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**NOTE**: UNICEF’s response timeline that has been developed in conjunction with this reference document provides key actions and time frames for UNICEF to respond to an emergency.
### 1. ACRONYMS

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<td>AAP</td>
<td>Accountability to Affected Populations</td>
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<td>AAR</td>
<td>After Action Review</td>
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<tr>
<td>AMP</td>
<td>Annual Management Plan</td>
</tr>
<tr>
<td>AoR</td>
<td>Area of Responsibility (within the IASC cluster approach)</td>
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<tr>
<td>APA</td>
<td>Advanced Preparedness Actions (within the IASC framework)</td>
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<tr>
<td>ARA</td>
<td>Annual Risk Assessment</td>
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<tr>
<td>AWP</td>
<td>Annual Work Plan</td>
</tr>
<tr>
<td>BCP</td>
<td>Business Continuity Plan</td>
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<tr>
<td>C4D</td>
<td>Communication for Development</td>
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<td>CAP</td>
<td>Consolidated Appeal Process</td>
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<td>CBPF</td>
<td>Country-Based Pooled Fund</td>
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<td>CCA</td>
<td>Common Country Analysis (UN)</td>
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<td>CCA</td>
<td>Climate Change Adaptation</td>
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<td>CCCs</td>
<td>Core Commitments for Children in Humanitarian Action (UNICEF)</td>
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<tr>
<td>CCPM</td>
<td>Cluster Coordination Performance Monitoring</td>
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<tr>
<td>CEAP</td>
<td>Corporate Emergency Activation Procedure</td>
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<tr>
<td>CEDAW</td>
<td>Convention on the Elimination of all Forms of Discrimination against Women</td>
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<td>Common Framework for Preparedness (interagency)</td>
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<td>Division of Human Resources (UNICEF)</td>
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<td>DFAM</td>
<td>Division of Finance and Administration (UNICEF)</td>
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<td>Abbreviation</td>
<td>Full Form</td>
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<td>Emergency Response Preparedness</td>
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<td>Emergency Response Team</td>
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<td>Funding Authorisation Certificate of Expenditures</td>
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<td>FTS</td>
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<td>HPC</td>
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<td>HQ</td>
<td>Headquarters (UNICEF HQ in New York or Geneva)</td>
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<td>HR</td>
<td>Human Resources</td>
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<td>Integrated Strategic Framework</td>
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<td>Long Term Agreement</td>
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<td>M &amp; E</td>
<td>Monitoring and Evaluation</td>
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<td>Multi-Donor Trust Fund</td>
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<td>MICS</td>
<td>Multiple Indicator Cluster Survey</td>
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<td>Minimum Preparedness Actions</td>
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<td>Mid-Term Review</td>
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<td>Non-Governmental Organisation</td>
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<td>Office for the Coordination of Humanitarian Affairs</td>
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<td>OPR</td>
<td>Operational Peer Review</td>
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<td>OR</td>
<td>Other Resources</td>
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<td>Acronym</td>
<td>Description</td>
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<td>ORE</td>
<td>Other Resources (Emergency)</td>
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<td>ORR</td>
<td>Other Resources (Regular)</td>
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<tr>
<td>PBR</td>
<td>Programme and Budget Review</td>
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<td>PCA</td>
<td>Programme Cooperation Agreement</td>
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<td>PD</td>
<td>Programme Division</td>
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<td>PDNA</td>
<td>Post-Disaster Needs Assessment</td>
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<td>PFP</td>
<td>Private Fundraising and Partnerships</td>
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<td>PME</td>
<td>Planning, Monitoring and Evaluating</td>
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<td>PPD</td>
<td>Public Partnerships Division</td>
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<td>PPP</td>
<td>Programme Policy and Procedure Manual</td>
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<td>PRC</td>
<td>Partnership Review Committee</td>
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<td>RD</td>
<td>Regional Director</td>
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<td>Risk-Informed Programming</td>
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<td>RO</td>
<td>Regional Office (UNICEF)</td>
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<td>RM</td>
<td>Resource Management</td>
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<td>RPBA</td>
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<td>Regional Response Roster</td>
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<td>Rapid Response Team</td>
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<td>RWP</td>
<td>Rolling Work Plan</td>
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<td>SBP</td>
<td>Stand-by Partner</td>
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<td>SD</td>
<td>Supply Division (UNICEF)</td>
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<td>SDGs</td>
<td>Sustainable Development Goals</td>
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<td>Sendai Framework for Disaster Risk Reduction</td>
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<td>SitAn</td>
<td>Situation Analysis</td>
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<td>SitRep</td>
<td>Situation Report</td>
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<td>SMS</td>
<td>Short Message Service</td>
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<td>SMT</td>
<td>Security Management Team (interagency at country level)</td>
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<td>SOPs</td>
<td>Standard Operating Procedures</td>
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<td>SRM</td>
<td>Security Risk Management</td>
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<td>SSFA</td>
<td>Small Scale Funding Agreement</td>
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<td>SSOPs</td>
<td>Simplified Standard Operating Procedures</td>
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<td>STS</td>
<td>Surge Tracking System</td>
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<td>TOA</td>
<td>Table of Authority</td>
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<td>UN</td>
<td>United Nations</td>
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<td>UNCT</td>
<td>United Nations Country Team</td>
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<td>UNCRC</td>
<td>United Nations Convention on the Rights of the Child</td>
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<td>UNDAF</td>
<td>United Nations Development Assistance Framework</td>
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<td>UNDSS</td>
<td>United Nations Department of Safety and Security</td>
</tr>
<tr>
<td>UNGA</td>
<td>United Nations General Assembly</td>
</tr>
<tr>
<td>UNISDR</td>
<td>United Nations Office for Disaster Risk Reduction</td>
</tr>
<tr>
<td>UNSG</td>
<td>United Nations Secretary General</td>
</tr>
<tr>
<td>UNSMS</td>
<td>United Nations Security Management System</td>
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<tr>
<td>WASH</td>
<td>Water, Sanitation and Hygiene</td>
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<td>WHS</td>
<td>World Humanitarian Summit</td>
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<td>WP</td>
<td>Work Plan</td>
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</table>
2. DEFINITIONS

These are UNICEF’s definitions of terms used in this document. They are consistent with IASC and UNISDR definitions although they may differ slightly.

CAPACITY: The combination of all the strengths, attributes and resources available within a community, society or organisation.

CONFLICT ANALYSIS: The systematic study of the profile, causes, actors and dynamics of conflict.

CONFLICT SENSITIVITY: (‘Do No Harm’) Developing and implementing programmes to work most effectively in conflict, principally through: understanding the conflict context; carefully considering the interactions between planned or ongoing interventions and the conflict context; and acting upon the understanding in programme design and implementation, to minimize potential negative impacts.

CONTINGENCY PLANNING: An ad hoc planning process which prepares Country Offices (COs) to respond to a specific, imminent risk (related to one or more hazards). It is triggered when a specific risk exceeds the global threshold set by HQ and ROs and is more specific than a multi-risk preparedness plan.

COUNTRY RISK PROFILE: The ranking of the risks associated with different hazards (shocks or stresses), using the inter-agency Impact and Likelihood Scale and Risk Graph.

DISASTER: A serious disruption of the functioning of a community or a society involving widespread human, material, economic or environmental losses and impacts, which exceeds the ability of the affected community or society to cope using its own resources.

EMERGENCY PREPAREDNESS: The mechanisms and systems put in place in advance to enable an effective and timely emergency response to humanitarian crisis, based on analysis of the risks in a particular context, taking into account national and regional capacities and UNICEF’s comparative advantage.

EMERGENCY PREPAREDNESS PLANNING: A multi-risk planning process undertaken at least annually to enable an effective and timely emergency response to humanitarian crisis, based on analysis of the risks in a particular context, taking into account national and regional capacities and UNICEF’s comparative advantage.

EXPOSURE: The presence of people, property, livelihoods, systems or other elements in areas that can be impacted by various shocks and stresses.

HAZARD (SHOCK OR STRESS): A dangerous phenomenon, substance, human activity or condition that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage. A shock is a sudden and potentially damaging hazard or other phenomenon. A stress is similar to a shock but chronic in nature and can occur over a longer period of time.

HUMANITARIAN ACTION:

UNICEF’s humanitarian action encompasses both (a) interventions aimed at saving lives and protecting rights, in line with the CCCs; and (b) addressing underlying risks and causes of vulnerability to disasters, fragility and conflict (through both humanitarian and development work).

IMPACT: The humanitarian consequences of a hazard (shock or stress), if it occurs.

LIKELIHOOD: The probability of a hazard (shock or stress) occurring.

MINIMUM PREPAREDNESS STANDARDS: Mandatory benchmarks for COs, ROs and HQ designed to increase significantly UNICEF’s preparedness for emergency response.
MINIMUM PREPAREDNESS ACTIONS: Mandatory actions all UNICEF offices must take in order to meet the Minimum Preparedness Standards.

MITIGATION: The lessening or limitation of the adverse impacts of hazards and related disasters.

PEACEBUILDING: (‘Do More Good’) Working on conflict in order to: reduce the risk of a lapse or relapse into violent conflict by directly addressing root causes and consequences of conflict; strengthen national, community and individual capacities to address conflict constructively; and lay and support foundations for sustainable peace and development.

PREVENTION: The outright avoidance of adverse impacts of hazards and related disasters.

RECOVERY: The restoration, and improvement where appropriate, of facilities, livelihoods and living conditions of disaster-affected communities, including efforts to reduce disaster risk factors.

RESILIENCE: The ability of a system, community or society exposed to hazards (shocks and stresses) to resist, absorb, accommodate to and recover from the effects of a hazard, shock or stress in a timely and efficient manner, including through the preservation and restoration of its essential basic structures and functions.

RISK: The likelihood of a hazard (shock or stress) and its impact.

RISK ANALYSIS: The process of determining the likelihood and impact of a hazard (shock or stress) in a defined period, and consequently the risk that the hazard possesses.

RISK INFORMED PROGRAMMING: An approach to programming that aims to reduce the risk of hazards, shocks and stresses on children’s well-being, their communities and systems, contributing to resilient development.

VULNERABILITY: The characteristics and circumstances of a community, system or asset that make it susceptible to the damaging effects of a shock or stress.
3. PURPOSE AND SCOPE

This reference document is a resource for UNICEF Country Offices (as well as Regional Offices and Headquarters) in planning for and responding to an emergency. It provides an overview of humanitarian action fundamentals for all COs, particularly those in non-L3/L2 emergencies. It is a “living” document that brings together existing guidance, procedures and tools, including risk-informed programming guidance and emergency preparedness guidance and procedure.

This document applies to all types and scale of humanitarian crisis, including sudden onset, sudden escalation in existing crises and / or protracted crises and slow onset.

It outlines the main components in planning and responding to a humanitarian emergency / crisis, generally as follows:

- What the components are?
- Why they are important?
- What are the key actions and who is responsible?
- When they are used (including the timeline of actions and deliverables in an emergency)?
- Issues or tips to consider when taking action?
- Links to suggested tools / guidance

An indicative timeline of general actions and deliverables for a UNICEF CO responding to an emergency is also provided with this document. For L2 and L3 emergencies, specific procedures are provided in the Simplified Standard Operating Procedures (SSOPs).

This reference document in particular draws upon and should be used in conjunction with the:

- Core Commitments for Children in Humanitarian Action (CCCs),
- UNICEF Guidance for Risk Informed Programming
- UNICEF Guidance and Procedure on Preparedness
- UNICEF Cluster Coordination Guidance for Country Offices
- IASC Cluster Coordination Reference Module
- IASC Reference Module for the Implementation of the Humanitarian Program Cycle
- Guides to Conflict Analysis and Peacebuilding
- Programme Framework for Fragile Contexts
4. OVERVIEW

GLOBAL CONTEXT

At the end of 2016, an estimated 535 million children – nearly one in four – lived in countries affected by conflict or disaster, often without access to medical care, quality education, proper nutrition or protection. It is estimated that by 2018 half of the world’s poor children will live in fragile situations.

Crises are becoming more frequent and more complex, lasting longer and affecting more children and their families. Conflict has become more protracted: 37 years (2013) versus 19 years (1990) on average. Forced displacement due to conflict and natural disaster is increasing.

GLOBAL AGENDA

The 2030 Agenda for Sustainable Development and the Sustainable Development Goals (SDGs) are central to UNICEF’s work. They set a global vision and priorities for the next 15 years, along with the outcomes from the Financing for Development Conference in Addis Ababa (July 2015); COP 21 in Paris (December 2015); the Sendai Conference on Disaster Risk Reduction (March 2015); and the World Humanitarian Summit (WHS) (September 2016).

The 2030 Agenda stresses that to achieve the SDGs, a more effective and all-encompassing approach to humanitarian preparedness and response, and longer-term development (including for climate change), are needed. The 2030 Agenda underlines the importance of all actors (government, civil society, the private sector) working together to advance the development agenda. Similarly, in humanitarian planning and assistance, while governments have the primary responsibility, businesses and civil society can play an important complementary role. In fact, the first ever World Humanitarian Summit in 2016 emphasized that “today’s challenges can only be adequately addressed through the collaboration of national governments, civil society, people affected by crises, the private sector, national and international organizations and others.”

The WHS also reiterated that humanitarian action must be more effective and efficient and better linked with development programming. The Summit called for: (1) longer term, flexible financing; 2) aid to be locally-driven; 3) education as a humanitarian priority; 4) humanitarian response to be more inclusive, including of people with disabilities; and 5) greater investment in risk prevention and mitigation.

UNICEF’S MANDATE

UNICEF, guided by the Convention on the Rights of the Child (UNCRC) is mandated by the United Nations General Assembly (UNGA) to advocate for the protection of children’s rights, to help meet their basic needs and to expand their opportunities to reach their full potential. In cooperation with governments and non-governmental organisations (NGOs), UNICEF helps to save and protect the world’s most vulnerable children, providing health care, immunisations, nutrition, access to safe water and sanitation services, basic education, protection and emergency relief.

UNICEF works to achieve results for children both through its development programmes and humanitarian action in times of crisis, with a view to resilient development.

UNICEF’s mandate includes a commitment to humanitarian action in "ensuring special protection for the most disadvantaged children - victims of war, disasters, extreme poverty, all forms of violence and exploitation and those with disabilities... In coordination with United Nations partners and humanitarian agencies, UNICEF makes its unique facilities for rapid response available to

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1 Press release
2 OCHA in 2014 & 2015 Plan and Budget

Chair’s Summary, by the UNSG. Standing up for Humanity: Committing to Action, May 2016
its partners to relieve the suffering of children and those who provide their care."

**UNICEF’S HUMANITARIAN ACTION**

UNICEF’s humanitarian action encompasses both (a) emergency preparedness, response and recovery interventions aimed at saving lives and protecting rights, in line with the Core Commitments for Children in Humanitarian Action (CCCs); and (b) addressing underlying risks and causes of vulnerability to disasters, fragility and conflict (through both humanitarian and development work).

In 2014 humanitarian action was recognised as one of the key priorities of UNICEF’s Strategic Plan. The development of the 2018-21 strategic plan also reflects this. It was emphasised that humanitarian action is everyone’s business and that all staff, at all levels across all functional areas, are required to contribute to UNICEF’s preparedness and response (including recovery) to emergencies.

**THE CORE COMMITMENTS FOR CHILDREN IN HUMANITARIAN ACTION (CCCS)**

Aligned with international standards and guided by humanitarian principles, the CCCs are UNICEF’s internal policy on humanitarian action. They outline predictable, effective and timely collective humanitarian action in programmatic areas including health, nutrition, WASH, child protection, education and HIV/AIDS; and operational commitments. They define results and targets for humanitarian preparedness and response.

UNICEF is accountable for implementing the CCCs in all contexts, including:

- sudden onset crises (eg as a result of earthquakes, volcanoes, floods, conflict / violence / political / economic-related crises);
- sudden escalation in existing crises and / or protracted crises;
- slow onset crises (eg as a result of a drought).

The context may also be a combination of factors.

UNICEF’s humanitarian work continues to evolve. New areas not fully covered in the CCCs include adaptations for large scale population displacements and public health emergencies, as well as specific programming interventions including use of multi-purpose cash-based programming, stronger cross-cutting Communication for Development (C4D) elements and related mechanisms for accountability to affected people.

**HUMANITARIAN ACTION AND RESILIENT DEVELOPMENT**

The post-2015 Agenda 2030, Sendai Framework for Disaster Risk Reduction, World Humanitarian Summit/Grand Bargain, and the high-level reviews of peacebuilding and peace operations by the United Nations all recognize that development and humanitarian interventions have to be better linked to support resilient development, including by addressing the root causes of crises.

UNICEF’s humanitarian and development mandate means it is well placed to strengthen the resilience of children, communities and systems. Its humanitarian action contributes to development outcomes, and UNICEF development programmes contribute to addressing the risks and drivers of humanitarian crisis. This way, UNICEF can respond quickly to immediate needs at the onset of an emergency, while also contributing to resilient development by supporting national/local capacities and by helping children and their families to anticipate and reduce risks related to disaster, conflict, climate change and other shocks, prepare for and better manage crises, and recover from them more rapidly. This will ultimately reduce the size and cost of the humanitarian response.

In support of this, UNICEF is adopting a risk-informed approach to programming: undertaking robust risk analysis, and adjusting and developing programming as necessary to prevent, mitigate and prepare for those risks. These strategies include:

- advocating for risk reduction strategies in national and local development plans, as well as sector policies and programmes;
• strengthening systems across social sectors, including social protection;
• supporting community engagement mechanisms in humanitarian and development programming;
• investing in emergency preparedness.


UNICEF contributes to the following Grand Bargain Commitments for improving effectiveness and efficiency through:

2. Allocating at least 30% of humanitarian funding to local and national actors, including government, CSOs and the private sector, by 2018 (currently 23% of CERF funds are allocated to national partners).
3. Increasing the use and coordination of cash-based programming.
4. Advocating with donors to reduce duplication and management costs through eg the use of the UNICEF Annual Consolidated Emergency Report.
5. Improving joint, impartial and coordinated needs assessment and analysis.
6. Enhancing participation and accountability of affected populations.
7. Increasing collaborative multi-year planning and funding.
8. Advocating for donors to provide flexible, predictable, longer-term funding with reduced ear-marking.
9. Harmonizing and simplifying reporting requirements.
10. Enhancing engagement and integration between humanitarian action and development programming.

UNICEF endeavours to put into practice the “New Way of Working”[^4] which calls for collective outcomes across the UN system and the broader humanitarian and development community to help meet people’s immediate humanitarian needs – while at the same time reducing risk and vulnerability. It means seeking to work over multi-year timeframes (recognizing the reality of protracted crises) and aligning humanitarian and development processes to contribute to longer term development gains and the achievement of the SDGs.

UNICEF STRUCTURES FOR HUMANITARIAN ACTION

UNICEF has Headquarters (HQ) based, Regional Office (RO) and Country Office (CO) level structures to prepare and respond to emergencies. It has three internal levels of emergency response depending on the factors of scale, urgency, complexity, reputational risk and capacity for responding to the emergency. A Level 1 response is when the CO can respond with its own resources and usual HQ/RO support; Level 2 response is when the CO requires additional support to scale up and RO provides leadership; Level 3 response means a corporate, agency-wide response to the emergency. UNICEF has emergency procedures that apply to all situations as well as specific Simplified Standard Operating Procedures (SSOPs) for Level 2 and Level 3 responses.[^5]

At CO level, the Country Management Team (CMT) leads the programming within a country. During an emergency, regardless of scale, an emergency management team (EMT)[^6] is established. This is usually an extension of the CMT, often including emergency focal points from ROs and HQ. The team’s terms of reference depend on UNICEF’s level of response to the emergency: for a Level 2 response there is a defined Regional Emergency Management Team (REMT) structure; for a Level 3 response there is a different EMT structure including a Global Emergency Coordinator (GEC), as

[^4]: See OCHA: The New Way of Working
[^5]: UNICEF’s levels of emergency response and associated SSOPs are outlined in Chapter 10 on “Determining the level of emergency response”
[^6]: In some regions this is called the Crisis Management Team
per UNICEF Simplified Standard Operating Procedures (SSOPS).

The RO is the first port of call for the CO. It provides guidance and direct technical support, virtually or face-to-face, to country teams.

The Office of Emergency Programmes (EMOPS) provides strategic and coordinated support to COs responding to humanitarian crises, in collaboration with ROs, to ensure that COs have the right capacities to respond effectively and deliver on the CCCs. This support includes a global security team; a 24-hour, 7-day-a-week Operations Centre (OPSCEN); and the Humanitarian Field Support Section (HFSS) as a first contact point.7

Technical and operational support for humanitarian action is also provided by Programme Division, Supply Division, Division of Human Resources, Public Partnerships Division, Private Fundraising and Partnerships, Division of Finance and Management, Division of Communication and the Office of Evaluation.

INTER-AGENCY HUMANITARIAN STRUCTURES

A number of global and country-level functions and groups exist to coordinate humanitarian action on behalf of the Secretary-General (SG) of the United Nations. These create lines of accountability from country operations all the way to the SG. UNICEF is committed through a GA resolution (46/182) to be part of this coordination structure and play a key role in both the global and country-level groups.

The Emergency Relief Coordinator (ERC), who is also the head of OCHA, is responsible for the oversight of all emergencies requiring United Nations humanitarian assistance. The ERC also acts as the central focal point for governmental, intergovernmental and non-governmental relief activities globally.

The ERC chairs the Inter Agency Standing Committee (IASC). The IASC is the primary global mechanism for inter-agency coordination relating to humanitarian assistance. It is made up of all operational UN agencies as well as standing invitees including the Red Cross/Red Crescent Movement and NGOs. The heads of each UN member agency, including UNICEF, make up a body called the IASC Principals, who advise the ERC and make decisions about issues with system-wide implications, eg development of the Transformative Agenda which includes protocols on activation of a system-wide Level 3 emergency, the Humanitarian Program Cycle and the Cluster Reference Manual.

At country level the Resident Coordinator (RC) leads the Country Team on behalf of the SG. In an emergency the ERC may designate a Humanitarian Coordinator (HC) to oversee the response. This might be the RC, double-hatting both positions (called an RC/HC); or a separate HC function might be created. Where a peacekeeping or political mission is present, the RC/HC could be the Deputy Special Representative of the Secretary-General (DSRG) of the mission, triple-hatting these positions. In an emergency, the RC/HC will lead the Humanitarian Country Team (HCT).

The HCT has strategic and operational decision-making and oversight for the response. It includes representatives from the UN, international NGOs, and the Red Cross/Red Crescent Movement. Heads of agency who are also designated Cluster leads (like the UNICEF Representative) represent the Clusters as well as their respective organizations at the HCT.

The IASC Emergency Directors support humanitarian operations by advising the Emergency Relief Coordinator and the IASC Principals on operational issues of strategic concern, and by mobilizing agency resources to address operational challenges and gaps, in support of HCs and HCTs.

7 See organigram of UNICEF emergency response structure
5. PRINCIPLES, FRAMEWORKS AND THE CCCS

This section outlines the principles, frameworks and standards governing UNICEF’s humanitarian action for children, and for which UNICEF is accountable, and explains why they are important.

THE CCCs

The Core Commitments for Children in Humanitarian Action (CCCs) is a global framework for humanitarian action for children undertaken by UNICEF and its partners. This framework is guided by international human rights law, in particular the UN Convention on the Rights of the Child (UNCRC), and, in the case of armed conflict, also by international humanitarian law. 8

The CCCs promote predictable, effective and timely collective humanitarian action. They include programme and operational commitments, corresponding to results-based sectoral programmes and operational areas that form part of and are considered necessary for a collective effective programmatic response.9 The CCCs also reflect UNICEF’s IASC commitments.

UNICEF works towards the CCCs in all contexts. The fulfilment of the CCCs, however, depends on many factors, including the contributions of other partners and the availability of resources. Resources (cash, in-kind, expertise, core assets, and others) can come from both public and private sources.

The CCCs are realised through close collaboration among partners, host governments, civil society organisations, NGOs – both national and international – UN agencies and donors, and the private sector - mobilising both national and international resources10.

The CCCs reflect actions taken throughout the preparedness and response phases, including actions for early recovery, with emphasis on results and benchmarks. The CCCs include explicit strategies to reduce disaster risk and develop local capacity at all stages of humanitarian action, including preparedness.

UNICEF’s humanitarian action work continues to evolve. New areas not fully covered in the CCCs’ strategic results framework include adaptations for large scale population displacements and public health emergencies, as well as specific programming interventions including use of multi-purpose cash-based programming, stronger cross-cutting C4D elements and related mechanisms for accountability to affected populations.

UNICEF’s CCCs and humanitarian action are based on a normative framework which includes the following international legal frameworks:

International Human Rights Law which offers protection to civilians both in times of peace and in times of armed conflict, including:
- UN Convention on the Rights of the Child (UNCRC) and its Optional Protocols; and
- Convention on the Elimination of All Forms of Discrimination against Women (CEDAW)

International Humanitarian Law (IHL) which offers protection to civilians and combatants during armed conflict

International Refugee Law11

International Criminal Law

HUMANITARIAN PRINCIPLES

These universal humanitarian principles govern UNICEF’s humanitarian action:

- HUMANITY: upholding the principle that all girls, boys, women and men of every age shall be treated humanely in all circumstances by saving lives and alleviating suffering, while ensuring respect for the individual;
- IMPARTIALITY: ensuring that assistance is delivered to all those who are suffering, based only on their needs and rights, equally and without any form of discrimination;

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8 Geneva Conventions and Commentaries
9 See Chapter 12 on “UNICEF’s Programmatic Response in Emergencies”
10 This is consistent with UNICEF commitments to interagency humanitarian reform, including the Principles of Partnership
11 1951 Refugee Convention
• **NEUTRALITY**: a commitment not to take sides in hostilities and to refrain from engaging in controversies of a political, racial, religious or ideological nature. This is linked closely to independence to which UNICEF is committed under the UN Charter;

• **INDEPENDENCE**: humanitarian action must be separate from the political, economic, military or other objectives of any actor in the areas where humanitarian action is implemented.

UNICEF also abides by the following four principles:

• **DO NO HARM**: aid must not become an indirect part of the dynamics of the conflict; assistance should support recovery and long-term development (aid should not reinforce dependency, social stratification or underlying structural inequality);

• **ACCOUNTABILITY**: humanitarian agencies should hold themselves accountable to affected populations, national partners and donors;

• **PARTICIPATION OF AFFECTED POPULATIONS**: the humanitarian response should build on existing capacities and promote participation;

• **RESPECT FOR CULTURE AND CUSTOM**: most interventions require particular sensitivity to the local context.

**OTHER INTERNATIONAL STANDARDS AND NORMS**

• **General Assembly resolutions**, in particular Resolution 46/182, which created the Inter-Agency Standing Committee (IASC) and tasked the UN with supporting and strengthening state capacity for emergency response in order to care for the victims of natural disasters and other emergencies;

• **Relevant Security Council resolutions**, including those pertaining to the protection of children affected by armed conflict, in particular **SC Resolution 1612**;

• Guiding Principles on Internal Displacement, The Paris Principles and Guidelines on Children Associated with Armed Forces or Armed Groups;

• **Global humanitarian standards** that aim to improve the quality of humanitarian action and enhance the accountability of the humanitarian system to affected populations, specifically children. These include the Humanitarian Charter and Minimum Standards in Disaster Response (**Sphere Standards**), the Inter-Agency Network for **Education in Emergencies (INEE)** Minimum Standards, the Child Protection Minimum Standards in Humanitarian Action (**CPMS**) and the **IASC Guidelines for integrating gender based violence interventions into humanitarian action**.

Two recent developments reinforce UNICEF’s commitment to **accountability to people at risk** and affected by humanitarian crises:

• The **Core Humanitarian Standard (CHS) on Quality and Accountability** describes the essential elements of principled, accountable and high-quality humanitarian action, and places communities and people affected by crisis at the centre of humanitarian action.14

• The **Children’s Rights and Business Principles**, developed by UNICEF, the UN Global Compact and Save the Children in 2012 is the first comprehensive set of principles to guide companies on actions they can take in the workplace, marketplace and community to respect and support children’s rights. **Principle 9** calls on all business to “Help protect children affected by emergencies”. For further guidance see **Children in Humanitarian Crises: What Business Can Do** (2016)

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12 Press Release
13 Recognized by heads of state and government at the 2005 World Summit, GAR 60/L.1, para. 132

14 See also the **IASC Commitments to Accountability to Affected Populations**
PROTECTION FROM SEXUAL EXPLOITATION AND ABUSE

Sexual exploitation and abuse by humanitarian personnel represents a catastrophic failure of protection. It brings harm to those we are mandated to protect and jeopardises the reputation of our organisation. It also violates universally recognised international legal norms and standards. Child abuse\(^\text{15}\), including sexual abuse and exploitation in any form against any individual, constitutes acts of serious misconduct and therefore grounds for disciplinary measures.

Anyone working for and with the UN must fully uphold at all times ethical behaviour in his/her professional and private life. All those working with and for UNICEF must be familiar with and abide by:

- Secretary-General’s Bulletin Special Measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13)
- Secretary General’s Bulletin Prohibition of discrimination, harassment, including sexual harassment, and abuse of authority (ST/SGB/2008/5)
- Statement of Commitment on Eliminating Sexual Exploitation and Abuse by UN and Non-UN Personnel

UNICEF’S APPROACH TO PROGRAMMING

UNICEF is committed to reinforcing a human rights-based approach to programming in humanitarian action by:

- addressing inequalities and disparities in analysis, programme design, implementation and monitoring, recognising that inequalities may cause or exacerbate vulnerabilities in humanitarian crises;
- promoting the participation of children, adolescents, women and affected populations in the analysis, design and monitoring of humanitarian programmes;
- strengthening the capacities of state authorities and non-governmental and community organisations and the private sector as an essential strategy for joint and effective humanitarian action;
- advocating for the rights and voices of children and women in humanitarian action.

UNICEF is committed to an equity-based approach in humanitarian action. Equity means all children have an opportunity to survive, develop, and reach their full potential, without discrimination, bias, or favouritism. It means identifying risks and underlying vulnerabilities, targeting humanitarian action to and prioritising the needs of those most vulnerable and disadvantaged.

UNICEF’s child rights-based approach and agenda encompasses all rights issues faced by children. In line with its mandate and the priorities of the Human Rights Up Front agenda of the UN and Centrality of Protection Policy of the IASC, the organization is committed to use the tools at its disposal to prevent and address violations of international humanitarian law and international human rights law in situations of armed conflict, political and other crises.

INTERAGENCY STANDING COMMITTEE (IASC)

UNICEF is committed to working with the principles and frameworks of the IASC and its Transformative Agenda, which aims to improve the effectiveness of humanitarian response through greater predictability, accountability, responsibility and partnership.

WHAT ARE THE KEY ACTIONS?

For UNICEF humanitarian action to adhere to the policies and principles above, COs need to ensure that:

- processes and tools for assessment, planning, implementation, monitoring and evaluation of

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\(^{15}\) Child Abuse can be defined as an act, or failure to act, on the part of a parent and / or caregiver, including those that have access to a child, that results in the death, serious physical or emotional harm, sexual abuse, or exploitation of a child, or which places the child at imminent risk of serious harm, and / or seriously impacts the child’s long-term development and potential. Also see Article 19 of the UNCRC.
the response are in line with policy, standards and principles above;

- **all staff are familiar with and trained** on CCCs, humanitarian principles and legal frameworks and have access to supporting resources. [UNICEF CCC e-Learning](#)
- **implementing partners are screened** and monitored for alignment with UNICEF’s principles as per UNICEF’s Civil Society Organisations’ procedure.

### WHO IS RESPONSIBLE?

All those working for and with UNICEF are bound to work and conduct themselves in full compliance with humanitarian principles and legal frameworks which apply at all times to UNICEF, governments, and other partners involved in humanitarian action. The Representative has overall accountability for the CO upholding these standards.

### SUGGESTED TOOLS / GUIDANCE

- [UN Convention on the Rights of the Child](#)
- Secretary-General’s Bulletin *Special Measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13)*
- The [Core Commitments for Children (CCCs)](#)
- [Core Humanitarian Standard (CHS) on Quality and Accountability](#)
- Humanitarian Charter and Minimum Standards in Disaster Response ([Sphere Standards](#))
- **Education in Emergencies (INEE) Minimum Standards**
- **Child Protection Minimum Standards in Humanitarian Action (CPMS)**
- The [Children’s Rights and Business Principles](#)
- [IASC Guidelines for integrating gender based violence interventions into humanitarian action](#)
- [Centrality of Protection Policy of the IASC](#)
6. RISK INFORMED PROGRAMMING FOR RESILIENT DEVELOPMENT

WHAT IS IT?

Risk-informed programming is programming based on a robust analysis of shocks\(^{16}\) and stresses\(^{17}\) as well as the underlying vulnerabilities and capacities in a given risk-prone, conflict-affected or fragile context. On the basis of the analysis, the CO and partners review, adjust and develop programming that prevents or reduces risk and supports resilient development.

Risk analyses and risk-informed programming can take place at the CO level or within individual sectors and should support a government-led process.

WHY IS IT IMPORTANT?

Risk-informed programming aligns with the priorities of the 2030 Agenda:

- The World Humanitarian Summit (WHS) recognised that both humanitarian and development work should be more inclusive of risk and its consequences, calling for a shift ‘from delivering aid to ending need’.
- The Sustainable Development Goals outcome document – Transforming Our World – stresses the need to address the risks of global health threats, disasters, violent conflict, climate change and other humanitarian crises.
- The Sendai Conference on Disaster Risk Reduction emphasises the need to reduce risks caused by natural, manmade, environmental, technological and biological hazards.
- The Paris Climate Agreement obliges all stakeholders to mitigate global warming and adapt to climate change.

Risk analysis applies to, and helps to integrate, regular programming with humanitarian action. The process of risk analysis, consensus building and programme review helps governments, communities, COs and their partners adjust programme focus and strategies.

An effective risk informed programme:

- addresses the underlying causes of risk such as low capacity and high vulnerability (including exclusion, structural inequalities, etc);
- plans for the impact of shocks and stresses to avoid possible disruptions to service delivery by adjusting programmes;
- avoids exacerbating risks for children, their families, communities and systems;
- contributes to preparedness and timely and efficient humanitarian action.

WHEN IS IT NEEDED?

Risk analysis should start at the very beginning of the planning cycle. It can also be initiated at key moments in the programme cycle, eg in the development of a new Country Programme Document (CPD), at a Mid-Term Review (MTR), as part of recovery planning or when a new shock occurs.

WHAT ARE THE KEY ACTIONS?

The basic steps of risk-informed programming are:

1. Conduct risk analysis by identifying (i) shocks, stresses and exposure of people and infrastructure; (ii) capacities of systems and vulnerabilities of populations; and (iii) priority risks.
2. Review, adjust and develop programmes by: (i) reviewing sector deprivations; (ii) analysing the impact of shocks and stresses on programme sector deprivations (when a child’s basic needs in that sector are not met); (iii) conducting a bottleneck analysis; (iv) adjusting, adapting and developing programmes based on risks; (v) identifying partnerships; and (vi) revising work plans.

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\(^{16}\) A sudden and potentially damaging phenomenon or hazard

\(^{17}\) Similar to a shock, but chronic in nature and can occur over a longer period of time
3. **Incorporate risk indicators** into monitoring and evaluation processes.

**WHO DOES WHAT?**

Representatives, Deputy Representatives, Planning Officers, Section Chiefs and other staff should:

(i) support UNICEF and partners to deliver on their commitments to reduce risk and strengthen resilience as set out in the 2030 Agenda, national development processes and agency plans (e.g., UNICEF Strategic Plan and Executive Directive on Climate Change);

(ii) contribute to interagency efforts to strengthen national risk analysis capacity and establish common risk platforms for analysis and joint planning;

(iii) support a process of nationally-led multi-hazard risk assessment at key moments in the programme cycle;

(iv) develop programmes, activities and strategies in support of national development plans, UNDAFs and CPDs, as well as interagency humanitarian processes such as Humanitarian Needs Overviews (HNOs) and Humanitarian Response Plans (HRPs).

**COORDINATION WITH OTHER STAKEHOLDERS**

- UNICEF should support the engagement of sector line ministries and encourage a risk-informed approach among both development and humanitarian actors, as well as others such as the private sector.
- The risk analysis is meant to be used in partnership with stakeholders, particularly the government (and ideally led by government), as well as civil society, interagency partners, bilateral and multilateral entities and communities.

**SUGGESTED TOOLS / GUIDANCE**

- UNICEF’s guidance on risk informed programming
- UNICEF’s guides on conflict analysis and peacebuilding
- Technical note on resilient development
- UNICEF’s Technical Note on Disaster Risk Reduction
- UNICEF Guidance and Procedure on Preparedness
- Executive Directive on Climate Change
**7. PREPAREDNESS**

**WHAT IS IT?**

Emergency preparedness consists of the mechanisms and systems put in place in advance to enable an effective and timely emergency response to humanitarian crisis, based on analysis of the risks in a particular context, taking into account national and regional capacities and UNICEF’s comparative advantage.

Preparedness includes: building national capacities for preparedness and response; ensuring Country Offices’ (COs) preparedness to respond; developing Headquarters (HQ) and Regional Offices’ (ROs) capacity to support COs; and contributing to interagency (IA) preparedness. The combination of these elements varies according to context.

Preparedness is part of risk-informed programming (which also includes disaster risk reduction, climate change adaptation, peacebuilding and social protection).

Preparedness comprises both a long-term approach and shorter-term measures:

- Throughout the risk-informed country programme cycle, COs build national capacities for preparedness and response; and mitigate or prevent the impact of shocks and stresses by reducing children’s vulnerabilities and exposure and strengthening national systems and infrastructure.
- Through annual emergency preparedness planning, COs also define shorter-term activities to get ready to support national authorities and civil society in coordinating and responding to a crisis.

UNICEF sets mandatory Minimum Preparedness Actions and Minimum Preparedness Standards for all COs, ROs and HQ. However, there are some simplifications for low risk countries.\(^\text{18}\)

**WHY IS IT IMPORTANT?**

Emergency preparedness significantly facilitates swifter, more effective response to humanitarian crisis, helping UNICEF to deliver on the CCCs. Investing in preparedness has proven over time to reduce the cost of responding to an emergency.

**WHAT ARE THE KEY ACTIONS?**

**Annual Emergency Preparedness Planning**

All Country Representatives must ensure that their offices complete a four-step preparedness planning process every year, to prepare to respond to the priority risks in their context (“multi-risk” planning). The timing of the process is aligned with the development of the country’s Annual Work Plan (or, in the case of rolling and multi-year country Work Plans, with scheduled reviews of the Work Plan). This alignment ensures that country Work Plans and Annual Management Plans include preparedness activities and resources.

Each programme and operation section includes preparedness in its plans.

COs align preparedness planning with IA and government partners as far as possible, including the risk analysis.

COs in low risk countries may choose to do only Step 1 and Step 4 of the process.

**Step 1: Risk analysis and monitoring**: Based on the risk analysis which COs do as part of the SitAn using the risk-informed programming methodology (under development), COs rank the risks, using the Interagency Impact and Likelihood Scale and Risk Graph. This represents the country risk profile, from which COs identify the two to four priority risks for which scenarios and UNICEF responses are to be defined. Updated country risk profiles are also used.

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\(^{18}\) HQ and ROs designate countries high, medium or low risk using the INFORM Country Risk Index and the six UNICEF exception criteria - see Guidance Note Annex 4.
to inform the broader Annual Risk Assessment (ARA) documented in the corporate risk register, and are reflected in the Business Continuity Plan, Enterprise Risk Management (ERM) and the Security Risk Management document as applicable.

COs monitor the risks regularly, at least every six months, to identify changes in the risk profile - a light process using external information sources and collaborating with IA partners and government as feasible. The timing of the risk monitoring is aligned with the CO Work Plan review schedule. Only when the CO determines that the priority risks have changed does it update steps 2, 3 and 4.

For both risk analysis and risk monitoring, COs use any analyses already available (e.g. other UNICEF analyses, national or IA plans, external information sources).

HQ and ROs systematically monitor risks globally and monitor multi-country risk, thereby complementing COs’ monitoring and contributing to global IA risk monitoring.

Step 2: Scenario definition: For each of the two to four priority risks, COs identify the likely humanitarian implications: the scale, humanitarian consequences, priority needs for women and children, and the capacities and constraints of the government and major humanitarian actors (including development and private sector partners) in coordinating and implementing the response. COs may build one single scenario for all priority risks if the main humanitarian implications do not change significantly across different risks.

Step 3: UNICEF response: COs outline their intended strategy and plans to support the national humanitarian response, in line with the CCCs. If the key elements of UNICEF’s response do not change significantly across the different scenarios, a single response plan can be developed.

Step 4: Preparedness Actions: COs review their capacities, procedures and coordination systems to deliver the response outlined in Step 3; and develop Preparedness Actions to get ready to deliver the response, starting from the Minimum Preparedness Standards. The Preparedness Actions are integrated into the CO Work Plan and Annual Management Plan.

CONTINGENCY PLANNING

HQ and RO set a global threshold for risks (defined as a number on the Interagency Risk Graph). If a risk associated with a specific hazard or a combination of hazards (e.g. conflict in an area affected by drought) exceeds this global threshold, the CO follows steps 2 to 4 to develop a (risk-specific) contingency plan, starting from the Minimum Preparedness Standards. Further preparedness activities identified are added to the CO Work Plan and Annual Management Plan.

If IA contingency planning is underway, the CO is involved. The CO complements the IA planning with internal planning elements as necessary.

WHO DOES WHAT?

HQ sets mandatory Minimum Preparedness Actions and Minimum Preparedness Standards for COs, ROs and HQ. These are mandatory Actions and Standards, designed to increase significantly UNICEF’s preparedness for emergency response. These Standards represent the minimum; Offices are expected to undertake preparedness activities beyond this minimum to further enhance their readiness to respond, especially in high risk countries.

In case of multi-country risks, the RO supports COs in producing preparedness plans or contingency plans based on a common analysis of the risk, scenario and anticipated response. In case of multi-country risks exceeding the global threshold established by HQ and RO, ROs have the option to produce a single, multi-country contingency plan.

Country Representatives ensure that COs meet the Minimum Preparedness Standards and that they continually enhance their preparedness. RDs

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19 See Annex B of Preparedness Guidance
ensure that ROs meet the Minimum Preparedness Standards and provide technical assistance, oversight and quality control to priority COs to enhance their preparedness levels. At both RO and CO level, key staff from all programme and operation sections are involved in planning and implementation of preparedness activities, including staff or focal points responsible for Sector coordination, Enterprise Risk Management, Organisational Resilience Management/ Business Continuity Management and Security Risk Management.

RESOURCE MOBILISATION AND ALLOCATION

COs allocate existing resources to preparedness and include preparedness in their resource mobilisation plans, building a case for funding from donors using risk assessments, preparedness and contingency plans and research. ROs allocate resources to increase their own preparedness, to support COs in a crisis, and to support COs in increasing their preparedness. HQ allocates resources to maintain policies, guidance, training and tools, and to support ROs and COs as needed.

MONITORING

For all Offices, the key measurement of preparedness is fulfilment of the Minimum Preparedness Standards based on self-assessment, and uploading of preparedness products into the Emergency Preparedness Platform (under development). For COs, ROs also provide quality control of preparedness products (as feasible).

SUGGESTED TOOLS / GUIDANCE

- UNICEF Guidance and Procedure on Preparedness
- IASC Emergency Preparedness and Response
8. THE INTERNATIONAL HUMANITARIAN SYSTEM AND COORDINATION

WHAT IS IT?

Humanitarian coordination brings together humanitarian actors to ensure coherent and principled response to emergencies. It involves developing and agreeing on roles and responsibilities; adopting and adhering to common standards in response, assessment, planning, implementation and monitoring; assessing needs; setting common priorities; developing common strategies to address issues; mobilizing funding and other resources; clarifying consistent public messaging; and monitoring progress against targets.

UNGA Resolution 46/182, adopted on 19 December 1991 and re-negotiated annually, provides the overarching framework and guiding principles for international humanitarian coordination.

The affected state has the primary role in initiation, organisation, coordination and implementation of humanitarian assistance within its territory. When the government of an affected state is unable or unwilling to attend to the humanitarian needs of the affected population, UNGA Resolution 46/182 assigns this responsibility to the UN.

In these situations, the international community will usually be requested to support the relief effort. For these contexts, the UN and the Inter-Agency Standing Committee (IASC) have outlined the coordination modalities.

UNICEF realizes its commitments to coordinated humanitarian action through IASC and UNICEF’s Core Commitments for Children (CCCs).

Where government leads coordination efforts (often called sectoral coordination), UNICEF and other humanitarian actors support coordination platforms, whatever format they may take. As prescribed in the CCCs, UNICEF commits to establishing coordination structures for its areas of programmatic responsibility. Benchmarks for each programme area therefore include supporting or establishing coordination leadership. Where clusters are activated, UNICEF has specific accountabilities for coordination leadership and co-leadership in support of national authority capacity to coordinate (detailed below).

Coordination structures should complement and support development of local mechanisms rather than create parallel ones which may weaken or undermine national efforts.

Regardless of the coordination mechanisms agreed to, the key overarching actions for effective coordination are:

- align sector strategies with a common vision;
- define and ensure there is a common understanding of roles and obligations;
- promote and support national and locally led coordination mechanisms and capacities;
- establish and agree upon common processes and approaches for needs assessment and analysis;
- develop and align humanitarian and development strategies to ensure consistency and complementarity;
- establish common information collection, analysis, sharing and management, monitoring and evaluation processes;
- apply relevant standards and guidance;
- prioritise actions clearly and concisely;
- address cross-cutting issues systematically across sectors;
- integrate programme activities across sectors;
- be accountable to affected populations.

Information management (IM) is a key enabler of coordination, to facilitate evidence-based decision making. IM activities need to occur throughout the program cycle in conjunction with coordination activities. Consistent with the focus on supporting

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20 GA Resolution 46/182 Guiding Principle 4
21 If it is a response involving refugee populations, UNHCR has the mandate to respond and will do so using a refugee coordination model.

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22 HumanitarianResponse.info - Coordination
government leadership in coordination, IM activities should support national information systems, promote common standards, build local capacities and maintain appropriate links with government, state and local authorities’ decision-making processes.

IM is a crucial part of preparedness planning. During preparedness planning, the CO should assess the IM capacities and systems of the government, and that of UNICEF across its programmatic areas of responsibility, and their readiness for coordination in an emergency. The CO should work with counterparts to build or strengthen systems to cope with crises rather than having to create them after an emergency occurs.

Key questions for IM are:

i. What questions are you trying to answer?
ii. What information and knowledge would help answering those questions?
iii. What data is needed to form that information?
iv. Who will collect the data?
v. Where and how will data be collected, aggregated and processed? (tools and platforms to be used)
vi. What expertise is needed to turn information into knowledge?
vii. How often will data be updated?
viii. To whom, for what purpose, in what format and how frequently is information disseminated?

WHY IS IT IMPORTANT?

Coordination is important because it helps UNICEF, its partners and all humanitarian actors work more effectively together to identify, analyse and meet the needs of the affected population in a crisis. It facilitates common identification of priority needs and addressing of gaps, and reduces duplication in the use of resources and capacities, all of which are crucial to delivering results and ensuring accountability of humanitarian action. Coordination in advocacy and resource mobilization helps communicate accurately to donors what the situation is and the requirements to respond.

COORDINATION AND HUMANITARIAN REFORM AND THE TRANSFORMATIVE AGENDA

Coordination is a key enabler to achieve predictable, effective and timely collective humanitarian action. Two major reviews of the international humanitarian community’s performance have introduced changes to strengthen and improve coordination:

1. A review of the humanitarian response system in 2005 led to reform in three areas: (i) more adequate, timely, flexible and effective humanitarian financing, including through the Central Emergency Response Fund (CERF); (2) a strengthened Humanitarian Coordinator system, providing more strategic leadership and coordination; and (3) implementation of the ‘cluster approach’ to build capacities in gap areas.

2. Following the large-scale crises in Haiti and Pakistan in 2010, the Inter Agency Standing Committee (IASC) launched the Transformative Agenda (TA), a set of concrete actions aimed at improving the timeliness and effectiveness of the collective response through (i) stronger leadership, (ii) more effective coordination structures, and (iii) improved accountability for performance and to affected populations.

Key elements of the Transformative Agenda include:

- the establishment of a Humanitarian System-Wide Emergency Activation process for Level 3 emergencies when the gravity of a crisis requires a rapid mobilization of the entire humanitarian system;
- a mechanism to deploy strong, experienced senior humanitarian leadership to guide the
humanitarian response from the outset of a major crisis;

- the strengthening of leadership capacities and rapid deployment of humanitarian leaders at various levels through an Inter-Agency Rapid Response Mechanism (IARRM) to ensure the coordination architecture functions well;
- improved strategic planning at the country level that clarifies the collective results that the humanitarian community sets out to achieve and identifies how clusters and organizations will contribute to them;
- enhanced accountability of the inter-agency Humanitarian Coordinator (HC) and members of the Humanitarian Country Team (HCT) for the achievement of collective results for the affected population;
- stream-lined coordination mechanisms adapted to operational requirements and contexts to better facilitate delivery of results, including through the establishment of the Humanitarian Programme Cycle and Common Framework for Preparedness.

THE CLUSTER APPROACH

The cluster approach was adopted in 2005 to increase the effectiveness of humanitarian responses. At country level, it establishes a temporary system for leadership and accountability of the international humanitarian response under the leadership of the humanitarian coordinator (HC). It defines the respective roles and responsibilities of the various agencies and provides a framework for effective partnership among international humanitarian actors, host governments, local authorities, local civil society agencies, affected populations, and other relevant stakeholders (such as the private sector). The cluster approach is applied in relation to internally displaced populations and local populations affected by rapid onset or chronic emergencies, in agreement with governments.

Cluster activation

IASC Clusters can be formally activated in an international response when a government’s capacity to coordinate response to identified needs in line with humanitarian principles is limited or constrained. Even if the government is able to lead and coordinate a response, international coordination capacity may be valuable.

Clusters should continue to operate only while they are strictly needed: plans to deactivate and transition clusters should be prepared as soon as possible after activation. Building capacity of local partners and government should be an objective from the outset.

Cluster activation is recommended to the Emergency Relief Coordinator (ERC) by the HC working with the Humanitarian Country Team (HCT) and in consultation with national authorities.

The ERC decides whether to activate the clusters, in consultation with the IASC Principals, within 24 hours of the request. When clusters are activated, each Cluster Lead Agency (CLA) is responsible for leadership of its own cluster/s. The CLA is accountable for effective functioning and performance of clusters to affected populations, the HC and to national authorities. Importantly, the CLA is expected to act in the interests of the collective cluster membership, and must be careful to avoid bias.

It is important to remember that in the many instances where clusters are not activated, UNICEF still has sectoral accountabilities as a sector lead in support of Government mechanisms.

Core functions of the clusters

The core functions of the clusters are to:

1. support service delivery;
2. inform the HC/HCT strategic decision making process;
3. plan and implement cluster strategies;
4. monitor and evaluate performance;
5. build national capacity in preparedness and within the mandate of the United Nations High Commissioner for Refugees (UNHCR) and is not part of the cluster approach.
contingency planning;
6. support robust advocacy.

Moreover, clusters must be accountable to the affected population.

CO staff, including programme staff, need to know and be able to undertake the cluster functions in the event of an emergency.

As a support to core cluster functions, dedicated cluster information management (IM) support is essential to ensure availability and access to information on the situation of affected people, their humanitarian needs, and the implementation of the cluster strategy and results.

Cluster lead agency (CLA) responsibilities

The designated CLA (or agencies):

- leads and manages the cluster, including provision of human resources for coordination and IM functions;
- ensures that protection, early recovery and cross-cutting issues are mainstreamed into programming.

The CLA accountabilities include:

- ensuring adequate response and high standards of predictability, accountability and partnership;
- serving as provider of last resort when necessary.

Globally, under the cluster approach, UNICEF is responsible for leading/co-leading three clusters: water, sanitation and hygiene (WASH); nutrition; and education (co-led with Save the Children) – as well as one area of responsibility (AOR), child protection under the protection cluster. These leads are reflected at country level unless otherwise indicated by the HCT.

At the global level, UNICEF-led/co-led clusters maintain surge capacity for coordination, build capacity to coordinate at the field level, standardize tools and guidance including for information management, develop agreement on common methods and formats for needs assessment, response planning, monitoring and benchmarking, and develop lessons learned from field response. At the global level, UNICEF is accountable to the Emergency Relief Coordinator (ERC) for delivery of the above responsibilities.

When clusters and AORs are activated at country level, UNICEF as the CLA has a responsibility for leadership of the clusters and AORs and is accountable for their effective functioning to affected populations, the HC, and to national authorities.

UNICEF is also an important cluster member with particular technical capacities. It is crucial that UNICEF take part in coordination as a member of the platform whether leading or not, eg in health where UNICEF may be leading vaccination campaigns but the cluster may be led by WHO. Coordination between clusters is also integral to a comprehensive response.

Where UNICEF is CLA, actions need to be taken to ensure the neutrality of the coordinator is not compromised, including during decisions on humanitarian financing. In formally activated clusters and large-scale emergencies (with other coordination modalities), it is recommended that the cluster/sector coordinator and IM are dedicated functions, rather than double-hatting with UNICEF programme positions (see Cluster Coordination Guidance for Country Offices (2015))

WHEN IS IT NEEDED?

Coordination is required throughout the entire HPC – in preparedness, response and transitions, in sudden onset and protracted emergencies. Agreeing coordination arrangements prior to an emergency based on assessment of existing capacities, as part of preparedness activities, helps deliver an effective and timely response.

26 See IASC document on ToR for CLA at country level
WHO DOES WHAT?

When the government leads in the coordination of an emergency response through their own sector mechanisms\(^{27}\), UNICEF works with and through these, standing ready to offer support as requested. UNICEF has a key role in these countries to invest in strong sector coordination before an emergency and make investments in preparedness and resilience programmes. These may include investment in a government’s own knowledge and skills in emergency preparedness and response; coordination functions; the development of assessment systems and tools; technical support to strengthen IM systems; or the prepositioning of supplies.

When clusters are activated, at country level the UNICEF Representative is ultimately accountable to the HC and/or Resident Coordinator (RC) for the effective functioning of the cluster(s).\(^{28}\) Cluster coordinators report to the Representative.

UNICEF Representatives are responsible for:

- ensuring accountability to the HC;
- enabling clusters/AoRs to function effectively – those of which UNICEF is a member as well as those which UNICEF leads;
- ensuring quality and coherence of cluster plans in line with the strategic direction agreed by the HCT and in line with the Humanitarian Response Plan;
- monitoring the implementation of corrective strategies and activities to address poor cluster performance against plans, objectives and targets;
- ensuring quality and coherence of UNICEF programmes, preparedness plans and capacity building, in line with and supporting clusters;
- engaging consistently to fulfill cluster functions;
- proactively engaging in discussion, analysis and decision-making on activation of clusters and AoRs in-country, and alerting the GCCU if guidance or support is required;
- in consultation with cluster partners and government sectors, planning for viable and realistic transition/deactivation of clusters and AoRs.

Provider of Last Resort: Where a cluster is activated, the CLA must be ready to fill critical service gaps identified by the cluster and reflected in the HC-HCT led Humanitarian Response Plan, when access, security and funds are in place.

The following diagram shows which agency takes the lead in the formal cluster approach.


WORKING WITH INTEGRATED UN PRESENCES\(^{29}\)

Where there is a UN peacekeeping or special political mission, UNICEF, along with other agencies forming part of the United Nations Country Team (UNCT), and the UN mission work together in a strategic partnership referred to as an integrated UN presence. This does not imply any structural arrangement between the UNCT and the mission; however, in some countries there may be structural integration, where the RC/HC is also the Deputy

\(^{27}\) Such government-led sectoral coordination mechanisms report to designated government bodies. See Cluster Coordination at Country Level Reference Module, p7

\(^{28}\)Cluster Coordination Guidance for Country Offices p12

\(^{29}\) Technical Guidance on Working with Integrated UN Presences and UN Integration FAQs
Special Representative of the Secretary-General (DSRSG) – "triple hatting" these positions.

UN Integration is the guiding principle in all conflict and post-conflict situations where there is a UNCT and a UN Peacekeeping or Special Political Mission. The purpose of integration is to ensure a coherent and mutually supportive approach among all components of the UN peacekeeping/political mission and the UNCT on issues related to peace consolidation, in order to maximize the individual and collective impact of the UN in the country. UNICEF supports and proactively engages with integrated UN presences. At CO level this may include:

- participating in country-level senior leadership forums for decision-making;
- participating in Integrated Task Forces (ITF) at HQ level, which are responsible for integrated strategic assessments and Integrated Strategic Frameworks (ISF);
- collaborating with peacekeeping operations on: the use of the Monitoring and Reporting Mechanism (MRM) to monitor and report on grave violations of children’s rights in situations of conflict, as part of the Children and Armed Conflict (CAAC) Agenda; the Disarmament, Demobilisation and Reintegration (DDR) of child soldiers; and Protection of Civilians (PoC).

At the same time, UNICEF and humanitarian partners seek to ensure humanitarian principles and humanitarian space are protected when working with integrated UN presences through:

- clear demarcation of roles and responsibilities within the UNCT, HCT and the mission, that are also understood by affected populations;
- having strategies on access, protection and advocacy with the mission;
- agreed set of principles within the HCT on the use of mission assets, premises and common services; and
- ensuring humanitarian principles are upheld in humanitarian assistance.

### SUGGESTED TOOLS / GUIDANCE

- IASC Module - The Humanitarian Programme Cycle (HPC)
- IASC Cluster Coordination Reference Module
- IASC Operation Guidance on IM
- UNICEF-led Global Clusters/AoRs list IM toolkits
- Common platforms for IM tools and guidance via HR.info, which houses the Indicators Registry and Assessments Registry; and HDX which houses data sets thematically and by location.
- Technical Guidance on Working with Integrated UN Presences and UN Integration FAQs

### TIMELINE

**COORDINATION AND INFORMATION MANAGEMENT**

<table>
<thead>
<tr>
<th>First 24 hours</th>
<th>First 48 hours</th>
<th>First 72 hours</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review Contingency Plans and BCP; Designate focal points and spokespersons; Liaise with government; Set up coordination mechanism between CO, RO, HQ; Establish sector/cluster coordination</td>
<td>Develop risk mitigation strategy</td>
<td></td>
</tr>
</tbody>
</table>
9. THE HUMANITARIAN PROGRAMME CYCLE

WHAT IS IT?

The Humanitarian Programme Cycle (HPC) is a set of inter-linked interagency (IA) processes and their supporting tools, designed to help prepare for, prioritize, monitor and steer the collective humanitarian response. It involves all relevant humanitarian actors, in support of and accountable to national and local authorities, and the people affected by crises, with the intent to complement their capacities to respond. The HPC is agreed by the Inter Agency Standing Committee (IASC) as part of the Transformative Agenda.\textsuperscript{30}

The guidance on the HPC indicates that it should be an IA process led by a Humanitarian Coordinator (HC), managed by a Humanitarian Country Team (HCT) of which UNICEF is an integral part, and supported by inter-cluster / sector coordination.

The HPC provides a sequence and timeline of steps for an IA-declared Level 3 emergency which calls for a system-wide response to a humanitarian crisis and designated accountabilities.

However, it is designed to be adaptable to other contexts (ie where there is no L3 emergency) with the key steps applicable to all humanitarian responses irrespective of level of response.

The HPC is the critical wider reference for UNICEF in planning, monitoring and accountability for its contribution to the collective humanitarian response.

As such, UNICEF’s own emergency policies and procedures are designed to be in line with the HPC.

WHY IS IT IMPORTANT?

The HPC is designed to support coordinated, timely, effective and efficient response and improved outcomes for the affected population.

The HPC provides an established though adaptable process to guide IA engagement. Its actions help those leading the response to define complementary roles and accountabilities and deliver a coordinated collective humanitarian response.

WHAT ARE THE KEY ACTIONS?

The HPC resembles IA development planning cycles, with some modifications, including much more urgent timeframes. It consists of six sequential elements and two key ‘enablers’ (coordination and information management) which are ongoing throughout the response. The six sequential elements are:

1. **EMERGENCY RESPONSE PREPAREDNESS**: The outside circle of the HPC, this covers the whole cycle. It reflects that preparedness is continuous and dynamic.

2. **NEEDS ASSESSMENT AND ANALYSIS**: Provides the evidence for strategic planning and baseline information for monitoring and evaluation. Following an immediate situational analysis of the humanitarian situation and the needs of the affected population, the HCT decides on additional assessment processes required – such as coordinated assessments, or joint assessments e.g. IA Multi-Cluster/Sector Initial Rapid Assessment (MIRA) or Humanitarian Needs Overview (HNO) – more likely in protracted or slow onset crisis.

\textsuperscript{30} See Chapter 8 on “The International Humanitarian System and Coordination”
3. **HUMANITARIAN RESPONSE PLANNING:**

   Humanitarian Response Plans (HRPs) / Flash Appeals are prepared by HCTs based on a common needs assessment, including an overarching country strategy (narrative and strategic objectives) as well as more detailed cluster plans which in turn provide the chapeau for specific agency projects. These projects are submitted for review and inclusion into HRPs/Flash Appeals through a common on-line project system (OPS). The HRP also represents the key reference for resource mobilization and strategic monitoring.

4. **RESOURCE MOBILISATION:** Resource mobilisation efforts aim to ensure activities in the response plan are adequately funded; to demonstrate IA funding priorities to donors; to raise public awareness of a crisis; and to support on-going dialogue with partners and donors on the evolution of needs, results achieved, challenges and funding requirements. The private sector can provide cash, in-kind, expertise, core assets, influence and other essential resources. A common Financial Tracking Service (FTS) is used to collect and update humanitarian funding data for donors and the humanitarian community, which enables monitoring of funding progress on response plans / flash appeals and provides information to inform coordination, decision-making and advocacy.

5. **IMPLEMENTATION AND MONITORING:** As implementation activities are underway, response monitoring is a continuous process that tracks the humanitarian assistance delivered to affected populations compared to targets set out in the HRP and informs corrective action. Two internal monitoring tools for HCTs include the humanitarian response monitoring framework document and the periodic monitoring report (PMR).

6. **OPERATIONAL PEER REVIEW AND EVALUATION:** At the HCT level, strategic learning and accountability are covered by a combination of the Operational Peer Review (OPR) and independent IA humanitarian evaluations (IAHEs). The OPR is an internal, IA management tool that identifies areas for immediate corrective action. The OPR is only mandatory if a system-wide L3 is declared.

   In the case of a system-wide declaration of Level 3 emergency, the HPC is implemented with specific tools for IA assessment, information management, response plans, operational peer review and evaluation; and a calendar of events.

   The tools may also be used for other (non-L3) responses, or they may be adapted or aligned, for example with government-led processes.

   See other chapters for more detail on how IA processes connect to UNICEF-specific processes.

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**SUGGESTED TOOLS / GUIDANCE**

- IASC Module - [The Humanitarian Programme Cycle (HPC)]
- [Humanitarian Response website]
- [Humanitarian Response Monitoring]

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31 The OPS is a common project system managed by OCHA [OPS User Guide]
10. DETERMINING THE LEVEL OF UNICEF’S RESPONSE TO AN EMERGENCY

WHAT IS IT?

UNICEF’s response to an emergency is in support of national authorities through the interagency (IA) system and partnerships. UNICEF’s level of response is determined by an analysis of the situation, the needs of children and women, the lead and capacity of government and other partners to respond, UNICEF’s own capacity to respond in line with the CCCs and its responsibilities and accountabilities for broader sector response and within the sector. The magnitude of the response will be influenced by the degree to which risks have been prevented and/or mitigated and preparedness of the country, UNICEF and partners.

UNICEF has three levels of response to an emergency:

LEVEL 1 EMERGENCY RESPONSE: CO can respond using its own staff, funding, supplies and other resources, and the usual RO/HQ support.

LEVEL 2 EMERGENCY RESPONSE: CO needs additional support from other parts of the organisation (HQ, RO and other COs) to scale up and respond to the crisis. The RD will provide leadership and RO support.

LEVEL 3 EMERGENCY RESPONSE: The Executive Director declares that organisation-wide mobilisation is needed to scale up and respond and appoints a Global Emergency Coordinator (GEC) with members of the Immediate Response Team (IRT) able to be deployed on a “no regrets’ basis.

Interagency criteria used by UNICEF for analysis of the situation are:

- **Scale** – *factors*: size of affected areas, number of affected / potentially affected children and women, number of countries affected
- **Urgency** – *factors*: importance of population displacement, intensity of armed conflict
- **Complexity** – *factors*: multi layered emergency, multiple affected countries/regions, presence of a multitude of actors, lack of humanitarian access, high security risks to staff
- **Capacity** – *factors*: low national response capacity, weak/fragile state, needs outweigh the capacity of CO/RO to respond

As mentioned under the HPC, declaration of an IASC humanitarian system-wide emergency response (IA Level 3 response), based on the five criteria mentioned, activates a **surge in leadership capacity, staffing and funding** to increase the delivery of assistance and protection to people in need. This includes setting up **enhanced leadership and coordination** of the humanitarian system; and engaging IASC member organisations, including UNICEF, to ensure they **put in place the right systems and urgently mobilise resources to contribute to the response** as per their mandate / focus areas. Even without an IASC Level 3 declaration, UNICEF may still independently activate its own Level 3 emergency response.

WHY IS IT IMPORTANT?

At the onset of an emergency, UNICEF’s analysis based on the five criteria enables UNICEF to assess its own capacity to respond to the situation, determine gaps, and identify requirements and measures for scaling up capacity to respond and deliver on the CCCs. This in turn affects UNICEF’s participation in IA efforts and other partnerships.
Clarity on the level of response also clarifies the accountabilities within UNICEF for support to the CO-led response.

**WHO DOES WHAT AND WHEN IS IT NEEDED?**

The CO is ultimately accountable for responding to the crisis regardless of the magnitude of the situation and the level of support provided from RO and HQ.

Within 24 hours of a sudden onset emergency or a significant change in context[^34], the Country Representative, in collaboration with the RO and EMOPS, conducts a situational analysis to enable a decision on the level of response[^35]. This includes determining key needs and deciding whether the CO has sufficient capacity to respond to the emergency with regular RO / HQ support. Information is checked with the government, other agencies and partners, including whether there is a request for assistance or declaration of an emergency by the national authorities.[^36]

If the CO determines, in consultation with the Regional Director (RD), that the emergency, given national and other partner capacity, is beyond the capacity of the CO, the RD can recommend to the Director EMOPS the designation of an L2 emergency response.

If the CO and RD decide that emergency response needs exceed the capacity of both the CO and RO, then based on analysis of the five criteria the Director EMOPS can recommend to the Executive Director the declaration of a L3 emergency response and activation of the Corporate Emergency Activation Procedure (CEAP).

The designation of a UNICEF L2 emergency response or declaration of a UNICEF L3 emergency response should take place immediately following the analysis and recommendations received in line with the [SSOPs](#).

The initial duration of an L2 emergency response is 3 months and may be extended. L2s should not continue beyond 12 months. The decision to extend or deactivate is based on a review of the five criteria outlined above.

The initial duration of a UNICEF L3 emergency response is 3 months and may be extended up to 6 months in the “L3 surge phase”. After review, the L3 may be extended or deactivated and transitioned to an L2 emergency. Within UNICEF the decision to extend or deactivate is based on a review of the situation, the five criteria and the achievement of a set of identified operational benchmarks.

If an L3 emergency is deemed to be a protracted crisis, the L3 may remain in place under a “consolidation phase” for between 6 and 12 months. The decision for the L3 to be extended or deactivated is based on a review of the situation, five criteria and the achievement of an additional set of benchmarks and support measures for this phase.

The determination of the level of the emergency response has implications for the ‘pre-emergency’ country programme, in that elements may be paused, adapted or removed based on the new context.

**SSOPs**

There are simplified procedures and mechanisms that apply to all emergency responses, as well as distinct procedures for L3 and L2 responses. See [Summary of SSOP simplifications](#). See full [SSOPs](#).

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[^34]: In a slow onset or protracted emergency, the Representative should establish thresholds, monitoring and reporting mechanisms for initiating an emergency response. The 24 hour requirement may not necessarily apply in these situations.

[^35]: For protracted crises, this would happen in response to ongoing monitoring and analysis of the situation.

[^36]: Language used to describe response and support should be nuanced and sensitive, given that governments may not always be willing to declare an “emergency”.
<table>
<thead>
<tr>
<th>TIMELINE</th>
<th>First 24 hours</th>
<th>First 48 hours</th>
<th>First 72 hours</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>GLOBAL EMERGENCY COORDINATOR (L3)</strong></td>
<td>Issue Global Broadcast to UNICEF staff within 24 hours of an L3 declaration</td>
<td>Establish EMT, EMT and GEC Secretariat within 48 hours of an L3 declaration</td>
<td>Conduct L3 SSOP session to guide CO within 72 hours of an L3 declaration</td>
</tr>
<tr>
<td><strong>IRT (L3)</strong></td>
<td>Deploy IRT to CO <em>24-48 hours after declaration</em></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Needs Assessment, Situation Reporting, Response Planning, Performance Monitoring and Evaluation</strong></td>
<td>CO initial scoping and estimation of immediate needs; Check government emergency declaration/request for assistance; Inter-Agency Standing Committee (IASC) decides on declaration of L3, and activation of clusters; UNICEF indicates scope of response (L1/L2/L3)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

37 The table explains what actions need to be taken, by whom and when in the response it needs to be done.
11. TIMELINE FOR AN EFFECTIVE EMERGENCY RESPONSE

WHAT IS IT?

UNICEF, to meet the needs of children and those who provide their care, aligns its internal procedures and own timeline for response activities with the IASC Humanitarian Programme Cycle (HPC)\(^{38}\) timeline, in accordance with its CCC commitments and IASC cluster lead agency responsibilities.

The timeline applies to all humanitarian crises but can be used flexibly, taking into account context factors such as: the nature of the crisis (eg slow onset, protracted or sudden onset); capacities to respond (government, UNICEF and humanitarian community); coordination structures in country; and the social, political and economic environment.

UNICEF works in country to support the government and is a standing member of the Humanitarian Country Team (HCT) where established. UNICEF’s response should therefore be coordinated and timed to complement existing structures.\(^ {39}\)

WHY IS IT IMPORTANT?

Adherence to the IASC Humanitarian Programme Cycle and subsequently to the UNICEF timeline enables a more predictable and effective response in emergencies. It supports UNICEF, governments and partners to undertake preparedness and response in a more coordinated manner.

Timeline benchmarks are intended to guide humanitarian actors in balancing timeliness, effectiveness and efficiency, and to serve as a reference for accountability. Timeliness of response requires prioritisation and, sometimes, sacrifices in the precision of evidence-based planning in the short-term. However, the management milestones ensure that planning and monitoring is iterative: plans that are adjusted as new information becomes available and the context shifts. Inputs and feedback from people and communities (including girls and boys) affected by the crisis, especially the most vulnerable groups, help ensure the relevance, quality and effectiveness of the response. This accountability - to affected populations firstly, and to our humanitarian partners and donors - helps keep UNICEF on track and maintain credibility.

PREPAREDNESS\(^ {40}\)

By planning ahead for potential threats and shocks, emergency preparedness and risk-informed programming can significantly mitigate the impact of shocks and stresses and enable an effective and timely response to humanitarian crisis.

COs prepare for emergencies by following the UNICEF Preparedness Procedure and Preparedness Guidance Note. In doing so, they align with government preparedness planning; coordinate closely with government and IASC partners; and adhere to the IASC Common Framework for Preparedness (CFP) and IASC Emergency Response Preparedness Guidelines (ERP)\(^ {41}\).

Preparedness includes analysing risk, defining possible scenarios, developing anticipated response plans and minimum standards of emergency preparedness and incorporating preparedness into annual work plans. It specifically includes reviewing established partnerships with government, NGOs and the private sector\(^ {42}\), including existing programme documents and any annexes covering humanitarian response. It also includes the review of existing government or other coordination capacities and mechanisms to ensure timely and effective coordination of humanitarian response.

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\(^{38}\) See chapter 9 on the “Humanitarian Programme Cycle”

\(^{39}\) See chapter 8 on “The Humanitarian System and Coordination”

\(^{40}\) See chapter 7 on “Preparedness”

\(^{41}\) As well as the UN Integrated Strategic Framework in countries where this applies.

\(^{42}\) Private sector collaboration includes advocacy, lending of expertise, contributions in kind and core assets as well as funding.
TIMELINE OF RESPONSE (FOR SUDDEN ONSET CRISSES OR ESCALATION OF EXISTING CRISIS)

WITHIN FIRST 24 HOURS AFTER ONSET/ESCALATION OF CRISIS

- The safety and security of staff is established.
- The RO and EMOPS are informed.
- The Representative convenes the CO Emergency Management Team (EMT) to discuss the scale and magnitude of the crisis and nominate key focal points. UNICEF decides the level of its response.
- The UNCT/HCT meets. Based on the scale and complexity of the crisis, the HCT will jointly decide: a) an analysis of the situation and the capacity (including coordination gaps and leadership proposals); b) the immediate priorities and needs; c) the timeline of next steps. A decision is made on whether a system-wide activation of L3 emergency is required and if so which clusters should be activated and who should lead them.
- The process of gathering, consolidating and analysing information on humanitarian needs starts immediately as a part of the interagency (IA) Situation Analysis (SitAn). In parallel UNICEF produces its own SitAn. The UNICEF and IA SitAns inform each other and are consistent.
- Following the situational analysis, the HCT decides on additional assessment processes required – such as coordinated assessments, or joint assessments e.g. IA Multi-Cluster/Sector Initial Rapid Assessment (MIRA) or Humanitarian Needs Overview (HNO) – more likely in protracted or slow onset crisis.
- The request for Emergency Programme Funds (EPF) is submitted or received automatically in the case of L2/L3 emergencies.
- The first UNICEF Situation Report (SitRep) is issued. The UNICEF SitRep feeds into any IA SitRep.
- UNICEF key messages are developed and an initial statement is released.

WITHIN THE FIRST 48 HOURS

Existing contingency, preparedness and business continuity plans (government, inter-agency, UNICEF) are reviewed.

The UNICEF Emergency Response Plan is developed. This is usually a mixture of the programmatic and operational response plans already developed as part of preparedness activities (adjusted in light of the SitAn) and relevant CCCs. It contains the initial plans for Human Resources (using the Surge Tracking Mechanism (STM)), Supply and Logistics, and Resource Mobilisation.

The initial Humanitarian Action for Children (HAC) Appeal is drafted, setting out the immediate priorities and funding requirements of the response.

Coordination mechanisms are determined. Clusters may be activated with UNICEF having lead and co-lead functions as per the guidance note. Cluster targets (that capture UNICEF’s contribution) are identified – they will be part of any request for Central Emergency Response Fund (CERF) funding. If clusters are not activated, the CCCs require that UNICEF ensures leadership of coordination takes place in its programmatic areas and may take on equivalent sectoral leadership responsibility or support the government through co-leadership of the sector.

UNICEF advocacy priorities and key messages are developed to support resource mobilization and advocacy efforts targeting public and private sectors.

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43 See Chapter 10 on “Determining the level of UNICEF’s response”
44 See Chapter 21 on “HAC”
DAY 3 TO 7

Building on the initial needs assessment, the UNICEF Response Plan is developed into a more structured and comprehensive plan, in line with the first draft of the IA Flash Appeal (to be completed by Day 5 if possible). The CERF request (finalised by day 7) is prepared. The Response Plan also feeds into the revision of the Human Resource Plan (covering short term personnel needs for the first three months) and the Supply Plan. A UNICEF advocacy strategy is developed. A Strategic Moment of Reflection (SMR) is required (mandatory) for L3 emergencies.

BY DAY 14

An IA Initial Rapid Assessment is completed and a report is issued; the findings underpin the response planning process and/or, when applicable, existing joint needs analyses are updated. The initial assessments cover multi-sector / clusters, and identify the priority needs of the affected population. They are undertaken with the government, partners and other agencies. These inputs go into developing the IA Humanitarian Response Plan (HRP) and / or an update of the Flash Appeal.

BY DAY 30

Based on the updated joint needs analysis an HRP or an updated Flash Appeal is produced. This establishes the framework for humanitarian action and for monitoring results.

UNICEF’s own Response Plan is finalised.

Following the completion of the UNICEF Response Plan, the UNICEF HR Strategy, Surge Tracking System (STS) and a Programme Budget Review (PBR) are completed. The HR Strategy is a detailed document that includes HR plans for the short, medium and long term. The HAC is updated to reflect the final Response Plan.

Periodic monitoring reports are generated through cluster and partner reports that measure outputs and progress towards strategic objectives. In-depth sector assessments may be scheduled and adjustments to the UNICEF Response Plan proposed. These adjustments may align with concurrent reviews of the HRP/Flash Appeal. Feedback loops with the affected population are created, and their feedback is incorporated when programmes are adjusted.

BY DAY 90

The IA Operational Peer Review (OPR) is a light IASC, forward-looking support process led by the HC/HCT to determine where adjustments need to be made to the collective humanitarian response. The OPR is mandatory for IASC L3 emergencies and should be conducted within the first 90 days of the system-wide L3 activation.

A UNICEF After Action Review (AAR) or lessons learned exercise is recommended. A Real Time Evaluation (often IA) may also be initiated.

A Strategic Moment of Reflection (SMR) is also required for an L3 emergency.

Input into a Post Disaster Needs Assessment (PDNA) or Recovery and Peacebuilding Assessment (RPBA) may be required.

PROTRACTED EMERGENCIES

In a protracted emergency with an IASC system-wide L3 declaration, the timeline for needs analysis and response planning is an annual schedule with outputs between September and November each year. However, these are flexible and can be adapted by the HCT according to local needs including a decision to undertake multi-year and/or multi-country planning.

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45 Assessment phases are generally captured in four phases: Phase 1: Initial understanding (1-3 days); Phase 2 Joint Assessment (4-15 days); Phase 3 In-depth cluster/sector assessments; Phase 4 Monitoring / surveillance and impact assessment.

46 See Chapter 20 on “Funding and Resource Mobilisation”

47 e.g. Humanitarian Needs Overview (HNO), MIRA or other joint or coordinated assessment - see Chapter 14 on “Needs Assessment & Analysis”
for regional crises such as drought. Ongoing preparedness actions include establishing reliable baseline data that can inform decision-making. Within the 12 month HPC, a Humanitarian Needs Overview is usually developed from August to September.

For UNICEF, this means its response and planning for response is aligned with the HPC schedules. At the same time, UNICEF under its own procedures for a L3 emergency in a protracted crisis will review progress against operational benchmarks to help determine the level of response still required.

ALIGNING UNICEF AND IASC COMMITMENTS AND TIMELINES

- UNICEF has specific time-bound deliverables as well as those that are required via IASC commitments. It is essential that in the early stages of the response, the needs of children and affected populations are actually met – in addition to assessments, plans and systems being established.

- All staff must be familiar with both the IASC HPC timelines and UNICEF response timelines.
- Whenever possible, conduct coordinated or joint assessments with government or IASC partners.
- Ensure that IA and UNICEF assessments and plans feed into each other and are consistent and mutually informing. This is part of UNICEF’s responsibility as a member of the IASC and the HCT.

### SUGGESTED TOOLS / GUIDANCE

- IASC Humanitarian Programme Cycle (HPC)
- UNICEF Response Timeline
- UNICEF’s Guidance and Procedure on Preparedness
12. UNICEF’S PROGRAMMATIC RESPONSE IN EMERGENCIES

WHAT IS IT?

UNICEF’s response in emergencies is built around its sector programmes and is guided by the Core Commitments for Children in Humanitarian Action (CCCs). The CCCs sector-specific programme commitments form part of a collective programmatic response for children affected by humanitarian crisis and are designed to support cluster or sector coordination.

The CCCs cover the programme areas of Nutrition, Health, WASH, Child Protection, HIV/AIDS, Education, Supply and Logistics and highlight the cross-cutting issues of Children with Disabilities, Gender Equality, Communication for Development (C4D), Early Childhood Development (ECD), Adolescent Development, Accountability to Affected Populations, Cash Based Approaches in Humanitarian Action, Disaster Risk Reduction (DRR) and Conflict Sensitivity.

WHY IS IT IMPORTANT?

UNICEF’s programmatic response is guided by the CCCs. They are founded on the need to fulfil the rights of children affected by humanitarian crisis. They are relevant in all countries. They serve as an advocacy document to remind governments and other stakeholders of their responsibilities to children in emergencies. They allow governments and other partners to better understand UNICEF’s mandate and programmatic scope of engagement in the sectors.

The CCCs:

- recognise the link between humanitarian action and development, and provide an explicit focus on risk reduction;
- underscore the critical role of preparedness for rapid response;
- provide a platform for early recovery;
- establish a framework for evaluation and learning.

WHAT ARE THE KEY ACTIONS?

UNICEF programming contributes to the CCC commitments through identified preparedness, response and early recovery actions in each sector. These actions are supported by rapid assessment, monitoring and evaluation and operational commitments (see diagram).

A cross-sectoral programme approach is used to ensure a close linkage between the different sectoral commitments and help to meet targets and benchmarks as well as to strengthen the connections between the different phases of humanitarian action. The programmatic response should engage all sectors in an integrated way.

The benchmarks in the CCCs are the globally accepted performance levels for humanitarian response, drawn from IA standards such as the Inter-agency Network for Education in Emergencies (INEE) Minimum Standards, the Sphere Standards, and the outcomes of discussions in IA and cluster fora. They are designed to allow UNICEF and its partners to contribute to reaching the benchmarks collectively, depending on their capacities.
13. CROSS CUTTING ISSUES IN EMERGENCIES

WHAT ARE THEY?

The cross-cutting issues in emergencies identified by UNICEF are: Gender Equality; Early Childhood Development (ECD); Adolescent Development and Participation; Children with Disabilities; Accountability to Affected Populations (AAP); Communication for Development (C4D); Cash-based Approaches in Humanitarian Action; Conflict Sensitivity; and Disaster Risk Reduction.48

COs must incorporate into their humanitarian action the priorities and key actions associated with each cross-cutting issue and the accountability to affected populations.

KEY PRIORITIES AND ACTIONS

GENDER EQUALITY

Priorities
- Ensure that all UNICEF regular and humanitarian programmes are designed to contribute to gender equality in clearly defined measurable ways.
- Plan and implement humanitarian action in a way that benefits girls, boys, women and men in line with their rights and through the analysis of their distinct needs and capacities, recognizing that girls and women are disproportionately affected by emergencies.

Actions
- Have updated, gender-disaggregated baseline data available to inform preparedness planning.
- Disaggregate data by sex and age in assessments, monitoring, and evaluation; and conduct gender analysis.
- Identify the specific risks and needs (for services and facilities) of women, girls, men and boys.
- Ensure that women participate effectively in decision-making consultations.

- Take special measures to include women and girls in qualitative data collections, eg same-sex interviewers.
- Design and implement programmes to meet gender needs (eg separate toilets with door locks).
- Take special measures to prevent and mitigate gender-based violence.
- Ensure coordination between actors addressing gender-based violence eg government officials, civil society organizations and legal practitioners.

Guidance and Tools
- EMOPS intranet: Gender Equality in Humanitarian Action
- EMOPS Gender Quick Reference Guide
- IASC Policy Statement of Gender in humanitarian Action
- IASC Guidelines for integrating Gender Based Violence Interventions in Humanitarian Action

EARLY CHILDHOOD DEVELOPMENT (ECD)

Priorities
- Ensure all UNICEF regular and humanitarian programmes are designed to contribute to the support of children under 8 and reduce toxic stress which can affect their social, psychological and health-related wellbeing.
- Protect children 0-8 and their families from toxic stress by planning and implementing multi-sectoral programmes and services (Health, Nutrition, Protection, Education, WASH, HIV and AIDS, Social Inclusion, Gender, Peacebuilding).

Actions
- Have updated, gender and age-disaggregated (0-2; 3-5; 6-8) baseline data available to inform preparedness planning focusing on pregnant women, children under 8 and their families.

48 Note: Gender equality and AAP are also reflected as commitments by UNICEF.
• Map ECD services for children under 8 and their families.
• Identify and adapt parenting programmes for fathers, mothers and caregivers of children under 8 to support parents’ wellbeing and parenting practices during emergencies.
• Provide support so that children under 8 are stimulated by caring parents and caregivers, giving priority to family reunification (FTR).
• Take measures to ensure children under 5 are appropriately fed and cared for with health, nutrition, hygiene and stimulation services combined.
• Facilitate opportunities for early learning for children 0-8, not only preschoolers.

Guidance and Tools
ECD-Nutrition and Health Technical Note
ECD-Child Protection in Emergency Technical Note
ECD in Emergencies Programme Guide
CCD package ready to implement
ECD Kit for Emergencies
Applying Neuroscience Evidence in Support of ECD

ADOLESCENT DEVELOPMENT AND PARTICIPATION

Priorities
• Promote and increase age- and gender-responsive and inclusive programmes that contribute to the protection, health and development of adolescents.
• Support systematic engagement and partnerships with adolescents, in all phases of humanitarian action, through sharing of information, capacity building and involvement in decision-making processes at all levels.
• Recognize and strengthen adolescents’ capacities to be effective humanitarian actors in prevention, preparedness, response and recovery.

Actions
• Disaggregate data by sex and age (10-14, 15-19 years) in assessments, monitoring and evaluation.

• Support age-appropriate services, platforms and opportunities that acknowledge the unique needs, perspectives and capacities of adolescents.
• Identify the most disadvantaged adolescents and design appropriate interventions that address the barriers that limit the fulfilment of their rights.
• Engage adolescents from all backgrounds in emergency preparedness, response, and recovery processes and reflect their perspectives in the design and management of the programmes and services that impact them.
• Let the adolescents know what type of interventions are planned/implemented for them, seek their feedback and take corrective actions, if needed.
• Use innovation and technology such as U-Report to increase engagement of and outreach with adolescents. Increase resources intended to address the needs and priorities of adolescents affected by crises, and accurately track and report on the resources allocated to adolescents.

Guidance and Tools
Compact on Young People for Humanitarian Action
Adolescent Kit for Expression and Innovation

CHILDREN WITH DISABILITIES

Priorities
• Ensure that all UNICEF regular and humanitarian programmes are designed and adapted so that they are inclusive of and accessible to children with disabilities and benefit them in measurable ways.
• Collect reliable data and evidence on girls and boys with disabilities to inform the planning and implementation of humanitarian services and assistance.

Actions
• Disaggregate data by age, sex and disability and use it to inform preparedness and response interventions.
• Include questions and components on children with disabilities in risk analysis, assessments, monitoring and evaluations.
• Design and adapt all general programmes/interventions for children so that they are disability inclusive; ensure infrastructure such as child-friendly spaces, WASH facilities, temporary schools are disability accessible.
• Sensitize all staff and personnel on issues of children with disabilities.
• Plan and implement targeted programmes to address the specific needs of children with disabilities, eg rehabilitation, physiotherapy, assistive devices.
• Map existing resources and available expertise on disability, eg special schools, rehabilitation centers, NGOs working on disability and Organisations of Persons with Disabilities (DPOs), and partner with them wherever required.
• Facilitate participation of children with disabilities and their families as well as DPOs in consultations and in designing, adapting, monitoring and evaluating programmes. Let them know what type of interventions are planned/implemented for them, seek their feedback and take corrective actions, if needed.

Guidance and tools
Take Us Seriously!: Engaging Children with Disabilities in Decisions Affecting Their Lives
Disability in Humanitarian Action Intranet Page
Humanitarian Guidance on Disabilities

ACCOUNTABILITY TO AFFECTED POPULATIONS (AAP)

Priorities 49
• Demonstrate leadership / governance commitment to accountability to affected populations by ensuring feedback and accountability mechanisms are integrated into country strategies, programme proposals, monitoring, training, recruitment and reporting.
• Provide transparent, accessible and timely information to affected populations on organizational procedures, structures and processes that affect them to ensure that they can make informed decisions.
• Actively seek the views of affected populations to improve policy and practice in programming, ensuring that feedback and complaints mechanisms are effectively used.
• Enable affected populations (particularly most marginalized and affected) to actively participate in decision-making processes.
• Design, monitor and evaluate the goals and objectives of programmes with the involvement of affected populations, feeding learning back into the organisation on an ongoing basis.

Actions
Country Office Level (through coordinating internally, with clusters and at an inter-cluster level)
• Ensure that affected populations participate in needs assessment and targeting.
• Establish and coordinate community feedback mechanisms and address complaints.
• Apply UNICEF C4D programming across the CCCs based on at risk and affected people’s inputs and feedback.
• Use inputs and feedback from affected people in decision making: data analysis for humanitarian planning, response monitoring and programme adjustments, both at local levels and strategic levels.
• Strengthen capacity of local first responders using the Core Humanitarian Standard as a reference point.
• Strengthen national and local social accountability mechanisms or C4D programming (where longer-term country programming allows), with attention to preparedness, and define how capacities and systems can be developed to allow adaptation for humanitarian response.

49 These priorities reflect the IASC Commitments to Accountability to Affected Populations
INTER-AGENCY LEVEL

- Advocate for and support HCT/inter-cluster strategy development, plans and common standards around accountability to affected people, communications and community engagement, and localization (drawing on guidance and lessons from the Communication and Community Engagement Initiative).
- Designate UNICEF staff to support overall leadership for the above and/or allocate UNICEF resources to support specific inter-cluster level activities based on comparative advantage.

Guidance and Tools
EMOPS intranet: Accountability to Affected Populations
IASC Accountability to Affected Population Toolkit
Nutrition Cluster Guidance on Mainstreaming AAP
Tools to assist in implementing the IASC AAP Commitments.pdf

COMMUNICATION FOR DEVELOPMENT (C4D)

Priorities
- Ensure that all UNICEF regular and humanitarian programmes incorporate C4D strategies that are (as much as possible) participatory, dialogic, rights-based, gender- and disability-sensitive and respect local cultures and contexts.
- Plan and implement evidence-based C4D approaches that promote rapid access to life-saving information and knowledge across the CCCs in the first 24 to 72 hours.
- In the recovery phase, continue with C4D across the CCCs and engage with affected populations, including children, in planning and facilitate feedback and complaints mechanism (as per Accountability towards Affected Populations).

Actions
- Coordinate with partners engaged in C4D, Communication, Risk Communication, Community Engagement and related areas to set up a local C4D working mechanism under Emergency Operations.
- Ensure needs assessment missions take into account C4D and community engagement requirements (access to information, behaviours to promote, facilitation of feedback systems).
- Conduct rapid research on socio-cultural practices and communication patterns to develop a C4D plan.
- Identify communication options/channels and identify and pretest key messages needed to promote protective and preventive practices to affected populations.
- Trigger existing networks and local partners to maximize mobilization, outreach and engagement with communities.
- Use interactive platforms (rapid SMS) to poll and to promote messages.
- Validate the C4D plan with key stakeholders, implementing partners and select communities.
- Establish or mobilize existing partners to do rapid surveys and other data collection to monitor uptake of practices.
- Work closely with AAP stakeholders to listen to communities and address feedback through appropriate communication channels.

Guidance and Tools
EMOPS intranet: C4D in Emergencies

CONFlict SENSITIVITY

Priorities
- Translate into action the principle of ‘do no harm’ and a commitment to avoid creating or exacerbating conflict and insecurity for affected populations (as outlined in the CCCs) – so that projects and programmes are ‘conflict sensitive’ in practice.
- Provide and use tools that help UNICEF field programmes understand and apply conflict sensitivity in a more systematic way to humanitarian responses.
Actions
Preparedness
- Undertake a basic conflict analysis and incorporate its findings into the emergency preparedness and response plan. The basic conflict analysis can be updated or deepened later as the situation changes or an actual emergency happens.
- Provide training to staff on conflict sensitivity as part of emergency preparedness and other training.

Assessment and Planning
- Update basic conflict analysis with detailed analysis of the context to reflect changes as a result of an emergency, especially if the emergency is caused by conflict.
- Based on the updated conflict analysis, design response interventions that take measures to manage and mitigate conflict risks.
- Where possible, develop targeting criteria based on consultation and feedback from communities.

Implementation
- Ensure that staff recruitment takes into account the potential identity-based divisions among staff and between staff and beneficiaries/participants.
- Ensure procurement services and supplies from the local/national market or the selection of suppliers do not cause or reinforce conflicts.
- Establish communication, complaints and feedback mechanisms for sharing information about programme activities and with communities.

Monitoring and Evaluation
- Integrate questions related to conflict risks into monitoring and any real-time or post-implementation evaluations.

Guidance and Tools

DISASTER RISK REDUCTION

Priorities
- Highlight vulnerabilities of children, as well as their critical role as agents of change in disaster risk reduction and climate change adaptation.
- Disaggregate data by age, sex and disability, including in risk assessment, damage and loss records and data sets.
- Promote social services, including social protection, as opportunities to reduce vulnerability and risk (eg robust health and education systems that continue to provide essential services during and following a hazard).
- Emphasize the importance of safe schools, DRR and CCA education in preparing children and communities for possible disasters and reducing their impact.

Actions
- Strengthen the capacity of UNICEF, governments and partners in child-centred risk assessment.
- Address underlying drivers of risks through adapted social services, eg education programmes that promote school safety, preparedness and relevant life skills.
- Support social safety nets to help the most vulnerable and excluded to deal with economic and other shocks.
- Support the participation of children and young people in global and regional conferences and include them in development of national policies (eg through participatory risk assessments).

Guidance and Tools
Risk and Resilience, Fragility and Peacebuilding Community of Practice on SharePoint:
Children in a Changing Climate Coalition website (Child Fund, Plan International, Save the Children, UNICEF, World Vision)
CASH-BASED APPROACHES IN HUMANITARIAN ACTION

Priorities

- Increase the routine use of cash alongside other tools including in-kind assistance, service delivery & vouchers.
- Build an evidence base to assess the costs, benefits, impacts, and risks of using cash in humanitarian contexts.
- Collaborate, share information and develop standards and guidelines for cash programming to understand its risks and benefits.
- Ensure coordination, delivery, monitoring and evaluation mechanisms are put in place for cash transfers.

Actions

- Focus on households when targeting for cash, not on individual children.
- Ensure that local markets are functioning in the area available.
- Ensure “do no harm” principle while targeting and delivering cash.
- Conduct risk assessment for partners and beneficiaries, to look at the risk of inflation, risk of inadequate targeting and feasibility of third party monitoring.
- Use the private sector for delivery of cash eg through money vendors, mobile phones, local banks, smart cards.
- Link humanitarian cash intervention with existing social protection systems where possible. Where none exist or this is not feasible, keep in mind strengthening capacities for future use.
- Coordinate with stakeholders in establishing amount of cash to be transferred, establishing the geographic coverage and delivery mechanism.

Guidance and Tools

EMOPS intranet: Cash based approaches in Humanitarian Action
EMOPS intranet: Cash Transfer in Emergency Affected Households – Technical Note
14. NEEDS ASSESSMENT AND ANALYSIS

WHAT IS IT?

Needs assessment and analysis provide the evidence base for an emergency response. They provide analysis of the crisis, its scale and scope and impact on people, and the operational environment, including existing response capacities and access considerations. At the outset of an emergency, they provide the information needed to define the strategic objectives, and later for operational planning, staffing and resource requirements. Needs assessments must be coordinated, ideally among sectors or clusters, to ensure compatibility, quality and comparability, to support data sharing, and to encourage the participation of affected people.

INTERAGENCY (IA) NEEDS ASSESSMENT AND ANALYSIS

UNICEF should contribute to the following:

- The Situation Analysis is the initial analysis of available secondary data and early primary data provided by governments, partners, media or affected communities. It provides the first quick overview in the first 24-72 hours. The UNICEF CO feeds into this, especially by facilitating access to and analysis of key pre-crisis data on the situation of children and women.
- The multi-cluster/sector Initial Rapid Assessment (MIRA) or a locally agreed coordinated or joint assessment builds on the Situation Analysis with primary data collection.
- The Humanitarian Needs Overview (HNO) provides an update on the evolution of humanitarian needs and operational considerations, ideally as plans and appeals are revised and shift to longer term. It is primarily used in protracted settings.

Post-Disaster Needs Assessment or similar post-conflict recovery needs assessment (now called Recovery and Peacebuilding Assessment (RPBA) may be conducted. UNICEF often plays an important role in these through sector analysis, sometimes leading in Education and WASH.

All the processes should take place under the coordination of government, HCT and sector/cluster coordination; UNICEF plays a critical role as a member of the HCT, as a CLA and as a sector / cluster partner. Additional assessment requirements for and by UNICEF are outlined in the CCCs.

WHY IS IT IMPORTANT?

Needs assessments and analysis provide the evidence base to develop credible, prioritized and strategic response plans and appeals, as well as the initial and updated baselines for monitoring and evaluating the response. They inform both UNICEF and HCT planning processes, as follows:

- The IA Situation Analysis feeds into the first Flash Appeal and the UNICEF HAC in the first 72 hours, and even provides data to the first IA and UNICEF SitReps. UNICEF inputs to the Situation Analysis are also the basis for UNICEF determining the level of response to an emergency (see chapter on determining the level of emergency response).
- The MIRA or other joint or coordinated assessments feed into the more detailed IA Humanitarian Response Plan (HRP) or an update of the Flash Appeal and UNICEF’s own response planning.
- The HNO and sector-specific data consolidate and analyse information on needs, vulnerabilities and capacities of affected people.

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50 This is the term used by the IA humanitarian community in the HPC guidance and tools; it is different in scope/depth but similar in purpose to the UNICEF SitAn.
The recovery assessments help bridge from the humanitarian response to longer term national development plans. UNICEF draws heavily on results from the assessments to generate evidence for advocacy and highlight the needs, gaps and risks of children affected by the emergency.

**WHEN IS IT NEEDED?**

<table>
<thead>
<tr>
<th>TIMELINE FOR ASSESSMENTS</th>
<th>WHEN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Analyse secondary data, identifying sources for baselines</td>
<td>Preparedness Before the crisis</td>
</tr>
<tr>
<td>Agree on and adapt assessments, tools and indicators</td>
<td>Preparedness Before the crisis</td>
</tr>
<tr>
<td>Contribute to and participate in Situation Analysis through review of all secondary data and preliminary data available, sharing data and analysis with other humanitarian actors involved</td>
<td>First 24-72 hours</td>
</tr>
<tr>
<td>Agree on priorities for IA needs assessments and immediate response</td>
<td>72 hours</td>
</tr>
<tr>
<td>Define/adjust needs assessment tools and indicators to context</td>
<td>72 hours</td>
</tr>
<tr>
<td>Undertake Coordinated Needs Assessments in priority affected areas with specific processes and methods for engaging local actors and affected people and communities</td>
<td>72 hours to week 2</td>
</tr>
<tr>
<td>Needs Assessments analysis and results disseminated and fed into planning processes</td>
<td>Week 2</td>
</tr>
<tr>
<td>Define coordinated plan for follow-on needs assessment data collection to shape programming</td>
<td>From week 2</td>
</tr>
</tbody>
</table>

**WHAT NEEDS TO BE DONE?**

As part of preparedness activities, it is important to identify pre-crisis data sources readily available at CO level (e.g., national statistical agency, UNICEF Multiple Indicator Cluster Surveys (MICS), SitAn). This data will help provide baselines to understand the impact of the emergency on the affected population (refer to Chapter 5 on Preparedness for more details).

Wherever possible and especially in high risk contexts, preparedness should also include identifying in advance the indicators on key humanitarian needs, tools and capacities eg government and partners, needed for data collection, so that the assessment can be quickly done if an emergency hits. Standard indicators and assessment tools are available and can be adapted to fit a specific context. The choice of data collection method (e.g., household questionnaires, focus groups, observation) depends on the question you are trying to answer.

Assessments should be led by national governments whenever appropriate and involve the affected population. Where a government lacks capacity to lead, assessments should be conducted jointly with government and other partners to provide a common understanding of the situation and operating environment.

Consult the IASC Operational Guide on Coordinated Assessments. Where the cluster system is in place, assessments are coordinated among cluster members through the cluster coordinators. Whether through formal clusters or other IA arrangements, UNICEF should focus on fulfilling the accountabilities of its mandate which means leading on assessment and analysis for WASH, Nutrition, Education clusters/sectors and Child Protection AoR.

**TIPS FOR EFFECTIVE NEEDS ASSESSMENTS AND ANALYSIS**

- UNICEF advocates with governments to ensure that national assessment tools include required information for children and women; that data is disaggregated by age and gender; and that the most vulnerable populations are included (depending on context, these may include children with disabilities or with other specific needs, unaccompanied minors, female-headed households, children from marginalised families, ethnic minorities).
- UNICEF has an obligation to monitor grave violations against children for which specific reporting systems (involving affected populations) are in place.
The humanitarian principle of impartiality guides the planning and implementation of needs assessment. Access to affected populations should be granted to UNICEF and all other humanitarian actors abiding by the principles of impartiality and neutrality. If a needs assessment is to be undertaken in areas controlled by non-state actors, UNICEF may need to negotiate humanitarian access through HCT/UN negotiations.

**SUGGESTED GUIDANCE / TOOLS**

- IASC Operational Guide on Coordinated Assessments
- Multi-Cluster/Sector Initial Rapid Assessment (MIRA)
- UNICEF Intranet Page on Assessment, Monitoring and Evaluation
- UNOCHA Humanitarian Response Website on Needs Assessment

<table>
<thead>
<tr>
<th>TIMELINE</th>
<th>First 24 hours</th>
<th>First 48 hours</th>
<th>First 72 hours</th>
<th>By End of Week 1 &amp; Week 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>NEEDS ASSESSMENT, SITUATION REPORTING, RESPONSE PLANNING, PERFORMANCE MONITORING AND EVALUATION</td>
<td>Produce initial situation analysis</td>
<td>Decide on UNICEF’s role in rapid assessments (Inter-Agency, Government, MIRA, HNO)</td>
<td>Undertake field needs assessment (complete by end week 2)</td>
<td>Provide input through sectors / clusters to IA Needs Assessments (eg: Humanitarian Needs Overview, MIRA, or other) (complete by end wk 2)</td>
</tr>
</tbody>
</table>
15. SITUATION REPORTS (SITREPS)

WHAT ARE THEY?

The UNICEF Situation Report (SitRep) is a multi-purpose brief overview report which provides a regular updated snapshot of the evolving humanitarian response, highlighting in particular the needs of women and children, our funding requirements, results achieved to date and any major gaps or bottlenecks.

The SitRep is both an external and internal communications report (hence there may be different versions (or sections) of the SitRep aimed at external audiences or for internal use only). Internally the SitRep serves as a summary management information report and can highlight sensitive issues with our response, for example, political and security.

The UNICEF SitRep template lists standard content: highlights and key advocacy messages, updates on the overall response strategy, coordination context, quantitative and qualitative programme monitoring against expected results (referencing targets established in the HAC and UNICEF projects under the IA Humanitarian Response Plan) and identification of key bottlenecks, as well as updates on C4D, supplies and logistics, external communications, security context, the funding status and gaps, and human resources.

The SitRep is usually CO-specific and produced by the CO, but in major humanitarian crises that cross borders, a multi-country report may be produced, agreed and coordinated by the EMT (RO or Global Emergency Coordinator (GEC) depending on the level of the emergency).

WHY ARE THEY IMPORTANT?

The purposes of a SitRep are:

• To communicate the humanitarian situation of children, women and evolving issues of general concern eg cross border issues, regional trends.

• To report on UNICEF’s contribution to the emergency response.

• To advocate for wider international support and raise awareness of humanitarian dimensions of the crisis.

• To serve as a key resource mobilisation and communication product for fundraising and advocacy, as well as support the development of other information materials eg briefing notes for donor and IA meetings, fundraising documents, UNICEF flagship reports, etc.

• To guide decision making for the CO and highlight what support is required from RO/HQ.

WHEN ARE THEY NEEDED?

The CO should issue the first SitRep within 24 hours of an emergency, based on the best available data on the humanitarian situation, projections that can be made and any first actions undertaken. It is essential that a broad picture is communicated highlighting the needs of children and women and what UNICEF will do.

The frequency of subsequent SitReps will be determined by the nature, scope, level and evolution of the emergency, but usually as in the table below. Any variations in frequency are decided by the CO in consultation with the RO for Level 1 and 2 emergencies, and with the GEC/EMT for Level 3 emergencies. Decisions on frequency depend on external demands for information and accountability, as well as the needs for internal management oversight.
WHO DOES WHAT?

The production of the SitRep is a collective responsibility of management, communications, programme and operations staff. The Representative should establish a system, ideally before the emergency as part of preparedness, for the production of SitReps and should nominate a focal point for collation, editing and quality assurance of information on the situation, coordination, response and operational aspects. Where possible these can be pre-drafted with key messages established.

Table 1
Contexts where SitReps are required | Expected SitRep frequency and type
--- | ---
Level 1 humanitarian responses without a humanitarian appeal or not in HAC or COs with appeals outside of HAC & less than $5 million | Optional Daily/weekly/monthly as per context
All HAC countries (with their own chapters) | Twice per year
The UNICEF share of an inter-agency flash appeal is > $5 million; or Sudden deterioration requires an increase in a CO appeal by > $5 million | Every 2 months
HAC/CAP countries that experience multiple sudden onset or on-going chronic emergencies that require significant humanitarian programmes | Every 2 months
Declaration of Level 3 or designation as Level 2 | Beginning weekly with first monthly SitRep including Results Tables, then Monthly (as per SSOPs for L2 and L3)

The accountability to produce SitReps or inputs to a multi-country SitRep rests with the Representative; accountability for clearance lies with the Representative except in Level 2 or Level 3 emergencies, in which case clearance lies with the Regional Director or GEC respectively.

TIPS FOR EFFECTIVE SITREPS

- Use the UNICEF SitRep template and refer to examples of prior good SitReps.
- Issue the first SitRep in the first 24 hours. Use the best possible data available at the time.
- Keep the information short and to the point.
- Keep in mind the combined purpose – external communications and accountability (ie for an informed external audience such as donors, NatComs) and internal management oversight.
- Clearly articulate what services, commodities and other assistance UNICEF has delivered directly or with implementing partners. Describe how these have contributed to results for children and their families. Include results tables that link to established targets, and include programme monitoring data.
- The SitRep should be the authoritative reference on the situation and performance. The SitRep and the data in it, including the numbers and situation of affected people, need to be consistent with all other data and documents UNICEF produces and/or feeds into IA materials, as well as with IA data, including the HAC.

SUGGESTED GUIDANCE / TOOLS

- UNICEF SitRep template

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51 Refer to HAC Guidance – Country Office and Regional Office
<table>
<thead>
<tr>
<th>TIMELINE</th>
<th>First 24 hours</th>
<th>First 48 hours</th>
<th>48 hours – week 4</th>
<th>Beyond week 4</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NEEDS ASSESSMENT, SITUATION REPORTING, RESPONSE PLANNING, PERFORMANCE MONITORING AND EVALUATION</strong></td>
<td>Produce initial situation report (SitRep);</td>
<td>Produce SitReps as required (ongoing);</td>
<td>Produce SitReps as required (ongoing)</td>
<td>Produce SitReps as required (ongoing)</td>
</tr>
</tbody>
</table>
16. UNICEF HUMANITARIAN RESPONSE PLANNING

WHAT IS IT?

Humanitarian response planning is a process of defining what UNICEF will do programmatically to respond to identified humanitarian needs. UNICEF response planning references common strategic and sector outcomes at the level of the HCT and clusters respectively, and then articulates the priority results and targets that UNICEF aims to achieve with implementing partners; these are usually defined in the Humanitarian Action for Children (HAC) Appeal and the UNICEF projects submitted under the IA Flash Appeal and/or Humanitarian Response Plan. The planning also frames supporting output indicators, activities and funding requirements. These plans inform resource mobilisation, supply and logistics planning as well as human resources planning and advocacy.

WHY IS IT IMPORTANT?

As in all programming contexts, planning sets the reference for managing the response. If done well, it specifies clear results, targets and indicators that allow us to monitor our progress, and identify and respond to gaps and challenges in achieving results for children.

Plans are also the reference for our external accountabilities – framing the specifics of what partners, donors and people count on UNICEF to do.

Planning is a layered and iterative process. IA and UNICEF response planning are linked, usually drafted in parallel, and UNICEF plans align to the high-level results and targets presented in appeals (IA and UNICEF). This is important to ensure coherence and coordination of the overall response.

UNICEF response planning tools

There are different layers of UNICEF planning tools that serve different purposes:

- The HAC appeal is primarily a resource mobilization tool, but it also represents a high-level plan, framing the priority results, targets and resource requirements, for which we are fundraising and accountable for reporting against.
- The projects UNICEF formulates and submits under the IA Humanitarian Response Plan (HRP) or Flash Appeals usually outline the same content, possibly with more detail if they are finalized later with more information available, and using the IA templates.
- For internal management purposes, and especially as plans extend beyond a rapid scale-up response, UNICEF uses more standard work plan formats providing a more complete reference for planning and management. 52

For a major scale-up response (L3 and some L2s), it is useful for UNICEF to have a consolidated view of plans across all the relevant sectors and cross-sector plans and the resource requirements. This is the function of the Response Plan template which is mandatory in Level 2 and 3 emergencies. It helps to focus on results for urgent humanitarian needs and to coordinate with humanitarian actors. At the same time, we need to ensure that humanitarian response plans are not disconnected from longer term development perspectives and planning processes.

In most L1 emergency responses, COs are not required to develop a standalone Response Plan. However, planning beyond the HAC and projects under the HRP/Flash Appeal is still recommended, and standard work plan formats should be used.

52 As the organization shifts to work planning in eTools, it is expected that the same tool will be used for humanitarian response planning, integrating data in VISION.
WHAT SHOULD UNICEF RESPONSE PLANS CONTAIN?

Strategy

Above and beyond any plan template, response planning requires identifying **overall strategy**. Strategy is something for discussion at cluster/sector level and then within the CO (CMT, EMT) and it is important that everyone shares a **common understanding** of the strategy. It is not something that fits in a template and can be documented separately. Some of the key considerations that shape strategy are:

- **Prioritizing and phasing** – What are the most urgent short term priorities (eg life-saving) and where/whom is it most urgent to reach first? What are subsequent priorities, where? When will it possible to shift to longer term perspectives, where and how? (all of which may differ across sectors)
- **Capacities of government and partners**
- **Cross-sector programme convergence** - Which priority activities must converge and how?
- **Cross cutting programmes** e.g. multi-purpose cash transfers; C4D/community engagement and accountability; GBV (which may not appear in the HAC).
- **Reaching the most vulnerable** – where/whom is it most urgent to reach first?
- **Protection and access issues** - What protection and access issues influence the approach UNICEF must take to protecting rights of children?

Response Plan scope

The scope of the UNICEF Response Plan should match at least that of the HAC, which in turn should match or be slightly broader in scope than projects submitted as part of the HRP/Flash Appeal (and the On-line Project System (OPS) managed by OCHA) and/or as UNICEF contributions to the Refugee Response Plan (managed by UNHCR).

Response Plan template

The UNICEF Response Plan template (revised version to be finalized; mandatory in Level 2 and 3 emergencies, however used in other contexts as well) mirrors the structure of the forthcoming mainstream UNICEF work plan template: outcomes; outputs; output targets, indicators and baselines; activities and funding requirements (at output level and as distributed across activities); timing of implementation (useful mostly as response plans are longer).

The template requires the CO to identify what resources are required to achieve effective cluster coordination where UNICEF is CLA. This is outlined as an activity under humanitarian output in the body of the Response Plan and is developed in consultation with the cluster coordinator.

WHEN IS IT NEEDED?

The key elements of a Response Plan should be drafted during preparedness planning based on analysis of risks and most likely humanitarian scenarios. This might be for a general multi-risk scenario or for a specific and imminent risk scenario, the latter which will require a more detailed outline of the key elements of a possible response.

In a rapid onset or escalation of a crisis, the Response Plan is refined/developed based on some form of common needs assessment, starting with the analysis of pre-crisis secondary data. Full information about the situation and the needs of the affected population and the scale of response required may be limited.

The CO management should **agree on strategic priorities and timeframe for the UNICEF Response Plan within the first two weeks**; this will align with agreements at the Humanitarian Country Team (HCT).

The plan can be refined and developed to different levels of detail at different phases – **the challenge for senior managers is to have a “good enough” plan by keeping it light, and investing the right amount of effort at the right phase**. Many staff struggle with fast and light planning where information is limited, and
assumptions and estimates must be made to move forward.

The Response Plan should be adjusted as more detail is known about the situation, needs and humanitarian priorities, as cluster targets and strategies evolve. This will eventually feed into a revised appeal (HAC and/or Flash Appeal).

Where humanitarian situations are protracted, there is an opportunity and a need to integrate humanitarian and development programming at IA level. This should be based on integrated development/humanitarian assessments. The narrative and common outcomes in the UNDAF are expected to reference the HRP strategic outcomes. In an integrated UN presence (peacekeeping operation or a special political mission), the wider Integrated Strategic Framework (ISF) stands above as the chapeau.

Within UNICEF, humanitarian response planning should be integrated within Country Programme development, Theories of Change and most concretely in Annual Work Plan processes and templates.

WHO DOES WHAT?

Response planning is led by the Country Management Team (CMT) or a specifically tasked Emergency Management Team (EMT) in the CO. In the first 24 hours after the onset, the Representative will likely designate an Emergency Focal Point to ensure UNICEF’s contribution to the IA HRP/Flash Appeal is provided to clusters/sectors.

The team should include senior management, programme sections, communications, programme monitoring and evaluation (PME) and Operations (Administration, Supply, HR) and field offices where relevant. Programme staff will need to consult with implementing and cluster partners. Good planning requires top-down-bottom-up thinking as well as cross-sector lenses.

TIPS FOR EFFECTIVE RESPONSE PLANNING

- Get the big picture clear across sectors while thinking through planning figures, targeting strategies and how these are operationalised, and cross-sector coordination on the ground.
- Start simply with CCC results and benchmarks, adapting to the country context, both humanitarian needs and operational context. In protracted contexts, look at longer term perspectives.
- Set up clear response plan priorities for monitoring, especially the high frequency monitoring. Identify 2-3 priority indicators per sector for high frequency monitoring. (See UNICEF standard HPM Indicator guide).
- Keep higher level results statements, targets and indicators aligned across appeals and plans – whether they are UNICEF inputs to cluster planning, Flash Appeal, IA HRP or in UNICEF HAC and internal response plans.
**SUGGESTED GUIDANCE / TOOLS**

The [CCCs](#) and specifically the sector commitments and benchmarks provide the critical reference in framing outputs. They are prioritised and adapted based on context analysis and needs assessment.

Corresponding indicators should be identified from the [standard HPM Indicator guide](#) which has been developed through extensive consultation and reference to SPHERE, INEE and the IASC indicator registry.

The [target population calculator](#) in the indicator guide supports in estimating “good enough” target figures for response based on total affected and pre-response figures.

**M&E Plan:** The template includes a tab to guide the CO through resource allocation for major monitoring and evaluation activities. It includes UNICEF contribution to IA needs assessment, Performance Monitoring and Evaluation/Reviews

[HPC Reference Module](#) and [Humanitarian Indicators Registry](#) provide guidance on humanitarian indicators.

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**TIMELINE**

<table>
<thead>
<tr>
<th>First 24 hours</th>
<th>First 48 hours</th>
<th>Week 3</th>
<th>Week 4 (Day 30)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NEEDS ASSESSMENT, SITUATION REPORTING, RESPONSE PLANNING, PERFORMANCE MONITORING AND EVALUATION</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Develop initial response plan</td>
<td>Align country Results Framework in VISION with response</td>
<td>Review Response Plan</td>
<td>Produce Final Response Plan</td>
</tr>
<tr>
<td>Provide input through sectors / clusters to draft IA Humanitarian Response Plan (HRP) [Complete by Day 30]</td>
<td></td>
<td>Ensure inputs through sectors / clusters to draft IA HRP</td>
<td>Final IA HRP Produced</td>
</tr>
</tbody>
</table>
17. PERFORMANCE MONITORING

WHAT IS IT?

Performance monitoring in humanitarian response provides COs with a timely overview of performance against planned results for children, and supports effective decision-making and corrective actions in the management of humanitarian response. UNICEF has a recommended minimum approach to performance monitoring for humanitarian response to respond to the demand for higher frequency information at scale and the contextual limitations on data collection systems.

WHY IS IT NEEDED?

As emergency response programmes are meant to deliver results rapidly, UNICEF needs to be able to track its performance frequently and, if necessary, adjust response activities quickly. This function should be included in PCAs with implementing partners.

Monitoring provides answers to the following key management questions:

- Are beneficiaries receiving service, commodities and other assistance as planned?
- Is the quality of the response on the ground acceptable?
- Are the resources to achieve the planned results available? – money, people, supplies
- Are accountabilities as Cluster/sector Lead Agency (where applicable) being met?
- Are there things that need to change to deliver better progress against results?

WHAT ARE THE KEY ACTIONS?

The minimum key elements for Humanitarian Performance Monitoring (HPM) are:

1. **High-frequency monitoring and reporting** progress against an agreed set of priority indicators (eg weekly reporting on 2-3 indicators per sector).

   - **Early agreement on indicators** with partners is key. Indicators must be consistent with the IA appeal and Response Plans, regardless of who is the primary implementing partner for the humanitarian response, government or CSO partners, and what systems are already in place. UNICEF staff should use the [HPM Indicator Guide](#) as the starting point for defining indicators against the expected results for UNICEF accountabilities under the CCCs.

   - **Where CSO partners are implementing partners**, seek agreement on the frequency of reporting on 2-3 ‘high frequency indicators’ that are relevant across programmes and have these integrated into the new or revised Programme Document.

   - **Where government is the primary partner**, UNICEF needs strong input tracking; in some cases, UNICEF can advocate for and provide technical inputs to national fast-track reporting systems (eg SMS reporting from nutrition centres).

   - **Where clusters or sector coordination is in place**, the same agreement on frequency, indicators and formats must be consistent and leveraged at cluster/sector level.

2. **Systematic field monitoring** to assess programme quality and get feedback from the affected population.

   This is similar to good practice in standard field monitoring but needs to be scaled up to cover the scope of the emergency. Options on how to do this include dedicated field monitoring staff recruited by the CO (housed within PME section or in each programme section), or hiring a third-party service provider (consultancy firm, NGO or research institution) through an institutional contract.

   Field monitoring systems take time to set up so it is important to start early and with a simple approach. See the existing [Field Monitoring Guidance, checklist and other tools](#).
Field monitoring must be structured to systematically ask the following:

- Has the plan been implemented as intended? What services/commodities/assistance have beneficiaries received (inputs, activities, outputs) – including numbers, timing and key dimensions of quality?
- Are the most vulnerable affected populations being reached?
- What is the perspective of affected populations, and especially the most vulnerable such as women, children and adolescents? It is important to create a feedback loop and review programming based on the feedback. Explain to the affected populations how their inputs have been taken into account.
- What is not working? – including identifying bottlenecks AND unintended negative impacts.

3. Tracking key UNICEF operations support indicators these are standard and usually do not require adaptation by the CO.

The data needed can be derived from VISION. For example the SitRep template provides an outline of the type of data needed53

4. Tracking performance of Cluster Coordination, where UNICEF is a Cluster Lead Agency.

UNICEF is accountable for coordination of the clusters for which it is assigned as global lead. There are two tools available to support this at different levels. Within UNICEF, the Cluster Coordination Milestone Monitoring tool, a simple checklist, is used to track key coordination steps and processes, especially in the first three months that clusters are triggered. Ideally, the milestones are tracked and validated by cluster partners at a cluster coordination meeting, although at a most basic level cluster coordinators can self-report against milestones.

At the IA level, the Cluster Coordination Performance Monitoring (CCPM) tool is a more elaborate process and tool to assess cluster performance against its core cluster functions and accountability to affected population as agreed under the IASC Transformative Agenda.

The CCPM is based on a partner survey feeding into a cluster self-assessment process. It is useful 3 to 6 months into a new humanitarian response, and thereafter annually. As the CCPM is agreed across all global clusters, the HCT or Inter-Cluster Coordination Group will introduce it systematically, but if not, UNICEF can and should ensure that UNICEF-led clusters introduce it.

**WHO DOES WHAT?**

Performance monitoring is the responsibility of CO staff involved in the humanitarian response, particularly the emergency and programme managers, cluster coordinators (for CLA), and the management team.

Depending on how the performance monitoring systems are adapted to meet the needs of the emergency response, COs need to decide who will do what. This includes defining responsibilities for:

- overview of coordination to ensure indicators are agreed and system is set up and working;
- internal coordination and advocacy with partners on high-frequency monitoring indicators and formats;
- setting up and managing field monitoring systems including ensuring processing and discussion of data for programme managers;
- linking in data collection and analysis from existing mechanisms for feedback from affected populations;
- consolidating Operations data;
- information management support on partner reporting and field monitoring;
- SitRep production.

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53 Note: self-generating reports through E-Tools is forthcoming.
WHEN IS IT NEEDED?

Monitoring needs to be set up at the outset and begins with the first framework of results in the HAC.

It is essential for the Country Management Team (CMT) or CO EMT to periodically review performance monitoring data, in monthly or quarterly reviews depending on context. The internal SitRep provides a useful format for communicating performance.

TIPS FOR EFFECTIVE PERFORMANCE MONITORING IN EMERGENCIES

- Include the people and communities affected by humanitarian crises in decision-making. This means providing accessible information; ensuring that an effective process for participation and feedback is in place and that design and management decisions are responsive. This requires a negotiated coordinated approach with partners including: agreed standards for engaging with affected people, coordinating feedback and complaint channels and sharing disaggregated data to feed into decision-making and adjustments to programming. Tools such as “U-Report” can be useful for engaging communities.

- Adapt performance monitoring approaches to fit the programming. In acute situations, the focus is on narrow data collection matching priority life-saving and protection results. As the situation allows, programming expands to longer-term issues and so should monitoring approaches.

- Ensure that the prioritised high-frequency indicators are government- and partner-coordinated and owned, including field monitoring and cluster coordination. As such, the level of government capacity will influence UNICEF’s approach to performance monitoring.

- The prioritized high-frequency indicators should be owned by implementing partners, and collection of data against agreed indicators should be included in PCAs.

- UNICEF should advocate for, and align with, cluster level performance monitoring, including decisions about frequency of monitoring and the nature of the indicators.

SUGGESTED GUIDANCE / TOOLS

Humanitarian Performance Monitoring Toolkit

TIMELINE

<table>
<thead>
<tr>
<th>Week 3</th>
<th>Week 4 / Day 30</th>
<th>Day 90</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Start Spot Checks</td>
<td>Provide input into first IA Monitoring Report and Operational Peer Review</td>
</tr>
</tbody>
</table>
18. HUMAN RESOURCES IN EMERGENCIES

WHY IS IT IMPORTANT?

In order to implement programmes and deliver results for children in a humanitarian crisis, it is essential that UNICEF has the right people in the right place at the right time. With this in mind it is expected that all UNICEF staff should have basic knowledge of how to respond in emergencies and should be ready to fulfil this responsibility as part of their job.

WHEN IS IT NEEDED?

Human Resource (HR) planning and management starts with preparedness actions prior to the onset of a humanitarian crisis and continues throughout the crisis. This should be linked with the business continuity planning exercise.

WHAT ARE THE KEY ACTIONS AND WHEN?

In advance of emergencies, ensure staff and management put in place the preparedness actions outlined in the Surge Guidelines, as well as the mandatory Minimum Preparedness Actions54, in order to ensure a rapid and effective response at the time of an emergency. Keep the personnel list up to date (including consultants, volunteers), including any change in location within the duty station or the country, for security reasons and particularly in the case of relocation or evacuation.

Within the first 24 hours, staff whereabouts, safety, wellbeing and security is established and support provided for any medical emergencies. The need for staff relocation is assessed and addressed. The staff counsellor is alerted to stand by for any support required.

Within the first 24-48 hours the CO Emergency Management Team (EMT) immediately (updates the Staff Mobilisation Plan (which was developed as part of preparedness activities) for the refocussing and/or deployment of staff already in country to locations where they are best positioned to support the response. 55

This is then followed by a HR Plan (using the Surge Tracking System (STS) prepared in advance)56 to track and mobilise requests for, and deployments of, surge from other countries, secure regional or global support and stand-by partners and start the recruitment of new staff. The first draft of the STS, ready within 48 hours, is then reviewed by HR focal points in the CO, RO, UNICEF’s Office of Emergency Programmes (EMOPS) Geneva and HR on a set schedule, usually twice a week in sudden onset emergencies. If needed, the DHR/Emergencies and Surge Recruitment Section (DHR-ESRS) in NYHQ is ready to support the issuance and initial management of the STS.

When preparing the STS, all the different internal and external mechanisms for identifying and securing personnel should be taken into consideration as well as the Executive Directive “Recruitment and staffing in Emergency Situations” CF/EXD/2010-005 Amendment #1_2017 as well as in the Strengthening Humanitarian Action (SHA) related HR measures. More information on the mechanisms can be found Surge guidelines and other documents and the SSOPs for HR in emergencies.

In week 3-4 at the latest, a HR strategy is developed which addresses longer term needs and exit strategy planning for the initial surge. A Programme and Budget Review (PBR) may be necessary if there is a need for additional/reallocated Fixed Term staff for one to two years.

54 See Chapter 7 on “Preparedness”
55 When an L3 is declared, a surge team (IRT/ERT) is immediately deployed on a “no regrets” basis.
56 The STS (formerly OSM) aims to i) allow affected CO to indicate its surge needs (function/post title); ii) monitor deployment of each candidate, from surge request through identification to arrival on ground; iii) Provide to senior management an accurate snapshot of HR needs/status in the ongoing response.
AVAILABLE HR MECHANISMS: INTERNAL CAPACITY

HUMANITARIAN SURGE DEPLOYMENT: Staff may be mobilised from other COs, RO or HQ as “humanitarian surge deployment”. Internal missions are among the quickest mechanisms to get persons in place for periods of 4 weeks to 3 months. However, it is essential to ensure that surge have the required skills and knowledge of working in a humanitarian setting as well as understanding the country context (lower income country, middle income country, urban vs rural, etc). The HR Plan must contain a longer-term solution that should be implemented as soon as possible due to the high cost of internal missions (DSA and backfills) and the resistance or inability of some governments to issue frequent short term permits or visas. It is encouraged to review and assess available resources at the regional level first.

EMERGENCY RESPONSE TEAM (ERT)

- UNICEF has an internal standing capacity of P4 and P5 programme and operations specialists who are based in HQ and specifically respond to humanitarian crises on a rolling basis.
- The ERT is expected to be ready for deployment within 48 hours and with an initial deployment period of up to 6 weeks (with an extension possible).
- Representatives may send an email to request deployment from EMOPS through DHR-ESRS, with TORs included.

CLUSTER RAPID RESPONSE TEAM (RRT/FIELD SUPPORT TEAM (FST))

- High quality, rapidly deployable coordinators and knowledge/information management specialists at P-3 and P-4 level who are mainly deployed through Standby Agreements, either as in-kind contribution or funded through Project Cooperation Agreements (PCAs). They are expected to be ready for deployment 72 hours after request for an 8 week duration, potentially extendable for a further 4 weeks.
- The CO completes and submits the request form and TORs to EMOPS Geneva. DHR-ESRS is informed of the decision through either EMOPS Geneva or requesting CO

HUMANITARIAN SUPPORT PERSONNEL (HSP)

- P-3-level personnel engaged for a year who spend 75% of their time in the field and 25% in the UNICEF office of origin.
- Representatives may send an email to request deployment to DHR-ESRS, with TORs included.

IMMEDIATE RESPONSE TEAM (IRT) – L3 ONLY

- A group of emergency-experienced UNICEF staff who have been internally nominated and trained to respond to L3 emergencies.
- Expected to be ready for deployment with 48 hours on a “no regrets basis” for up to three months after which time they return to the UNICEF office of origin.
- Deployed by DHR-ESRS/EMOPS on a “no regrets” basis.

REGIONAL ROSTERS - Rapid Response Mechanisms (RRM) or Regional Response Rosters (RRR)

- Regional rosters of national and international staff and consultants working in a particular region, nominated every 18 months, for regional and at times worldwide deployment (with priority given to the region of origin).
- Duration of deployment varies but generally ranges from 6 weeks to maximum 3 months.
- The RRM/RRR were created to respond primarily to regional needs. They are used extensively for L2 emergencies, but can also be used in L3 emergencies in the concerned region. Members can also be proposed for deployment outside their region of origin (eg the joint WCARO/ESARO database).

57 Surge guidelines and other documents
• RRM s are increasingly complementary with each other and with other surge systems and modalities (SBP, ERT and SD). The Emergency HR focal point (or RRM focal point) in the RO is responsible for coordinating with these other systems and modalities to optimize the use of the RRM.
• The RRM is usually invoked where a small window of opportunity is available to access populations or geographic areas of interest.
• Representatives make a request to the RO to draw on a roster for rapid implementation. DHR-ESRS is informed of the decision through either the RO or the requesting CO.

SUPPLY DIVISION ROSTER
• The most expansive roster available within UNICEF, consisting of over 500 Supply and Logistics Specialists and external experts technically assessed and ready for deployment within 48 hours, subject to offices agreeing to release staff on short notice.
• Representatives may send an email to request deployment from Supply Division with copy to DHR-ESRS with TORs included

INFORMATION TECHNOLOGY SOLUTIONS AND SERVICES (ITSS) ROSTER
• A UNICEF global information and communication technology (ICT) roster is available upon request from the Representative to the RO/HQ – consisting of approximately 60 experienced internal personnel trained in emergency ICT, who are ready to deploy to support emergency response operations globally, subject to offices agreeing to release staff on short notice.

POLIO ROSTER AND POLIO SURGE TEAMS
• WHO-UNICEF joint roster of global staff and consultants available in the case of a polio outbreak. The roster is maintained by WHO and includes UNICEF polio, health, cold chain logistics (CCL) and C4D staff and consultants.
• The mechanism allows for deployment of a first wave of 2-5 emergency experts and a second wave surge team of consultants to manage and/or close the outbreak.
• Representatives may request deployment of roster members to the Polio team with copy to DHR-ESRS with TORs included

PROGRAMME DIVISION DATABASES OF EMERGENCY SPECIALISTS
• Some Programme Division (PD) sections maintain a database of technically-cleared profiles for deployment (internal profiles) or recruitment (externals) by COs at all levels. Note: Non-UNICEF staff are technically cleared by emergency focal points in PD, but being in the database does not guarantee their deployable status.
• CO submits an email request to DHR-ESRS for support in identifying suitable and available staff or to ascertain a certain candidate’s interest and availability.

AVAILABLE HR MECHANISMS: EXTERNAL CAPACITY

UN VOLUNTEERS (UNVS)
• UN volunteers can be quickly identified and deployed to provide efficient support to emergencies. They can complement other categories of staff within UNICEF ROs and COs. For emergency operations, volunteers can be mobilized within two to four weeks (or less, if required), and for non-emergency operations, within four to 12 weeks.
• To request UNV profiles/candidates, COs use the same request form as the one for SBP along with the Description of Assignment, or TOR.
• UNVs can also be sourced through national rosters which provide additional local human resources, particular languages or knowledge of...
local context. The reference guide for UNV deployment is on the Staffing Surge site.

STAND-BY PARTNERSHIPS (SBP)

- 30 partnerships with NGOs, governmental institutions and private companies, designed to complement UNICEF’s own capacity to respond to humanitarian crises.
- According to the available rosters and respective mandates, partners match sectors with UNICEF programme and cluster needs, as well as some operational needs. Each partner manages their own roster, ranging from 100 to 2,000 experts at the P2-P5 level. Over 60% of candidates have prior UNICEF experience. Each candidate has a responsibility to report to his or her partner agency on the deployment.
- Stand-by Partner candidates come at no cost to UNICEF (except for internal travel costs).
- The CO completes and submits the request form and TORs to EMOPS Geneva.

INTER-AGENCY RAPID RESPONSE MECHANISM (IARRM)

The declaration of system-wide Level 3 (L3) emergency response triggers the deployment of experts from the IARRM to provide technical and management support or the empowered leadership protocol for HCs. It can include: cluster coordinators; additional OCHA capacity; technical experts to support joint needs assessment, information management, and strategic planning; NGO leadership; and security expertise.

- IARRM deploys on a “no-regrets” basis within 72 hours of a system-wide L3 declaration and is reviewed by the IASC Principals after 7-10 days for the first three months.

STAFF WELL-BEING

- It is imperative that staff well-being and stress prevention measures are taken into consideration throughout the response. HR/Admin/Operations/Supply and Management should ensure that staff welfare needs are addressed in terms of minimum living conditions such as exercise facilities, accommodation, work space, nutrition and general well-being.
- In acute emergencies, where staff are required to work exceptionally long hours, consider provisions for a break during the week, downtime in the evening⁵⁸ and other mechanisms for staff to decompress and maintain good physical and mental health.

- In L3 emergencies:
  - Make on ground staff counselling available to staff;
  - Plan regular well-being missions at response onset;
  - Make available relevant information on Stress in the Workplace, Building Resiliency and preventing burn-out in emergencies
  - Provide mandatory pre- and post-deployment well-being briefings;
  - Communicate pre- and post-deployment briefing information to the families of international staff, including an invitation to contact the staff counsellors for guidance as needed.

TIPS FOR EFFECTIVE HR IN EMERGENCIES

- When preparing a Human Resources Plan, ensure that UNICEF staff, rather than consultants or Standby Partners, are placed in key decision-making positions e.g. Head of Field Office.
- Have operations support and adequate HR capacity (experienced emergency staff) from the start to ensure an efficient response and adequate attention to needs.

⁵⁸ See UNICEF’s provisional policy on breaks for Rest and Recuperation (R&R), Special Emergency Compressed Time Off – in CF/EXD/2010-005 Amendment #1_2017
- Bringing longer-term staff on board rapidly is critical to ensuring continuity in the response, as well as an effective exit from surge and reducing UNICEF costs.
- Always consider talent groups, desk reviews, direct recruitment, and other fast track provisions that will expedite the recruitment of staff.
- For an international recruitment, send all the required documents and information to DHR-ESRS in a single package. This will speed up the process.
- Consider language skills when identifying personnel.
- If an office is established in a location that is not an already recognised duty station, it is extremely important to obtain official approval with the host country, through the RC, and obtain ICSC classification before assigning staff members, in order to have the proper UNDSS measures, as well as allowances, entitlements and incentives in place.

### TIMELINE

<table>
<thead>
<tr>
<th>IRT (L3)</th>
<th>First 24 hours</th>
<th>First 48 Hours</th>
<th>Week 1 / Day 7</th>
<th>Week 3 / Week 4</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Deployment of IRT within 48 hours of an L3 declaration</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HUMAN RESOURCES</td>
<td>Prepare CO staff mobilisation plan; identify staffing gaps and HR immediate needs using STS and share with RO/HQ (consider surge, SBP, etc and fast track mechanism)</td>
<td>Review staff needs</td>
<td>Review and adjust HR plan for beyond 3 months; Prepare HR strategy</td>
<td></td>
</tr>
</tbody>
</table>

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19. SUPPLIES AND LOGISTICS IN EMERGENCIES

WHAT IS IT?
Supplies are a critical component of any emergency response. In an emergency, the first response is often supply driven and therefore rapid action in this area is essential to meet UNICEF’s Core Commitments for Children in Humanitarian Action (CCCs).

A Supply and Logistics Strategy and a Supply Plan should be developed in advance by CO, as part of preparedness.

SUPPLY AND LOGISTICS STRATEGY
The Supply and Logistics Strategy covers all aspects of procurement and logistics. It must include:

- Country context information
- Country inter-agency (IA) coordination mechanisms
- Supply
- Logistics (International routes & Entry points, Customs clearance, Warehousing (Country, Regional and HQ hubs), In-country transport and infrastructure, Climate Change/GHC and link to Logistics)
- Resources including financial, material and human resources to support supply delivery are pre-identified.
- VISION implementation
- Tracking and performance management

All these must be included in the Strategy as they have implications for the timing of the procurement process, shipping/delivery options and the planning and budgeting of the total resources required.

SUPPLY PLAN
The Supply Plan includes item details, quantities, costs, weights and volumes of the supplies required for the key programmatic areas. The Supply Plan should indicate which supplies will be procured locally or regionally or which require off-shore procurement by the Emergency Coordination Unit (ECU) in Supply Division, Copenhagen.

WHEN IS IT NEEDED?
Supply and logistics needs should be outlined as part of preparedness and reviewed regularly – for example, screening of potential suppliers, quality assurance of products, and prepositioning of supplies well ahead of an emergency.

At the onset of an emergency the Supply and Logistics Response Strategy and the Supply Plan developed as part of preparedness should be revised by programme and supply staff in the CO, in line with activities to be implemented. A Supply Plan is developed. The first authorised sales orders are made within 24 to 48 hours.

If no Strategy or Supply Plan is in place, the Supply and Logistics staff in country develop within 48 hours an Immediate Needs Supply Plan as part of the Response Plan, with the expectation that the supplies be delivered to point of use or partners within a specific time frame as follows:

- Use of in country prepositioned supplies within 24-48 hours
- If indicated in VISION as Rapid response – 3 days by air
- If indicated in VISION as Emergency – 14 days by air
- If indicated in VISION as Other Emergencies – 60 days by sea/road

WFP-managed Logistics Capacity Assessments (LCAs) can serve as an important reference document when developing a supply strategy/plan.

Once a Supply Plan outlining initial needs has been developed, the Supply & Logistics staff should then conduct a rapid Supply & Logistics Emergency Assessment to:
• determine the Supply & Logistics staffing capacity in country and identify gaps;
• review procurement options (local, regional and off shore);
• review local Long Term Agreements (LTAs) and short term contracts in place;
• assess the viability of the supply chain, including: identification of key needs and actions in terms of clearance, warehousing, and transportation to ensure supplies can be delivered within the necessary time frames; review of transport corridors to identify potential alternative entry point(s); review of transport LTAs and/or contracts in place for in-country transport; assessment of supply and logistic capacities and practices of partners and counterparts. Share findings with CO programme colleagues, to be considered when establishing PCAs.

At the end of the first week, when the programmatic needs have been clarified, the Supply Plan should be revised. This is then done on an ongoing basis throughout the response.

Depending on the scale of the emergency and capacity in country, the CO office may request surge support from Supply Division (who may draw on the Logistics Cluster Roster) to deploy staff for IA rapid emergency assessment missions, common logistics efforts, and additional support.

**TIPS FOR EFFECTIVE SUPPLY AND LOGISTICS**

• Warehouse managers and staff need to be able to manage supplies in VISION and/or do data input etc.
• Consider private sector options for warehousing, transportation etc.
• Consider ordering a forklift with the first shipment where adequate facilities are not available on the ground for unloading.
• Remember to consider operations and UNICEF visibility across supplies for the first wave request – particularly security, ICT and accommodation /office needs.
• Ensure local supplies are of sufficient quality and are UNICEF branded before being dispatched, to ensure UNICEF visibility.
• Additional services such as installation and training, and additional items or spare parts, should also be considered and described at an early stage.
• Supplies and their quality should be specified so that they meet the needs and the context in which they will be used. For example, specific packing requirements may be required.
• For tents and prefab structures, consider hiring an NGO or private sector partners to erect these and train local actors, vis-à-vis using UNICEF staff and individual contractors, to rapidly accelerate delivery and/or assembly.
SUGGESTED GUIDANCE / TOOLS

Supply Plan Used to compile the combined office needs in terms of supplies (includes weight, volume, and price for each item)
UNICEF Supply Catalogue To assist in planning and identify supplies for programme
Emergency Supply List (ESL) List of identified emergency supplies available in UNICEF Hubs to enable an emergency response for the needs of 250,000 people for a period of 3 months
Emergency Supply Calculator Helps to generate a list of expected needs for identified programme sectors e.g. health, education
TAD Estimation Tool to help field offices estimate realistic Target Arrival Dates at port of entry (TADs) for offshore and direct order procurement
Freight Estimate Calculator Important tool that includes current rates from nominated freight forwarders
Supply Chain Monitoring Dashboards A set of Dashboards to support CO and RO to monitor supplies in the UNICEF supply chain
Track and Trace Connection to freight forwarders websites and their track and trace service. Password protected. Send request for access to sd.forwarders@unicef.org
Weight and Volume Calculator Provides an estimation of weight, volume and cost of selected goods against the available budget, based on the Material Master data (ZMAT_NEW VISION report)

TIMELINE

<table>
<thead>
<tr>
<th>First 24 hours</th>
<th>First 48 Hours</th>
<th>Day 4 to end of Week 1</th>
<th>Week 3 / Week 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>SUPPLY LOGISTICS</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review in-country and prepositioned supplies</td>
<td>Develop initial supply plan</td>
<td>Develop first draft of SL Strategy for Response Plan (incl revised Supply Plan with welfare, ICT, security supplies; Review on ongoing basis; Raise Supply Order’s (SOs))</td>
<td>Review and adjust supply plan for beyond 3 months; Ensure staff understand CIK procedures; Align supply plan with response plan</td>
</tr>
<tr>
<td>Review current agreements including PCAs and SSFAs</td>
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</table>
20. FUNDING AND RESOURCE MOBILISATION

WHAT IS IT AND WHY IS IT IMPORTANT

The availability of adequate, predictable and flexible financial resources is critical to UNICEF’s ability to respond to a humanitarian crisis. UNICEF can secure resources for the immediate response by accessing/reprogramming internal UNICEF resources and by timely and effective additional resource mobilisation efforts at CO, RO and HQ levels. UNICEF can also access external IA emergency funding mechanisms through Flash Appeals and HRP. A request for emergency programme funds (EPF) can also be made through EMOPS. The need for flexible funding is critical, particularly given the highly dynamic nature of the complex emergencies that children are facing.

Financial and non-financial resources, such as social investment and philanthropy, core business assets, advocacy and public policy engagement, partnerships and collective action, are also important. For example, the private sector can contribute in the form of new technologies and other innovations, and the sharing of core assets and technical capacities (eg in logistics, telecommunications or cash transfer). The private sector can also support advocacy efforts and use its influence in the workplace, marketplace and community and vis-à-vis the business community and government.

Business interest can sometimes be strongest at a time when government and humanitarian organizations are at their busiest mounting an emergency response and therefore least able to coordinate a response with new actors. It is therefore critical to engage with the private sector at the preparedness phase.


WHEN IS IT NEEDED?

UNICEF begins responding immediately to an emergency, while additional resources are being mobilised. The following mechanisms speed up access to funds in emergencies:

- reprogramme regular resources (RR) in country;
- request Emergency Programme Fund (EPF) within 24 hours;
- re-programme available global/regional thematic funding (OR) in country (as done for RR);
- reprogramme ongoing programme funding as needed and in agreement with donors;
- raise funds in country (where CO has a Private Fundraising and Partnerships (PFP) Section).

<table>
<thead>
<tr>
<th>Timeframe</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>At onset</td>
<td>Re-programme RR ($150k/$200k)</td>
</tr>
<tr>
<td></td>
<td>Re-programme global/regional thematic funds in CO and RO where appropriate</td>
</tr>
<tr>
<td></td>
<td>Re-programme OR, where donor agrees</td>
</tr>
<tr>
<td></td>
<td>Fundraising efforts with public and private sector donors, including NatCom fundraising</td>
</tr>
<tr>
<td></td>
<td>Appoint point of contact for resource mobilisation</td>
</tr>
<tr>
<td>24-48 hrs</td>
<td>UNICEF Emergency Programme Fund Request</td>
</tr>
<tr>
<td></td>
<td>UNICEF HAC Appeal</td>
</tr>
<tr>
<td></td>
<td>Align the Country Programme results framework in VISION with the response and the appeals to ensure accurate funds monitoring within 48 hours</td>
</tr>
<tr>
<td>Within 3-5 days</td>
<td>Inputs to the Interagency Flash Appeal</td>
</tr>
<tr>
<td></td>
<td>CERF proposal development</td>
</tr>
<tr>
<td></td>
<td>Development of RM Action Plan</td>
</tr>
<tr>
<td>1 week</td>
<td>Access available global humanitarian thematic funding</td>
</tr>
<tr>
<td>Beyond 1-2 weeks</td>
<td>Access different pooled mechanisms such as</td>
</tr>
<tr>
<td></td>
<td>Country Based Pooled Funds (CBPF) and Multi Donor Funding Mechanisms</td>
</tr>
<tr>
<td></td>
<td>Report to Financial Tracking Services (FTS) Secretariat via PPD</td>
</tr>
</tbody>
</table>

WHO DOES WHAT?

Within 24 hours the UNICEF Country Representative appoints a dedicated point of contact for coordination of resource mobilisation efforts, including monitoring of funding (received and pipelined). However, the
Representative is ultimately responsible for the funding and coordination of resource mobilisation.

RESOURCE MOBILISATION ACTION PLAN
The CO should develop a Resource Mobilisation (RM) Action Plan which includes:

- fundraising targets, based on resources needed to deliver results and implementation capacity, including cluster/sector coordination responsibilities
- potential donors (public and private), based on the analysis done
- plans on how to engage with those potential donors
- who is responsible for engagement with partners
- the timeframe for implementation of the plan and the specific actions identified.

The RM plan should focus on mobilising flexible emergency resources as much as possible, to enable the CO to invest strategically where the needs are greatest. Un-earmarked cash is the preferred option and Contributions In Kind (CIK) that meet UNICEF’s specific needs should also be considered.

The IA Flash Appeal, UNICEF’s HAC Appeal and UNICEF SitReps serve as key documents when engaging with donors – both when raising funds and later, to provide donors with regular updates on the evolving situation (taking into account any conditions or reporting timeframes specified by particular donors).

When entering into negotiations with government donors, contact relevant PPD colleagues for advice on standard practices for the particular donor and tips on negotiation.

Tools to support development and implementation of RM Action Plans can be found at PPD and PPP intranet.

INTERNAL FUNDING RESOURCES

REGULAR RESOURCES
Regular Resources (RR) are funds contributed to UNICEF without restrictions on their use. All UNICEF offices benefit from the allocation of these resources, with the largest share spent on delivering programmes for children. At the onset of the emergency, the Representative may decide to re-programme RR from development programmes to the emergency. Such reprogramming must be agreed with the government. It does not require approval from HQ in advance but should be reported to the RO and to Directors of EMOPS and PD as well as in the Country Annual Report. It should also be noted in the Sitrep and HAC Appeal that funds have been reprogrammed. The Representative is authorised to re-programme the following:

- $200,000 of supplies and funds, where the Country Programme’s annual RR allotment is $2 million or more
- $150,000 of supplies and funds, where the Country Programme’s annual RR allotment is less than $2 million

ORE RESOURCES
ORE contributions can be flexible / un-earmarked, thematically earmarked or project level earmarked from public/private sector resource partners.

When preparing proposals for ORE resources, COs should include funding for cluster/sector coordination activities and functions for UNICEF-led clusters and AoR.

In addition to cash contributions, donations of goods and services at no cost to UNICEF, also known as Contributions In Kind (CIK), are one option for mobilising resources from the corporate sector to help deliver UNICEF programmes. CF/EXD/2013-009 sets out the policy and process for the receipt of CIK. If the corporation has not been previously screened, the office needs to submit a screening request followed by
the CIK form. **Supply Division Desk Aid for CIKs** is available, and more information on the screened corporations, forms and approval process can be found [here](#). In L3 emergencies, donor payments of the cost recovery and transportation costs on CIK can be waived.

**FUNDS RAISED BY PFP SECTIONS IN SOME UNICEF COS**

The Private Fundraising and Partnerships (PFP) Section mobilises funds from private individuals and companies to help meet the needs of children. The section carries out its activities for regular programmes and emergencies through fundraising channels such as face-to-face, direct mail, telemarketing, digital, special events, major donor giving, corporate philanthropy and cause-related marketing.

Raising funds for local emergencies is at the discretion of the Representative and the PFP Unit. Immediate asks are based on the most frequent requests in the aftermath of an emergency: water kits, hygiene kits and child friendly spaces in evacuation areas. Asks can be updated once specific needs are identified on the ground. They can be revised two to three times in the first two weeks.

*If raising funds for a local emergency:*

- Before launching an emergency fundraising campaign, give careful consideration to: scale of emergency, extent of coverage of the emergency by the media, fundraising opportunities, and initial assessments.
- Rapid implementation of an emergency appeal (24-48 hours after onset) positions UNICEF as one of the first responders and helps generate immediate funding support from the private sector.
- There are standardized PFP emergency appeal templates for email, SMS, Google AdWords, direct mail and face-to-face pitch materials to quickly develop an emergency fundraising campaign.

**EMERGENCY PROGRAMME FUND**

The UNICEF Emergency Programme Fund (EPF) is a *revolving fund or loan* managed by EMOPS to meet *urgent and interim emergency needs* when no IA or UNICEF appeal has been launched, or when one has been launched but no donor contributions have yet been received.

COs experiencing a crisis where the funding requirements exceed the reprogrammed amount should issue an EPF request, as per the *guideline*, within 48 hours. EPF can also be requested when there is a significant deterioration in situation or to sustain a nutrition pipeline for example. The proposal should be endorsed by the Regional Director before being submitted to EMOPS for review and approval by Directors of EMOPS, PPD and PD, as well as by Deputy Executive Director (Operations)\(^59\). Loans from the EPF should be fully committed within three months of allocation and expended within the time frame specified in the proposal, in principle not more than 12 months or by the end of the biennium, whichever comes first. Based on the replenishment plan, ORE funds should be used to reimburse the EPF loan.

Receipt and use of EPF should be reflected in the Flash Appeal and any other IA efforts, and reported on in the Country Annual Report and in the Consolidated Emergency Donor Report.

**GLOBAL HUMANITARIAN THEMATIC**

*Thematic funding* is allocated on a needs basis, and allows for longer-term planning and sustainability of programmes. Donors can contribute thematic funding against the Humanitarian Action/Response pool (one

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\(^{59}\) In an L2 (up to $2 million) & L3 (up to $4 million) the release of funds from HQ is automatic and the EPF form does not need to be filled out.
of 9 thematic funding pools of the Strategic Plan), at the global, regional or country level.

Global/regional thematic humanitarian funds will be allocated outside the approved other resources (OR) ceilings, but within the limits of the HAC appeal or the IA appeal requirements. Funds are requested or allocated based on recommendations by EMOPS addressing the areas covered in the CCCs and based on criteria that include: (i) humanitarian needs; (ii) priorities identified in the appeal; and (iii) funding gaps in the appeal. Other than valid humanitarian appeals, no specific proposals will be required to receive thematic humanitarian funds.60 Global Humanitarian Thematic funds can be used for preparedness.

**EXTERNAL FUNDING MECHANISMS**

**UN CENTRAL EMERGENCY RESPONSE FUND (CERF)**

The CERF is one of the fastest and most effective ways to support rapid humanitarian response for people affected by natural disasters and armed conflict. CERF receives voluntary contributions year-round to provide immediate funding (utilised within six months) for life-saving humanitarian action anywhere in the world. CERF’s objectives are to: (i) promote early action and response to reduce loss of life; (ii) enhance response to time-critical requirements; and (iii) strengthen core elements of humanitarian response in underfunded crises.

For large-scale emergencies where reimbursement is certain (high donor commitment) the CERF may be a source of rapid financial support on a loan basis.

CERF can provide funding directly only to UN agencies, but CERF grants are implemented in close partnership with local and international NGOs, host governments and Red Cross/Red Crescent societies. Humanitarian organisations apply jointly for CERF funding through the rapid response or underfunded emergencies windows.

The CERF request/proposal is coordinated by the clusters and OCHA and submitted through the Resident Coordinator/Humanitarian Coordinator to the CERF Secretariat with copies to Directors of EMOPS, PD, PFP and PPD. Clusters draft the CERF request and submit to their respective CLAs on behalf of the cluster. UNICEF then finalises the requests from all UNICEF-led clusters/AoRs and submits to OCHA as one request.

Guidance on how to apply for CERF funding can be found here: Rapid Response; Underfunded Emergencies and CERF Loans.

Once the proposal is approved, PPD is responsible for the finalisation of the agreement with CERF and for coordination with DFAM for swift grant creation. Any changes to the original agreement (cost or no-cost extension) should be communicated to PPD in a timely fashion. The receipt and use of CERF allocations should be reported in Country Annual Report and Consolidated Emergency Donor Report.

**POOLED FUNDS - COUNTRY-BASED POOLED FUNDS AND MULTI DONOR TRUST FUNDS**

Country-based pooled funds (CBPFs) are multi-donor humanitarian financing instruments established by the Emergency Relief Coordinator (ERC). CBPFs are managed by OCHA at the country level under the leadership of the Humanitarian Coordinator (HC) and projects for CBPFs are endorsed by the respective clusters before they are submitted to OCHA.

Allocations go to UN agencies, national and international NGOs and Red Cross/Red Crescent organisations. Donor contributions to each CBPF are un-earmarked and allocated by the HC through an in-country consultative process. UNICEF staff work with

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60 The process of requesting all global thematic funds (including global humanitarian) will be done through the new Budget Formulation Tool anticipated to be rolled out in 2018.
the cluster teams to have their needs reflected in CBPF proposals and requests.

Pooled financing mechanisms operate in a wide range of contexts, as well as on different geopolitical scales (global, regional, national and sub-national funds). They can either be UN or nationally managed. They may operate through single or multiple funding windows, based on the scope and complexity of programmatic goals and the number and diversity of implementing partners. The main pooled mechanisms currently used by the UN system are UN Multi-Donor Trust Funds (MDTFs), National MDTFs and stand-alone Joint Programmes (JPs).

SUGGESTED GUIDANCE / TOOLS

Central Emergency Relief Fund – CERF
Country-based pooled funds – CBPFs
Contributions In Kind (CIKs) – CF/EXD/2013-009
Flash Appeal
UN Multi-Donor Trust Funds – MDTFs
Emergency Programme Fund- EPF Guidance
Guidance on ‘Children in Humanitarian Crises: What Business Can Do’ can help to provide additional information.

TIMELINE

<table>
<thead>
<tr>
<th>RESOURCE MOBILISATION and HAC</th>
<th>First 24 hours</th>
<th>First 48 Hours</th>
<th>First 72 Hours</th>
<th>Week 1</th>
<th>Week 2</th>
<th>Week 3 / Week 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reprogramme RR and OR Request EPF; Develop initial HAC Appeal document; Develop Resource Mobilisation (RM) Plan</td>
<td></td>
<td></td>
<td>Start using funds tracking table</td>
<td>Revise RM plan in line with revised HR, supply and response plan</td>
<td>Revise HAC</td>
<td>Revise RM plan in line with revised HR, supply and response plan</td>
</tr>
</tbody>
</table>

Ensure CERF inputs provided by day 7
21. HUMANITARIAN ACTION FOR CHILDREN (HAC)

WHAT IS IT?

The Humanitarian Action for Children (HAC) is UNICEF’s humanitarian appeal. The HAC is a plan of the CO/RO’s humanitarian targets and results, which should be aligned with the CO/RO’s Annual Work Plans (AWPs). The HAC targets should be reported on at least twice yearly (more regularly is encouraged) and more often if the crisis is designated an L2 or L3 in line with the L2/L3 SSOPS.

UNICEF also contributes to other inter-agency (IA) appeal processes such as the Flash Appeals as well as the Humanitarian Response Plans (HRPs). The HAC is aligned with IA appeals like the HRP.

The key features of a HAC are:

- **Aligned** with the Inter Agency HRP
- **Results-based** - reporting against targets for UNICEF programmes and clusters
- **Flexible** - ‘Rolling’ HAC – the website allows for revisions at any time
- **Sequenced with other planning processes** - including IA planning processes (HRPs)
- **Linked to SitReps** in terms of reporting on results against targets and funds received

All new and revised HACs are posted on the HAC appeals website and should be developed in accordance with HAC guidance and templates for Country Office and Regional Office.

WHY IS IT IMPORTANT?

The HAC is important for a few reasons. Firstly, it is the sole internal mechanism for setting ORE planning targets and ceilings. The setting of ORE budget ceilings requires review and clearance by the respective Country Representative, Regional Director as well as the EMOPS Director. Should funds received by a country or regional office exceed the office’s ORE ceiling, then a new or revised HAC will be required.

Secondly, the HAC provides CO/ROs with visibility and a common platform to support resource mobilisation. The HAC is useful to UNICEF’s humanitarian donors as it provides a single place for them to see the UNICEF humanitarian funding needs, plans, and progress for the year, upon which they base their funding decisions. The HAC is communicated and updated online at the HAC Appeals website.

Thirdly, the HAC, along with SitReps, allows UNICEF to aggregate results on a regular basis. These results are extremely important to being able to ‘tell the story’ of reaching women and children with services, commodities and other assistance under UNICEF’s mandate. Showing these results on the ground and demonstrating UNICEF’s value-added also facilitates future fund raising. Furthermore, the regular reporting of results is a corporate accountability to the UNICEF Board and to donors.

WHEN IS IT NEEDED?

- A HAC is developed within the first 24 to 48 hours of the onset of a crisis.
- HACs can be developed (and revised) at any point, and when the situation necessitates
- The HAC is a key fundraising tool, and is developed (or revised) only when an office intends to fundraise in order to respond to a humanitarian situation(s) in the country.
- A HAC is not required where the country/government has adequate resources to respond to crises.
- A new or revised HAC should be developed where additional resources are needed to respond to an emergency.
- A revised HAC should also be developed when an ongoing situation improves, for which the funds originally sought are no longer needed and the overall appeal can be revised downwards.
The HAC includes **targets and funding requirements** which can be revised once all needs assessments have been completed. For example, the caseload of women or children to be reached may increase, or the situation on the ground gradually or suddenly worsens, prompting an increase in ORE funds required to respond to the crisis.

**WHAT ARE THE KEY ACTIONS?**

The HAC template comprises 6 sections:

- **Humanitarian situation**: This describes the overall situation in the country. It is not UNICEF specific.
- **Humanitarian strategy**: This highlights what UNICEF is planning to do to address the needs of the affected population (particularly women and children).
- **Population and Caseload Figures**: This provides data on the overall population in need and the population that UNICEF plans to reach, should 100% of funds be received.
- **Programme targets**: These are the targets that UNICEF plans to achieve, by sector, should 100% of funds be received.
- **Results**: The results table shows results achieved for UNICEF programmes and for clusters (where relevant) against the targets specified in the original HAC. A results table is also provided in the SitReps.
- **Funding requirements and levels**: Funding required by programme sector is listed in the funding table, and explained in the accompanying narrative. For revised HACs and Situation Reports, funds received by sector are also listed.

HACs should draw from the UNICEF and IA response plans (highlighting UNICEF’s contribution). The HAC, SitRep and response plan should all be consistent and report against the same targets and indicators.

Support for preparing and revising HACs is available to ROs and COs through EMOPS.

**Monitoring and reporting requirements for the HAC**

<table>
<thead>
<tr>
<th>Type of HAC/Response</th>
<th>Frequency of Monitoring and Reporting (including SitReps)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 1 humanitarian responses without a humanitarian appeal or not in HAC</td>
<td>Optional daily/weekly/monthly as per context - with Results reporting (i.e. Results Table required)</td>
</tr>
<tr>
<td>All HAC countries with their own HAC chapters, including Level 1 humanitarian responses</td>
<td>At least twice per year – around mid-year and end of year. Both with Results Table</td>
</tr>
<tr>
<td>HAC/HRP countries that experience multiple sudden onset or on-going chronic emergencies that require significant humanitarian programmes</td>
<td>Every 2 months – with Results Table</td>
</tr>
<tr>
<td>All Level 2 and Level 3 designated countries</td>
<td>Beginning weekly with first monthly sitrep including Results Tables then Monthly – with Results Table (as per SSOPs for L2 and L3)</td>
</tr>
</tbody>
</table>

**WHO DOES WHAT?**

The HAC is developed by the CO in consultation with the RO, and approved by the CO Representative along with the respective Regional Director. All ORE ceilings (and hence HACs) need to be approved by the EMOPS Director.

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**SUGGESTED GUIDANCE / TOOLS**

- Humanitarian Action for Children 2017 (Overview)
- Specific RO Templates
- General CO Templates and Guidance

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For the first month the CO results tables should include the UNICEF targets and proxy results where partner reports have not been received, noting this in footnotes.
<table>
<thead>
<tr>
<th>TIMELINE</th>
<th>First 24 hours</th>
<th>First 48 Hours</th>
<th>First 72 Hours</th>
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<tr>
<td>RESOURCE MOBILISATION And HAC</td>
<td>Reprogramme RR and OR</td>
<td>Request EPF; <strong>Develop initial HAC Appeal document</strong>; Develop Resource Mobilisation (RM) Plan</td>
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<td>Revise RM plan in line with revised HR, supply and response plan</td>
</tr>
</tbody>
</table>

**Ensure CERF inputs provided by day 7**
22. OPERATIONS – ADMINISTRATION AND FINANCE

WHAT IS IT?

UNICEF raises resources from donors to finance the delivery of support and services to women and children throughout the world. UNICEF has an accountability to safeguard these resources and must execute this accountability effectively in order to be able to continue to raise resources.

In an emergency response the Operations - Administration and Finance functions are responsible for putting in place operational systems and resources for rapid delivery of supplies, technical assistance and cash assistance, and for establishing an efficient financial management structure within an environment of sound financial accountability and according to UNICEF’s Finance and Administration policy and SSOPs. In L2 and L3 emergencies, the SSOPs supersede UNICEF’s Finance and Administration policy.

This responsibility includes oversight of processes to ensure correct application of policies and procedures, management of office premises, accommodation (where staff accommodation or a guest house is required), transport, general administration and finances. These functions are not always given due attention despite their importance in governance and oversight. Operations, Administration and Finance staff should be involved in the response from the outset to ensure the necessary support is provided.

UNICEF also has a number of simplified procedures for emergencies in relation to Programme Cooperation Agreements (PCAs), Programme Documents, Small Scale Funding Agreements (SSFAs) and Harmonised Approach to Cash Transfers (HACT) policies and procedures. These are covered in Chapter 22 on Partnerships.

WHAT ARE THE KEY ACTIONS AND WHEN?

INTERNAL CONTROL

The UNICEF Representative is ultimately responsible for ensuring that risk assessment and internal controls such as segregation of duties are in place to mitigate risks, including where this authority is delegated.

UNICEF managers are responsible for effective financial management. It is essential, even in emergency situations, that a regular and systematic review of financial management practices, procedures and supporting systems takes place and that segregations of duties are maintained and risks managed.

Within the first 48 hours:

- The administrative and finance capacity to handle the anticipated larger workload is assessed by the Chief of Operations and additional staff mobilised or requested through the surge mechanism.
- Depending on the type of emergency and whether alternative accommodation needs to be established and managed, it may be prudent to include an Administrator or Camp Manager in the Human Resources needs.
- The following should be revised and amended if necessary: Table of Authority (TOA), Delegation of Authority, financial limits, Delegation Letters, roles assigned in VISION, Contract Review Committee (CRC) and Partnership Review Committee (PRC) membership and process.
- If new paying officers and/or bank signatories need to be added, DFAM should be informed.
- Three voting members (including the Chairperson) are required for a CRC quorum. Staff may review documents remotely through an e-mail poll if necessary.
- Staff are briefed on the application of any new procedures (including Level 2/3 SSOPs) and any
new responsibilities so they understand these and act accordingly.

**In the first week of an L2-L3 emergency:** if a substantial increase in funds is anticipated or the risk profile for the office has changed, request the Comptroller’s Office, DFAM to perform an ad hoc review of the release strategy.

**FINANCE**

Finance is required to check if banking systems are functional and ensure cash held by the office is safely stored. It may be necessary to put new mechanisms in place such as Cash on Hand Accounts or agreements with Third Party Money Handlers to make payments and ensure cash is available to support future daily activities. In some instances, manual accounting may need to be implemented. DFAM should be consulted on all cash management issues.

- **A petty cash** account may be established in each office, sub-office and sub-location - in total up to 10 petty cash accounts per country (each with a separate custodian and up to US $1,000). Petty cash must be kept secure under lock and under the control of the custodian, and regularly reconciled, as per the Finance and Administration Policy.
- **A Cash on Hand Account (COHA)** may be established (with DFAM approval) if more than US $1,000 in cash is needed in any one location. A COHA is used when the banking sector is not functioning and/or the petty cash account is insufficient for cash needs. Cash on hand must be kept secure under lock and under the control of the custodian, and regularly reconciled, as per the Finance and Administration Policy.
- **Third party cash providers** (including another UN Agency) may be used to make payments or to replenish cash accounts. In situations where there are no banking facilities, cash accounts must be continually replenished with bank notes brought in from another area or from a service provider.

Security is the primary concern with respect to cash management. Do not jeopardise staff security by entering into intermediary arrangements without a proper assessment of risk. Wherever possible, eliminate the need for UNICEF to handle, transport or keep cash overnight. Please refer to the “Do’s and Don’ts” for security of cash in the Finance and Administration Policy.

Consult other UN agencies or international non-governmental organisations as well as DFAM to identify solutions for obtaining and working with cash in emergency circumstances.

It is important to maintain a constant flow of communication with the RO and HQ.

**ADMINISTRATION**

The initial responsibility will be to check the condition of working and living spaces and establish the need for alternative premises, including for new surge staff arriving, as well as to secure transportation for staff to facilitate their work.

**For office space and accommodation**, first consider sharing options with other UN agencies or temporary arrangements such as prefab offices (Office in a Box) from Supply Division. When entering into a lease agreement, review the situation on the ground and sign as short a lease as possible (three to six months if possible), using the standard lease agreement. Contracts Review Committee (CRC) clearance may be required for the lease, depending on the cost.

Consider the use of standby partners to assist in the reconstruction or renovation of compounds that may have been damaged in a crisis. Remember that UNDSS clearance is required for any new premises and Regional Office (RO) approval is required to open an office in a new location. Consider the implications for recruitment as UNICEF staff cannot be placed in locations that are not an established duty station (recognised by the International Civil Service Commission).
As the number of incoming personnel increases and costs start to escalate, it may be necessary to consider the negotiation of accommodation (e.g. agreement with a hotel to provide a certain number of rooms and/or meals) with a consequent reduction in DSA.

Where access to food is difficult, the CO should set up a canteen or enter into an agreement with a food supplier to provide meals for staff.

Transportation is often a challenge in emergencies. Procuring new vehicles takes time and may not be the best solution for shorter response. In some countries, importation permits may also be a challenge, particularly for armoured vehicles. Consider vehicle (and driver) rental or contracts with third party suppliers for transportation/deliveries.

Depending on the security situation and the level of the emergency, the Representative may authorise staff to drive UNICEF vehicles for official purposes. All staff authorised to drive a vehicle should have a valid driver’s license and be familiar with local traffic regulations and with UNICEF’s Driving Principles.

Depending on the local context, the security situation, traffic and road conditions, helmets, motorbikes and bicycles may be considered in the first wave of supplies to facilitate staff movement during the response, if these are suitable.


**SUGGESTED GUIDANCE / TOOLS**

- The Finance and Administration Policy provides policy for the establishment of a COHA, management of vehicles, premises and assets as well as other important finance and administration issues. It also includes templates and tools.
- If an L2 or L3 emergency is declared it is essential that the SSOPs are used. These supersede the policy.
- Finance and Administration in Emergencies Intranet page
  - The Guidelines for COHA

**TIMELINE**

<table>
<thead>
<tr>
<th>OPERATIONS: FINANCE ADMINISTRATION</th>
<th>First 24 hours</th>
<th>First 48 Hours</th>
<th>Week 3 / Week 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assess office space and capacity</td>
<td>Assess banking system and cash needs / handling request COHA if required</td>
<td>Review TOA, financial limits, statutory committees and key processes</td>
<td>Start spot checks</td>
</tr>
</tbody>
</table>
23. INFORMATION AND COMMUNICATION TECHNOLOGY IN EMERGENCIES

WHAT IS IT?

The timely, effective and predictable delivery of telecommunications services is critical for emergency response, in order to ensure efficient and secure programme implementation, staff security and compliance with inter-agency commitments.

As an emergency strikes, the CO should immediately take action to ensure the ICT component of the emergency response is handled in a quick and effective manner, while ensuring compliance with the CCCs ICT component.

Telecommunications, especially radio communications, are often an IA service that is shared. Collaboration using the cluster approach is essential even though the Emergency Telecoms Cluster (ETC) may not have been formally activated.

WHEN IS IT NEEDED?

All COs should have a preparedness plan in place which will include ICT. This plan should be revised at an early stage, as the probability of an emergency increases, thus providing the starting point for action on the ground. Procedures for L1, L2 or L3 emergencies slightly differ but can be summarised in the following steps:

During the first 24 to 48 hours, whether the emergency has affected the office or a remote location, the ICT staff perform an ICT assessment. If the emergency has impacted ICT systems in the office, the Representative may activate the Business Continuity Plan (BCP) and possibly consider relocation to an alternative location. Standby equipment should be checked and radio and satellite phone batteries charged.

If a new office is considered, it is essential that an ICT responder is part of the premises first assessment, to verify conditions such as satellite visibility for VSATs, height of radio antennas, distance to power source, potential interferences, LAN and Wi-Fi infrastructure requirements, grounding etc – all factors that are critical when considering a new location. Government and UNDSS, among others, will also need to be involved in any relocation assessment/approval.

After 48 hours, as the impact of the emergency becomes clearer, emergency communications may need to be implemented. Each UNICEF responder or team travelling to the field must be provided with a GSM/3G phone, a satellite phone, data-capable satellite phone (BGAN or Thuraya IP) and VHF radios operating in simplex, if security requires it and if no repeater is available yet.

Ideally, the first response team travelling to an affected location, where supplies may be limited, should travel with the Office in-a-Box or ETR1 kit (Contact ITSS for advice).

The staff to lead the ICT emergency response must have been identified and have started internal and IA coordination (teleconferences, short ICT situation report to be shared with the RO/HQ).

Local and global ICT providers are alerted about a possible requirement for additional capacity in the field. If the response is likely to trigger an increase of staff in an existing office, internet service providers are contacted to anticipate an upgrade of the bandwidth, wireless infrastructure or staffing (should help desk be outsourced for example).

Preliminary ICT needs are considered for the first wave of supplies. Supply Division has a stock of items for use in emergencies. However, before ordering any ICT items check with technical experts to ensure the compatibility and relevance for the context.

By the end of the first week, the ICT response plan must be finalised. The plan includes replacement for the equipment used at the initial stage of the emergency, one-time-cost for the additional requirements, budget to cover recurring costs for the response duration, list of service providers,
procurement strategy (locally or out-sourced to RO, HQ or SD) and accountability for follow-up. A dedicated file sharing mechanism (SharePoint portal) is created and IT requests (such as email or Intranet access) for responders fast-tracked at HQ level.

Starting the second and following weeks, real-time monitoring of the situation is required to permanently assess needs of UNICEF field responders. The objective is to quickly identify any ICT gaps that could impact the overall response.

Continuing the coordination effort, weekly conference calls and situation reports must be produced by the local ICT officer in collaboration with the Regional ICT officer, ITSS in HQ and the IA community.

WHO DOES WHAT?

It is the responsibility of ICT within the CO, in collaboration with Regional Chief of ICT and ITSS NYHQ, to ensure that the office is CCCs compliant at all stages in the emergency response. If there are no ICT staff in country, the Operations Manager in consultation with the Representative and HR should seek immediate support and technical guidance from the RO and/or HQ, both on staffing and equipment needs. See Emergency Telecommunications Handbook).

SUGGESTED GUIDANCE / TOOLS
- Emergency Telecommunications Handbook
- Emergency Telecoms Cluster
- ICTD Website

TIMELINE

<table>
<thead>
<tr>
<th>ICT</th>
<th>First 24 hours</th>
<th>First 48 Hours</th>
<th>First 72 Hours</th>
<th>Week 2 and ongoing</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Conduct ICT assessment</td>
<td>Produce ICT Sitrep</td>
<td>Develop ICT Supply Plan (first wave)</td>
<td>Establish and maintain UNICEF Information systems and infrastructure</td>
</tr>
<tr>
<td></td>
<td>Assess ICT staff needs</td>
<td>Plan</td>
<td>Provide first responders with ICT equipment</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Develop ICT Supply Plan</td>
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</table>


24. PARTNERSHIPS AND IMPLEMENTATION MODALITIES

WHAT IS IT?

To support UNICEF’s programmes and advocacy and improve humanitarian response in emergencies, UNICEF maintains several types of partnerships at global, regional and local level: with governments, with other UN agencies (including through the IASC and the cluster system), with civil society organisations (CSOs), with the private sector, with the media and knowledge partners.

<table>
<thead>
<tr>
<th>Types of partnerships</th>
<th>Section/Division that manages these partnerships</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public Partnerships with bilateral and multilateral donors</td>
<td>Public Partnerships Division</td>
</tr>
<tr>
<td></td>
<td>eg ECHO, UK, US, Japan</td>
</tr>
<tr>
<td>Partnerships with Civil Society Organisations (CSO)</td>
<td>CSO Partnerships Section, Programme Division</td>
</tr>
<tr>
<td></td>
<td>eg Save the Children, OXFAM</td>
</tr>
<tr>
<td>Partnerships with the Private Sector</td>
<td>Private Fundraising and Partnerships Division</td>
</tr>
<tr>
<td></td>
<td>eg National Committees for UNICEF, IKEA, Lego, Easyjet, Veolia (standby agreement), Google</td>
</tr>
<tr>
<td>Inter-agency Humanitarian Partnerships</td>
<td>Inter-agency Humanitarian Partnerships section, Global Cluster Coordination Unit, EMOPS</td>
</tr>
<tr>
<td></td>
<td>eg IASC, UNHCR, IFRC, IOM, WFP, OCHA and Global Clusters/AoR and Lead Agencies</td>
</tr>
</tbody>
</table>

WHY ARE THEY IMPORTANT?

Partnerships are key to UNICEF’s programmes and advocacy in humanitarian action as UNICEF provides humanitarian assistance through partners, particularly government counterparts and implementing NGOs. Emergency response should be carried out in close collaboration with host governments, the affected population, CSOs, UN agencies, other relevant stakeholders (such as the private sector) and donors.

UNICEF is committed to building the national capacity in the countries in which we work. This includes committing 30% of emergency funds to local and national actors where feasible.

WHAT ARE THE KEY ACTIONS?

As part of preparedness, COs should make sure that UNICEF programme managers and partners are familiar with Programme Cooperation Agreements (PCAs), Programme Documents, Small Scale Funding Agreements (SSFAs) and Harmonised Approach to Cash Transfers (HACT) policies and procedures. This can include inserting a clause into regular PCAs (pre-crisis) which allow the partnership to convert to emergency mode if needed.

UNICEF has special administrative procedures (SSOPs) specific to emergencies to facilitate faster implementation through partners.

When deciding what type of partnership to use, consider:

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62 CSOs include international and national NGOs and community-based organisations, faith-based organisations and academic and research institutions.

63 30% is not a rule, but a figure suggested for consideration by COs, subject to due diligence and risk assessment.
- Purpose of partnership and size of likely financial transfers
- Whether potential partners have existing PCAs
- Best Value for Money, especially when analysing the added value of the type of partnership to engage in
- Partners with outstanding Direct Cash Transfers (DCTs) over 6 months in VISION are blocked in the system and cannot receive further funding.

PARTNERSHIPS WITH CSOS

For partnerships with CSOs there are different types of partner agreements. These are guided by the HACT procedure.

The Programme Cooperation Agreement (PCA) is the legal (umbrella) agreement used to establish the partnership framework with a CSO covering the duration of the country programme. The PCA defines the rights and obligations of UNICEF and the CSO and the general terms and conditions of the partnership. It is operationalised through one or more programme documents. These define the programme’s expected results, activities, related resources requirements and work plan. Multiple programme documents, of shorter or the same duration as the PCA, can be signed under a PCA.

PCAs are required to work with implementing partners in humanitarian response, though there are simplified procedures.

For CSOs without a PCA with UNICEF, a Small Scale Funding Agreement (SSFA) can be used: a legal agreement that defines the expected results and related resource requirements, and the rights and obligations of UNICEF and the CSO, where the transfer of UNICEF resources to the CSO does not exceed $50,000 in a twelve month period.

In humanitarian response, the SSFA can also be used for the quick transfer of up to three months of programme supplies required to meet the CCCs (no cap on value of supplies).

PARTNERSHIP OPTIONS NOT LIMITED TO CSOS

- Institutional contract: when the service to be provided can be obtained from the local market based on the best value for money. HACT does not apply; institutional contracts are regulated by the Supply Manual Chapter 6. Advance payment considerations apply (DFAM Policy 5: Supplement 2 Prepaid Expenses)

Memorandum of Understanding (MoUs) (three separate ones for WFP, UNHCR, IOM on Humanitarian Partnerships page): Non-binding agreement that articulates a common desire to work together at the global, regional or national level to achieve shared objectives, with no exchange of financial resources.

PARTNERSHIP OPTIONS FOR HUMANITARIAN RESPONSE

For emergency response the following options can be applied:

- Activation of contingency programme documents. As part of preparedness, a contingency PCA is signed in advance. If crisis hits, the programme document is activated by the Representative. The targets and work plan may then be adjusted according to the actual situation (the new work plan is submitted for signature along with the FACE form request).

- Small Scale Funding Agreements (SSFA): as described above. These are appropriate when the CSO does not have a PCA with UNICEF and:
  - The scale of the emergency response is limited; and/or is supply oriented; or
  - The SSFA is used to facilitate quick transfer of (limited) cash & supplies while a PCA/programme document is under development.

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64 Simplifications apply in L2/L3 emergencies for DCTs over 6 months
• **Development of a Simplified Programme Document (Annex B)**
  - For initial humanitarian response requiring transfers of cash over $50,000 & supplies

  Appropriate for:
  - Medium or large scale emergencies working with existing or new CSO partners; and/or
  - Protracted L2/L3 emergencies requiring simplified procedures beyond the initial response period (3 months).

  **Condition:** can accompany existing or new PCAs and can be signed even if SSFA is ongoing to complement its planned activities and results

• **Review of an existing programme document (Annex C)**
  - To integrate humanitarian response activities within an ongoing programme with the CSO

  (CSO already has PCA and an active programme document)

  **Appropriate when:**
  - Emergency activities and results can be more conveniently managed as part of an existing programme document (e.g., limited adjustments and/or CSO already involved in the geographic area of the response)

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**SUGGESTED GUIDANCE / TOOLS**
- Humanitarian Partnerships Intranet page
- PCA
- SSFA
- HACT

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**TIMELINE**

<table>
<thead>
<tr>
<th>First 24 hours</th>
<th>First 48 Hours</th>
<th>First 72 Hours</th>
<th>Days 4, 5, 6</th>
<th>End Week 1</th>
<th>Week 4 / On-going</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PARTNERSHIPS AND IMPLEMENTATION MODALITIES</strong></td>
<td><strong>Review Contingency PCAs; Review existing PCAs and SSFAs; Identify, Review and map CSOs in affected areas (may be new CSOs)</strong></td>
<td><strong>Authorise IPs to reprogramme unused cash and supplies; Jointly develop CSOs partnerships; Amend PCAs to include emergency activities</strong></td>
<td></td>
<td></td>
<td><strong>Start disbursement of funds</strong> <strong>Start spot checks</strong></td>
</tr>
</tbody>
</table>

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25. COMMUNICATION AND ADVOCACY

WHAT IS IT?

In emergencies UNICEF’s communication includes all forms of media: text (press releases, statements, blogs, human interest stories, sitreps and bulletins), photography, video, social media or other digital platforms.

Advocacy during a humanitarian crisis is an essential part of UNICEF’s response in persuading decision makers to adopt policies and take actions to promote and protect the rights of women and children. Advocacy is a key strategy in helping to address critical humanitarian programming or policy gaps. This is reflected in UNICEF’s mandate for humanitarian action and within the CCCs.

UNICEF focuses on raising awareness of the impact of a crisis on children and how UNICEF is responding. The accurate and respectful representation of children everywhere is part of defending children’s rights, including their rights to expression, privacy and protection.

WHY IS IT IMPORTANT?

In humanitarian crises, women and children who are already often the most vulnerable are at even greater risk of having their rights violated. They must be better protected and advocacy work during emergencies should focus on specific targeted actions that help achieve this, eg greater political, human and financial support; improved humanitarian access; adherence to international laws and standards; and liability for perpetrators of child rights violations.

Media and communications is an integral part of UNICEF’s operational commitments, and is important for all UNICEF staff, regardless of position or grade. By communicating in a timely and credible way, UNICEF advocates for child-friendly solutions and increased support for the response, including funds.

WHEN IS IT NEEDED?

News coverage is almost always extremely intense in the early stages of humanitarian crises. UNICEF has a short window to direct public attention and opinion to the issues that place children at risk, and to help secure vital funds. The earlier we can validate and share information externally, the more we can secure attention for our advocacy priorities.

The first few hours after a disaster hits, or a conflict seriously escalates, are the most crucial. Journalists want to speak to aid organisations straight away and UNICEF’s National Committees are hungry for information as they consider launching appeals. Media interviews can provide important context, and ensure that the impact of the crisis on children is clearly articulated and understood. Communication officers must be dedicated to media work to take advantage of this short window of opportunity. If necessary, CO should consider requesting IRT or surge communication support and plan for additional longer-term capacity.

Within the first 24 hours of an emergency, the communication team starts to gather images, monitor the media and other sources of information, and prepare key messages which will be adapted over time. UNICEF is expected to issue an initial statement to the media during this time. Press releases must be “news” – a serious issue facing children, ideally backed with a new statistic. The UNICEF response is part of the story – but rarely news in itself.

During the first 48 hours UNICEF will develop and agree on advocacy priorities and messages that are context specific and evidence based. Key messages are updated on a regular basis. An initial advocacy strategy will be developed by the end of the first week.

UNICEF will regularly revise and update the advocacy strategy. This is a ‘live’ document and progress should be monitored on an ongoing basis, involving the CO, RO and HQ.
WHAT ARE THE KEY ACTIONS?

- Establish and update communication point people in CO, RO and HQ, and UNICEF National Committees.
- Identify any surge capacity needs in communications and advocacy.
- Pitch eyewitness images, quotes and stories from UNICEF staff and children / families affected, as well as interviews, in the run up to and immediate aftermath of a disaster.
- Prepare and send out press releases / statements / news notes. The first should come within 24 hours after an emergency strikes - then on a regular basis, while interest is high.
- Write and regularly update fact sheets, key messages and Q&As.
- Prepare list of spokespeople, with languages and nationalities.
- Secure and distribute multimedia materials – video and photo.
- Draft and post social media messages.
- Protect the rights of the child through international photography norms and other media guidelines.
- Identify key advocacy priorities; ideally 3 maximum.
- Develop an advocacy strategy that includes priorities, a plan of action, as well as an action tracker.
- Identify when advocacy should be public or private and coordinate closely with CO / RO communications staff, as well as DOC, on public advocacy.
- UNICEF should always be ready to speak out about violations against children’s rights. If private advocacy is deemed more effective in achieving results, this should be justified at a senior level. Refer to the guidelines, ‘Decision making procedure for public advocacy on grave violations of child rights in complex and high threat environments’.
- Work closely with key partners and influencers (individuals and / or organisations) who can help progress towards advocacy goals.

WHO DOES WHAT?

The CO communication team takes the lead on media and communication in the emergency response, working closely with and supported by the relevant RO, Division of Communication (DOC) and PFP.

In a L3 emergency, media statements and digital media content should be shared for inputs from RO & HQ, before sign off from CO Rep, RD or GEC.

The CO takes the lead in identifying and drafting advocacy priorities. These are then developed with support from RO and HQ (DOC/EMOPS). Progress should be monitored by the CO, with inputs from RO and HQ through the advocacy action tracker document. Progress on advocacy priorities relies on close collaboration between the country, regional and global level.

GUIDING PRINCIPLES

- The protection, and the best interests, of each child must take precedence.
- Protecting the rights of the child requires close adherence to international media guidelines when working with journalists and producing multimedia content.
- Advocacy work should be based on the Convention on the Rights of the Child (UNCRC), the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW) and other international legal instruments, peace agreements and other commitments made by governments and nongovernmental entities.
- Developing and communicating key messages is not just important for communication staff, or those working with media, but for all staff talking with affected communities, partners, donors, the public and their own families.
SUGGESTED GUIDANCE / TOOLS

- Video guidelines / Photography guidelines
- Social media in emergencies guidelines
- UNICEF web, including blog, guidelines
- Reporting guidelines to protect at risk children
- Advocacy sample plan
- Decision making procedure for public advocacy on grave violations of child rights in complex and high threat environments
- Advocacy priorities template
- Advocacy action plan template
- Nine questions to develop an advocacy strategy
- UNICEF advocacy toolkit
- Monitoring and evaluating advocacy
- Media and Communications Intranet page

TIMELINE

<table>
<thead>
<tr>
<th>COMMUNICATION AND ADVOCACY</th>
<th>First 24 hours</th>
<th>First 48 Hours</th>
<th>First 72 Hours</th>
<th>Week 2 to 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Issue UNICEF Statement</td>
<td>Agree initial advocacy priorities and messages; Identify spokespersons; Start conference calls with RO, HQ, Natcoms (ongoing)</td>
<td>Develop initial advocacy strategy and revise on ongoing basis</td>
<td>Revisit advocacy strategy</td>
<td></td>
</tr>
</tbody>
</table>
26. SECURITY MANAGEMENT

WHAT IS IT?

Security Risk Management (SRM) is an analytical process of the UN Security Management System (UNSMS) for assessing the operational context in which the UN operates in order to identify the risk level of threats that may affect UN personnel, assets, premises and operations. This provides the basis on which security management decisions are made. SRM seeks to establish and maintain operations in insecure and unstable environments, and adopts the principle of “how to stay” as opposed to “when to leave.”

UNICEF works within the framework of the UNSMS.65

The UNICEF Security Strategy is a joint structured approach to be developed by Security Advisors/Security Focal Points and supported by Management to allocate security-related resources in ways to maximise programme opportunities within acceptable levels of risk and clear accountability. Security Risk Management requires both a proactive approach - through preparedness - and a consolidated response immediately at the onset of a crisis.

WHY IS IT IMPORTANT?

The Security Risk Management process is critical for identifying potential security threats, assessing the risks they pose for UNICEF staff and operations and designing a prioritisation plan to mitigate risks to enable the safe conduct of programme delivery. Security threats can be major inhibitors to UNICEF achieving its mandated activities: if risks are not properly managed, UNICEF will not be able to implement programmes effectively. Planning and implementing preparedness measures in advance can increase efficiency, by reducing the lead time in responding to emergencies as well as the cost and duration of an emergency.

WHEN IS IT NEEDED AND KEY ACTIONS

Preparedness: As a proactive security approach, preparedness is done in advance of an emergency by the CO (in consultation with the RO). Preparedness measures include:

- Analyse and monitor the security situation: threats, trends and specific threats impacting on the safety / security of UNICEF personnel, premises, assets and resources.
- Design the specific UNICEF Programme Assessments/Contingency plans related to possible scenarios and mitigating measures for UNICEF staff, premises and assets.
- Take headcount of and track UNICEF staff on official movement/ field missions.
- Draft and disseminate security SOPs (United Nations Department of Safety and Security - UNDSS/UNICEF) for UNICEF Country/Field Offices.
- Promote security awareness, monitor compliance with security advisories and mandatory online training and provide training (dealing with threats, radio communications, means to use emergency equipment) and frequent drills (Business Continuity Plan, Evacuation Plan).
- Update staff Lists at Country/Field Offices and share periodically with UNDSS at the duty station and OPSCEN (UNICEF HQ level).
- Provide adequate funds for security in the country budget.
- Review Programme Criticality Assessment with programmes.
- Mainstream and integrate security into operational and programme planning.
- Design and regularly test the communication tree (Internal UNICEF/ through the UN Warden System).
- Stockpile essential supplies/equipment (food, water, provisions, kits, vehicles) at Country/Field Offices.

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RESPONSE MEASURES INCLUDE:

Within the first 24 hours, the first and most important action is to account for all UNICEF staff members and ensure adequate measures/enhancements are in place for premises/assets. An analysis of the security situation should take place to determine security requirements for UNICEF.

Other key actions include:

- Provide timely updates of security events/incidents to UNICEF Management/RO/EMOPS HQ.
- Establish emergency location for UNICEF staff and dependents to be relocated as needed.
- Identify staff dependents and non-essential staff who can be relocated/evacuated.
- Establish and monitor an effective and functioning communications system for UNICEF security management that is fully integrated into the UN Emergency Communications System.
- Recommend deployment of Staff Counselors if needed.

Within 48 hours

- Establish a 24/7 incident tracking system.
- Provide security recommendations to UNICEF Management related to the UNICEF Emergency Response Strategy/Plan.
- Update UNICEF-specific Security Risk Assessment (SRA)/Contingency Plans to determine initial security support requirements and request, if needed, deployment of additional capacity for security support.
- Review evacuation procedures, UN MEDEVAC and mass casualty plans; liaise with HR.
- Set up process to brief incoming staff and staff tracking system.

Within one week

- Determine what additional security resources are required (financial, human) to support operations/response, and include in budget.
- Implement, and as necessary reinforce, mitigation measures immediately on completion of SRA and funding identified.
- Establish and raise awareness of staff re SOPs/protocols for field missions.
- Ensure functionality of the warden system, and enhance VHF emergency communications.
- Support the review of the Programme Criticality process at the UNHCT/SMT and propose recommendations as necessary.

Within 3-4 weeks

- Review additional security resources (financial, human) needed to support operations/response.
- Engage in additional IA security meetings and liaise with implementing partners vis-a-vis security arrangements (as per Saving Lives Together66).

Continuously required

- Ensure staff compliance with security recommendations/decisions by SMT/Security Cell.
- Provide regular security situation updates to staff.

WHO IS RESPONSIBLE?

UNICEF Representatives are accountable for the security of staff. Staff have a basic responsibility to observe instructions and follow procedures designed to protect their security. However, since UNICEF Management is responsible for the security of their respective staff they are held accountable for the implementation of security protocols within their respective areas of responsibility. The UNICEF security advisor is responsible for providing the technical and operational guidance and implementation of security management measures.

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66 Saving Lives Together is an inter-agency framework of recommendations for improving security arrangements among international NGOs, international organisations and the UN
TIPS FOR EFFECTIVE SECURITY RISK MANAGEMENT

- **Develop a Common Security Culture:** Frequently test security procedures, ensure compliance with security regulations and the timely distribution of security information / training to personnel.

- **Influence Security Decisions at Security Cell/SMT Forums:** UNICEF Managers should be supported/ advised by security personnel on means to influence security decisions made at the SMT forum. It is mandatory for UNICEF Management to take the online SRM for further guidance.

- **Coordinate on Contingency Planning:** To operationalise the current “how to stay” approach, UNICEF Sections need to place greater emphasis on coordinated crisis management and contingency planning in their activities, set minimum standards and coordinate their emergency strategy response.

- **Be aware of Relocation, Evacuation and Alternate Work Modalities:** In an L3 emergency, it is the responsibility of UNICEF Management and Security to make staff aware of what would be expected of them during evacuations, and the plans must be drilled in close coordination with UNDSS/ Host Government.

- **Deactivation and Identification of Best Practices/Lessons:** This is essential upon deactivation of an L3 emergency.

- **OPSCEN provides a 24-7 service for COs to contact for emergencies.** In an L3 emergency, OPSCEN is designated as a 24-7 information and telecoms hub to support the response, coordination and staff security.

  **OPSCEN Contact Information**
  Tel: +1 212 326 7222
  Mobile: +1 917 582 3620
  Email: opscen@unicef.org
  Skype: opscen.unicef

**SUGGESTED GUIDANCE / TOOLS**

- **Security Intranet page**
- **Programme Criticality Framework 2016**
- **Security Risk Management (SRM) Manual**

**TIMELINE**

<table>
<thead>
<tr>
<th>First 24 hours</th>
<th>First 48 Hours</th>
<th>Day 4 to end of Week 1</th>
<th>Week 3 / Week 4</th>
</tr>
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<tbody>
<tr>
<td><strong>SECURITY MANAGEMENT</strong></td>
<td><strong>SECURITY MANAGEMENT</strong></td>
<td><strong>SECURITY MANAGEMENT</strong></td>
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<tr>
<td>Analyze security situation Account for all UNICEF Staff (Update staff lists)</td>
<td>Disseminate relevant SMT/Security Cell recommendations to All Staff</td>
<td>Provide timely update of security incidents</td>
<td>Review required security financial, human resources to support operations / response Implement and reinforce mitigating measures / SMT recommendations</td>
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<tr>
<td>Advise UNICEF Management on Emergency Response Strategy</td>
<td>Implement Program Risk Assessment/ Contingency Plans related to threats /mitigating measures for UNICEF staff, assets, premises</td>
<td>Identify required security resources (human, Financial) to support operations / response</td>
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27. HUMANITARIAN EVALUATION

WHAT IS HUMANITARIAN EVALUATION?

Humanitarian evaluation is the systematic and objective examination of humanitarian action, to determine the worth or significance of an activity, policy, programme or performance, focusing on expected and achieved accomplishments, and intended to draw lessons to improve policy and practice and enhance accountability.

Like evaluation of development programming, there are two key purposes: accountability and learning. Accountability is a key thrust of the Transformative Agenda and evaluation is a critical process within the accountability framework of humanitarian action. It is a process of taking into account the views of, and being held accountable by, different stakeholders, and primarily the people affected by authority or power. Learning is the process through which experience and reflection lead to changes in behaviour or acquisition of new abilities.

Given that human lives are at stake and the significant increase in resources spent in emergency response, it is critically important to assess what is working well, what is working less well and why, and what might be done differently. Evaluations may ask: Is the right thing being done? Is it being done well? Are there better ways of doing it? It also asks how and why results are as they are. It seeks to understand and document how a given result has been achieved, document good practices, and learn from experience.

WHY IS IT IMPORTANT?

Evaluation is one way of determining whether a humanitarian response and its preparedness was successful. It helps UNICEF continually to improve its performance and results by aiding decision-makers in making necessary course corrections, or improve future humanitarian action. Evaluation in UNICEF can also provide a basis for informed advocacy — aimed at promoting the well-being of all children, everywhere. Additionally, evaluations can help answer concerns about the accountability and effectiveness of humanitarian action and demonstrate value for money.

TYPES OF EVALUATIVE ACTIVITIES IN HUMANITARIAN ACTION

HUMANITARIAN EVALUATIONS

Humanitarian evaluations, as defined above, use slightly different criteria than the OECD DAC Evaluation criteria usually used for development evaluations. Humanitarian criteria include: appropriateness, effectiveness, efficiency, impact, connectedness, coverage, coherence and coordination.

Humanitarian evaluations in UNICEF can be managed by COs, ROs or HQ. UNICEF’s response to Level 3 emergencies is typically managed by HQ, although this is not always the case. It is UNICEF’s policy to make public all evaluations, including humanitarian evaluations.

REAL TIME EVALUATIONS

Real Time Evaluations (RTEs) are a type of humanitarian evaluation. Their primary objective is to provide feedback in a participatory way, during fieldwork, to those implementing and managing the humanitarian response. They occur in the early part of an emergency, and are able to influence and direct the wider emergency response. They may focus on operational performance issues as well as the

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67 For instance, entities or persons to be held accountable for the leadership and management of humanitarian action.

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appropriateness of the response, and may look at UNICEF work alone or the efforts of multiple partners, depending on what activities are of primary interest. It is important to note that in places where Operational Peer Reviews (OPRs) are planned, RTEs are discouraged.

INTER-AGENCY HUMANITARIAN EVALUATIONS

Inter-Agency Humanitarian Evaluations (IAHE) are independent humanitarian evaluations of whether collective results achieved in response to an emergency meet the objectives stated in the humanitarian response plan (HRP) and the needs of affected people. While IAHE are no longer triggered automatically by the declaration of a Level 3 system-wide emergency, it is suggested to conduct them as data on results stated in the HRP become available, or should be available.

OPERATIONAL PEER REVIEWS

An Operational Peer Review (OPR) is not an evaluation. It is an internal, inter-agency management tool for the Humanitarian Coordinator (HC) and Humanitarian Country Team (HCT) to identify areas for immediate corrective action including leadership arrangements, implementation of the other phases of the Humanitarian Programme Cycle (HPC), coordination, and mechanisms for accountability to affected people. It is designed to be a forward-looking, light, brief process. It involves internal UN staff who are familiar with emergency procedures, who are able to engage, review and assess in a rapid and efficient manner and provide rapid recommendations to the managers of the emergency, with the aim of improving the response. OPRs are usually undertaken at the initial stages of an emergency response, when result level data is not available.

INTERNAL UNICEF REVIEWS

Reviews are not evaluations. They are structured analytical learning or reflection exercises. One example frequently used in humanitarian response is an After Action Review (AAR). AARs are light; they can be a 1-2 day workshops conducted with the CO by UNICEF staff familiar with emergency procedures, or a 90 minute exercise.

WHICH EVALUATIVE EXERCISE, BY WHO AND WHEN?

The revised UNICEF Evaluation Policy states that “evaluations will usually be undertaken when responding to major humanitarian emergencies.”

Wherever possible, evaluation should be initiated by or in partnership with the wider Humanitarian Country Team. In major emergencies, however, an evaluation may be initiated at the global, regional or inter-agency level rather than the country level, although the Humanitarian Country Team should always be involved.

Usually, when an inter-agency system-wide L3 emergency is declared an Operational Peer Review (OPR) takes place after three months, and an Inter-Agency Humanitarian Evaluation (IAHE) is considered within 9 to 12 months from the L3 declaration.

If no inter-agency exercise is undertaken, the UNICEF Representative, in collaboration with the planning, monitoring and evaluation unit and the RO should at the very least initiate some form of internal evaluative exercise. The type of exercise should be informed by opportunity costs, feasibility, and taking the "do no harm" principle into consideration. The timing and scale of the exercise are largely determined by the country context, nature and scale of the emergency, and how immediate is the need for critical lessons learned.

The evaluation should take place at a time that is neither too soon nor too late for it to be both feasible (logistically, politically, methodologically, with availability of result level data) and meaningful (in terms of utility of learning).
For UNICEF L3 emergencies, especially those lasting more than two years, it is important to evaluate the higher-level results (outcome and impact). It is highly recommended that in such emergencies, evaluations take place at the two-year mark to validate information from monitoring systems, test assumptions, and ensure accountability. The main aims of such evaluations are accountability and learning, and are in line with the UNICEF PPP manual (chapter six) and Evaluation Policy.

**SUGGESTED GUIDANCE / TOOLS**

- Revised Evaluation Policy of UNICEF
- After Action Review (AAR)
- After Action Review (AAR – UNICEF KE unit)
- Operational Peer Review (OPR)
- Inter-Agency Humanitarian Evaluation (IAHE)
- Real-time Evaluations of Humanitarian Action by ALNAP
- Evaluation of Humanitarian Action Guide by ALNAP

**TIMELINE**

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<thead>
<tr>
<th>Week 3</th>
<th>Week 4 / Day 30</th>
<th>Day 90</th>
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<tbody>
<tr>
<td>NEEDS ASSESSMENT, SITUATION REPORTING, RESPONSE PLANNING, PERFORMANCE MONITORING AND EVALUATION</td>
<td>Develop Monitoring and Evaluation (M&amp;E) / implementation plan</td>
<td>Provide input into first IA Monitoring Report and Operational Peer Review</td>
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<td></td>
<td>Consider After Action Review (AAR)</td>
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