

Briefing

# UN CAP appeal 2013

14 December 2012



Global Humanitarian  
Assistance

A DEVELOPMENT INITIATIVE 

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*The UN consolidated appeals process (CAP) 2013, presented to the donor community on 14 December 2012, includes humanitarian action plans and corresponding funding requirements to meet the needs of 51 million people across 16 major global crises.*

*The 2013 CAP includes a major advance in the quest for more predictable financing for chronic crises in the Somalia consolidated appeal, which presents a three-year planning horizon. This important test-case represents an historic opportunity for both donors and implementing organisations to demonstrate their commitment and ability to build resilience within a more enabling funding environment.*

*How the international donor community responds to the funding requirements articulated in the 2013 CAP overall remains to be seen of course. If the donor response to the 2012 CAP is any indication, 2013 could be another tough year for humanitarian implementing agencies.*

*This briefing places the financing requirements and assessment of humanitarian needs in the 2013 appeal in context with other historic UN CAP appeals.*

**2013 requirements are within the five-year norm** CAP appeal requirements experienced significant growth in recent years, increasing by 27% in 2008 and again by 42% in 2009. Since 2009, requirements issued at the beginning of the annual planning cycle have remained within a range of around US\$8-US\$8.5 billion.

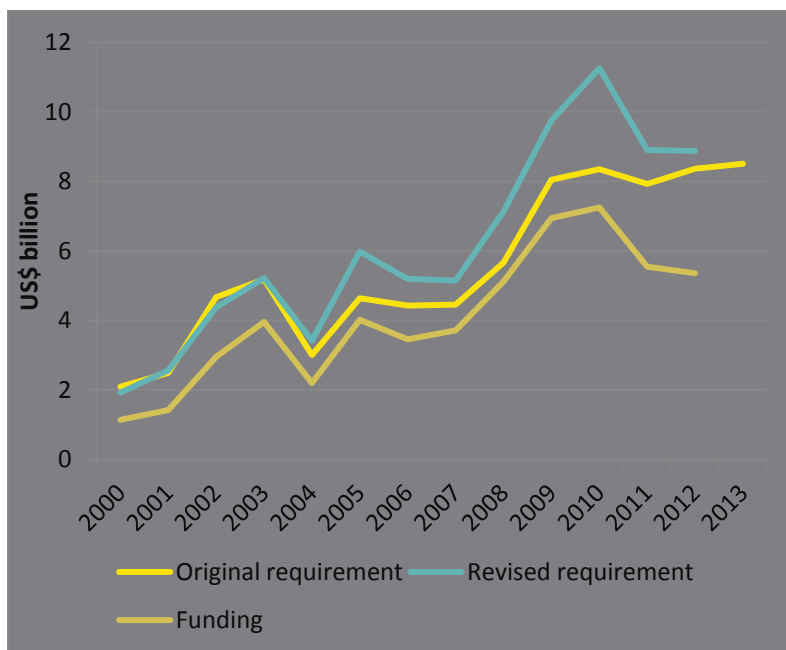
**Figure 1: UN CAP appeal requirements and funding, 2007-2013**

US\$ billion	2007	2008	2009	2010	2011	2012	2013
Original requirements	4.5	5.7	8.0	8.3	7.9	8.4	8.5
Revised requirements	5.1	7.1	9.8	11.3	8.9	8.9	
Funding	3.7	5.1	6.9	7.3	5.5	5.4	

Source: UN OCHA Financial Tracking Service (FTS). Note that funding for 2012 is based on contributions reported to the FTS at 13 December 2012 and therefore is not based on a full calendar year.

We do not know of course what unforeseen crises might occur or escalate next year. Requirements were substantially revised upwards in 2010 in response to major natural disasters in Haiti and Pakistan. But with the best available information, gathered through inclusive planning processes and needs assessments in 16 of the world’s largest humanitarian crises, humanitarian funding requirements for 2013 are consistent with requirements across the last five years, despite changes in the number, location and nature of crises.

**Figure 2: UN CAP appeal requirements and funding, 2000-2013**



Source: UN OCHA FTS

**What is the CAP?** Coordinated by the United Nations, the consolidated appeals process (CAP) is undertaken in a country or region to raise funds for humanitarian action as well as to plan, implement and monitor activities. Two different kinds of appeal are generated by the CAP: consolidated appeals and flash appeals.

Consolidated appeals include projected activities for the following year, often in conflict and post-conflict situations where needs are relatively predictable. These country and regional consolidated appeals are amalgamated by the UN, with the launch of the humanitarian appeal each December.

Flash appeals are a rapid strategic and fundraising tool based on immediately identified needs, and may be issued following sudden-onset disasters such as earthquakes or cyclones. Flash appeals are added to the overall UN humanitarian appeal as new crises occur.

The funding requirements of the entire UN CAP appeal– including both consolidated and flash appeals – are revised and updated at the mid-year point.

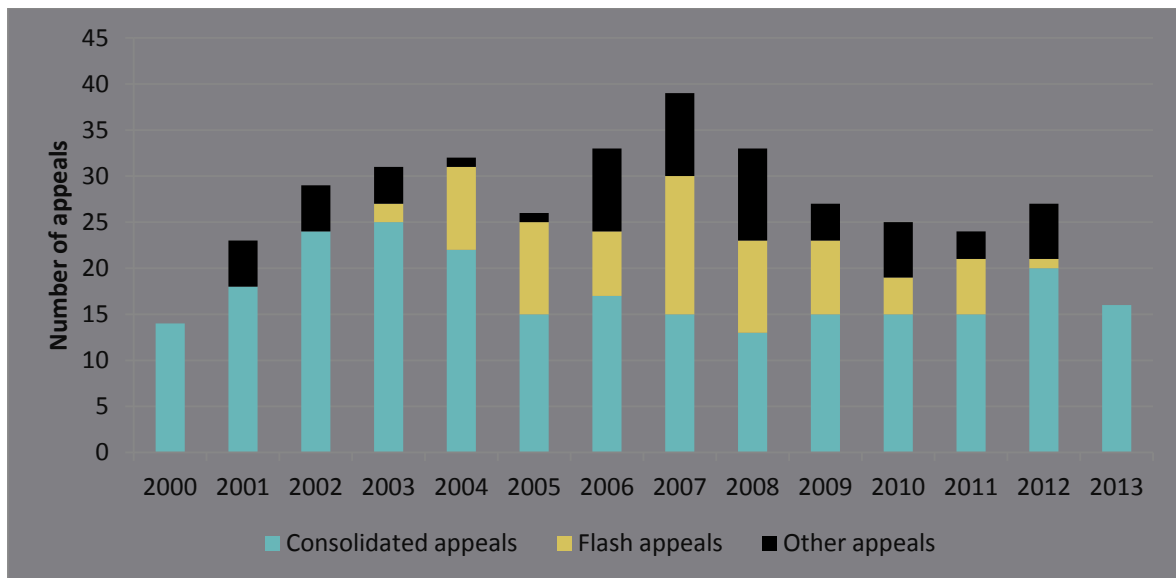
The UN also coordinates appeals outside of the UN CAP for countries and crises whose fundraising needs are considered to be of a lower priority, or where the government of the crisis-affected state elects for an appeal not to be included in the UN CAP.

**The 2013 appeal is currently more limited in scope than 2012** There are 16 consolidated appeals in 2013, which is consistent with the ten-year average (between 2003 and 2012) of 17 consolidated appeals per year. Yet, while funding requirements are very similar, there are four fewer consolidated appeals in the UN CAP appeal in 2013 than in 2012.

It is also worth noting that 2012 not only had an above average number of consolidated appeals, it also had six humanitarian appeals and action plans outside of the CAP process – including the Syria Humanitarian Assistance Response Plan – compared with just three in 2011. We do not yet have visibility of the number of ‘other appeals’ which are likely to take place in 2013, but in 2012, UN appeals both inside and outside the CAP process addressed a larger number of crises than each of the preceding three years.

The reduction in the number of consolidated appeals in 2013 indicates an improvement in the humanitarian conditions in certain crises. Côte d’Ivoire, Djibouti, Haiti, Lesotho<sup>1</sup> and Liberia which all had funding appeals in 2012, have not participated in the 2013 appeal. Most notable perhaps is Haiti, which represented such a huge proportion of the total humanitarian funding requirements in 2010 (US\$1.5 billion or 13%), and which now is progressing into post-crisis recovery and is no longer part of the CAP process in 2013.

**Figure 3: Number of consolidated, flash and ‘other’ appeals, 2000-2013**

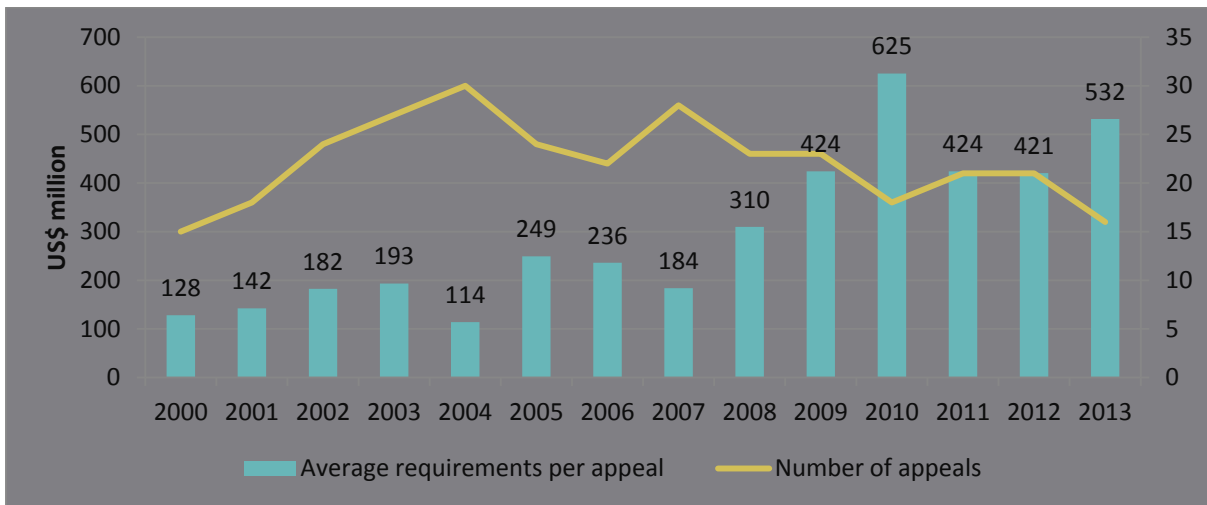


Source: UN OCHA FTS

**Average requirements per appeal have increased** The huge flash appeals for Haiti and Pakistan in 2010 inflated the average appeal size in 2010. But the average appeal size in 2009, 2011 and 2012 were remarkably consistent. While consistent in terms of its overall funding requirements, as a consequence of the smaller number of crisis appeals within the CAP, average requirements per appeal in 2013 are considerably larger than in preceding comparable years.

<sup>1</sup> Lesotho was a flash rather than consolidated appeal

**Figure 4: Average funding requirements per CAP appeal, 2000-2013**



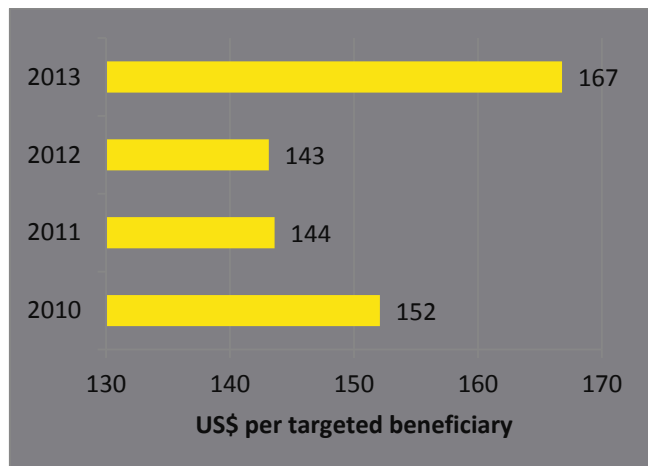
Source: UN OCHA FTS. Note that funding requirements for 2013 are based on those stated at the time of the appeal launch. All other years are based on the latest revisions.

**Fewer people are targeted for assistance** As well as addressing fewer crises the 2013 CAP targets fewer crisis-affected people than other recent appeals.

Correspondingly, the theoretical cost-per-beneficiary is higher, at US\$167 in 2013, than each of the preceding three years for which we have figures for the numbers of people targeted in the CAP.

**Figure 5: Requirements and numbers of people targeted for assistance in UN CAP appeals, 2010-2013**

	Requirements (US\$ billion)	Target beneficiaries (million)
2010	11.3	74
2011	8.9	62
2012	8.9	62
2013	8.5	51

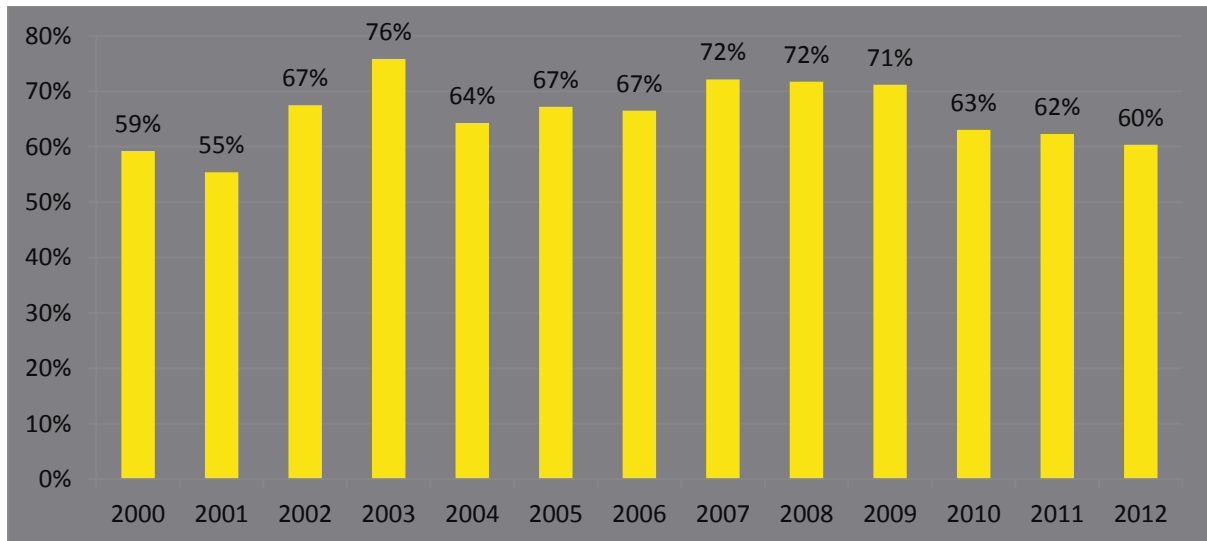


Source: UN OCHA FTS and UN CAP appeal documents. Note that target beneficiary figures and funding requirements for 2013 are based on those stated at the time of the appeal launch. All other years are based on the latest revisions.

**Funding the appeal is becoming more difficult** The level of funding requirements which are met within the UN CAP appeal has been on a downward trajectory since 2007.

The funding gap against requirements was 12% wider in 2012 than five years earlier in 2008 and is at its widest since the humanitarian reform process – with its objective to ensure ‘adequate, timely and flexible humanitarian financing’ – began in 2005.

**Figure 6: Proportion of funding requirements met within UN CAP appeals, 2000-2012**



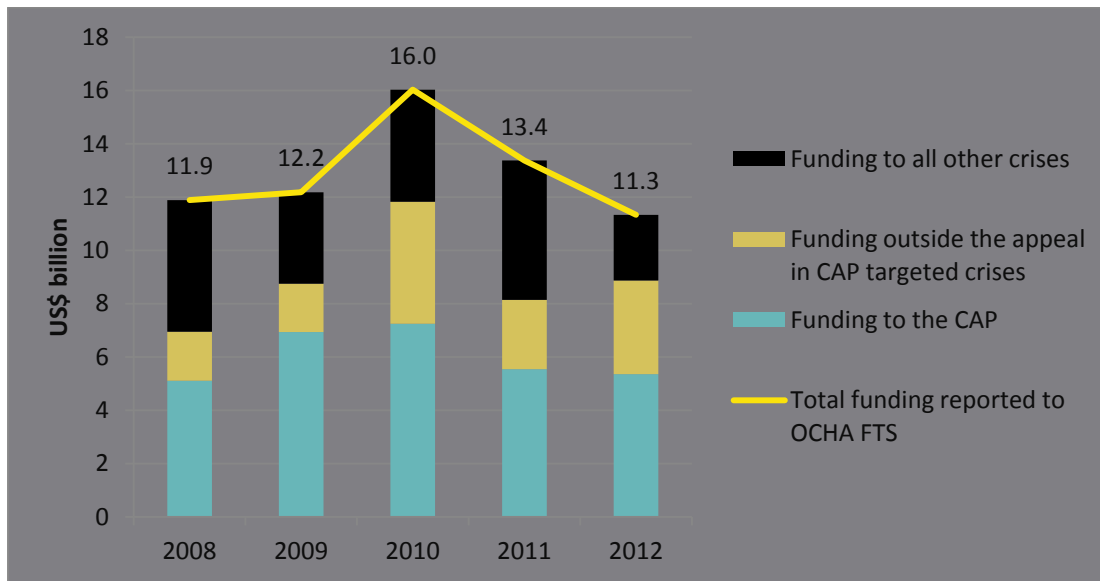
Source: UN OCHA FTS. Note that funding for 2012 is based on contributions reported to the FTS at 13 December 2012 and therefore is not based on a full calendar year and will be subject to further revisions.

**Large volumes of funds continue to flow outside of the CAP** The overall volumes of funding within the CAP declined in 2011 and 2012 and overall levels of humanitarian funding reported to UN OCHA FTS also fell from a historic high in 2010. The proportion of the total humanitarian funding flowing within the UN CAP meanwhile increased by 6% in 2012, to reach 47% of the total.

But there is a more complex picture, which requires considerable additional research to unpick. In 2012, a far larger volume of ‘non-CAP’ funding flowed to countries in which a CAP appeal did in fact exist. We do not know why donors elected to fund projects outside of the CAP in crises where an appeal was in place, but this anomaly warrants further analysis to understand which donors were funding which organisations and activities outside of the CAP process in CAP priority countries, and what might be driving this.

Moreover, the funding available for crises which are not targeted by a UN CAP appeal fell by US\$2.8 billion in 2012. Without comparable evidence to confirm a corresponding reduction in needs in these non-CAP crises, this development also gives cause for concern about a potential reduction in funding to less high-profile crises, and warrants further investigation.

Figure 7: Funding reported to OCHA FTS inside and outside of the CAP, 2008-2012



Source: UN OCHA FTS. Note that funding for 2012 is based on contributions reported to the FTS at 13 December 2012 and therefore is not based on a full calendar year and will be subject to further revisions.

*There are notable losers within the downward CAP funding trend* There are always considerable variations between the best and worst funded appeals and 2012 was no exception.

Figure 8: Best and worst funded CAP appeals, 2000-2012

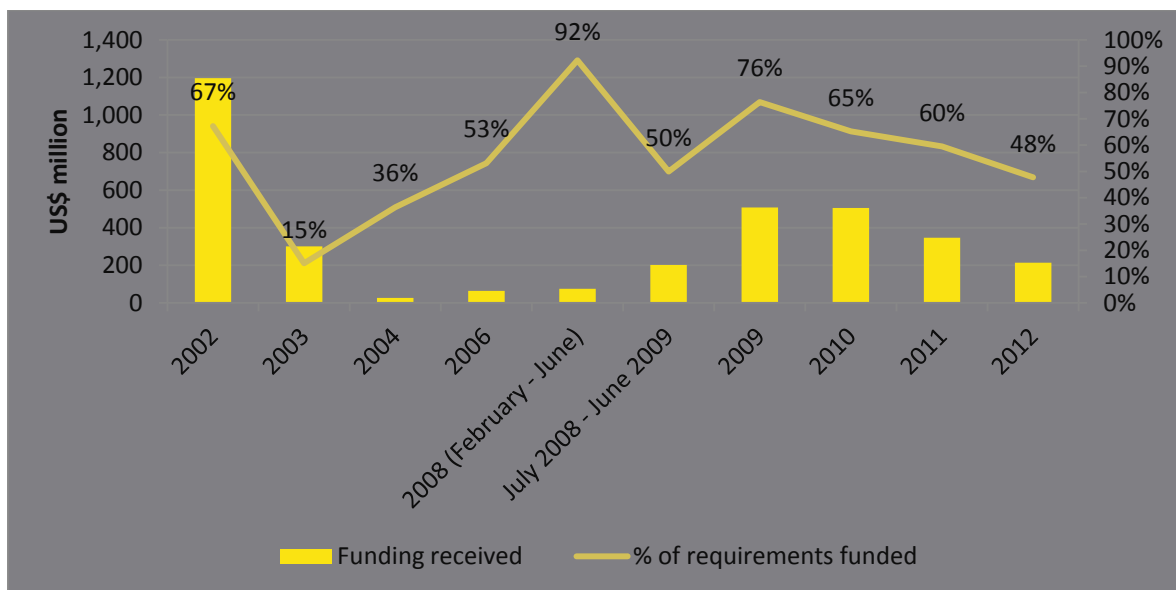


Source: UN OCHA FTS. Note that funding for 2012 is based on contributions reported to the FTS at 13 December 2012 and therefore is not based on a full calendar year and will be subject to further revisions.

But amidst the overall downward trend, which many consolidated appeals have experienced across the last five years, there were some notable and surprising 'losers'. Afghanistan in particular struggled to secure funding in 2012.

Overall funding levels to Afghanistan increased considerably from 2008 and Afghanistan has participated regularly in the CAP since 2009, but the level of funding needs met has been falling each year since 2009 to a low of 48% in 2012. With donor funding to Afghanistan expected to fall as ISAF member governments withdraw their troops and no indications of improving humanitarian conditions, the potential for a non-reversal of this downward trend in humanitarian funding to Afghanistan in 2013 is of concern.

**Figure 9: Funding received within UN CAP and other appeals for Afghanistan, 2002-2012**

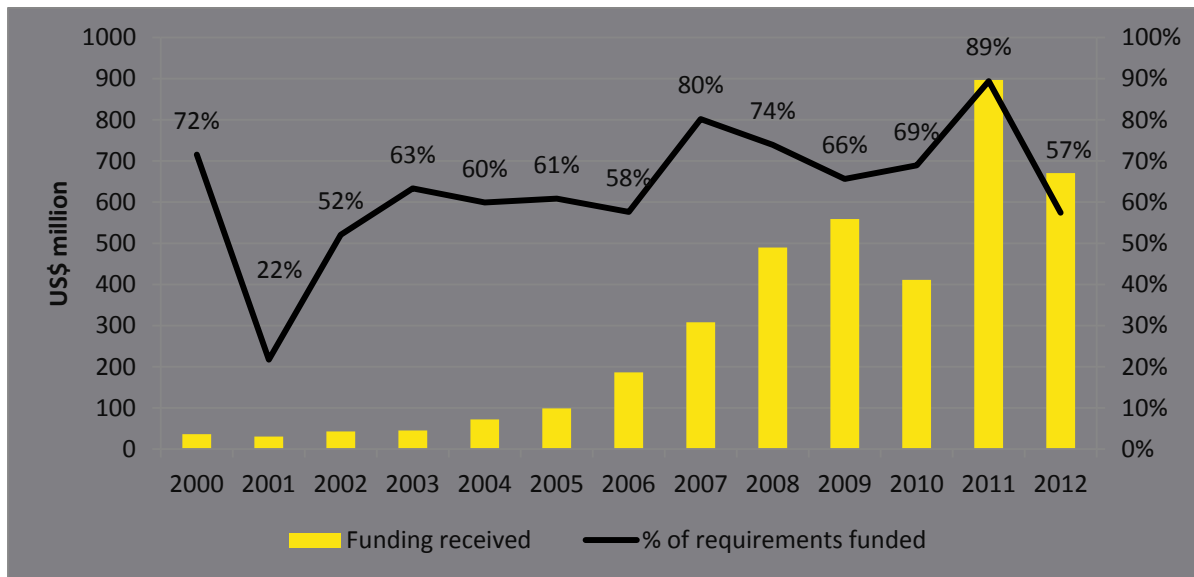


**Source: UN OCHA FTS. Note that funding for 2012 is based on contributions reported to the FTS at 13 December 2012 and therefore is not based on a full calendar year and will be subject to further revisions.**

The donor response to the new three-year consolidated appeal for Somalia will be a fundamentally important test-case of donor commitment to put their money behind their policy commitments to support flexible financing in chronic crises and build resilience to shocks. The donor response to funding requirements in the 2012 appeal is not encouraging however.

The consolidated appeal for Somalia was notoriously poorly funded in the first half of 2011, but ended the year as the best funded appeal in the CAP. The consolidated appeal for Somalia in 2012 meanwhile is closing the year with a huge funding gap.

Figure 10: Funding received within UN CAP appeals for Somalia, 2002-2012



Source: UN OCHA FTS. Note that funding for 2012 is based on contributions reported to the FTS at 13 December 2012 and therefore is not based on a full calendar year and will be subject to further revisions.

The innovation of three-year appeal for Somalia, and its promise of opportunities to build resilience to a seemingly intractable crisis, ought to provide some stimulus to donors to renew their commitment to Somalia, and warrants close attention.