

## **CAP 2013 – 2015 Guidance Note**

This document provides Shelter / NFI Cluster members guidelines on drafting and submitting proposals for CAP 2013 – 2015. This document also provides the process by which the Cluster Review Committee (CRC) will review projects. All projects must be inline with CAP Strategic Objectives and Shelter Cluster specific objectives.

### **Shelter Cluster Primary Criteria**

A proposal must fulfill all of the following requirements. If it does not, the CRC will not review the proposal and it will be rejected outright.

- i. The organisation must be in the Shelter Cluster 4W Matrix. New organisations wishing to submit a shelter project may be allowed to do so only after discussions with the Shelter Cluster Coordinator, who will inform the CRC to review the reasonableness of the request.
- ii. The organisation must have physical presence in the area it is operating in, or if expanding demonstrates that it has the capacity to do so. If operating through an implementing partner, it must demonstrate that its partner has presence, or is capable;
- iii. The organisation participates at Nairobi / Field Level Shelter Cluster;
- iv. The submitted proposal must be fully completed and coherent. If critical information is missing, budget lines incomplete but activities indicate a cost, the log-frame is not complete etc., the project will not be considered; and
- v. Project implementation period includes activities in 2013;
- vi. The project must identify and respond to the distinct needs of women, girls, boys and men as well as vulnerable groups including the elderly and people with disabilities, or justify its focus on one group (i.e. targeted action). If the proposal is gender blind, it will receive a score of zero (0) and will be rejected. Proposals must meet the minimum requirement of a Gender Marker of “1”, but priority is given to projects that have a Gender Code of 2a or 2b

### **Shelter Cluster Secondary Criteria**

- i. Proposals need to be humanitarian in nature, meaning that the proposal is in line with the strategic objectives of the Shelter Cluster Response Plan.
- ii. Coherence: A project needs to clearly show the link between chosen Outputs, Output Indicators and Objectives. The activities must be formulated in a clear and consistent manner and correspond with the chosen objectives, outputs and output indicators.
- iii. Preference will be given to proposals that are complementary and coordinated across other Clusters.

- iv. The needs that the project plans to address must be confirmed by evidence such as the use of first-hand assessments, triangulation, or multiple independent sources.
- v. Monitoring & Evaluation: Proposals need to show how data will be obtained to monitor the implementation of the project at Output and Objective level.
- vi. If submitting a multi-year CAP proposal, activities in 2014 and 2015 need to be justified. The interventions in a multi-year proposal need to show what the incremental changes in the situation will be, and therefore, what the planned Output will be.
- vii. Proposals must have a clearly identified exit strategy. This means that a proposal should have an explanation of how the project will terminate, and who will take over after the end-life of the project. In line with the principle of “do no harm”, projects that focus on service delivery must outline how the targeted population will access services after the project comes to an end.

## **Cluster Response Plan**

### **Cluster Three year Strategy**

The Cluster's response plan for 2012 contained three objectives in linear order, starting with life-saving, moving through a transitional period with Objective 3 focusing on durable solutions. The essence of these three objectives remains unchanged for 2013-2015, however it is unrealistic to consider that from 2013 to 2015 there is a linear progression from Objective 1, through Objective 2 until in the last year, activities to achieve Objective 3 are programmed. Rather we envisage that there will be a constant need for life-saving activities and projects, independent of more transitional and durable solutions. The Cluster anticipates that the gains in year 1 such as community acceptance, local authority agreements, community participation will be built upon over the 3-year planning period so that in year 2014 and 2015, more cost effective and efficient service delivery is realised. Longer-term planning will allow more attention to be paid to settlement planning, obtaining long-term land tenure, skill transfer and integrated services.

The Cluster Response Strategy contains three pillars reflecting each of the overarching shelter needs:

#### **Emergency response**

The Cluster will continue to provide emergency assistance to those affected by natural disaster (flood, fire, drought) and for those displaced by conflict. The Cluster will distribute a minimum NFI kit<sup>1</sup> and an Emergency Shelter Kit (ESK) to those in need.

The Cluster will maintain the response capacity to distribute NFI minimum package for 30,000 households / 90,000 persons, through emergency stocks held across Somalia. This

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<sup>1</sup>EAP minimum package consists of 1 reinforced plastic tarpaulins (4m x5m), 3 woven dry raised blanket (150 x 200 cm), 1 synthetic sleeping mat (2.7m x 1.8 m), 1 kitchen set, 2 non-collapsible jerry cans (20 litres), sanitary clothes, underwear and 1 bar of soap (750g) agreed by the Cluster in 2011.

figure is lower than in 2012 and reflects the ease with which high quality NFIs can be procured in Mogadishu and the Cluster's desire to undertake more local procurement.

Programme design will take account of the specific needs of women and, where appropriate, women's dignity kits will also be distributed. When set criteria are met, cash-based assistance or vouchers can also be considered. Post-distribution monitoring (PDM) will form an integral part of the distribution planning and its results will be shared with the Cluster. When there is an unacceptably high risk of diversion of NFI, the Cluster may not distribute.

#### Transitional shelter

Transitional shelter is provided to stabilised IDP settlements which have traditionally been in and around the urban centres of Somalia. The concept of transitional shelter covers all interventions from Shelter Kits to Corrugated Galvanized Iron (CGI) shelters. The typology will depend on many factors including land tenure, funding levels, needs, agency experience, support from local authorities and location of the IDP settlements. The provision of transitional shelter should be preceded by consultations with women and men from the community on the proper layout of the site, demarcation, fire prevention and the provision of basic services, which will be addressed concurrently in coordination with the other relevant clusters (i.e. WASH, Health, Education and Food). In particular the views of women, specifically about protection, will be considered during the design of the shelter so that a safe and secure environment can be created. The provision of transitional shelter will be guided by the six (6) standards for shelter as per SPHERE.<sup>2</sup> All contractors will follow a code of conduct when working in the settlements and measures such as quotas will be used to ensure more women have the opportunity to be part of the construction, where it is culturally acceptable.

#### Support for durable solutions

The authorities across Somalia continue to demonstrate a desire to address the IDP situation by providing IDPs with land tenure. The nature of this tenure varies from short term rights of use to the right to use and inherit the land indefinitely. The Cluster will continue to advocate for more secure forms of tenure and work with the authorities to find durable solutions for the IDPs.

Where suitable land is available, direct assistance will be provided for the creation of new settlements, integrating services (Health, Education, WASH) and incorporating settlement planning. The specific needs of older women and single headed households during the return / relocation process will be considered.

When conditions are conducive, in consultation with the Protection Cluster, support for voluntary return to place of origin will be provided by distributing EAPs and transitional shelter upon return.

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<sup>2</sup> Sphere Handbook, 2011, PP. 239-286, *Minimum Standards in Shelter, Settlement and Non-Food Items*

| Category of people in need | Number of people in need |            |              | Beneficiaries targeted in cluster's CAP projects (end-year 2013 target) |            |            | Beneficiaries targeted in cluster's CAP projects (end-year 2014 target) |            |            | Beneficiaries targeted in cluster's CAP projects (end-year 2015 target) |            |            |
|----------------------------|--------------------------|------------|--------------|---|------------|------------|---|------------|------------|---|------------|------------|
|                            | Female                   | Male       | Total        | Female  | Male       | Total      | Female  | Male       | Total      | Female  | Male       | Total      |
| IDPs ('000s)               | 660                      | 440        | 1,100        | 450   | 300        | 750        | 360   | 240        | 600        | 240   | 160        | 400        |
| Totals                     | <b>660</b>               | <b>440</b> | <b>1,100</b> | <b>450</b>  | <b>300</b> | <b>750</b> | <b>360</b>  | <b>240</b> | <b>600</b> | <b>240</b>  | <b>160</b> | <b>400</b> |

### Explanation of number of beneficiaries targeted

There are estimated to be 1.1 million IDPs in Somalia. Assuming that the displacement in 2013 is 250,000 (predicted 368,000 in 2012) and that returns within Somalia are limited, then the total IDP figure for 2013 could reach 1.35 million. At the time of writing, the Cluster members have distributed NFIs to 588,000 IDPs; this figure should reach 650,000 by the end of the year. Assuming that those reached in 2012 do not need another EAP, then the target figure is 750,000. For subsequent years, it is expected that more IDPs will return home and displacement will reduce as the country stabilizes. Therefore, the target numbers will fall by 150,000 for 2014 and by another 200,000 for 2015.

Cluster objectives and output targets

Strategic objective 1: Ensure equal and integrated life-saving assistance to malnourished children and people living in humanitarian emergency and crisis to reduce mortality and destitution.

### Cluster objective 1

Contribute to the protection of displaced populations and those affected by natural hazards from life-threatening elements.

### Output:

1. Displaced populations have basic household items.
2. Displaced populations have basic shelter.
3. Distributions are monitored using a standardised methodology to ensure accountability and to improve programming.

| Output Indicator   | Mid-2013 target | End-2013 target | 2014 target | 2015 target |
|--|-----------------|-----------------|-------------|-------------|
| % of those in need receiving Non Food Items (NFIs)                     | 50              | 100             | 100         | 100         |
| % of those in need receiving Emergency Shelter Kits (ESKs)             | 20              | 40              | 45          | 50          |
| % of distributions having undergone Post Distribution Monitoring (PDM) | 80              | 80              | 85          | 90          |

Strategic objective 2: Contribute to the quality, reliability, equitability and responsiveness of basic services and promote predictable safety nets, ensuring that the humanitarian needs of individuals and households that face chronic stress and who are at risk of destitution are met, in line with IASC minimum standards.

### **Cluster objective 2**

Improve the living conditions of people in need at stabilised IDP settlements.

#### **Output:**

1. Those living in and around IDP settlements have adequate shelter.
2. The settlements are planned with basic services
3. The risk of fire in the settlements is reduced through mitigation measures.

| <b>Output Indicator</b>                           | <b>Mid-<br/>2013<br/>target</b> | <b>End-<br/>2013<br/>target</b> | <b>2014<br/>target</b> | <b>2015<br/>target</b> |
|---|---------------------------------|---------------------------------|------------------------|------------------------|
| % of those in need receiving Transitional Shelter | 20                              | 40                              | 50                     | 60                     |

Strategic objective 3: Promote livelihood support to increase access to durable solutions that protect household and community social and economic assets, by addressing livelihood vulnerabilities, including displacement and climate change, resulting in strengthened household resilience and a return to sustainable and stable livelihoods, facilitating progress towards the Millennium Development Goals.

### **Cluster objective 3**

Facilitate access to durable solutions for displaced populations through integration and/or relocation.

#### **Output:**

1. IDPs are protected from further displacement

| <b>Output Indicator</b>                         | <b>Mid-<br/>2013<br/>target</b> | <b>End-<br/>2013<br/>target</b> | <b>2014<br/>target</b> | <b>2015<br/>target</b> |
|---|---------------------------------|---------------------------------|------------------------|------------------------|
| % of those in need who have secured land tenure | 10                              | 20                              | 30                     | 40                     |
| % of those in need who have appropriate shelter | 10                              | 20                              | 30                     | 40                     |

Strategic objective 4: Strengthen the capacity and coordination of NGOs, affected communities and local, regional and national level authorities, to prevent and mitigate risks and implement effective emergency response.

### **Cluster objective 4**

To improve the service provision by Shelter / NFI Cluster partners through enhanced coordination, improved needs assessments and the use of common tools and designs.

**Output:**

1. Cluster has better information and capacity to meet the objectives of the Cluster

| <b>Output Indicator</b>                        | <b>Mid-<br/>2013<br/>target</b> | <b>End-<br/>2013<br/>target</b> | <b>2014<br/>target</b> | <b>2015<br/>target</b> |
|--|---------------------------------|---------------------------------|------------------------|------------------------|
| Needs assessment completed in areas of concern | 5                               | 10                              | 15                     | 15                     |

**Cluster Review Committee (CRC) Process for CAP 2013 – 2015**

CRC Members will attempt to reach consensus to prioritize projects. If this is not possible, Members vote and decide by simple majority. CRC Members do not participate in the discussions and do not vote on their own organisation's projects.

**CRC REVIEW PROCESS**

**Step 1: Pre-screening**

- i. CRC members check if the CAP proposal responds to a number of mandatory criteria. If one of the criteria is not fulfilled, the proposal maybe rejected; and
- ii. The project meets the requirements of the gender coding. Projects should have a **Gender Marker** code of at least 1. If it is determined that the project is gender blind, it will receive a score of zero (0) and will be rejected.

**Step 2: Proposal Vetting - 1st Round**

- i. All projects that passed the Primary criteria will be vetted based on the Secondary criteria,
- ii. During this review, the CRC can approve outright, conditionally approve, or reject a project.
- iii. If conditionally approved, the submitting organisation will have 48 hours to respond to comments made. The CRC will provide clear instructions on what revisions are requested. The organisation may not substitute a new proposal, or revise the proposal under review; if that action was not requested by the CRC.
- iv. The CRC can ask a submitting agency to reduce its budget, to limit or shift its area of intervention, or to remove particular activities.

**Step 3: Proposal Vetting – 2nd Round**

- i. The second round is to allow agencies to improve the project in-line with the CRC's recommendations.
- ii. The CRC reviews if the submitting agency has adequately addressed the comments.
- iii. The CRC assess the complementarity of the projects. In case of duplication, or when the overall response capacity exceeds the needs to be covered, the CRC will prioritise and may reject qualitatively good projects

- iv. Should the responses not adequately address the issues raised by the CRC, a project may be rejected at this stage.

**Step 4: Project Submission to the CAP**

- i. The CRC approved projects will be communicated to OCHA and the Humanitarian Coordinator.
- ii. The Humanitarian Coordinator has final authority to approve or reject. If approved, OCHA will contact the organisation directly with details of the next steps.