Alert" for Sri Lanka; "Humanitarian Action Plan" plus appeal for the occupied Palestinian territory.

<sup>2</sup> Note that the issue of appeal/strategy documents for use in transition situations is being deliberated in the UNDG/ECHA Working Group on Transition, in consultation with the IASC CAP SWG. Therefore, transition is not discussed in this paper.

<sup>3</sup> Complex and major emergencies have been defined by the IASC (see "Working Paper on the Definition of Complex Emergencies, IASC Secretariat, 9 December 1994). A central criteria for both definitions is that the emergency requires a multi-sectoral response that exceeds the mandate of a single agency.

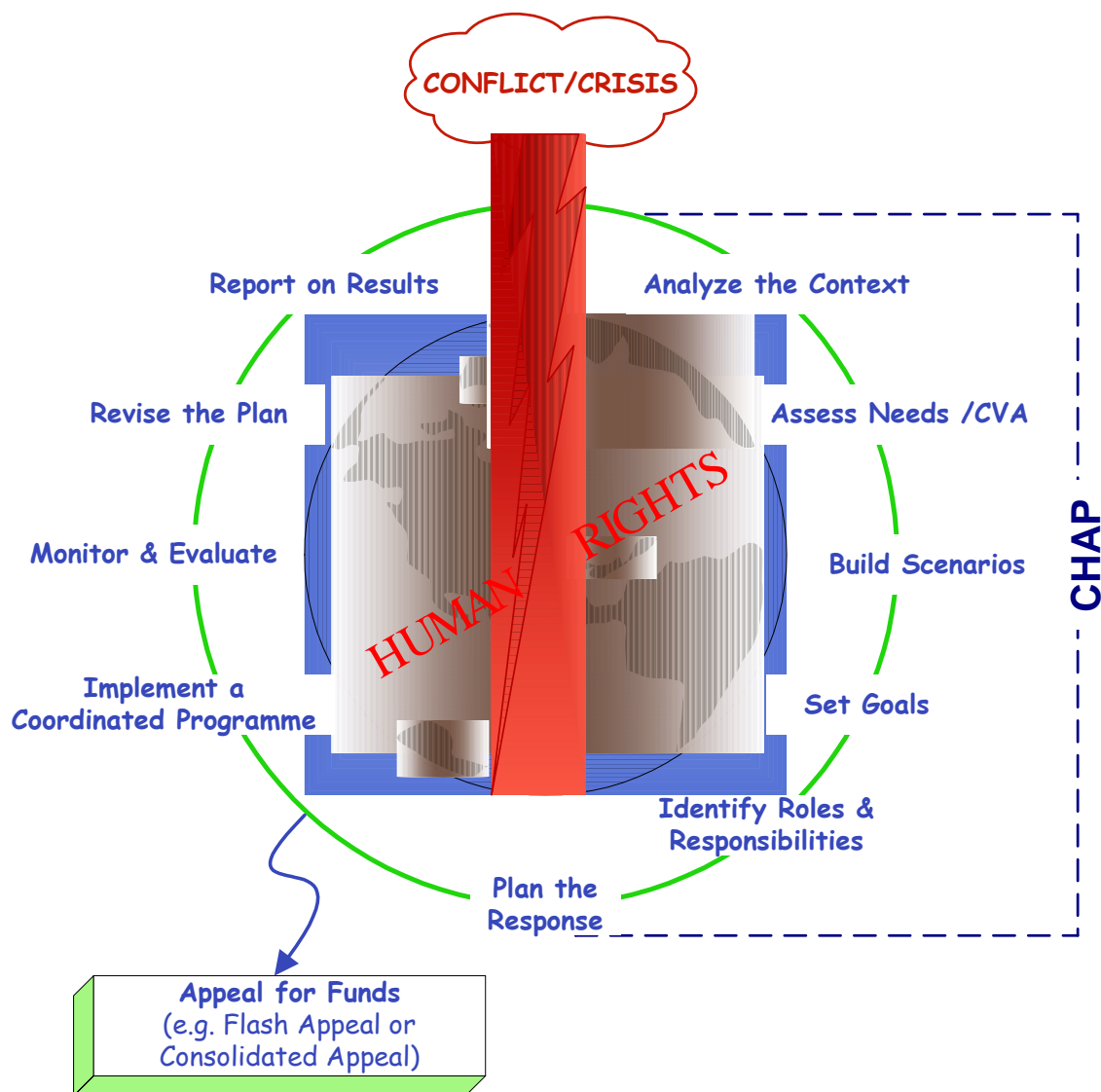
<sup>4</sup> Examples include: "Humanitarian Situation and Strategy 2003" for FRY (including Kosovo), and the "Humanitarian Strategy-2003" for FYROM. This proposal would advocate that any such document be named a "CHAP."

<sup>5</sup> Generally, the UN Humanitarian Coordinator (HC) and the UN Resident Coordinator (RC) are the same person and the CAP is led by that person in his/her capacity as HC. In countries where there is no HC, the RC will play this role.

- revision of the CHAP if necessary; and
- reporting on results.

The following diagram illustrates the 12-month **CAP** programme cycle.

## CONSOLIDATED APPEALS PROCESS



2. **Common Humanitarian Action Plan (CHAP):** A strategic plan for humanitarian response in a given country or region. Under the leadership of the UN HC, the CHAP is developed at the field level by the IASC Country Team. At the discretion of the UN HC and the IASC Country Team other non-IASC organisations can also be included in the CHAP<sup>6</sup>. In addition, other key humanitarian stakeholders may be consulted during the elaboration of the CHAP, such as host governments and donors. The CHAP includes the following elements:

- a common analysis of the humanitarian context, identifying the key concerns regarding humanitarian principles and violations of human rights;
- an assessment of needs, taking into consideration the capacities (ability to cope) and vulnerabilities (special needs) of the affected population;

<sup>6</sup> Examples include: UNMAS, UNAIDS, UNESCO, national NGOs, etc.

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- best, worst and most-likely scenarios;
  - stakeholder analysis; (who is doing what, where);
  - a clear statement of longer-term goals and objectives;
  - prioritised response plans; and
  - a framework for monitoring the strategy, and revising it if necessary

The CHAP is the foundation for developing a Consolidated Appeal or a Flash Appeal. As such, it is a critical step in the Consolidated Appeals Process. The CHAP can also serve as a reference for organisations that decide not to appeal for funds through a common framework OR that decide to appeal for funds separately.

There may be countries or regions that would benefit from a common humanitarian strategy, but do not require a consolidated approach to resource mobilisation because of the limited extent of the humanitarian crisis (e.g. the Republic of Georgia), or because the IASC does not consider the crisis to be a major or complex emergency. *Therefore, a CHAP can be produced for humanitarian situations that do not require a Consolidated Appeal. However, once a CHAP includes project proposals or another appeal for funds, it will be called a Consolidated Appeal.*

3. There should be no more than four types of document for the duration of a given emergency and they shall be used for both natural disasters and complex emergencies. Elements of the CHAP should be found in all four, with varying degrees of comprehensiveness (**Annex 1 summarises the information below in table format**). The types of document are:

Situation Report: The Situation Report is an existing tool for quickly disseminating information and funding needs for *natural disaster* situations, issued within 48 hours of onset. It is *proposed that the Situation Report also be used for sudden onset complex or major emergencies* as a means of quickly disseminating information about humanitarian needs and immediate funding requirements. Situation Reports are to be issued from day one of an emergency for no more than a few weeks as deemed necessary. The format of the Situation Report will be standardised and will include a section on financial/in-kind requirements. Basic elements of the CHAP will be included, such as situation analysis and assessment of needs, to the extent possible based on available information. The issuance of a Situation Report is triggered by the UN HC, in consultation with the IASC Country Team. The government of the affected government is also consulted as required.

Flash Appeal: The Flash Appeal is a tool for structuring a coordinated humanitarian response, and coordinating fundraising among participating IASC organisations for the first three to six months of an emergency. It is triggered by the UN HC, in consultation with the IASC Country Team and following endorsement by the Emergency Relief Coordinator (ERC) and the IASC. The government of the affected country is also consulted as required. The Flash Appeal is issued between week two and four of an emergency. It provides a concise overview of urgent life-saving needs, and may include early recovery projects that can be implemented within the timeframe of the Appeal. The Flash Appeal includes more elaborate elements of the CHAP which should be inclusive of key humanitarian stakeholders (as indicated in CHAP definition above).

**NB:** Where a Consolidated Appeal has already been issued, a Flash Appeal should not be issued. If new emergencies or deteriorating circumstances emerge in countries that already have a Consolidated Appeal, a Revision of the Consolidated Appeal will be issued (see below).

Consolidated Appeal (CA): If an emergency continues beyond the timeframe of a Flash Appeal (3-6 months), the ERC and IASC, in consultation with the UN HC and the IASC Country Team may determine that the emergency is either complex or major, necessitating a Consolidated Appeal. The Consolidated Appeal is to be prepared according to the already existing IASC CAP Technical Guidelines.

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**NB.** A CA may be issued for a new emergency without an initial Flash Appeal where sufficient information and analysis exists or where time permits the full elaboration of a CA.

**Revision to the Flash Appeal, Consolidated Appeal or CHAP:** If there is a need to change the humanitarian strategy or funding requirements in the Flash Appeal, CA or stand-alone CHAPs (e.g. with no appeal), then the document is revised according to the already existing IASC CAP Revision Guidelines.

### **Roles and responsibilities**

In general, the onus for triggering any of the above documents, and for leading/overseeing the process rests on the **UN Humanitarian Coordinator**. The UN HC should always collaborate closely with the IASC Country Team. Separate consultations should also take place, as required, with the government of the affected country.

In the case of a Flash or Consolidated Appeal or a stand-alone CHAP (no appeal for funds), the UN HC is required to consult with the **Emergency Relief Coordinator** who in turn consults with the **IASC membership** to ensure coherence in field and headquarters' approaches to the emergency.

The **IASC Country Team** mirrors the IASC structure at headquarters. It includes the UN humanitarian agencies that are members of the IASC, plus the standing invitees to the IASC: The International Organisation on Migration, the Red Cross Movement, and NGOs that belong to the three major consortia: ICVA, SCHR and InterAction. All of the above documents may include any member or standing invitee of the IASC, although some standing invitees appeal for funds outside of this framework. However, their programmes should be, to the extent possible, in line with the humanitarian strategy outlined in the CHAP.

In addition to the above, the UN HC, in consultation with the IASC Country Team, is encouraged to include **other key humanitarian stakeholders** in the discussions, particularly on developing a CHAP. Other stakeholders may include non-IASC organisations, the government of the affected country, donors, or other context-specific humanitarian actors. The decision to include the financial requirements of non-IASC organisations in the appeal is at the discretion of the UN HC and the IASC Country Team. Governments may not request funds directly through the appeal, but IASC members may choose to support government counterparts by including them as implementing partners or appealing on their behalf.

The **role of governments** in the Consolidated Appeals Process is defined by the UN General Assembly Resolution 46/182 (19 December 1991). According to the UN General Assembly, the Consolidated Appeal is to be prepared in "consultation" with the government of the affected state. This formulation is still considered valid as it allows for flexible interpretation on a country-by-country basis. It helps to ensure the impartiality of the United Nations and other IASC partners, while at the same time allows for government input to the process.

### **Proposed action**

- IASC WG to endorse the above proposal.
- Upon endorsement, IASC CAP SWG to produce, by June 2003, guidelines for the above-mentioned documents, drawing on existing guidelines for Situation Reports in natural disasters, and IASC CAP guidelines.
- IASC WG to approve guidelines at their meeting on 18-19 June 2003.
- OCHA CAP Section to publish guidelines in pocket-book format, with accompanying CD Rom of document templates by August 2003.

## Annex 1: Nomenclature for IASC Appeal and Strategy Documents

TIMEFRAME	DAY 1 of Emergency	Week 2-4 of Emergency	Month 3-6 of Emergency	Within the CA/FA Timeframe	Transition
<b>C H A P</b>					
TOOL	SITUATION REPORT	FLASH APPEAL	CONSOLIDATED APPEAL	DOCUMENT REVISION	TBD by the UNDG/ECHA WG on Transition
<b>WHAT IS THE PURPOSE?</b>	<ul style="list-style-type: none"> <li>▪ Provide immediate information on the humanitarian situation</li> <li>▪ Attract international attention</li> <li>▪ Support resource mobilisation (financial and in-kind)</li> <li>▪ Provide basis for coordinated international response</li> </ul>	<ul style="list-style-type: none"> <li>▪ Coordinate fundraising between participating agencies for the first 3-6 months</li> <li>▪ Provide more information and analysis on humanitarian situation</li> <li>▪ Structure a coordinated response</li> <li>▪ Attract international attention for the overall needs and funding requirements of a major emergency</li> </ul>	<ul style="list-style-type: none"> <li>▪ Coordinate fundraising between participating agencies for up to 12 months</li> <li>▪ Provide in-depth analysis of humanitarian situation</li> <li>▪ Structure a coordinated response</li> <li>▪ Attract international attention to the needs and funding requirements of a major emergency.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Coordinate fundraising when resource requirements change significantly in the event of a change in the humanitarian situation during the CAP cycle</li> <li>▪ Structure coordinate response to changes in the situation</li> <li>▪ Attract international attention to changes in the humanitarian situation and the new funding requirements CA.</li> </ul>	
<b>WHEN TRIGGERED?</b>	Within 48 hours of any emergency situation (natural disaster or complex/major emergency) which may draw international attention and/or require an int'l response	Within 2-4 weeks of an emergency situation (natural disaster or complex/major emergency) that is likely to be: (a) timebound: not likely to last more than 6 months, or (b) volatile: likely to require new appeal in next 6 mos	Within 3-6 months of an emergency situation (natural disaster or complex/major emergency). At this stage, it is likely that the IASC will appoint a UN HC, if there is not one	As needed, anytime in the timeframe of the document	
<b>WHO TRIGGERS?</b>	UN HC in collaboration (to the extent possible) with: <ul style="list-style-type: none"> <li>▪ IASC Country Team</li> </ul> <p>The government of affected country should be consulted as required.</p>	UN HC, in collaboration with: <ul style="list-style-type: none"> <li>▪ IASC Country Team</li> <li>▪ the ERC and IASC to ensure coherence between the field and headquarters</li> </ul> <p>The government of affected country should be consulted as required.</p>	UN HC, in collaboration with: <ul style="list-style-type: none"> <li>▪ IASC Country Team</li> <li>▪ the ERC and IASC to ensure coherence between the field and headquarters</li> </ul> <p>The government of affected country should be consulted as required.</p>	UN Resident/Humanitarian Coordinator, in consultation with: <ul style="list-style-type: none"> <li>▪ IASC Country Team</li> <li>▪ In the event of a major change in strategy, the ERC and IASC to ensure coherence between the field and headquarters</li> </ul> <p>The government of affected country should be consulted as required</p>	

TIMEFRAME	DAY 1 of Emergency	Week 2-4 of Emergency	Month 3-6 of Emergency	Within the CA/FA Timeframe	Transition
TOOL	SITUATION REPORT	FLASH APPEAL	CONSOLIDATED APPEAL	DOCUMENT REVISION	TBD by the UNDG/ECHA WG on Transition
<b>WHAT IS INCLUDED?</b>	<ul style="list-style-type: none"> <li>▪ Most recent information on the situation and needs</li> <li>▪ Response so far (incl. Govt., UN, NGO, Red Cross Movement)</li> <li>▪ Rough estimate of resources needed to respond (incl. Govt., UN and other IASC members, at their own discretion)</li> <li>▪ Amounts/items pledged</li> </ul>	<p><u>CHAP</u>: all elements to the extent possible given time constraints and available information</p> <p><u>Projects</u>: Outline of overall and sectoral funding requirements, plus specific requirements of participating agencies up to 6 months. Criteria for projects:</p> <ul style="list-style-type: none"> <li>▪ life-saving are priority</li> <li>▪ can be implemented within 3-6 months</li> <li>▪ early recovery possible if implementable within the timeframe</li> </ul>	<p><u>CHAP</u>: all elements</p> <p><u>Projects</u>: Outline of overall and sectoral funding requirements for up to next 12 months plus specific funding requirements of participating agencies. Criteria for projects includes:</p> <ul style="list-style-type: none"> <li>▪ activities to support the goals and objectives outlined in the CHAP</li> </ul>	Any section of the CA, FA (CHAP or projects) can be revised as needed	
<b>WHO PARTICIPATES?</b>	<p>Under the coordination of the UN HC, participation should be as broad as possible, and should, to the extent possible include the IASC Country Team and other key non-IASC humanitarian organisations.</p> <p>The government of affected country should be consulted as required..</p>	<p>Under the coordination of the UN HC, participation in the CHAP should be as broad as possible:</p> <ul style="list-style-type: none"> <li>▪ IASC Country Team</li> <li>▪ Other key non-IASC humanitarian organisations at discretion of IASC Country Team</li> </ul> <p>The government of affected country should be consulted as required</p> <p>Only IASC CT may appeal for funds through the FA</p>	<p>Under the coordination of the UN HC, participation in the CHAP should be as broad as possible:</p> <ul style="list-style-type: none"> <li>▪ IASC Country Team</li> <li>▪ Other key non-IASC humanitarian organisations at discretion of IASC Country Team</li> </ul> <p>The government of affected country should be consulted as required</p> <p>Only IASC CT may appeal for funds through the CA</p>	<p>Under the coordination of the UN HC, participation in the revision of the CHAP should be as broad as possible:</p> <ul style="list-style-type: none"> <li>▪ IASC Country Team</li> <li>▪ Other key non-IASC humanitarian organisations at discretion of IASC Country Team</li> </ul> <p>The government of affected country should be consulted as required</p> <p>Revision to the appeal part of the document only applies to participating IASC CT members</p>	

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## **ANNEX 2: Assumptions of the Proposal**

The IASC SWG on CAP made the following assumptions when preparing this proposal:

1. The decision about which type of planning and appeal tool to use in a given emergency is influenced by political, humanitarian and pragmatic considerations above and beyond the proposed guidelines.
2. Nevertheless, Resident and Humanitarian Coordinators will use these guidelines to guide their discussions with Governments and will strive to adhere to the criteria, as much as possible, to avoid *ad hoc* appeals and strategy documents for humanitarian emergencies.
3. The IASC WG will encourage Resident and Humanitarian Coordinators to use the agreed criteria to guide their decision making regarding the type of planning and appeal tool to use and will strive, as much as possible, to avoid *ad hoc* appeals and strategy documents for complex and major emergencies.
4. The rationale for issuing an *ad hoc* appeal or strategy document in a humanitarian emergency situation will have to be justified to the IASC WG, against the agreed guidelines.
5. These guidelines will be included in the overall IASC Guidelines on the CAP, which are currently being revised.