

# GUIDANCE NOTE (Updated 1 September)

## SOMALIA CAP 2009

### 1. INTRODUCTION

This note is designed to guide stakeholders through the completion of the Somalia 2009 Consolidated Appeal Process (CAP), framework and timeline. Step by step direction on how strategic elements of the document will be elaborated and on how to complete Cluster Response Plans and Project Sheets has been included. The note is based on suggestions and issues raised during the CAP consultation process to date. The timeline with the various phases and their deadlines as well as other CAP 2009 Guidance Materials, templates and other important information related to CAP 2009 can be found on the Somalia CAP 2009 webpage outlined below:

<http://ochaonline.un.org/somalia/AppealsFunding/CAP2009/tabid/4794/Default.aspx>

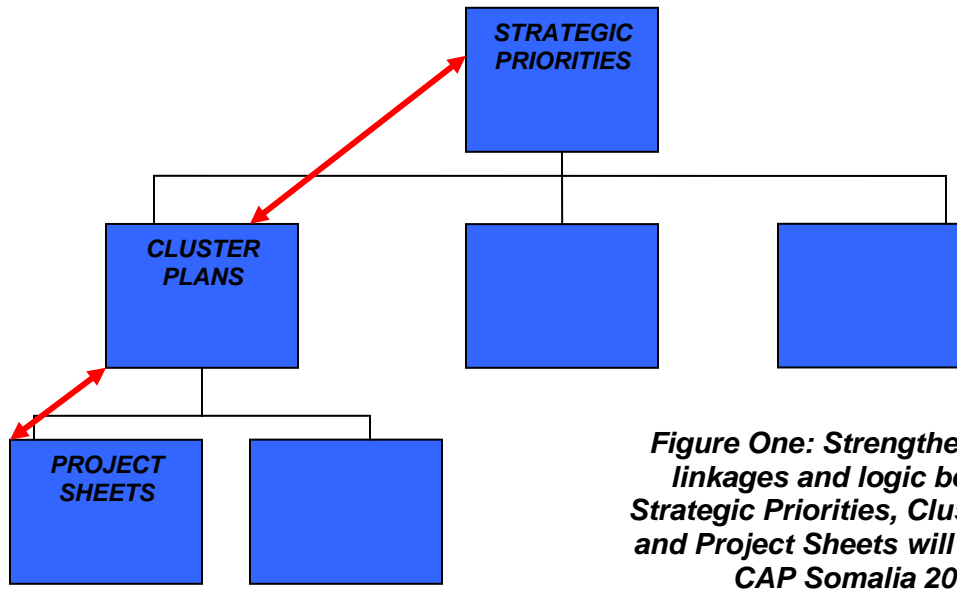
#### **PURPOSE OF THE CAP**

The CAP document is the key humanitarian planning, coordination, monitoring and fundraising framework for humanitarian action in Somalia in 2009. The CAP 2009 document will be based on the discussion and decisions of stakeholders during the Somaliland, Puntland, South/Central and Nairobi workshops, including consultations with the IASC, UNCT and NGO forum. Such consultation provides the opportunity for stakeholders to play a part in formulating humanitarian strategy and outlining proposed humanitarian interventions in the country in 2009. The information produced during consultations will form the backbone of the Common Humanitarian Action Plan (CHAP) in the CAP and will assist in setting overall and cluster priorities for 2009.

The Somalia CAP as a tool, will function to:

- Plan – Integrated strategic and operational plans for humanitarian activities in 2009
- Coordinate – Coordination framework translated into zonal and cluster structures, with clearly defined responsibilities
- Fund Raise – Appeal for funding against clearly defined requirements based on priorities and strategies by cluster, organisation and project
- Monitor – Monitor against clearly defined indicator

In 2009 the CAP process will try to strengthen the linkages/logic between strategic priorities, Cluster Response Plans and Project Sheets, as well as strengthen the strategic analysis and actual response plans, to ensure the most effective and responsive humanitarian response in 2009.



**Figure One: Strengthening the linkages and logic between Strategic Priorities, Cluster Plans and Project Sheets will be key to CAP Somalia 2009**

### **CAP PARTICIPATION**

UN Agencies, International and National NGOs, Red Cross/Red Crescent and other international organizations are all invited and encouraged to participate in the CAP 2009 if they have participated in sector/cluster/HRF coordination activities in Somalia (and Nairobi) during 2008.

It is envisaged that comprehensive participation in the CAP Somalia 2009 will provide an improved understanding of external aid flows to Somalia - and a more integrated humanitarian planning exercise. All participating organizations are encouraged to submit their full humanitarian programming through the CAP 2009 process.

### **CLUSTERS AND CROSS-CUTTING THEMES IN CAP 2009**

The nine clusters for CAP 2009 are i)Water and Sanitation, ii)Food, iii)Agriculture and Livelihoods, iv)Health, v)Nutrition, vi)Education, vii)Protection, viii)Shelter and ix)Logistics. See CAP 2009 website (address on page 1) for Cluster Contacts. The three cross-cutting themes are Gender, HIV/AIDS and Capacity Building.

Other 'Service Areas' such as coordination and security will come under an overall umbrella entitled Enabling Programming.

### **INTEGRATING EARLY RECOVERY IN CAP 2009**

During consultations on the process, it was agreed that there was a need to integrate early recovery into CAP programme planning where there were opportunities. Early Recovery should be in the CAP 2009 and by early September a Guidance Note will be issued jointly by the RC's office in conjunction with OCHA Somalia on integration which will be placed on the CAP 2009 webpage.

## CAP FOCAL POINTS

**Cluster Leaders** are responsible for mobilizing and coordinating the input from the regions and zones on cluster objectives, activities, indicators and the monitoring strategy. Cluster Leaders will maintain close contact with cluster participants to support the development of plans and project sheets. Cluster Leaders are responsible for ensuring that agency projects contribute to Cluster Response Plans and identify and address any gaps in the Cluster. Where they differ, Cluster Leaders are responsible for discussing planning with Sector Leaders to ensure coherence when possible. OCHA staff will support Clusters throughout the CAP process.

**Table One : Cluster Leaders and OCHA Cluster Support**

Cluster	Cluster Leader	E-mail + Phone	OCHA Support staff	E-mail + Phone
WASH	Eric Toft	<a href="mailto:etoft@unicef.org">etoft@unicef.org</a> 762 3950	Ivana Unluova	0734 799 536 <a href="mailto:unluova@un.org">unluova@un.org</a>
WASH C Chair	Medard Hakizamungu	<a href="mailto:mhakizamungu@oxfam.org.uk">mhakizamungu@oxfam.org.uk</a>		
Food	Keith Ursel	<a href="mailto:Keith.ursel@wfp.org">Keith.ursel@wfp.org</a> 720 2411	Achoka Luduba	0721 218 816 <a href="mailto:luduba@un.org">luduba@un.org</a>
Food Co Chair	Justice Liku	<a href="mailto:liku@ci.or.ke">liku@ci.or.ke</a> 27 18 405 /7		
Agriculture and Livelihoods	Andrew Herberd	<a href="mailto:Andrew.harberd@fao.org">Andrew.harberd@fao.org</a> 375 0833/6	Bediako Buahene	0735 949 593 <a href="mailto:buahene@un.org">buahene@un.org</a>
A and L Co Chair	Abdiwahab Mohamed	<a href="mailto:abdiwahab@asep.or.ke">abdiwahab@asep.or.ke</a> 46 52 088		
Health	N Paranietharan	<a href="mailto:paranien@nb.emro.who.int">paranien@nb.emro.who.int</a> 76 22 840 ext 66754	Alex Williams	0733 801 886 <a href="mailto:Williams49@un.org">Williams49@un.org</a>
Health Co Chair	Inwani Malweyi	<a href="mailto:Somali.chd@merlin-eastafrika.org">Somali.chd@merlin-eastafrika.org</a> 0720 652 395		
Nutrition	James Kingori	<a href="mailto:jkingori@unicef.org">jkingori@unicef.org</a> 762 3950 ext 302	Lisa Peterson	<a href="mailto:Peterson1@un.org">Peterson1@un.org</a> 0733 800 125
Nutrition Co Chair	Grainne Moloney	<a href="mailto:Grainne.moloney@fsau.or.ke">Grainne.moloney@fsau.or.ke</a> 374 5734		
Education	Maulid Warfa	<a href="mailto:mwarfa@unicef.org">mwarfa@unicef.org</a> 720 62 3953	Alexina Rusere	<a href="mailto:mugweberusere@un.org">mugweberusere@un.org</a> 0734 071 474
Education Co Chair	Charlotte Beyer	<a href="mailto:cbe@redbarnet.dk">cbe@redbarnet.dk</a>		
Protection	Fatima Mohammed	<a href="mailto:mohammef@unhcr.org">mohammef@unhcr.org</a> 4222000	Reena Ghelani	<a href="mailto:ghelani@un.org">ghelani@un.org</a> 0734 310 103

Co Protection Chair	Reena Ghelani	<a href="mailto:ghelani@un.org">ghelani@un.org</a>		
Logistics	Francesco Cornoro Nicolo	Logistics Officer 7202000	Bediako/Reena	0735 949 593 <a href="mailto:buahene@un.org">buahene@un.org</a> <a href="mailto:ghelani@un.org">ghelani@un.org</a> 0734 310 103
Co Chair/Alternate	Matthew Dee	<a href="mailto:Matthew.dee@wfp.org">Matthew.dee@wfp.org</a> 7202000		
Shelter	Whycliffe Songwa	<a href="mailto:songwa@unhcr.org">songwa@unhcr.org</a> 4222000	Angela Valenza	<a href="mailto:valenza@un.org">valenza@un.org</a> 0726 482 184
Co Chair Shelter	Rene Dierks	<a href="mailto:Rene.dierks@unhabitat.org">Rene.dierks@unhabitat.org</a> 762 50 30		

**Cross-Cutting Theme (CCT)** Focal Points are responsible for working closely with Cluster Leaders to assist in integrating Gender, HIV/AIDS and Capacity Building into the Cluster Response Plans and Project Sheets. CCT Focal Points assist Clusters to monitor progress and to review Project Sheets with a view to support the integration of CCTs into projects. OCHA will provide dedicated support to the CCT Focal points.

Table Two : Cross Cutting Theme Leads and OCHA Focal Point

CCT	CCT Focal Point	E-mail + Phone	OCHA Support staff	E-mail + Phone
Gender	Charity Buga	<a href="mailto:Buga.charity@undp.org">Buga.charity@undp.org</a> 762 5624	Alexina Rusere	<a href="mailto:mugwebirusere@un.org">mugwebirusere@un.org</a> 0734 07 1474
HIV/AIDS	Tekleab Kedamo	<a href="mailto:Tekleab.kedamo@undp.org">Tekleab.kedamo@undp.org</a> 0725 969980	Angela Valenza	<a href="mailto:valenza@un.org">valenza@un.org</a> 0726 482 184
Capacity Building	Mario Samaja Abdullah Al alaham	<a href="mailto:Mario.samaja@undp.org">Mario.samaja@undp.org</a> <a href="mailto:Abdallah.al-laham@undp.org">Abdallah.al-laham@undp.org</a> 418 3640/2/4	Alex Williams	<a href="mailto:Williams49@un.org">Williams49@un.org</a> 0733 801 886

**CAP Team Leader:** Alexandra Williams is the Somalia CAP 2009 Team Leader and can be contacted by e-mail at [Williams49@un.org](mailto:Williams49@un.org) or via cell phone 0733 801 886

### CAP AND HRF

Discussions are ongoing as to how the HRF can be most strategically used to ensure the maximum amount of funding is obtained to fill critical gaps in humanitarian programming, for example, as can currently be seen in the Nutrition Cluster. In CAP 2009 strengthened Cluster Response Plans and Project Sheets could allow certain projects within the CAP to access HRF funds, without a lengthy process.

### CAP LINKAGES TO UN TRANSITION PLAN (UNTP) AND JOINT OPERATING PRINCIPLES (JOP)

Discussions on linkages between the CAP and UNTP continue. In due course a guidance note will be produced clarifying how linkages should be made. Where clusters are unable to agree on 'grey area projects' that could fall within the CAP or the UNTP, the Humanitarian

Coordinator will make the final decision. In the meantime Cluster Leaders are encouraged to stay in touch with the UNTP sector outcome lead for coordination purposes.

The JOP will be phased into the CAP 2009 process. The Protection Cluster will provide guidance on how this will be achieved.

## **2. CAP 2009 DOCUMENT**

The CAP 2009 document will reflect the following sections:

- (i) Executive Summary
- (ii) 2008 in Review and Lessons Learned (including achievements and challenges)
- (iii) The CHAP
  - 2009 best/ worst/ most likely scenarios
  - Humanitarian Context
  - Strategic priorities (Objectives)
- (iv) Cluster Response Plans + Monitoring Strategy
- (v) Project Sheets

### ***(i) Executive Summary***

Key messages in the Executive Summary are likely to include: The origin and evolution of the crisis; the main Humanitarian consequences in terms of needs and risks, and their effect on different groups; the priority humanitarian actions during 2009; the total amount of funding required.

### ***(ii) 2008 in Review***

Key questions to answer for the 2008 Review are:

1. What were the overarching goals/priorities in the 2008 Common Humanitarian Action Plan (CHAP)?
2. What has been the cumulative result of pursuing 2008 CHAP goals/ priorities?
3. Why has the IASC country team achieved or not achieved its goals/ priorities?

### **Lessons Learned**

Lessons Learned should be based on what was achieved or not achieved during the previous appeal period and what lessons will be taken into account in the CHAP for 2009.

### ***(iii) The CHAP***

This section will primarily be drafted through input from the various workshops and consultations with key stakeholders. As with the entire CAP 2009, drafts will be shared with all stakeholders.

### ***The 2009 Scenarios***

Working groups will develop best, worst and most likely scenarios based on available information and analysis of how the crisis may evolve. It is expected that humanitarian planning for 2009 will eventually be based on the 'most likely' scenario. When drawing up scenarios key issues to bear in mind include:

- core assumptions
- potential triggers for future events
- who would be affected and how
- how this would impact humanitarian needs and responses

### ***The Context***

This section will form the background and situation analysis for 2009. Key questions to answer are:

- The most important factors causing or compounding the humanitarian impact of the crisis?
- The factors, if any, are contributing to a lack of protection or abuse of human rights?
- What the demography of the country is, and what are the most vulnerable groups?
- What inequalities could put certain groups at additional risk?
- What the national capacity (government and civil society) and willingness to respond to the crisis is?

### ***The Strategic Priorities***

Key questions to answer are:

1. What are the agreed priority needs for protection and humanitarian assistance in this crisis and why?
2. How are the priority needs related to one another?
3. What factors are placing additional risk on people? What risk?
4. Recognizing that needs and risks may differ across demographic groups (e.g. women, the elderly, IDPs, children), what are the specific needs and risks of such groups in this particular context?

For reference the three strategic priorities for 2008 were:

- Save lives and provide assistance to 1.5 million people identified as being in state of Humanitarian Emergency or Acute Food and Livelihood Crisis or as internally displaced, including an estimated 400,000 protracted IDPs and approximately 450,000 newly displaced
- Improve the protection of, and respect for, the human rights and dignity of vulnerable populations – with a special focus on IDPs, women, children, victims of trafficking and marginalized groups – through effective advocacy and application of a rights based approach across all sectors
- Strengthen local capacity for delivery of basic social services and for disaster preparedness and response.

(iv) **Cluster Response Plans and Monitoring Strategy (see section below)**

(v) **Project Sheets (see section below)**

## **3. FOUR STEPS INVOLVED IN THE CAP 2009 CONSULTATION PROCESS**

### **(STEP I) CONSULTATIONS ON THE PROCESS**

CAP consultations on the 2009 process took place in early August with the UNCT, the IASC, Clusters and NGOs. **Donor Consultation** is scheduled to take place during the IASC Donor meeting in early September and during the Nairobi workshop. Focus will be on outlining the process and progress to date and taking on board donor views. The draft CHAP and Cluster Response Plans will be circulated to donors for comments.

### **(STEP II) WORKSHOPS**

CAP field and Nairobi workshops are planned to present the process, discuss issues and begin drafting the CHAP and Cluster Response Plans. Cluster Leaders and co-chairs to attend as many field consultations as possible.

### **(STEP III) DEVELOP CLUSTER RESPONSE PLANS (CLUSTER LEADS)**

Production and consolidation of Specific, Measurable, Achievable Responsive and Targeted (SMART). Cluster Response Plans will be led by the Cluster Leaders. An example of the Cluster Response Plan Template can be found on the CAP 2009 webpage (see page 1). Cluster Response Plans should be based on inputs from stakeholders at the field level and should include. Cluster Leaders should work with the cross-cutting focal points to ensure that cross-cutting themes are included in the response plan and so that project sheets are drawn up taking into account HIV/AIDS, Gender and Capacity Building.

(i) The Cluster Narrative is a half a page narrative outlining the projected situation for the cluster in 2009 with strategies for addressing the issues faced with appropriate responses. The cluster situation should be derived from the overall strategic priorities, should be based on the most likely planning scenario and should use baseline information (if available).

(ii) The Monitoring Strategy section should be at least a paragraph explaining how the cluster plans to monitor the cluster response (or not) for example through meetings/assessments/surveys/field visits, etc.

(iii) Cluster objectives, activities and indicators should consist of:

- Three key objectives that partners within the cluster feel are realistically achievable within the one-year time frame. Objectives should be based on overall strategic priorities and field input.
- Activities that are necessary if objectives are to be met. Where necessary/practicable, CCT activities should be incorporated into the activities section.
- Indicators that measure the objective

### **(STEP IV) DEVELOP PROJECT SHEETS (AGENCIES)**

Project sheets are developed by agencies/organizations based on the Cluster Response Plans. Project sheets should be linked to at least one objective within the Cluster Response Plan. The Project Sheets should include clear outcomes, activities and beneficiaries and should take into account cross-cutting themes where possible.

In terms of assisting agencies to include projects in the CAP document, Cluster Leaders should take into account the following:

- How project budget compares against planned activities and possibly the previous year's budget

- Cost per beneficiary
- Measurable outcome
- Whether project supports strategic cluster outcomes
- Whether project incorporates do no harm principles
- Whether project includes CCTs
- If project is based on a needs assessment