

Consolidated Appeal Process (CAP) | FAQs

Though the HOP is not a CAP, the process follows same steps

- ▶ **What is a consolidated appeal?** It is the humanitarian system's concerted action plan for large-scale crises that require response by more than one agency. (Despite its name, it is only secondarily about fundraising.) This action plan contains a needs analysis; a strategy (with clear measurable objectives, indicators, and monitoring plan); cluster¹ response plans including detailed operational planning and budgets (i.e. projects). It thus also serves as the basis for monitoring and accountability – whether the humanitarian system has done what it said it would do, and whether this has had the necessary effect.
- ▶ **What is a humanitarian strategy, its added value and its purpose?** The IASC Principals want CAPs to be “more strategic,” so these guidelines will define what “strategic” means for CAPs. A strategy presents an overall humanitarian goal or vision, then states how that will be achieved, considering resources and constraints. It aims to make the actions of the many organizations on the ground *greater than the sum of their parts*; to make the *best use of limited resources*; and to seize opportunities to *move towards a long-term resolution and recovery*. It makes decisions about the dilemmas that confront any large-scale humanitarian response. It maps and prioritizes needs; it matches capacity with needs to ensure full coverage; it aims for effectiveness (filling gaps) and efficiency (eliminating duplication and use of resources on low priorities); it capitalizes on comparative advantages; it seizes opportunities for synergy, reducing aid dependence, avoiding the deepening or relapse of a crisis, and attacking inter-related problems; it anticipates future needs and opportunities, and positions the humanitarian country team to respond to or pre-empt future problems. This strategy is the essence of the CAP.
- ▶ **A CAP should present the needs clearly and analytically**, not just listing sector-specific needs. The CAP's needs analysis should reflect on inter-actions among needs, and their root causes. It must cite the evidence for any claimed needs, as well as risks and implications if these are not met, and thus define the most urgent, priority needs for humanitarian response.
- ▶ **A CAP must state clearly the boundaries of humanitarian need and response.** Most CAPs take place in situations of generalized vulnerability and impaired social services. Aid organizations can't cover all the needs, so the Humanitarian Coordinator (HC) and the Humanitarian Country Team (HCT) should draw the boundaries strategically of what needs the concerted action plan will cover. These boundaries can be geographic, demographic, derived from clusters, temporal, or based on finer measurements of vulnerability – whatever combination serves best in your context to draw the line between what objectives the HCT must achieve and what is secondary. This also allows you to state the number of target beneficiaries.
- ▶ **In developing cluster response plans, mapping of needs, cluster objectives, and division of labour are developed first; projects are developed last.** A cluster response plan consists of a presentation and analysis of needs, cluster objectives, monitoring plan, and division of labour (for coverage of needs) in the form of “projects.” Projects should thus be a reflection of each cluster member's part in the cluster plan. Amassing project proposals first, and then deriving objectives and cluster strategy from projects, is not a valid method for developing cluster response plans.

¹ In this document, for brevity, the term “cluster” is used to cover all sectoral humanitarian working groups. These have the same role in the CAP whether or not the cluster system has been formally invoked in a country or whether that country uses the term “cluster.”

- ▶ **NOT APPLICABLE FOR HOP PPROJECTIZATION:** All organizations proposing projects in the CAP should upload their draft projects onto the Online Projects System (OPS). OPS is a web-based database accessible to registered users (any organization participating in a CAP can register) on which draft CAP projects are peer-reviewed, tabulated, and (after approval) electronically published. The uploaded projects should specify every location in which they will operate, using OPS' new enhanced geographical feature. After final review by the HC and agency HQs, the projects are published electronically on the Financial Tracking Service (FTS) website. A compendium of projects can be downloaded in printable PDF format via the OPS page or via the print-on-demand function on the country's FTS page.
- ▶ Cluster members peer-review the projects by viewing them on OPS, comparing them to the cluster's agreed division of labour for covering the map needs. They select those that correspond to the agreed division of labour, are feasible for the proposing organization, and are reasonably budgeted, to be included in the CAPs. They prioritize them, and apply the gender marker code.
- ▶ **CAP projects can be revised anytime** (and should be revised as the situation evolves and the division of labour shifts). The OPS makes it easy to do so and to re-publish the revised versions electronically. The projects published in the November CAP document are understood as a snapshot which is likely to change. If a cluster makes no revisions to any of its projects between CAP publication and the CAP mid-year review, they are probably failing to update their projects to keep up with reality.