Handbook for RCs and HCs on Emergency Preparedness and Response

IASC Inter-Agency Standing Committee

This handbook was developed by the Inter-Agency Standing Committee (IASC) HC Group.

The IASC was established in 1992 in response to United Nations General Assembly Resolution 46/182 that called for strengthened coordination of humanitarian assistance. In 1993, the General Assembly, through Resolution 48/57, affirmed IASC's role as the primary mechanism for inter-agency coordination of humanitarian assistance. A broad range of UN and non-UN humanitarian partners participate in this Standing Committee.

This handbook can be downloaded from the IASC website at :

http://www.humanitarianinfo.org/iasc

This handbook and the checklist will be revised and updated on a regular basis. Feedback and comments are therefore welcome, and should be sent to: hlsu@un.org

EUROPEAN COMMISSION

Humanitarian Aid

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INTRODUCTION

About this handbook

This handbook outlines the key actions that Resident Coordinators (RCs) and Humanitarian Coordinators (HCs) should take to prepare for and respond to emergencies. It does not aim to replace more in-depth guidance or policy documents.

Chapters are organized as follows:

Chapter title Refers to a task that the RC or HC is accountable for.

What is your role? Summarizes the main actions that need to be taken to accomplish the task.

When and how? Provides a more detailed time frame of the actions to be taken. For additional information on **key concepts printed in blue**, see the index.

Remember! Contains tips or important background information.

Which tools, services or mechanisms to use? Lists relevant tools, services and mechanisms at the RC's or HC's disposal to perform the necessary actions.

Good to know Lists additional tools that are not for the RC or HC's direct use but are useful to be aware of.

Where to go for more information Lists key websites and reference document(s). Additional resources can be found in the annex.

The Annex includes:

Acronyms

Index Lists key concepts with a reference to the page(s) where they are explained.

Resources Lists useful documents and websites for further reference.

Contacts referred to in the handbook can be found in the back cover.

International humanitarian coordination architecture

The foundations of the current international humanitarian coordination architecture were laid by **General Assembly Resolution 46/182** of December 1991. The **Humanitarian Reform** of 2005 introduced a number of new elements to enhance predictability, accountability, and partnership.

The E**mergency Relief Coordinator (ERC)** has three primary tasks: humanitarian policy development and coordination; advocacy of humanitarian issues and provision of guidance and direction to RCs and HCs; and coordination of international humanitarian response.

The **Inter-Agency Standing Committee (IASC),** chaired by the ERC, is an inter-agency forum for coordination, policy development and decision-making involving the key UN and non-UN humanitarian partners, including United Nations agencies, the International

Red Cross and Red Crescent Movement, the International Organization for Migration, non-governmental organizations (NGOs), NGO consortia, and the World Bank.[1]

Clusters, led and coordinated by **Clusters Lead Agencies,** are IASC-designated groupings of humanitarian organizations (both UN and non-UN) in each of the main sectors of humanitarian action. They operate at both global and country level (although they are not necessarily congruent). At the global level they are responsible for strengthening system-wide preparedness and coordinating technical capacity to respond to humanitarian emergencies in their respective sector. At the country level clusters ensure that activities of humanitarian organizations are coordinated, serve as a first point of call for the Government and the RC or HC, and as a provider of last resort in their respective sector.

The **Office for the Coordination of Humanitarian Affairs (OCHA)**, headed by the ERC, is a Department of the UN Secretariat that supports the ERC at the global level and RCs and HCs at the field level by coordinating humanitarian action, advocating for the rights of people in need, developing humanitarian policy and analysis, managing humanitarian information systems, and managing humanitarian pooled funds. OCHA typically supports HCs through a Country Office and RCs through its Regional Offices, and in some cases through a Humanitarian Support Unit in country.

At country level, while the primary responsibility for coordinating humanitarian assistance rests with national authorities, if international humanitarian assistance is required the **HC** – or, if a separate HC position is not established, the **RC** – is responsible for leading and coordinating the preparedness and response efforts of humanitarian organizations (both UN and non-UN), whenever possible in support of and in coordination with national and local authorities. The ERC may choose to designate the RC as HC, in consultation with the IASC, if the situation so requires.

The **Humanitarian Country Team (HCT**), chaired by the RC or HC, is an operational decision-making forum composed of operationally relevant humanitarian organizations (both UN and non-UN) and focusing on common strategic and policy issues related to humanitarian action in country.

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1 IASC Members are FAO OCHA, UNDP, UNFPA, UNHABITAT, UNHCR, UNICEF, WFP and WHO. IASC Standing invitees are ICRC, ICVA, IFRC, InterAction, IOM, OHCHR, RSG on Human Rights of IDPs, SCHR and the World Bank.

IASC Humanitarian Coordination Architecture
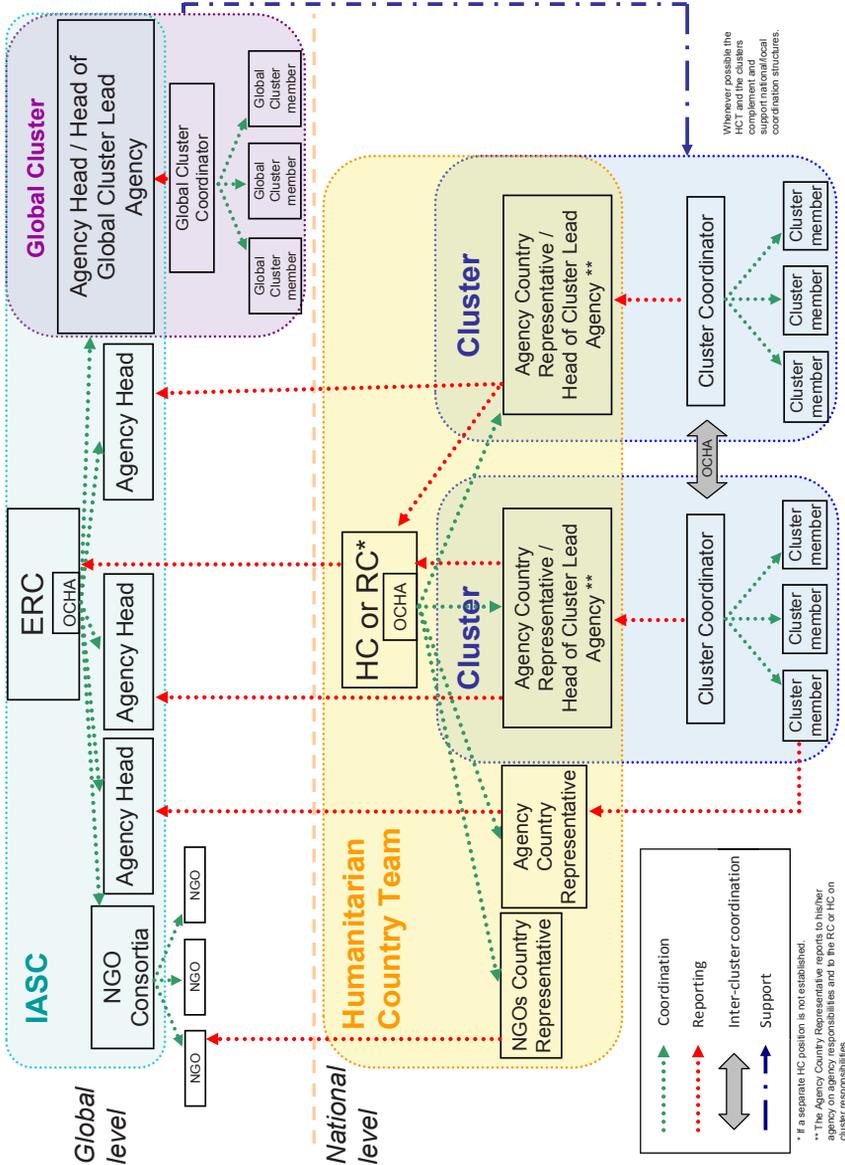
Guiding principles

In discharging their duties, RCs and HCs should be guided by the following principles:

1 Support the Government

Each State has the responsibility first and foremost to take care of the victims of emergencies occurring on its territory by initiating, organizing, coordinating and implementing humanitarian assistance.[2]

The RC or HC should support national efforts by leading and coordinating humanitarian action of relevant organizations in country, whenever possible in support of and in coordination with national and local authorities.[3]

2 Be guided by international humanitarian and human rights law and humanitarian principles

In all activities, the RC or HC should be guided by international humanitarian and human rights law as well as by the humanitarian principles.[4] These are:

- **Humanity**: Human suffering must be addressed wherever it is found. The purpose of humanitarian action is to protect life and health, and to ensure respect for the human being.
- **Impartiality:** Humanitarian action must be carried out on the basis of humanitarian need alone, giving priority to the most urgent cases of distress and making no distinctions on the basis of nationality, race, religious beliefs, class or political opinions.
- **Neutrality**: Humanitarian actors must not take sides in hostilities or engage in controversies of a political, racial, religious or ideological nature.
- **Independence**: Humanitarian action must be autonomous from political, economic, military or other objectives that any actor may hold regarding areas where humanitarian action is being implemented.

3 Be guided by the Principles of Partnership

Relations among organizations involved in humanitarian action are governed by the Principles of Partnership (PoP)[5]:

Equality: Equality requires mutual respect among members of the partnership irrespective of size and power.

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2 See UN General Assembly Resolution 46/182 of 19 December 1991.
3 See the Terms of Reference of the Humanitarian Coordinator, IASC, 2009 and the UN Resident Coordinator Generic Job Description, UNDG, 2009.
4 See the Terms of Reference of the Humanitarian Coordinator, IASC, 2009 and the UN Resident Coordinator Generic Job Description, UNDG, 2009.
5 Endorsed by the Global Humanitarian Platform, 12 July 2007.

Transparency : Transparency is achieved through dialogue (on equal footing), with an emphasis on early consultations and early sharing of information.

Result-oriented approach : Effective humanitarian action must be reality based and action oriented.

Responsibility : Humanitarian organizations have an ethical obligation to each other to accomplish their tasks responsibly, with integrity and in a relevant and appropriate way.

Complementarity : The humanitarian community's diversity is an asset if we build on our comparative advantages and complement each others' contributions.

Accountability

The HC is ultimately accountable to the populations in need. S/he reports directly to the Emergency Relief Coordinator (ERC).[6]

If international humanitarian assistance is required and a separate HC position is not established, the RC is accountable to the ERC for the performance of humanitarian coordination functions.[7]

Support

If you are a HC, your first port of call is the OCHA Country Office, if one exists. If there is no OCHA presence in your country, contact the OCHA Regional Office.

If you are an RC, your first port of call is the OCHA Regional Office covering your country.

At headquarters level, your entry point is the head of the OCHA's Coordination and Response Division, based in New York.

For urgent support needs, contact the OCHA Emergency Relief Coordination Centre, based in Geneva, which operates 24/7 (+41 22 917 2010).

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6   See the Terms of Reference of the Humanitarian Coordinator, IASC, 2009.
7   See the UN Resident Coordinator Generic Job Description, UNDG, 2009.

DISASTER RISK REDUCTION

1. Lead and coordinate efforts to strengthen country-level commitment to and capacities for disaster risk reduction

What is your role?

– *Advocate with the Government for the integration of disaster risk reduction in national policies, planning and programming.*
– *Support the Government in strengthening national capacity for disaster risk reduction.*
– *Advocate with key actors to raise awareness on social responsibilities for disaster risk reduction.*

When and how?

At all times	Promote and support the development of a multi-stakeholder **National Platform for Disaster Risk Reduction** to support the development and implementation of a Strategic National Action Plan.
	Encourage the Government to develop a **Strategic National Action Plan (SNAP) for Disaster Risk Reduction** through multi-disciplinary consultations at the national level.
	Encourage UNCT members and other relevant stakeholders to facilitate and support the SNAP process, and to align the UNDAF and individual agencies' country strategies with it.
	Support the National Platform for Disaster Risk Reduction in conducting a mapping exercise leading to the creation of a **National Matrix of Commitment and Initiatives in Disaster Risk Reduction.**
	Advocate with the Government on the need to incorporate disaster risk reduction in sustainable development policies, planning and programming (e.g. PRSP, environmental and natural resource management) at all levels (e.g. National Development Plans, sector strategies, private sector plans and budgetary allocations). ⇨ If necessary, mobilize support from relevant UN agencies to assist the Government in this process.
	Advocate with local authorities (including municipalities, national and sectoral planning agencies), civil society, academic and technical institutions and the private sector for the establishment of mechanisms to manage risks in the country, and for the development of a culture of social responsibility with respect to risk reduction.

At all times	Encourage national and local authorities to increase collaboration between climate change and environmental bodies and experts, and their disaster risk reduction counterparts (e.g. by including climate change and environmental experts in the National Platform for Disaster Risk Reduction). Encourage them to adopt a common agenda for climate change adaptation.
	Support the Government's resource mobilization efforts for disaster risk reduction by: Creating a framework for coordinating UN, non-UN and donor contributions. Facilitating interactions among disaster risk reduction stakeholders (UNCT members, international financial institutions, regional organizations, NGOs, civil society and bilateral donors). Identifying specific areas where donors can support national priorities.
	Encourage all stakeholders (including the Government) to use agreed-upon indicators to measure the reduction of disaster risks and the progress on the implementation of the goals and priorities of the Hyogo Framework for Action (HFA).
	Encourage the Government to: Develop its HFA progress report. Include disaster risk reduction in intergovernmental and national reports. If necessary, mobilize support from relevant UN agencies to assist the Government in this respect.
	Under Government leadership and in consultation with the UNCT, define appropriate measures for regular assessment of progress toward achieving the goals and priorities of the HFA. Ensure joint monitoring and assessment of agreed commitments.

Remember!

☐ A total of 168 countries committed to address disaster risk reduction under the overall framework of the HFA and to regularly report on their progress through the online HFA monitor. The analysis of information uploaded on this monitor is periodically documented through a Global Assessment Report on Disaster Risk Reduction.

☐ The Global Platform on Disaster Reduction, which takes place every two years, provides a good opportunity for countries to demonstrate their achievements on HFA implementation.

☐ The International Day for Disaster Reduction (second Wednesday of October) is a good opportunity to mobilize the Government, communities and individuals through awareness campaigns and special activities.

1	National Platform for Disaster Risk Reduction
2	Strategic National Action Plan (SNAP) for Disaster Risk Reduction
3	National Matrix of Commitment and Initiatives in support of the HFA

| 1 | National Platform for Disaster Risk Reduction |

What is it ?

A nationally owned and led forum of stakeholders involved in disaster risk reduction that serves as the national coordination mechanism for disaster risk reduction. The platform should build on existing Government disaster management or development planning coordination mechanisms. Activities are typically coordinated by a national coordination structure (under the auspices of HFA national focal point) in close consultation with the RC and the UNCT.

Through the platform, a single forum coordinates and supports all relevant stakeholders at the national level, and coordinates their commitment to implementing disaster risk reduction programmes and policies within the context of each country's existing capacity-building efforts and governance arrangements.

What is its purpose ?

To help strengthen the Government's disaster risk reduction efforts by :

- Ensuring a more inclusive and participatory approach.
- Helping develop a culture of safety and resilience.
- Advocating for disaster risk reduction, particularly for its integration into development policies, strategies and activities, as well as into multilateral environmental and climate change agreements.

Who participates in it ?

Stakeholders involved in disaster risk reduction from a wide range of disciplines such as Government representatives from national, state/provincial and local levels (including ministries); representatives of civil society; the media; technical and scientific (academic) institutions; UNCT members; the donor community; and the private sector.

Remember !

- ☐ Disaster risk reduction is a multisectoral endeavour requiring the participation of a wide range of national stakeholders, hence the added value of establishing a National Platform.

- ☐ Ideally, the institution coordinating the National Platform should be a permanent structure of sufficiently high calibre with a national coordination mandate in disaster risk reduction.

- ☐ The National Platform should be aligned with Government structures for environment and climate change to ensure a common agenda.

Where to go for more information ?

Guidelines on National Platforms for Disaster Risk Reduction, ISDR, 2007.

2   Strategic National Action Plan (SNAP) for Disaster Risk Reduction

What is it ?

A long-term multisectoral and multi-stakeholder planning instrument that identifies a country's disaster risk reduction and disaster management priorities, including climate change adaptation measures, in line with the Hyogo Framework for Action and in accordance with the country's capacities.

Who participates in it ?

The planning process should be led by the Government, through the National Platform and with support from development partners including the UNCT.

Remember !

- ☐ The SNAP is owned, led and approved by the Government which is responsible for its design and implementation. The SNAP should be fully aligned with existing national planning processes.

- ☐ The SNAP should be aligned with national efforts to address climate change adaptation.

- ☐ Prior to developing a SNAP, a series of extensive fact-finding consultations identify national priorities to be supported by donors and UN agencies. This provides the basis for all relevant stakeholders in-country to participate, develop and approve resources to support and implement the SNAP.

3 | National Matrix of Commitment and Initiatives in support of the HFA

This matrix maps out how international development and humanitarian partners, including UN agencies, will support Government efforts for disaster risk reduction by outlining specific programmes, resources and capacities of partners.

2. Lead and coordinate inter-agency efforts in disaster risk reduction

What is your role?

– *Lead the UNCT in integrating disaster risk reduction into UN planning and programming tools.*
– *Encourage the adoption of a common agenda for disaster risk reduction and climate change adaptation.*
– *Coordinate the UN system's operational activities for disaster risk reduction at the country level.*
– *Develop an advocacy strategy and raise awareness for disaster risk reduction.*

When and how?

As soon as possible	In consultation with the UNCT, establish a shared understanding of the disaster risk reduction country context. In the absence of national analysis, facilitate and coordinate a UNCT analytical process in the context of the CCA. Use other analytical frameworks, such as poverty reduction strategies, to identify existing disaster risks.
At all times	Lead the process for integrating disaster risk reduction into UN planning and programming tools (UNDAF), clearly defining the contributions of UN partners to national development goals and priorities. ⇨ If the country faces a specific disaster risk, consider establishing an UNDAF sub-group for that risk.
	Coordinate the UN system's operational activities for disaster risk reduction at the country level. Promote coherence of strategies and programmes for achieving the goals of the Hyogo Framework for Action.
	Promote the coordination of UNCT work on disaster risk reduction and climate change, particularly if the primary disaster risk in your country is related to climate change.
	Ensure that progress toward goals and priorities in DRR is included in existing UN reports, such as the annual UNCT reports.
	With the UNCT, develop an advocacy strategy in DRR.
	Promote and support the development of education programmes, training workshops and awareness-raising campaigns on specific disaster risk reduction aspects, and support national participation in international training opportunities.

Remember!

- [ ] UN initiatives should complement one another and respond to the country's requirements for disaster risk reduction contained in the UNDAF.

- [ ] It is important to promote linkages between disaster risk reduction and the MDGs.

- [ ] When preparing the UNDAF, facilitate Government ownership in identifying national disaster risk reduction challenges and in suggesting policy options for addressing root causes.

- [ ] An advocacy strategy in DRR should:

    - Identify disaster risk reduction issues on which to raise awareness, such as current national priorities.
    - Identify which messages and actions will have the highest impact.
    - Identify partners for the activities (including by providing resources).
    - Identify target groups for messages and activities.

Which tools and services to use?

1 | Pool of Disaster Risk Reduction Experts

UNDG has set up an inter-agency pool of disaster risk reduction experts to provide training and technical support to UNCTs throughout the UNDAF process. Contact the Regional UNDG team (formerly known as Regional Directors Teams, RDTs) to request an expert.[8]

2 | Capacity for Disaster Reduction Initiative (CADRI)

CADRI is a partnership of OCHA, UNDP/BCPR and UNISDR. It provides support to RCs and agencies involved in DRR for in-country development of national capacities.

Contact CADRI directly in Geneva, or through any of the three partner organizations at country/regional level.

Good to know

1 | The biennial World Campaign on Disaster Reduction

Led by UNISDR, it provides Governments, UNCTs, National Platforms and other interested national and local actors with awareness-raising activities and tools on disaster risk reduction.

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8   For contact detail, see http://www.undg.org/index.cfm?P=684

Where to go for more information?

Disaster Risk Reduction in the United Nations: Roles, Mandates and Areas of Work of Key United Nations Entities, ISDR, 2009.

Integrating Disaster Risk Reduction into the CCA/UNDAF – A Guide for UN Country Teams, UNDG, 2009.

PREPAREDNESS

1. Lead and coordinate efforts to strengthen national capacity to respond to emergencies

What is your role?

– *Lead and coordinate inter-agency efforts to strengthen national capacity to respond to emergencies.*
– *Advocate with the Government to increase funding for response preparedness.*

When and how?

As soon as possible	Review with the Government national efforts for preparedness, including existing national preparedness plans. Lead and coordinate inter-agency efforts to carry out a multisectoral assessment of the Government's capacity to respond. Based on the result, coordinate inter-agency efforts to strengthen Government's capacity-to respond to emergencies.
At all times	Familiarize yourself with existing national legislation for disaster relief and with **international legal instruments to facilitate international relief** adhered to by the country. If some areas are not covered, advocate with the Government to: – Ratify international legal instruments to fill these gaps. – Sign a **Model Customs Agreement with the UN** to facilitate customs clearance and licensing of emergency relief items. – Develop national legislation to facilitate international relief using the **Guidelines for the Domestic Facilitation and Regulation of International Disaster Relief and Initial Recovery Assistance** as a model.
	Advocate with the Government to develop policies and procedures for requesting and receiving international assistance if needed during an emergency, using the Guidelines for the Domestic Facilitation and Regulation of International Disaster Relief and Initial Recovery Assistance as a model.
	Advocate with the Government to increase funding for response preparedness. For example by setting a target on resources to be allocated for preparedness activities, particularly at national and community levels.

Which tools and services to use?

International instruments and guidelines to facilitate international relief

- **Guidelines for the Domestic Facilitation and Regulation of International Disaster Relief and Initial Recovery Assistance (2007).** These non-binding guidelines were developed by the IFRC and adopted by the State parties to the Geneva Convention. They provide guidance to States in improving their domestic legal policy and institutional frameworks concerning international disaster relief and initial recovery assistance. They cover issues such as the issuing of visas to humanitarian personnel; work permits; customs clearance and duties; over-flight and landing rights; taxation and domestic legal personality.

- **Tampere Convention on the Provision of Telecommunication Resources for Disaster Mitigation and Relief Operations** (2005). The Convention inter alia requests governments and non-State entities to cooperate in order to minimize impediments to telecommunication assistance before disasters occur. This includes deploying equipment, sharing information, adopting model agreements to facilitate the provision of telecommunication resources, providing training, designing and constructing telecommunication facilities.

- **Model Customs Agreement between the UN and the Government**

- **Revised Kyoto Convention on the Simplification and Harmonization of Customs Procedures** (1999)

- **Convention on Temporary Admission** ("Istanbul Convention", 1990)

- **Convention on International Civil Aviation** ("Chicago Convention", 1944)

For details these instruments see section III (*Response*), chapter 9 (*Facilitate humanitarian access*), p. 85.

2. Lead and coordinate inter-agency contingency planning

What is your role?

– *Lead and coordinate the development of an Inter-Agency Contingency Plan.*
– *Update the plan after each emergency, on an annual basis, or when the situation changes.*

When and how?

As soon as possible	Establish appropriate **coordination structures** to organize the contingency planning process, including a senior-level group (steering committee or **Humanitarian Country Team**) to oversee the process and a technical group (including **clusters**) to develop the **Inter-Agency Contingency Plan**.
	Ensure the planning process includes all relevant stakeholders from UN agencies and IOM, the Government (whenever possible), components of the International Red Cross and Red Crescent Movement, NGOs (national and international), donors, civil society, and community- and faith-based organizations.
	Lead and coordinate the development of an Inter-Agency Contingency Plan for relief activities, including early recovery, and linked to national planning efforts. Where possible, link the process to the CCA/UNDAF. Ensure the plan is in line with national disaster preparedness plans and disaster risk reduction plans.
	If you are the DO, convene the **SMT** to develop and implement a **Security Plan** to maintain the security and safety of UN personnel, premises and assets. Ensure it includes **Security Contingency Plans** and **Crisis Management Plans.** [a]
At all times	Build and maintain stakeholders' commitment to the contingency planning process.
As needed	Convene the HCT or steering committee to review and update the contingency plan annually, after each emergency, when early warning indicators signal a major change in the situation or when there is a significant change in the membership or leadership of the HCT. Incorporate lessons learned and other feedback from emergencies and/or evaluations.

a   If you are not the DO, support the process through the SMT.

Remember!

- ☐ Contingency planning should be used to prepare for all types of emergencies, including man-made ones.

- ☐ If you require support to coordinate the planning process, ask the OCHA Country or Regional Office for assistance.

- ☐ The contingency planning process provides an ideal framework for developing and strengthening partnerships.

- ☐ In some situations, contingency planning will address contentious issues. In those cases it should not be avoided, but a more discrete approach may be required.

- ☐ Include in the contingency plan an operational continuity plan for situations that might affect the ability to maintain operations, or that endanger the health and safety of staff.

- ☐ Not all stakeholders need to be involved in the entire contingency planning process: some partners who have specific expertise may be brought in at particular stages of the process.

Which tools and services to use?

| 1 | Coordination Structures for Contingency Planning

| 2 | Inter-Agency Contingency Plan

| 3 | Security Plan

| 4 | Crisis Management Plan

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| 1 | Coordination Structures for Contingency Planning

For more on the HCT or clusters, See section III (*Response*), chapter 3 (*Establish Humanitarian Coordination Mechanism*), p. 34.

| 2 | Inter-Agency Contingency Plan

What is it?

A document that describes how all relevant actors plan to collectively respond to a potential emergency with appropriate humanitarian assistance and protection.

A contingency plan usually refers to a specific threat. Multiple threats within the same country warrant multiple plans, unless they are linked or require a similar response.

What is its purpose ?

- To analyse the impact of potential crises and ensure that arrangements are made in advance for the provision of assistance and protection to the affected populations.

- To anticipate and address problems that typically arise during a humanitarian response.

Who participates ?

All relevant partners, including UN agencies, IOM, components of the International Red Cross and Red Crescent Movement, NGOs, donors, civil society, experts on cross-cutting issues, community- and faith-based organizations and, whenever possible, the Government.

What are the main components of the Plan ?

– Scenarios, planning assumptions and triggers that indicate changes in the situation
– Common objectives and strategies integrating cross-cutting issues (such as age, diversity, environment, gender, HIV/AIDS, psychosocial support) and an early recovery and exit strategy
– Coordination mechanisms with the Government and other actors
– Clusters to be established, which organizations will lead them and which organizations will participate in each cluster
– Inter-cluster coordination mechanisms
– Needs assessment strategy, including agreement on key baseline information and standard ways to collect and record data
– Common services needed
– Resource mobilisation strategy
– Projected funding requirements and related resource requirements
– Monitoring and evaluation activities
– Priority preparedness actions

How is it different from an operational continuity plan ?

Whereas a contingency plan is usually designed to address external threats (i.e. emergencies that affect local populations and require a humanitarian response), an operational continuity plan (also referred to as a business continuity plan) is typically designed to address internal threats (i.e. events that jeopardize organizations' ability to maintain essential programmes, and to ensure the safety and security of their staff and assets). Some of the main components of an operational continuity plan include :

– Crisis management structure
– Succession planning and devolution of authority

- Essential functions, processes and services
- Essential staff (i.e. those staff responsible for maintaining essential functions, processes and services)
- Vital records and assets
- Emergency communication strategy and mechanisms
- Practical emergency information including key contacts, information and communication technologies and infrastructure

Remember!

☐ If the consequences of a sensitive political scenario need to be planned for, key actors should meet for a discreet exercise outside the country, e.g. in a regional hub or even at headquarters.

☐ Planning for disaster scenarios may be used as a proxy for conflict scenarios.

Where to go for more information?

Contingency Planning Guidelines for Humanitarian Assistance, Inter-Agency Standing Committee, 2007.

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3 | Security Plan

What is it?

A plan prepared by the DO in consultation with the SMT which maps out the security measures to be taken and arrangements to be followed by UN staff in various security situations. It should include Security Contingency Plans, which contains specific measures to take in an emergency that affects UN staff, assets and premises. The Plan should be updated annually, or as the security situation changes.

Remember!

☐ The United Nations security management system has three key underlying principles:

- "How to stay" - seeking to establish and maintain operations in insecure and unstable environments
- "no programme without security"
- "no security without the adequate resources"

UN agencies determine the criticality of their own programmes. The DO should not get involved in determining the technical merits of programmes, but can use the security clearance process to enable operations to continue while ensuring the safety and security of personnel.

4 | Crisis Management Plan

What is it?

A plan prepared by the DO in consultation with the SMT that maps out security measures to be taken in case of serious security incidents and events involving UN staff, premises and assets, e.g. placing life or property in danger and/or disrupting operations such as cases of arrest and detention, missing staff, death, serious injuries, hostage taking, sexual assault, aircraft accident.

3. Lead and coordinate preparedness activities

What is your role?

– *Lead and coordinate relevant stakeholders in implementing the preparedness activities outlined in the Inter-Agency Contingency Plan.*
– *Advocate with donors to fund preparedness activities.*

When and how?

After finalizing the Contingency Plan	Convene regular meetings with relevant stakeholders and, whenever possible, national authorities to review and prioritize the implementation of the preparedness activities outlined in the **Inter-Agency Contingency Plan**.
	Designate a staff member within your office to coordinate preparedness activities. ⇨ If additional capacity is required, request support from OCHA.
	Encourage the humanitarian community in-country to strengthen its capacity to respond to emergencies through training, pre-positioning of stocks and familiarization with agencies' internal **surge capacity** mechanisms.
	Strengthen the capacity within your office to coordinate emergency response activities through training and familiarization with existing surge capacity mechanisms.
At all times	Ensure the establishment of partnerships with meteorological and seismic monitoring institutions, both governmental and academic. Maintain a dialogue with scientific and technological communities on effective early warning and swift evacuations.
	Coordinate inter-agency efforts to establish a system for monitoring early warning indicators that would trigger a response.
	In consultation with the UNCT/**HCT** or relevant stakeholders, assess the need for conducting a simulation exercise in country, whenever possible with the participation of national authorities.
	Advocate with donors to fund preparedness activities.
	Encourage agencies and sectors/**clusters** to raise funds for preparedness activities. Ensure they are channelled into the priority activities and sectors.

At all times	Build and invest in relationships with stakeholders who are likely to play an important role in an emergency, particularly regional organizations, neighbouring or other Member States, UN entities (e.g. DPA, integrated UN presences), civil society, community- and faith-based organizations, and other relevant actors.
	Build **partnerships with the private sector**, e.g. ask the local chamber of commerce to build a registry of private sector resources available for disaster response. Develop formal resource commitments before the disaster (through MoUs).
	Familiarize yourself with disaster alert and information services such as the Global Disaster and Alert Coordination System (**GDACS**) and the Virtual On-Site Operations Coordination Centre (**VOSOCC**). Request staff members in your office to register to receive automated alerts.
	Set up a **UN Communications Group**.

Remember!

☐ Typical preparedness activities include training staff; collecting baseline data; stockpiling; carrying out a security assessment; identifying and establishing collaborative arrangements with partners; and raising awareness on prevention of sexual exploitation and abuse.

☐ Compile data before a crisis arises to serve as benchmarks in the response phase.

Good to know

1	Inter-Agency Simulation Exercise
2	Early Warning-Early Action (EWEA) report
3	GDACS
4	VOSSOC

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1 | Inter-Agency Simulation Exercise

What is it?
A practical exercise held at the country level to test the emergency preparedness and response knowledge and skills of in-country actors. It usually consists of a full-day exercise followed by a full-day debriefing, analysis and action planning. It may be delivered by an inter-agency team.

What is its purpose?
To enable in-country actors to test existing disaster preparedness policies, contingency plans and emergency procedures.

Who participates?
Senior staff from a variety of in-country agencies and organizations and government representatives who participated in the contingency planning process and/or are likely to play an important role in the response.

How to request it?
Through the OCHA Country or Regional Office.

2 | Early Warning-Early Action (EWEA) report

What is it?
An inter-agency early warning tool produced by the IASC Sub-Working Group on Preparedness and Contingency Planning for IASC member agencies. It gives a snapshot of emergency contexts, with particular attention to potentially new crises and changes in existing emergencies. It includes a section on minimum preparedness measures to be taken by the Country Team.

What is its purpose?
To advise the Country Team on the specific preparedness measure to be taken.

Remember!
☐ The report is an IASC internal document, and is not for broad distribution.

☐ A change in colour coding should trigger a revision of the Inter-Agency Contingency Plan.

3 | GDACS

See section III (*Response*), chapter 1 (*Define a preliminary scenario and alert all partners*), p. 28.

4 | VOSSOC

See section III (*Response*), chapter 6 (*Lead and coordinate operational response*), p. 59.

RESPONSE

1. Define a preliminary scenario and alert all partners

What is your role?

– *Define a preliminary scenario from available information sources.*
– *Contact the Government for an overview of its intentions.*
– *Alert OCHA and relevant partners.*

When and how?

WITHIN 24 HOURS	Obtain a brief overview of the scale and scope of the emergency (**preliminary scenario**) based on available information from national authorities, UN agencies, IOM, national and international NGOs, civil society organizations, the International Red Cross/Red Crescent Movement, the media, **GDACS, ReliefWeb.**
	Alert OCHA[b] and all relevant partners in-country.
	Contact the Government to:
	– Review national capacity to deal with the emergency.
	– Clarify its intent to declare a state of emergency.[c]
	– Remind it of its obligations vis-à-vis the UN Charter, applicable Security Council resolutions, and international humanitarian and human rights law.
	– Remind it of its obligation to ensure the safety and security of humanitarian actors, their premises and assets.
	⇨ If the Government cannot provide the required security measures, request UNDSS to assess the requirements to secure UN premises and assets and seek their advice as to how this can be achieved.
	– Clarify its intent to request, welcome or decline international assistance
	⇨ If the Government requests or welcomes assistance, outline support options available, request approval for humanitarian workers' entry into the country and request **UNDAC** and/or **HIC** standby.
	⇨ If the Government declines international assistance but assistance is nonetheless required, urge in-country humanitarian actors to increase their capacity to respond.
	– Request logistical assistance for site visits (e.g. helicopters), if required.
	Based on the preliminary scenario and the Government's capacity, assess if an international response is warranted.

b   For contact details, see Annex.
c   For some donors this is a prerequisite to disburse emergency funding.

1 Global Disaster and Alert Coordination System (GDACS)

This web-based platform alerts the international community of major sudden-onset disasters and facilitates the coordination of international response. It contains preliminary disaster information and electronically calculated loss and impact estimations. GDACS can be accessed at http://www.gdacs.org [9]

2 ReliefWeb

This is an online gateway to timely, reliable and relevant information (documents and maps) on humanitarian emergencies and disasters. ReliefWeb can be accessed at http://www.reliefweb.int

3 Preliminary scenario

Immediately after the onset of an emergency, available information is gathered to provide an estimate of the scale and severity of the emergency's impact, and locate affected populations. This best-guess preliminary working scenario should inform initial response decisions and be used to decide on the parameters of the joint multisectoral initial rapid assessment.

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9   Registration is required. This needs to be done in the preparedness phase.

2. Ensure adequate response capacity in your office

What is your role?

– *Assess the capacity within your office to assist you in coordinating the response and eventually request:*

- *A UN Disaster Assessment and Coordination (UNDAC) team to assist with overall coordination during the first phase of a sudden-onset emergency*

- *Temporary deployment of experienced humanitarian staff (surge capacity)*

When and how?

WITHIN 24 HOURS	Review the **Inter-Agency Contingency Plan,** including necessary human resources. Based on the preliminary scenario, re-assess the capacity of your office to coordinate the response. ⇨ If available, reassign OCHA staff within the country. ⇨ If additional capacity is required, request additional human resources (**surge capacity**). ⇨ If warranted, request deployment of an **UNDAC** team by calling OCHA or UNDAC.[d]
	Request UNDSS to deploy Security Advisers, if needed.

d   For contact details, see Annex.

Which mechanisms, tools or services to use?

| 1 | UN Disaster Assessment and Coordination (UNDAC) Team |

| 2 | Surge Capacity |

■ ■ ■

1 | UN Disaster Assessment and Coordination (UNDAC) Team

What is it?

A standby team of disaster management professionals from Governments, UN agencies and other disaster response organizations that can be deployed within 12-24 hours of an emergency. The team normally stays in the affected area for the initial emergency response phase (two to four weeks).

What is its purpose?

To support the RC or HC, the HCT and the affected Government in assessing and analysing needs, and coordinating the international response by establishing an On-Site Operations Coordination Centre (OSOCC) and carrying out information management and liaison activities. Following an earthquake, the UNDAC team provides reception facilities for incoming international urban search-and-rescue teams and bilateral relief teams.

Who can request it?

The affected Government, the RC or the HC through OCHA.

Remember!

☐ An UNDAC team's deployment is free of charge. Team members are funded through pre-arranged agreements with UNDAC member agencies and Governments.

☐ You can request the deployment of an UNDAC team to help coordinate relief efforts even if the Government has not requested international assistance.

☐ The profile of UNDAC team members depends on needs; it may include a security officer from UNDSS, an expert for assessing environmental risks/secondary impacts, a civil-military coordination officer, etc.

☐ An UNDAC team can call on additional technical support for mapping, connectivity, and relief-related software solutions through partnerships with organizations such as MapAction, Télécoms sans Frontières and Microsoft Response Point.

☐ An UNDAC team is self-sufficient in telecommunications, office and personal equipment.

Where to go for more information?

UNDAC web page, http://ochaonline.un.org/undac

2 | Surge capacity

What is it?

Experienced staff who can be deployed to your office upon request following a sudden and unforeseen humanitarian emergency. The speed and duration of deployment

varies according to the agency that deploys them. Such advisers include generalists, administrative/operational support staff and technically specialized profiles.

TYPE	REQUESTED THROUGH	TYPICAL TASKS
Administrative and Finance Officers	OCHA	Oversee finance and administration in an office, manage procurement, open an office or sub-office, initiate cost plan/budget and recruit staff at national level.
Early Recovery Advisers	Global Cluster Working Group for Early Recovery	Oversee early recovery linkages among clusters and agencies, facilitate the early recovery network, support early recovery related assessments, develop an Early Recovery Strategic Framework and ensure information management for early recovery.
Environmental Assessment Specialists	OCHA	Assess environmental emergencies involving hazardous materials or toxic chemicals (e.g. mining accidents, toxic chemical spills, flooded waste dump sites, oil/fuel spills, road or railway accidents) and the direct or indirect impact of a disaster or complex emergency on the environment.
Gender Advisers	GenCap Secretariat	Support information collection and analysis, programme planning, capacity-building, coordination, and advocacy on gender equality programming.
Human Rights Advisers	OHCHR	Provide policy, substantive and operational advice related to human rights, including on international human rights law, HR mainstreaming, the human rights based approach, monitoring/investigation; and advices on options for activating human rights mechanisms and mandates. Can also support/lead coordination of the Protection Cluster.
Humanitarian Affairs Officers	OCHA	Provide support in inter-cluster coordination, resource mobilization, reporting (e.g. situation reports) and liaison.

TYPE	REQUESTED THROUGH	TYPICAL TASKS
Protection Officers	ProCap Secretariat	Guide the development of a comprehensive protection strategy, support coordination and implementation of the protection response, chair the Protection Cluster and build protection capacities in country.
Humanitarian Civil-Military Coordination Officers	OCHA	Advise on appropriate relations between humanitarian and military responders.
Information Management Officers	OCHA	Develop information products and services for data management (e.g. contact directories, databases, mapping, surveys of surveys).
Information Technology Experts	OCHA	Provide information and telecommunications technology infrastructure and services to the RC or HC's Office.
Public Information and Advocacy Officers	OCHA	Assist in dealing with the media (e.g. organizing press conferences, consolidating key messages, drafting fact sheets).
Security Advisers	UNDSS	Advise the DO and the SMT in their security capacity; prepare, maintain and update the country-specific security plan; undertake security risk assessments; maintain an effective and functioning security and emergency communications system.
Sexual Violence Advisers	UN Action Against Sexual Violence in Conflict	Craft a comprehensive strategy to address sexual violence, support its implementation and strengthen the coordination of UN system efforts to address sexual violence.
Strategic Planners	UNDOCO	Assist the RC and UNCT in strategic planning for recovery efforts and develop transitional appeals if needed.

Remember!

☐ The quickest form of surge capacity is the UNDAC team. Additional staffing support can be requested at any stage of the emergency.

☐ OCHA deploys internal staff as well as external experts from standby partners.

☐ OCHA surge capacity experts are usually deployed within two weeks and can stay for up to six months.

☐ When requesting surge capacity support be prepared to provide the following information:

- Type of support required and rationale for request
- Title, description and level of post to be filled
- Proposed starting date and approximate duration
- Operating conditions (including security situation and whether an office and equipment can be provided)
- Other surge support being requested from other sources
- Staffing plans beyond the surge phase (if applicable)
- Main tasks to be undertaken by deployee(s)
- Specific qualifications needed (languages, experience, etc).

3. Establish and lead humanitarian coordination mechanisms

What is your role?

– *Convene and lead the Humanitarian Country Team (HCT).*
– *In consultation with the HCT, establish clusters and designate Cluster Lead Agencies.*
– *If necessary, establish mechanisms for inter-cluster coordination, early recovery and thematic groups on cross-cutting issues.*

What and how?

<table>
<tr>
<td rowspan="6">WITHIN 24 HOURS</td>
<td>Convene all relevant humanitarian partners to form a **HCT**, including whenever possible national authorities.</td>
</tr>
<tr>
<td>In consultation with the HCT, review contingency plans (national and inter-agency) and existing coordination mechanisms for response.
⇨ If national coordination mechanisms exist use them to avoid parallel structures.
⇨ If **clusters** were envisaged in the **Inter-Agency Contingency Plan**, review their appropriateness in light of the emergency and establish them.
⇨ In the absence of a contingency plan, agree on which clusters should be established and which agency/organization should lead them, based on identified priority needs/gaps and coordination capacity and operational presence.</td>
</tr>
<tr>
<td>If you are the DO, convene the **Security Management Team** to assess the security situation and agree on immediate measures. [f]
⇨ If the emergency affects UN staff, assets or premises establish a **Crisis Management Team**.</td>
</tr>
<tr>
<td>In consultation with the HCT assess the need for a forum for cluster coordinators to discuss inter-cluster issues and eventually establish an **inter-cluster coordination mechanism.**</td>
</tr>
<tr>
<td>In consultation with the HCT, agree on priority cross-cutting issues to be addressed in the response, such as age, diversity, environment, gender, HIV/AIDS, and psychosocial support.
⇨ Where needed, request expertise from existing national mechanisms (e.g. National AIDS programme) or establish inter-cluster **thematic groups on cross-cutting issues.**</td>
</tr>
</table>

WITHIN 72 HOURS	Send a letter to the ERC outlining which clusters will be established and the designated lead agencies. The ERC transmits the proposal to IASC agencies and Global Cluster Lead Agencies for them to give their approval within 24 hours. ⇨ If approved, inform relevant partners on agreed cluster coordination arrangements.
	In consultation with the HCT, establish an **early recovery network** consisting of focal points from each cluster to coordinate early recovery activities and develop an **Early Recovery Strategic Framework.** ⇨ If key recovery areas are not covered by clusters, establish a specific **Early Recovery Cluster** in addition to the early recovery network, in consultation with the HCT and the Early Recovery Advisor.
Throughout the response	Regularly convene and chair HCT meetings. Where appropriate, chair inter-cluster coordination meetings.
	Hold Cluster Lead Agencies accountable for activities outlined in their Terms of Reference.
	Ensure that one inter-cluster coordination mechanism includes adequate representation from thematic groups on cross-cutting issues and **Areas of Responsibility.**

f   If you are not the DO, support the process through the SMT.

Remember!

☐ Clusters should be established in the capital and the affected area(s) (so called zonal/ sub-national level-clusters).

☐ Use as much as possible existing coordination structures and mechanisms, in order to increase efficiency and avoid duplicating efforts.

Which mechanisms to use?

1	Humanitarian Country Team (HCT)
2	Clusters (and Areas of Responsibility)
3	Thematic groups on cross-cutting issues
4	Early Recovery Network
5	Inter-cluster coordination mechanism

1 | Humanitarian Country Team (HCT)

What is it?

The humanitarian coordination platform at the country level. The HC, or in the absence of a HC position the RC, chairs the HCT. The HCT operates according to the Principles of Partnership: equality, transparency, result-oriented approach, responsibility and complementarity.

What is its purpose?

It provides the humanitarian community with a forum for strategy and policy setting for preparedness, response and transition to recovery.

Who participates in it?

The HCT is composed of relevant organizations that undertake humanitarian action in-country and that commit to participating in coordination arrangements. These organizations may include UN agencies, IOM, national and international NGOs and, subject to their individual mandates, components of the International Red Cross and Red Crescent Movement[10]. The HCT's main membership criterion is operational relevance.

The head of the OCHA office participates in the HCT, and OCHA provides secretariat support to the team. The Government, relevant civil society organizations and donors may be invited to participate.

Useful distinctions

- UN Country Team (UNCT) vs. HCT: the UNCT comprises all heads of UN agencies and IOM, whereas the HCT includes only relevant heads of UN agencies as well as non-UN humanitarian actors. The HCT addresses strategic issues of the wider humanitarian community whereas the UNCT focuses on UN concerns. The HCT and the UNCT coexist and do not replace each other. The RC or HC is responsible for ensuring complementarity between them.

- Cluster vs. HCT: the HCT provides strategic and policy guidance to the overall response effort whereas country-level clusters implement the strategy by coordinating operational response efforts in their respective areas of expertise. Country Cluster Lead Agencies are members of the HCT.

- UN Disaster Management Team (UNDMT) vs. HCT: the UNDMT does not always include non-UN humanitarian partners whereas the HCT always does. The UNDMT does not always meet at the Country Representative level whereas the HCT does.

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10 Among the components of the International Red Cross and Red Crescent Movement, the ICRC attends Humanitarian Country Team meetings in an observer capacity. It will continue to coordinate with other humanitarian actors to the extent necessary to achieve efficient operational complementarity and a strengthened response for people affected by armed conflict and other situations of violence.

□ To avoid creating new coordination mechanisms, the HCT should build on existing coordination structures as much as possible.

□ Whenever possible the HCT should complement Government-led coordination structures.

□ Representatives of Cluster Lead Agencies represent the views of their cluster(s) in HCT meetings in addition to those of their own agency.

Where to go for more information ?

Guidance for Humanitarian Country Teams, Inter-Agency Standing Committee, 2009.

2 Clusters

What are they ?

IASC designated groupings of UN and non-UN humanitarian actors around sectors of response activities, each led and coordinated by a lead agency (hereafter "Cluster Lead Agency"). The Cluster Lead Agency acts as a single entry point for relevant Government counterparts and for the RC or HC. Clusters should be used in both preparedness planning and operational response. To the extent possible, clusters should mirror national response structures, use terminology that is close or identical to that of the national sectors and be co-chaired by Government representatives.

A cluster should include all actors that are operationally relevant in its sector. These may include UN agencies; IOM; NGOs;[11] experts/advisors on cross-cutting issues; components of the International Red Cross/Red Crescent Movement that commit to participate in coordination arrangements;[12] and other country-based humanitarian actors (such as civil society organizations). The Cluster Lead Agency is responsible for ensuring that the cluster works in close coordination with Government entities (local, regional and national authorities, including Ministries), and donors. The country-level representatives of Cluster Lead Agencies are accountable to the RC or HC for fulfilling agreed roles and responsibilities for cluster leadership, as spelled out in the IASC Generic Terms of Reference for Cluster Leads at the country level.

Clusters also exist at the global level. They are led by Global Cluster Lead Agencies, which are accountable to the ERC. A global cluster coordinator ensures day-to-day coordination

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11 National and international NGOs.

12 The ICRC does not take part in the cluster approach. Nevertheless, coordination between the ICRC and the UN will continue to the extent necessary to achieve efficient operational complementarity and a strengthened response for people affected by armed conflicts and other situations of violence. In its function as Cluster Convener and in accordance with the Memorandum of Understanding between OCHA and IFRC, although not formally accountable to the RC or HC, IFRC agrees to regularly inform the ERC and the RC or HC of the progress of the activities through the mechanisms established by the IASC, and through any specifically agreed coordination mechanisms established for individual operations.

of the global cluster's work. Lead Agencies at the country level need not be the same agency as the sector's Global Cluster Lead, but should be selected based on the local context and capacities of agencies already on the ground. In addition, the structure of clusters at the country level should be adapted to local needs and may not mirror that at the global level. For example, if appropriate, several sectors can be merged into a single cluster (e.g. Health and Nutrition Cluster or Food Security and Livelihoods Cluster).

Clusters at the country level

What is the purpose of country-level clusters?

To clarify the division of labour among organizations, better define the roles and responsibilities of humanitarian organizations within each sector, and provide the Government and the RC or HC with a first port of call and a provider of last resort in all the key sectors or areas of activity.

Which activities do they carry out?

All clusters carry out the following activities, whenever possible in cooperation with national authorities:

– Ensure adequate contingency planning and preparedness.
– Lead strategy development and planning.
– Establish appropriate coordination mechanisms.
– Ensure effective and coherent needs assessment and analysis.
– Advocate for resource mobilization and advise on allocation of resources from pooled fund mechanisms.
– Ensure mainstreaming of priority cross-cutting and thematic issues (such as age, diversity, environment, gender, HIV/AIDS, psychosocial support).
– Ensure adherence to existing technical standards and policy guidelines.
– Ensure adequate monitoring, reporting and information sharing.
– Lead training and capacity-building of staff and humanitarian partners and strengthen the capacity of the national authorities and civil society.
– Ensure that humanitarian responses build on local capacities by establishing appropriate links with national/local authorities, local civil society, etc.
– Establish effective links with other clusters.

What is their structure?

At the country level, the cluster is headed by the Country Representative of the designated Cluster Lead Agency and, to the extent possible, co-chaired by a Government representative. The agency's Country Representative maintains a dual reporting line to his/her agency (on agency responsibilities) and to the RC or HC (on cluster responsibilities). In HCT meetings, he/she is responsible for representing the views of the cluster in addition to those of his/her agency.

The Cluster Lead Agency is expected to designate a Cluster Coordinator with the necessary facilitation skills and technical expertise to ensure day-to-day coordination and facilitation of the cluster's work. The Cluster Coordinator should act as a neutral representative of the cluster and ideally have no agency responsibilities. The Cluster Coordinator is not directly accountable to the RC or HC, but reports to the Country Representative of the Cluster Lead Agency. However, the RC or HC may contact Cluster Coordinators.

Where several humanitarian hubs are established in different geographic areas for planning and managing the humanitarian response, zonal clusters may be established with focal points designated by the respective Cluster Lead Agencies. Clusters at zonal (sub-national) level should include relevant agencies, Government and donor representatives and other relevant stakeholders present in the area.

Where zonal clusters are established, the national-level cluster normally focuses on policy issues and strategic planning, while zonal clusters focus on local planning and implementation.

How are Cluster Lead Agencies selected ?

The RC or HC selects Cluster Lead Agencies in consultation with the HCT based on the agencies' coordination capacity and operational presence. Upon agreement within the HCT, the RC or HC sends a letter to the ERC outlining the clusters' architecture and the designated Lead Agencies. The ERC transmits the proposal to IASC agencies and Global Cluster Lead Agencies for them to give approval within 24 hours. Once approved, the RC or HC informs relevant partners of agreed mechanisms.

Clusters at the global level

What is the purpose of global-level clusters ?

To strengthen system-wide preparedness and coordination of technical capacity to respond to humanitarian emergencies by ensuring there is predictable leadership and accountability in all main sectors.

Which activities do they carry out ?

– Setting and disseminating global standards, providing guidelines and consolidating best practices.
– Undertaking preparedness measures (material stockpiles, surge capacity rosters, trained expertise).
– Providing operational support to field-level clusters (assessment, emergency preparedness, technical expertise, logistical capacity, resource mobilization).

IASC-designated Global Cluster Lead Agencies [g]	
SECTOR OR AREA OF ACTIVITY	GLOBAL CLUSTER LEAD AGENCY
Agriculture	FAO
Camp Coordination/Management: conflict-related displacement disaster-related displacement	UNHCR IOM
Early Recovery	UNDP
Education	UNICEF/Save the Children Alliance
Emergency Shelter: conflict related disaster related	UNHCR IFRC (Convener[h])
Emergency Telecommunications	OCHA/WFP
Health	WHO
Logistics	WFP
Nutrition	UNICEF
Protection	UNHCR
Water, Sanitation and Hygiene (WASH)	UNICEF

g   Sectors and categories of population where leadership and accountability amongst international humanitarian actors are already clear are not included among the clusters at global level. These include food, led by WFP; and refugees, led by UNHCR.

h   IFRC has committed to provide leadership to the broader humanitarian community in Emergency Shelter in disaster situations, to consolidate best practice, map capacity and gaps, and lead coordinated response. IFRC has committed to being a 'convener' rather than a 'cluster lead'. In an MOU between IFRC and OCHA, it was agreed that IFRC would not accept accountability obligations beyond those defined in its Constitutions and own policies, and that its responsibilities would leave no room for open-ended or unlimited obligations. It has therefore not committed to being 'provider of last resort', nor is it accountable to any part of the UN system.

Areas of Responsibility

The Protection Cluster is responsible for ensuring effective response in several specialty areas, known as Areas of Responsibility (AoR), each with a designed Focal Point Agency at global level. These include:

Protection Cluster: Global-level Areas of Responsibility	
AREA OF RESPONSIBILITY	FOCAL POINT AGENCY
Child Protection	UNICEF
Gender-Based Violence	UNFPA/UNICEF
Housing, Land and Property	UN-Habitat
Mine Action	UNMAS
Rule of Law and Justice	UNDP/OHCHR

The functions and responsibilities of Focal Point Agencies are identical to those of Cluster Lead Agencies, including the responsibility of provider of last resort. Each Focal Point Agency is responsible for mainstreaming issues pertaining to its AoR into the work of all clusters, as appropriate.

Useful definitions:

- **Cluster Lead Agency**: an agency or organization that has been designated by the RC or HC to lead a particular sector at the country level.
- **Global Cluster Lead Agency:** an agency/organization that has been designated by the IASC to lead a particular sector at the global level.
- **Cluster Coordinator**: a person, designated by the Cluster Lead Agency at the country level, who is responsible for the day-to-day coordination and facilitation of the cluster's work.
- **Global Cluster Coordinator:** a person, designated by the Global Cluster Lead Agency, who is responsible for the day-to-day coordination and facilitation of the global cluster's work.

Level	Led by	Headed by	Day-to-day operations by	Accountable to
Country-level cluster	Cluster Lead Agency	Country Representative	Cluster Coordinator	RC or HC
Global-level cluster	Global Cluster Lead Agency	Head of Agency	Global Cluster Coordinator	Emergency Relief Coordinator

Remember!

- ☐ To address multisectoral issues, cooperation among clusters is often better than setting up a separate cluster. For example mental health and psychosocial support should be addressed by the Health, Protection and Education Clusters and not by a dedicated cluster.

- ☐ If there is no capacity in-country to fulfil the Cluster Lead Agency role, request the relevant Global Cluster Lead Agency to deploy surge capacity and/or additional technical support.

- ☐ If a Cluster Lead Agency does not adequately fulfil its responsibilities, first consult with the organization concerned and then with the HCT. If necessary propose alternative arrangements.

- ☐ When a decision is made to designate cluster co-leads, ensure that the division of labour among them is clearly explained and communicated to relevant stakeholders. This may involve developing a Memorandum of Understanding between the co-leads.

- ☐ Establishing a Protection Cluster is equally important in natural disasters as in complex emergencies. At the country level, the three core protection-mandated agencies (UNHCR, UNICEF and OHCHR), under the overall leadership of the RC or HC, consult and agree on which one will assume the role of Cluster Lead Agency. Similarly, the Cluster Lead Agencies are responsible for identifying mechanisms for field-level coordination in their Area of Responsibility at national and provincial levels.

OneResponse[13] Platform: http://oneresponse.info

Guidance Note On Using The Cluster Approach To Strengthen Humanitarian Response, Inter-Agency Standing Committee, 24 November 2006.

3 | Thematic groups on cross-cutting issues

What are they?
Groups composed of focal points from each cluster on a cross-cutting issue that warrants particular attention. The groups should be led by an agency with adequate organizational and technical capacity in country. They are often co-led by a UN agency and an NGO.

What is their purpose?
To ensure clusters address cross-cutting issues by providing support and guidance on how to mainstream these issues into the humanitarian response plan, needs assessments, resource mobilization and other cluster activities.

Remember!
☐ Thematic groups should coordinate with existing structures in country if they exist (e.g. National AIDS Programme).

4 | Early Recovery Network

What is it?
A coordination mechanism composed of early recovery focal points from each cluster. It is facilitated by an Early Recovery Adviser who is accountable to the RC or HC.

What is its purpose?
To assist clusters in assessing and prioritizing early recovery needs, incorporating early recovery activities within their Plans of Action and developing an Early Recovery Strategic Framework.

How does it relate to the Early Recovery Cluster?
Each cluster is responsible for integrating early recovery activities. Early recovery focal points from each cluster carry out this integration through the Early Recovery Network. Where key early recovery areas are not covered by existing clusters, an Early Recovery Cluster may be established in addition to the network to fill this gap.

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13 The OneResponse website is still in the pilot stage. Discussions are ongoing regarding the site's official name.

Remember!
- [ ] Early recovery activities narrow the gap between the end of the relief operation and the start of full-scale reconstruction and rehabilitation, provided they are planned as part of the relief operations.
- [ ] UNDP can deploy early recovery coordinators/advisors upon request.

5 | Inter-cluster coordination mechanism

Where necessary, a separate body for inter-cluster coordination may be established gathering all cluster coordinators. This mechanism serves as the operational level forum for cross-cluster issues, feeding into strategic level planning by the HCT. OCHA ensures facilitation of Inter-cluster coordination.

Remember!
- [ ] This body should not substitute cluster representation in HCT meetings.

Good to know

1 | Security Management Team (SMT)

2 | Crisis Management Team (CMT)

◼ ◼ ◼

1 | Security Management Team (SMT)

What is it?
A team whose members are responsible for supporting the Designated Official for Security (DO) in discharging his/her mandate related to the safety and security of all UN personnel, premises and assets. The SMT is chaired by the DO who in most cases is also the RC.

What is its purpose?
To advise and support the DO in planning and managing security matters. This includes:
- Raising security concerns.
- Conducting security risk assessments.
- Preparing a security plan.
- Informing the humanitarian community about the security situation.

- In-country travel restrictions.
- Security clearance procedures.
- Minimum Operating Security Standards (MOSS) compliance.

Who participates?

The DO, Chief Security Advisor, Representatives of in-country UN agencies and IOM, international organizations and NGOs that have signed a MOU with the UN.

2 Crisis Management Team (CMT)

A team responsible for managing serious security incidents and events involving UN staff (e.g. placing life or property in danger and/or disrupting operations). Its composition is determined by the DO in consultation with the SMT. The CMT should be action-oriented and have the authority to make decisions. It should liaise with relevant host country authorities, maintain communication and coordinate required resources. The CMT should keep the DO informed and brief the SMT as needed.

4. Lead and coordinate multi-cluster needs assessments

What is your role?

– *Ensure that needs assessments are undertaken in a timely and coordinated manner in the different phases of an emergency:*

- *Multi-cluster rapid needs assessment – to inform the response and support appeals*

- *In-depth sectoral needs assessment – to adjust the ongoing response and inform detailed programming*

- *Situation monitoring – to inform long-term programming.*

– *Ensure that timely, consistent and reliable data is used as a basis for the inter-agency humanitarian response plan and funding application, as well as to strengthen informed decision-making and prioritize response activities.*

When and how?

WITHIN 72 HOURS	In consultation with the **HCT**, and based on the Contingency Plan (if it exists), use the **preliminary scenario** to inform initial response decisions. Define the procedures and focus of subsequent assessments.
	In consultation with the HCT and OCHA, agree on how to coordinate multi-cluster assessments, while ensuring linkages to information management, inter-cluster coordination and strategic planning.
Within two weeks	Ensure that a **multi-cluster rapid needs assessment** is carried out. In consultation with the HCT, use the outcomes to revise the **humanitarian response plan** (including early recovery initiatives), the **protection strategy** and funding appeals.
Within one month	Ensure that **in-depth sectoral needs assessments** and other inter-agency assessments and analyses are carried out. In consultation with the HCT, use the outcomes to revise the humanitarian response plan, the protection strategy, funding appeals and the **Early Recovery Strategic Framework** as well as to lay the foundation for a **coordinated situation monitoring** system, using a restricted number of indicators from each cluster.

After two months and on-going	Use results from coordinated situation monitoring to review and prioritize response activities and inform long-term programming for recovery in consultation with the HCT.
Throughout the response	Ensure that data relevant to **cross-cutting issues** (age, environment, gender, HIV/AIDS) is collected and is disaggregated by age (at the minimum into categories of under age 5, under 18 years, adults 18 - 59 years and older persons 60-79 years and 80+ years), gender, ethnicity if relevant, disability and chronic illness, people living with HIV/AIDS. Ensure the information captures the special needs and vulnerabilities of such people/groups.
As soon as feasible	Establish links with other relevant assessments such as a **PDNA** or a **PCNA** and with recovery partners such as the World Bank and the European Commission.

Remember!

☐ In complex emergencies, protracted situations or slow-onset emergencies, needs assessment activities may be less linear and more cyclical than for sudden-onset disasters. Needs assessment phases may take place in a different order or simultaneously depending on the situation. For example, in complex emergencies, humanitarian access and political events may be the strongest driver of needs assessment processes. The situation's volatility will influence the frequency, type and objectives of needs assessments.

☐ Given the importance of rapid data collection do not wait for all structures (such as the HCT) to be in place before launching assessments. Similarly, do not wait for the perfect expertise : create assessment teams with staff immediately available on the ground.

☐ Where it is safe to do so, encourage small assessment teams to move to affected areas as quickly as possible, ensuring they have the means to relay their findings back.

☐ When lives are at risk, do not wait for perfect information; act on the best information available from the initial investigation, including secondary sources.

☐ If deployed, the UNDAC team will collect data in the first few weeks of the emergency.

☐ The Contingency Plan and preparedness activities may include pre-crisis agreed

procedures to collect, record and share data and tools for multi-cluster rapid assessments and coordinated monitoring. Use them to accelerate analysis.

☐ At all times, ensure that assessments are conducted in a coordinated manner and include all relevant stakeholders including national authorities, UN agencies, IOM, NGOs, components of the International Red Cross/Red Crescent Movement, donors and the private sector. Donors' participation will increase their understanding of humanitarian activities and related funding needs.

☐ If an inter-cluster coordination mechanism has been established, it should coordinate and participate in inter-sectoral or inter-agency needs assessments.

☐ If required, establish an inter-agency needs assessment task force to work on technical aspects of multi-cluster assessment/monitoring.

☐ Well led and coordinated assessments will help ensure coverage and avoid gaps, duplication and assessment fatigue in communities affected by an emergency.

☐ Whenever the emergency significantly evolves, ensure that in-depth sectoral needs assessments identify and plan for recovery and, where applicable, for the return and/or resettlement of refugees and IDPs.

☐ Whenever statistics on IDPs are unclear, unreliable or out of date, the RC or HC should initiate an IDP profiling exercise, in consultation with the Country Team. DRC, NRC-IDMC, OCHA, UNFPA and UNHCR have set up a Joint IDP Profiling Service (JIPS) to assist humanitarian agencies to obtain, maintain and update data on IDPs.

☐ Ensure that the focus of needs assessments includes early recovery and gradually shifts to recovery.

Good to know

1 **Preliminary scenario**

2 **Multi-cluster rapid needs assessment**

3 **In-depth sectoral needs assessments and other inter-agency assessments**

4 **Coordinated situation monitoring**

5 **Post-Disaster Needs Assessments (PDNA) and Post-Conflict Needs Assessments (PCNA)**

☐ ☐ ☐

1 **Preliminary scenario**

See section III (*Response*), chapter 1 (*Define a preliminary scenario and alert all partners*), p. 28.

2 **Multi-cluster rapid needs assessment**

Launch this type of assessment as soon as possible after the onset of an emergency in order to :

- Estimate the scale and severity of the event's impact
- Locate affected populations
- Inform initial response decisions
- Enable the preparation of a Flash Appeal and CERF request
- Inform the focus of subsequent rapid needs and sectoral assessments.

3 **In-depth sectoral needs assessments and other inter-agency assessments**

Clusters should conduct in-depth sectoral needs assessments and other inter-agency assessments to :

- Adjust the ongoing response
- Inform the Flash Appeal revision
- Inform detailed planning for humanitarian relief and early recovery interventions
- Establish baseline data for operational and strategic monitoring.

4 **Coordinated situation monitoring**

Continuously updated information provided by coordinated situation monitoring and cluster-specific needs assessments allows for :

- Long term programming for recovery
- Inputs into relevant appeal documents.

5 **Post-Disaster Needs Assessments (PDNA) and Post-Conflict Needs Assessments (PCNA)**

See section III (*Response*), chapter 13 (*Lead and coordinate transition from response to recovery*), p. 107

5. Lead and coordinate inter-agency response planning

What is your role?

– *Based on the Inter-Agency Contingency Plan (if it exists) lead the HCT in developing an inter-agency strategic humanitarian response plan.*
– *Lead the HCT in producing an Early Recovery Strategic Framework.*

When and how?

WITHIN 72 HOURS	In consultation with the HCT and, where possible, national authorities, based on the **Inter-Agency Contingency Plan** (if it exists) and available needs assessment results, develop a strategic **humanitarian response plan** including early recovery and a **protection strategy**.
Within 6 to 10 weeks	In consultation with the HCT and in collaboration with the Early Recovery Network and the Early Recovery Advisor, produce an **Early Recovery Strategic Framework** that lays the foundations for long-term recovery.
Throughout the response	Ensure the humanitarian response plan is revised using improved and up-to-date information from ongoing assessments, typically from a rapid assessment within the first two weeks and an expanded assessment within the first month.
	If you are the DO, in consultation with the **SMT** ensure the **Security Contingency Plans** and the Crisis Management Plan are up-to-date.[i]

i   If you are not the DO, support the process through the SMT.

Remember!

☐ In complex emergencies, the humanitarian response plan is usually called the Common Humanitarian Action Plan (CHAP). It is an integral part of the Consolidated Appeal Process (CAP). For more on the CHAP and the CAP, see section III (*Response*), chapter 7 (*Mobilize financial resources*), p. 65.

☐ The humanitarian response plan usually forms the basis of the appeal document (Flash Appeal or CAP). However, a response plan should be prepared regardless of whether an appeal is issued.

1	Humanitarian response plan
2	Protection strategy
3	Early Recovery Strategic Framework (ERSF)

| 1 | **Humanitarian response plan** |

What is it?

A strategic joint plan for humanitarian response that is produced following consultation with and input from all humanitarian actors. It articulates the HCT's common vision for humanitarian action in-country, the strategy for achieving that vision and the actions to be taken to implement the strategy (including early recovery). It is the foundation of a Flash Appeal or a Consolidated Appeal (in this context it is called the Common Humanitarian Action Plan or CHAP), but should be developed regardless of whether a Flash Appeal or CAP is issued.

What is its purpose?

To document the vision, strategy and operational plan of the HCT.

Who can participate?

All humanitarian actors. To the extent possible, national authorities should participate in its development.

When is it developed?

- When there is an acute humanitarian need caused by a conflict or a natural disaster, presence of internally displaced persons.

- When host government and other national actors are unable or unwilling to address the humanitarian need.

- When there is the presence of major international humanitarian actors.

- When needs exceed the mandate and capacity of any single agency and requiring a multi-sectoral response.

2 Protection Strategy

What is it?

A strategic joint plan that responds to the identified protection needs. It can be produced as a stand-alone document or be part of the humanitarian response plan. The protection strategy should be developed under the joint leadership of the RC or HC, the HCT and the Protection Cluster Lead. It should be developed with relevant humanitarian partners and, whenever possible, the Government. It should include all relevant Areas of Responsibility.

3 Early Recovery Strategic Framework (ERSF)

What is it?

The foundation and framework for the HCT's early recovery programme response. The ERSF sets out the overall approach to early recovery, explaining the context, needs and general priorities. It is usually a stand-alone document produced 6 to 10 weeks after the emergency.

What is its purpose?

To capture and cost early recovery-related needs after a disaster or conflict and describe how to address these needs by mapping out gaps, objectives, response strategies, activities and actors. As such, the ERSF is the first step and the basis for medium- and longer-term recovery planning. It is also used for resource mobilization purposes.

Who participates?

Relevant humanitarian actors, development agencies, international financial institutions, donors and UN peacekeeping operations. It should be driven by or at the very least engage national and local partners, as well as institutions representing all segments of the population.

Remember!

☐ While the ERSF does not have formal status and needs to be agreed only by the participating UN and NGO partners, a high degree of Government ownership is necessary to ensure legitimacy and political commitment.

☐ Include the World Bank and the European Commission in the ERSF development as early as possible.

6. Lead and coordinate operational response activities

What is your role?

– *Lead and coordinate operational response activities.*
– *Establish links to recovery and development activities.*

When and how?

<table>
<tr><td rowspan="8">WITHIN 24 HOURS</td><td>Coordinate response activities through regular meetings with the HCT, including national authorities whenever possible.</td></tr>
<tr><td>In case of an earthquake or collapse of urban structures, encourage national authorities to call for international urban search-and-rescue assistance, preferably INSARAG members.</td></tr>
<tr><td>Assess the need for coordination capacity.
⇨ If warranted, request deployment of an UNDAC team by calling OCHA or UNDAC.^j
⇨ If warranted, request logistical support from the International Humanitarian Partnership (IHP) (transport, base camp, IT).</td></tr>
<tr><td>In cooperation with the HCT prioritize activities according to the security environment.</td></tr>
<tr><td>Ensure the release of at least one situation report to inform stakeholders of ongoing activities.</td></tr>
<tr><td>If national or foreign Military and Civil Defence Assets (MCDA) are inadequate to address needs or there is likely to be an extended need for MCDA, ask national authorities if the UN system can mobilize foreign MCDA.
⇨ If accepted, request OCHA to coordinate MCDA mobilized from international sources.</td></tr>
<tr><td>In case of potential impact on natural resources and the environment, liaise with the relevant national authorities (including the Ministry of Environment), the Joint UNEP/OCHA Environment Unit (JEU) and UNEP Post-Conflict and Disaster Management Branch to discern the need for specialized assistance.
⇨ If in-country capacity is sufficient, urge national authorities and/or humanitarian partners to conduct an environmental impact assessment as quickly as possible.</td></tr>
</table>

WITHIN 72 HOURS	Assign an information management focal point unless an UNDAC team is deployed and has adequate capacity to take on these functions. ⇨ If necessary, request OCHA to set up a **Humanitarian Information Centre (HIC)**.
	Upon arrival of the UNDAC team, HIC and/or IHP, organize briefings with national authorities and the HCT to discuss coordination mechanisms and structures. Agree on responsibilities and reporting lines of the UNDAC team, HIC and IHP team leaders.
	If you are the DO liaise with appropriate Government institutions, Police, Ministry of Defense on security matters.**ᵏ**
	If applicable, liaise with domestic and foreign military forces in-country. Based on consultations with **UN Humanitarian Civil-Military Coordination (UN-CMCoord) Officers**, adopt a civil-military coordination strategy.
Within two to four weeks	In coordination with OCHA and the HCT agree on an exit strategy for UNDAC, IHP and UN-CMCoord Officers, including a handover strategy to the national authorities and/or humanitarian partners on the ground.
Throughout the response	Hold regular meetings with Government entities and the HCT to coordinate response activities. Use assessments to identify gaps and (re-)prioritize activities.
	Advocate using the **Sphere Minimum Standards in Disaster Response** as the common standards for the humanitarian response.
	Ensure clusters effectively address priority **cross-cutting issues** such as age, diversity, environment, gender and HIV/AIDS.
	If you are the DO, in consultation with the **SMT** and/or **CMT**, if required update the security risk assessment.
	If you are the DO ensure the safety and security of UN staff to enable the continuity of UN activities and programmes. Regularly inform the USG for Safety and Security of developments that have a bearing on safety and security of the UN system in country.

Throughout the response	Ensure regular release of situation reports : daily in the initial phase of the emergency, and as necessary later.
	Liaise with national and foreign military forces.
	Liaise with all relevant actors : civil society; community-based and faith-based organizations; the private sector; regional organizations; neighbouring or other Member States; UN entities such as DPA, and integrated UN presences. Increase their awareness of the humanitarian needs and relief activities. Explore what role they can play in the response efforts.
	Ensure that early recovery activities are incorporated into the response. Establish links to recovery and/or development activities in-country.

j   For contact details, see Annex.
k   If you are not the DO, support the process through the SMT.

Remember !

☐ In conflict situations attempt to establish contact with all parties to the conflict.

☐ The national and multinational private sectors are increasingly interested in playing a role in emergency response and can mobilize significant in-kind resources.

☐ Faith-based organizations may have excellent networks at the community level that may allow them to reach people in need more expediently.

☐ In most emergencies, communities and community-based organizations are the fastest and most efficient relief providers.

Which mechanisms, tools or services to use ?

| 1 | UN Disaster Assessment and Coordination (UNDAC) Team |

| 2 | International Humanitarian Partnership (IHP) |

| 3 | Humanitarian Information Centre (HIC) |

| 4 | Foreign Military and Civil Defence Assets (MCDA) |

1 **UN Disaster Assessment and Coordination (UNDAC) Team**

See section III (*Response*), chapter 2 (*Ensure adequate response capacity in your office*), p. 30.

2 **International Humanitarian Partnership (IHP)**

What is it?

Logistical support services provided to UN agencies and UNDAC teams, especially in sudden-onset disasters. It is provided through seven European Governmental entities involved in civil protection and/or international humanitarian assistance. IHP is free of charge.

Support is in the form of standardized modules:

- Basic modules (e.g. laptops, telecommunications equipment, tents and generators) can be mobilized within six hours for a period of two to four weeks and come with fully trained support staff.
- Larger and more complex modules (e.g. HICs, base camps providing accommodation and office space, vehicle support, environmental assessment) can be mobilized within one to two days and stay for a period of 3 to 12 months.

What is its purpose?

To enable UNDAC teams and UN agencies to establish basic coordination mechanisms or a humanitarian hub, and to work self-sufficiently in areas with poor infrastructure following a disaster.

Who can request it?

The RC or HC through OCHA.

Remember!

☐ Modules can be deployed to support the HCT even in the absence of an UNDAC team being on the ground. If an UNDAC team is deployed, the UNDAC Team Leader provides leadership to the IHP team.

☐ IHP staff deployed in support of an UNDAC team remain national staff and are not regarded as UN staff.

3 | Humanitarian Information Centre (HIC)

What is it?

An information and coordination centre that supports the humanitarian community in collecting, processing and disseminating information. The HIC provides products and services to a wide range of humanitarian actors through 'storefront' or kiosk facilities. The HIC Manager reports directly to the RC or HC, although the RC or HC normally delegates oversight of the HIC to OCHA.

What is its purpose?

To facilitate access to information products (e.g. maps, databases), with the aim of improving coordination, situational understanding and decision-making.

Who can request it?

The RC or HC or the ERC.

4 | Foreign Military and Civil Defence Assets (MCDA)

What are they?

Assets and services such as relief personnel, equipment (e.g. air, ground and sea transport, communication equipment), supplies and services (e.g. medical support, security services) that are contributed by foreign military and civil defence organizations for humanitarian assistance. MCDA are provided at no cost to the affected country or the UN, unless otherwise regulated by international agreements.

What is their purpose?

To facilitate the provision of humanitarian assistance as an option of last resort when all other sources are insufficient, exhausted or unavailable.

Who can request them?

– The RC or HC, provided national authorities agree, through OCHA.
– Humanitarian agencies through the RC or HC.

Remember!

☐ Any use of MCDA should be clearly limited in time and scale and comprise an exit strategy.

☐ MCDA personnel should be clearly distinguished from forces engaged in other military missions.

☐ The humanitarian community should use military assets only as a last resort, when civilian/commercial solutions have been exhausted or are not readily available.

☐ When they are under UN control, these assets are referred to as "UN MCDA".

Good to know

| 1 | On-Site Operations Coordination Centres (OSOCC) |

| 2 | Virtual On-Site Operations Coordination Centre (V-OSOCC) |

| 3 | Urban Search-and-Rescue (USAR) teams (member of INSARAG) |

| 4 | Situation report |

| 5 | Partnerships with private sector actors |

| 6 | Who does What Where (3W database) |

| 7 | OCHA stockpile |

| 8 | Sphere Minimum Standards in Disaster Response |

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1 On-Site Operations Coordination Centre (OSOCC)

What is it?

A facility that acts as a coordination nerve centre and meeting place for the humanitarian community. An OSOCC will generally be established in a major national coordination centre, with one or more sub-OSOCCs at various disaster sites as required.

What is its purpose?

To help local authorities coordinate international and national responders. International relief teams are registered at the OSOCC and receive basic information about the situation, operations of national and international responders and logistical arrangements.

Who can request them?

An OSOCC is not requested: it is established as a matter of routine by the first-arriving international humanitarian actors (often the UNDAC team) or the first-arriving international Urban Search and Rescue (USAR) team who then hands it over to UNDAC upon its arrival.

2 | Virtual On-Site Operations Coordination Centre (VOSOCC)

VOSOCC is a web-based virtual coordination centre that provides real-time information on the emergency and allows for information exchanges. It aims to update organizations and Governments on the emergency situation, identify needs and plan ongoing response activities. To use VOSOCC, you must register online at: http ://ocha.unog.ch/virtualosocc

3 | Urban Search and Rescue (USAR) teams

What are they ?

Teams of trained experts from the affected country or other countries who rescue and provide life-saving medical care to individuals trapped under complex urban collapsed structures. The teams use specialized search-and-rescue equipment including search dogs. Teams can be operational in the affected country within 24 to 48 hours and are self-sufficient throughout the duration of their deployment (7 to 10 days). Most USAR teams are members of the International Search and Rescue Advisory Board (INSARAG).[14]

Who can request them ?

The affected Government.

Remember !

☐ USAR teams are crucial when national responders are overwhelmed or do not possess the required capability to rescue victims trapped alive under rubble.

☐ Having INSARAG members on site has clear advantages, as members operate according to common INSARAG standards and methodology. They have pre-established links in the VOSOCC and can help national authorities establish effective coordination platforms for incoming USAR teams prior to the UNDAC team's arrival.

☐ USAR teams remain under the authority of their country of origin but undertake deployment tasks as directed by OSOCC.

☐ The operational activities of INSARAG teams can be monitored on VOSOCC.

Where to go for more information ?

http ://ochaonline.un.org/insarag

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14 A global network of more than 80 countries and disaster response organizations (governmental and non-governmental teams) dealing with USAR-related issues under the United Nations umbrella. Both earthquake-prone and responding countries and organizations are members of INSARAG. Before, during and after emergencies members work in line with the INSARAG Guidelines that set global standards for response of international USAR teams.

4 | Situation report (SitRep)

What is it?

A concise operational document providing a snapshot of current needs, response efforts and gaps in a given emergency. It is also a resource mobilization tool.

The primary audience is humanitarian actors both inside and outside the affected country and donors. The secondary audience includes the Government, civil society organizations, the media and the general public.

What is its purpose?

To inform readers about humanitarian needs, response efforts and gaps.

Who can request it?

The OCHA Head of Office decides whether an event merits a situation report, in consultation with the RC or HC.

Remember!

Situation reports should be issued only during the acute phase of an emergency (i.e. at the onset of a new crisis or following the deterioration of an ongoing emergency). They should not be used to report on chronic emergencies.

☐ A situation report should be a factual, neutral, unbiased and unemotional account of the response. It should contain key messages on progress made and remaining gaps. It should avoid jargon and acronyms.

5 | Partnerships with private sector actors

OCHA has several partnership agreements with private sector actors that provide pro bono services to the humanitarian community.

- DHL's Disaster Response Teams provide airport logistics management.
- Ericsson Response provides emergency telecommunications equipment and support.
- Télécoms sans Frontières deploys telecommunication experts with UNDAC teams.

Deployment is organized through OCHA or the relevant cluster.

6 | Who Does What Where (3W Database)

This is a contact directory managed by OCHA. It provides information on which organizations (Who) are carrying out which activities (What) in which locations (Where).

7 | OCHA stockpile

OCHA manages a stockpile consisting of non-food, non-medical relief items to meet basic needs following an emergency. Items can be requested by the affected Government, the RC or the HC, Cluster Lead Agencies or donor governments through the OCHA office. A shipment is normally dispatched within five to seven days following the request, subject to availability of stocks and transport funds. It is free of charge.

8 | Sphere Minimum Standards in Disaster Response

This is a set of minimum standards and key indicators in core technical areas of humanitarian assistance. The standards are agreed by the international community and define the minimum level of response to be attained in a given context. They are designed for use in all emergencies and may also be useful in disaster preparedness and humanitarian advocacy. Some countries have incorporated the Sphere Minimum Standards into their national disaster legislation. They can be found at : http://www.sphereproject.org

7. Mobilize financial resources

What is your role?

– *Based on needs identified in the humanitarian response plan, trigger humanitarian funding mechanisms according to the scope and type of emergency:*
  Appeal mechanisms:
  - *Flash Appeal: for acute needs for up to six months.*
  - *CAP: for protracted emergencies.*

  Funding instruments:
  - *Emergency Cash Grants: small sums for immediate needs.*
  - *CERF loan element: for immediate expenditure while waiting for donor pledges to be transferred.*
  - *CERF rapid response window: for immediate, life-saving assistance.*
  - *CERF underfunded emergencies window (if the ERC selects your country): for underfunded sectors.*
  - *Country-based Pooled Funds (if established):*
    - *ERF: for unforeseen humanitarian needs outside the humanitarian response plan, mostly for NGOs.*
    - *CHF: for funding against the humanitarian response plan.*
– *Fundraise with donors both locally and in capital cities.*
– *Monitor implementation and timely reporting on funded projects. Keep an overview of unmet needs and funding requirements.*

When and how?

WITHIN 24 HOURS	Ascertain donor intentions.
WITHIN 72 HOURS	Engage donors in response planning and needs assessments as appropriate to build trust and increase their understanding of priorities and funding needs. Advocate with donors to channel funding into priority areas.
Throughout the response	Use existing Government mechanisms for donor coordination ⇨ If necessary, assist national authorities in establishing such mechanisms.
	Request funds from relevant funding mechanisms according to the scope and type of the emergency based on needs identified in the humanitarian response plan (See further for details).
	Fundraise with donors locally and in capital cities, including for early recovery.
	For funding mechanisms that fall under your accountability, ensure agencies provide donors with quality and timely reports on the use of funds and results achieved.
	Ensure funding requests address cross-cutting issues and include resources for inter-cluster monitoring and evaluation activities.

Remember!

- Local embassies usually have funds available for immediate emergency relief activities.
- Do not interact with donors only to request funds. Keep them regularly informed on needs and relief activities.
- If appropriate, ask donors to relay certain advocacy messages.
- If possible, take donors on field missions to show them how assistance is being delivered.
- Ensure that donors in the capitals are appropriately briefed and encourage donors in country to relay the messages to their capital-based colleagues.
- Give visibility to donors when appropriate.

Which mechanism to use?

APPEAL MECHANISMS

| 1 | Flash Appeal |

| 2 | Consolidated Appeal Process (CAP) |

FUNDING INSTRUMENTS

| 1 | OCHA Emergency Cash Grant and Pre-positioned Funds |

| 2 | UNDP Emergency Cash Grant (TRAC 1.1.3 Category II Resources) |

| 3 | Central Emergency Response Fund (CERF) |

| 4 | Country-based Pooled Funds |

APPEAL MECHANISMS

| 1 | Flash Appeal |

What is it?

An initial inter-agency humanitarian response strategy and fundraising tool, based on a rapid appraisal of the situation's scale and severity. It outlines roles and responsibilities, cluster response plans, and activities that require funding. It addresses common funding requirements for up to six months.

What is its purpose?

- To provide a framework for strategic, coordinated and inclusive programming.
- To attract donor attention.
- To serve as an inventory of priority project proposals, and hence a barometer of funding response.
- To avoid competing and overlapping single-agency appeals.

Who can initiate it?

The RC or HC, in consultation with the HCT and following the ERC's agreement.

Who can participate?

All humanitarian partners, including national authorities, can participate in developing the humanitarian response plan. Government permission to issue the appeal is not required, but consultation is essential.

UN agencies, international organizations and NGOs (both national and international) may include projects in the appeal. Government bodies of the affected country can be included as partners in UN or NGO projects, but cannot appeal directly for funds. Components of the International Red Cross/Red Crescent Movement are welcome to join the Flash Appeal, though they often choose to appeal through their independent financing mechanisms.

What is your role?

WITHIN 24 HOURS	In consultation with the HCT and the ERC, assess the need for a Flash Appeal. ⇨ If warranted, assign an Appeal Focal Point within your office.
WITHIN 72 HOURS	Lead the HCT in producing a draft Flash Appeal document based on the Inter-Agency Contingency Plan (if it exists) and on available assessment results by clusters. A CERF request may also be considered at this time.
WITHIN 1 WEEK	Approve the final draft of the appeal and send it to OCHA for inter-agency headquarters review prior to the official launch.
	Select the most urgent life-saving projects from the Flash Appeal to submit to CERF for rapid funding.
4 to 6 weeks	Ensure the Flash Appeal is revised, using improved and up-to-date information from expanded assessments by clusters, and includes early recovery projects.
By conclusion of the appeal's duration	In consultation with the HCT decide if a Consolidated Appeal is warranted.

☐ Because the appeal's first edition has to be issued fast, it is accepted that it will be a concise document based on available information and reasonable estimates, focusing on urgent humanitarian needs, early recovery coordination, assessment and planning.

☐ The appeal and its projects can be revised at any point after the launch as more information emerges.

☐ Agencies that list their projects in the appeal receive their funding directly from donors or pooled funds.

☐ Seek advice from clusters on how to address multisectoral issues, e.g. mental health and psychosocial support in the appeal. Rather than creating separate chapters, ensure these issues are integrated into the chapters of those clusters that are responsible for implementing the activities, even if they require a separate budget line.

2 | Consolidated Appeal Process (CAP)

What is it?

A strategic planning and fundraising tool, consisting of a Humanitarian Response Plan (usually called Common Humanitarian Action Plan or CHAP) and a list of project proposals. It is used for protracted complex emergencies or to extend a Flash Appeal. It is typically launched in November and covers the upcoming calendar year.

What is its purpose?

To provide a joint humanitarian response plan and a consolidated catalogue of project proposals for donor funding.

Who can participate?

All humanitarian partners, including national authorities, can participate in developing the humanitarian response plan. Government permission to issue the appeal is not required, but consultation is essential.

UN agencies, international organizations and NGOs (both national and international) may include projects in the appeal as long as their projects are in line with the priorities defined in the CHAP. Government bodies of the affected country can be included as partners in UN or NGO projects, but cannot appeal directly for funds. Components of the International Red Cross/Red Crescent Movement are welcome to join the CAP, though they often choose to appeal independently.

What is your role?

In September	In consultation with the ERC and following discussions with the HCT, the Government and donors, assess if a CAP is warranted. If warranted, lead the HCT in developing a first draft of the CAP. This may include holding a CAP workshop with humanitarian stakeholders to jointly review priorities and decide on projects to be included. Upon completion, send this draft to the OCHA CAP Section for validation and launch.
May–June	Through consultations with the HCT, the Government and donors, reassess needs, strategic priorities, objectives, and changes in key monitoring indicators. This may include holding a CAP mid-year review workshop. Revise the CAP accordingly and submit the Mid-Year Review of the CAP to the OCHA CAP Section..
Throughout the response	Instruct clusters to regularly pool information from agencies on implementation of the CAP's agreed objectives and indicators. Request OCHA to consolidate this information and convey it to donors and stakeholders.

Remember!

☐ The CAP is not a "UN Appeal". It must reflect a strategic consensus of all humanitarian stakeholders on humanitarian priorities.

☐ The CAP comprises a prioritization exercise. Ensure that each cluster applies the CAP's agreed prioritization criteria.

☐ Ensure the appeal addresses cross-cutting issues such as age, diversity, environment, gender, HIV/AIDS and psychosocial support.

☐ A project can be added, removed or modified at any time,[15] and lasts as long as necessary within the appeal's time frame.

☐ Agencies that list their projects in the appeal receive their funding directly from donors or pooled funds.

☐ You can ask the OCHA CAP Section to send you (informally) the CAP document after OCHA and Headquarters review in October.

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15 Subject to the rules and regulations of each participating agency.

FUNDING INSTRUMENTS

1 **OCHA Emergency Cash Grant and Pre-positioned Funds**

What are they ?

The Emergency Cash Grant originates from the UN regular budget and can be disbursed for relief activities in the immediate aftermath of a disaster if the country requests or welcomes international assistance. The allocation amount per disaster from a single donor cannot exceed US$100,000.[16] If the country is included in the OECD/DAC list of aid recipients,[17] the grant can be supplemented by Pre-positioned Funds[18] at OCHA's discretion. If approved, the grant is disbursed within 10 days and should be spent within two months of the authorization date.

Funds are usually channelled through UNDP for local procurement and/or transport of relief items. Generally, they are placed at the disposal of the RC or HC. However, the RC or HC may seek and obtain OCHA's concurrence for their transfer to national authorities or local NGOs.

What is their purpose ?

To cover the most pressing needs of the affected populations resulting from natural, environmental and technological disasters.[19] The grant funds immediate relief operations including : local purchases of relief items, logistics support and, exceptionally, short-term recruitment of personnel to assist the RC in relief coordination.[20] It cannot be used for rehabilitation or reconstruction activities, establishing coordination mechanisms or recruiting personnel.

Who can request them ?

The RC or HC, the OCHA Field or Regional Office. The Government of the affected country can also request them through its Permanent Mission to the UN in Geneva or New York.

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16 An exception is the Italian grant, which can be larger.
17 See at http ://www.oecd.org/dataoecd/43/51/35832713.pdf
18 Pre-Positioned Funds are currently provided by Denmark, Italy, Ireland, the Netherlands and Norway.
19 An exception is the Italian grant, which can be approved for acute crises within complex emergencies.
20 When UNDP TRAC 1.1.3. Category II Funding does not cover the recruitment of personnel (see page 51).

What is your role ?

WITHIN 24 HOURS	Send a written request to OCHA for an Emergency Cash Grant. At a minimum, the request should specify the nature of the disaster and outline the assistance required (including the amount requested).
Within 10 days of the grant's date of authorization	Communicate the intended use of the funds and submit a cost plan to OCHA.
Within four months of the grant's date of authorization	Submit a narrative report to OCHA on the use of the funds. Include original invoices and receipts of purchases.

2 | UNDP Response to Sudden Crisis (TRAC 1.1.3 Category II Resources)

What are they ?
Funds made available from UNDP's core resources[21] for quick disbursement on a case-by-case basis. Normally the size of the allocation does not exceed $100,000.

What is their purpose ?
To enable the RC to coordinate an effective response to a sudden crisis (disaster or conflict), conduct needs assessments, initiate early recovery frameworks and establish solid foundations for sustainable recovery. This includes the recruitment of emergency management personnel to support immediate needs.

Who can request them ?
The RC.

_____
21 Entrusted to UNDP BCPR.

What is your role?

WITHIN 24 HOURS	Send a request to UNDP/Bureau for Crisis Prevention and Recovery (BCPR) for resources from UNDP's Immediate Response to Sudden Crisis (TRAC 1.1.3 Category II Resources), copied to the relevant BCPR Regional Bureau.
Within 30 days of receiving written confirmation of allocation	Forward a signed project document to BCPR, copied to the UNDP Regional Bureau, describing how the resources will be used and what will be delivered.
Throughout the duration of the allocation	On a quarterly basis, send a narrative and financial report to the respective BCPR Regional Bureau and Regional Focal Point.

Remember!

☐ National authorities do not need to sign project documentation, as these funds are automatically eligible for direct execution/implementation.

☐ Failure to meet the 30-day deadline for submitting the project document may result in revocation of the allocation, unless BCPR receives and approves a timely justification for extension.

☐ The funds need to be spent within 12 months.

☐ Under exceptional circumstances, an amount higher than $100,000 may be requested with specific justification.

☐ The standard UNDP project document format may be simplified to incorporate key elements only, such as situation analysis, management arrangements, and budget.

☐ Every request should be accompanied by the latest situation report produced by OCHA and planned outputs and activities, including a high-level breakdown of the budget.

☐ A request for resources can be made for each distinct disaster within the same country.

3 | The Central Emergency Response Fund (CERF)

What is it?

An OCHA-managed fund consisting of both a loan element ($50 million) and a grant element (target of $450 million). The grant element is divided into a rapid response window and an underfunded window. Grants are provided for critical, life-saving activities.

Who can request it?

UN agencies and IOM can request the grant and loan elements. OCHA may apply for a loan, but as manager of the Fund it cannot benefit from the grant element. Other humanitarian partners, including NGOs, can receive funding indirectly through sub-grants from CERF grant recipients.

CERF Loan Element

What is it?

A revolving fund of $50 million from which a loan can be disbursed to an agency when funds from a donor are expected but have not yet been received.

What is its purpose?

To provide agencies with cash flow to cover immediate expenditures in the aftermath of a crisis while waiting for donor pledges to be transferred.

Remember!

☐ While CERF loans are directly requested by eligible agencies, they should inform the RC or HC of their request.

☐ The loan must be reimbursed within one year.

CERF Grant Element - Rapid Response Window

What is it?

A grant for life-saving activities in (1) sudden-onset disasters, (2) sudden (unexpected) deteriorations of existing crises, or (3) time-critical interventions.

What is its purpose?

To provide an initial injection of funds to enable agencies to jump-start humanitarian assistance.

What is your role?

WITHIN 72 HOURS	In consultation with the HCT assess the need for a rapid response grant in parallel with the development of a Flash Appeal.
	With support from the HCT, determine funding priorities based on the CERF life-saving criteria, available results from the joint multisectoral rapid assessment, the humanitarian response plan, funding shortfalls, and capacity to implement within the grant's time frame.
	Request Cluster Lead Agencies to submit priority projects.
	Assign a focal point within your office to liaise with the CERF Secretariat on the application process.
WITHIN 1 WEEK	In consultation with the HCT, and based on the agreed criteria and funding priorities, review and approve projects submitted by clusters. ⇨ If a Flash Appeal exists, prioritize and select the most urgent life-saving projects in the appeal. Send a consolidated grant request to the ERC, with a copy to the CERF Secretariat.
Throughout the project's duration	Monitor implementation of activities funded by CERF.
Annually by 30 march	Submit a consolidated narrative report on the use of the CERF funds to the ERC.

Remember!

☐ The process for developing a grant request should be evidence based, inclusive and transparent. NGOs and other humanitarian partners should be involved in the CERF funding prioritization and application process.

☐ Before a request for a rapid response grant has been submitted, the ERC may suggest an initial CERF funding 'envelope' based on the best estimate of the scale of the emergency and the immediate funding needs.

☐ The provision of CERF funding is contingent upon the quality of the grant request.

- As per the CERF life-saving criteria, projects should address critical, life-saving needs that have not yet been funded by other sources. Projects should also be essential for the response and clearly meet the objectives of this window.

- If funding is already forthcoming or pledged, consider the CERF loan facility.

- CERF rapid response funds should kick-start rather than fully fund projects. CERF is not meant to be a primary funding mechanism.

- The humanitarian response plan or the Flash Appeal should form the basis for selecting projects for the CERF request.

- Where a Flash Appeal exists, the CERF average grant allocation is about 10 percent of the total appeal requirements.

- The maximum allocation per emergency is $30 million. The funding provided is commensurate with the scale of the emergency.

- The RC or HC can request on an exceptional basis a no-cost extensions on behalf of an agency. Project extensions are permissible if the reasons for the inability to implement within the grant's time frame are clearly documented to be outside the agency's control.

CERF Underfunded Emergency Window (for countries selected by the ERC)

What is it?

At the start and in the middle of each year, allocations from the CERF underfunded window are made to countries with chronically underfunded humanitarian emergencies in two rounds. By consulting widely and using various types of data, the ERC determines which countries will receive allocations for each round.

Once a country has been selected, the ERC invites the RC or HC to submit a grant request for the amount of funding that has been allocated. The provision of CERF funding is contingent upon the quality of the proposals. The deadline for implementing underfunded grants is as follows:

- First allocation round: 31 December of the year of funding
- Second allocation round: 30 June of the following year

What is its purpose?

To improve equity of funding by supporting existing humanitarian response efforts in underfunded emergencies.

What is your role?

At the start and in the middle of each year	If the ERC announces a funding allocation for your country, in consultation with the HCT: • Determine funding priorities based on the humanitarian response plan, the CERF life-saving criteria, response gaps, funding shortfalls, and capacity to implement within the grant's time frame. • Request Cluster Lead Agencies to submit projects addressing the highest-priority needs within the humanitarian response plan.
By the deadline set in the ERC's allocation letter	In consultation with the HCT, based on the agreed criteria and funding priorities, review and select projects submitted by clusters. ⇨ If a Consolidated Appeal exists, prioritize and select the most urgent life-saving projects from this document. Send a consolidated grant request to the ERC, with a copy to the CERF Secretariat.
Throughout the project's duration	Monitor implementation of activities funded by CERF.
Annually by 30 March	Submit a consolidated narrative report to the ERC on the use of CERF funds.

Remember!

☐ According to the established procedure, the ERC selects the countries and sets a funding envelope for each of the selected country. The RC or HC cannot request an underfunded grant.

☐ For selected countries, the process for developing a grant request should be evidence based, inclusive and transparent. Involve NGOs and other humanitarian partners in the CERF funding prioritization and application process.

☐ As per the CERF life-saving criteria, projects should address critical, core humanitarian needs that have not yet been funded by other sources but remain essential for the response. They should be selected following a clear and transparent prioritization process. If funding is already forthcoming or pledged, consider the CERF loan facility.

- The RC or HC can request a no-cost extension on behalf of an agency. Project extensions are permissible if the reasons for the inability to implement within the grant's time frame are clearly documented to be outside of the agency's control.

Where to go for more information?
CERF website: http://cerf.un.org

4 | Country-based Pooled Funds

Emergency Response Fund (ERF)

What is it?
A multi-donor funding mechanism providing small, rapid and flexible funds to address unforeseen humanitarian needs outside of the CAP or humanitarian response plan in a complex emergency. The RC or HC manages the fund with support from the OCHA office and is often advised on strategic issues by an Advisory Board. The Board's membership varies from country to country. It can include UN agencies, IOM, NGOs and, subject to their individual mandates, components of the International Red Cross/Red Crescent Movement. A technical Review Board with participation of UN and non-UN partners recommends proposals to the RC or HC for final decision-making. The typical grant size is $100,000-$250,000.

Who initiates funding allocations?
The OCHA office. The RC or HC signs the grant agreement after the Review Board's technical approval.

Who can benefit?
Mostly NGOs (national and international), as well as UN agencies and IOM.

What is your role if an ERF exists in your country?

WITHIN 24 HOURS	Launch a call for proposals.
WITHIN 72 HOURS	Convene a meeting of the Review Board to select projects (after initial review by OCHA), or consult electronically.
WITHIN 1 WEEK	Sign grant agreements with recipient organizations.
Within 10 days	Ensure OCHA has made disbursements to recipient agencies for selected projects.
Quarterly	Convene a meeting of the Advisory Board to discuss ERF-related issues.
Throughout the response	Monitor implementation and ensure recipient agencies' timely submission of reports to the RC or HC.

Remember!

- ☐ Establishing an ERF requires OCHA endorsement. It is generally not established for a sudden onset emergency.

- ☐ Currently there are no ERFs in countries where OCHA is not present.

- ☐ In case of electronic consultation of the Review Board, the deadline for response is 48 to 72 hours.

Common Humanitarian Fund (CHF)

What is it?

A multi-donor, strategic and predictable funding mechanism to address critical humanitarian needs as identified in the CAP and/or humanitarian response plan. It is financially managed by an Administrative Agent (UNDP). OCHA undertakes programmatic management on behalf of the HC. The CHF has two mechanisms for allocation:

- A Standard Allocation Mechanism for strategic allocation of funding against priority activities within the CAP. It consists of two rounds: one at the beginning of the year and one at mid-year. The allocation process takes two to six weeks.

- An Emergency Reserve for providing rapid response in the event of unforeseen and/or rapid-onset circumstances not addressed through the standard allocation.

Management structure:

- ☐ The **HC** manages the funds with support from OCHA and the Administrative Agent. OCHA serves as the CHF Secretariat and is responsible for managing the allocation process and other programmatic issues. The Administrative Agent manages fund disbursement to the recipient UN organizations.

- ☐ The **CHF Advisory Group** advises the HC on managing the fund. Its membership varies from country to country, but it typically comprises the HC (as Chair), local representatives of donors to the CHF and HCT members that are CHF recipients (UN agencies, IOM, NGOs and, subject to their individual mandates, components of the International Red Cross/Red Crescent Movement).

- ☐ The **CHF Technical Review Committee** reviews proposals on behalf of the HC. It is a cross-sectoral, multiagency committee that includes NGOs. Whereas Cluster Lead Agencies make allocation recommendations within their sector, the Technical Review Committee provides a holistic perspective across clusters. This Committee does not exist in all CHF countries.

Who can benefit?

All partners in the CAP or humanitarian response plan are eligible. However, IOM and, subject to their individual mandates, components of the International Red Cross/Red Crescent Movement access CHFs through a UN participating agency serving as the Managing Agent. UN agencies receive funding directly from the Administrative Agent.

What is your role ?

November	Advocate with donors to provide sufficient and timely funding for the CHF.
In December and June (or when CHF funding levels allow)	Initiate a Standard Allocation round. With support from the OCHA Country Office, the HCT and the Advisory Group, develop an allocation policy paper providing specific guidance on priorities, activities eligible for funding and thematic issues across clusters.
	Review and approve allocations proposed by the clusters based on the assessment of the Technical Review Committee (if it exists).
Throughout the response	Monitor implementation of activities funded by the CHF.
	Oversee implementation of an agreed reporting and monitoring framework for the fund.
	Review and approve allocations from the Emergency Reserve.
March	Submit a year-end report to donors.

Remember !

☐ CHF is generally not established for a sudden onset emergency.

☐ In countries with a plethora of funding mechanisms, it may be useful to establish a committee gathering entities managing the key funds to ensure complementarity among them.

☐ Whereas allocations from the Standard Allocation Mechanism are guided by a consultative and strategic process, Emergency Reserve allocations are responsive and based on ad hoc submissions of proposals from partners. The HC may call for proposals for the Emergency Reserve.

Good To Know

1 The Financial Tracking Service (FTS)

FTS is a real-time searchable database of all reported international humanitarian aid, with a special focus on Consolidated Appeals and Flash Appeals. FTS offers a series of analytical tables that show humanitarian aid flows and allows users to produce custom tables on demand. It can be used to track the timeliness of donor response to urgent needs. FTS can be accessed at : http://www.reliefweb.int/fts

8. Lead and coordinate inter-cluster monitoring and evaluation

What is your role?

− *Use monitoring and evaluation to obtain an accurate picture of performance at the country level and its impact on affected populations.*
− *Ensure that inter-cluster monitoring and evaluation inform inter-agency strategic planning and decision-making processes.*
− *Prioritize follow-up to evaluation recommendations.*

When and how?

Throughout the response	Review and utilize cluster monitoring reports provided by Cluster Lead Agencies and inter-cluster analysis provided by OCHA to ensure humanitarian operations effectively address identified needs.
	In consultation with the HCT, agree upon an inter-agency evaluation plan. ⇨ If warranted, request OCHA support in coordinating and managing the evaluation process.
When an inter-agency evaluation is launched	Work closely with the evaluation team by reviewing and commenting on the evaluation terms of reference participating in entry and exit meetings, and providing guidance to the team as necessary.
	Build and maintain commitment to, engagement and ownership of the HCT and the humanitarian community in the evaluation process.
After the evaluation	Lead follow-up on recommendations. Ensure outcomes feed into strategic planning and decision-making processes (such as the contingency plan, Flash Appeal, CHAP).

- ☐ A strategic blend of ongoing monitoring activities supported by occasional external evaluations can provide real-time support for operational decision-making. It can also provide a credible basis for demonstrating results and ensuring that learning is taking place.

- ☐ Integrate monitoring and evaluation into policy and operations. Monitoring and participatory reviews serve as important management tools.

- ☐ External evaluations, which are conducted by independent observers, can be a highly effective means for building credibility around results and for advocacy purposes.

- ☐ Consider incorporating an inter-agency evaluation plan into the CAP planning process.

Good to know

1 **Monitoring tools**

2 **Evaluation tools**

- **Inter-Agency Real-Time Evaluation (IA RTE)**

- **Inter-Agency Joint Evaluations**

☐ ☐ ☐

1 **Monitoring tools**

The RC or HC can expect or request the following monitoring reports:

- Strategic monitoring is provided by OCHA on the basis of analysis of inter-cluster issues and concerns.

- Sector-specific output monitoring is provided by Cluster Lead Agencies at predefined times during the year (quarterly, biannually or sometimes monthly).

- Impact monitoring is provided by Cluster Lead Agencies to assess if the needs of the affected populations have been met. Results should serve as the foundation for needs assessment for the next period. Impact assessments carried out as part of the monitoring function are undertaken over longer intervals and at the more aggregated cluster or intersectoral level.

Inter-Agency Real-Time Evaluation (IA RTE)

What is it?

An evaluation undertaken in the early phase of a humanitarian operation when key operational and policy decisions are being taken. The IA RTE provides a unique framework for inter-agency system-wide evaluation: it reviews the overall direction, coordination and implementation of an emergency response, rather than just agency-specific aspects. Findings are fed back nearly simultaneously for immediate use by the broader humanitarian community at the field level. An IA RTE is primarily intended for sudden-onset disasters, or protracted crises undergoing a phase of rapid deterioration.

What is its purpose?

To support management decision-making by producing recommendations on key issues relating to the emergency operation. It also provides agencies' senior managers with information to help them better understand and support programmes under their direction.

When to initiate it?

It is most effective at the early stages of a response, as this is when it can have the greatest influence on operations. Early-stage IA RTEs can also capture the experience of those dealing with the initial part of the response. An IA RTE is also useful at critical junctures of the response to facilitate strategic decision-making.

Who can initiate it?

The RC, HC or the ERC. In the past, the IASC IA RTE Interest Group has initiated IA RTEs that were subsequently carried out with the approval of the Government, the RC or HC and the HCT.

Remember!

☐ An IA RTEs allows for collective reflection as opposed to that of a single agency.

☐ During the early phases of a crisis, or when a situation takes a sudden turn for the worse, real-time evaluations can help bring perspective. Other external evaluations and/or lessons-learned exercises may also be conducted at any time based on a specific need.

☐ An IA RTEs can provide a communication channel between field and headquarters staff.

Inter-Agency Joint Evaluation

What is it?
An opportunity for collective assessment of the entire humanitarian response.

What is its purpose?
Accountability and/or learning lessons.

When to initiate it?
It should be conducted on an annual basis and ideally incorporated into the CAP planning process. This should not preclude other joint or agency-specific evaluative exercises from taking place as needs arise.

Who can initiate it?
Any actor, at the field or headquarters level.

Remember!
☐ Joint and inter-agency evaluations are complementary to individual agency evaluations. Joint evaluations should build on those already completed or being undertaken by individual agencies or Cluster Leads, as appropriate.

9. Facilitate humanitarian access

What is your role?

– *Explain the strictly humanitarian character of relief activities and secure their acceptance.*
– *Identify constraints that affect humanitarian actors' access to affected populations as well as affected populations' access to humanitarian assistance, and develop strategies to mitigate them.*
– *If necessary, negotiate for access.*[22]
– *As the DO, approve military or armed escorts for humanitarian convoy as a necessary risk mitigation measure, following a security risk assessment and consultation with the SMT and UNDSS.*

When and how?

WITHIN 24 HOURS	Based on the **Inter-Agency Contingency Plan** (if it exists) and in consultation with the **HCT**, identify which State or non-State actors affect access to affected populations. Remind all parties of their obligations to meet the basic needs of affected populations.
	Encourage all parties to allow and facilitate relief activities. Explain the strictly humanitarian character of these activities (e.g. by referring to the **humanitarian principles**) and gain parties' acceptance of these activities.
	Develop a **humanitarian negotiation analysis and strategy** for dealing with identified access issues.
WITHIN 72 HOURS	If access constraints are due to: – Bureaucratic impediments: seek to ensure that entry procedures for humanitarian personnel, equipment and goods into the country and their deployment to the field are streamlined. ⇨ If the Government is party to **international instruments or guidelines to facilitate international relief**, refer to them. ⇨ If necessary, act as a consignee for incoming goods.

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22 The RC or HC does not negotiate on behalf of the ICRC.

WITHIN 72 HOURS	– Ongoing hostilities: in consultation with the HCT, assess the relevance and feasibility of humanitarian corridors, deconfliction arrangements or a temporary cessation of hostilities to enable the delivery of assistance and/or to enable civilian populations to leave areas of fighting. ⇨ If warranted, negotiate with the relevant parties and ensure robust civil-military capacity within the HCT to support the development and implementation of these strategies. – Attacks on humanitarian personnel, facilities and/or assets: in consultation with the HCT, assess the motivating factors driving attacks. Consult with DSS and humanitarian actors on possible solutions to mitigate risks, including efforts to increase acceptance of humanitarian action and undertake negotiations with the relevant parties.
Throughout the response	With OCHA support, ensure systematic monitoring and reporting on access constraints to develop an analysis of trends that can continuously inform operations and the development of means of addressing constraints.
	If you are the DO, use the UN security risk management/security risk assessment and consult the SMT and UNDSS to decide which measures are required to provide security for **convoys**.[1] ⇨ If the assessment determines that armed protection is appropriate, the Security Advisor will assist you in obtaining resources and authority through UNDSS.

l   If you are not the DO, support the process through the SMT.

Remember!

☐ Establishing and maintaining access requires coordinated strategies among humanitarian actors.

☐ There are no blanket remedies to address access constraints. Identifying patterns of constraints is important to develop tailored solutions and strategies.

☐ Acting as a consignee on behalf of other organizations for goods entering a country may have legal implications, e.g. some items may have been granted exceptional and temporary entry by the Government and will have to be re-exported, making you legally responsible for such action.

Which mechanisms, tools or services to use?

1	International Humanitarian Law (IHL)
2	International instruments and guidelines to facilitate international relief
3	General Assembly Resolution 46/182
4	Humanitarian principles
5	Armed or military escort for humanitarian convoys
6	Humanitarian negotiation

■ ■ ■

1 International Humanitarian Law (IHL)

In situations of international and non-international armed conflict, international humanitarian law applies. Under international humanitarian law, parties to conflict must protect and meet the basic needs of persons within their effective control. If they are unable or unwilling to do so, humanitarian actors have an important subsidiary role to play, and parties to conflict are obliged to allow and facilitate relief actions for this purpose. When negotiating for humanitarian access and protection of civilian populations and property in such situations, you can use IHL as the legal basis for humanitarian action. The 1949 Geneva Conventions recognize certain obligations on States parties to allow victims of armed conflicts to receive supplies that are indispensable to their survival. These obligations were further developed with the adoption of the Additional Protocols in 1977.

Legal obligations related to humanitarian access under international humanitarian law differ however according to the situation in which the relief operation has to be carried out.

In an international armed conflict, the obligation to provide assistance includes in particular:

- Free passage for consignments of certain objects necessary for the civilian population's survival;
- The Occupying Power's duty to ensure essential supplies to the population of territories it occupies. If its own supplies are inadequate, the Occupying Power must agree to relief provided by outside sources.

A State at war must accept impartial humanitarian relief schemes carried out without discrimination for the population on its own territory, subject to the agreement of the parties concerned. If those conditions are met, it would be wrong to refuse such relief schemes, which are regarded neither as interference in the armed conflict nor as hostile acts.

In a non-international armed conflict, relief actions which are of an exclusively

humanitarian and impartial nature and conducted without any adverse distinction must be allowed and facilitated by the parties to the conflict subject to their right of control. It is now generally recognized that the State must authorize purely humanitarian relief operations if it is not in a position to assist the affected population itself.

Remember!

☐ The primary obligation to meet a population's basic needs lies with the Government or the party to the conflict with control over the population. Access to victims and vulnerable people is determined by the applicable international and the country's legal framework. Thus humanitarian action is subject to national and international laws in force in that country.

☐ IHL also provides for protection of humanitarian staff.

2 | International instruments and guidelines to facilitate international relief

Model Customs Agreement between the UN and the Government

Such an agreement typically contains provisions to expedite customs clearance procedures. These include:

– Simplified documentation and inspection procedures.

– Temporary or permanent waiving of duties and taxes on imports of relief items and equipment of relief personnel, UN agencies and accredited NGOs.

– Arrangements for clearance outside official working hours and locations.

Once signed, the agreement covers all UN-led humanitarian assistance operations and is automatically applied by all national customs offices at border-crossing points.

Guidelines for the Domestic Facilitation and Regulation of International Disaster Relief and Initial Recovery Assistance (2007)

Theses non-binding guidelines (also known as IDRL Guidelines) were developed by the IFRC and adopted by the State parties to the Geneva Conventions. They provide guidance to States to improve their domestic legal, policy and institutional frameworks concerning international disaster relief and initial recovery assistance. They cover issues such as issuing visas to humanitarian personnel; work permits; customs clearance and duties; overflight and landing rights; taxation; and domestic legal personality. While primarily designed as a preparedness tool for legal reforms before disasters strike, once a disaster strikes the Guidelines can be used as an advocacy document, as an expression of international consensus on how to deal with the most common regulatory issues.

Tampere Convention on the Provision of Telecommunication Resources for Disaster Mitigation and Relief Operations (2005)

The Convention calls on Governments to remove or reduce regulatory barriers that impede the installation and operations of telecommunication resources, and to safeguard immunities of humanitarian personnel who provide telecommunication assistance.

Revised Kyoto Convention on the Simplification and Harmonization of Customs Procedures (1999)

This Convention covers all aspects of customs legislation. It provides as a "recommended practice" that States exempt "[g]oods such as foodstuffs, medicaments, clothing and blankets sent as gifts to an approved charitable or philanthropic organization for distribution free of charge to needy persons by the organization or under its control[.]". It provides for a mixture of binding and recommended steps to speed the clearance of relief consignments.

Convention on Temporary Admission ("Istanbul Convention", 1990)

This instrument was adopted to consolidate the provisions of a number of conventions concerning "temporary admission", i.e., the waiver of import duties and taxes and simplification of documentation for the temporary import of specific types of items. It provides that relief equipment and items (such as medical, surgical and laboratory equipment, vehicles, blankets and tents) may be imported free of customs duties or charges, provided they are intended to be re-exported.

Convention on International Civil Aviation ("Chicago Convention", 1944)

This is not a specific instrument concerning transport and disasters, but has provisions of direct relevance. It requires State parties to "facilitate the entry into, departure from and transit through their territories of aircraft engaged in relief flights performed by or on behalf of international organizations recognized by the UN or by or on behalf of States themselves and shall take all possible measures to ensure their safe operation." It also calls on States to "ensure that personnel and articles arriving on relief flights […] are cleared without delay."

3 | General Assembly Resolution 46/182

The General Assembly Resolution *Strengthening of the coordination of humanitarian emergency assistance of the United Nations (A/RES/46/182 of 19 December 1991)* stresses the importance of humanitarian aid to assist victims of disasters and other emergencies, and should be provided with the consent of the affected country. It also calls upon States to facilitate the work of humanitarian organizations.

4 | Humanitarian principles

Humanitarian principles govern the conduct of humanitarian actors. Compliance with the principles is important to establish the strictly humanitarian character of relief activities and, therefore, obtain acceptance of and consent for them. [23] They are:

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23 The central role of these principles for humanitarian action was stated in UN General Assembly Resolution 46/182 (1991). General Assembly Resolution 58/144 (2004) added independence as another important principle underpinning humanitarian action. These four principles are based on those originally adopted in the Fundamental Principles of the International Red Cross and Red Crescent Movement, proclaimed by the twentieth International Conference of the Red Cross and Red Crescent, Vienna, 1965, and subsequently referred to by the humanitarian community more generally.

HUMANITY	Human suffering must be addressed wherever it is found. The purpose of humanitarian action is to protect life and health and to ensure respect for the human being.
IMPARTIALITY	Humanitarian action must be carried out on the basis of humanitarian need alone, giving priority to the most urgent cases of distress and making no distinctions on the basis nationality, race, religious beliefs, class or political opinions.
NEUTRALITY	Humanitarian actors must not take sides in hostilities or engage in controversies of a political, racial, religious or ideological nature.
INDEPENDENCE	Humanitarian action must be autonomous from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented.

5 | Armed or military escorts for humanitarian convoys

What are they?

Escorts used at the DO's discretion to protect staff and assets of UN agencies, funds and programmes. Examples of escorts are:

- UN forces conducting peace operations, whose actions are governed by Security Council decisions
- Other international forces
- State forces

Deployment of armed escorts is subject to a Security Risk Assessment/Security Risk Management process that considers, but is not limited to, the following criteria:

- Sovereignty: national authorities or local controlling authority is unwilling or unable to provide a secure environment.
- Need: the level of humanitarian need is such that the lack of humanitarian assistance would lead to unacceptable human suffering.
- Safety: armed or military escorts would provide the credible deterrent needed to enhance the safety of humanitarian personnel and the capacity to provide assistance to intended beneficiaries without compromising the security of beneficiaries and other local populations.
- Sustainability: the use of armed or military escorts would not compromise humanitarian organization's longer-term capacity to fulfil their mandate safely and effectively.

Armed escorts may be used as a deterrent measure in a situation where levels of insecurity, such as threats and attacks against humanitarian personnel, facilities and assets, interfere with efforts to address critical humanitarian needs.

What is their purpose?

To protect humanitarian aid workers from harassment and armed attack, and to provide security for the delivery of humanitarian aid and services.

Who can request them?

The DO, after consultation with the SMT and as advised by UNDSS.

Remember!

☐ Avoid large-scale involvement of military personnel in the direct delivery of humanitarian assistance.

☐ When deployed, humanitarian convoys must retain their civilian nature and character. Other than the vehicles, weapons and personnel providing the escorts, the convoys should remain exclusively humanitarian.

☐ Deployed UN Humanitarian Civil-Military Coordination Officers can act as an intermediary between the humanitarian community and the military when requests for military or armed escorts are considered.

☐ Non-UN organizations have their own rules and decision-making process regarding the use of armed or military escorts for humanitarian convoys.

6 Negotiation analysis and strategy

The nine steps presented here provide a generic framework that can be applied to humanitarian negotiations.

PHASE I PREPARATION Coordinate Approach, Decide on Strategy, and Gather Information		
1	Coordinate approach with humanitarian partners	Coordinate and liaise with humanitarian partners on overall approach to humanitarian negotiations. Involve a Security Advisor. Identify by consensus a senior-level, experienced lead negotiator.
2	Decide on objectives and strategy	Clearly identify the reasons for entering into negotiations and the desired outcome(s). Use humanitarian principles, policies and elements of international law as the basis for identifying a "bottom line". Ensure that the various humanitarian, development and human rights agencies have achieved consensus on the objectives of the negotiation. Consider possible alternatives to a negotiated agreement that could be pursued if the negotiations are unsuccessful.

3	Learn about and analyse your negotiating partner	Identify the main representatives/interlocutors. Learn about the other party's motivations; structure; principles of action; interests; constituency; needs; and cultural and ethnic influences. Assess the level of control exerted over a given population/territory.

PHASE II SEEKING AGREEMENT
Process, Issues, Options, Outcomes

4	Build consensus on the process of negotiations	Build consensus among all parties to the negotiation on how the negotiation process should unfold (for example, on the primary and alternate representatives from each party, the location to be used for the negotiations and the number of meetings to be held). Agree on procedures for revising the process during the negotiations.
5	Identify the issues	Once the parties have agreed on the negotiation process, identify the substantive issues to be discussed.
6	Develop options	Use humanitarian principles, international law and humanitarian policies to assist in developing options and as criteria for evaluating the available options.
7	Seek agreement	Seek agreement on the option(s) that best meet humanitarian objectives.

PHASE III IMPLEMENTATION
Define Criteria for Implementation, Follow-up

8	Define criteria for implementation	Once an outcome or solution has been agreed, focus on defining criteria for implementing the outcome such as specification of roles and time frame (who does what, when); reference benchmarks against which to measure implementation; safeguards for the safety and security of humanitarian workers; and procedures for resolution of disputes arising during implementation.
9	Follow-up: monitoring and relationship building	Identify mechanisms to facilitate joint monitoring of implementation. Identify process-related actions that will help to maintain communications.

Remember !

☐ Present the issue of access as linked to a population's humanitarian need rather than to a particular territory.

☐ Make it clear to the armed group, and to external parties, that access negotiations do not confer recognition of the armed group or of its control over a population or territory.

☐ In addition to their intended positive humanitarian impacts, humanitarian negotiations can have unintended or unanticipated consequences for humanitarian organizations :

- Changes in the perception of neutrality and impartiality of the humanitarian actors engaged in negotiations : negotiating with armed groups can generate or reinforce a perception by other armed groups, the population, the host government, and/or other States that the humanitarian organization is biased or lacking impartiality.

- Impacts on humanitarian actors' security : entering into negotiations with an armed group can have potentially serious consequences for the security of the negotiators themselves, colleagues, other humanitarian organizations, and the populations the humanitarian actors serve.

- Third-party influence and 'sanctions' on humanitarian negotiators : host country governments, third-party States, regional organizations and third-parties external to the humanitarian negotiations may attempt to exert pressure on or sanction the humanitarian organization to limit or cease contacts with armed groups, or may attempt to influence the humanitarian negotiations in pursuit of political objectives. Host country governments may see the negotiation legitimizing the armed group (especially when some armed groups are labeled as "terrorist" groups), or as recognizing de facto its territorial control.

Where to go for more information?

Guidelines on Humanitarian Negotiations with Armed Groups, United Nations, 2006.

10. Promote the respect of international humanitarian and human rights law

What is your role?

– *Encourage the Government to protect, promote and fulfil the rights of its population in accordance with national and international legal instruments, and assist them in doing so.*
– *Lead and coordinate the development of an advocacy strategy and monitor implementation.*
– *Coordinate the advocacy efforts of relevant organizations seeking, when necessary, outside support..*

When and how?

WITHIN 24 HOURS	Encourage the Government to respect, protect and fulfil the rights of its population in accordance with its national, regional and international obligations by invoking applicable **domestic, regional** and **international legal instruments,** including in respect of populations with special needs.
	Lead and coordinate the development of an **advocacy strategy** for dealing with protection issues.
	Encourage the Government to appoint focal points on protection and human rights.
Throughout the response	Advocate adherence by all parties to the rights of IDPs as outlined in the *UN Guiding Principles on Internal Displacement.*
	Monitor the implementation of the advocacy strategy and coordinate advocacy efforts of relevant organizations.
	When necessary, seek outside support : Request the ERC to bring major protection concerns to the attention of the Security Council and the Secretary-General. Ask OHCHR to bring major protection concerns to the attention of relevant human rights monitoring mechanisms.
	Request support and/or **surge capacity** from the OHCHR Country or Regional Office.

Remember!

- ☐ The RC or HC is not expected to carry out all required advocacy measures personally; s/he should coordinate the advocacy efforts of relevant organizations and carry out those initiatives that go beyond the remit of any single organization.

- ☐ The RC or HC is not expected to undertake human rights monitoring, investigation or casework.

- ☐ Human rights monitoring mechanisms to be called on as resources in advocacy efforts include the Human Rights Council, the Universal Periodic Review, Treaty bodies, and Special Procedures (including Special Rapporteurs).

- ☐ Security Council resolutions adopted under Chapter VII of the UN Charter are binding to States.

- ☐ Consult with the ICRC on International Humanitarian Law matters.

Which tools to use?

1 | Humanitarian principles

2 | Domestic Law

3 | Regional Instruments

4 | International Law

5 | Key protection principles

6 | Advocacy strategies

☐ ☐ ☐

1 | Humanitarian principles

See section III (Response), chapter 9 (Facilitate Humanitarian Access), « 4. Humanitarian principles», page 86.

2 | Domestic Law (when consistent with international standards and principles)

The domestic legal system is the principal framework for upholding the rights of person in a given country. It is the State's responsibility to protect, promote, and fulfil these

rights. Rights may be defined in a variety of legal instruments including the national constitution, legislation, policies and regulations.

3 | Regional Instruments

Most regions have general human rights conventions, such as the European Convention on Human Rights, the American Convention on Human Rights, the African Charter on Human and Peoples' Rights and the Arab Charter on Human Rights. Regions often also have specific conventions related to the protection of a particular group or a particular human right. An example is the AU Convention for the Protection and Assistance of Internally Displaced Persons in Africa.

4 | International Law

International law governs the conduct of States towards each other and in respect of persons within their jurisdiction. The primary sources are treaties and customary international law:

International Human Rights Law (IHRL) is applicable at all times, whether in time of peace, of state of emergency (e.g. natural disaster) and/or armed conflict. The precise obligations of States vary from treaty to treaty but in general, States parties can be regarded as obliged to 'respect', 'protect' and 'fulfill' the rights contained within the treaty. The Universal Declaration of Human Rights, together with the International Covenant on Civil and Political Rights and its two Optional Protocols, and the International Covenant on Economic, Social and Cultural Rights are commonly known as the International Bill of Human Rights.

International Humanitarian Law (IHL) is the body of law that applies automatically in case of an international or non-international armed conflict. It is a set of rules that seek, for humanitarian reasons, to limit the effects of armed conflict by protecting those who are not, or are no longer, directly participating in hostilities and by regulating the means of warfare, in particular weapons, and methods of warfare, such as military tactics. A major part of IHL is contained in the four Geneva Conventions of 1949 and their Additional Protocols of 1977. Many treaties and sets of rules add to these such as the Biological Weapons Convention, the Chemical Weapons Convention, the Ottawa Convention on anti-personnel mines and the Optional Protocol to the Convention on the Rights of the Child on the involvement of children in armed conflicts.

International Refugee Law deals specifically with the rights and protection of refugees. The 1951 Convention Relating to the Status of Refugees and its 1967 Protocol are the foundation of international refugee law.

International Disaster Response Laws, *Rules and Principles (IDRL)* The IDRL Guidelines are a set of recommendations to Governments on how to prepare their disaster laws and

plans for the common regulatory problems faced in international disaster relief operations. They are based on and summarize the provisions of existing international legal and policy documents. The Guidelines advise Governments as to the minimal quality standards they should insist upon in humanitarian assistance and the types of legal facilities aid providers need to do their work effectively. The Guidelines also encourage States to reduce legal barriers to relief assistance that originates within or passes through their territory to a disaster-affected country in order to avoid delays.

The Guiding Principles on Internal Displacement are not legally binding. However, they reflect and are consistent with international human rights law and international humanitarian law which are binding on States (and in the latter case, on non-State actors). The Guiding Principles have become widely accepted at international, regional and State levels. An increasing number of States have incorporated them into national legal and policy frameworks. Heads of State have recognized the Guiding Principles "as an important international framework for the protection of IDPs."[24]

International Law becomes binding when:

- It is codified through international treaties. While their name may vary (charters, protocols, covenants or agreements), legally speaking there is no difference: they are binding contracts between the parties that have ratified them. Treaties usually require two separate procedures to come into force: signature followed by ratification. While signature does not bind a State, it does oblige the State to behave in a way that does not defeat the object and purpose of the treaty pending the State's ratification of the instrument.

- It becomes customary international law, i.e. a set of unwritten rules created by the practice of States and carried out in the belief that it is under a legal obligation to behave in that way. The same rule can sometimes be found in a treaty and form part of customary law. Customary rules are binding on all States, regardless of whether the State ratified a treaty setting out the same rule. However, while treaty rules are clear and it is straightforward to determine what States are bound to by a particular treaty, it is harder to determine whether a particular rule has attained customary law status, as well as its precise content. Examples of customary norms are prohibition of slavery, prohibition of torture, prohibition of genocide, prohibition of indiscriminate attacks against the civilian population and prohibition of refoulement.

5 | Key protection principles

The IASC has adopted the following definition of protection: "all activities aimed at obtaining full respect for the rights of the individual in accordance with the letter and the spirit of the relevant bodies of law (i.e. human rights, humanitarian and refugee law)".

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24 See UN General Assembly Resolution 60/1 (2005) – 2005 World Summit Outcome.

The key protection principles are:

PARTICIPATION	Humanitarian action is about working directly with affected States, institutions, groups and individuals to identify existing structures, frameworks, positive coping mechanisms, felt needs and threats and gaps. It is also about jointly developing responses using all existing capacities to overcome the problems. Affected States, institutions, individuals and groups should not only be informed but incorporated into decision-making processes. Meaningful participation is an important means of fostering an independent capacity and supporting the dignity of those at risk.
NON-DISCRIMINATION	Humanitarian assistance is given on the basis of need alone, regardless of nationality, ethnic origin, religion, class, political opinion, age, gender or on any other ground. A holistic needs analysis should therefore accompany any action to ensure non- discrimination in favour or against any one special group. All actors engaged in humanitarian assistance have a collective responsibility to ensure that no single group is overlooked. When urgent needs exceed capacity, triage prioritization must be non-discriminatory and must balance resources with existing needs.
CAPACITY-BUILDING	States are the primary responsible actors for ensuring the protection of populations and individuals in their territory. As such, any activity that humanitarians engage in, from substitution to denunciation, must have the intent of building capacity of the responsible actors to assume the responsibility awarded to them by law.
DO NO HARM	Actions as well as inaction, can have unintended negative consequences. Therefore, humanitarian actors need to ensure that the manner in which their assistance is administered and delivered does not increase a group's or person's safety and security risks. Humanitarian actors need to be keenly aware that power struggles may arise over humanitarian resources both within the affected population and with neighbouring groups. Before taking any action, humanitarian action must anticipate the consequences, assess potential risk factors and take measures to eliminate or mitigate such risks.

6　Advocacy strategies

An advocacy strategy for protection should target stakeholders who have or can have influence on the protection concerns of affected populations with the aim of bringing about a change. Different target groups may require different strategies. The RC or HC should select the relevant advocacy strategy according to the situation. The following is a succinct summary of different types of advocacy.

Strategy	Is achieved through	Benefits	Risks
Informal advocacy	Talks and discussions among key stakeholders.	Can be done at all times.	Can impact other stakeholders.
Formal advocacy	Position statements, analytical documents or letters to the authorities, humanitarian organizations and community leaders.	Helps ensure accuracy in the wording of advocacy messages, thereby countering rumours. Can have a multiplying effect because it can be disseminated widely.	Can backfire and cause irrevocable damage (e.g. once a wrong message has been publicized).
Soft advocacy	Awareness-raising, training activities and quiet diplomacy.	Can persuade stakeholders to introduce change or expand the use of good practices.	Is too slow for serious protection risks that require immediate action.
Hard advocacy	Public reports, press releases, personal testimonies and denunciation letters, even if confidential.	Can be effective in denouncing corruption, discrimination or harmful treatment of affected populations.	Can disrupt dialogue, prompt a denial of humanitarian access, or heighten the risks to the affected populations or humanitarian staff.

Quiet advocacy	Confidential letters denouncing discrimination against individuals.	Can allow authorities and other relevant stakeholders to take corrective action and "save face".	Can discourage local advocacy groups from undertaking their own advocacy efforts, as they might feel isolated and therefore at greater risk.
		Can help maintain frank but discreet communication with both sides in a conflict.	Can undermine the trust of the local population, who may cease to regard humanitarian actors as impartial.
Public advocacy	Public awareness campaigns on human rights and sensitization of communities.	Can be instrumental in raising the profile of communities at risk, promoting awareness, and encouraging the involvement of civil society and the international community's commitment.	Can put at risk the necessary relationship of trust with the national authorities. Can jeopardize the image or operational capacity (including the security) of humanitarian action.

Where to go for more information?

Handbook for Protection of Internally Displaced Persons, Global Protection Cluster Working Group, 2007.

11. Lead and coordinate efforts against sexual exploitation and abuse

What is your role?

– Create and maintain an environment that prevents sexual exploitation and abuse.
– Ensure that a country-level action plan to address sexual exploitation and abuse is developed and implemented.
– Ensure that a victim assistance mechanism is operational.

When and how?

Throughout the response	Ensure that humanitarian staff and partners comply with the Secretary-General's Bulletin on Special Measures for Protection from Sexual Exploitation and Sexual Abuse as well as the Statement of Commitment on Eliminating Sexual Exploitation and Abuse by UN and non-UN Personnel.
	Ensure that a network on protection from sexual exploitation and abuse (PSEA) is operational and includes focal points from each agency. ⇨ If a peacekeeping mission is present, functions under your auspices and reports to you, include the Conduct and Discipline Unit in the PSEA network.
	Ensure that an **action plan on PSEA** is developed and implemented by the PSEA network.
	Ensure that the plan is endorsed by the HCT, in addition to the UNCT. ⇨ If a peacekeeping mission is present, liaise with the SRSG/RSG and the Conduct and Discipline Unit.
	Advocate for the plan to be endorsed by the Government and civil society organizations, when possible.
	Encourage all relevant stakeholders to adhere to the Secretary-General's Bulletin.
	Ensure that rumoured or 'in-the-air' allegations of sexual exploitation and abuse are dealt with appropriately. Liaise with the (S)RSG where mission personnel may be involved.
	Ensure that assistance mechanisms for victims of sexual exploitation and abuse in-country are operational. Task the PSEA network with putting these mechanisms in place.

Remember!

- Sexual exploitation means any actual or attempted abuse of a position of vulnerability, differential power or trust for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another. Sexual abuse means actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.

- Sexual exploitation and abuse (SEA) relate to the behaviour of humanitarian personnel and partners. During an emergency, local populations become more dependent on others for their survival, including humanitarian and peacekeeping personnel, and are thus more vulnerable to sexual exploitation and abuse.

- Humanitarian personnel are often in a position of considerable power over the local population. Because of this power dynamic, sexual relationships between international and national humanitarian personnel and the local population can constitute sexual exploitation. "Consent" is irrelevant, as true or "informed" consent requires an understanding of and ability to exercise the right to say "no". Beneficiaries may not know that they have the right to say "no" or that they are entitled to humanitarian assistance not conditioned on sexual favours.

- There are no exceptions to the prohibition of sexual activity with children. Sexual activity with people under the age of 18, regardless of the age of majority or age of consent locally, is prohibited. Mistaken belief in the age of the child does not constitute a defence.

- UN staff members and related personnel are obliged to report concerns or suspicions of SEA.

- Anonymous complaints, as well as complaints where the institutional affiliation of the alleged perpetrator is unidentified or unknown, should be treated as seriously as complaints where the identity is known.

- Addressing sexual exploitation and abuse requires the efforts of both human resources and programme personnel.

Good to know

1 | Action plan on PSEA

This action plan should include:

– *Engagement with communities*
  (a) Raise communities' awareness on the fact that UN staff, related personnel and other humanitarian and development workers are prohibited from engaging in SEA; that they have rights to humanitarian assistance not conditioned on sexual

favours; and how they can report SEA incidents.

    (b) Establish an easily accessible complaint mechanism (i.e. a system for receiving allegations or rumours of SEA) in each geographical area, including at the community level. A complaint mechanism should be common to all actors in a given locale, allow for a range of means of receiving complaints, be developed together with the communities and be confidential and safe.

– *Prevention*

    (a) Raise awareness of staff and related personnel of organizations participating in the UNCT and the HCT.

    (b) Develop codes of conduct addressing SEA where applicable.

– *Response*

    (a) Ensure that organizations have procedures for reporting and for investigating on SEA.

    (b) Implement the victim assistance strategy adopted by the General Assembly in December 2007.

– *Division of labor*

    (a) Agree with all relevant stakeholders on respective responsibilities for ensuring implementation of the action plan.

Where to go for more information?

Secretary-General's Bulletin on Special Measures for Protection from Sexual Exploitation and Sexual Abuse (ST/SGB/2003/13), 2003.

Statement of Commitment on Eliminating Sexual Exploitation and Abuse by UN and non-UN Personnel, 2006.

12. Manage media relations

What is your role?

- *Establish an emergency public information team to develop a crisis communications plan and agree on common messages.*
- *Regularly hold press conferences, briefings and interviews jointly with national authorities whenever possible.*

When and how?

WITHIN 24 HOURS	In consultation with the **HCT**, based on the **contingency plan** (if it exists):
	  – Establish an emergency public information team to develop a crisis communication plan.
	  – Agree on who speaks to the media
	⇨ If capacity within your office is limited, request **surge capacity** from OCHA.

	Hold a press conference. Whenever possible, do this jointly with national authorities.
	Issue a press release and/or an official statement.
WITHIN 72 HOURS	In consultation with the HCT, agree on the HCT's position, key advocacy messages, basic reference data/figures and sources. Upon agreement, request your PI Officer/team to develop Field Key Messages. Authorize the messages before issuance.
Throughout the response	Meet regularly with the national and international media (formally and informally) to give interviews and hold press conferences after any significant event (positive or negative), and depending on the size of the emergency, according to a regular schedule. ⇨ If you cannot attend, designate an authorized spokesperson, who may be either a PI person or a relevant member of the HCT.
	Regularly issue press releases and/or fact sheets as appropriate.
	Ensure that adequate information on the status of the response reaches the affected populations in order to increase their understanding of the relief efforts, allow them to anticipate events and limit their anxiety.
	In consultation with the HCT, regularly assess the HCT's position in light of the changing situation. If necessary, revise key advocacy messages.
	Monitor the implementation and revision of public information strategies and/or the crisis communication plan.

Remember!

- ☐ The RC or HC has an important role in giving a human face to international relief efforts.

- ☐ A press release is useful for putting information on record. In a fast-moving situation, such as an emergency where many reporters are on-site seeking information, a press conference may be more appropriate.

- ☐ In a constantly evolving emergency situation daily press conferences or briefings may help limit the number of requests for separate interviews.

- ☐ In addition to formal interviews and press conferences, consider informal press briefings, especially upon your return from a field visit.

- ☐ Always be prepared with the latest information, data and maps in case the press requests such information.

- ☐ Be prepared for constant scrutiny of every action you take.

- ☐ Include senior PI officers in discussions and decision-making on the humanitarian response, especially regarding media and communication issues.

- ☐ Field staff, especially the national staff, are the backbone of the UN's programmes and operations and the best way to reach out to the public. Strong internal communications is the most effective way to include them and make lasting impacts.

- ☐ Identify two spokespeople for immediate response, preferably one English speaker and one local-language speaker.

- ☐ National and local media, especially the radio, are important to convey messages to the population and should not be overlooked.

Good to know

1. Do's and don'ts when talking to the press

2. Field Key Messages

3. Media platforms

4. UN Communications Group (UNCG)

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1 Do's and don'ts when talking to the press

- Stick to the facts, don't speculate and do not allow yourself to be led

- Avoid UN jargon

- Never say "no comment"

- Reiterate that all actions are geared towards assisting affected populations

- Do not leave an information vacuum

2 Field Key Messages

What are they?

They articulate the official position of the RC or HC and the HCT. They are a valuable information and advocacy tool when communicating with external partners such as the media, donors, regional entities, civil society and the host Government. Key messages typically include a Questions and Answers and if-asked guidance (not to be shared outside the UN) on difficult issues or background on controversial issues.

Field Key Messages should be developed for new emergencies, major changes in existing emergencies or when strategic communication is necessary. The RC or HC decides whether the situation merits Field Key Messages and signs off on them. They are developed by a PI Officer/team in consultation with the RC or HC and the OCHA Head of (Regional) Office (if present). HCT members may build on the messages by referring to their own mandates.

What is their purpose?

To shape communications so that the HCT speaks with a unified voice in highlighting urgent needs; articulate how humanitarian partners can help; advocate for further resources to do so; reiterate humanitarian principles; and defuse controversial issues.

Who can request them?

The RC or HC, the ERC or OCHA headquarters. In practice, the OCHA office will suggest their development to the RC or HC.

3 Media Platforms

There are several ways of getting information to the news media. Press conferences, press releases, interviews and media missions are some of the most common. Information may also be channelled through:

- *Noon briefings of the Office of the Spokesperson of the Secretary-General*: Gives serious profile to a crisis using the voice of the Secretary-General. It requires inputs from the field by 11.00 a.m. New York time.
- *UN News Centre* (www.un.org/News/): Provides news coverage of UN developments. It is updated throughout the day and synthesized into a daily print product called *UN Daily News.*
- *Briefings in Geneva*: OCHA participates in press briefings every Tuesday and Thursday; field colleagues may participate as well. This is a good opportunity to highlight neglected emergencies.
- IRIN (www.irinnews.org): The UN equivalent of a news wire with radio and video capabilities.
- *ReliefWeb* (www.reliefweb.int): In an emergency, ReliefWeb will create a specific page to host all documents, maps and information from the UN and partners.
- *AlertNet* (http://www.alertnet.org): A humanitarian news network by Reuters Foundation.

4 | UN Communications Group (UNCG)

What is it?
The common communications platform of the United Nations system comprising the UN's public information offices.

What is its purpose?
To strengthen inter-agency cooperation in public information and communication and to increase the media profile of UN activities at the national level. In an emergency, the group follows the standard operating procedures for the UN system to "communicate together in times of crisis".

Remember!
☐ A UNCG is established in most countries where there is a UNCT. The United Nations Information Centre (UNIC) plays a supporting role as the Secretariat of the UNCG. With its knowledge of the local media and other key constituencies, and its ability to address partners in their own language, UNIC can enhance the work of the UNCG.

☐ If a UN Communications Group has already been established in-country, it will develop and implement a crisis communications strategy for the UN.

☐ In a disaster, OCHA works with the UNCG/UNIC to ensure the RC or HC has a voice, and that humanitarian actors are represented.

13. Lead and coordinate transition from response to recovery

What is your role?

- Lead the HCT and UNCT in establishing indicators to identify when to phase down humanitarian operations and scale up recovery and development programming.
- Lead the HCT and UNCT in developing a phase-down strategy for humanitarian operations.
- In collaboration with the UNCT ensure appropriate links to national planning efforts, longer-term strategic planning efforts of development partners and, where appropriate, strategic planning efforts of the UN peacekeeping or peacebuilding mission.

When and how?

When appropriate	In consultation with the **HCT** and UNCT, and the Government whenever possible, agree on planning indicators to be used in the annual strategic planning cycle to identify when to adapt and eventually phase down humanitarian operations and scale up longer-term recovery and development programming.
	In consultation with the HCT and UNCT, national partners, multilateral institutions (e.g. World Bank, European Commission), and the **Early Recovery Network** and/or **Early Recovery Cluster**, decide on the need for a **Post-Disaster Needs Assessment and Recovery Framework (PDNA-RF)** or a **Post-Conflict Needs Assessment and Transitional Results Framework (PCNA-TRF.)** ⇨ If necessary request the temporary deployment of experts (**surge capacity**).
	Lead the HCT and UNCT in supporting the Government-led PCNA or PDNA and promote communication among stakeholders involved in the assessment.
	In consultation with the HCT and UNCT, develop a **phase-down strategy for humanitarian operations** that supports national objectives.
	Scale up recovery and development programming and enhance RC office capacity as required.
At the end of the emergency	Ensure an appropriate handover of responsibilities to the RC office.

Remember!

- All transition planning should support national objectives and complement the longer-term planning of UN and development actors.

- Consultation with Government and humanitarian and development partners is critical to determine when it is appropriate to phase down humanitarian operations and shift the programme focus to longer-term recovery and development.

- Transition planning and early preparation will allow recovery and development partners to increase their capacity in a timely fashion to allow for a seamless transition.

- Dialogue with donors is essential to ensure that appropriate funding is secured for recovery and development initiatives.

- Through three post-crisis cooperation agreements (UN/WB, UNDG/WB, UNDG/WB/EC), the UN, UNDG, the World Bank and the European Commission decided to identify opportunities for joint initiatives, participate in relevant in-country planning processes (i.e. PCNA and PDNA), support the development and use of shared benchmarks/results frameworks, use common methodology for needs assessment, and adopt a coordinated approach to recovery and planning.

Which tools and services to use?

1 Surge capacity for transition to recovery

2 Post-Conflict Needs Assessment and Transitional Results Framework (PCNA-TRF)

3 Post-Disaster Needs Assessment and Recovery Framework (PDNA-RF)

4 Phase-down strategy for humanitarian operations

1 | Surge capacity for transition to recovery

TYPE	REQUESTED THROUGH	TYPICAL TASKS
Strategic Planner/Head of RC office	UNDOCO	Support the RC and the UNCT with strategic planning for recovery activities. Assist the Government in developing a transitional appeal, as required. Ensure linkages between humanitarian and development activities, in partnership with OCHA.
(Early) Recovery Adviser	UNDP/ BCPR	Enhance capacity in the RC office and UNCT for early recovery planning.

For more information on surge capacity for early recovery see section III *(Response)*, chapter 2 *(Assessing the Capacity of your office)*, p.31.

2 | Post-Conflict Needs Assessment and Transitional Results Framework (PCNA-TRF)

What is it ?

The PCNA is a multi-stakeholder joint conflict analysis and needs assessment typically used in post-conflict contexts as international response shifts from relief to longer term recovery.

The TRF is the results framework produced at the conclusion of a PCNA exercise. It defines the key milestones in the terrain mapped by the PCNA : it lays out a selective group of priority actions and outcomes and their financial implications.

What is its purpose ?

To ensure that recovery programming is based on common contextual analysis of the key elements of peacebuilding, and that it supports national priorities and planning processes.

Who requests it ?

The Government.

Who participates ?

The process should be inclusive, involving key actors such as the UNCT and the HCT, national partners and multilateral institutions such as the World Bank and the European Commission.

Consult with DOCO headquarters on the modalities for a PCNA.

☐ The PCNA methodology is highly flexible and can be tailored to the situation on the ground and used to form the basis on which national strategies for recovery are formulated.

☐ Depending on the Government's role, the PCNA can be a peacebuilding exercise in itself. However, it can also introduce challenges, particularly when a rigorous conflict analysis is conducted.

☐ A PCNA tends to generate a high profile and donor interest in the resulting strategic TRF. However, it can also be a heavy, slow and sometimes politicized process.

☐ Begin planning for recovery as soon as possible, but always be aware of the potential political signals that could be sent by undertaking a PCNA.

☐ A PCNA-TRF should build on existing analysis and response strategies developed during the humanitarian phase, including any early recovery analysis or action plan.

Where to go for more information?

Joint Guidance Note on Integrated Recovery Planning using Post Conflict Needs Assessments and Transitional Results Frameworks, United Nations Development Group and World Bank, 2007.

3 | Post-Disaster Needs Assessment and Recovery Framework (PDNA-RF)

What is it?

The PDNA is a Government-led exercise with integrated support from the UN, the European Commission, the World Bank and other national and international actors. It combines into a single, consolidated report information on the physical impacts of a disaster; the economic value of the damages and losses; the human impacts as experienced by the affected population; and the resulting early and long-term recovery needs and priorities. A PDNA is usually completed within four to six weeks.

The RF is the principal output of a PDNA. It provides a basis for the prioritization, design and implementation of a coherent set of recovery programmes.

What is its purpose?

To outline early to long-term recovery needs, priorities and resource requirements. The PDNA-RF should be based on shared assessment and resulting joint priorities following a natural disaster. It should also support an early focus on the root causes of vulnerability and seek to incorporate risk reduction into the recovery process.

Who requests it?

The Government.

Who participates?

National partners, UN agencies, IASC members, the World Bank, the European Commission and other donors. It can easily be expanded to include all key actors.

Remember!

☐ Consult with BCPR headquarters on the modalities for a PDNA.

☐ As with the PCNA, the PDNA's strengths lie in its inclusive, well-developed methodology and potential for strong profile with donors. It is also similar to the PCNA in terms of the scale of the process.

☐ A PDNA complements rather than duplicates initial and rapid assessments conducted by humanitarian actors. It analyses these assessments to obtain recovery-related data.

☐ A PDNA is preceded by a planning mission, which usually takes three days. This is usually followed by a one-day orientation meeting with all stakeholders and one to two days of sectoral training/orientation.

4 Phase-down strategy for humanitarian operations

This strategy should include:

– Appropriate links to:

  • National planning efforts, such as poverty reduction strategies.

  • Strategic planning efforts of the UN peacekeeping or peacebuilding mission, such as the Integrated Strategic Framework (ISF).

  • Longer-term strategic planning efforts of development partners, such as the CCA-UNDAF.

– Developing closer collaboration with development partners (World Bank, Peacebuilding Commission) as appropriate to ensure coherent planning.

– Reviewing how to adapt or replace coordination tools, services and mechanisms with new ones to support longer-term recovery and development programmes. This includes determining the phase-out of clusters, deciding on the HCT's future and deciding if a longer-term recovery coordination mechanism is required in-country.

– Overseeing OCHA's phase down and, where appropriate, its merger into a Humanitarian Support Unit within the RC Office to coordinate response to residual humanitarian needs.

– Making recommendations to the ERC on the timing for disestablishing the HC position.

1 | Integrated Strategic Framework (ISF)

2 | Peacebuilding Fund for Recovery

◼ ◼ ◼

1 | UN Integrated Strategic Framework (ISF)

What is it?

A strategic planning framework for UN presences operating in conflict and post-conflict situations where there is a peacekeeping operation or political mission/office. Since ISF is a new tool for which guidance is currently being developed, it is not yet clear precisely how it should link to other planning frameworks. The ISF should draw upon existing analyses and planning frameworks, including the CHAP, CCA/UNDAF and PCNA/PDNA where these exist. An existing in-country tool, such as an UNDAF or an integrated peacebuilding strategy, could be adapted to fulfill the minimum standards for an ISF.

In principle, an ISF should be preceded by a Strategic Assessment. If the latter has not been done, the ISF development process should include an analytical exercise that analyses the root causes of conflict, and an articulation of strategic priorities for the UN system.

What is its purpose?

To ensure a shared vision of the UN's strategic objectives and a set of agreed results, timelines and responsibilities for the delivery of tasks critical to consolidating peace.

Who participates?

It is primarily an internal UN exercise. Although other stakeholders may be involved in the analysis phase, the planning framework itself is exclusive to the UN.

Remember!

☐ An ISF should be light, flexible and genuinely strategic. While it may be accompanied by associated work plans, results in the ISF itself are pitched at the expected accomplishment or outcome level, and should result in a document of 10-15 pages. Implementation monitoring will necessarily remain at a broad, strategic level.

☐ The planning time frame is generally expected to be 12 months, though this can vary according to country context.

☐ It is not yet clear to what extent costing exercises will accompany an ISF, though this is likely to vary among countries.

2 | Peacebuilding Fund for Recovery (PBF)

What is it?

A Multi-Donor Trust Fund managed, on behalf of the UN Secretary-General, by the Assistant Secretary-General for Peacebuilding Support and supported by the Peacebuilding Support Office. UNDP is the fund's Administrative Agent. The PBF provides funding through two mechanisms: the Immediate Response Facility (IRF) and the Peacebuilding Recovery Facility (PRF). Its initial funding target was set at $ 250 million.

What is its purpose?

To strengthen Government institutions of countries emerging from, or at risk of relapsing into, violent conflict, and enhance their capacity to sustain the peace process by providing funds when other funding mechanisms may not yet be available.

Who benefits?

Countries on the agenda of the Peacebuilding Commission (PBC) receive funding. Countries not on the agenda may receive funding following a declaration of eligibility by the Secretary-General. PBF funding is disbursed directly to recipient UN organizations. NGOs and community based organizations/civil society organizations cannot access the fund directly. However, they may implement projects through partnership arrangements with eligible agencies and organizations.

Who can request it?

The RC or HC and eligible organizations can submit proposals through the office of the most senior UN representative in-country.

Remember!

☐ Proposals should satisfy one or more of the following criteria:

- Respond to imminent threats to the peace process.
- Support peace agreements and political dialogue.
- Build or strengthen national capacities to promote coexistence and peaceful conflict resolution.
- Stimulate economic revitalization to generate peace dividends.
- Re-establish essential administrative services.

Where to go for more information?

PBF website: http://www.unpbf.org

CROSS-CUTTING ISSUES

Age

Why is it important in an emergency?

In an emergency, affected individuals range from newborns to older people. Various age groups are affected differently by the crisis and have different strengths/capacities to cope. Children, youths and older people are entitled to equal protection under international human rights and humanitarian law. Building awareness about the rights, contributions and needs of these groups is the first step in reducing their marginalization during and after crises and enabling them to continue supporting themselves and others.

There is no agency in the UN system responsible for ensuring the inclusion of older people in humanitarian crises. The mainstreaming of older people is continually overlooked due to a lack of technical expertise, knowledge of needs and contributions of older people during emergencies, and a scarcity of disaggregated data.

What is your role?

- Ensure that clusters identify and address the needs of marginalized groups such as young adults and the elderly in all aspects of risk reduction and emergency preparedness, relief and recovery interventions.

Remember!

☐ An inter-generational response to a humanitarian crisis considers the relationships between different age groups, including their mutual support strategies and levels of interdependence.

☐ Older people can be overlooked during emergencies due to low visibility and participation. This is made more acute by the lack of data on the age distribution of the affected populations and insufficient consultation with all community members. Elderly people who are house-bound are especially likely to be overlooked at the rapid-assessment stage.

☐ Include young people and the elderly as vulnerable and resource.

Diversity

Why is it important in an emergency?

Emergencies affect people differently. Those most marginalized and under-served in an emergency are often those who are not part of the majority population, i.e. ethnic and religious minorities, people with disabilities, linguistic minorities, female heads of household, child-headed households, and unaccompanied and separated children. These groups and individuals may not have the same support structures to help them cope. Their access to protection and services may be hindered by their differing abilities, by the authorities or by the majority population. Profiling the affected population can help

identify those most marginalized and at risk. It can also help inform programme responses to meet their needs and ensure their access to services and protection.

What is your role?

- Ensure that population profiling exercises capture existing diversity within the affected population and that assumptions are not made based on presumed homogeneity.

Remember!

☐ Humanitarian response must consider the differing needs and requirements of marginalized groups and individuals with specific needs. Programmes need to be designed and adapted accordingly so as not to put diverse groups at risk of further exclusion.

☐ Participatory assessments must be representative of the affected population and include all groups, reflecting existing diversity.

☐ Programmes must promote equal access, equal protection and equal opportunity for all those affected.

Environment

Why is it important in an emergency?

Emergencies and emergency operations often have a direct or indirect, short- or long-term negative impact on natural resources and the environment (particularly on water management, hazardous waste, agricultural land, forestry and wildlife). This in turn can have an immediate to long-term effect on the life, health, welfare or livelihoods of affected populations, as well as undermine the delivery of humanitarian assistance. Disaster vulnerability is often driven by environmental degradation. Incorporating environmental considerations at the outset of humanitarian operations can ensure that the same vulnerabilities are not rebuilt.

What is your role?

- Ensure that the potential environmental impacts of emergencies and emergency operations are assessed in all preliminary contingency planning scenarios, and that capacity and expertise to conduct environmental impact assessments are identified.

- Immediately following an emergency, liaise with the relevant national authorities, the Joint UNEP/OCHA Environment Unit (JEU) and UNEP Post-Conflict and Disaster Management Branch to discern the need for specialized assistance.

- Ensure that an environmental impact assessment is conducted as soon as possible after a disaster.

- Advocate for recovery strategies that are environmentally friendly and lead to sustainable solutions.

Remember !

☐ Simple environmental considerations – such as mangrove repletion on coastlines or consideration of post-conflict natural resource exploitation patterns – can significantly mitigate against future disasters and conflicts.

☐ Humanitarian assistance and natural resource management are interlinked, with emergency operations often contingent on resource availability. This often creates opportunities and hazards for future natural resource management. Recovery and rebuilding should emphasize building back better and greener.

☐ UNEP is the Cluster Focal Point for Environment in Humanitarian Coordination. It has the expertise to conduct environmental assessments following initial scoping and response by JEU.

☐ Lack of safe access to appropriate household energy has negative ramifications across nearly all sectors of humanitarian response. Women and children who must leave the safety of a camp or house to collect firewood are vulnerable to harassment, sexual assault and other forms of brutality. In addition, burning firewood indoors causes air pollution, resulting in respiratory infections and other health concerns. Its collection devastates the environment and can increase tensions with host communities. Mass construction of wood-based emergency shelters exacerbates these concerns.

☐ When looking at potential environmental risks during contingency planning, contact the national meteorological office or climate change adaptation focal point. As climate change is increasing the intensity and frequency of climate-related hazards such as floods, droughts and storms, these specialists may be able to provide important information about how these trends may affect hazard trends in your country.

Gender Equality

Why is it important in an emergency ?

Women, girls, boys and men are affected differently in a crisis. They have different needs, capacities, priorities and access to resources. Ignoring these differences can have serious implications for the protection and survival of people in humanitarian crises. Integrating a gender equality perspective in a crisis makes humanitarian assistance more effective by :

- Improving profiling and understanding vulnerabilities and capacities.

- Allowing more appropriate responses to be designed and highlight opportunities and resources.

- Assisting agencies and clusters to channel limited resources to those most in need.

- Mobilizing a significant proportion of the population whose capacities are often underestimated.

What is your role?

- Ensure that human rights of women, girls, boys and men are equally promoted and protected in humanitarian action.

- Highlight international mandates and commitments regarding women's rights and the protection of women and girls.

- Promote gender equality programming by humanitarian actors, particularly:

  - Human rights-based approach to programming.
  - Empowerment of women and girls to improve their skills, capacities, access to resources, opportunities and decision-making powers so that they can attain a level of control over their own environment and livelihood.
  - Prevention of and response to gender-based violence, with specific focus on sexual violence.
  - Prevention of and response to sexual exploitation and abuse by humanitarian personnel.
  - Promotion of gender balance in the workplace.

- Promote consultation with local women's organizations and the active involvement of women in the definition of priorities for humanitarian assistance and the design and delivery of assistance programmes.

Remember!

☐ Integrating a gender equality perspective does not necessarily require additional resources, such as time, money or personnel. What it does require is foresight, planning, engagement and commitment from the whole Humanitarian Country Team.

☐ All UN entities are mandated to undertake gender mainstreaming, as no single entity is responsible for gender in humanitarian action.

HIV-AIDS

Why is it important in an emergency?

Humanitarian situations increase vulnerability to HIV transmission due to large-scale displacement; gender-based violence (specifically rape and sexual violence); disruption of health, education and social services; the separation of families and the breakdown of community and social norms. Humanitarian situations also impact many people living with HIV (PLHIV) who may become increasingly vulnerable if they cannot continue to access AIDS treatment, care and support. Therefore, it is important to address HIV and AIDS in the humanitarian response, particularly in situations where there is a high prevalence of HIV and where the burden of AIDS is significant.

What is your role?

- Ensure that the additional vulnerability to HIV generated by a crisis is addressed, and that HIV interventions over and above the normal national response are prioritized, by establishing mechanisms to:

  - Prevent new HIV infections (especially among people most at risk).
  - Protect people vulnerable to HIV and violence (such as separated women and unaccompanied children).
  - Provide protection against HIV-related human rights violations.
  - Reduce additional vulnerability of PLHIV as a result of the crisis.
  - Ensure continuity of HIV-related services and adequate access for vulnerable populations.
  - Provide a safe and supportive environment for populations and staff, the military and uniformed service personnel.

- Ensure the well-being and safety of UN staff under your authority and the development of a HIV-competent workforce. This requires that your staff are:

  - Able to access information on how to protect themselves and others from HIV transmission.
  - Aware of their rights and responsibilities relating to HIV protection and prevention.
  - Aware of where to access confidential HIV services and commodities, including condoms.
  - Aware of the protocol on sexual exploitation and abuse and their role in protecting people from violence and HIV.
  - Able to access post-exposure prophylaxis (PEP) in case of occupational exposure to HIV and/or rape.

Remember!

☐ Link up with national AIDS programmes to ensure that humanitarian responses to HIV build on long-term national AIDS planning and/or complement them. The Joint UN Team on AIDS is the key link between the two.

☐ Ensure the UNAIDS Country Coordinator (UCC) is represented in the HCT.

Mental Health and Psychosocial Support (MHPSS)

Why is it important in an emergency?

The experience of an emergency can significantly impact a person's social and emotional well-being. Exposure to violence or disaster; loss of, or separation from, family members and friends; deterioration in living conditions; inability to provide for one's self and family;

and lack of access to support can all have immediate and long-term consequences for individuals, families and communities' balance and fulfilment. It can translate into severe psychological distress and, for some, mental disorder. In some situations, such factors may contribute to a change in behaviour, including increased communal and domestic violence.

What is your role?

- Ensure that the Cluster Lead Agencies for Protection and for Health are familiar with the need for an integrated MHPSS response. Ensure that a mechanism for MHPSS coordination is established between them. Do not create a separate MHPSS Cluster.

- Encourage agencies to facilitate conditions for community mobilization, ownership and control in all sectors as this will help empower people and reduce distress.

- Encourage agencies to provide information to the affected population on the emergency, the agencies' relief efforts and people's legal rights. This will reduce unnecessary anxiety.

- Ensure that psychosocial support structures and services are in place for UN staff.

- Ensure that humanitarian staff know where to access confidential psychosocial support services and how to protect themselves and others.

Remember!

☐ Include MHPSS projects in relevant chapters (protection, health and education) of the CAP instead of having a separate chapter for them.

☐ MHPSS coordination groups should be intersectoral but with accountability within the Health Cluster and the Protection Cluster. Having co-chairmanship of both a health and non-health agency functions best in practice. Key strategic decisions should be made by the inter-cluster coordination group wherever this group exists.

☐ According to the IASC Guidelines on Mental Health and Psychosocial Support, this subject is an intersectoral issue. In practice most activities are organized by actors working in the protection, health and education sector.

ANNEXES

ACRONYMS

AIDS	Acquired Immune Deficiency Syndrome
BCPR	Bureau for Crisis Prevention and Recovery (UNDP)
CAP	Consolidated Appeals Process
CCA	Common Country Assessment
CERF	Central Emergency Response Fund
CHAP	Common Humanitarian Action Plan
CHF	Common Humanitarian Fund
CMT	Crisis Management Team
CRD	Coordination and Response Division (OCHA)
CSA	Chief Security Advisor
DAC	Development Assistance Committee
DO	Designated Official
DOCO	Development Operations Coordination Office
DRR	Disaster Risk Reduction
ERC	Emergency Relief Coordinator
ERF	Emergency Response Fund
ETC	Emergency Telecommunication Cluster
FAO	Food and Agriculture Organization of the United Nations
GDACS	Global Disaster Alert Coordination Centre
GenCap	Gender Capacity
HC	Humanitarian Coordinator
HCT	Humanitarian Country Team
HFA	Hyogo Framework for Action
HIC	Humanitarian Information Centre
HIV	Human Immunodeficiency Virus
IASC	Inter-Agency Standing Committee
ICRC	International Committee of the Red Cross

IDP	Internally Displaced Person
IFI	International Financial Institution
IFRC	International Federation of Red Cross and Red Crescent Societies
IHL	International Humanitarian Law
IHP	International Humanitarian Partnership
INSARAG	International Search and Rescue Advisory Group
IOM	International Organization for Migration
IRIN	Integrated Regional Information Networks
JEU	Joint UNEP/OCHA Environment Unit
MCDA	Military and Civil Defence Assets
MLO	Military Liaison Officer
MOSS	Minimum Operating Security Standards
NGO	Non-Governmental Organization
OCHA	Office for the Coordination of Humanitarian Affairs
OECD	Organization for Economic Cooperation and Development
OHCHR	Officer of the High Commissioner for Human Rights
OSOCC	On-Site Operations Coordination Centre
PLHIV	People Living with HIV
ProCap	Protection Capacity
PRSP	Poverty Reduction Strategy Paper
RC	Resident Coordinator
RTE	Real-Time Evaluation
SMT	Security Management Team
SNAP	Strategic National Action Plan for Disaster Risk Reduction
UN	United Nations
UN-CMCoord	United Nations Civil-Military Coordination
UNCT	United Nations Country Team
UNCG	United Nations Communications Group
UNDAC	United Nations Disaster and Assessment Coordination
UNDAF	United Nations Development Assistance Framework

UNDP	United Nations Development Programme
UNDSS	United Nations Department of Safety and Security
UNDMT	United Nations Disaster Management Team
UNFPA	United Nations Population Fund
UN-HABITAT	United Nations Human Settlements Programme
UNHAS	United Nations Humanitarian Air Service
UNHCR	United Nations High Commissioner for Refugees
UNIC	United Nations Information Centre
UNICEF	United Nations Children's Fund
UNISDR	United Nations International Strategy for Disaster Reduction
UNMAS	United Nations Mine Action Service
USAR	Urban Search and Rescue
VOSOCC	Virtual On-Site Operations Coordination Centre
WASH	Water, Sanitation and Hygiene
WFP	World Food Programme
WHO	World Health Organization

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Urban Search and Rescue (USAR)

See Search and Rescue

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KEY CONTACTS

FOLLOWING A DISASTER, IMMEDIATELY CONTACT	
1	**The OCHA presence in country is your first point of contact** — Tel :
2	**If there is no OCHA presence in your country, contact the OCHA Regional Office** — Tel :
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