Caritas Internationalis Toolkit Manual

How to use the Caritas Internationalis Toolkit for Emergency Response

Version 2, June 2016

Caritas Internationalis

ENTER

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Introduction

The purpose of this manual is to provide simple, practical guidance on how to use the CI Toolkit for Emergency Response. The Toolkit includes resources and formats for emergency preparedness and response: organisational preparedness, needs assessment, situation reports (Sitreps), proposal templates, reporting, evaluation and audit. This manual is designed to help the national Caritas, CI MOs, the CI supporting mechanism, regions and General Secretariat to effectively use these tools. It can be used at the time of an emergency, but preferably it should also be used before an emergency, to support the organisational preparedness for a response.

The manual sets out the steps that should be followed to prepare for and respond to an emergency: how to communicate with the General Secretariat, decide whether and how to respond, decide whether and how to develop an appeal, and how to report on and close the programme. Links are provided at each step to the relevant resource and the Toolkit category under which they are listed online.

The Rapid Response Appeal, Emergency Appeal and Protracted Crisis Appeal are CI mechanisms which aim to secure the necessary funding for implementation, monitoring and reporting on emergency response programmes to international standards. They are launched by CI at the request of and on behalf of the national Caritas in the disaster-affected country. Many of the CI tools in this Manual are tools for an appeal, but appeals are not the only way in which CI can support an emergency response. Chapter 1, What to do before an emergency occurs, explains the CI coordination and support mechanisms available and how they are activated.

This is not a handbook: it assumes management systems are in place and that there is previous experience of designing, implementing, monitoring and evaluating programmes. The manual should be used in conjunction with the CI Emergency Guidelines which set out the values, principles and support mechanisms for emergency response, and in conjunction with the CI Management Standards.

All necessary resources are available either on external web sites or on the Caritas Baobab, the internal digital communications platform of the confederation. To access them, please click on the hyperlinks in the manual. The Baobab is open to staff of all Caritas Member Organisations.

An **index of resources** according to category is also available on the Baobab.

To register please follow this **link** or email **baobab@caritas.va**.

Acronyms

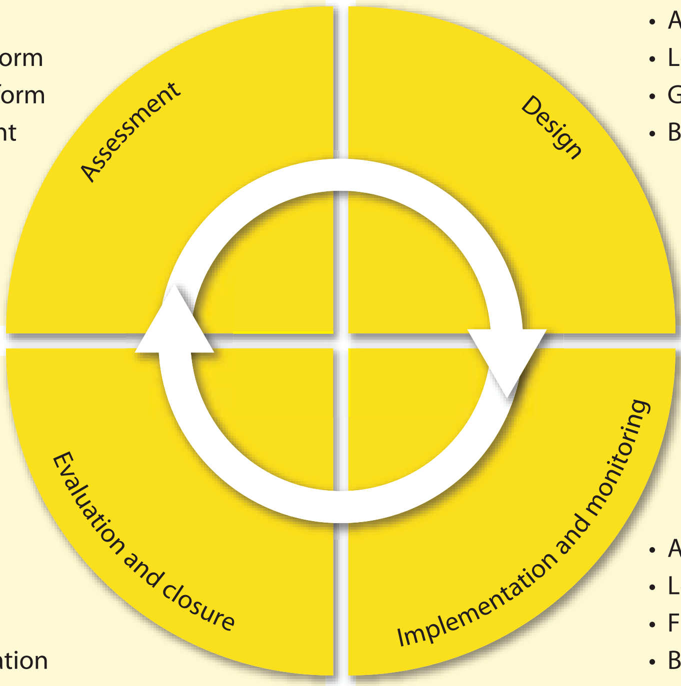
CI	Caritas Internationalis
CI MO	Caritas Internationalis Member Organisation
DRR	Disaster Risk Reduction
EA	Emergency Appeal
EN	English
ERST	Emergency Response Support Team
ES	Spanish
FP	Facilitating Partner
FR	French
GS	General Secretariat
INEE	International Network for Education in Emergencies
MO	Member Organisation
M&E	Monitoring and Evaluation
MEAL	Monitoring, Evaluation, Accountability and Learning
PCA	Protracted Crisis Appeal
RR	Rapid Response
RTE	Real Time Evaluation
SEEP	Small Enterprise Education and Promotion
STEP	Solidarity Team for Emergency Partnership
ToR	Terms of Reference

Overview of the CI Toolkit for Emergency Response

CI Assessment & Appeal Templates and the Project Cycle

- Sitrep template
- Initial needs assessment form
- Rapid needs assessment form
- Detailed needs assessment

- Appeal proposal template
- Logical framework template
- Gantt chart template
- Budget template



- Appeal report template
- Logframe progress template
- Financial report template
- Budget revision template

- ToR for a financial audit
- ToR for an external evaluation

1 What to do before an emergency occurs

Summary of steps that can be taken for organisational preparedness

- Identify risks
- Self-assess emergency response capacity
- Plan and take steps to prepare for emergencies
  - Be familiar with CI emergency coordination and support mechanisms
  - Know how to coordinate as a global CI confederation
  - Be familiar with Sphere and the Code of Conduct
  - Establish strong organisational systems
  - Identify lessons learned
  - Track early warning indicators
  - Organise a simulation

There are a number of ways in which Caritas Member Organisations can engage before an emergency:

- **Implement disaster risk reduction, mitigation or preparedness programmes:** community based or national advocacy programmes to reduce the risk of a disaster, to mitigate its impact or to be ready when it strikes.

- **Organisational preparedness:** A Caritas MO can prepare for emergency response, for example by identifying risks, putting in place the management systems for a rapid response, training staff and tracking early warning indicators.

This manual briefly sets out some of the steps that can be taken by CI MOs to increase their **organisational preparedness** for emergency response.

1.1 Identify risks

Most national Caritas organisations have a good understanding of the disaster risks in their country. It is worthwhile to come together as a team to share and document this knowledge. A simple process of collecting key country data and analysing it can identify the hazards, capacities and vulnerabilities. Hazards may be natural or manmade, slow or rapid onset, and can include the risk of conflict or epidemic as well as natural disaster. Capacities and vulnerabilities can be related to governance, civil society, policies and legal contexts, access and entitlements, or assets. Staff knowledge generated from on-going development projects on gender, age, and disability, etc. can be used to inform the risk analysis. Understanding local risks is a first step in being organisationally ready to respond to them. In the Toolkit, **emergency preparedness resources** has a template for analysing hazards, vulnerabilities and capacities.

1.2 Self-assess emergency response capacity

Knowing your strengths and weaknesses is important in order to be prepared for emergency response. An emergency response capacity assessment is included in the **emergency preparedness resources** of the Toolkit and it is recommended that Caritas MOs use it annually alongside the Management Standards self-assessment questionnaire (under **CI principles and protocols**). At this stage it is also important to fill in or update the CI MO contact list template, in **communication resources**, in order to know and be in contact with all CI MOs in country.

1.3 Plan and take steps to prepare for emergencies

The risk assessment and emergency response capacity assessment should be used to develop a plan for improved emergency preparedness. The best plans are realistic and feasible: it is better to identify one priority action and implement it than to have an elaborate plan which is never implemented. The plan should include the name of the person responsible for each action and the timeframe for completion, and managers should set aside time to support and monitor progress. Some important preparedness actions are listed as examples below:

1.3.1 Be familiar with CI emergency coordination and support mechanisms

There are a number of structures and mechanisms with which the Caritas confederation supports the response of the local Church and the national and the diocesan Caritas in a disaster-affected country. Different structures and mechanisms can be drawn upon according to context and need, with the overall goal of maximising the combined emergency response of the Catholic Church. Being prepared for an emergency requires familiarity with these mechanisms. They are set out in brief below, and are described in detail in the CI Emergency Guidelines in the Toolkit under **CI principles and protocols**.

Organisational preparedness for emergency response requires familiarity with these mechanisms and with the key CI documents which mandate roles and responsibilities in emergency response. The Protocol for CI Coordination in Emergency Response (under **CI principles and protocols** in the Toolkit) sets out the required actions for the national Caritas, CI MOs, the General Secretariat and the regions. The CI Emergency Guidelines set out the **CI support mechanisms** and their functions, which can be summarised as follows:

- CI Coordinator. The CI Emergency Coordinator is available for rapid deployment in the case of a major emergency to support the national Caritas in coordinating a multiple CI MO response. The CI Coordinator is drawn from the Pool of Emergency Coordinators, a preselected group of experienced emergency response coordinators in the CI confederation who are committed to the CI principles of coordinated, partnership-based humanitarian response. The Protocol for a Pool of CI Coordinators and the Terms of Reference for CI Emergency Coordinators are in the Toolkit under **CI principles and protocols**.

- CI Sector Working Group. The CI Sector Working Groups aim to raise the standard of CI emergency work in certain sectors through increased capacity and faster deployment of experienced staff. The Working Group will have a membership of up to fifteen CI staff with relevant experience, available for deployment for up to 8 weeks a year. The Working Group supports professional skill development and a shared understanding of the sector in the confederation. The Working Group responds to requests from a national Caritas for technical support. The Protocol for Sector Working Groups and the Terms of Reference for the Chair of the Sector Working Group are available in the Toolkit under **CI principles and protocols**.

- Emergency Response Support Team (ERST). The ERST is a short-term operational team which responds during the first 6–8 weeks of a major emergency. It is accountable to the CI Secretary General and is managed by the CI General Secretariat. The ERST's primary function, together with the affected national Caritas, is to establish the most effective and timely means of providing assistance in order to reduce suffering and loss of life. Typically, the ERST's tasks involve supporting the national Caritas with coordination, with the rapid assessment, and with the design, implementation of and reporting on the immediate response. In consultation and agreement with the local ecclesial hierarchy and national Caritas in the affected country, CI can mandate an ERST in the initial phase of any major emergency.

- Facilitating Partner(s). Facilitating Partner(s) are intended to assist and support the national Caritas in maximising the effectiveness of the combined efforts of Caritas MOs in the event of a major emergency. The Facilitating Partner (sometimes also called Accompanying Partner) supports quality planning, management, implementation, monitoring and reporting on the different phases of the confederation response. It is a mechanism which may be used instead of an ERST or as a follow-up mechanism to an ERST.

- **Solidarity Team for Emergency Partnership (STEP).** A STEP is an operational confederation team – very often a team of technical and/or management experts – that may be appointed to take over from an ERST. A STEP is an option in a situation where a national Caritas requires a technical and/or operational support team for a longer period in order to implement and report on the emergency response programme according to international humanitarian standards. Ideally, in order to ensure continuity, STEP team members should arrive in the affected country prior to an ERST's departure.

- **Country Working Group.** A Country Working Group brings together CI MOs, both in and outside the country, regional coordinators and, if the situation requires, other organisations having a special relationship with the national Caritas. A Country Working Group is a supportive structure in which interested partners can meet on a regular basis and provide assistance by undertaking specific tasks. The national Caritas may be able to cope with disasters, but may set up a Country Working Group because it brings benefits in terms of coordination and delegation of duties. An example of a terms of reference for a Country Working Group is provided under **CI support mechanisms**.

- **Country Forum.** A Country Forum brings together the national Caritas and interested in-country CI MOs in support of an emergency response. Even though other CI MOs can participate during their field visits, the primary aim of a Country Forum is to provide a platform for coordination and information sharing between Members in-country. A Country Forum should meet at least once a month. Country Forum guidelines are provided under **CI support mechanisms**.

- **Partners' Meeting.** A Partners' Meeting is initiated by the national Caritas, CI or by a regional coordinator in coordination with the national Caritas and is aimed at bringing together all interested parties (CI MOs in-country, donor CI MOs, regional coordinators, other donors) on a punctual basis in order to provide an information sharing platform on an emergency response.

These structures are set out in the CI Emergency Guidelines. They are underpinned by the CI Code of Conduct, CI Code of Ethics and CI Partnership Principles, which were approved by the Caritas Internationalis Representative Council on May 18, 2014. These documents, together with Management Standards, provide a description of the values and principles that guide work within the Caritas confederation and have been endorsed by all Caritas Member Organisations. The Protocol for CI Coordination in Emergency Response sets out the required actions for each group of CI actors in a large scale crisis. These foundational documents are in the Toolkit under **CI principles and protocols**.

1.3.2 Know how to coordinate as a global CI confederation

To be prepared as an organisation for emergency response, it is important to understand how CI operates as a confederation in a large-scale emergency. There are many challenges as well as advantages of being a member of a global confederation of autonomous organisations all with a mandate for humanitarian response. The Protocol for CI Coordination in Emergency Response is a key document which mandates all CI MOs to take "required actions" to ensure a coordinated response. The Protocol is accompanied by a checklist and flowchart, which support each actor to follow a list of actions to take at each stage of the response. Examples of required actions are convening or participating in CI and cluster coordination meetings, deciding whether to activate a support mechanism, writing and disseminating 'Sitreps' and mapping of projects, planning visits, planning needs assessments, developing partnerships, launching appeals, requesting technical support and adhering to international standards.

The time before an emergency is very valuable for working out the relationships that will be most appropriate and effective in the case of a large emergency response. A Training Module on CI Coordination, Partnership and Roles and Responsibilities in Large Scale Emergencies is available in the

Toolkit under **emergency preparedness resources**. The training is designed as a one-day workshop in which all Caritas, Church and related actors will participate, including congregations and CI MOs present in country who have a role in emergency response. The goal of the training is to increase the understanding of Caritas and Church actors in disaster-prone countries of coordination, partnership and roles and responsibilities in large scale emergencies. Important questions can be answered, such as which CI support mechanism might be used, who will communicate with the media, and how money will be managed.

Some of the coordination structures, such as the Country Forum, can be activated outside of an emergency, to foster relationships and the spirit of working as a confederation, so that it is already in place when or if a disaster strikes. Relationships with key government stakeholders, UN and INGOs can also be fostered before a disaster. Names, contact details and organisational mandates should be recorded and kept up to date.

1.3.3 Be familiar with Sphere and the code of conduct

Caritas MO staff should be familiar with the humanitarian principles and Sphere minimum standards, in order to apply them in the case of emergency. CI is a signatory to the Code of Conduct for The International Red Cross and Red Crescent Movement and NGOs in Disaster Relief and CI is a participating member of the Sphere Project. (The Code of Conduct and Sphere Handbook are in the Toolkit under **Humanitarian code of conduct and minimum standards**).

- Code of Conduct for The International Red Cross and Red Crescent Movement and NGOs in Disaster Relief. The Code of Conduct lays down ten points of principle which all humanitarian actors should adhere to in their disaster response work.

- The Sphere Handbook presents common principles and universal minimum standards for the delivery of quality humanitarian response. The humanitarian charter upholds the right of disaster-affected populations to life with dignity, and to protection and assistance at the centre of humanitarian action; the core standards promote the active participation of affected populations as well as of local and national authorities, and the technical chapters provide minimum standards for water supply, sanitation and hygiene promotion; food security and nutrition; shelter, settlement and non-food items; and health action. The 2011 Sphere Handbook is available under **Humanitarian code of conduct and minimum standards** and is online at: **www.sphereproject.org**.

- Other global humanitarian standards: In addition to Sphere there are minimum standards for:
  - Education in emergencies (see International Network for Education in Emergencies' Minimum Standards for Education)
  - Livestock in emergencies (Livestock Emergency Guidelines and Standards)
  - Economic recovery (the Small Enterprise Education and Promotion (SEEP) Network's Minimum Standards for Economic Recovery after Crisis)
  - Child Protection (Minimum Standards for Child Protection in Humanitarian Action)
  - Minimum Requirements for Market Analysis in Emergencies (CaLP)
  - Minimum Standards for Age and Disability Inclusion in Humanitarian Action
  - Minimum Standards for Prevention and Response to Gender-Based Violence

All are available under **Humanitarian code of conduct and minimum standards**.

1.3.4 Establish strong organisational systems

The implementation of the CI Management Standards (under **CI principles and protocols**) strengthens an MO's capacity for emergency response. The Toolkit also provides resources to support logistics, procurement and warehousing systems, which should be put in place before an emergency. A disaster may require the Caritas MO to purchase relief items, organise transport and store them, all under huge pressure to be as quick as possible. Resources are available in the Toolkit under **Confederation procurement forms and templates**, **Confederation logistics forms and templates** and **Confederation warehousing forms and templates**.

An NGO called MANGO specialises in supporting NGOs in financial management, and their financial management guide is available online at: **www.mango.org.uk/guide**.

Many disasters occur in situations of fragility or conflict, and staff security is a prerequisite for any action. Examples of security assessment and briefing templates, security policy and guidelines and a security contingency plan are available under **Security resources**.

1.3.5 Identify lessons learned

An emergency response is also a time of learning. Staff respond to the best of their ability, under difficult circumstances, to the huge challenges they are presented with. It is important to capture this learning and apply it in the next emergency. A useful preparedness activity is to (re)read evaluation reports, lessons-learned documents and internal reviews, to take note of the recommendations from those reports, and take action to implement these recommendations. For example, a lesson learned that recruitment was too slow could lead to the decision to develop job descriptions for registration and distribution teams in order to advertise quickly in the case of emergency.

1.3.6 Track early warning indicators

Based on the hazards identified in the risk assessment, it may be useful to track early warning information that is collected and disseminated by specialist agencies, whether meteorological (for typhoons, floods, etc.) or food security (for famine or crop failure). Some useful resources are:

- **www.gdacs.org** The Global Disaster Alert and Coordination System is a cooperation framework between the United Nations, the European Commission and disaster managers worldwide to improve alerts, information exchange and coordination in the first phase after major sudden-onset disasters.

- **www.fews.net** The Famine Early Warning System Network has analysts in more than 35 countries who gather evidence of the current food security situation, drawing on a variety of sources, including US science agencies, national ministries of trade and agriculture, international organisations and NGOs to develop scenarios, forecast outcomes and classify the severity of the crisis.

- **www.reliefweb.int** A service of the UN Office for the Coordination of Humanitarian Affairs, ReliefWeb provides disaster and crisis updates, analysis, maps and data from more than 4,000 global information sources around the world.

1.3.7 Organise a simulation

Once some steps have been taken to prepare for emergencies, a simulation can help staff to put their knowledge into practice, and learn from mistakes made during a dry run. It is recommended to bring CI MOs together with representatives of the Church and diocesan Caritas for a simulation that puts into practice the roles and responsibilities of the full range of Caritas confederation stakeholders. **Emergency preparedness resources** include an example of a confederation MO's desktop simulation which can be adapted to your needs. This example does not require a field trip and can be completed within half a day. It is best to simulate the most likely scenario you are faced with, simply announcing what has happened and setting tasks for the participants. It is important to have a good facilitator and to know what key messages you wish to communicate to participants through the simulation.

Links to resources, organised by category, referenced in this section:

- CI Appeal core templates and annexes FR ES
- CI principles and protocols
- CI support mechanisms
- Communication resources
- Confederation logistics forms and templates
- Confederation procurement forms and templates
- Confederation warehousing forms and templates
- Confederation supply chain manual
- Emergency preparedness resources
- Industry code of conduct and minimum standards
- Security resources

2 What to do when a disaster occurs

Summary of steps to take when the disaster occurs

- Communicate with Caritas Internationalis
  - Send first news reports
  - Send situation reports
- Determine if it is an emergency
- Determine if and how to respond
  - Conduct initial rapid needs assessment and rapid needs assessment
  - Conduct in-depth sectoral assessments

2.1 Communicate with Caritas Internationalis

Table: Main communication responsibilities for national Caritas and CI General Secretariat

National Caritas	CI General Secretariat	
	Communications Department	**Humanitarian Department**
• Send first news report to Humanitarian and Communications Departments of Caritas Internationalis, include photos and local accounts of needs and Caritas actions.	• Put out press release in the first 24 hours. • Share communications materials on internal (e.g. Baobab) and external digital platforms.	• Share first news report with Caritas MOs. • Organise a conference call with CI MOs. If sufficient information is available, decide, in consultation with the national Caritas, whether to activate a confederation response.
• Send communications report. • Update and send CI MO contact list. • Agree communications focal point. Make available senior staff member for interviews. • Contact national based local and international journalists. Engage with social media.	• Contact international media. • Decide whether to send a CI communicator or who to name as communications focal point.	• Prepare a confederation response, if one is necessary.
• Agree a communications strategy with CI Communications Department. • Agree main messaging points.	• Find out from MOs who is sending a communications officer. • Share main messages. Share planned actions with MOs.	• Work with CI delegates in Geneva and New York to ensure messaging reaches the UN.
• Plan and conduct initial rapid needs assessment.	• Follow up press release, case study stories, photos and video.	• Circulate sitrep to the confederation.

National Caritas	CI General Secretariat	
	Communications Department	**Humanitarian Department**
• Ensure communications focal point is part of assessment, and include photographs and case studies. • Summarise findings in a sitrep and send to CI. • Briefly document findings and share with stakeholders.	• Develop social media tools. • Coordinate with local national Caritas organisation and visiting communications officers. • Circulate communications content. Follow up media engagement.	
• Send daily Sitreps.	• Follow up press release, case study stories, photos and video.	• Circulate sitreps to the confederation.
• Plan and conduct rapid needs assessment. • Summarise findings in a sitrep and send to CI. • Briefly document findings and share with stakeholders.		• Circulate assessment report and sitreps to the confederation.
• As programmes are scaled up, work with GS to ensure communications officers have access to relief efforts and production of communications materials.	• Liaise with national Caritas and CI MOs to ensure communication needs are being met. • Prepare info graphics on Caritas impact.	
• Host CI and confederation MO communications officers, possible journalists and VIPs.	• Provide coordination support, e.g. contact photographers when appropriate and generate publicity for VIP visits.	

2.1.1 The first news report

When a national Caritas is faced with a major crisis, it is important to initiate contact with the CI General Secretariat immediately, prior to undertaking an assessment. At this stage, information is often scarce and sometimes contradictory, but key facts and early indications of the impact of the disaster as reported by the media, the UN, other NGOs, and by affected dioceses and parishes should be communicated to CI immediately. Timely information sharing is just as important for slow onset disasters, which call for regular situation updates and careful monitoring of key indicators to decide when it is an emergency.

The first news report will enable the CI General Secretariat and other CI MOs to start preparing, should a confederation response be necessary. If CI representatives and ERST team members are to arrive in country as quickly as possible, it is imperative that the CI General Secretariat is alerted immediately when a disaster occurs.

The following is a checklist of the type of information the General Secretariat and Caritas MOs will use to generate media coverage of the emergency and Caritas response:

1. Up-to-date facts and figures on who is affected and where
2. Key facts on the Caritas confederation response
3. Names and contact details of people in the field for media interviews
4. Names of people in the field engaging with social media
5. Key statistics on the country and the national Church and its engagement in humanitarian response or advocacy
6. Unified advocacy statement
7. Talking points for interviews with journalists giving three top-line messages
8. Photos with captions
9. Quotations from people affected and Caritas staff or volunteers
10. Video clips, from mobile phones or other

This information can be communicated by phone or email – the objective is to convey the news immediately.

2.1.2 Contact the communications department in the first 24–48 hours

The national Caritas should quickly follow up on the first information report by contacting the communications department of the General Secretariat. The communications department needs the name and contact details of the point of contact for all communications enquiries, and photos and updates which can go to the confederation and into the public domain (see checklist below). If the CI Secretariat first hears of an emergency through media or other sources, the communications department of the General Secretariat will contact the national Caritas organisation or staff closest to the emergency for the communication content.

Working with the national Caritas organisation, Caritas Internationalis produces a press release within 24 hours, translated into English, French and Spanish. The press release provides the basic humanitarian information, the likely Caritas response, any advocacy messages, and a media contact point on the ground. The first days after a sudden onset disaster are when there is most demand for media content, and the General Secretariat will help the national Caritas to respond to demands for communications material. Depending on the communications capacity of the national Caritas, the media demand for information or the need to generate media interest, a CI communicator can be sent to support the national Caritas, or a communications focal point can be named from staff in the ERST or Facilitating Partner or Caritas MOs in-country. The CI guidance notes for communications, under Communications resources, provide more detail on the role of the CI communicator and the role of the General Secretariat. In the days after a sudden onset emergency, the national Caritas and the CI communications department will agree a communications strategy for the crisis which will include messages, coverage, budget and coordination.

In a slow onset emergency, the national Caritas should contact the CI General Secretariat as early as possible with key warning indicators. The CI humanitarian department will agree a schedule for sitreps and internal messages for the confederation. The CI communications department will work with the national Caritas on a communications strategy including messages, timeline, production of materials, media engagement, and extra communications support throughout the arc of the crisis. The CI communications department will mobilise MOs to carry out effective communications actions in a coordinated way.

2.1.3 Situation reports

Subsequent to the first news report, the national Caritas should send daily situation reports, or sitreps, to the CI General Secretariat. These are brief reports which communicate what has changed since the previous day. Sitreps are disseminated by the General Secretariat to all CI MOs. The purpose is to enable managers and programme officers to keep abreast of changes in the context or working environment, to monitor progress, and be aware of changes in the staffing, advocacy messages, or plan for activities. The sitrep template is under **Communication resources**. It is important to make writing the daily sitrep the responsibility of a staff member from the outset of the response.

2.2 Determine if it is an emergency

How to determine if it is an emergency

Although massive emergencies demand an unequivocal need to respond, smaller and slow onset emergencies can present a mixed picture. It depends not just on the numbers affected but also on the degree of the population's vulnerability and how the community and government can cope.

CI defines a major emergency as "a situation where there is a substantial loss of life, increased vulnerability, great human suffering and distress and large scale material damage including damage to the environment. It is a situation with which the affected population, government and the Caritas Internationalis Member Organisation cannot sufficiently cope and needs assistance from others."

A slow onset emergency is not sudden but can still exceed the community's ability to cope. Typically, an emergency is not called if the numbers affected are very small (e.g. less than 100 people) because the community and local actors will be able to mobilise resources locally for a small scale response.

Next Steps

If it is an emergency, the national Caritas should contact the humanitarian department of the CI General Secretariat and the CI Regional Office. Together they should decide whether to activate the Protocol for CI Coordination in Emergency Response and whether to deploy a CI Coordinator. (See Protocol and Terms of Reference in **CI principles and protocols** in the Toolkit).

The national Caritas should support the affected dioceses to conduct a needs assessment. If additional support is needed, **CI support mechanisms** such as the ERST can be activated, or technical staff can be deployed from the CI Sector Working Groups (see Emergency Guidelines and ToR for Sector Working Groups in **CI principles and protocols** in the Toolkit.)

2.3 Determine if and how to respond

It is necessary to conduct an initial rapid needs assessment in order to determine whether and how to respond. It is essential that the disaster-affected population and key stakeholders are consulted and that their input informs the design of the assistance programme.

Given the fluidity of an emergency context, several stages of assessment may be required. The initial rapid assessment may be conducted in the first two days; the second rapid assessment might be during the first week (or weeks); and the third detailed sector-specific assessment may be within one month. The purpose, methods and approach will differ for each assessment, and are explained in more detail below. First, some considerations for all emergency needs assessments:

- Assessments aim to generate an understanding of the impact of the disaster, the local capacities to cope, the nature of the vulnerabilities and the response by other actors.
- Assessments should take place in the worst-affected area, in order to understand the problem at its worst.
- Assessments are participatory and require good listening, note-taking and analytical skills.
- Information should be gathered from men, women, girls and boys and from other vulnerable groups.

The Sphere Core Humanitarian Standard (included in Sphere from 2017):

Commitment #1. Communities and people affected by crisis receive assistance appropriate to their needs.

Key Actions

1.1 Conduct a systematic, objective and ongoing analysis of the context and stakeholders.

1.2 Design and implement appropriate programmes based on an impartial assessment of needs and risks, and an understanding of the vulnerabilities and capacities of different groups.

1.3 Adapt programmes to changing needs, capacities and context.

- Where it increases efficiency, assessments can be carried out collaboratively, with organisations teaming up, using the same methodology and sharing findings.

- Assessment findings should be made available to all stakeholders, including the local authorities and affected population, or representatives thereof.

- All assessments should be focused and time-bound: the process is iterative, not continuous.

The Sphere Handbook (see **Humanitarian code of conduct and minimum standards**) has key indicators, key actions and guidance notes for the core standard on assessments in emergencies.

2.3.1 Plan a needs assessment

Here is a list of key steps to follow when planning a needs assessment:

- **Co-ordinate.** Inform local and national authorities, other NGOs and Caritas MOs in-country of the plan to do an assessment. Find out if the UN is doing a multi-cluster/sector initial needs assessment and coordinate with that either by taking part or using its findings.

- **Define the assessment objectives.** Using the CI needs assessment guidance notes under **Needs assessment resources**, define the assessment objectives based on the decisions that need to be made and the information you already have available.

- **Adapt the CI initial rapid assessment form / rapid needs assessment form.** The CI needs assessment forms, available under **Needs assessment resources**, should be adapted for each disaster, according to your information needs. Decide who you need to talk to and what participatory methods are best suited to the information you need to collect.

- **Form the assessment team.** Determine how many people will be needed and identify staff with the right skills, knowledge and experience. Ensure an appropriate gender balance on the team, as a lack of female staff in the assessment team may limit access to useful information, and consider the ethnicity of team members.

- **Orientation.** Bring the team together to orient them on data available from secondary sources, the assessment objectives, where to go, who to talk to and the methods to use. Run through the questions in the assessment form and how to record responses on the form. The orientation should also cover asking consent from interviewees, cultural considerations (behaviour that is or is not acceptable), and how to be supportive of the respondent as a fellow human being who is suffering (see the Psychological First Aid Pocket Guide pp. 53–55 under **Programming resources**).

- **Manage logistics and security.** Ensure all necessary logistics are in place, including appropriate accommodation, food and water, transportation, security clearance, emergency contacts, etc. Ensure the assessment plan takes into account risks of political or social unrest, armed actors and conflict, landmines and unexploded ordnances (UXOs), natural hazards, road safety, armed hijacking/robbery, kidnapping or any other security risks.

- **Budget for the assessment.** Estimate how much the assessment will cost and ensure staff have sufficient resources. Track expenditure and remember that, if an appeal has been launched, needs assessment expenses can be charged to the appeal, eligible from the date of the onset of the emergency.

2.3.2 Initial rapid needs assessment and rapid needs assessment

Given the need to make timely programming decisions in a fluid environment and with imperfect information, emergency assessments are iterative: in most cases, two or three stages of assessment may be required, sometimes many more if the situation keeps changing.

The following staged assessment process is most appropriate for rapid onset natural disasters. It may be adapted for slow onset disasters or complex humanitarian emergencies.

The first stage aims to decide whether or not a response is required. It also determines where to conduct the initial field assessment. The first stage starts immediately and uses the CI initial rapid assessment form, available under **Needs assessment resources**. The assessment relies on secondary sources, phone calls to local Caritas partners or other stakeholders to confirm media and government information, and if possible a quick visit to the field to confirm what you are hearing. The CI form prompts you to find out and record the number affected, the areas worst affected, population movements, access, security and other assistance. Findings are shared in a situation report with CI (see the CI Sitrep template under **Communication resources**) which the General Secretariat posts on Baobab for the confederation.

The second stage of assessment collects primary data using the CI rapid needs assessment form, available under **Needs assessment resources**. The purpose is to identify the priority needs and to decide where to work, what to do and who to serve. The CI rapid needs assessment form is a template for collecting information from a community on the type and scale of damage, the coping strategies and challenges faced, and the conditions relating to shelter, food, water, sanitation, health, protection and employment.

The assessment form should be adapted as new information needs emerge. For example, if it becomes clear that shelter is a priority, assessment questions can be added about space, materials and customs, etc. Information can be collected through open-ended interviews with key informants and affected people, direct observation, participatory methods such as transect walk and focus group discussions, and review of secondary sources (e.g. local government data). Findings will go into a sitrep which the General Secretariat will circulate to confederation members and the assessment report should be attached to the Rapid Response or Emergency Appeal proposal.

2.3.3 Analysis and documentation

Assessment information should be analysed by the assessment team on a daily basis, with key findings communicated to managers to support timely decision making. A full analysis of results that involves all assessment teams, including partner staff, should be organised once the assessment is complete, to inform the design of the first phase response. The analysis should look at comparisons between locations and vulnerable groups, and should identify the local capacities, the other actors and the priorities for assistance. It is not useful to quantify the information, for example, by tallying responses to have percentages. The aim is to identify key findings by sector, by location and by vulnerable group.

A very brief report (bullet points) noting main findings should be drafted and shared with partners, communities where the data was collected, local government, and other agencies responding. The key findings should go into a sitrep which the General Secretariat will circulate to confederation members.

2.3.4 In-depth sectoral assessments

In-depth sectoral assessments may be required to inform strategy design for the immediate response, for more in-depth understanding of a sector or to trigger decisions about subsequent phases of interventions.

A sample in-depth shelter assessment is under **Needs assessment resources** and there are assessment checklists at the end of each chapter of the Sphere Handbook. These should be adapted according to your information needs. The assessment should aim to identify available resources and locally appropriate solutions for addressing priority needs. Collect only information that will be useful for decision making, such as targeting criteria, implementation strategies, protection, and how to communicate with communities and set up a complaints handling mechanism.

The in-depth assessment can take place in parallel to relief activities, and should be conducted by a team which includes experts for the sector and generalists or social workers. Assessment teams should be gender balanced and include members who speak the local language. Team members should be experienced in using participatory methods such as focus group discussions, key informant interviews, participatory mapping, seasonal calendars, etc.

It is important to think carefully about where the assessment takes place and in how many villages. It does not have to be extensive, but it should provide confidence in its findings. The selection of villages should be strategic, to represent the diversity of the target population and to reach the areas where the needs are greatest. Triangulation of sources increases the validity of findings, for example, comparing responses from two or three groups or two or three locations can establish whether a finding is reliable.

The CI needs assessment guidance notes under **Needs assessment resources** provide practical tips on how to plan and conduct the different stages of assessment. The Sphere Handbook and other humanitarian standards (see **Humanitarian code of conduct and minimum standards**) provide checklists at the end of each technical chapter which can be adapted for in-depth sector assessments.

2.3.5 Analysis and documentation

As with analysis of initial and rapid assessments, the detailed assessment information should be compiled and discussed among the assessment team on a daily basis. A joint analysis of results by all assessment team members should be organised on the day everyone returns from the field.

A summary of the findings should be drafted, noting the methods used. Keep the report brief (use bullet points) and easy to use for those designing and implementing the programme. Summarise key findings in the sitrep and send it to CI for circulation to the confederation. Whenever possible share results with partners, communities where the data was collected, local government and UN agencies.

Links to resources, organised by category, referenced in this section:

- Communication resources
- Humanitarian code of conduct and minimum standards
- Programming resources
- Needs assessment resources

3 How to respond to the emergency

Summary of steps to take to respond to the emergency through a CI response mechanism

- Launch an appeal (Rapid Response, Emergency Appeal or Protracted Crisis Appeal)
- Activate a CI support mechanism

The assessment and analysis inform the design of the response programme: there must be a clear logical link between the problems identified in the assessment and the objectives of the response programme. An emergency response should draw on past experience and lessons learned, but should never be a repeat of what has been done before; the assessment will reveal vulnerabilities and capacities unique to each situation which must be supported through a carefully designed programme.

The Core Humanitarian Standard articulates this as follows:

Commitment #2. Communities and people affected by crisis have access to the humanitarian assistance they need at the right time.

Key Actions

2.1 Design programmes that address constraints so that the proposed action is realistic and safe for communities.

2.2 Deliver humanitarian response in a timely manner, making decisions and acting without unnecessary delay.

2.3 Refer any unmet needs to those organisations with the relevant technical expertise and mandate, or advocate for those needs to be addressed.

2.4 Use relevant technical standards and good practice employed across the humanitarian sector to plan and assess programmes.

2.5 Monitor the activities, outputs and outcomes of humanitarian responses in order to adapt programmes and address poor performance.

The same participatory process used to design a development project should be used in an emergency, though in practice it is conducted rapidly and iteratively. Initial response activities to relieve acute suffering should start while assessments continue.

There are three CI funding mechanisms for emergency response: a Rapid Response Appeal, an Emergency Appeal and a Protracted Crisis Appeal. They are launched by the CI General Secretariat at the request of and on behalf of the national Caritas in the disaster-affected country. They provide a channel for CI MOs to express their solidarity with the affected population through financial support to the response.

Other funding mechanisms also exist (e.g. bilateral or multilateral projects where one or multiple CI MOs support a Caritas response), and the national Caritas and CI will discuss options and decide whether or not an appeal is the best way to mobilise resources for each emergency. An appeal is only launched if the following five criteria are met:

1 The scale of damage exceeds the local capacity to cope (based on the needs assessment).

2 There are gaps in the government and other actors' response.

3 The national Caritas has the capacity to launch and manage an appeal (based on CI MS assessment, the region and the General Secretariat's input).

4 An appeal will be more effective than a bilateral programme, e.g. a CI MO directly partnering with an affected diocese.

5 An appeal will mobilise significant resources from the CI confederation.

These criteria and a decision tree are described in the Tool for Deciding Whether to Launch an Appeal in the **CI Appeal core templates and annexes EN/FR/ES**.

The national Caritas must know that ultimate responsibility for proper implementation, monitoring and reporting on an appeal lies with them. The **CI support mechanisms** (CI Coordinator, ERST, STEP, FP, Sector Working Groups) are there to help.

CI requires an external audit of all types of appeal.

The appeal should be developed with reference to the valuable body of knowledge that exists within the Caritas confederation and within the wider humanitarian system (see **CI principles and protocols**, **Humanitarian code of conduct and minimum standards** and **Programming resources** in the Toolkit).

3.1 The process of launching a Rapid Response Appeal

At the onset of a disaster, a Caritas MO can submit a Rapid Response Appeal to CI within 72 hours of the disaster to address immediate life-saving needs. The maximum funding request should not exceed €250,000 and the funds must be expended within two months.

The Rapid Response Appeal allows the requesting MO to generate funding for the initial response. It allows for changes in the proposed activities to be requested once a more detailed needs assessment is complete. Proposed changes should be submitted to CI who in turn seeks approval within 48 hours from the contributing MOs. A Rapid Response Appeal can be followed with an Emergency Appeal.

Documents required for a Rapid Response Appeal:

- Proposal
- Logical framework
- Budget

Documents required for an Emergency Appeal:

- Proposal
- Logical framework
- Budget
- Gantt chart

The Caritas MO may convert the Rapid Response Appeal into an Emergency Appeal before the end of the Rapid Response project, if the pledges exceeded the budget or if it is a Level 3 emergency (a declaration made by the Inter-Agency Standing Committee when the crisis requires system-wide mobilisation). This is done in consultation with the CI Secretariat and upon prior approval of the donor CI MOs. The new proposed activities must respond to problems identified during the needs assessment.

3.2 The process of launching an Emergency Appeal

The Emergency Appeal's implementation timeframe is a maximum of 12 months, with two months for reporting.

The national Caritas must ensure that it has the necessary trained management, financial and programming staff at its disposal in order to fulfil its responsibilities as set out in the Emergency Appeal. As with the Rapid Response, the CI General Secretariat support mechanisms assist the national Caritas by bringing in staff who are experienced in preparing appeals, implementing programmes, tracking results and reporting to donors.

If the appeal is not fully funded, the national Caritas is responsible for achieving revised targets. Targets should be adjusted according to funding secured, for example, if funding is committed for 5,000 households when the appeal had set out to serve 10,000, the national Caritas is responsible for reaching and reporting on 5,000 households (the contingency plan section of the proposal should plan for this type of adjustment in advance).

All Emergency Appeals must have a final evaluation, either internal if the budget is under €250,000, or external if over €250,000.

The appeal development is led either by the national Caritas, or by the supporting ERST or FP with the national Caritas. It is advisable to coordinate with CI MOs in-country and to share a draft with them at an early stage. Asking how much they may be willing to pledge helps to design the appeal in line with their potential funding commitments.

The proposal, logical framework, Gantt chart and budget are submitted to CI and reviewed using the Proposal Review Template (see **CI Appeal core templates and annexes EN/FR/ES** in the Toolkit). The more complete and well-thought through they are, the sooner the appeal will be launched to the confederation, and the fewer questions will need to be asked by funding Member Organisations. CI will be looking for evidence that the proposed programme:

- Addresses the needs identified through proper and appropriate needs assessments
- Avoids overlap and duplication with other response programmes and meets priority needs
- Has been designed and formulated in accordance with international humanitarian standards
- Has the required human resources necessary, or can bring them into play, to secure proper, professional and accountable management, implementation, monitoring of and reporting on the programme.

Once the Emergency Appeal has been prepared, it is the role of the General Secretariat to launch, circulate and promote it to the confederation.

Documents required for a Protracted Crisis Appeal:

- Proposal
- Logical framework
- Budget
- Gantt Chart

3.3 The process of launching a Protracted Crisis Appeal

A crisis is protracted when it continues for a long period of time. The Protracted Crisis Appeal allows a response timeframe of up to three years, with two months for reporting.

In-depth analysis is required and the response must address the root and intermediate causes of the problem, as identified in a needs assessment. Advocacy and communications strategies should be included, to address structural aspects of the crisis.

When a Caritas MO thinks that a certain crisis may require a Protracted Crisis Appeal, the first step is to contact the Humanitarian Department of the General Secretariat to discuss options. The launch of a Protracted Crisis Appeal does not depend only on the duration of the crisis. Other factors will be considered such as the fluidity of the situation, response capacity and potential donor support.

The Protracted Crisis Appeal allows the requesting MO to generate funding for a three-year response. CI MOs may commit funding for the full programme period or for each year, in anticipation that they will fundraise and support subsequent years.

All Protracted Crisis Appeals must have a final evaluation, either internal if the budget is under €250,000/year, or external if over €250,000/year. In exceptional cases, CI may call for an external evaluation independent from the stated thresholds.

CI requires an external audit of all types of appeal.

3.4 The appeal proposal template

There is a single proposal template for all types of appeal. The proposal template is in the Toolkit under **CI Appeal core templates and annexes EN/FR/ES**. The proposal template has check boxes and a summary of key characteristics of the three types of appeal: Rapid Response, Emergency Appeal and Protracted Crisis Appeal. One box must be checked to indicate which type of appeal is being activated.

The proposal template uses different colours to indicate which sections must be completed for each type of appeal. Blue text is for all appeals and green text is for Emergency Appeals and Protracted Crisis Appeals. Green sections should not be filled in for Rapid Response Appeals.

The Rapid Response Appeal requires only key information: problem analysis, proposed response, direct beneficiaries, monitoring, coordination and project management capacity. Given the two-month timeframe of the Rapid Response, the plan needs to be feasible, and the objectives and number of beneficiaries should be based on a realistic plan which takes into account procurement, transport and other possible challenges. A logical framework needs to be annexed to the proposal.

The Emergency Appeal and Protracted Crisis Appeals require more information in the proposal (all sections, both blue and green). This includes additional sections, such as cross-cutting issues, indirect beneficiaries, advocacy, contingency scenarios, monitoring evaluation accountability and learning, sustainability and exit strategy. As a three-year programme, the Protracted Crisis Appeal requires a deeper analysis of the problem, a stronger advocacy and communications strategy. The proposal indicates maximum page limits for each section and concise writing is encouraged.

The Toolkit has resources to support the proposal development, for example guidance on security management and definitions of direct and indirect beneficiaries.

The appeal should be a realistic request for funding. It is an opportunity to develop a vision for what can be achieved, based on an understanding of needs, national and

The CI appeal proposal template requires information on disaster risk reduction as a cross-cutting theme. The Sphere Handbook also treats disaster risk reduction as a cross-cutting theme and defines it as:

The concept and practice of reducing disaster risks through systematic efforts to analyse and manage the causal factors of disasters, including through reduced exposure to hazards, lessened vulnerability of people and property, wise management of land and the environment and improved preparedness for adverse events.

confederation capacity, and other actors' interventions. Caution should be exercised around communicating the targets and objectives of the appeal to government or other stakeholders until they are funded, as targets will be revised down according to the funding pledged (see the contingency plan section of the proposal template below).

Information may be incomplete when writing the appeal, but it is not advisable to delay. Instead the proposal can set out what steps will be taken to fill specific information gaps. It is also possible to allow for flexibility in the response plan, for example, giving the beneficiaries choice of a range of response packages or kits, or by using cash or vouchers. The appeal should build on and promote beneficiary participation and dignity.

The programme must draw on lessons learned and be based on evidence about what has worked in the past. Minimum standards (available under **Humanitarian code of conduct and minimum standards**) are an essential resource, as are CI guidance documents, and previous Caritas or CI final evaluations. Technical working groups organised via the cluster coordination mechanism can be a useful forum for talking to technical experts, discussing options and sharing ideas.

The Emergency Appeal and Protracted Crisis Appeal require an evaluation (an external evaluation if the budget is over €250,000), so the time and resources this takes must be planned from the beginning, as external evaluators may require project vehicles, accommodation, translators and field staff to support their work.

3.5 The logical framework template

The logical framework (logframe) is a systematic, concise and coherent statement of all key aspects of a project, and provides a framework for monitoring and evaluation where planned and actual results can be compared. Once the general outline of the project has been agreed, putting it into the logframe format should highlight any problems with the underlying logic. The questions to be asked are:

- What do we need to do to achieve the changes we want to see? (intervention logic)
- How will we measure progress towards the objectives? (objectively verifiable indicators and sources of verification)
- What are the key risks to achievement of the objectives? (risks and assumptions)

The logical framework template is among **CI Appeal core templates and annexes EN/FR/ES** (the same template is used for all types of appeal), and it uses an example of an Oxfam logframe to demonstrate how it can be filled in.

The overall objective (impact) of the project is a high-level situation the project will contribute towards achieving; it will not be achieved solely by the project. The goal will not be measured and does not require an indicator.

The specific objective (outcome) of the project is the change that will be brought about, and who will benefit.

The results (outputs) are the specific, direct deliverables of the project. These will provide the conditions necessary to achieve the specific objective. The logic of the chain from results to specific objective needs to be clear.

For the objective/s and results, the Objectively verifiable indicator column should state what will be measured. Sphere can be a useful reference when defining indicators. Indicators may be quantitative or qualitative and may aim to see change in every beneficiary household, or in a percentage, e.g. 5,000 targeted families will receive temporary shelters, or 80% of target families will build temporary shelters to technical standards. Indicators should be specific, measurable, achievable, realistic and time-bound (SMART). The Sources of verification column explains how the data will be collected.

The activities are the steps to be taken to implement and achieve the results.

The Risks and assumptions column is where you define the important assumptions you are making, which affect the realisation of the project's objectives and results. Assumptions are outside the scope of the project (an assumption that, for example, staff will have adequate skills should be incorporated in the project activities and not treated as an assumption). Assumptions should be expressed as a statement of what, all being well, is expected to happen, e.g. the security situation will remain stable.

Finally, it is important to check the logic of the logframe. This is:

IF we undertake the activities AND the assumptions hold true, THEN we will create the results (outputs).

IF we deliver the results AND the assumptions hold true, THEN we will achieve the specific objective (outcome).

IF we achieve the specific objective AND the assumptions hold true, THEN we will contribute to the overall objective.

3.6 The Gantt chart template

The Gantt chart template, among **CI Appeal core templates and annexes EN/FR/ES**, must be completed along with the narrative proposal and logical framework for the Emergency Appeal and Protracted Crisis Appeal. It is used to schedule project activities, showing in which month or months they will take place, and demonstrating which take place concurrently and which take place sequentially. Careful planning of the timing of activities, and which ones have to start or finish in order for others to start or finish, is necessary in order to plan the use of resources for the project. Seasonality, festivals and other events (such as elections) must be taken into account, so that activities are started in time to complete the project within the timeframe. Busy times of year, with many activities taking place concurrently, may require additional staff in order to complete everything on time. Remember to start activities that require recruitment well in advance, for example, the planning for the audit and external evaluation at the end of the appeal should start in roughly month nine.

3.7 The budget template

There are Rapid Response, Emergency Appeal and Protracted Crisis Appeal budget templates in the Toolkit under **CI Appeal core templates and annexes EN/FR/ES**.

A budget should be developed for the national Caritas, for the ERST or Facilitating Partner (if activated), and in the case of the Emergency Appeal and Protracted Crisis Appeal, for the dioceses. The budget should be based on realistic estimates of the cost of materials, transport, field staff, communication and monitoring and evaluation. It should include costs for a CI communicator, if one is required to deal with the media, for advocacy initiatives, for the real time evaluation and for the audit.

The budget must be developed by the programming and finance staff together, and the finance staff need to develop an understanding of the project activities and objectives, either through taking part in the programme design discussions, or through a briefing. Decisions about how many staff, or the price and quality of kits or materials, or the duration of training are all important programmatic decisions which need to be costed in the budget lines. (Under Programming guidance the Toolkit has an Oxfam technical brief which provides standards for the procurement of plastic sheeting, and similar standards for other materials can be found online).

The template includes multiple worksheets, and it is easier to start with the more detailed workings, e.g. the diocesan Caritas budgets, and the national Caritas worksheets, before linking the totals through to the consolidated and summary budget. The ERST, STEP or Facilitating Partner budget worksheet should be completed by the national Caritas in close collaboration with the General Secretariat, in order to plan carefully for all costs related to accommodation, transport and communications. The budget guidance notes, in the final worksheet, provide explanations on each section.

The Protracted Crisis Appeal budget has columns for Year 1, 2 and 3. If the emergency context or funding environment changes during the three years, a revised budget may be submitted (see 4.2 below).

3.8 Activate a CI mandated support mechanism

The CI mandated support mechanisms, as set out in section 1.3.1, are available to support the national Caritas in the emergency response:

- CI Emergency Coordinator
- Emergency Response Support Team (ERST)
- Facilitating or Accompanying Partner(s)
- Solidarity Team for Emergency Partnership (STEP)
- Country Working Group
- Country Forum
- Sector Working Group

A CI Emergency Coordinator provides timely, in-country accompaniment and support to the national Caritas in this role during the critical period of the first few weeks of an initial response to a major emergency. The Pool of Emergency Coordinators will provide a list of 5–10 experienced emergency response coordinators in the CI confederation who are pre-selected and ready to be seconded to CI in the case of high level emergencies. The CI Coordinator will hand over to the ERST or Facilitating Partner, if one has been mobilised, or to the national Caritas director.

In the event of a large scale emergency, the Humanitarian Department of the General Secretariat convenes a call with the national Caritas Director to discuss whether a CI Coordinator, ERST, Facilitating Partner or technical assistance from a Sector Working Group is needed. In the case of a CI Coordinator, the Humanitarian Department requests members of the Pool of Coordinators to indicate their availability for deployment within 72 hours. The Humanitarian Department supervises the seconded staff, holding weekly calls and conducting performance appraisal using the forms in the CI Toolkit.

The ERST and STEP are launched at the invitation of the national Caritas, are mandated by CI and are governed by the Emergency Guidelines. The steps in the process of activating a CI mandated support mechanism are:

- The national Caritas, another CI MO or a CI regional coordinator requests the support mechanism.
- The CI General Secretariat consults with the local ecclesial hierarchy and national Caritas.
- The CI General Secretariat develops its terms of reference and job descriptions for team members, with input from the national Caritas, and posts the terms of reference and the job descriptions on Baobab.
- The CI General Secretariat coordinates the response of Member Organisations and identifies the ERST/STEP team leader and team members through a transparent process.
- The CI General Secretariat activates the support mechanism by defining its mandate and circulating the mandate to the confederation.
- The CI Secretariat briefs the team leader and sets up the performance review system.
- The national Caritas establishes an oversight or coordination mechanism for the team.
- The national Caritas includes costs (international travel, accommodation, etc.) in the EA budget and is responsible for tracking this expenditure and reporting on it to CI.
- In principle, the confederation MOs will bear the costs of salaries, insurance and benefits of staff that they have seconded to the ERST or STEP. In the event that it is not possible for the MOs to cover these costs, they should be included in the Emergency Appeal budget.
- The national Caritas and ERST or STEP team leader jointly organise the logistics and meetings and define the priorities for the ERST or STEP. The team leader assigns responsibilities to team members.
- The national Caritas manages the Emergency Appeal assisted by the support mechanism.
- The external evaluation of the Emergency Appeal includes questions on the support mechanism, and these are available under **CI support mechanisms**.

In the case of a **Facilitating Partner**, the activation process is the same as set out above for the ERST/STEP with the addition of:

- The CI General Secretariat invites MOs to express interest in taking on the role of Facilitating Partner and establishes a transparent process to select an MO in consultation with the national Caritas, the Region and interested MOs according to defined capacity and experience specifications.

For technical support from a **Sector Working Group**, the national Caritas contacts the Humanitarian Department and Chair of the Working Group with a request for assistance, specifying whether in-country or distance support is required, and defining the skills, knowledge and experience required, and the timeframe and source of funding. The Chair of the Working Group makes a timely selection of the working group member who best meets the requirements and works with the national Caritas and seconding CI MO to organise timely deployment.

Examples of the mandate for an ERST/STEP and Facilitating Partner, Terms of Reference for an ERST, STEP, Facilitating Partner and Country Working Group, Country Forum Guidelines, job descriptions for STEP team members and performance appraisal forms for the ERST and STEP are available under **CI support mechanisms**.

Links to resources, organised by category, referenced in this section:

- CI Appeal core templates and annexes FR ES
- CI principles and protocols
- CI support mechanisms
- Monitoring, evaluation and accountability resources
- Confederation procurement forms and templates
- Humanitarian code of conduct and minimum standards
- Programming resources
- Protection resources

4 How to manage an appeal with Caritas Internationalis

Summary of steps to take to manage an appeal with Caritas Internationalis

- Send regular updates
  - Pledges and contributions
  - Situation reports
  - Quarterly reports
- Make revisions
  - Request budget and proposal revisions
  - Request no-cost extensions
- Manage CI support mechanisms (ERST/STEP)
- Establish strong monitoring systems
- Make use of monitoring by CI and CI MOs
- Coordinate
  - Coordinate with CI MOs
  - Map out Caritas interventions
  - Coordinate with other Humanitarian actors

This section of the manual provides guidance on the CI tools that are required for the management of a Rapid Response, Emergency or Protracted Crisis Appeal. It is not a how-to guide on programme management or implementation, although it does recognise that an appeal requires strong organisational systems in accordance with CI Management Standards, adherence to CI principles and the Code of Conduct (see **CI principles and protocols**), compliance with Sphere and other minimum standards (see **Industry Code of Conduct and Minimum Standards**), robust M&E (see **Monitoring, evaluation and accountability resources**) and good stewardship of resources (see confederation **Procurement/Warehousing/Logistics** forms and templates and annexes).

4.1 Updates

It is the responsibility of the national Caritas to communicate regularly with CI regarding changes in the humanitarian context and progress with the response. The national Caritas, with the option of support from the **CI support mechanisms**, is responsible for having an M&E system in place (see **Monitoring, evaluation and accountability resources**). This will make it possible to communicate timely and useful information to the CI General Secretariat and confederation MOs.

4.1.1 Pledges and contributions

CI MOs respond to an appeal by making pledges. It is important that the pledge is delivered to the national Caritas as a contribution in a timely manner, to allow the national Caritas to deliver timely assistance. The recommended timeframe for contributions is:

- For a Rapid Response, within two weeks of the launch of the Appeal
- For Emergency Appeals or Protracted Crisis Appeals, within four weeks of the launch of the Appeal.

If a CI MO is able to access additional funding after this, new pledges and contributions are always welcome.

As set out in 3.1, a Rapid Response Appeal may be converted to an Emergency Appeal during the project timeframe if the project is well funded or if it is a Level 3 emergency, and so long as the plan responds to needs assessment findings.

It is the responsibility of the national Caritas to record pledges received in the Contributions & expenditure worksheet of the financial report template (included in Appeal core templates and annexes). On this sheet the national Caritas records the donor, date and amount received, in the donor's currency, local currency and euros. The value of in-kind donations should also be recorded. This sheet, kept up to date, is a management tool to track availability of resources to implement the Emergency Appeal, and it is the summary of income against which expenditure will be reported on a quarterly basis. Pledges and contributions should be regularly shared with the CI General Secretariat for cross-checking, and with CI MOs.

4.1.2 Earmarking

Earmarking refers to the practice of contributing to an appeal but requiring donor-specific report and assignment of funds to specific locations and beneficiaries. Earmarking is discouraged and a Caritas has the right to refuse earmarking because it increases the reporting workload and the financial management requirements. Many donors accept that their grant contributes to a global appeal and that reports on the full appeal response provide sufficient accountability. Where earmarking is required, the national Caritas must read the donor contract, understand the contractual obligations and negotiate roles and responsibilities with the relevant CI MO. The CI MO must ensure sufficient resources are available to meet the additional reporting requirements, for example, assigning a staff to write the donor reports or to work with the national Caritas finance department to put the systems in place to meet the donor's requirements.

If a national Caritas accepts earmarking, the following are examples of the steps it may need to take to meet donor requirements:

- Assign a donor grant to a specific location and number of beneficiaries and set of activities.
- Open a bank account for the grant.
- Designate an account code for all spending related to the grant, so that expenditure can be tracked to the level of the beneficiary.
- Provide data for the CI MO to compile into donor reports, noting that the donor's reporting schedule may be different to the reporting schedule of the CI appeal.

4.1.3 Situation reports

It is important for the national Caritas to send regular situation reports to CI for circulation to the confederation Member Organisations (the sitrep template is under **Communication resources**). The purpose of the sitrep is to communicate key changes in the context and response to CI and confederation MOs in a timely fashion. In the initial phase of the emergency, sitreps will probably be daily, then every few days and then weekly or fortnightly. It is recommended that the national Caritas agrees on the frequency of sitreps with CI. The sitrep template (introduced in 2.1.3), provides section headings, for example advocacy, as a reminder to include information about local advocacy initiatives which can be reinforced if appropriate by the General Secretariat or CI MOs. The report should be brief, and can use bullet points where appropriate to communicate key facts, or tables to present data by location.

4.1.4 Media

In large scale crises the Communications Department will share information with the media and CI MOs to generate press coverage of the crisis and Caritas response. Case studies are helpful ways to bring the story alive through an individual's experiences and words. Photographs, audio and video should be tagged with the date, location and people's names.

4.1.5 Quarterly and final report

There is an Appeal Report Template which should be used for all types of appeal. It uses colour coding to indicate which sections are required for the Rapid Response Appeal and which sections are also required for the Emergency Appeal and Protracted Crisis Appeal. It is in the

Toolkit under **CI Appeal core templates and annexes EN/FR/ES**.

All appeals require a final report within two months of the end of activities. The Emergency Appeal and Protracted Crisis Appeal require quarterly reports within four weeks of the end of each quarter. At the end of each year of the Protracted Crisis Appeal there should be an annual report, submitted within four weeks, which provides a report on activities and cumulative achievements for that year.

The report must be accompanied by the progress logical framework which is a template under **CI Appeal core templates and annexes EN/FR/ES**. It tracks progress against indicators, based on the approved (original or revised) logical framework.

A financial report must be submitted with the quarterly narrative report. The template for the Rapid Response Appeal, Emergency Appeal and Protracted Crisis Appeal are in **CI Appeal core templates and annexes EN/FR/ES**. There are a number of worksheets to complete, and it is best to start with the detail and then use these to fill out the consolidated financial report and the financial report summary. There is a worksheet for each diocese, one for the ERST/STEP costs, and another for national Caritas costs. Worksheets can be added or deleted as needed. All of these require the most recent approved budget figures to be entered by line item as well as expenditure, in both local currency and in euros. Once these are completed, the consolidated financial report pulls together data from these worksheets to create totals, and the financial report summary again pulls data from the consolidated report to create the summary. It is recommended that formulas are used to link cells to the relevant cells in other worksheets, to avoid errors when re-entering numbers. Throughout the process, frequent use of the guidance notes (the last worksheet, or available in CI Appeal core templates and annexes EN/FR/ES) can provide useful information on what costs are eligible (e.g. assessment costs are eligible), what constitutes an asset and where to source the exchange rate. The financial guidance notes also list attachments which must accompany the financial report, such as the list of assets and justification of changes.

4.2 Revisions

4.2.1 Budget & proposal revisions

When contributions and pledges have been made, if the total is less than the total appeal, the proposal and budget should be revised and brought in line with the funding committed at the time of the first quarterly report. The contingency scenario developed during the project design and included in the Emergency Appeal proposal should inform the decisions to be made at this stage.

It may also be necessary to revise the programme if there are changes in the context which require a change in assistance. The beneficiary needs must be reflected in the budget revisions, (without exceeding the contributions and pledges made or realistically expected), and changes must be based on new assessments. If objectives or indicators change, the proposal and logical framework should also be revised.

A budget revision is required if there is a greater than 10% variance in expenditure compared to budget for any budget heading (A1, A2 etc.). This is unlikely to impact project design and will not require an accompanying revised proposal.

In all cases, the procedure is the same. Revisions can be made at any point, however the revised budget must be accompanied by an explanatory note showing the rationale behind the changes, and it is advised to submit them alongside the quarterly reports. Templates for the budget revision and explanatory note are included in **CI Appeal core templates and annexes EN/FR/ES**. If the proposed changes are minor, the existing budget may be used, with changes shown in a different colour. The revised budget and explanatory note should be sent to CI for posting on Baobab and donors have ten calendar days for comment after which it is considered approved, or once bilateral discussions with a donor are brought to a conclusion. Members must report on the last approved version of the budget.

4.2.2 No-cost extension

A no-cost extension can be requested by the national Caritas or Facilitating Partner, with a revised budget. The total value of the appeal cannot change, but a request can be submitted to CI via Baobab to extend the project timeframe for up to two months. Staff and running costs will need to be covered for the extended period, so a no-cost extension is usually only possible when there is an underspend and for as long as the running costs can be covered. A no-cost extension must not be submitted later than two weeks before the end of the project.

4.3 Human resource management

The CI Management Standards (see **CI principles and protocols**) recall the wording of *Deus Caritas Est*, 31, 2005, "Individuals who care for those in need must first be professionally competent," and require Member Organisations to have a written Human Resource Manual that is familiar to and commonly applied by the management, staff, volunteers and interns. The Management Standards also require MOs to act in accordance with national laws such as labour laws, and to uphold the Code of Ethics for CI MOs and the Code of Conduct for Staff (see **CI principles and protocols**).

This commitment to professional competence is also a Sphere standard. The Core Humanitarian Standard 6 says, "Communities and people affected by crisis receive the assistance they require from competent and well-managed staff and volunteers," and follows this with the requirement that "Staff are supported to do their job effectively, and are treated fairly and equitably."

4.3.1 Human resource management for a CI Emergency Coordinator, ERST, STEP, FP and Sector Working Group deployments

The CI General Secretariat is responsible for the transparent recruitment and performance management of the CI Emergency Coordinator, ERST, STEP and Facilitating Partner. During deployment to the national Caritas, the employee remains legally bound to her/his sending MO (mandated by CI).

ERST and STEP members develop individual work-plans based on the CI approved ToR for the ERST/STEP, and their performance is reviewed against these plans at the midpoint and end of the ERST or STEP timeframe. The team leader conducts the review with team members, and the General Secretariat conducts the review with the team leader.

The CI performance appraisal forms (under **CI support mechanisms**) should be used for CI Emergency Coordinators, ERST and STEP members. The first form is to collect feedback from the national Caritas and at least two Caritas Member Organisations present in-country, either verbally in discussion with the supervisor, or in writing and sent to the supervisor. The Member Organisations, identified by CI General Secretariat, should be ones that are present in-country, that have not seconded staff to the same ERST or STEP, and which are actively involved in the appeal either through technical support, financial contribution or monitoring. The second form is for the supervisor, and acts as a discussion guide for the performance review and as a form in which to record notes from the conversation. The supervisor should write a performance appraisal report which documents the feedback from the national Caritas and Member Organisations in-country and the conversation with the supervisee.

The performance reviews are not the only opportunity for feedback and discussions on performance of ERST and STEP team members. The national Caritas is encouraged at all times to maintain an open channel of communication with the General Secretariat, particularly if there are concerns that should be resolved earlier rather than later. Issues emerging from the assignment should be reported by the deployed employee to the humanitarian director at the CI General Secretariat. The humanitarian director will take any measures required based on the feedback provided and, if the nature of the issue requires it, will get in touch with the sending MO. All feedback reported will be dealt with confidentiality.

Technical advisors deployed from the Sector Working Groups are seconded to the national Caritas. Feedback from the national Caritas and seconded staff will be provided to the Chair of the Working Group who conducts the performance review after each deployment. The Humanitarian Department of the General Secretariat oversees the sectoral working groups and conducts an annual performance reviews of the Chair.

The CI Support Mechanisms will be evaluated as part of the Appeal evaluation. Questions for the evaluation of the ERST/STEP/Facilitating Partner are provided in the **CI support mechanisms** section and should be included in the ToR for the external evaluation.

4.3.2 Security management for an ERST/STEP

The ERST/STEP team leader is responsible for the security of the team, supported by CI and the national Caritas. CI is responsible for ensuring the team leader has the security assessment tool and guidance (see **Security resources**), and has read them and has adequately analysed risks and planned for eventualities.

4.4 Monitoring by CI and CI MOs

4.4.1 Monitoring systems

The national Caritas is responsible for monitoring and evaluation, with the support of the ERST/STEP/FP if these are activated. When the Appeal is approved, monitoring systems need to be set up in order to track progress towards project indicators. It is particularly important to have a system established quickly in order to track the distribution of goods or services, as every item should be traceable from procurement to distribution. Daily tallies need to be kept on distributions and consolidated in each location, at the end of every day, week and month. Light monitoring, i.e. small numbers of interviews or focus groups, should also be used to check beneficiary satisfaction. During monitoring visits, observation and informal chats can track whether there is a change in context which requires a shift in the response. The **Monitoring, evaluation and accountability resources** section has guidance and tools.

Staff should also be oriented on beneficiary accountability and the importance of listening to beneficiaries and using their input to inform programme decision making. Feedback channels such as a telephone hotline, suggestion boxes and a complaints mechanism can also be established, providing people with a range of ways in which to communicate questions or concerns about the project. Systems need to be in place to record and respond to feedback as it is collected.

Complaints about sexual exploitation and abuse need to be handled separately and with confidentiality. The **Monitoring, evaluation and accountability resources** section includes the Good Enough Guide which sets out principles and tools.

4.4.2 MO or CI monitoring visits

A large appeal can lead to a multitude of monitoring visits by Member Organisations and the CI General Secretariat. Proactive sharing of information about planned visits can increase awareness among CI MOs of the demands being put upon the national Caritas and can promote opportunities to coordinate. For example, sitreps can be used to share the dates and times of coordination meetings and field visits, so that members can plan to attend or join in as appropriate. Transparency in monitoring visit objectives and findings is encouraged, with timely and constructive communication of observations so that there are opportunities for sharing and learning.

The CI General Secretariat can play a role in mediating and encouraging joint meetings or monitoring visits. Commemorations are often a popular time to visit, and CI MOs are requested to plan visits in advance and communicate intentions early. A spirit of cooperation across the confederation is appreciated.

4.5 Coordination

4.5.1 CI coordination mechanisms

The Country Forum is recommended as a platform for coordination of support and information sharing between members in-country, bringing together the national Caritas and in-country CI MOs on a regular (at least quarterly) basis, chaired by the national Caritas or Facilitating Partner.

The Country Working Group is another CI-mandated mechanism which brings together CI MOs (for both those in and outside the country), regional coordinators and, as required, other organisations who have a working relationship with the national Caritas. The working group should meet on a regular basis and take on tasks in order to support the national Caritas' response to the crisis.

The national Caritas is responsible for drafting the minutes of Country Forum and Country Working Group meetings and for sharing them with the CI General Secretariat who will in turn disseminate them to the network.

The **CI support mechanisms** such as the CI Coordinator, ERST, STEP and FP have a strong role in coordination. Often activated in a large appeal with multiple Member Organisations involved, the support mechanism is responsible for proactively sharing information on the response with all involved Member Organisations, promoting transparency and convening members around the standards to which all Caritas Member Organisations are committed.

4.5.2 Mapping of Caritas interventions

The CI Response Mapping template should be used to record data on the Caritas confederation response, listing all CI MOs involved, their presence in-country and partnership, their programme locations, sectors, beneficiaries, euro value and timeframe for implementation. This is an extremely valuable tool that keeps the national Caritas (and from there, the CI General Secretariat, Regions and the confederation) up to date with the full picture of the confederation response, which can often involve more MOs and more grants than the Emergency Appeal. This is also an important step in being able to represent Caritas as a confederation and not as multiple stand-alone members. All Member Organisations are requested to share the required information on a timely and regular basis, to facilitate the compiling of this information by the National Caritas or ERST/STEP/FP.

4.5.3 Coordination with other humanitarian actors

All CI MOs are required to see themselves as part of the larger humanitarian response and to actively participate in the national and UN coordination system. The first step is for all Caritas MOs to contribute to the "3Ws" which is the matrix of Who is doing What Where, usually coordinated by OCHA. If the confederation response is accurately mapped (using the CI Response Mapping template, see above), the Caritas confederation can be represented as a single response in the 3W matrix, but most commonly each CI MO is individually listed.

As UN OCHA, the Office for the Coordination of Humanitarian Affairs, says, "Coordination is vital in emergencies. Good coordination means less gaps and overlaps in humanitarian organisations' work. It strives for a needs-based, rather than capacity-driven, response. It aims to ensure a coherent and complementary approach, identifying ways to work together for better collective results."

The national Caritas, supported by the ERST/STEP/FP and all in-country CI MOs should participate in the humanitarian coordination meetings. These can be organised by the national or local government, or by the UN cluster system. Coordination is essential to avoid duplication and to ensure the worst affected – often marginalised groups or the most remote ones – are served. Coordination also enables a response where a Caritas MO might not be able to provide it themselves, by calling for others to respond and providing them with information. It is important for staff to understand how to refer people in need (e.g. of protection, or of goods or materials) to other providers.

The cluster system consists of nine thematic clusters for coordination at both the field and global levels, with each field-level cluster led by a UN agency or delegated to an INGO or the IFRC. The nine clusters, together with their lead agencies, are:

- Nutrition (UNICEF)
- Health (WHO)
- Water/Sanitation (UNICEF)
- Emergency Shelter (UNHCR/IFRC)
- Camp Coordination/Management (UNHCR/IOM)
- Protection (UNHCR/OHCHR/UNICEF)
- Early Recovery (UNDP)

- Logistics (WFP)
- Emergency Telecommunications (OCHA/UNICEF/WFP)

Active participation in the relevant cluster meeting at the national and local level means that other responders will be aware of Caritas' plans and activities and Caritas can also learn from them. The meetings provide an opportunity to exchange information, agree on standards and to share challenges and seek solutions together. Attending coordination meetings can improve understanding of whether the most vulnerable can access services safely, and can help to identify where advocacy is needed to argue for the right of the vulnerable to safe access to services. Active participation by CI MOs also raises the profile and visibility of Caritas as an important humanitarian actor.

Links to resources, organised by category, referenced in this section:

- CI Appeal core templates and annexes FR ES
- CI principles and protocols
- Programming resources
- CI support mechanisms
- Communication resources
- Confederation logistics forms and templates
- Monitoring, evaluation and accountability resources
- Confederation procurement forms and templates
- Confederation warehousing forms and templates
- Humanitarian code of conduct and minimum standards
- Protection resources
- Security resources

5 How to close an appeal

Summary of steps to take to close an appeal

- Draft a narrative report
- Draft a financial report
- Prepare for a financial audit
- Manage the programme balance
- Prepare for an internal or external evaluation
- Gather learning

5.1 The final report

The Appeal report templates and Progress Logical Framework Template (in **CI Appeal core templates and annexes EN/FR/ES**) are to be used for the final report. The timeframe for reporting is within two months of the end of activities for all types of appeal. The report must be submitted to the CI General Secretariat with a copy of the audit report and a copy of the evaluation report.

The report template reflects the format of the proposal. Ability to report accurately for example on beneficiary numbers disaggregated by sex or vulnerability requires systems to be set up from the beginning of the programme.

5.2 The progress logical framework

The progress logical framework template is an adapted version of the logical framework. It is required for all types of appeal. The first columns present the approved objective statements and indicators (using the most recently approved versions in the case of revisions). The column entitled "Progress" is where results against indicators should be reported. Concise statements should be used, simply stating the number, percentage or qualitative outcome achieved, and comparing this to the target. The report provides the explanation for these statements. Statements made will be checked during the evaluation, and the column entitled "Means of verification" should be completed with the source of the information, such as distribution sign-off sheets or distribution reports, which are the evidence of the progress achieved.

5.3 The financial report

The financial report templates are under **CI Appeal core templates and annexes EN/FR/ES**. The same template is used for quarterly and final reports. It is recommended that the final financial report is completed within two weeks of the end of the implementation phase. The final financial report and supporting documents are then audited, and the final financial and narrative reports and the audit report have to be submitted to CI within two months of the end of the programme.

It is important to report on the latest approved version of the budget, whether a revised budget or a no-cost extension. Expenditure totals from these worksheets must be carried over to the consolidated report; careful linking of worksheets can reduce the risk of error in copying numbers between worksheets.

The financial guidance notes are provided as a worksheet in the report template and as a pdf in the Toolkit under **CI Appeal core templates and annexes EN/FR/ES**. The guidance notes should be read before starting work on the report.

5.4 How to prepare for an audit

All Appeals are subject to an audit. The audit is carried out on the basis of the final financial report, and the audit report must be submitted to CI with the financial and narrative reports.

Audit guidance notes are provided as a worksheet in the financial report template and there is also an example of a terms of reference for an audit (both under **CI Appeal core templates and annexes EN/FR/ES**). It is important to plan for the audit before the end of the programme as developing the terms of reference, advertising and selecting the audit firm takes time and there is a delay between signing the contract and the audit taking place. CI recommends starting audit preparation in Month 9 of implementation, as demonstrated on the example of the Gantt chart (**CI Appeal core templates and annexes EN/FR/ES**). Both the audit guidance notes and the ToR for a financial audit provide criteria for the eligibility of the audit company and the CI General Secretariat can provide support on the selection of an audit company if required. The ToR has an annex that lists the financial information to be prepared by Caritas before the start of an audit. Time spent thoroughly organising and checking the documents to be audited will facilitate the auditor's work and will save time answering questions and pulling together information during the audit.

The national Caritas is advised to share the draft audit report with the humanitarian department of the CI General Secretariat before it is finalised, since experience has shown that this saves time resolving discrepancies between the financial report and audit report when closing the appeal. The annex of the ToR explains how the CI General Secretariat's involvement before finalisation of the audit report can reduce time and expense later.

The CI Management Standards set out the key aspects of a financial management system, as well as requirement for an annual audit (MS 3.8). Compliance with the MS will strengthen a Caritas MOs financial systems and stand it in good stead when it comes to the audit of an Appeal. Each audit can lead to recommendations for how to improve financial management systems and it is good practice to draw up an action plan to ensure findings are addressed.

5.5 Guidelines on the use of a balance

At the end of an appeal, if there is a balance, approval must be given by the contributing members on how this balance can be used.

Financial guidance notes in the financial report template set out three options: carrying it over to an existing or new CI Appeal; submission of a new programme related to the original appeal; or, for amounts less than €5,000, using it to implement recommendations from the final evaluation, audit, or for goods or activities related to the emergency response. The request must be sent to CI who distributes it to all MOs, who in turn have ten calendar days in which to respond directly to the implementing Caritas with any concerns or questions.

If the balance is over €5,000 and the reporting Caritas submits a new programme related to the Emergency Appeal, the latter is subject to the requirements as an Emergency Appeal and it should not exceed twelve months of implementation. The follow-up proposal is screened and approved by the CI General Secretariat. Donors have ten days to respond with preferences or alternatives, otherwise the reporting Caritas may use the funds for the reason suggested. A report must be submitted to CI at the end of the follow-up project.

If the balance is under €5,000, it can be spent within or beyond the timeframe of the Emergency Appeal and the CI General Secretariat will only ask for updates on its use, with no requirement for formal reports.

5.6 How to prepare for a final evaluation

An internal evaluation is mandatory for all Emergency Appeals or Protracted Crisis Appeal with a total budget of less than €250,000, and an external evaluation is mandatory for all appeals of over €250,000. A template for a terms of reference for an external evaluation of an Emergency Appeal programme is included in **CI Appeal core templates and annexes EN/FR/ES**. It can be adapted for an internal evaluation.

As with an audit, the planning for an external evaluation needs to happen well in advance, with the development of the ToR and advertising recommended to take place three months before the end of the Appeal in order to have a team selected and ready to start at the end of the project. Similarly, project documents (proposal, interim reports, monitoring forms and data, RTE report, etc.) need to be accessible to the evaluation team. Staff will need to be available for interviews, and preparations will need to be made so that the team can visit project areas and talk to beneficiaries and stakeholders. It is good practice to request a verbal debrief and presentation of preliminary findings to project staff, in order to incorporate analysis, feedback and learning in the final evaluation report.

The investment in a final evaluation is an investment in learning, and opportunities should be taken to foster the desire to improve through participatory and transparent engagement in the evaluation process. Staff can be encouraged to reflect on what was achieved and how, what was less successful and why, and to share their thoughts openly and constructively. The final evaluation report should be shared with project staff and other departments, and future programmes should refer to the recommendations in order to inform design and implementation. A good practice is to draft an action plan to implement recommendations from the final evaluation so that learning is integrated into everyday practice.

5.7 The process of closing an Appeal

When the CI General Secretariat receives the final report and other documents, as detailed above, they are reviewed and the General Secretariat may send questions and comments to the national Caritas to ensure the quality and accuracy of the report. The national Caritas revises the report and other documents based on these comments, and resubmits to the CI General Secretariat. When finalised, the General Secretariat posts the final report and a full set of documents on Baobab to make it accessible to all Member Organisations and to signal that the appeal is closed. Member Organisations should take into consideration this period of review when planning their reporting timelines to back donors.

5.8 Recommendations regarding learning

The Caritas confederation has vast experience in humanitarian response and learning from past programmes must be actively pursued by all Member Organisations. Each Appeal presents opportunities for learning, whether in terms of the relevance and appropriateness of the response, the implementation strategy, management systems and decision making, or monitoring and evaluation. Holding learning events (such as a real time evaluation, see RTE guidance in **Monitoring, evaluation and accountability resources**) during the response encourages reflection on progress, fosters problem solving and facilitates cross-learning between sectors. The final evaluation and audit reports likewise should be perceived as supporting improvement, and the reports should be accessible and staff should be encouraged to use them in the ongoing work. The General Secretariat and the CI Regions, will take opportunities to promote learning across programmes and countries, sharing good practice and directing members towards useful resources applicable to future appeals.

Links to resources, organised by category, referenced in this section:

- CI Appeal core templates and annexes FR ES
- Confederation monitoring and evaluation guidance

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