Emergency preparedness
and response handbook

Saving lives and protecting rights

actionaid

EFAST and IHART members.
PHOTOS: ACTIONAID

November 2013

This handbook is dedicated to our dear colleague **Sunil Sharma** of ActionAid India, a passionate, dedicated, optimistic and superbly capable individual who we were all proud to know and work with.

Sunil's commitment to supporting those living in poverty and exclusion, particularly during emergencies as a valued EFAST member, was an inspiration.

His presence is greatly missed.

A message from Biranchi Upadhyaya,
International Director of Programmes,
on behalf of the Senior Leadership Team,
ActionAid International

We know that a range of factors including climate change, the global economic situation and continuing poor governance are resulting in more intense, more frequent and more complex disasters. As always, it is people living in poverty and exclusion who are the most vulnerable, and bear the brunt of such crises.

At the same time, at ActionAid we recognise the potential that emergencies provide for engaging and mobilising communities to assert and claim their rights from those in power. I have experienced this in several contexts, and am convinced that responding to emergencies is crucial to our overall poverty reduction and development agenda. Our new organisational strategy articulates this as one of our key objectives.

By 2017, we aim to have assisted at least five million people experiencing disasters or conflicts in ways which respect and strengthen rights, support recovery of livelihoods, empower women and promote solutions for long-term change (Key Change Promise 8, *People's rights to end poverty*). The emphasis here is not necessarily on what we do in emergencies, rather how we do it.

This handbook provides practical guidance on how to ensure ActionAid and the communities we work with are prepared for disasters, and able to respond immediately. But beyond this it aims to articulate how we can operationalise our human rights-based approach in emergencies, so we are not only addressing basic needs (which we recognise as basic rights) but supporting communities to analyse and address their vulnerabilities to the multiple hazards they face.

Building resilience is a critical component of both ActionAid's emergency response and our longer term development programming, and one that we hope will help lessen the impact of future disasters on the most vulnerable people we work with. This handbook is a key tool in facilitating that process.

Biranchi Upadhyaya, International
Director of Programmes, ActionAid

A message from Bijay Kumar,
Head of International Humanitarian Action and Resilience Team, ActionAid International

It is my pleasure to introduce this revised edition of the *Emergency preparedness and response handbook*, produced by ActionAid's International Humanitarian Action and Resilience Team (IHART).

The guidance provided in this handbook is based on ActionAid's rich experience in actively responding to emergencies around the world since 1999. It is a product of our collective learning over this time, and takes into account our achievements, successes and the challenges we have faced. We recognise, however, that learning is a continual process, and as such are committed to updating and revising content in line with learning from future responses.

This handbook aims to act as a practical guide for ActionAid staff across the federation, as well as partners and communities we work with, to improve the speed, quality and efficiency with which we respond to disasters. It aims to do this by facilitating the adoption of the agency's rights based values, philosophy, tools and approaches in our emergency preparedness and response programming.

Ideally, the handbook should be read in advance of a disaster, but it is also designed so that relevant sections can be used independently as reference guides during a disaster response. For this reason the handbook uses cross-references throughout to avoid repetition in each section.

It is not intended that the handbook will be read cover to cover, rather that staff will access relevant sections as and when necessary.

It is anticipated that the handbook will be most useful for operational staff and partners at country and LRP level, providing user-friendly guidance to strengthen our ability to prepare for and respond to disasters, all the time linking to our human rights-based approach and ongoing development programmes. The handbook covers core programming and management processes during emergencies, focusing on:

- Key management processes, and how to make decisions around these.
- Roles, responsibilities and accountability in emergencies.
- Programming response – what we deliver and what principles inform the standard and quality of our response.
- Organisational policies, values and principles relating to emergency response.
- Tools, templates and checklists to facilitate emergency preparedness and response.

Bijay Kumar,
Head of International
Humanitarian Action
and Resilience Team,
ActionAid

Sections 1 and 2 provide an overview of how ActionAid responds to disasters. **Section 1** outlines the key principles that are adopted in ActionAid's humanitarian programming. **Section 2** describes the main processes and structures that guide our emergencies work. These sections can be shared with external audiences who are broadly interested in our approach.

Sections 3-5 describe the key actions that need to be taken by different parts of the organisation to respond after a disaster. **Section 3** focuses on the first 72 hours, **Section 4** on the first month, and **Section 5** on six months and beyond.

Section 6 deals with preparedness and should be used by any country programme or partner that is prioritising disaster response in their plans and strategies. For the 2012-2017 strategy period IHART has prioritised 24 countries[1] defined as high risk (in terms of likelihood and impact of natural disasters and/or conflict) to receive international level support in developing country and LRP level preparedness plans.

Section 7 describes in more detail some of key aspects of emergency programming, including our human rights-based approach in emergencies, women's rights in emergencies, accountability in emergencies, tools for communicating with disaster-affected communities, and also provides sector specific guidance on areas such as food security and livelihoods.

Finally, **the Annexes** contain key organisational policies, documents and templates referenced throughout this handbook.

[1] Afghanistan, Bangladesh, Burundi, Cambodia, DRC, Ethiopia, Guatemala, Haiti, Kenya, Liberia, Malawi, Mozambique, Myanmar, Nepal, Nicaragua, Nigeria, Occupied Palestinian Territory, Pakistan, Rwanda, Senegal, Sierra Leone, The Gambia, Vietnam, Zimbabwe.

It is my great privilege to present this handbook to the ActionAid federation. We hope you find this a useful and practical tool to guide your work on emergency preparedness and response throughout the next strategy period. The handbook is intended to be a dynamic document and we welcome your thoughts on how to further strengthen both the content and format, so please do share any comments, queries and/or contributions via email:
emergencies@actionaid.org

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Sakeena, 40, was supported by ActionAid after her home was destroyed by flooding in Sindh province, Pakistan. *"Now my children have a house to feel at home and I have a source of livelihood too. These goats have a magic power…they can help ward off hunger and poverty."*
PHOTO: UMAR FAROOQ/ACTIONAID

A lorry-load of food arrives in Nguni, Kenya, to be used as part of an ActionAid food-for-work project.
PHOTO: DANIELLE PECK/ACTIONAID

Section one:
ActionAid's approach to emergencies

eprhandbook.actionaid.org/section1

Section
01

KEY POINTS

- **emergencies are a strategic priority for ActionAid**, and we are committed to responding to the emergencies that affect the communities we work with.

- we believe that **disaster-affected people have the right to assistance** – when a disaster strikes, our aim is to save lives and protect people's rights.

- i**n emergencies, it is people living in poverty and exclusion, particularly women, who are worst affected.** We see disasters as part of a cycle of poverty, and we seek to use every opportunity brought about by disasters to shift power relationships in favour of the poorest and most excluded – especially women.

- **our emergencies work is guided by the eight ActionAid human rights-based approach principles** – this section explains how each of these principles applies in an emergency context.

- in our emergency work, **ActionAid promotes seven alternatives** – things that we believe represent a different way of working from the traditional humanitarian model, and which place disaster-affected communities at the centre of the debate. These alternatives should be integrated into all our resilience, preparedness and response programmes:

  - promoting women's leadership

  - accountability to disaster-affected communities

  - the importance of local partnerships

  - combining scientific information with community experience and traditional knowledge

  - advocating for adequate funding and aid effectiveness

  - linking emergency response to resilience building and longer term change processs

  - creating a loss and damage framework to help people claim their rights.

About this section

This section outlines why ActionAid sees engaging in emergencies as a global strategic priority, and summarises some of the key principles that guide ActionAid's work in emergencies.

This section is designed as an overall introduction to the handbook, and should be read by all users – ideally in advance of an emergency.

ActionAid's strategic commitment to emergencies

ActionAid's 2012-2017 global strategy, *People's action to end poverty*, recognises emergencies as a key priority for the organisation. Strategic Objective 4 commits the organisation to:

> *Build the resilience of people living in poverty to conflicts and disasters and respond to disasters with people-centred, rights-based alternatives.*

Within this Objective, Key Change Promise 7 states that:

> *By 2017 we will have built effective risk reduction and resilience systems and capacities in over 5000 communities.*

and Key Change Promise 8 states that:

> *By 2017 at least five million people experiencing disasters or conflicts will have been assisted in ways which respect and strengthen rights, support recovery of livelihoods, empower women and promote solutions for long-term change.*

Section one : ActionAid's approach to emergencies

Reference
1.1

Emergency preparedness and response handbook
Section one : ActionAid's approach to emergencies

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Why are emergencies important to ActionAid?

ActionAid's core commitment is to work with people living in poverty and exclusion, particularly women. Disasters disproportionately affect these people, further violating their rights and making them even more vulnerable.
Disasters can also strip away the advances that communities and ActionAid have made in securing their rights and ending poverty through ongoing development programming, and so affect ActionAid's ability to deliver on its core commitment.

We believe that poverty is a violation of human rights: poverty underlies, and is exacerbated by, people's vulnerability and their inability to cope with shocks and hazards. In emergencies, it is people living in poverty and exclusion who suffer the most.
For example, in the 2004 Asian tsunami, an Oxfam survey found that in areas of Indonesia and India, women accounted for more than 70% of people killed by the disaster.

We believe that disaster-affected people living in poverty have the right to assistance. People without access to information and resources are less able to avoid and protect themselves from the impact of disasters, and to access the help to which they are entitled. ActionAid believes that change will only happen and be sustainable if rights holders are aware, conscious and organised to challenge power and hold the state and other duty bearers accountable.

> " My husband beats me for no reason. After we lost everything in the flood it has become worse. Around us our neighbours think that there mustbe a reason for him to beat me so they blame me. Once, because I couldn't bear this suffering any more I took poison. But I didn't die. "
>
> Anon

Tropical storm Mahasen hit the Bangladeshi coastline in 2013, destroying thousands of homes and agricultural crops.
PHOTO: ACTIONAID

Disasters and conflict also threaten the gains that communities have made with the support of ActionAid's programmes and projects. For example, a major emergency can force children to drop out of school, either because the school building or transport infrastructure has been destroyed, because the family has had to flee to another area, or because the family's livelihood has been affected and they can no longer afford school fees or materials. Girls are often particularly affected, as they are burdened with additional household work and childcare for younger siblings if their parents are forced to seek alternative means of livelihood. Violence against women and other violations of women's rights often increase during and in the aftermath of emergency contexts. If ActionAid does not prepare for and respond to emergencies, the aims and achievements of the organisation's programmes risk being eroded.

> *I am here alone. My husband was killed during the war. I was also raped. I have six children, five boys and one little girl. She is in the sixth grade, but she can't finish school because there is no money. The others are here looking for petty work every day to bring something home to the family. Before the war, I sold fish in my village. But when they raped me, they tortured me. They hurt me. Now I am broken, I can no longer work. I sit in my hut. I wait.*
>
> **Masika Tshuma, 45, DRC**

Drought in Maharastra, India, has left this land – once a huge water reservoir – completely dry.
PHOTO: MANOJ PATIL/ACTIONAID

What is ActionAid's approach to emergencies?

When a disaster strikes, our aim is to save lives and protect people's rights.

ActionAid supports people living in poverty who are affected by disasters not only to meet their basic needs (which we recognise as basic rights), but to overcome poverty and injustice by ensuring they can lead the process of their own recovery. We place women and other particularly vulnerable groups at the centre of all our activities.

In our responses, we aim for three core outcomes:

1. Women and women's institutions are sufficiently empowered, mobilised and engaged in decision-making processes from local to national levels to lead emergency preparedness, response and recovery efforts.

2. Communities, partners and local institutions have the skills, knowledge, systems and resources for quality emergency preparedness, response and recovery.

3. The humanitarian system at local, national and international level is more accountable to affected communities, better co-ordinated and more effective.

> " I am 45 years old and a single woman. My sister died long ago. After her death my sister's husband eloped with another woman and I took the responsibility of bringing up my sister's children. I have no ration card in my name and so, after the disaster, I did not receive any aid or relief of any sort from the government. "
>
> **Anon, India**

Floods devastated villages iin Sindh province, Pakistan, in 2011.
PHOTO: UMAR/ACTIONAID

ActionAid sees disasters as a result of unequal power relations in society. They are not one-off events, or 'acts of god', but are part of a cycle of poverty and exclusion. **People living in poverty are often affected by numerous disasters during their lives and without sustainable and long-term recovery and resilience, each time a disaster occurs poverty can be deepened and injustices further ingrained.** Therefore, we seek to use every opportunity brought by humanitarian crises to shift power relationships in favour of people living in poverty and exclusion, particularly women. All of ActionAid's emergency response work is linked to development, ensuring that a) disasters do not erode development investment and b) our development work does not contribute to disasters.

For these reasons, much of what it is included in this handbook goes beyond Strategic Objective 4 – in fact it would be impossible to work effectively in emergency preparedness and response without linking effectively to other Strategic Objectives. Particularly in the sections relating to emergency preparedness **(Section 6)** and linking to longer term programming **(Section 5)**, there are activities which relate directly to a number of ActionAid's key change promises – emergencies are everybody's business!

> " *I lost everything in the disaster. I approached the village level government officer to get information on compensation, but he refused to give the information and told me to come another day. This repeatedly happened. Finally I went and met the District Secretary and he asked me why I did not come earlier - now it's too late. This was the reply I got.* "
>
> **Anon, Sri Lanka**

Daliyah, 34, and her children had to flee their home in Damascus, Syria, due to escalating violence.
PHOTO: DALIA KHAMISSY/ACTIONAID

Section one : ActionAid's approach to emergencies

Reference
1.3

Emergency preparedness and response handbook
Section one : ActionAid's approach to emergencies

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Principles that guide ActionAid's work in emergencies

ActionAid's human rights-based approach (HRBA) guides our response to disasters. The following tables set out the eight core human rights principles that ActionAid follows, and contextualises these for disasters.

This handbook will not give you a step-by-step guide for implementing emergency response and resilience programmes – there is no standard template that can be rolled out in any context. What this handbook aims to do is to explain the key principles of ActionAid's approach to emergencies, and provide some practical guidance and examples from our work in different countries to help you put them into practice.

Maha, 29, with her nine-month-old daughter. Maha is just one of the million people who have fled the conflict in Syria. She is now in Zaatari, a sprawling refugee camp in northern Jordan that is home to more than 90,000 refugees.
PHOTO: HANNAH BURROWS/ACTIONAID

Principle 1

Putting the active agency of people living in poverty first – and building their awareness of rights

Minimum standards for ActionAid programming
• People living in poverty and their organisations have been actively involved in the drawing up of all local rights programmes.
• Programme activities or strategies exist that enable people living in poverty to analyse and reflect on the conditions and causes of poverty and inequality, linking this with rights and the violation of rights.
• We have supported the active, free and meaningful participation of people living in poverty.
• We have addressed and understood vulnerabilities, strengthened people's resilience and helped respond to basic needs in ways that are sustainable, strengthen rights and generate alternatives.
• People living in poverty have organised themselves and mobilised as rights activists.
• Our fundraising and communications work represents people living in poverty as active agents, not victims.
• Our fundraising and campaigning actively engages people living in poverty, respecting them as rights holders and giving them a voice.

Section one : ActionAid's approach to emergencies

Reference
1.3.2

Emergency preparedness and response handbook
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Principle 1

Putting the active agency of people living in poverty first – and building their awareness of rights

Minimum standards in disaster contexts	
In emergency response	**In emergency preparedness**
• We put people living in poverty and exclusion and affected by disasters at the centre of our response, addressing basic needs (material, psychosocial and information needs) as basic rights and combining programme and policy to build their capacity to manage the design, procurement and implementation of emergency response programming.	• We put people living in poverty and exclusion (so vulnerable to shocks and stresses) and people experiencing disasters at the centre of our preparedness work, led by women.
• We conduct assessments in partnership with disaster-affected communities in order to analyse their situation, raise awareness of their rights and mobilise them and their institutions to take action.	• We work with communities to analyse the stresses and shocks they are vulnerable to, and the structural causes behind it (including multiple denial of rights, powerlessness, etc).
• Our programme activities or strategies enable ongoing analysis and reflection on the conditions and causes of vulnerability, people's rights and rights violations and the causes of the inequality, exploitation and exclusion that underlie these, through mechanisms such as women's and youth forums.	• This analysis informs the design and implementation of disaster preparedness plans, building the necessary knowledge, skills, capacity, institutions and linkages to be able to prepare for, prevent and mitigate the impacts of disasters, at the same time building the capacity of women to facilitate this process.
• Our emergency responses promote accountability to disaster-affected communities as a 'non-negotiable', building their capacity and agencies to hold us and others to account.	• We mobilise people and institutions to a) negotiate and mobilise resources to ensure our analysis feeds into state policy and action on disaster preparedness, b) implement disaster preparedness plans in collaboration with the state and others and c) act in the event of a disaster to lead an emergency response.

Principle 2   *Analysing and confronting unequal power*

Minimum standards for ActionAid programming
• We have analysed and understood the impact of unequal power relations within groups of people living in poverty, and between them and other actors/duty bearers.
• We have challenged all forms of discrimination and prioritise working with those who are most excluded.
• We have specifically analysed and understood power relations between women and men and worked on strategies to address them.
• We have analysed the impact of our own power in partnerships and alliances.
• We have a clear critical pathway, laying out how change will happen, based on a thorough analysis of power and rights.
• Comprehensive power analysis informs our campaigns, which seek to shift power.
• Our fundraising narrative recognises the role of unequal power relations in causing poverty and the importance of addressing this.

Section one : ActionAid's approach to emergencies

Reference
1.3.4

Emergency preparedness and response handbook
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Principle 2   *Analysing and confronting unequal power*

Minimum standards in disaster contexts	
In emergency response	**In emergency preparedness**
• ActionAid and partners have a solid understanding of the unequal power relationships that perpetuate and exacerbate the vulnerability of people living in poverty and exclusion to the stresses and shocks which lead to disasters. Our analysis recognises that disasters exacerbate existing discrimination and power imbalances.	• Our analysis recognises the power relations between men and women. We build the capacity of women to lead emergency preparedness and response work.
• Our programme framework clearly articulates how we intend to work in partnership with disaster-affected communities to move them from a context of disaster (caused and exacerbated by powerlessness) to a context of resilience. Integrating resilience building into emergency response and recovery is a key component of this.	• We understand the power relations between various groups, and how vulnerability exacerbates power imbalances (e.g. people living with disabilities and ethnic and religious minorities etc). Our preparedness analysis examines vulnerability from their perspective.
• ActionAid and partners put in place mechanisms to counteract the traditional 'aid/recipient' relationship between humanitarian agencies and disaster-affected communities	• We analyse state preparedness planning from the perspective of facilitating the security or promoting the insecurity of people living in poverty and exclusion (so vulnerable to shocks and stresses) and people experiencing disasters.
• We use disasters as an opportunity to redress power imbalances between men and women. Unapologetically we promote the leadership of women in emergency response, recovery and resilience building.	• We work in collaboration with different actors, including communities and wider civil society, to put right the inequalities which underlie vulnerability and power imbalances.
• Our fundraising and communications activity during emergencies articulates the role of unequal power relations in causing the disaster and/or exacerbating its impact on the poorest and most excluded.	

Principle 3   *Advancing women's rights*

Minimum standards for ActionAid programming
• We have ensured that women have the confidence to identify and challenge different forms of subordination and exploitation.
• We have supported the capacity development of women living in poverty and their organisations.
• We have confronted unequal power relations between men and women, including within our own organisation.
• We have carried out gender analysis and gender budget analysis to cement this commitment.
• We have connected women living in poverty and their organisations with others to build solidarity and strengthen the movement for change.
• Our fundraising and communications work is gender-aware and challenges stereotypes.

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Principle 3   *Advancing women's rights*

Minimum standards in disaster contexts	
In emergency response	**In emergency preparedness**
• We consciously take sides with women in emergency responses, prioritising their material, psychosocial and information needs.	• ActionAid, partners and communities we work with understand ways in which women are disproportionately affected by disasters.
• We promote women's leadership during all phases of emergency response, recovery and resilience building.	• We support the capacity development of women living in poverty and their organisations, so that women can lead the process of immediate relief and recovery.
• We bring women and women's institutions together to participate in the design, planning and implementation of emergency responses.	• Our preparedness work facilitates and promotes the role of women as leaders in their communities.
• We programme women's rights into our emergency responses as a cross-cutting issue.	• We invest in building the capacity of women and their institutions to analyse their own vulnerabilities and devise strategies to reduce the impact of disasters.
• Our fundraising and communications work in emergencies portrays women as active agents of change, whilst presenting the reality of their situation as hardest hit.	• We mobilise women and women's institutions (e.g. community based women's groups) to participate in disaster preparedness and engage governance to make the state accountable at local, national and international levels.
• We engage women and their institutions (e.g. community based women's groups) in policy work.	

Principle 4   **Building partnerships**

Minimum standards for ActionAid programming
• We have identified strategic partners who can help us achieve our goals.
• We are prioritising partnerships with organisations that are constituted by, genuinely represent or strongly connect with people living in poverty.
• We have built credible partnerships based on our principles, building trust and mutual understanding and developing clear agreements.
• We have identified partners with the capacity or the potential to implement high quality and high impact programmes.
• We have supported our partners' organisational and institutional capacity development.
• We are linking our partners with others at all levels, from local to national and international (especially facilitating connections with social movements and engagement in international advocacy and campaigns).

Section one : ActionAid's approach to emergencies

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1.3.8

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Principle 4　　　Building partnerships

Minimum standards in disaster contexts	
In emergency response	**In emergency preparedness**
• We work in collaboration with others including partner I/NGOs, social movements/community organisations, and with the state, local government and relevant authorities. We also work with disaster-affected communities (particularly women and women's institutions).	• Our preparedness planning process is undertaken in collaboration with partner organisations, at both country and LRP levels.
• We support enhanced co-ordination by working with government and relevant humanitarian co-ordination mechanisms, both in the disaster-affected country and internationally.	• Our preparedness planning process identifies and addresses capacity gaps at partner level.
• We implement our emergency response alongside both existing partner organisations and new organisations that can add strategic value to our response in line with our HRBA in emergencies.	• Our preparedness work is increasingly implemented through consortia with a view to increasing collaboration and co-ordination.
• We use disasters as an opportunity to build the capacity of partners to implement emergency preparedness and response work that respects and strengthens rights, supports recovery of livelihoods, empowers women and promotes solutions for long-term change.	

Principle 5   *Being accountable and transparent*

Minimum standards for ActionAid programming
• We can show evidence of our primary accountability being to people living in poverty.
• We are satisfying all relevant secondary accountabilities.
• We can show the impact of all our work on children.
• We have fulfilled the requirements of our open information policy, by making information about our programmes and budgets available to all stakeholders in accessible formats.
• We are using our own accountability as a foundation for strengthening people's ability to hold their governments to account on their rights obligations.

Section one : ActionAid's approach to emergencies

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1.3.9

Emergency preparedness and response handbook
Section one : ActionAid's approach to emergencies

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Principle 5   *Being accountable and transparent*

Minimum standards in disaster contexts	
In emergency response	**In emergency preparedness**
• We can show evidence that our primary accountability is to people living in poverty and exclusion and affected by disasters.	• Preparedness plans are developed in partnership with people living in poverty and exclusion (vulnerable to shocks and stresses). Plans are shared with the affected people for feedback and updates.
• Our responses adhere to international humanitarian standards and codes of conduct, e.g. Humanitarian Accountability Partnership policies (e.g. on the prevention of sexual exploitation and abuse by aid workers), Sphere, People in Aid, and we orient our policies to align with these.	• Budgets and plans for specific preparedness projects (e.g. DIPECHO) are made available to all stakeholders in accessible formats.
• We establish complaint mechanisms as standard in our emergency responses.	
• We develop and use tools for delivering accountability to disaster-affected communities (e.g. social audit), and share these with others.	
• We can show how our emergency responses positively impact the lives of children affected by disasters.	
• All parts of the organisation understand their responsibility to ensure their actions do not negatively impact on ActionAid's reputation and/or compromise our ability to support disaster-affected people.	
• Key documents relating to our emergency programmes and budgets are accessible to all stakeholders.	
• We assess and work to meet the information needs of people affected by disasters, so they have the means with which to hold us and others to account.	

Principle 6

Monitoring, evaluating and evidencing our impact

Minimum standards for ActionAid programming
• We are tracking relevant indicators and have credible baseline data so we can measure change, showing the outcomes and impact of our work. This applies whether we are working in a local rights programme, a multi-country campaign or fundraising.
• We are cost- and carbon-conscious in all our work, being careful how we use both ActionAid's resources and natural resources.
• We are monitoring and reflecting on change processes in a participatory way on an ongoing basis.
• Our future plans are informed by what we are learning and evidence of what is effective.

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Principle 6   *Monitoring, evaluating and evidencing our impact*

Minimum standards in disaster contexts	
In emergency response	**In emergency preparedness**
• Each new emergency response builds on our learning from previous responses.	• Preparedness plans at country and LRP level are dynamic documents, updated regularly to remain relevant to changing contexts.
• We use data from rapid and needs assessments (undertaken by ActionAid and others) to generate baseline indicators used to monitor our response.	• We share lessons from our preparedness work across countries and contexts, to facilitate ongoing sharing of best practice.
• The success of our preparedness work in minimising disaster deaths and material/economic losses for people living in poverty is evaluated as standard during evaluations of emergency responses.	
• We put in place high quality management systems such as Oversight Groups to guide and monitor our response.	
• We conduct regular evaluations including real time evaluations to examine our progress and generate learning to feed back into ongoing and future responses.	

Principle 7   *Linking work across levels to address structural change*

Minimum standards for ActionAid programming

- We are working towards lasting gains at the local level and beyond by tackling structural causes of poverty and rights violations (for example, changes in law, policy, procedure or budget allocation in favour of people living in poverty).

- We are connecting local rights violations to national and international factors and to recognised human rights legal frameworks.

- We are connecting local struggles with national and international movements, and connecting local issues to national civil society change processes.

- We are connecting work on different objectives/key change promises and connecting grassroots programme, campaigning and fundraising work.

- We are facilitating communication and information flows between local, national and international levels.

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Principle 7 — Linking work across levels to address structural change

Minimum standards in disaster contexts	
In emergency response	**In emergency preparedness**
• Our analysis of disaster contexts recognises the links between local rights violations and contributing factors at national and international levels.	• Our preparedness plans are rooted in an in-depth analysis of the structural causes of poverty and vulnerability in any given context.
• In emergencies we mobilise and strengthen the agency of people affected by disasters, particularly women, creating the horizontal links necessary to facilitate such work.	• We build capacity at community, local, national and international levels to prepare for, prevent and mitigate the impacts of disasters.
• We link these groups and institutions to national level forums (disaster management forums, national platforms) who review state level policies and practices.	• Evidence from our preparedness work at local level is used to inform policy-advocacy at local and national levels (e.g. on the need for improved early warning systems, formalised government compensation schemes for disaster survivors).
• We develop and share examples of best practice with international level actors, advocating for changes in laws, policies, procedures or budget allocations in favour of people living in poverty and affected by disasters.	

Principle 8   **Being solutions-orientated and promoting credible and sustainable alternatives**

Minimum standards for ActionAid programming
• We are putting forward credible alternatives to challenge dominant models and paradigms that undermine people's rights.
• The alternatives we propose and support are sustainable, being cost- and carbon-conscious.
• We have developed these alternatives with people living in poverty, our partners and allies.
• We encourage innovation and experimentation and are not afraid of failure – but are quick to learn.
• We are connecting our work on alternatives in different areas.
• We have created some space for dreaming and visioning the future.

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In all our emergency preparedness, response and resilience work we seek to integrate the seven core components of ActionAid's HRBA in emergencies:

1. women's leadership in disaster preparedness, response and resilience building

2. accountability to disaster-affected communities

3. local partnerships in emergency preparedness, response and resilience building

4. combining scientific information with community experience and traditional knowledge

5. adequate funding and aid effectiveness

6. linking emergency response to resilience, building longer term change processes

7. creating a loss and damage framework to enable disaster-affected people to claim their rights.

This represents an alternative to the traditional top-down humanitarian model. These alternatives are designed and implemented with people living in poverty and affected by disasters, our partners and allies.

FURTHER READING AND RESOURCES
ActionAid strategy: *People's action to end poverty 2012-2017*: **http://goo.gl/AJd8uD**

A woman returns home in the Democratic Republic of Congo, after fleeing eith her children and animals from rebel fighters. PHOTO: KATE HOLT/SHOOT THE EARTH/ACTIONAID

Section two:
how ActionAid responds to emergencies

eprhandbook.actionaid.org/section2

Section
02

KEY POINTS

- Our emergency response is guided by ActionAid's *Policy on the security of communities in emergencies*, **which expects that ActionAid must respond to all emergencies that affect the lives and livelihoods of the communities we work with.**

- **Alert levels** are used to categorise emergencies and determine the scale of response.

- **Our standard operating procedures (SOP)** guide response in **RED** and **ORANGE** alert disasters.

- Primary responsibility for response lies with the **ActionAid member or country programme in the affected country.**

- **Emergency response must take priority** over other programmes.

- **International Humanitarian Action and Resilience Team (IHART)** provides support on emergency preparedness (in 24 priority countries), and response and resilience building in all countries. In case of emergencies, IHART co-ordinates the International Secretariat support to the affected member/country programme.

- **Upon request of member/country programme, EFAST** member(s) can be deployed within 48 hours to fill specific skills gap(s).

- An Emergency News Officer (under **RACE**) can be deployed to provide immediate communications support and feed daily updates to ActionAid's communications network.

About this section

This section explains how ActionAid's emergency response is structured and the roles that different parts of the organisation play. It describes the types of emergencies that ActionAid is mandated to respond to, and the system we use for categorising emergencies according to their impact.

It is designed to provide context to the subsequent sections, which describe in detail what is required at each stage of an emergency response.

ActionAid's emergency response structure

ActionAid's *Policy on the security of communities in emergencies* commits the organisation to respond to disasters that affect the communities ActionAid works with (see **Annex 1**). In these situations, whatever the scale of the disaster, an ActionAid response is mandatory, and must take priority over existing programmes. ActionAid is a federated organisation, with authority and responsibility delegated to global affiliates. This means that the primary responsibility for responding to emergencies lies with the ActionAid member or country programme in the affected country. Member/country programme staff, together with ActionAid partners, will lead and deliver ActionAid's emergency response.

PHOTO: ACTIONAID

Section two : how ActionAid responds to emergencies

Reference
2.0.1

Emergency preparedness and response handbook
Section two : how ActionAid responds to emergencies

act:onaid

Other parts of the organisation support the member/country programme
in different ways:

International Humanitarian Action & Resilience Team (IHART)

IHART is part of the ActionAid International Secretariat and exists to provide technical and practical support to members/country programmes on emergency preparedness, response and resilience building. IHART's main functions are:

- **Capacity-building:** providing capacity-building for members/ country programmes on emergency preparedness, and supporting the development and implementation of country and LRP level preparedness plans.
- **Policy:** co-ordinate the policy and influencing work around response, preparedness and resilience building.
- **Co-ordination:** during emergencies, IHART acts as the hub for co-ordinating information flow between the affected member/ country programme and the wider organisation.

- **Supporting response, linking it to resilience building and longer term change processes:** in medium-large scale emergencies, IHART will deploy an International Programme Manager/Co-ordinators from the IHART team to support the member/country programme to respond and build resilience. The Head of IHART and other IHART staff will provide support and advice remotely. Additional surge capacity support can be provided through the EFAST and RACE systems (see below).

- **Fundraising:** during emergencies IHART co-ordinates fundraising efforts across the organisation, acting as the focal point for communication between fundraising affiliates and the affected member/country programme. Outside of emergencies, IHART supports members/country programmes to secure funding for disaster preparedness activities as well as strategic humanitarian policy engagements.

Emergency Fast Action Support Team (EFAST)

ActionAid recognises that during times of emergency it is crucial that we have the right skills available to support responses. The EFAST system facilitates a process in which members of ActionAid staff with skills and experience in emergency response are deployed from their normal positions to support another country programme. A commitment has been made to maintain at least 100 EFAST members on the roster at any given time.

Staff on EFAST who are deployed from the roster work alongside local staff and partners to implement high quality emergency response programmes, ensuring our approach promotes the dignity and participation of affected communities at all times. EFAST members continue to work in their present positions once added to the roster, but are available for either short-term deployments (maximum of four months in a year) at 48 hours' notice, or for a longer term deployment post-emergency (for up to one year) at a week's notice. In both cases deployees will return to their regular jobs at the end of the deployment.

Each EFAST member is recruited into one of 19 sectors covering different aspects of emergency response: accountability, communications, disaster risk reduction and climate change adaptation, early recovery and livelihoods, finance, food and non-food items (NFIs), fundraising, human resources, IT, logistics, monitoring and evaluation, needs assessment, policy, project management, protection, psychosocial support, shelter and water/sanitation, women's rights and RACE (Rapid Action Communications in Emergencies), news and digital focus.

More information on RACE, which is a specialised sub section within the EFAST roster, is included in **Section 3: communications in emergencies.**

Continued…

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The EFAST roster is managed by IHART, who are responsible for recruitment, capacity-building and supporting EFAST members before, during and after deployment. Specifically, EFAST members undergo a formal recruitment process and, if shortlisted, applicants are invited to basic emergency response training. This training covers core modules relating to emergency response such as needs assessment, women's rights and accountability. Successful applicants receive a formal confirmation form where they commit their availability for the roster. Line mangers and Country Directors are also required to sign this document, to give their advance approval for deployments. EFAST members then undergo a medical health check-up and mental health resilience briefing to ensure they are fully prepared to travel. EFAST members are also assigned a peer support person for their sector who acts as a mentor to build their capacity both during and between deployments. HR systems for deployments have also been established to ensure appropriate insurance, adequate remuneration and safety and security procedures for deployees.

The EFAST deployment policy can be accessed here:
http://goo.gl/3szmww

Additional information on EFAST systems can be found on the EFAST Hive page:

https://hive.actionaid.org/IHART/E-FAST/SitePages/Home.aspx

National EFAST

In addition to the global EFAST roster managed by IHART, members/country programmes are encouraged to develop national EFAST rosters to cover a range of skill sets they have identified as potentially requiring support during emergencies. These are likely to be similar to the global EFAST skill sets, but may be adapted to the specific country context based on likely disaster threats and the capacity gaps of ActionAid staff and partners. The member/country programme is responsible for recruiting and training national EFAST members, ensuring an understanding of ActionAid's approach to disaster response and familiarity with the member/country programme's agreed preparedness plan. They are also responsible for covering all costs relating to the recruitment, training and deployment of national EFAST members.

International Secretariat

In the event of a major emergency, all parts of the International Secretariat will provide support to the affected member/country programme. For example:

- International Fundraising staff will work to secure emergency funding.

- The International Communications Team (ICT) will work with a designated communications-in-emergencies lead country (usually ActionAid UK) to raise the profile of the emergency globally, and if necessary will deploy RACE members to provide emergency communications support.

- International HR and Finance will ensure that appropriate processes are in place to facilitate the allocation/delivery of necessary human and financial resources.

- The staff security function will provide support to members/country programmes to update risk assessments and security plans, and give security advice for EFAST deployments.

Women take part in a work and food programme in Patharghata, Bangladesh, after the region was hit by cyclone Sidr.
PHOTO: ANDREW BIRAJ/ACTIONAID

ActionAid's commitment to emergency response

ActionAid is mandated to respond to emergencies that happen in countries where ActionAid has an operational presence, if the communities that ActionAid works with are affected. This is set out in ActionAid's *Policy on the security of communities in emergencies* (see **Annex 1**), which states:

> *Both in its own strategy and through external linkages and commitments, ActionAid has committed itself to playing a significant role in emergency response work. ActionAid emphasises its solidarity with people living in poverty and exclusion and, in so far as possible, it strives to do all it reasonably can to ensure that the communities it works with are secure from the threats posed by emergencies.*

The policy requires that:

• All members/country programmes respond to all emergencies that affect the lives and livelihoods of the communities that we work with.

• If members/country programmes do not have adequate capacity or resources to develop preparedness plans or to respond effectively, they proactively request and are open to receiving support from IHART, including through the deployment of EFAST members.

• If members/country programmes are unwilling to respond to orange or red alert emergencies, the Country Director provides written justification for non-response, and this is approved in writing by national boards (where they exist) and the CEO of ActionAid International.

In summary, **all members/country programmes are obliged to respond, and emergency response must take priority over other programmes.**

In exceptional circumstances, ActionAid may respond to emergencies in countries where the organisation does not have existing programmes. The CEO is responsible for taking this decision, which would depend on the scale of humanitarian need, ActionAid's capacity to respond, institutional risks and opportunities of responding/not responding etc. Further details are set out in the *Policy on the security of communities in emergencies* in **Annex 1**.

ActionAid disaster alert levels

ActionAid uses a system of alert levels to categorise emergencies and determine the scale of appropriate response.

- **GREEN** means the situation is normal.

- In **YELLOW** alert emergencies, the response is delivered by the member/country programme alone, with support from IHART as requested. Additional support from the wider federation is not required.

- In **ORANGE** alert emergencies, IHART provides significant support to the member/country programme, and additional support will be provided from other parts of the organisation as required.

- In **RED** alert emergencies, the emergency response becomes the number one priority for the entire organisation and IHART plays a coordinating role.

These alert levels are described on the next page;

subsequent sections of this handbook will explain in detail the roles that different parts of the organisation are expected to play for each of the alert levels. **Annex 2** summarises the organisation's standard operating procedures (SOP) during **RED** and **ORANGE** alert disasters.

A villager returns home with a branch of sweet lime tree, which she will use to help her cook during drought in Maharastra, India.
PHOTO: MANOJ PATIL/ACTIONAID

Alert level criteria

GREEN

ActionAid member/country programme decides on alert level.

• Normal – situation normal.

National

• Preparedness – in consultation with IHART (see Preparedness, **Section 6**).

International

• Technical support for preparedness planning and capacity-building.
• Recruitment, management and capacity-building of EFAST.
• Monitoring trends.

Alert level criteria

YELLOW

ActionAid member/country programme decides on alert level.

• Portion of country/population affected (less than 20,000 people).
• ActionAid communities are affected.
• Attention on the disaster is from local to national.

National

• Emergency response starts in member/country programme by country team.
• Situation reports updated.

International

• Information flow through IHART.
• EFAST mobilised on request of member/country programme.
• Disaster Preparedness and Response Funds released if appropriate.

Alert level criteria

ORANGE

Based on its assessment, IHART recommends alert level to Director of Country Co-ordination.

- 20,000-50,000 people affected nationally including communities that ActionAid works with.
- Some global or regional media interest.
- Declaration of national emergency by government **OR**
- IHART and/or government, or other humanitarian actors define the situation as significant.

PLUS in addition to the above criteria, IHART assess that the capacity of the member/country programme to respond effectively is overwhelmed.

National

- Emergency response starts in affected member/country programme by country team.
- Situation reports updated daily or weekly.

International

- Alert level declared by Director of Country Co-ordination on recommendation of Head of IHART.
- IHART co-ordinates international support from the federation.
- Oversight Group appointed by Director of Country Co-ordination and meets regularly as per the ToRs with a focus on strategic and not just operational issues (see below).
- EFAST mobilised by IHART in consultation with the country.
- Disaster Preparedness and Response Funds released if proposal is approved.
- IHART International Programme Manager deployed if assessed by IHART to be necessary.
- Very High Dependency Units and other affiliates who have fundraising capacity fundraise through institutional donors and major donors.

Alert level criteria

RED

Based on its assessment, IHART recommends alert level to CEO

- Over 50,000 people affected nationally including communities ActionAid works with **AND**
- Significant global media interest **OR**
- Declaration of national emergency by government **OR**
- IHART and/or government, or other humanitarian actors define the situation as critical.

PLUS in addition to the above criteria, IHART assess that the capacity of the member/country programme to respond effectively is overwhelmed.

National

- Emergency response starts in affected member/country programme by country team.
- Situation reports updated daily or weekly.

International

- Alert level declared by CEO on recommendation of Head of IHART in consultation with Director of Country Co-ordination.
- Crisis becomes top priority for all units and constituents of the federation.
- IHART co-ordinates international part of the federation.
- Oversight Group appointed by CEO and meets regularly as per ToRs and focus on strategic issues, as well as operational effectiveness of the response. IHART mobilises EFAST in consultation with country.
- IHART International Programme Manager deployed.
- Disaster Preparedness and Response Funds released if proposal is approved.
- Very High Dependency Units and other affiliates who have fundraising capacity fundraise through institutional donors, major donors and public appeals.

FURTHER READING AND RESOURCES
ActionAid's Policy on the security of communities in emergencies: **Annex 1**
ActionAid's standard operating procedures (SOP) for red and orange alert level emergencies: **Annex 2**

A women makes her way through rubble caused by the devastating earthquake in Port-au-Prince, Haiti, in 2010.
PHOTO: MOISES SAMAN/PANOS/ACTIONAID

Section three:
disaster response in the first 72 hours

eprhandbook.actionaid.org/section3

Section
03

KEY POINTS

• In **RED** and **ORANGE** alert level emergencies, ActionAid expects members/country programmes to respond. IHART mobilises and co-ordinates the federation's resources to support the response. In **YELLOW** alert level emergencies, members/country programmes are advised to respond.

The member/country programme should:

• **Activate Emergency Preparedness Plan (EPP).**

• **Conduct a rapid assessment** to gather basic information about the disaster and impact on the communities that ActionAid works with.

• **Trained EFAST member(s) can be deployed** within 48 hours to the disaster-affected country if required.

• **Commence relief activities focusing on saving lives and addressing the immediate needs of the most vulnerable groups, women and children. In addition to food, water, shelter etc, the immediate response also includes information, psychosocial support, accountability and policy linkages.**

In addition:

• **Information management:** in emergencies, IHART acts as the central co-ordinating body for information on the disaster and ActionAid's response. A situation report (sitrep) is to be completed within 24 hours of the disaster and at regular intervals after that.

• **International Programme Managers (IPMs)** have responsibility for emergency preparedness and response in a specific geographic region. In orange and red alert emergencies, IHART may deploy an IPM to support the member/country programme.

• **Management response:** in **RED** and **ORANGE** alert emergencies, IHART supports the disaster-affected member/country programme to establish a management response system to oversee and direct effective and efficient delivery of the emergency response.

• **Oversight Group:** formed of International Senior Leadership Team members (or their representatives), and chaired by the Head of IHART, an Oversight Group is formed in orange and red alert disasters to help guide and monitor the disaster response.

• **Review and update the security assessment and security plan.** Staff security must be ActionAid's top priority in disasters. All countries where ActionAid has a presence must already have security risk analysis and plans in place **before** a disaster strikes. If ActionAid responds outside its usual operating area, security analysis and plans must be developed.

• Members/country programmes should sign **a new MOU with all partners** (even existing partners with whom they have worked prior to the emergency) at the start of the response.

• **Fundraising** must be started within *72 hours* of a disaster. IHART co-ordinates emergency fundraising. In **RED** alert disasters, all fundraising affiliates are expected to launch public or supporter appeals. In **ORANGE** alert disasters, while fundraising remains a priority, it is not expected that affiliates will launch public or supporter appeals, although if they feel that there is a particular opportunity for these, they should discuss with IHART and International Fundraising.

• **Communications in emergencies: the first 24/48 hours of any emergency are crucial for media, communications and fundraising. ActionAid must be immediately visible at the local, national and international level.** If required, deployment of an Emergency News Officer can be made in the first 12-24 hours of a rapid onset emergency or at an appropriate time during a slow onset emergency.

• **Co-ordination with UN clusters and INGO/NGO platforms:** it is particularly important for ActionAid to engage with relevant clusters from the start of the disaster response. The member/country programme should also engage with other country level actors including INGO/NGOs.

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Emergency preparedness and response handbook
Section three : disaster response in the first 72 hours

Reference
3.0

Section three : disaster response in the first 72 hours

About this section

This section describes the actions that should be taken in the first **72 hours** after a disaster. It explains what the member/country programme should do, as well as the support that should be provided by other parts of the organisation. This section summarises the key information and actions that are required, and contains references to the annexes where there are relevant templates and detailed guidance on each activity.

It is designed as a practical guide for staff across the organisation who have a role in responding to disasters. It should ideally be read before an emergency, but can also be used as a resource to refer to during an emergency response.

Summary of key actions

The following table summarises the key actions that should be taken in the first **72 hours** following a sudden onset disaster, or following a recognised spike (as assessed by the member/country programme and/or IHART) in a slow onset disaster. A fuller description of each activity is included in the text below. The RASCI matrix at: **http://goo.gl/asTkFk** sets out in detail the roles that individuals and departments across the organisation are expected to play, and where accountability lies for each activity. The key point to remember is that during disasters, it cannot be 'business as usual' – different ways of working and different priorities will be needed.

In case of red and orange alert level emergencies, the ActionAid standard operating procedure (SOP) expects members/country programmes to respond. However, in yellow alert level emergencies, members/country programmes are advised to respond. This section defines expectations of IHART in such circumstances.

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Implementing disaster response

What the member/country programme does (ORANGE & RED alerts)	What IHART does (ORANGE & RED alerts)	What IHART does (YELLOW alerts)	What other parts of the organisation do ORANGE & RED alerts)
• activate preparedness plan	• deploy EFAST members	• deploy EFAST members	
• conduct a rapid assessment	• deploy International Programme Manager		
• commence immediate relief activities			
• deploy national EFAST			

Information management

What the member/country programme does (ORANGE & RED alerts)	What IHART does (ORANGE & RED alerts)	What IHART does (YELLOW alerts)	What other parts of the organisation do ORANGE & RED alerts)
• share initial details of disaster with IHART	• review and circulate sitrep	• review and circulate sitrep	• Director of CoCo circulates orange alert level
• complete sitrep	• propose alert level to Director of CoCo or CEO	• propose alert level	• CEO circulates red alert level
• establish process for information flow between ActionAid, partners and communities	• co-ordinate federation wide information sharing	• Head of IHART circulates yellow alert	• fundraising countries link with IHART on fundraising opportunities
	• include information in monthly emergencies update	• co-ordinate federation wide information sharing	
	• circulate Oversight Group meeting minutes	• include information in monthly emergencies update	

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Management response

What the member/country programme does (ORANGE & RED alerts)	What IHART does (ORANGE & RED alerts)	What IHART does (YELLOW alerts)	What other parts of the organisation do ORANGE & RED alerts)
• establish emergency programme management structure	• Head of IHART chairs Oversight Group		• Director of CoCo establishes Oversight Group
• sign partner MOUs			• Global Security Advisor supports development of updated security assessment and plan
• update the security plan in view of any changes in external/internal security environment			

Funding and fundraising

What the member/country programme does (ORANGE & RED alerts	What IHART does (ORANGE & RED alerts)	What IHART does (YELLOW alerts)	What other parts of the organisation do ORANGE & RED alerts)
• reallocate internal funds and use national level contingency funds	• consider DPRF request and disburse funds	• consider DPRF request and disburse funds	• CoCo and International Finance support on reallocation of funds at country level
• apply for ActionAid's Disaster Preparedness and Response Fund (DPRF) funds	• co-ordinate fundraising appeals and donor proposals across affiliates		
• apply for donor rapid response funds (e.g. DFID Rapid Response Fund (RRF), ECHO Primary Emergency, START fund) as available			• affiliates submit donor Rapid Response Fund proposals (e.g. ActionAid UK submit DFID RRF and ECHO proposals as relevant)
			• affiliates launch fundraising appeals and donor proposals if appropriate

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Communications

What the member/country programme does (ORANGE & RED alerts)	What IHART does (YELLOW alerts)	What IHART does (ORANGE & RED alerts)	What other parts of the organisation do ORANGE & RED alerts)
• holding statement developed	• work with International Communications Team (ICT) and & member/ country programme to put in place Rapid Action Communications in Emergencies (RACE) deployment if needed	• work with ICT and member/ country programme to put in place RACE deployment if needed	• ICT helps to develop and disseminate holding statement and key positions, connects with wider ActionAid comms network, updates international website and circulates statements and press releases to international media
• request RACE deployment			
• rapid assessment should include information and communications needs of communities			• communications lead country (usually ActionAid UK) will nominate an emergency media manager to manage the communication response

Co-ordination

What the member/country programme does (ORANGE & RED alerts)	What IHART does (YELLOW alerts)	What IHART does (ORANGE & RED alerts)	What other parts of the organisation do ORANGE & RED alerts)
• establish contact with UN clusters and relevant government agencies.	• link with relevant UN clusters at the global level.	• link with relevant UN clusters at the global level.	• link with relevant UN clusters at the global level.
• link with other responding I/NGOs in country on prospective response plans.			
• apply for donor Rapid Response Funds (e.g. DFID RRF, ECHO Primary Emergency, START fund) as available.			

Activate preparedness plan

Who does this:
member/country programme

All ActionAid countries, but particularly those that are disaster prone (to both natural disasters and/or conflict) – see **http://goo.gl/asTkFk** – should develop an emergency preparedness plan before a crisis. This sets out the basic information that is required to assess and prepare for likely disasters. It also provides an action plan for the member/country programme to ensure that ActionAid staff, partners and communities know what to do in a disaster and are ready to respond quickly and effectively. During the 2012-2017 strategy period IHART is working with 24 countries identified as the most vulnerable to disasters, to develop and implement emergency preparedness plans.
See **http://goo.gl/asTkFk** for the list of prioritised countries.

The preparedness plan includes a range of information, including:

• Analysis of the likely threats in ActionAid's working areas (see risk assessment guidance presentation: **http://goo.gl/f9Qz5X**)

• Basic information that will be needed to assess the scale of humanitarian need and ActionAid's response (e.g. population figures for ActionAid's working areas, economic and social data, community access and preferences for communications channels etc).

• Pre-planned response activities for likely disasters (e.g. what ActionAid would do in the event of a flood or earthquake).

• Details of pre-qualified suppliers and procurement processes.

• Contact details for relevant staff, partners and external institutions.

• Action plan to build the necessary capacity among communities, ActionAid staff and partners.

Implementation of the plan should start immediately after it is developed, and the member/country programme should be working to build capacity before emergencies. In the event of an emergency, the plan will be activated and the pre-agreed response activities will be put in place to guide the response. Further information on developing and implementing a preparedness plan is included in **Section 6** and a template can be found at: **http://goo.gl/asTkFk**

Deploy IHART International Programme Manager (IPM)

Who does this: IHART

In orange and red alert emergencies, IHART may deploy an IPM to support the member/country programme to implement an emergency response. The IPMs are senior members of the IHART team, who have responsibility for emergency preparedness and response in a specific geographic region. Currently there are two IPMs – one for Asia, and one for Africa and the Americas.

The IPM will be deployed within 48 hours, and will help the member/country programme start response activities in the first critical days after the disaster. She or he will also help to set up systems to manage the longer term response. The IPM will remain in country until the response can be handed over to the member/country programme team – deployments normally last between one week and one month.

Once a disaster has been declared as an **ORANGE** or **RED** alert, IHART will contact the member/country programme to arrange deployment of the IPM. IHART will arrange logistics for the deployment and will cover all the IPM's costs. The member/country programme will be expected to provide logistical support, for example in providing visa invitation letters and arranging local transport and accommodation.

If more than one orange or red alert crisis happens in the same region simultaneously, IHART will make additional staff available for deployment, either from the IHART team or the EFAST roster.

A relief boat makes its way to villages affected by cyclone Aila in Sundarban region, India.
PHOTO: NILAYAN/ACTIONAID

Section three : disaster response in the first 72 hours

Reference
3.1.2

Emergency preparedness and response handbook
Section three : disaster response in the first 72 hours

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Conduct a rapid assessment

Who does this: member/country programme, with support of IHART

The purpose of a rapid assessment is to gather basic information about the disaster and the impact on the communities that ActionAid works with. It should describe: what has happened, who is affected, what help is required. The rapid assessment has several purposes:
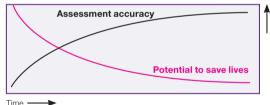
- to allow ActionAid to make a timely decision on what scale of response (if any) is required

- to identify the needs of affected communities and the type of support they require

- to build relationships with communities affected by disasters

- to identify what additional capacity the member/country programme will require to respond

- to inform fundraising decisions around the need for public appeals and wider fundraising activities

- to inform communications to external audiences and for media

- to inform policy positions and advocacy work at various levels.

The rapid assessment is different to the detailed needs assessment, which should be conducted later in the process (see **Section 3**). A needs assessment generates detailed and specific information about the needs of disaster-affected communities, and is used to develop a detailed Emergency Response and Resilience Building Plan (ERRP). The rapid assessment should focus on gathering 'just enough information' to inform decisions on whether to respond and what the immediate priorities should be.

When should a rapid assessment be done?

The rapid assessment should start as soon as possible after the disaster and be completed within 72 hours or sooner. The information may not be perfect or complete, but it is critical to have the basic information within the first two to three days. This is because the quicker ActionAid can start responding, the higher the chance of saving lives. The assessment can be updated and more detailed information added later – the rapid assessment only has to provide 'just enough' information to enable us to start responding

Speed vs accuracy

From a fundraising perspective, it is also important to have basic information quickly. For example, the DFID rapid response facility requires that applications be submitted within 12 hours of the call being made (usually very soon after a disaster hits), whilst ECHO primary emergency funding applications need to be submitted within 72 hours of the call for proposals being issued, in order to secure funding for the first one to three months of the response. These funding mechanisms are described below under fundraising.

What information needs to be gathered in the rapid assessment?

The rapid assessment should describe what has happened and what the impact has been. Much of it is common sense. Imagine you are the first person to arrive at the scene of a disaster – if you had to explain to your colleagues back at the office what you saw, what kinds of information would you think were important? You would probably tell them: what sort of damage you could see; how many people had been killed and injured; what help those people were asking for. The rapid assessment simply provides a framework to guide you in collecting this kind of basic information and communicating it in a way that is easy to understand and use.

Key questions include:

- How many people have been affected? In what ways are they affected (killed, injured, houses damaged, houses destroyed, crops destroyed)?
- What does the community identify as their immediate needs?
- What support is already being provided/planned by other actors and the communities themselves?
- How do communities expect the situation will develop over the next month?
- What has been the specific impact on women?
- What are the information needs of the community, and what communication channels are operational after the disaster?

The checklist in **Annex 3** sets out suggested detailed questions to be asked for a rapid assessment.

Compare these two pictures of Kenya:

The picture on the left would allow you to make a detailed description of the boy. But, by seeing only half the picture you would miss the most significant thing that is going on – the Kenyan drought. The picture on the right gives you a much better idea of the whole story.

The golden rule is:
half the whole picture is better than the whole of half the picture!

Section three : disaster response in the first 72 hours

Reference
3.1.4

Emergency preparedness and response handbook
Section three : disaster response in the first 72 hours

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Who should ActionAid work with to conduct the rapid assessment?

In an emergency, it is likely that other humanitarian actors will be working in the affected area (community based organisations, local or national government, other INGOS, national NGOs, UN agencies, etc). ActionAid should work together with other actors where possible to avoid duplication and to maximise the information that is generated on the impact of the crisis. If the UN clusters are activated, ActionAid should share rapid assessment data with other cluster members, and participate in joint assessments where possible.

How should the information be gathered?

Secondary data

The rapid assessment can include estimations, based on pre-collected data and past experience. For example, the Emergency Preparedness Plan (EPP) will include data on how many people live in certain areas, including how many people fall within vulnerable groups. You can use this to estimate how many people may be affected, based on your sample. It is important to define what is data that has been collected from communities, and what are assumptions.

You should also consult secondary sources that are available, for example rapid assessments produced by the government or other NGOs, Office for the Co-ordination of Humanitarian Affairs (OCHA) situation reports, information updates from the UN clusters, media reports etc.

These can provide important information about the national or regional situation, which can supplement and contextualise data from ActionAid's working areas.

Information can be collated from a range of sources such as internet searches, social networks, donor networks, phone conversations with local partners, etc.

Conducting some research before going to the community also allows the assessment team to share information on the disaster and what support is available. For example, they may be able to alert the community to relief that is on its way, or inform people what level of compensation they are entitled to from the government.

For orange and red alert disasters, IHART's Information Officer (contact details **Annex 4**) will also support the member/country programme to identify and analyse secondary data at the global level.

Primary data

The rapid assessment should include information gathered directly from the community. As time and human resources will be limited, you should consider selecting a representative sample of communities from the affected area. When selecting villages, consider the following factors to ensure you have a representative sample: different ethnic communities, distance from the road/ towns, distance from the centre point of the disaster, etc. For reasons of practicality you may have to select based on accessibility (for example it may be impossible to reach certain areas due to flooding or conflict). The rapid assessment report should make clear how the sample was selected.

A range of participatory tools can be used to collect this data. Possible methods include transect walks, maps, calendars and time lines. It is highly likely that there will be people within the country team who have expertise on participatory methodologies who should be consulted on best practice. A book which is highly recommended for reading is *Methods for community participation*, by Somesh Kumar. While it may be difficult to conduct participatory surveys in disaster-affected areas, some of these tools may be useful in giving a quick sense of the scale of the disaster. You will need to consider that communities are under high stress when responding to these surveys. It is important that any information collated during a rapid needs assessment is triangulated and validated.

Links to additional reading materials for rapid assessments can be accessed here: **http://goo.gl/wCKl4q**

In orange and red alert disasters, IHART's International Programme Manager will be responsible for co-ordinating the rapid assessment process and drawing together the information collected.

Section three : disaster response in the first 72 hours

Reference
3.1.6

Emergency preparedness and response handbook
Section three : disaster response in the first 72 hours

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How should the information be shared?

The data and conclusions of the rapid assessment should first be shared with the affected communities. Before leaving, the team should feed back to community members (particularly women) how they have understood the situation and what they understand as the needs and priorities of the community. They should also explain what will happen next – how the information will be used, when ActionAid will return and what the community can expect. It is important to be careful about managing expectations and not promising things that ActionAid cannot deliver. The team should emphasise that ActionAid will work with the community to respond to the disaster, and will support the community to be the primary responders.

The results of the rapid assessment must also be sent as quickly as possible to IHART, who will share this information across the federation. The rapid assessment checklist in **Annex 3** can be used as a template for writing up the rapid assessment. This is designed so that the information is easy to use for the different end-users (member/ country programme staff responsible for designing the response, fundraisers, communications staff, IHART etc). However, information gathered in the rapid assessment does not always need to be communicated in a long, formal report. It can be shared through emails and phone calls if this is more convenient. The most important thing is for the information to be shared quickly – if this means putting it in an email or phoning IHART (contact details **Annex 4**), please do this! The report can follow later.

Guidance on conducting a rapid information assessment (to identify lifesaving information needs, communications channels available etc.) can be found at **http://infoasaid.org/ diagnostic-tools**

Country level media landscape guides developed by the Infoasaid project are also available online for 22 countries. They provide comprehensive and detailed information on the media and telecommunications landscape, including details of coverage and community usage of radio, television, newspapers, mobile phones etc. **http://infoasaid.org/ media-and-telecoms-landscape- guides**

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Emergency preparedness and response handbook
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Reference
3.1.7

Section three : disaster response in the first 72 hours

FURTHER READING AND RESOURCES

More about the RASCI matrix: **http://goo.gl/asTkFk**

List of countries ActionAid has graded as disaster-prone: **http://goo.gl/asTkFk**

Preparedness plan template: **http://goo.gl/asTkFk**

Rapid assessment checklist: **Annex 3**

IHART information officer contact details: **Annex 4**

Links to additional reading materials for rapid assessments: **http://goo.gl/wCKI4q**

Country level media landscape guides: **http://infoasaid.org/media-and-telecoms-landscape-guides**

ActionAid emergency water distribution in the drought hit region of Jawzjan province, Afghanistan.
PHOTO: ACTIONAID

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Commence immediate relief activities

Who does this: member/country programme

There is no standard set of activities that constitute emergency response – it depends on the context and the needs of the community. The response should start as soon as possible; it can even start in parallel to the rapid assessment if certain needs are evident. For example, if it is clear that there has been widespread damage, when visiting communities to conduct the rapid assessment you could distribute emergency supplies of food, water and emergency shelters to sustain people through the first days of the emergency until the response programme can be started at scale.

During the first 72 hours, the focus should be on **immediate lifesaving activities.** Examples of such activities include:

- Distribution of emergency food supplies (these should be culturally appropriate and based on the normal food consumed by local communities). Think about how the community will prepare the food – if people have no cooking utensils or fuel you will need to either provide these or provide ready prepared meals, or food that can be eaten without cooking.

- Provision of emergency drinking water supplies.

- Distribution of emergency shelters (tarpaulin sheets, tents) and blankets.

- Supporting community committees to organise search and rescue activities (if this is not being organised by specialist agencies or government). Ideally this expertise would have been built as part of the preparedness plan and necessary equipment and skills provided at community level, but it may be necessary to provide tools and equipment identified by the community.

- If you can, community representatives should be involved in selecting samples and in procuring items from local markets. But in situations where this cannot be done immediately (e.g. if villages are cut off from markets or where markets are not functioning) it may be necessary to take quick decisions on behalf of the community and provide urgently needed items to bridge the first few days until the bulk of procurement and distribution can be started.

- Establishing two-way communications channels and providing lifesaving information to communities. This could include key messages to help communities avoid risk (such as health and hygiene messages, information on aftershocks following an earthquake etc) and information on assistance available from ActionAid and other agencies (such as planned relief distributions, registration points, government assistance announcements).

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Emergency preparedness and response handbook
Section three : disaster response in the first 72 hours

Reference
3.1.9

Section three : disaster response in the first 72 hours

• Establish basic accountability mechanisms to ensure accountability to disaster-affected communities – these should be in place right from the start of the response and can be very simple things. For example, provide information on how communities can provide feedback or raise complaints (such as a phone line, complaints box, community focal points etc). Also provide information on the organisation and our response (including what will happen with the rapid assessment findings, selection criteria for who is receiving aid, what the next steps are) – this can be through community meetings, display boards or simple leaflets.

As you will see from the list above, these activities are highly dependent on context (geographic location, time of year, type of disaster etc). For example, it would not be a priority to distribute blankets in very hot weather, or to distribute temporary shelters if there was not widespread damage to housing. The most important thing is to follow the three Cs:

- **Context:** make decisions based on your (or partners') knowledge of the local situation, and as soon as possible through consultation with the community. This means being aware of cultural or religious factors (providing clothing and food that people are familiar with and that they will be able to use), thinking about the disaster and the type of impact that is likely to have occurred (e.g. is it a low lying area where houses are likely to have been destroyed by flooding, or an exposed mountainous area where temperatures will be cold at night?).

- **Common sense:** emergency response is not a mysterious art completely different from your everyday experience and expertise. Based on your knowledge of the context and the information available, use your judgement to apply the key principles, and take the decisions that make the most sense at the time. You might not be right every time, but using common sense will almost certainly do better than if you try to follow a 'cut and paste' approach that has been designed elsewhere.

- **Consistency:** right from the outset, it is important to build trust with the community and follow the principles that ActionAid applies in its overall work. For example, we prioritise women's leadership in the response process, we are accountable to the communities we work with, and we take sides with people living in poverty and exclusion. Consistency also means providing information to people about what ActionAid is doing (how the results of the rapid assessment will be used, when ActionAid staff will be returning, what resources we have available to support communities) and following through on promises made.

Section three : disaster response in the first 72 hours

Reference
3.1.10

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Deploy global EFAST members

Who does this: IHART

EFAST is a roster of trained practitioners across the ActionAid federation, who are available to provide additional capacity to members/country programmes in emergencies (**Section 1**). They can be deployed within 48 hours to a disaster-affected country.

Member/country prpgramme contacts IHART requesting EFAST deployment (phone/email or in sitrep)	IHART identifies appropriate person to deploy	IHART arranges logistics for deployment

The member/country programme can request an EFAST deployment by contacting IHART – this can be done by phone or email (contact details **Annex 4**) or by including a request in the sitrep (**Annex 5**). IHART will then match the requirements of the country programme to the list of EFAST members and identify the appropriate person. IHART will arrange the logistics for deployment (booking flights, linking with the member/country programme to arrange visas, pre-deployment briefings, etc). IHART will provide advice and guidance to the member/country programme on how to support the EFAST deployee while in country.

The costs for EFAST deployments (flights, accommodation, salary costs for deployee) can be met in different ways depending on the situation. If the member/country programme has funds available from existing budgets or reserves, they will be asked to cover the EFAST deployment costs. If the member/country programme is not able to cover the costs, then the deployment can be paid from IHART's emergency response fund, the DPRF, (see **Section 3**). If subsequent appeal funds are raised, this money can be used to reimburse the deployment costs to the DPRF. IHART will discuss financing of the EFAST deployment with the member/country programme when a request is made.

Deploy national EFAST members

Who does this: member/country programme

In addition to global EFAST (see above), ActionAid also has national EFAST rosters in some countries. This is a list of external consultants, volunteers and staff who are available to provide additional capacity to the member/country programme to support disaster response.

As part of the preparedness plan, it is important to consider arrangements for deploying national EFAST members, including consultancy contracts, insurance, security arrangements, line management and supervision by ActionAid staff etc.

The member/country programme is responsible for covering all costs relating to national EFAST deployments.

Country programme calls IHART Head/IPM or IHART Information Officer to report incident.

Infomation sharing teleconference between:

CD/Head of CoCo

IHART's IPM

IHART Head

Emergency News Manager.

Complete situation report and send to IHART Information Officer.

Head of International Communications contacts Head of IHART to discuss possible RACE deployment.

Information management

Ensuring the right information is available at the right time is critical to enable ActionAid to undertake timely, effective and accountable humanitarian responses, as well as to co-ordinate with others and capitalise on fundraising, media and influencing opportunities. Managing information during a humanitarian emergency is a crucial part of any operation. Knowing what is happening, where, who is affected and why, the causes of the disaster, what affected people's needs are and what the policy and funding environment is like is essential to enable ActionAid to make decisions around the strategic direction of our response. Conversely, a lack of information can hinder our ability to initiate a rapid programme response, which may cost lives and increase suffering, and may mean we miss the vital window of opportunity for building our profile as a responding agency and raising much-needed income for response.

Section three : disaster response in the first 72 hours

Reference
3.2.1

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Share initial details of disaster with IHART

Who does this: country programme, linking with IHART

As per ActionAid's standard operating procedures for orange and red alert emergencies, (see **Annex 2)** a teleconference will take place in the initial aftermath of a disaster between the respective Country Director/ Head of Country Co-ordination (latter in the case of multi-country disaster); the IHART International Programme Manager and the Head of IHART. The purpose of the telecon is to share any information relating to the emergency, specifically:

• Scale and location of disaster.

• Type of disaster and cause of disaster.

• Likely impact of disaster on ActionAid LRPs, including on sponsored children and families.

• Immediate safety/security concerns of staff/partners.

• Immediate capacity gaps identified at country level.

This information will help guide further actions on operational response, alert level declarations and subsequent fundraising and communications activity.

Maria Jose, 25, guides her children through floodwaters in Trizidela do Vale, Brazil.
PHOTO: ACTIONAID

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Reference
3.2.2

Section three : disaster response in the first 72 hours

Complete ActionAid situation report (sitrep)

Who does this: member/country programme, support from IHART

The situation report is an internal ActionAid template that is used to share information on the disaster across the organisation. The first sitrep should be completed within 24 hours of the disaster and sent by email to the IHART Information Officer and relevant regional IHART International Programme Manager (contact details **Annex 4**).

The sitrep includes the following information:

• description of what has happened and the impact of the disaster

• analysis of needs of the communities ActionAid works with

• ActionAid's planned response

• member/country programme's proposal for the alert level (yellow, orange, red)

• funding needs and request for DPRF funds

• request for EFAST deployments

• initial communications content

• overview of other actors' responses.

The sitrep template and guidance on how to complete each question is included in **Annex 5** and at: **http://goo.gl/asTkFk**

When IHART receives the sitrep, the regional IHART IPM will review the information and ask for any clarifications from the country team. IHART will then use the information to make a recommendation on the alert level. IHART will also circulate the sitrep across ActionAid and make it available on the HIVE. The information will be used to inform various functions at the global level, including fundraising, communications, policy and advocacy.

Updated sitreps should be submitted regularly, as follows:

- For the first week following the disaster: every 24 hours in the case of red alert disasters, every 48 hours in orange alert disasters, weekly in yellow alert disasters.

- After the first week following the disaster (from day eight onwards): weekly in the case of orange and red alert disasters. Information requirements for yellow alert emergencies will depend on whether funds for response have been secured internationally (i.e. outside the disaster-affected country) and will be advised by the IHART Information Officer.

Establish process for information flow from affected areas to ActionAid and vice versa

Who does this: member/country programme

It is important to establish a system for receiving regular updates from the disaster-affected area/s, so that ActionAid is up-to-date with the latest situation, and can make informed decisions about the direction of our response. Additionally, establishing mechanisms through which disaster-affected communities can link directly with partners and ActionAid, to ask questions, complain, feed back on our programming, share their concerns etc. is a fundamental component of our accountability agenda and one that should be programmed into our emergency response from the start.

At the same time, it is critical to ensure that ActionAid is regularly linking with partners (and partners with communities) to share information on early warning/forecasts regarding whether the situation is likely to deteriorate or improve, as well as information on ActionAid's response plans and budgets. In addition, ActionAid can play an important role in providing information on where and how communities can access goods, services and information, both relating to ActionAid's programming and to the wider response of the government and other actors.

Two-way information flow systems should be activated in the immediate aftermath of the disaster, linking communities, partners, ActionAid in the disaster-affected country and IHART (who will link with the wider ActionAid federation).

A mother and her children, who have been forced to move into a temporary camp after landslides hit their home in Bududa, Uganda.
PHOTO: RONNIE KIJJAMBU/ACTIONAID

Co-ordinate federation-wide information sharing

Who does this: IHART

In emergencies, IHART acts as the central co-ordinating body for information on the disaster and ActionAid's response. Information flow both from the disaster-affected country to the wider federation, and from the federation back to the affected country, is co-ordinated primarily through the IHART Information Officer, linking with other parts of IHART (Team Business Manager on fundraising and the regional International Programme Manager on programming and policy).

The IHART Information Officer is responsible for sharing information on the disaster and ActionAid's response with colleagues across the ActionAid federation – primarily communications staff, fundraising staff, colleagues from the Country Co-ordination and Programmes Directorates, SLT members and relevant Country Directors. This includes:

- Situation reports (or email updates in the absence of a sitrep), circulated daily for the first week following a red alert disaster or every other day in the case of an orange alert disaster; subsequently circulated on a weekly basis after the first week following the disaster.

- Oversight Group meeting minutes, circulated following each Oversight Group meeting.

- Monthly emergencies update email, a summary email circulated once a month sharing information on ActionAid's responses to disasters across different countries. The IHART Information Officer is also responsible for collating information requests from federation members, and either answering these directly or linking with the disaster-affected country for additional information. By channelling information requests in this way, IHART seeks to reduce the burden on the disaster-affected country and limit the number of email communications between multiple groups.

IHART is also responsible for co-ordinating information on international fundraising opportunities, sharing these with the disaster-affected country and supporting subsequent development of fundraising proposals. Again, this co-ordination function, led by the IHART Team Business Manager, aims to reduce the burden on the disaster-affected county as well as keep relevant stakeholders across the federation up-to-date on the status of different funding opportunities.

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Establish an emergency programme management structure

Who does this: member/country programme, with support from IHART

To manage the disaster response effectively, it is important that all ActionAid staff and partners clearly understand what tasks they are expected to carry out. The actions described below will help to ensure this happens. In orange and red alert disasters, the IHART IPM will be responsible for supporting the member/country programme to put this programme management structure in place. In yellow alerts, it is up to the member/country programme to decide if the emergency programme management structure is required.

Management response

As the disaster response progresses, the country programme will develop an Emergency Response and Resilience Building Plan (ERRP). This is described in the **Section 4**. However, there are certain processes and systems that need to be put in place in the first 72 hours to make sure that the programme is effective.

- **Appoint an Emergency Response Manager (ERM):** the ERM is a member of the ActionAid member/country programme staff who is responsible for the implementation of the disaster response programme. The ERM will have an existing role within ActionAid and will be expected to shift role when a disaster happens. In orange and red alert disasters, the IHART IPMwill take on this role until a suitable candidate can be identified.

The Country Director is responsible for selecting and appointing the ERM, with the input of the IPM. Normally, the ERM will be chosen from senior members of the member/country programme team (for example the LRP manager) with experience in disaster response. The ERM will continue in this role until the disaster response is complete or until they can hand over responsibility to an external ERM who is recruited to manage the response in the longer term (this may happen in major emergencies). **Annex 6** contains a generic ToR for the ERM, which describes the main functions of this role, and the necessary skills and experience. This should be adapted for the specific context. If the country programme is unable to identify a suitable candidate for the ERM, they can request an EFAST deployment.

- **Establish an Emergency Response Team (ERT):** the ERT is the group of ActionAid staff and partners who are responsible for implementing the disaster response. The group is led by the ERM. The ERT would normally consist of four to six people and should be of decision-making level; they should also represent the different geographical areas where response is being implemented as well as different functions. Their role is to plan, co-ordinate and review the progress of the disaster response. The group should meet daily, either by phone or in person to share updates and plan activities. The ERT should agree on clear protocols for information sharing (internally and externally).

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Annex 7 contains a generic ToR for the ERT, which describes its main functions and suggestions for membership of the group. This ToR should be adapted for the specific context.

• **Cover ongoing staff responsibilities:** the Country Director should ensure that arrangements are in place to cover the ongoing responsibilities (i.e. planned activities not related to the disaster response) of staff who are engaged in the disaster response. It is the responsibility of the Country Director to decide on the most appropriate way to do this: he or she may decide to temporarily suspend non-emergency programmes; to bring in additional temporary staff; or to allocate additional responsibilities to staff not engaged in the disaster response. The Country Director should remember that ActionAid is obliged to respond to disasters that affect the communities that ActionAid works with, and that orange and red alert level disasters must take precedence over 'normal' programmes.

Country Directors should discuss with line managers in Country Co-ordination for advice on suspending or delaying work not related to the emergency (for example, deadlines related to country strategy paper development etc).

Once decisions around re-prioritisation have been taken, the Country Director should communicate them widely (what is being stopped, deferred or reduced) within the country programme, to partners, to donors (if appropriate) and to the Secretariat (if appropriate) so the federation recognises that it is not 'business as usual'. This will ensure employees are not held accountable for work/outputs that were in their original plans.

• **Define responsibilities and accountabilities of staff:** the functions of key members of staff should be clearly set out, including their authority levels and the processes of decision-making. These can be defined through ToRs, job descriptions or a RASCI matrix, as appropriate. Much of this can be done in advance of a disaster, and can form part of the emergency preparedness plan (see **Section 6**).

The pre-defined roles and responsibilities can then be reviewed and activated in a disaster.

Also look at the START Network humanitarian competency framework, which describes the important competencies and behaviours for humanitarian workers – this can be used to write/amend job descriptions and develop competency-based questions for recruitment interviews (see **http://goo.gl/asTkFk**).

• **Link management structures to the Oversight Group:** in orange and red alert disasters, an Oversight Group will be established to guide and monitor the response. This is described in more detail below.

Establish MOUs with existing and new partners

Who does this: members/country programme

During disasters, it may be necessary to review existing partnerships and put in place new partnership arrangements. For example, members/country programmes may work with partners who are excellent in specific fields of long-term development; they may not, however, have the necessary skills to implement disaster response. For the majority of disaster responses, ActionAid will continue to work with existing partners. However in some cases, we may need to establish new programmes with existing partners, or establish new partnerships in areas where the disaster response is being implemented.

At the start of the response, members/country programmes should sign a new MOU with all partners (even existing partners with whom they have worked prior to the emergency). This MOU should outline new commitments regarding the implementation of the emergency programme. A template for an emergency MOU is currently being finalised.

As in the rest of ActionAid's work, partnerships in emergencies are based on shared perspectives, understanding and vision. They are based on mutual respect, accountability and complementarities. There will be clear roles and responsibilities, harnessing collective power to achieve common goals. Identifying and building relationships with potential partners in disaster-prone areas is an important part of ActionAid's preparedness work.

According to ActionAid's partnership policy, the following documents are the core accountability documents that every partnership process should aim to formulate, review and approve. They should be accessible, and should be retrievable by management, programme and finance staff and auditors at any time during the partnership.

• **Partnership agreement** – this may be short- or long-term and may be a one-off agreement or renewable by mutual agreement. (See *Supporting partners in security risk management*: **http://goo.gl/bmGds3**)

• **Programme memorandum** (or project document) – this is an annex to the partnership agreement, detailing the mission-level objectives, specific activities, budget and monitoring/success indicators, with clear time frames and means of verification. It also includes a grant disbursement schedule.

• **Programme and financial reporting formats** – the format and content is agreed with the partners at the time of signing the partnership agreement. They may be dependent on donor reporting requirements, where ActionAid donors have specific information needs.

! Review and update the security assessment and security plan

Who does this: member/country programme, with support from Global Security Advisor

Staff security must be ActionAid's top priority in disasters and must be an integral part of all disaster response programmes. All countries where ActionAid has a presence must already have security risk analysis and plans in place before a disaster strikes. If ActionAid responds outside its usual operating area, security analysis and plans must be developed as outlined below. Provisions for staff security should be guided by the global staff security policy, which is summarised here: **http://goo.gl/XOT2kf**

In the first 72 hours, the country programme must:

• **Conduct an updated security analysis:** at the very start of the disaster response programme, the security analysis should be updated to determine potential risks and threats to staff and assets. Disasters can dramatically change the security context and the safety of staff implementing disaster response must be seriously considered. If the response is outside usual operating areas, security analysis must be conducted within 24-48 hours. A template for the security analysis and guidance on how to complete it can be found at **http://goo.gl/asTkFk**

• **Update the security plan:** based on the security analysis, appropriate mechanisms should be put in place to mitigate and manage security risks. The security plan must be in place before an emergency occurs, but is to be updated in the first 72 hours and shared with country programme staff and partners. This should be done in close consultation with the designated security focal point (this person should be identified and trained in advance of the emergency and should already have worked on putting minimum security standards in place). See guidance: **http://goo.gl/mH1Luk**

It should also be shared with the Global Security Advisor (contact details **Annex 4**). **http://goo.gl/asTkFk** contains a template for the security plan and guidance for how to complete it. When responding to an emergency outside usual operating areas, a security plan must be developed within the first 72 hours.

The security analysis and security plan should be regularly reviewed and updated, and the implications for the delivery of the disaster response programme considered. This should be done with input from partners and formal sources, such as government and inter-agency mechanisms. ActionAid should also continue to share information on security risks with partners and with other humanitarian actors, for example through the UN cluster system.

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3.3.4

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Establish Oversight Group

Who does this: Director of Country Co-ordination, or Chief Executive Officer

The Oversight Group (OG) is a group of senior staff from across the ActionAid federation, which is formed in orange and red alert disasters to help guide and monitor the disaster response.

The purpose of the OG is to:

- Provide organisational risk management (including reputational, financial and staff security risks).
- Be accountable for the co-ordinated support of the ActionAid federation to the implementing country or countries.
- Approve the emergency response and resilience programme framework, to ensure effective collaborative efforts and synergies.
- Be accountable for making links to longer term development programmes.

The OG will be established within 24 hours of an orange or red alert level being declared. In orange alert disasters, the OG will be established by the Director for Country Co-ordination. In red alert disasters, the OG is established by the Chief Executive Officer. In both orange and red alert disasters, the OG is chaired by the Head of IHART.

The OG normally includes the Country Director(s) of the affected country/ies, representatives from the Country Co-ordination Directorate, representatives from affiliates fundraising for the disaster response and representatives from International Secretariat functions such as communications, fundraising and policy. The membership of each OG is selected by the Director of Country Co-ordination in orange alert disasters and the CEO in red alert disasters, based on advice from IHART.

The OG meets weekly in the initial stages of red and orange alert disasters. As the response progresses, the frequency of the meetings may reduce to monthly and then quarterly – this decision is taken by the Chair of the Oversight Group. The recommendation to cease the OG is taken by the group collectively; the decision is taken and finally communicated by the person responsible for originally initiating the Group (the CEO in red alert emergencies, or the International Director of County Co-ordination in orange alert emergencies). When this happens, responsibility for the management of the disaster response moves to the Country Director of the affected country.

Annex 2 contains a generic ToR for the Oversight Group, which sets out the scope and functions of the group and suggested membership. IHART is responsible for providing technical and administrative support to the group.

Fundraising
Reallocate internal funds and access national contingency funds

Who does this: member/country programme, with support of Country Co-ordination and International Finance

Fundraising in emergencies, particularly for smaller scale and slow onset disasters, can be a challenge and often the fastest and most appropriate source of funding for disaster response is at the national level. In most cases, the member/country programme is expected to make efforts to access national level funds before seeking funding support from the wider ActionAid federation or global donors. These sources can include:

• ActionAid country level contingency funds: members/country programmes are expected to hold contingency funds for disaster response, and these should be activated to fund immediate relief activities and the rapid assessment. The country programme should be clear before a disaster how these contingency funds are to be used and the criteria for accessing them.

• Reallocation of ActionAid budgets: if a medium-large scale (orange or red alert) disaster affects the communities that ActionAid works with, ActionAid is obliged to respond and prioritise the disaster response over existing programmes. If appropriate, the member/country programme should look at ways to reallocate existing budgets to support the disaster response. This should be done in consultation with Country Co-ordination, International Finance and, if necessary, donors.

• External country level contingency funds: if appropriate contingency funds exist at the national level (for example government or the UN), ActionAid should apply for these. To save time in a disaster response context and to increase chances of success, ActionAid should have identified in advance any external contingency funds, built relationships with the donor and ensured that they are familiar with the application requirements and procedures.

The member/country programme will be expected to demonstrate that they have attempted to access funds for disaster response at the national level (both internally and externally) before applying to other sources, such as the DPRF (see below). This is to make sure that ActionAid's central funds in the DPRF are used for the situations of greatest need, and to ensure that a strong argument can be made to external donors that their support is needed. However, in very large scale crises this requirement may be waived – if the scale of need is obvious and seeking funding at the national level would put an unnecessary burden on the member/country programme or pose a reputational risk for the federation, then international funds may be provided immediately.

Apply for DPRF funds

Who does this: member/country programme,
with support from IHART

If the member/country programme is unable to secure adequate
funds for disaster response at national level, then they can apply
for funding from ActionAid's internal **Disaster Preparedness
and Response Fund (DPRF)**. This fund is managed by IHART.

A request for DPRF funding can be made immediately after
a disaster, and funds can be released within one week (though
it is often much sooner) of a request being approved. The request
for funding can be made in one of the following ways:

- By completing the relevant section in the ActionAid situation
  report (see **Annex 5**). This should contain a brief outline
  of planned activities and a top line budget.

- By submitting a written or verbal request (by phone, email,
  SMS etc.) to the Head of IHART (contact details **Annex 4**).
  This should contain a brief outline of planned activities
  and a top line budget.

- Through mutual agreement between the Head of IHART
  and the relevant Country Director (or Head of Country
  Co-ordination in the case of a multi-country response)
  in cases of human resource (EFAST) deployments.

Villager Chhourm Klourn writes down the names of flood-
affected households in Siem Reap province, Cambodia.
PHOTO: SAVANN OEURM/ACTIONAID

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Emergency preparedness and response handbook
Section three : disaster response in the first 72 hours

Reference
3.4.2

Section three : disaster response in the first 72 hours

Decisions to disburse DPRF funding are made by the Head of IHART, based on the following:

a) Overarching criteria: applications to the DPRF must meet both of these criteria to be successful:

• The member/country programme must be able to demonstrate that they have used any contingency funds available for disasters at national level and have made attempts to find resources from within existing budgets. In exceptional circumstances, where the scale of the disaster and the response required is such that a lack of immediate response would carry a reputational risk for ActionAid, this criteria may be waived.

• The work must clearly relate to disaster preparedness or response.

b) Purpose of the work: applications to the DPRF must meet at least one of these criteria to be successful:

• The work must demonstrate potential for policy leverage, i.e. strengthening the efforts of ActionAid/partners to secure relevant policy outcomes.

• The work must contribute to increasing the visibility of the crisis and/or ActionAid's approach to emergencies.

• The work must respond to clear humanitarian needs within communities that ActionAid works with, that are not being met by other agencies.

c) Fundraising potential: applications to the DPRF must meet at least one of these criteria to be successful:

• The DPRF disbursement represents co-funding for a grant secured by an institutional donor (e.g. ECHO).

• The work demonstrates clear potential for leveraging further funds from external donors at the national or international level.

• The member/country programme must be able to demonstrate a strong likelihood they will be able to secure sufficient funding that will enable them to reimburse the money to the DPRF (for example evidence that a donor is prioritising the disaster response, verbal or written commitments/expressions of interest based on donor meetings etc).

Once a funding request has been approved, this will be communicated by the Head of IHART to the affected country with instructions on how to access the funds. An MOU outlining the mutual accountabilities for the funds and reporting requirements will also be sent. The Finance Officer working with IHART will ensure that International Finance make the appropriate internal disbursement and IHART's systems and the Surge Capacity Officer will maintain a database of disbursements.

A separate handbook on the DPRF is available, which describes in detail the different funding strands and the processes for applying for and managing funds, here: **http://goo.gl/wrwp7Z**

Section three : disaster response in the first 72 hours

Reference
3.4.3

Emergency preparedness and response handbook
Section three : disaster response in the first 72 hours

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Apply for priority institutional donor funds

Who does this: member/country programme and fundraising affiliates, with support from IHART

External donors may also make funding available for immediate response through rapid response mechanisms at the global level. These are funds that are released very quickly after a disaster, and provide funds to ensure that help reaches communities as quickly as possible. Whilst the information required in order to secure funding from institutional donors varies from donor to donor, there are a number of common areas:

• A strong rapid needs assessment, highlighting the rationale for our proposed geographical and sectoral areas of intervention.

• Prior links and an established relationship with the donor. Our intention to submit a proposal should be communicated to the donor as soon as possible – meeting with donor staff (either face-to-face or over the phone) also gives us an opportunity to find out more about their priorities, so we can tailor our proposal to the geographical areas and sectors that they are proposing to fund. If we haven't been in contact with the donor prior to the emergency, communication now is essential.

• Demonstrable co-ordination with other responding agencies. We need to be able to show that ActionAid is in contact with other agencies that are responding/planning to respond, to minimise the risk of duplication/overlap and help identify gaps.

The relevant ActionAid affiliate will be responsible for applying for funds from specific bilateral donors (e.g. ActionAid UK for DFID, ActionAid UK for funding from the European Commission Humanitarian Aid department (ECHO), ActionAid Denmark for Danida etc). Affiliates must co-ordinate with IHART before submitting proposals, and IHART will co-ordinate liaison with the member/country programme in the affected country. For multilateral donors and for bilateral donors that are not 'owned' by a specific ActionAid affiliate, IHART will co-ordinate the applying of funds with International Fundraising and the International Partnership Development Team in the International Secretariat, applying for the funds directly.

See **Annex 11** for a quick reference guide to emergency donors.

AusAID

AusAID channels its funding through accredited Australian NGOs, of which ActionAid Australia is one. Countries can rarely apply for funding directly, so members/country programmes are advised to contact ActionAid Australia if there are upcoming funding opportunities.

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Emergency preparedness and response handbook
Section three : disaster response in the first 72 hours

Reference
3.4.4

Section three : disaster response in the first 72 hours

DFID RRF and in-country funding

DFID may make funding available for emergencies either directly from the in-country office, or through the DFID UK office, normally via the Rapid Response Facility (RRF). There is no set way for DFID to fund – in-country or RRF will depend on DFID internal discussions. Regardless, a dual approach is best whereby the member/country programme talks directly to DFID in-country, and ActionAid UK talks to the DFID UK office. Co-ordination between the member/country programme and ActionAid UK is still vital to ensure that all messages to DFID are consistent.

ECHO primary emergency financing decision

An ECHO primary emergency financing decision must be taken within **72 hours** of the onset of the disaster and the total funding available for allocation is a maximum of **EUR 3,000,000.** The duration of actions under a primary emergency financing decision is **limited to three months.**

ECHO recognises that NGOs will not have a complete picture of the disaster nor our planned response within 72 hours. As such, in order to apply for primary emergency financing we should ensure we have at least enough information to satisfy the following minimum requirements:

• The essential elements required to understand the proposal and its rationale (needs assessment, ActionAid's strategy and presence in the affected country, results of rapid needs assessment).

• Main components of our proposed response (geographical areas of intervention, type and number of beneficiaries, logical framework).

• Means of implementation (human resources, implementing partners, financial overview).

• Key challenges relating to co-ordination, security (if relevant), etc.

ECHO may publish the primary emergency funding decision on their website – see **http://ec.europa.eu/echo/funding/index_en.htm** – although in a primary emergency context this is often an unreliable source of quick information, so it is recommended that colleagues in the disaster-affected country link directly with in-country ECHO representatives in person or on the phone to check whether funding is being made available.

Once written, the primary emergency financing decision proposal must be submitted by ActionAid UK (as the 'owner' of the ECHO relationship for the federation) using ECHO's online information exchange platform, known as 'Appel'. Note ECHO will not accept applications submitted directly by the ActionAid member/country programme in the affected country.

See **http://goo.gl/asTkFk** for guidance on what actions need to be taken by different parts of the federation in order to respond to the launching of an ECHO primary emergency financing decision.

Sida

Sida is not in a position to take on new humanitarian partners at present due to a lack of internal capacity, and ActionAid can therefore not access funds. However, Sida is reviewing its application guidelines and humanitarian partners so the situation may change.

See Annex 11 for further information on institutional donors.

UN funding opportunities

The UN system also has a number of opportunities for funding for NGOS. There are three types of pooled funds: the Central Emergency Response Fund (CERF), Common Humanitarian Funds (CHFs) and Emergency Response Funds (ERFs). While the CERF can cover all countries affected by an emergency, the CHFs and ERFs are country-based pooled funds that respond to specific humanitarian situations in currently 18 countries. You can download the overview at: **http://goo.gl/vrq9Ex**

Only UN agencies may access CERF funding, but in many cases the agencies rely on NGOs to implement projects and will sub-contract. CHFs and ERFs can allocate funds to international and national NGOs. The majority of ERF and CHF funds are now provided to NGO partners.

It is important for ActionAid to engage with the UN clusters at local/national level if these are activated in the disaster-affected country, as these co-ordination mechanisms provide access to UN funding sources (see section on co-ordination). If you are considering applying for UN funds, contact IHART and the UN donor co-ordinator for guidance (see contact details **Annexes 4** and **11**). Also see 'co-ordination' later in this section.

Three-year-old Freshta, whose family have been affected by conflict in Bamyan province, Afghanistan.
PHOTO: WILLIAM DAVIES/ACTIONAID

Public fundraising appeals

1. AGIRE

AGIRE is a network of 10 Italian NGOs (including ActionAid), which gather in times of humanitarian crises to mobilise private funding and ensure a timely and effective response to major humanitarian emergencies (see **Annex 11** for further information).

2. Disasters Emergency Committee (DEC)

ActionAid is one of 14 UK charity members of the DEC. Appeals are reserved for major disasters and emergencies that cannot be dealt with by the usual coping mechanisms within affected countries, and where DEC member agencies are in a position to respond quickly and effectively (see **Annex 11** for further information).

3. Launch ActionAid public fundraising appeals

Who does this: fundraising affiliates, with support from IHART and International Fundraising

In major disasters, fundraising affiliates across the ActionAid federation are expected to contribute to fundraising. ActionAid will identify a 'ball park' figure for fundraising (the cost of the programme action) as early as 24-48 hours after the disaster, which will then be revised over time. However, this figure will be used for initial contact with institutional donors and appeal fundraising. The Oversight Group will guide the organisation on the level of fundraising activity required for the response, and will direct the organisation on types of fundraising activity that will be undertaken.

If public fundraising appeals (widespread appeals via television, radio, press advertisements etc) or supporter appeals (communication to existing ActionAid supporters) are to be launched, this should ideally be done within the first 72 hours following a rapid onset disaster. This ensures that funds can be raised as quickly as possible to support the critical early stages of the response. It also ensures that ActionAid's profile in the disaster response is established alongside other agencies.

Please refer to this website for DFID's Rapid Response Facility form and guidance: **https://www.gov.uk/rapid-response-facility**.

Details of the ECHO and DFID funding decision process can be found at **http://goo.gl/asTkFk**
If in doubt, contact the ActionAid Emergency Funding Manager for advice.
(see **Annex 11** for contact details and a quick reference guide to emergency donors).

Section three : disaster response in the first 72 hours

Reference
3.4.7

Emergency preparedness and response handbook
Section three : disaster response in the first 72 hours

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RED alert level disasters

In red alert disasters, all fundraising affiliates are expected to launch public or supporter appeals. It is recognised that considerable costs are attached to launching a widespread public fundraising appeal, and it is up to the relevant affiliate to decide on what kind of appeal is most appropriate. However, at a minimum, all affiliates are expected to contact existing supporters to request funds and to feature a donation button on their websites.

When a red alert level disaster is declared, IHART will contact fundraising affiliates to gather information on planned appeals. Affiliates will be asked to estimate their fundraising targets and to keep IHART informed of progress – it is important that IHART knows when to expect appeal income so that they can help the member/country programme plan its response effectively.

• In advance of a disaster, it is good practice to establish a process for the development of public/supporter public fundraising appeals. This should cover:

 - Roles and responsibilities of different teams within the fundraising affiliate.

 - Clear timelines for sending the initial appeal communication and subsequent follow-ups.

 - Establishing relationships and service level agreements with relevant external suppliers, e.g. print-houses, to outline processes, roles and responsibilities around fundraising appeals. Where possible, this should include pre-printing of emergency appeal materials (e.g. letterheads and envelopes), so turnaround time can be minimised. Pre-designed email templates and SMS messages can also be established, for the same effect.

This will also give supporters a consistent design element for all emergency appeal communications.

• When developing content for appeals, affiliates should first consult situation reports circulated by IHART for background information on the situation and ActionAid's initial/planned response. All appeal content should be in line with ActionAid's planned response and should not suggest that we will be engaging in activities that are not outlined in the situation report/Emergency Response and Resilience Building Plan or communicated directly by IHART. As with all public communications, emergency appeals should communicate ActionAid's rights-based approach and not present those affected by the disaster as helpless victims.

• If affiliates have specific communications content requirements – e.g. photos, quotes from affected community members, etc. – they should link with IHART in the first instance to request such content. Note the ActionAid UK/ActionAid International Picture Desk function (contact Laurence.watts@actionaid.org), based in the UK, often has access to generic photos of the disaster through Alertnet, which can be made available for ActionAid public fundraising and web appeals. Best practice public appeal factors to consider are:

 - Compelling/emotional content from a person affected by the emergency, explaining how the disaster has affected them and their family and talking about what they need now to survive. For follow-up communications the case study should focus on a person who has benefited from ActionAid's emergency response, talking about how our response has helped them and their family.

- Strong photograph to accompany the case study.

- Direct quote from an ActionAid staff member in the country of the emergency, to explain first-hand the depth of the emergency and to show that ActionAid is working on the ground, and have close connections with the communities affected.

Income raised from public and supporter appeals should be transferred to the Disaster Preparedness and Response Fund (DPRF). This is an internal ActionAid fund for disasters, which is managed by IHART. Appeal income from all fundraising affiliates will be pooled in the DPRF and disbursed to the affected member/country programme by IHART. The member/country programme then reports on the use of appeal income from the DPRF, and IHART shares these reports with fundraising affiliates. This system is designed to reduce the burden on the member/country programme during disaster responses – instead of linking with several affiliates and having to manage and report on multiple grants, IHART liaises with the member/country programme on behalf of the federation and channels all appeal income through a single mechanism.

The DPRF handbook **(http://goo.gl/wrwp7Z)** describes in detail the processes for managing and reporting on appeal income through the DPRF.

When a public appeal is launched, IHART will maintain a record of all income, and targeted income, for the disaster and communicate this regularly to the affected country programme and Oversight Group for planning purposes. The affected member/country programme and IHART will have an MOU that outlines accountabilities for appeal income.

Further support and guidance on running emergency fundraising appeals can be provided by IHART and International Fundraising (see contact details in **Annexes 4** and **11**).

ORANGE alert level disasters

In orange alert level disasters, while fundraising remains a priority, it is not expected that affiliates will launch public or supporter appeals, although if they feel that there is a particular opportunity for these, they should discuss first with IHART and International Fundraising. Instead, as a minimum, affiliates should concentrate on seeking funds from institutional donors and major donors, guided by ongoing gaps in funding for the overall Emergency Response and Resilience Building Plan (ERRP).

Further support and guidance on running emergency fundraising appeals can be provided by IHART and International Fundraising (contacts **Annex 4**).

FURTHER READING AND RESOURCES

ActionAid's standard operating procedures for orange and red alert emergencies: **Annex 2**

Global Security Advisor contact details: **Annex 4**

IHART Information Officer and regional International Programme Manager contact details: **Annex 4**

A Sitrep template and guidance on how to complete each question: **Annex 5**

Generic ToR for the Emergency Response Manager: **Annex 6**

Generic ToR for the Emergency Response Team: **Annex 7**

Summary of ActionAid's global staff security policy: **http://goo.gl/asTkFk**

Communications in emergencies

The first 24-48 hours of any emergency are crucial for media, communications and fundraising purposes.

The NGO arena is a crowded one. ActionAid must be visible from the word GO at the local, national and international level (including in media) so our supporters, donors, potential new supporters, decision makers, the public, etc. can associate us with the disaster – knowing we are there on the ground responding to people's immediate needs at the same time as protecting, promoting and fulfilling their rights.

Success in funding our emergency programmes will depend greatly on our ability to build media and digital visibility quickly in the immediate aftermath of rapid onset emergencies, and launch fundraising appeals that can compete in crowded markets.

In a slow onset emergency media and digital visibility could help tip the international community into a much-needed emergency response.

Being visible in an emergency can make donors (both voluntary/public and institutional) more likely to choose us.

Rapid onset emergencies are fast paced news stories – because we live in the digital age – news organisations expect to get access to instant stories and images from an emergency-affected area. ActionAid's new communications approach will meet this need by enabling us to 'fast-track' a communications response, while programmatic responses are still being considered and planned.

ActionAid's brand essence 'the power in people' is about the individual and collective force of people in poverty creating change for themselves, their families and their communities.

People in poverty aren't waiting for change to happen; they're getting on with it themselves. ActionAid is a catalyst for that change. ActionAid will not compromise the dignity of rights holders when covering an emergency. However, we recognise that our brand values may be articulated differently during an emergency.

Our communication in emergencies will promote:

- ActionAid's priority of reaching out to the most vulnerable – women, children, the elderly, disabled people, excluded and marginalised groups – who may be left out of the mainstream emergency response.

- That ActionAid has worked in these communities for many years and works in partnership with local organisations who know the affected communities well.

- ActionAid's commitment to working with affected communities in the long term (we will remain in the area after the emergency is over), ensuring that people are able to rebuild their lives and livelihoods with dignity.

- That ActionAid strives to promote an alternative model which aims to address key gaps in the system through a focus on seven core components:

- women's leadership in disaster preparedness and response

- accountability to disaster-affected communities

- local partnerships in emergency preparedness and response

- combining scientific information with community experience and traditional knowledge

- adequate funding and aid effectiveness

- linking emergency response to longer term change

- creating a loss and damage framework to enable disaster-affected people to claim their rights.

Who does what?

Currently ActionAid UK leads on media and communications on behalf of the ActionAid federation for all rapid onset emergencies and most slow onset emergencies. In the new strategy period, ActionAid will seek to establish a pool of lead countries across the federation who will take responsibility and collaborate globally to lead communications work during an emergency.

The lead country for emergency communications works on behalf of the ActionAid federation to lead the communications response to rapid onset and relevant slow onset emergencies. This response is media and digital led, with the objective of servicing fundraising and influencing needs.

During a rapid onset emergency the lead country and the International Communications Team's (ICT's) media and digital staff will work under a 'buddy system', sharing and delegating tasks as determined by the lead country. To ensure 24-hour communications support for the emergency and global reach, support countries will be identified to 'care take' the emergency communication response outside of hours of the lead country, thus creating a global project support team for the duration of the emergency.

During a slow onset emergency the lead country will in the first instance fill capacity, but can, where needed, request additional support from the International Communications Team. Where the International Communications Team cannot provide this capacity, it will source it from across the ActionAid federation.

In both rapid and slow onset emergencies, it is recognised that there is a need to integrate communications work into the response from the beginning, including inclusion within programme plans and frameworks developed from the beginning of an emergency. This responsibility sits with the affected country, with support from the International Communications Team.

Both the lead country and the International Communications Team should be aware of and adhere to donor communications and visibility requirements. For example, certain donors (e.g. ECHO) have rules and regulations regarding communications and visibility for work undertaken with their funding.

Information flow and content gathering:

In a rapid onset emergency the lead country will appoint an Emergency News Manager, who will act as focal person for the federation's communications response and must be available 24 hours a day for the duration of the emergency. They can also nominate someone to deputise for them.

The Emergency News Manager will line manage the Emergency News Officer (either a national level communications staff member in the affected country or a RACE deployment depending on need); channel all communications requests to the affected countries and alongside the ICT's media and digital teams produce statements, press releases, tweets, web content, co-ordinate interview requests, carry out media outreach, etc.

Both the Emergency News Manager and Emergency News Officer take on international, federation-wide responsibilities, taking into account the country context and communications risks (provided via previous assessments), particularly in cases of conflict and/or political crises where communications work may carry high risks for ActionAid, our staff, partners and the communities we work with.

In a rapid onset emergency, where the external news machine is fast and borderless, information delivered through this relationship will be disseminated immediately without embargo across the ActionAid communications network, to press and social media.

In a slow onset emergency, where content is being used to pique interest and exclusivity is needed to ensure impactful placement, the Emergency News Manager and ICT's International Media Manager will devise an international syndication strategy that services the media and communications needs of target countries.

Lead country responsibilities:

The Emergency News Manager will:

1) Field all calls and communications request to the Emergency News Officer in the affected country.

2) Hold a daily check-in with the Emergency News Officer to go over the daily message from the field, discuss what happened during the day and what the plan should be for the next day, as well as updating them on the international news agenda, media coverage and any requests from the broader federation.

3) Guide the Emergency News Officer on gathering stories, eyewitness accounts, facts, figures and other content to be used across channels.

4) Act as a security point for the Emergency News Officer, holding the daily check-in at the same time each day and activating a security tree should this not be met without fair warning.

5) Be the focal person for all international media requests to the affected country. (ICT's International Media Manager will take responsibility for federation requests and pass them to the Emergency News Manager as and when they come in for prioritisation.)

6) Brief all spokespeople based outside the affected country. This could include the Chief Executive or spokespeople in pan-regional press hubs.

7) Co-ordinate sign off of communications messaging, and share across the federation to ensure the whole of ActionAid is consistent with their messaging.

8) Develop press releases, quotes, Q&As, tweets, blogs, reports and other communications tools, alongside the ICT media and digital teams where needed.

NOTE: *all of the above can be shared with ICT's International Media Manager and/or Digital Manager depending on need.*

Digital

To ensure that all English written pages within ActionAid's federation no longer fall foul of duplicate content restrictions, and as fundraising is a core element of digital in emergencies, content will be hosted on **www.actionaid.org.uk** and then referenced appropriately across the English language international webpages. We require content that is being syndicated to include the appropriate link back to the original article. This would be in the form of a HREF <a href=http://**www.actionaid.org.uk/URLHERE**> located at the end of the article (in a smaller font). This recently agreed way of working will be trialled over the coming months, and reviewed at a later date. **Remember that communicating with disaster-affected communities is a key part of the response from the beginning. See the 'commence immediate response activities' section above for guidance on initial activities.**

Produce emergency communications content (RAPID ONSET EMERGENCY)

1) COMMUNICATIONS TIMELINE – RAPID ONSET EMERGENCIES
If the emergency meets ActionAid's criteria for a communications response the ICT and lead country will:

Responsibility of	Task
WITHIN 1 HOUR **ActionAid International/ Emergency News Manager**	Contact made between Country Director, Head of IHART, IHART International Programme Manager for the region, Emergencies News Manager or International Media Manager (in the event that the Emergency News Manager is not able to attend) to determine: - What has happened? - Country Director's first impression? - Major concerns? - Do they have enough communications' capacity and would they like a RACE deployment? NOTE: the decision on whether to deploy someone thorough RACE is not made during this call, but during strategic Oversight Group or equivalent. - Names and contacts of spokespeople? - Key, non-controversial bullets (mainly on infrastructure) to enable ActionAid to start communicating. **NOTE:** this information will also be passed to the Oversight Group, or equivalent, which the International Communications Advisor will also sit on, rather than the Head of Communications. All staff present on this call in the first hour should be responsible for producing an operational output. Strategic direction will be given at the Oversight Group meeting or equivalent.

Responsibility of	Task
	One objective of this call will be to determine if a RACE deployment is needed. Where it is not needed, the in-country Communications Officer will absorb the responsibilities of the Emergency News Officer. Note: these responsibilities will be agreed with all ActionAid emergency priority countries ahead of an emergency and are divided into 'national' and 'federation' capacity.
	The call will be voice recorded to aid immediate radio and podcast work.
	Meetings should be held at 1, 4 and 12 hours until an Oversight Group is held.
	In the first four hours of an emergency the ICT will pass any RACE requests to an Oversight Group or equivalent, which will outline a plan for the crisis, mapping out which ActionAid country programmes are operational/responding, which must be considered due to their country's political/military relevance, and identifying target media and fundraising markets.
Lead country (production)	Holding statement written and signed off. Statement based on bullets from Country Director, pre-existing country data, reputable news sources.
ActionAid International/ lead country (dissemination)	Holding statement placed on www.actionaid.org, sent to ActionAid's communications network and disseminated via social media.
ActionAid International	ICT completes an emergency communications report including: scanning press coverage; sourcing images; finding hash tags; identifying nearest press hub and journalists covering emergency; locating and contacting photographers (in or close to country), identifying digital trends, mapping what other agencies are saying, identifying where equipment is, etc. (**NOTE:** ActionAid Australia and ActionAid US may absorb this role if not during European daylight hours.)
ActionAid International	Search engine optimisation (SEO) carried out to ensure ActionAid owns terms relating to a disaster on Google and other internet search engines.

Responsibility of	Task
WITHIN 2 HOURS **ActionAid International**	Emergency communications report filled in and passed to Head of Communications and/or Director of Fundraising and Communications to take to Oversight Group. The emergency communications report will detail all of the above to give a first impression of the communications landscape and the communications needs of the country programme.
ActionAid International	IHART liaises with Head of Market Development and International Partnership Development, who scope federation fundraising interest and what communications products they require to support this, feeding this to ICT.
ActionAid International	ICT and lead country source and agree on potential RACE deployment.
ActionAid International	Press contacts and twitter addresses for journalists covering the emergency and/or international correspondents in-country collated and sent to Emergency News Officer and Emergency News Manager in the lead affiliate.

Responsibility of	Task

WITHIN 4 HOURS

ActionAid International

If RACE deployment is required before the Oversight Group meeting is held, the Director of Fundraising and Communications or International Head of Communications with Head of IHART and lead country Head of Media/Communications can approve the RACE deployment.

Otherwise, as expected the Oversight Group will :

- Approve RACE deployment if requested (and logistics immediately activated). Note: ActionAid International will work with IHART to dispatch an Emergency News Officer through RACE to the affected country. A RACE deployment can include national and international staff, contractors and/or freelancers who could be deployed within 12- 24 hours. This includes media officers, photographers, digital specialists and video operators.

- Determine and communicate the fundraising objectives and markets for the emergency (if possible).

ActionAid International

Section page created for the emergency on the ActionAid International website, to ensure URL and H1 in place for effective SEO. This would match the latest external 'title' for the emergency, i.e. 'West Africa drought', etc.

Responsibility of	Task

WITHIN 8 HOURS

ActionAid International

Digital fundraising activity initiated.

Responsibility of	Task
WITHIN 12 HOURS **ActionAid International**	RACE deployment arrived or en route to affected country. NOTE: where a RACE deployment is not made, the in-country communications staff will take the role of Emergency News Officer and the federation duties assigned to it.
Lead country (production) **ActionAid International/ lead country (distribution)**	Updated press release disseminated to ActionAid's communications network, press and through social media. This will be a more detailed release that positions ActionAid more clearly in the emergency, including how much money we think we need to raise, who has been worst affected where, ActionAid's main concerns, staff accounts and any additional information that builds a better picture about what's happening on the ground and ActionAid's response.
Lead country	Emergency News Manager in lead country connected with Emergency News Officer. NOTE: this can happen earlier if a RACE deployment has not been made.
Lead country/ ActionAid International	Emergency communications team in place: where possible Emergency News Manager and digital capacity relocated to sit with IS International Media Manager and Digital Manager to share tasks and co-ordinate global press work.
Lead country	Digital action launched if desirable (campaign and or policy ask based on country analysis and ideally linked to ActionAid's multi country campaigns).

Responsibility of	Task

WITHIN 24 HOURS

Emergency News Officer (production)

ActionAid International/ lead country (dissemination)

First daily message from the field to Emergency News Manager. This will outline:

- Latest key messages from Country Director.

- Eyewitness accounts/first impressions (where possible with photos) from people in the field. Eyewitnesses do not need to know every aspect of ActionAid's work. Their role is to give initial impressions of the impact of the emergency and hence help pre-position ActionAid as a go-to voice for the media. In the first 24 hours eyewitnesses should focus on visual descriptions: i.e. have the main bridges gone down? Is the electricity and water working? Are the hospitals overflowing? How do they feel about what's happened?

- Activities for the next day including what can be expected for communications purposes. To include: how many people is ActionAid reaching? How many is ActionAid trying to reach, and where? When will we reach them? (NOTE: must distinguish between what has already been done and what will be done and by when.) How many sponsored children are affected? Can it be compared to a previous disaster? What does/will our outreach look like?

- Top headlines in country and main angles developing (i.e. aid delivery, borders, etc).

- Difficult questions being asked/risks identified.

- New spokespeople and contacts.

- What other agencies are doing, etc.

This would then be circulated by the Emergency News Manager to communications colleagues globally and form the basis of media and digital outreach.

NOTE: The the daily message from the field is distinct from the situation report. The former being more contextual, emotive and descriptive and the latter more facts and figures based. They should complement one another and reference the other when circulated.

Responsibility of	Task
Affected country (production) **IHART (distribution)**	Situation report sent to IHART Information Officer outlining ActionAid's programmatic response.
Lead country (production) **ActionAid International/ lead country (distribution)**	Updated press release signed off and disseminated to ActionAid's communications network, press and through social media. **Note:** updates every 24 hours thereafter based on daily message from the field where possible/relevant.

Responsibility of	Task
## AFTER FIRST 24 HOURS **ActionAid International/ lead country**	DAILY: daily distribution of information and content to ActionAid's communications network, prioritising media staff, web editors, Stories Hub and Picture Desk. This includes:

- Outlining what coverage has been achieved, what content is available, news from the field and messages/activities/content available in the next 24-48 hours.
- Monitoring and sharing all press and social media coverage/activity (this should also be shared with affected country and Emergency Communications Project Team).
- Tweaking content where necessary for wider federation use. However the lead country should produce all content in a way that is packagable for communications staff in all target countries.
- Requesting information from network regarding communications needs.

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Responsibility of	Task
ActionAid International	**DAILY:** update and collate international media contacts for the emergency on a daily basis and send to Emergency News Officer and Emergency News Manager.
ActionAid International	**DAILY:** update the International website (adhering to any agreed sign-off processes) and ensure most current information highlighted. This includes curating and using content about the emergency (blogs, images, etc.) from across the federation.
ActionAid International	**WHENEVER REQUIRED:** push all statements and press releases to international news desks and pan regional press hubs where appropriate and under the direction of the Emergency News Manager.

Produce emergency communications content (SLOW ONSET EMERGENCY)

Ongoing:

- IHART monitoring priority emergency countries for areas of interest, especially 'high interest' countries for media, such as Afghanistan, Pakistan, Occupied Palestinian Territory, DRC, etc.

- Stories Lab representative/UK media officer monitoring situation reports and chasing ongoing story leads for verification, development, etc.

When a story is sourced that may help tip international community into a fundraising response:

- International Media Manager convenes meeting with Country Director, Head of IHART and Head of Communications to determine whether to activate a RACE deployment.

When fundraising objectives seek case study based content:

- Meeting convened with Country Director, Head of IHART and Head of Communications to determine in country communications capacity.

- Where communications capacity exists, the national News Officer, ICT and International Fundraising teams will draw up a content brief to ensure all needs are being met.

- Where there is little or no communications capacity in country, an EFAST communications deployment will be made.

People affected by severe flooding in Satkhira district, Bangladesh.
PHOTO: ACTIONAID

Section three : disaster response in the first 72 hours

Reference
3.5.12

Emergency preparedness and response handbook
Section three : disaster response in the first 72 hours

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RACE

Rapid Action Communications in Emergencies (RACE) is a process that will enable the ActionAid federation to deploy an Emergency News Officer to an affected country in the first 12-24 hours of a rapid onset emergency or at an appropriate time during a slow onset emergency. The RACE deployee is responsible for connecting with the first wave of international correspondents covering an emergency, providing immediate communications support to the country programme, feeding daily updates to ActionAid's communications network on the latest facts, figures and developments and gathering media and digital worthy content for cross-channel use. A RACE deployment may therefore take place before a red or orange alert is given and will almost certainly be before a programmatic response has commenced.

RACE is made up of communications professionals from ActionAid national and international staff around the world who can act as media officers, photographers, digital specialists and video operators and can be deployed within 12-24 hours during a rapid onset emergency.

Freelancers and contractors can be deployed under RACE as photographers, digital specialists and video operators for both slow onset and rapid onset emergencies. Freelancers can also be deployed as RACE media officers but for slow onset emergencies only, as rapid onset emergencies require a previous understanding of ActionAid internal organisation and relationships with countries. Therefore media officers for rapid onset emergencies will always be an ActionAid staff member.

As far as possible we will prioritise the deployment of staff – where the relevant emergency communications skills and experience are present – who have existing networks in the region, have a pre-existing understanding and awareness of the social and political context of the relevant country, and possess relevant language skills in order to ease their integration into ways of working with the existing country team

Management:

The Emergency News Officer is managed by the Emergency News Manager in the designated lead affiliate, with support and input from the International Communications Team. The Emergency News Manager is responsible for fielding the Emergency News Officer's calls and having a daily briefing with them to discuss what's happened during the day and what the plan should be for the following day, as well as updating them on the international news agenda, coverage being achieved and any updates/requests from the broader ActionAid federation.

The Emergency News Manager has a duty of care to the Emergency News Officer, and should be contactable 24 hours a day and operate an open door policy for any story leads, new information, security or general concerns the Emergency News Officer may have.

The Country Director of the affected country has a duty of care for the Emergency News Officer while in country and should form a daily working relationship for purposes of local context, risk awareness and sign off.

Co-ordination

Engage with relevant UN clusters at national and sub-national levels

Who does this: member/country programme

Clusters are groups of agencies working in particular sectors of humanitarian response (e.g. education, WASH, shelter, protection etc). They were established as part of the UN process of humanitarian reform and are designed to strengthen co-ordination between humanitarian actors. Each cluster has a lead agency (normally a UN agency) that is responsible for running cluster meetings and supporting cluster members.

In a major emergency, the UN humanitarian co-ordinator will activate the clusters, usually in consultation with the government and/or where an international appeal for assistance has been made. This decision will be communicated to all agencies that are registered as cluster members within that country. The cluster co-ordinator will contact members to inform them of plans and invite them to meetings.

If the UN cluster system is activated, it is particularly important for ActionAid to engage with relevant clusters from the start of the disaster response. The member/country programme should make sure that appropriate staff are available to attend cluster meetings, both at national level and at sub-national level in areas where ActionAid is responding. It is important that the ActionAid representative who attends the cluster meeting is sufficiently senior that he or she can take decisions on ActionAid's behalf (e.g. he or she may be asked whether ActionAid is able to take responsibility for relief distribution in a particular area, or whether ActionAid will participate in a joint rapid/needs assessment).

Cluster meetings are often attended by many agencies, sometimes up to 200 organisations, and ActionAid's representative must have the technical expertise, confidence and language skills to get their point across. It is also important that ActionAid is able to share relevant and accurate information on the situation in their working areas and their response activities (e.g. sharing the results of rapid assessments).

The member/country programme should decide which clusters are most relevant in the specific disaster context – this will depend on the type of disaster, the needs of the affected communities, and the type of response that ActionAid is implementing. However, based on ActionAid's organisational focus and areas of expertise, the Protection, Early Recovery and Food Security clusters may be considered priorities. These are the three clusters that ActionAid engages with at the global level to facilitate policy level discussions with partners, to develop common positions/guidelines on operational aspects of humanitarian response, piloting new approaches, joint indicators etc. If mechanisms are established to co-ordinate information and communication with disaster-affected communities, it would be advisable to participate in these also. ActionAid is a member of the CDAC (Communicating with Disaster-Affected Communities) Network at global level, and IHART will share any information on co-ordination or joint initiatives planned by network members with the country team.

A brief introduction to the cluster system and a background to UN humanitarian reform is available at: **http://goo.gl/asTkFk**

Section three : disaster response in the first 72 hours

Reference
3.6.1

Emergency preparedness and response handbook
Section three : disaster response in the first 72 hours

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Link with UN clusters at the global level

Who does this: IHART, with support from International Secretariat

At the global level, ActionAid is a member of three clusters: Protection, Food Security and Early Recovery.

If the cluster system is activated in a country where ActionAid works, IHART or relevant representatives from the Programmes Directorate of ActionAid International will make contact with the global clusters and participate in relevant meetings/teleconferences.

IHART also sits on the Strategic Advisory Group of the Early Recovery Cluster, and in this capacity will input into decisions on the deployment of Early Recovery Advisors.

IHART will communicate relevant information from these meetings to affected members/country programmes.

Engage with other responding I/NGOs at country level

In any emergency, it is likely that other I/NGOs will be responding. It is important to link with these agencies for a number of reasons:

- to ensure that ActionAid's planned response does not duplicate that of others

- to identify gaps in the response (in terms of sectors or geographical areas)

- to ensure co-ordination in rapid and needs assessments, to help reduce 'assessment fatigue' of disaster-affected people

- to share skills and expertise

- to show donors that agencies are co-ordinating in-country and are mitigating the risks of duplication.

Invariably, some form of local/national level I/NGO co-ordination forum will already be operational in the affected country. Where co-ordination mechanisms are not already in place, it may be possible to activate a group through existing consortia, e.g. through a donor-funded consortium project.

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Emergency preparedness and response handbook
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Reference
3.6.2

Section three : disaster response in the first 72 hours

FURTHER READING AND RESOURCES

Guidance and template for security analysis:
http://goo.gl/asTkFk

Oversight Group ToR: **Annex 2**

Guide to ECHO and DFID funding decision processes:
http://goo.gl/asTkFk

Brief introduction to the cluster system and a background
to UN humanitarian reform: **http://goo.gl/asTkFk**

Information sheet on emergency funding mechanisms:
http://goo.gl/asTkFk

ActionAid's minimum security standards:
http://goo.gl/mH1Luk

Supporting partners in security risk management:
http://goo.gl/bmGds3

The aftermath of a garment factory collapse in Dhaka, Bangladesh.
An estimated 3,000 people were inside at the time of the collapse.
PHOTO: ACTIONAID

A girl carrying water after cyclone Aila hit villages in Sundarban, India. Saline water from the rivers has flowed into local water sources, making tube wells the only source of clean water.
PHOTO: NILAYAN/ACTIONAID

Section 4:
disaster response in the first month

Section
04

KEY POINTS

- **The member/country programme will be supported by the federation through IHART** to manage disaster response, information, fundraising, communications, management response and co-ordination.

- The **detailed needs assessment should be conducted from the perspective of people living in poverty and exclusion, particularly women affected by the disaster.** Women lead the process with analysis capturing the restoration and rehabilitation needs, linking to longer term change processes.
  - The detailed needs assessment requires planning and organising, forming an assessment team, conducting the assessment and community-led analysis and information sharing. This feeds into the **Emergency Response and Resilience Building Plan (ERRP)**.

- The **Emergency Response and Resilience Building Plan** guides the overall disaster response. The plan will cover the type of support and assistance to be provided; overall programme plan; scale of the programme; emergency response management structure; integrated communications plan; policy plan; co-ordination plan; accountability plan and fundraising plan.

- Member/country programme should continue to implement the disaster response.

- Key **management processes for implementation** include HR management; staff safety and security; financial management; contract management; logistics and administration plan and accountability measures.

- All of ActionAid's emergency response and resilience programmes will include an **M&E** plan. ActionAid's approach includes regular monitoring, a real time evaluation (RTE), final evaluation and an impact study.

- All ERRPs must develop a **risk matrix**, which should be updated regularly – the success of a response depends on how effectively we identify and manage risks.

- Member/country programme to develop a **fundraising plan** based on the ERRP and budget, prioritising potential donors, with support from IHART and International Fundraising. Submit proposals to institutional donors, trusts and foundations.

- Member/country programme to develop a **communications plan** to set out how ActionAid will communicate with external stakeholders as well as supporting policy work, fundraising, communicating with disaster-affected communities etc.

About this section

This section describes the actions that should be taken in the first month after a disaster. It explains what the member/country programme should do, as well as the support that should be provided by other parts of the organisation. This section summarises the key information and actions that are required, and contains references to the annexes where relevant templates and detailed guidance on each activity can be found.

This section follows on from **Section 3**, which explains what should be done in the first 72 hours. Many of these activities will continue or overlap with activities in the first month. This section is designed as a practical guide for staff across the organisation who have a role in responding to disasters. It should ideally be read before an emergency, but can also be used as a resource to refer to during an emergency response.

Summary of key actions

The following table summarises the key actions that should be taken in the first month. A fuller description of each activity is included in the text below. The RASCI matrix at **http://goo.gl/asTkFk** sets out in detail the roles that individuals and departments across the organisation are expected to play, and where accountability lies for each activity.

Section four : disaster response in the first month

Reference
4.0.1

Emergency preparedness and response handbook
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Implementing disaster response

What the member/country programme does	What IHART does (YELLOW alerts)	What IHART does (ORANGE & RED alerts)	What other parts of the organisation do (ORANGE & RED alerts)
• conduct a detailed needs assessment	• deploy EFAST members	• review the needs assessment plan	
• complete an Emergency Response and Resilience Building Plan (ERRP)		• review ERRP	
• continue implementing relief, guided by ERRP			

Information management

What the member/country programme does	What IHART does (YELLOW alerts)	What IHART does (ORANGE & RED alerts)	What other parts of the organisation do (ORANGE & RED alerts)
• continue to submit updated sitreps	• review and circulate updated sitreps	• review and circulate updated sitreps	

Management response

What the member/country programme does	What IHART does (YELLOW alerts)	What IHART does (ORANGE & RED alerts)	What other parts of the organisation do (ORANGE & RED alerts)
• implement key management processes			• Oversight Group approves ERRP
• develop a risk register			

Fundraising

What the member/country programme does	What IHART does (YELLOW alerts)	What IHART does (ORANGE & RED alerts)	What other parts of the organisation do (ORANGE & RED alerts)
• develop fundraising strategy as part of ERRP	• work with fundraising affiliates to explore opportunities for small-scale funding for response	• share fundraising gaps with federation and support funding proposals	• affiliates submit proposals to institutional donors, trusts, major donors
• submit proposals to in-country donors		• co-ordinate continuing fundraising efforts across the federation	
• apply for institutional donor funds as available			

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Communications

What the member/country programme does	What IHART does (YELLOW alerts)	What IHART does (ORANGE & RED alerts)	What other parts of the organisation do (ORANGE & RED alerts)
• develop a communications plan as part of ERRP			
• establish activities to strengthen communication with disaster-affected communities			

Co-ordination

What the member/country programme does	What IHART does (YELLOW alerts)	What IHART does (ORANGE & RED alerts)	What other parts of the organisation do (ORANGE & RED alerts)
• continue to attend UN cluster meetings and share information		• link with relevant UN clusters at the global level	

Implementing disaster response
Conduct a detailed needs assessment

Who does this: member/country programme, with support from IHART

The purpose of a needs assessment is to gather detailed information about the disaster and the impact on the communities that ActionAid works with. The needs assessment is different to the rapid assessment conducted in the first 72 hours after the disaster. The needs assessment collects more detailed information on the impact of the disaster and the needs of the affected communities. This usually begins from week one of the crisis and should be completed four weeks after the crisis has begun. It will determine the scale and type of ActionAid's response to the disaster and will directly inform the Emergency Response and Resilience Building Plan. The needs assessment is also essential for developing credible funding proposals to donors.

Whereas in the rapid assessment, where the emphasis was on providing 'just enough' information to inform the immediate response, in the needs assessment we can take a bit more time to gather more detailed information. It is advisable to consult other agencies about joining any potential joint needs assessments.

The specific purposes of a needs assessment are:

- to identify the material and non-material requirements of the disaster-affected communities that need to be met as a priority
- to gather more accurate and detailed information and data to inform the emergency response and resilience programme
- to clarify problems and identify solutions with the community
- to use community-led processes as a methodology to build the capacity of the people ActionAid works with to actively engage in their own recovery
- to support the design of policy messaging and action
- to help identify the underlying causes of vulnerability
- to inform donors and other partners on key needs of the people ActionAid works with
- to build relationships with communities affected by disaster
- to provide a baseline that allows us to assess the success of the emergency response.

Section four : disaster response in the first month

Reference
4.1.1

Emergency preparedness and response handbook
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There is debate in the sector about what the purpose and focus of a needs assessment should be: normative needs (those defined by agreed international standards, e.g. if a community requires water the needs are determined according to technical standards on water quality and quantity), perceived needs (the subjective needs identified by the community or other stakeholders), expressed needs (those needs which the community publicly share with people conducting the needs assessments), or relative needs (the needs of certain groups who may be worse off compared to others). ActionAid is clear that our needs assessment is biased towards capturing the needs and voices of people living in poverty and exclusion and affected by disasters. At the same time it is important to triangulate or cross reference information gathered through a community-based process to get as accurate a picture as possible. This may be through consulting different groups or individuals separately to give people a chance to share things in a forum where they are comfortable to share openly, using different methods to ask the same questions to assess whether the information you are being given is consistent, sharing information on normative standards (e.g. water quality, nutrition) so that people have access to information to help them make informed decisions about what they need.

When should the needs assessment be done?

The needs assessment should start within one week of the disaster and should be completed within one month. It builds upon the findings of the rapid assessment.

Needs assessment is an on-going process – it does not end after a month, but instead should be updated regularly as the disaster progresses.

Updates should be communicated both within the country programme and to IHART (see contact details **Annex 4**). It may also be necessary to update the needs assessment for specific donor proposals.

Who should do the needs assessment?

The Emergency Response Manager is responsible for conducting the needs assessment and sharing the findings. He or she will need to put together a team of ActionAid staff and/or partners to implement the needs assessment. It is important that all members of the needs assessment team have a clear understanding of the purpose and methodology of the assessment, and are following the same process in each geographical area. The team should be gender and culturally balanced.

As with the rapid assessment, it is important that the community is involved in designing and carrying out the needs assessment. For example, ActionAid can work with community institutions such as *Reflect* circles, STAR circles, women's groups and relief committees.

ActionAid should also work together with other actors where possible to avoid duplication and to maximise the information that is generated on the impact of the crisis. It is also likely that communities will be suffering from 'assessment fatigue' if they have been asked to participate in several assessments conducted by numerous agencies. If the UN clusters are activated, ActionAid should share needs assessment data with other cluster members, and participate in joint assessments where possible. The response team need to be mindful of how the results of our needs assessment feed into other mechanisms that can assist in fundraising.

What information should be gathered in the needs assessment?

The needs assessment needs to provide the information necessary to design an effective emergency response, and also to inform longer term recovery and rehabilitation. Key questions include:

❏ How many people have been affected? In what ways are they affected (killed, injured, houses damaged, houses destroyed, crops destroyed, children dropping out of school etc)? Remember, it is critical that the needs assessment provides reliable data – in order to develop a good Emergency Response and Resilience Building Plan and credible fundraising proposals, we need to know numbers – how many people are affected, how much prices have risen, how many people have migrated etc.

❏ What has the impact on livelihoods been?

❏ What has been the specific impact on women?

❏ What does the community identify as the underlying causes of the disaster?

❏ What does the community identify as the priorities for response and recovery?

❏ What is the community already doing and what support do they require?

❏ What are the gaps in response provided by other actors (government, other NGOs, UN etc).

❏ When do people need assistance and how long are they likely to need assistance for (for example, consider seasons where food insecurity is common, and the livelihood calendar of different communities).

❏ What are the information gaps and what are the best ways to ensure effective two-way communication with communities?

The headings in the needs assessment checklist currently are:

• overview of the situation

• numbers of people affected and extent of damage

• sector specific information: women's rights, psychosocial, food security, livelihoods, education, housing/shelter, non-food items (NFIs), water sanitation and hygiene

• information

• resilience building

• existing policies and schemes

• capacity-building.

Remember that the assessment is not just about material needs – do not forget policy aspects, social, environmental and staff security issues etc.

Section four : disaster response in the first month

Reference
4.1.3

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Methodologies for the assessment

- remember that much of the ground work in terms of baseline data for both a rapid assessment and detailed needs assessment should have been covered in the affected country programme's preparedness plans
- conclusions should be drawn from a range of primary and secondary data sources.

The checklist at **http://goo.gl/asTkFk** sets out detailed questions to be asked, including specific questions for different types of disasters. Assessment tools and training materials can be found here: **http://www.ecbproject.org/efsl-48-hour-assessment-tool--training/efsl-48-hour-assessment-tool--training**

See **Section 3** for information on rapid needs assessments.

How should the information be gathered?

Secondary data

The needs assessment can draw on secondary data, from ActionAid and from external sources. As for the rapid assessment, ActionAid's country level preparedness plan can provide useful social, geographic and economic data on the areas affected. Needs assessments produced by the government or other NGOs, UN OCHA situation reports and information updates from UN clusters can also be used. These can provide important information about the national or regional situation, which can supplement and contextualise data from ActionAid's working areas. Some donors, such as ECHO, require technical data that ActionAid may struggle to provide. For example, in food crises, ECHO base their funding decisions in part on global acute malnutrition (GAM) and severe malnutrition (SAM) rates, which require technical measurements. ActionAid often relies on assessments done by government or other humanitarian agencies.

Remember that secondary data can be useful for backing up assumptions prior to carrying out an assessment and supplementing findings once the assessment has been undertaken, but there are limitations. Data from secondary sources should be cross-referenced and triangulated to give as clear a picture as possible.

For orange and red alert disasters, IHART's Information Officer (see contact details **Annex 4**) will also support the member/country programme to identify and analyse secondary data at the global level.

Primary data

The needs assessment should include information gathered **directly from the community.** As time will be limited, you should consider selecting a representative sample of communities from the affected area. When selecting villages, consider the following factors to ensure you have a representative sample: **different ethnic communities, distance from the road/towns, language** etc. For reasons of practicality you may have to select based on accessibility (for example it may be impossible to reach certain areas due to flooding or conflict). The needs assessment should make clear how the sample was selected. Assessments should be designed to gather and present information about the **diversity of needs of the most vulnerable people** e.g. women, children, people with disabilities, people living with HIV/AIDS, IDPs, politically or socially excluded groups etc. Consider how **power relations** in the communities may affect the findings, and identify ways that this can be addressed in the assessment design (e.g. will certain groups be reluctant to participate, or to share some information?).

ActionAid staff and partners should use **participatory methods to ensure that the affected community is involved right from the start** in identifying priorities and deciding on the response needed. Examples of tools include: household surveys, focus group discussions, social maps. **Annex 8** sets out suggested methods that can be used to gather different types of information. All assessment questions must be sensitive to local custom and culture, and take into account the fact that people affected by disasters may be suffering from emotional distress. Assessment questions should be reviewed by women leaders in the affected communities.

Photos can be useful resources – photos of affected crops, damage to houses, children suffering malnutrition. Remember that you should always ask permission before taking photos of people and explain clearly how their photo will be used. It can be particularly effective to have 'before and after' pictures – think about including photos of the 'normal' situation as part of the preparedness plan process. Photos of the same places after emergencies can then be taken as part of the needs assessment process.

In orange and red alert disasters, IHART will be available to support the member/country programme to conduct the needs assessment. The International Programme Manager deployed to the crisis will support in at least the design stage of the needs assessment, and IHART staff will be available to review and advise on the needs assessment remotely.

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How should the information be shared?

The data and conclusions of the needs assessment should first be shared with the affected community. Before leaving each community, the team should feedback to community members (particularly women) how they have understood the situation and what they understand as the needs and priorities of the community. They should also explain what will happen next – how the information will be used, when ActionAid will return and what the community can expect. It is important to be careful about managing expectations and not promising things that ActionAid cannot deliver. The team should emphasise that ActionAid will work with the community to respond to the disaster, and will support the community to be the primary responders.

Data from the field visits should be analysed to draw detailed conclusions and present the data effectively. The results of the needs assessment must also be sent as quickly as possible to IHART, who will share this information across the federation. See **http://goo.gl/asTkFk** for a needs assessment template. This is designed so that the information is easy to use for the different end-users (country programme staff responsible for designing the response, fundraisers, communications staff, IHART etc).

The following flow chart summarises the key steps in developing the needs assessment.

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Reference
4.1.6

Section four : disaster response in the first month

Planning and organising

- Consider what information is already available (from the rapid assessment, preparedness plan, secondary data etc) and identify what else is required.

- Check if other agencies are undertaking similar assessments and explore possibilities for collaboration.

- Review budget and resources (people, equipment, transport etc) available for the needs asseessment.

- Consider safety and security issues involved in the field work, and link with ActionAid's Global Security Co-ordinator if necessary.

- Develop a plan for the needs assessment (objectives, methodology, sample) and share with IHART for feedback. This should be done within one week of the start of the disaster.

Forming the needs assessment team

- Emergency Response Manager takes responsibility for putting together the needs assessment team.

- Ensure the team includes women, and people knowledgeable about women's rights.

- Ensure the team has appropriate language skills, including local languages.

- Provide briefings/training to ensure all team members are clear about the purpose and methodology (don't forget to include safety and security issues).

- Identify appropriate community institutions that can be involved in the needs assessment process and ensure they are adequately briefed.

- Collect secondary data.

Conducting the needs assessment

- Ensure that questions and approaches are reviewed by community members, including women.

- Ensure that participatory approaches are used.

- Feed back the main findings and conclusions to the community before leaving, and explain the next steps in the process.

- Leave originals of resources developed through participatory approaches (e.g. social maps) and take photos or copies for ActionAid's records.

Analysing and sharing the information

- Analyse the data from the field visits, using the data input spreadsheets provided.

- Write up the needs assessment using the template provided and send to IHART within one month of the start of the disaster.

- Remember to include sources for secondary data used, and include the original data from the field work (e.g. photos of social maps, lists of people involved in focus group discussions etc).

Develop an Emergency Response and Resilience Building Plan (ERRP)

Who does this: member/country programme, with support from IHART and Oversight Group

The Emergency Response and Resilience Building Plan is a document that guides the overall disaster response. The Emergency Response Manager is responsible for developing the ERRP, in collaboration with the Emergency Response Team and other members of the country programme.
For **ORANGE** and **RED** alert level disasters, it must be completed within one month and sent to IHART. The plan must then be approved and signed off by the Oversight Group. In **YELLOW** alert disasters, the member/country programme in the affected country can decide whether a formal ERRP is required.

A template for the ERRP is included in **Annex 9**. The plan should cover the following:

- Decision on the type of support and assistance to be provided based on rapid and needs assessments. This should include the longer term activities as well as the immediate relief activities that will already be underway in the first month of the response.

- Overall programme plan that includes: objectives, sectoral focus areas, population and geographical coverage, overall funding needs, and staff and logistic requirements.

- Scale of the programme. Although ActionAid will seek to increase its funding base to achieve maximum impact, the size and pace of its operation will also be determined by the capacity of the country programme and its partners (including deployed capacity).

- An integrated communications plan (see below) – which will have the following strands: communicating with disaster-affected communities; internal communications; donor visibility requirements; and external communication to donors, media and public.

- Policy positions/statements and an integrated policy plan. Investigating and analysing policy issues arising from an emergency is an important part of the needs assessment. Disasters provide an opportunity to engage the communities we work with in shaping and changing policies in favour of people living in poverty and exclusion, and as such advocacy and campaign work must be included as a core component from the start of ActionAid's response. Adequate budget and staffing for policy work should be allocated in the programme plan. For more information on policy work in emergencies, see **Section 7** – policy.

Section four : disaster response in the first month

Reference
4.1.9

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- An agreed emergency response management structure, ensuring inclusion of core competencies and appropriate skills sets as per the humanitarian competencies framework (see **http://goo.gl/asTkFk**). Capacity-building plans should also be incorporated to ensure development of new and existing staff.

- A co-ordination plan to ensure appropriate links with local and national co-ordination mechanisms including the UN cluster system and government co-ordination mechanisms at local, regional and national levels. ActionAid is a member of the Global Early Recovery, Protection and Livelihoods clusters, although countries should plan to engage with other UN clusters as relevant, based on their strategic relevance to ActionAid's programme.

- The overall funding requirement and an integrated fundraising plan based on regularly updated donor scoping (see below).

- An accountability plan. The plan will outline the steps ActionAid will take to ensure our accountability to: rights holders affected by the emergency; our own internal stakeholders; the government of the disaster-affected country; local and international laws, standards and practices; and donors and supporters of our emergency response. More information on accountability in emergencies is provided in **Section 6**.

Children in the aftermath of flooding that displaced over 30,000 families across 17 provinces of Cambodia.
PHOTO: SAVANN OEURM/ACTIONAID

Continue implementing disaster response

Who does this: member/country programme, with support of IHART

The response activities should be guided by the results of the rapid assessment and should be carried out in parallel to the detailed needs assessment and the development of the Emergency Response and Resilience Building Plan (ERRP). The focus in the first month should be on continuing to support immediate needs but also on preparing the ground for a longer term response. Again, the response will be context specific, but examples of activities that could be done in this phase include:

- Distribution of materials for reconstruction of houses (based on consultation with community and procured by community representatives). Refer to Sphere standards for technical specifications (e.g. shelter requirements per family size). **http://www.spherehandbook.org/en/contents-4/**

- Distribution of food items. If distributing food, refer to nutrition standards (see Sphere) and consider locally produced high nutrition products. Food procurement (especially from overseas) should be avoided. Where possible look for food from local markets and in the longer term look at promoting food production – see Livelihoods in **Section 7**.

- Distribution of non-food items (NFIs) such as hygiene kits, cooking utensils, clothes, lamps, blankets, treated mosquito nets, cooking stoves (consider safety and the local availability of fuel). Refer to Sphere standards for guidance on items, quantities and technical specifications that should be included.

- Distribution of books, school stationery and uniforms to help children get back into schools.

- Repair of water pumps, bore wells etc. to re-establish water supplies.

- Early livelihood recovery, such as distribution of seeds, farming tools etc.

- Psychosocial support such as organising recreational activities, training community volunteers.

- Establishing women's committees to identify protection concerns and disseminate information on protection services.

- Putting in place accountability mechanisms such as transparency boards, community procurement and distribution committees, complaint boxes etc.

- Sharing information with communities on services available (ActionAid programmes and also information on government support available and services provided by other agencies).

Section four : disaster response in the first month

Reference
4.1.11

Emergency preparedness and response handbook
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- Establish two-way communication channels with communities to share essential information, and ensure communities have a voice in the response process. This will depend on context but could include SMS projects, radio, community outreach volunteers, community drama, community review meetings etc. Lots of information on communicating with disaster-affected communities can be found on the Communicating with Disaster-Affected Communities (CDAC) website **http://www.cdacnetwork.org** or the Infoasaid archive **http://infoasaid.org**

See also Section 7 for more guidance on communicating with disaster-affected communities.

NFI

For distribution of NFIs, consider the following points:

- Give special consideration to health and hygiene items for women in particular, which are often missed in needs assessments (such as sanitary towels, underwear and condoms).

- If necessary provide guidance on how items are used (e.g. if distributing unfamiliar items such as solar lamps).

- Consider community safety and environmental sustainability (e.g. instead of oil or gas lamps which could be a fire hazard, could rechargeable solar lamps be used).

- Mobilising women's committees to plan and implement the distribution can be an effective way to integrate women's leadership from the start of the response.

- Involve the community in procurement (selecting samples and suppliers, comparing costs and quality of items, community representatives going to markets where possible).

- Ensure that finance and procurement guidelines are followed (e.g. obtaining three quotes – see Financial Management Framework (FMF) at **http://goo.gl/asTkFk** for more information).

- Ensure co-ordination with other agencies to avoid duplication and explore opportunities for joint distribution.

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Reference
4.1.12

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Cash programming can often be an effective alternative to direct distribution of food or NFI. It can be more empowering and dignified for communities, as it gives people more choice to buy the things they really need. It can also be quick to implement and cost efficient for the agency as you can avoid large-scale procurement and distribution of NFIs or food. Cash programming can be done in different ways: through unconditional cash transfers (money given directly to vulnerable families in the community, often through mobile phone transfer, which can be spent on anything the recipients prioritise), conditional cash transfers (money which is restricted to a certain purpose such as rent support or food, often provided in the form of vouchers), cash-for-work (cash given in return for work, which can be physical work such as reconstruction of local infrastructure, social work in the community such as caring for children or supporting elderly people) or cash for training. A combination of these options may be the most appropriate (e.g. cash-for-work for those able to work, and cash transfers for vulnerable families unable to work).

Cash programming is not appropriate in all contexts and should be carefully planned, taking into account the local situation. For example, key questions include:

- Will distribution of cash cause any security concerns or put recipients at risk?

- Is there a risk of distorting the local labour market, taking jobs away from people in the community (in which case are the other activities that can be considered in return for paid work) or undermining existing livelihoods?

- Is it legal for people to work and receive a wage? (This may be a particular issue in some refugee emergencies if the host government does not allow refugees or displaced people to work).

- Are local markets functioning – if people receive cash are the items they need available to buy in the markets? Are they available at prices people can afford with the cash provided?

- Does the cash programme risk pushing up prices in local markets?

- Who will make the decision in the family on how the money is spent, and is it likely to meet the priority needs of the family? (If this is a concern, vouchers can be considered instead).

- If considering cash programming, it is useful to include a market analysis in the needs assessment stage (looking at availability of food and goods in the market, prices and recent price rises, inflation rates etc). Guidance on market analysis tools can be found in the food security and nutrition section of the Sphere handbook **(http://www.spherehandbook. org/)** and **http://emma-toolkit.org/** There is also some useful guidance on ECHO requirements around market analysis for cash programmes: **http://ec.europa.eu/echo/ policies/sectoral/cash_ en.htm**

Section four : disaster response in the first month

Reference
4.1.13

Emergency preparedness and response handbook
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Ensure that any programmes are in line with financial regulations, and that accountability is prioritised so that communities are clear about the programme, who will benefit and how participants have been selected. Transparency boards are a good way to do this (see **Section 7** – Accountability), and records should be kept of receipts/signature sheets for people receiving cash. It is important to have community involvement (led by women) in defining the selection criteria, mapping the community to identify vulnerable families, monitoring distribution of cash and fulfilment of work requirements in cash-for-work programmes. The community should also define the type of work to be done, the number of hours of work required etc.

There are lots of resources and guidance available on cash programming: the Cash Learning Partnership is a good place to start, and contains links to other useful resources: **www.cashlearning.org** Refer also to Livelihoods Programming in **Section 7**.

Don't forget that immediate needs are not just food, shelter and NFIs. Policy work, psychosocial support, protection, sharing information and mobilising communities are all part of emergency response.

See **Section 7** for more guidance on how to approach these areas of programming.

FURTHER READING AND RESOURCES

RASCI matrix: **http://goo.gl/asTkFk**

Needs assessment checklist and template: **http://goo.gl/asTkFk**

ERRP template: **Annex 9** and **http://goo.gl/asTkFk**

Humanitarian competencies framework: **http://goo.gl/asTkFk**

Financial Management Framework: **http://goo.gl/asTkFk**

http://www.spherehandbook.org/en/contents-4/

www.cashlearning.org

http://emma-toolkit.org/

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Emergency preparedness and response handbook
Section four : disaster response in the first month

Reference
4.2

Section four : disaster response in the first month

Management response

Implement key management processes

Who does this: members/country programme

Human resource management

- HR is part of the programme and is included in the response plan. The HR plan should be developed based on prior analysis included in the HR section of the country level preparedness plan.

- Staff should be deployed or recruited to meet all requirements of the programme to enable an effective response – national EFAST and volunteers should be included as part of the structure (see **Section 2**)

- As a signatory to People in Aid, ActionAid will utilise the principles and guidelines outlined by People in Aid, specifically regarding fast-track recruitment, rest and recuperation, psychosocial support for staff and on-the-job coaching. Information on the People In Aid Principles can be found in **Section 7** – Accountability.

- ActionAid has worked with a group of different INGOs to develop a Humanitarian Core Competencies Framework, **(see http://goo.gl/asTkFk)**, which describes the important competencies and behaviours required by humanitarian workers. This should be used when developing job descriptions, interview questions and assessing job performance.

Staff safety and security

- Make sure a designated and trained security focal person is in place.

- Security risk analysis, security procedures and contingency plans are in place and updated as necessary.

- New risks are identified and staff engaged in emergency response are actively and effectively supported to manage and minimise the risks.

- Security orientations and inductions are organised for staff joining the response, EFAST deployments and other staff visiting the country to support the emergency response.

- Effective structures and capacities are in place to respond to critical security incidents during the course of emergency response.

Section four : disaster response in the first month

Reference
4.2.1

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Financial management

- An efficient finance system must be in place, capable of managing:

  - 1. contractual obligations;

  - 2. identifying and managing financial risk related to currency exchange, corruption and cash handling;

  - 3. cash flow to partners and procurement;

  - 4. accurate financial reporting and management accounts;

  - 5. plans for internal and external audits.

- Financial transactions and financial management processes will follow adequate internal controls in line with the Financial Management Framework. Emergency financial policies and procedures should only be applicable during the relief phase, and normal policy should resume once the relief phase of emergency is over. During an emergency, funds will be available to members/country programmes through DPRF upon request to IHART.

- A back-up plan, which could take the form of an in-country, finance staff emergency roster, should be considered.

- The programme will be consistent with the emergency section of ActionAid's international **Financial Management Framework.** The full document can be downloaded from the Hive at: **http://goo.gl/asTkFk**

For guidance on good practices in preventing corruption in humanitarian operations, guidance can be found here: **http://www.transparency.org/whatwedo/pub/ handbook_of_good_practices_preventing_corruption_ in_humanitarian_operations**

Contract management

- The responsible staff member in the country programme will prepare a schedule of donor reports and contractual obligations and ensure incorporation of these obligations in the programme implementation plan.

- The management structure will outline clear responsibilities for contract management and financial management of fundraised income and fundraising.

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Emergency preparedness and response handbook
Section four : disaster response in the first month

Reference
4.2.2

Section four : disaster response in the first month

Logistics and administration plan

Logistics and administration will be an integral part of the programme plan and should consider the following priorities:

1. supporting movement of staff and partners
2. managing procurement, storage and supplies
3. setting up and maintaining communication equipment and IT
4. management of vehicles and transportation
5. setting up and maintaining offices
6. handling of cash and banking: (possible risk issues: volume of transaction, handling of cash in danger prone areas, no/limited banking facilities, difficulties in opening bank accounts).

Annex 10 contains a checklist of key actions under each of these headings.

Key principles to consider include:

- Participation of and accountability to disaster-affected communities, for example community participation in procurement decisions, and scrutiny of suppliers and costs.

- Be aware of donor requirements for procurement that must be followed.

- Consider international standards, which define the necessary quality of humanitarian goods and services. For example, ISO standards or the WHO prequalification programme for supplies of drugs for malaria, TB and HIV/AIDS.

- Prices in emergencies often increase dramatically and this must be considered when putting together budgets.

- Preparedness is key – identify, screen and build relationships with suppliers in advance, and make sure there is clarity on the ActionAid processes and systems that apply in emergencies (for example, some financial processes are altered to allow greater flexibility).

- Procurement of goods and services should be done as locally as possible, to ensure appropriateness of goods, reduce transport costs and support the local economy of a disaster-affected community. Where goods or services are not available locally, or are of insufficient quality, identify alternatives within the country or regionally. Only in exceptional circumstances should procurement be done at the global level – for example if specialised equipment or supplies are needed that are not available locally.

The UN global logistics cluster provides lots of resources on logistics in emergencies, including a logistics operational guide: **http://log.logcluster.org**

Develop a monitoring and evaluation (M&E) plan

Who does this: member/country programme

All ActionAid's emergency response and resilience programmes will include an M&E plan to:

1. Ensure ActionAid demonstrates its accountability and monitors compliance and standards. There is a range of international standards (including Sphere) that define required quality and timeliness in emergency response, and detailed technical standards in different sectors (see **Section 7** – Accountability).

2. Maintain flexibility to keep country strategy papers and annual plans relevant to the changing context.

3. Generate lessons for current and future ActionAid emergency responses.

4. Track qualitative and quantitative information to monitor our impact against the change promises in *People's action to end poverty.*

Evaluations of the ERRP will include a real time evaluation (RTE) conducted within three months of the start of the emergency response (see **http://goo.gl/asTkFk** for a sample ToR for an RTE). Subsequent reviews and external evaluations will be planned for at regular intervals (depending on the scale of the disaster).

All reviews and evaluations will cover: an analysis of ActionAid's adherence to the Red Cross Code of Conduct, value for money, accountability to disaster-affected communities, and indicators against objectives and outcomes, in addition to other areas as required by donors.

A useful guide on using OECD DAC criteria to evaluate humanitarian response can be found at: **http://www.alnap.org/resource/5253.aspx**

You can find a standard ToR for emergency evaluations, which can be contextualised when commissioning external evaluations at: **http://goo.gl/asTkFk.** Further information can be found here: **https://hive.actionaid.org/UK/Evaluation/SitePages/Home.aspx**

The Evaluating Humanitarian Action Guide **http://www.alnap.org/eha#** supports evaluation specialists and non-specialists in every stage of an evaluation, from initial decision to final dissemination.

M&E processes must be done professionally, with adequate finance and human resources allocated to manage them properly. A number of standards should also be followed:

• usefulness – all M&E processes must be useful

• cost-effectiveness – best option selected from alternatives

• independence and impartiality – should generate unbiased and objective assessment, and those involved should not have conflict of interest

• accountable – all processes must be transparent, open and people who participated must have feedback in appropriate language

• ethical – will follow ethical procedure of information collection.

ActionAid's approach to M&E in emergencies

M&E activity	Timeframe	Focus and objectives	Guideline
Monitoring	regular –throughout programme period	• understand changing context and recovery status of rights holders • assess the timeliness, adequacy and quality of our response against target – plans and budget • identify strengths and weakness of our programming and management process to deliver programme effectively • identify existing and emerging risks • deliver accountability to donors and supporters	• allocate budget and staff time for M&E – recruit dedicated staff if needed • integrate with accountability process – e.g. community review and social auditing • include logframe indicators and examine inputs in relation to output and outcome of logframe (as agreed with donors) • examine programme quality and timeliness, finance, risk and policy work • build on regular process – e.g. activity and finance reporting, field visit, finance report • carefully manage data and numbers • don't always approach it technically – adopt broad approach analysing recovery level of rights holders and your contribution – and see the gaps • use findings to modify programme

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M&E activity	Timeframe	Focus and objectives	Guideline
Real time evaluation – RTE	during a project – and early enough to influence programme process – ideally within three months of the start of the emergency response	• understand the relevance of programme strategy in the context • validate ability of programme strategy and approach to meet short- and long-term needs • effectiveness of management process – identification of risks • changes required in strategy and planning • gaps in capacity and funds to achieve programme goals	• design it as forward looking and improvement-orientated • note key operational and strategic challenges • define the ToR in relation to programme strategy, approach as well as logframe – consult with IHART and Oversight Group • make it a short and quick one • commission to external – but internal may take part • organise effective de-briefing (as people may not have time to read report) • share report with IHART and Oversight Group

M&E activity	Timeframe	Focus and objectives	Guideline
Final evaluation (can also have mid-term, depending on size and duration – and meta evaluation of several project evaluations)	at the end of all donor funded projects – and programme-wide evaluation at the end of ERRP	• assessing accountability to donor, ActionAid and disaster-affected communities • generating learning: for future emergency responses • focus: strategy, programme design, capacity, funds, risks and transition • determine the relevance and fulfillment of objectives, developmental efficiency, effectiveness, impact and sustainability	• use of established evaluation criteria: OECD/DAC criteria or other established standards e.g. Sphere standards • conduct mid-term review if ERRP's duration is three years or more • use logframe to formulate evaluation questions • share ToR with donors, if funded • conducted by external consultants, or a mixture of external and internal • several specific evaluations can also be conducted for organisational learning • conduct meta evaluation of several evaluations by IHART – to see overall trends of performance
Impact study	depending on nature of programme – ideally after one to three years of programme ending	• understand impact of programme on people and policy environment – in relation to disaster recovery, poverty and resilience, often end-line study can be done against baseline indicators (if available)	

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Reference
4.2.7

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Develop a risk matrix

Risks are an unavoidable part of disaster response. The success of a response depends on how efficiently we can identify and manage those risks. Risks should have both mitigation and contingency plans. Sources of risk can be internal or external/contextual. Examples of common types of risk include:

- **Programme quality:** risks which mean the disaster response programme does not benefit the most vulnerable people. These include a lack of participation of the affected community, poor technical capacity, lack of understanding of ActionAid's human rights-based approach, poor needs assessment etc.

- **Delay in implementation:** risks that affect timeliness of programme delivery. These include logistical problems, delays in recruitment, lack of clarity in decision-making, delays in disbursement of funds etc.

- **Financial risk:** risks that mean ActionAid does not meet the required standards in financial management. These include inaccurate reporting, delayed reporting, misuse of funds, theft, double reporting. Some of these factors may be a case of deliberate misuse of funds, and others a result of mistakes or a lack of capacity of ActionAid staff and partners.

- **Reputational risk:** the risk that poor performance in one part of ActionAid (e.g. poor financial management, slow or inefficient response, complaints from affected community etc) negatively affects ActionAid's public profile, ability to raise fund and influence others. These include negative media coverage, negative assessments from other NGOs or donors, complaints from affected communities, etc.

- **Risk associated with staff:** risks that limit the ability of staff to work productively, to innovate, to facilitate participation and timely decision-making. These include insecurity, stress, lack of motivation, lack of clarity in roles and responsibilities.

To manage these risks, all ERRPs will develop a risk matrix, which should be updated regularly. An example of a risk matrix is available at **http://goo.gl/asTkFk**, which can be adapted for the specific Emergency Response and Resilience Programme.

All risk registers should contain three strands:

1. risk assessment concerning programme quality, timeliness of delivery, financial risk, security risk and reputational risk to ActionAid

2. robust risk management actions

3. clearly defined responsibilities and accountabilities to implement risk management actions.

An update on risk management measures will be included in management reports (as agreed with Oversight Groups).

Fundraising
Develop a fundraising plan

**Who does this: member/country programme,
with support from IHART and International Fundraising**

Based on the Emergency Programme Plan and budget showing funding gaps, the member/country programme will prepare a fundraising plan, with support from IHART and International Fundraising. See **http://goo.gl/asTkFk** for a template contains a template for this fundraising plan. Based on this information, the member/country programme will prepare funding proposals with technical support from IHART and International Fundraising.

An important part of the fundraising plan is identifying and prioritising potential donors who might fund the emergency (called donor scoping). This process can be started before an emergency, by identifying key humanitarian donors at a national, regional and international level, and finding out information about what they fund, their requirements and the process for applying. It is also important to start building relationships with donors before an emergency, so that they are aware of ActionAid's humanitarian work and view us as a credible partner in emergencies.

Some of the key humanitarian donors include:

- AusAID
- Danida
- DFID
- ECHO
- Irish Aid
- SIDA
- UN agencies
- trusts & foundations
- collective fundraising from public appeals (e.g. AGIRE, DEC etc.).

Annex 11 contains a quick reference guide with more information about these donors. It also contains a template and advice on donor scoping and relationship building.

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Reference
4.3.1

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Submit proposals to institutional donors, trusts and major donors

Who does this: member/country programme and fundraising affiliates, with support of International Fundraising and IHART

Fundraising will be co-ordinated through IHART in the initial weeks of a disaster, except in the case of some institutional donor fundraising where specific information is needed or support required by the affected country (e.g. DFID; ECHO; DEC), in which case IHART will be kept informed. International Fundraising/IPD will advise and support fundraising countries on fundraising activities relevant to their market. IHART will liaise with the International Communications Team and the affected country to ensure that information and communications content requirements for fundraising are met.

IHART will share regular updates on the disaster response with the wider federation (including situation reports, rapid and needs assessment reports, Emergency Response and Resilience Building Plan). Fundraising affiliates will then be expected to submit proposals to appropriate donors within their countries, including institutional donors, trusts, foundations and major donors. Affiliates should link with IHART in the first instance to share information on planned fundraising and to request additional information needed from the member/country programme. They should also ask IHART to review proposals before submitting, to check for technical accuracy and accordance with ActionAid's human rights-based approach in emergencies. IHART will liaise with the member/county programme on behalf of the fundraising affiliate, and will facilitate direct contact where appropriate.

The member/country programme is responsible for submitting proposals to multilateral donors, including the EU and UN agencies, with the support of International Fundraising. IHART should review proposals before submission to check for technical accuracy and accordance with ActionAid's rights-based approach in emergencies. IHART will liaise with the member/county programme on behalf of International Fundraising, and will facilitate direct contact where appropriate.

The decision on whether to apply for funding opportunities remains with the member/country programme. In some cases, the member/country programme may not wish to apply for smaller grants that have a high burden of reporting requirements. In orange and red alert level disasters, the Oversight Group will provide advice and review decisions to decline funding.

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Reference
4.3.2

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ECHO emergency financing decision

ECHO emergency financing decisions apply both to new crises and established humanitarian crises where humanitarian response is already under way, but where continuing uncertainty and instability requires an appropriate, rapid and flexible response, e.g. where there are sudden deteriorating weather conditions within a natural disaster situation (a crisis within a crisis). Emergency financing decisions allocate up to **EUR 10,000,000** in total, for actions that are limited to a **maximum of six months.**

At this stage of the emergency, ECHO assumes that the situation will have calmed down somewhat from the initial stages, so unlike with primary emergency financing decisions, for emergency financing decisions **ALL** sections of the ECHO Single Form must be completed.

ECHO may publish the emergency funding decision on their website – see **http://ec.europa.eu/echo/funding/index_en.htm** – although it is always good practice for colleagues in the disaster-affected country to link directly with in-country ECHO representatives in person or on the phone to check as to whether this funding is likely to be made available/has been made available.

Once written, the emergency funding decision proposal must be submitted by ActionAid UK (as the 'owner' of the ECHO relationship for the whole ActionAid federation) using ECHO's online information exchange platform, known as 'Appel'. Note ECHO **will not** accept applications submitted directly by the ActionAid member/country programme in the affected country. (Please note this is different from the process for EU proposals, which are submitted directly by the member/country programme.)

Please refer to the ECHO emergency funding decision table at **http://goo.gl/asTkFk** to see what actions need to be taken by different parts of the federation in order to respond to the launching of an ECHO emergency funding decision.

High value fundraising

General good practice:

- have specific members of the team who are responsible for leading on emergency fundraising

- have a protocol for your team outlining roles, responsibilities and timelines for actions, with clear follow up plans, when launching a fundraising appeal for high value

- have an agreed disclaimer prepared explaining to donors that 10% of emergency donations go to the DPRF to support future emergencies

- have an up-to-date list ready for trusts and foundations, and major donors who have a specific interest in supporting emergencies and/or have funded emergency appeals in the past – this can then be downloaded quickly in the event of an emergency and an initial appeal can be sent within 12 hours ideally

- set up templates for emails, letters and proposals based on previous emergency appeals, which can be customised to the relevant emergency when it occurs

- get emergency appeals out to donors as soon as possible for red alert emergencies (ideally within 12 hours) – even if this is just very basic information to say it has happened and ActionAid is responding, it can be followed up with a more detailed appeal when more information is available.

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Reference
4.3.3

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High value fundraising

1) Response within the first 72 hours following a disaster

Actions:

- Prepare and send initial email/written communication (first 12 hours) – to include picture or map, basic facts and estimate of how many people affected. "We are working there and scoping out the need – please call us if you are able to support our response. We will be in touch shortly with more information."

- Follow up call where appropriate to trusts/major donors (within 72 hours).

- Start writing a general appeal mailing/proposal, which can be sent out to a wide range of high value donors (within 72 hours).

- Start writing bespoke donor proposals with more detailed information (72 hours to a week).

- Follow up with trusts/major donors contacted initially with more detailed information on the emergency and our response (use proposals prepared above).

- Follow up call to trusts/major donors where appropriate to check whether they received the application and ask if they would like any further information (after a week).

- In all communications with donors try and emphasise ActionAid's point difference in emergencies: our rights-based approach, participatory approaches to involve communities in the emergency response, our long-term presence in communities etc.

NB: ensure agreed disclaimers are included in written communications and that donors are aware of contribution to DPRF.

Information required:

- Sitrep from IHART – basic information on the emergency situation, numbers affected, what ActionAid is doing/planning to do to respond, and funds required if available.

- Strong photograph and case study of someone who has been affected to use in proposals and donor communications.

- Quote from IHART/staff member in country affected by emergency.

NB: we co-ordinate with other fundraising teams when compiling emergency content as our information needs are likely to be similar.

2) Response within the first month following a disaster

Actions:

• Follow up with donors contacted initially but who have not donated – emphasise still need their support.

• Thank donors who have supported the emergency and provide them with an update on how ActionAid has responded.

Information required

• Detailed budgets for bespoke applications.

• More detailed/updated sitrep.

• More comprehensive Emergency Response and Resilience Building Plan, including long-term plans.

• Updates on how ActionAid has been responding, how many people reached to date.

• Case studies and photos of people/communities we have reached.

3) Response six months and beyond

Actions:

• Send six month update to those who supported the emergency.

Information required

• Updates on how ActionAid has been responding, how many people reached to date.

• Case studies and photos of people/communities we have reached.

• Outline of long-term response plan.

Communications

Develop a communications plan

Who does this: member/country programme, with support from International Communications Team

The communications plan should set out how ActionAid will communicate with external stakeholders as part of the emergency response. This should take into consideration the different purposes of communications to support the ERRP – policy work, fundraising, communicating with disaster-affected communities etc. It should identify key targets for communications, the messages that need to be communicated and the channels that will be used to reach each group. International Communications are available to support the development of this plan (see contacts **Annex 4**). Remember that communicating with disaster-affected communities is an essential component – see above in the 'continue implementing disaster response' section for further details.

Food supplies are unloaded during devastating flooding across nine districts of Banteay Meanchey, Cambodia.
PHOTO: ACTIONAID

FURTHER READING AND RESOURCES

ECHO and DFID funding decision processes:
http://goo.gl/asTkFk

Checklist of key management processes: **Annex 10**

Sample ToR for a real time evaluation: **http://goo.gl/asTkFk**

Example of a risk matrix: **http://goo.gl/asTkFk**

Template for an emergency fundraising plan:
http://goo.gl/asTkFk

Quick reference guide to key humanitarian donors: **Annex 11**

Financial Management Framework and standard ToR for
emergency evaluations: **http://goo.gl/asTkFk**

For guidance on good practice in preventing corruption in
humanitarian operations: **http://www.transparency.org/
whatwedo/pub/handbook_of_good_practices_preventing_
corruption_in_humanitarian_operations**

The UN global logistics cluster provides lots of resources
on logistics in emergencies, including a logistics operational
guide: **http://log.logcluster.org**

Residents in Philippeau clear rubble as part of an ActionAid
cash-for-work scheme after a massive earthquake hit Haiti.
PHOTO: CHARLES ECKERT/ACTIONAID

Section 5:
six months and beyond

eprhandbook.actionaid.org/section5

Section
05

KEY POINTS

- After six months, IHART co-ordinates and supports the planning process to **integrate plans with the longer term change process** based on the real time evaluation findings.

- IHART and International Fundraising support member/country programme to develop a **fundraising programme**.

- Manage the **phase-out in collaboration with the disaster-affected communities**. Phase-out should not be treated as closure of activities, rather a change in leadership. The following aspects should be followed:

  - Building strong community institutions, particularly women's leadership and women's organisations that can carry forward work initiated by the Emergency Response and Resilience Programme.

  - Maintaining all staff details on file so that relevant skills can be redeployed in future, update of asset inventories.

  - Consultation of local/national labour laws and relevant employment legislationin case of termination of a large number of contracts.

  - Employment of extra security and protection measures to protect ActionAid assets.

  - Notice provided well in advance for all other contracts such as lease contract, bank accounts and vehicle contracts.

  - Submission of all project completion reports such as final report and audit reports well in advance of the programme phase-out/handover. Archive key programme, audit and financial documents for at least the next five years.

  - All assets to be handed over to local organisations and/or authorities will be properly documented. The condition of the use of assets must be marked in the documentation. The MOU agreed with partners at the outset of the partnership should also clearly spell out how the organisations are going to handle ActionAid's liabilities, legal obligation and pending legal issues.

- **Evaluation to consolidate learning** from the programme.

- **Information sharing** at a local, national and global level.

About this section

This section describes the actions that should be taken as the disaster response moves from the immediate relief phase towards longer term recovery. It explains what the member/country programme should do around six months after the disaster, as well as the support that should be provided by other parts of the organisation. This section summarises the key information and actions that are required, and contains references to the annexes where relevant templates and detailed guidance on each activity can be found.

This section follows on from **Section 4**, which explains what should be done in the first month following a disaster. The activities started in the first month will be continued up to six months, according to the Emergency Response and Resilience Building Plan, and may also continue beyond six months.

This section sets out the specific activities that should be considered as the disaster response moves into a new phase. This section should be referred to when planning a disaster response, and also when a disaster-affected member/country programme is writing annual plans or country strategies.

Local residents of Philippeau participate in a community clean-up after Haiti was hit by a massive earthquake.
PHOTO: CHARLES ECKERT/ACTIONAID

Summary of key actions

The following table summarises the key actions that should be taken around six months after the disaster. A fuller description of each activity is included on the following pages.

Implementing disaster response

What the member/country programme does	What IHART does (ORANGE and RED alerts)	What other parts of the organisation do (ORANGE and RED alerts)
• integrate ERRP with longer term programmes and strategies • manage phase-out		

Information management

What the member/country programme does	What IHART does (ORANGE and RED alerts)	What other parts of the organisation do (ORANGE and RED alerts)
• submit information update at key milestones of disaster	• support information gathering for milestone reports	• ICT circulate milestone reports (e.g. reports one year after major disaster)

Management response

What the member/country programme does	What IHART does (ORANGE and RED alerts)	What other parts of the organisation do (ORANGE and RED alerts)
• conduct evaluations of ERRP	• provide ongoing advice and technical support to continuing response • review ToR for evaluation and support in identifying appropriate consultants	• Oversight Group reviews evaluation

Fundraising

What the member/country programme does	What IHART does (ORANGE and RED alerts)	What other parts of the organisation do (ORANGE and RED alerts)
• continue to seek in-country donor funding in line with funding requirements of ERRP	• share fundraising gaps with federation and support funding proposals • co-ordinate continuing fundraising efforts across the federation	• affiliates submit proposals to institutional donors, trusts, major donors

Communications

What the member/country programme does	What IHART does (ORANGE and RED alerts)	What other parts of the organisation do (ORANGE and RED alerts)
• provide communications products in line with donor requirements • develop communications products around emergency milestones (e.g. one year on)		• ICT co-ordinate development and dissemination of communications products around emergency milestones (e.g. one year on)

Section five : six months and beyond

Reference
5.1

Emergency preparedness and response handbook
Section five : six months and beyond

actionaid

Fundraising
Submit proposals to institutional donors, trusts and major donors

Who does this: member/country programme and fundraising affiliates, with support of International Fundraising and IHART

Depending on the scale of the emergency, continuing needs of those affected and the amount of funds we have been able to mobilise within the first six months, there may be a need for continued fundraising. At this stage, the most likely available sources of funding are institutional donors, trusts and major donors – the majority of which are accessed not directly by the disaster-affected country but through fundraising affiliates who 'own' the relationship with specific donors.

As at earlier stages in the response, fundraising activities will continue to be co-ordinated through IHART except in cases where specific information is needed for the application to the donor, when IHART will be informed. In the case of a large-scale emergency (e.g. a red alert level emergency)

IHART will continue to share regular updates on the disaster situation and ActionAid's response with the wider federation (including situation reports, needs assessment reports, updated Emergency Response and Resilience Building Plan etc). If there is a continued need for further funding, fundraising affiliates will then be expected to submit proposals to appropriate donors within their countries, including institutional donors, trusts, foundations and major donors.

Fundraising affiliates should link with IHART in the first instance to share information on planned fundraising and to request additional information needed from the member/country programme. They should also ask IHART to review proposals before submitting, to check for technical accuracy and accordance with ActionAid's human rights-based approach in emergencies.

The member/country programme is responsible for submitting proposals to multilateral donors, including the EU and UN agencies, with the support of International Fundraising. IHART should review proposals before submission to check for technical accuracy and accordance with ActionAid's human rights-based approach in emergencies. IHART will liaise with the member/county programme on behalf of International Fundraising, and will facilitate direct contact where appropriate.

The decision on whether to apply for funding opportunities remains with the member/country programme. In some cases, the member/country programme may not wish to apply for smaller grants, which have a high burden of reporting requirements. In **ORANGE** and **RED** alert level disasters, the Oversight Group will provide advice and review decisions to decline funding.

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Emergency preparedness and response handbook
Section five : six months and beyond

Reference
5.2

Section five : six months and beyond

Implementing disaster response
Integrate ERRP into longer term programmes and strategies

Who does this: member/country programme, with support from IHART.

Disasters are not one-off events, and ActionAid's disaster response should contribute to building community resilience to future disasters. To do this, it is important that the disaster response is integrated into the member/country programme's ongoing work. This can be done by:

- Integrating the Emergency Response and Resilience Programme into LRP strategies, the country strategy and annual plans. The box below summarises how this was done in the case of the East Africa drought in 2010-2011.

- Integrating outcomes from participatory analysis into long-term planning, and continuing building community preparedness and resilience to multiple risks as identified by community members themselves.

- Where relevant, continuing policy and advocacy work initiated by the Emergency Response and Resilience Programme as part of our ongoing policy and advocacy work at LRP and national levels, accompanied by media and communications strategies as necessary.

- Exploring possibilities for establishing new LRPs in response areas.

- If money had been raised through voluntary public fundraising appeals to ActionAid supporters and/or the general public, oversight of the ongoing emergency response moves to IHART when the Oversight Group is disbanded. IHART will support the country programme to establish a long-term fundraising strategy, including contract management, donor management and management and reporting on spending of appeal money.

You can find an article on ActionAid's approach to resilience building and the links to emergency response here: **http://goo.gl/asTkFk**

Section five : six months and beyond

Reference
5.3

Emergency preparedness and response handbook
Section five : six months and beyond

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Kenya drought response programme

In 2011 ActionAid Kenya responded to a drought in the Horn of Africa, considered to be the worst to afflict the country in over 60 years. ActionAid Kenya responded to the drought by designing a comprehensive drought response programme that addressed the immediate needs linked to building long-term resilience amongst the communities to be better able to cope with future disasters.

Using the rights-based approach, the programme was designed in such a way as to recognise violation and denial of rights as key drivers of vulnerability. The design placed 'vulnerability' at the centre of all programme interventions. Using Participatory Vulnerability Analysis (PVA), it was quite clear that the drought, like in all emergency situations, had reinforced inequality and impacted upon the most vulnerable members of the community, women in particular. The social drought research study that the programme commissioned during the first phase revealed the drought as cyclical, and showed how climate and political problems are shortening the

cycle and increasing the depth of the problem. Thus the programme was also designed, right from the beginning, to address the structural inequalities through advocacy and policy-making, rooted in the experience of disaster-affected communities.

The programme design took into account the traditional coping mechanisms of the communities.

Thus the drought response programme was particularly built around communities' already established livelihoods, enhancing their ability to improve on what they were already doing and have been doing for generations to cope. These included livestock restocking, food- and cash-for-work around water harvesting, soil and water conservation. The programme also integrated women's leadership in all activities, and accountability to disaster-affected communities through transparency boards, community reviews and social audits and complaint mechanisms.

The food- and cash-for-work programmes ensured that communities addressed their immediate food and other needs, yet building on the coping strategies they had been practising for generations to address longer term resilience to drought. The policy and advocacy efforts linked to the drought response and resilience building are having a significant impact, as evidenced by the signing of the Nairobi Declaration on Drought and the subsequent establishment of the National Drought Management Authority through an act of parliament. It is assumed that this Authority will enhance preparedness for future droughts and contribute to limiting the consequences of future crisis.

Women from Isiolo district, Kenya, gather to talk about the hardships they are facing due to severe drought in the region.
PHOTO: SIEGFRIED MODOLA/SHOOT THE EARTH/ACTIONAID

Manage phase-out

Who does this: member/country programme

ActionAid will start integrating phase-out plans from the beginning of the programme. For example, if the community is intended to take over leadership of the programme, this should be conceived at the beginning of the programme. The Emergency Response and Resilience Programme Managers in-country will liaise with donors to ensure that project closures, handover and phase-out are consistent with donor policies, and ActionAid meets all contractual obligations. The Emergency Response and Resilience Programme will clearly define the budget for handover and closures, as well the human resources necessary to carry out activities and handover of assets. The phase-out plan is developed in collaboration with the disaster-affected communities and should include the following key aspects:

- Building strong community institutions, particularly women's leadership and women's organisations, which can carry forward work initiated by the Emergency Response and Resilience Programme. Phase-out should not be treated as closure of activities, rather a change in leadership.

- Maintaining all staff details on file so that relevant skills can be redeployed in future.

- Consultation of local/national labour laws and relevant employment legislation in case of termination of a large number of contracts.

- Employment of extra security and protection measures (against theft, rodents and bad weather as relevant) to protect ActionAid assets.

- Update of asset inventories.

- Notice provided well in advance for all other contracts such as lease contract, bank accounts and vehicle contracts.

- Submission of all project completion reports such as final report and audit reports well in advance of the programme phase-out/handover. Archive key programme, audit and financial documents for at least the next five years. (Refer to **Section 5** for details of financial management practices).

- All assets to be handed over to local organisations and/or authorities will be properly documented. The condition of the use of assets must be marked in the documentation. The MOU agreed with partners at the outset of the partnership should also clearly spell out how the organisations are going to handle ActionAid's liabilities, legal obligation and pending legal issues. A sample partner MOU is currently being developed.

Section five : six months and beyond

Reference
5.3.2

Emergency preparedness and response handbook
Section five : six months and beyond

act:onaid

Evaluate Emergency Response and Resilience Programme

Who does this: member/country programme, with support from IHART

When the Emergency Response and Resilience Programme was developed at the start of the response, plans should have been included for monitoring and evaluation. Monitoring should have been ongoing throughout the programme, and a real time evaluation should have been conducted in the first three months.

At the end of the programme, or when it is integrated into longer term programmes or strategies, an end-of-programme evaluation should be conducted. The purpose of this is to consolidate learning from the programme, and would ideally be conducted by in-country staff, partners and community members.

http://goo.gl/asTkFk

contains a generic ToR for an end-of-programme evaluation which can be adapted for the specific context.

The member/country programme should ask IHART to review the ToR before engaging consultants to carry out the evaluation.

It is also useful to document lessons learned and prepare learning documents, case studies and stories of change. These should be shared with IHART and will be used to inform future emergency response programming, fundraising and profile building. Templates and guidance for developing effective case studies are available on the Hive:

http://goo.gl/ENKGfe
password: powerinpeople

Include an evaluation of the structure of the emergency team to ensure that it is still 'fit for purpose'. Review the roles in the team and ensure that you have the right skills and experience to match the next stage in the emergency response.

Discuss with the team the evaluation findings and outline what specific focus and direction is required for the next phase of the emergency response. Articulate key areas of focus and identify any areas of support required (capacity or competency) and integrate into the key deliverables into the planning.

Repeat at each phase in the process to ensure that the changing circumstances you experience match the team structure at each critical point of delivery.

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Emergency preparedness and response handbook
Section five : six months and beyond

Reference
5.3.3

Section five : six months and beyond

Develop and share information updates at key milestones

Who does this: member/country programme, with support from IHART and International Communications

In advance of important milestones after major disasters (normally one year, but potentially also at the six month stage if a massive disaster with global significance), IHART will contact the member/country programme to request a summary information update of the activities conducted and the impact to date. This is used to communicate to the rest of the organisation and external audiences (donors, supporters, media) how ActionAid has contributed to the disaster response. A sample template for the report is included at

http://goo.gl/asTkFk

for information, but IHART will send a tailored template to the member/country programme at the appropriate time.

At the same time, the International Communications Team will link with ActionAid affiliates to assess the communications needs of the wider federation around the emergency milestone. If colleagues across the federation plan on using the milestone as a hook with which to feedback to supporters/engage in media or other communications work, the International Communications Team will work with the member/country programme to develop appropriate communications products (case studies, photos, blogs, digital content, film footage, Q&As, etc), and will co-ordinate dissemination of this material across the federation.

The International Communications Team is also responsible for supporting in-country activities around key milestones of the emergency response (e.g. national/regional policy/advocacy, report launches, media activity etc)

Section five : six months and beyond

Reference
5.4

Emergency preparedness and response handbook
Section five : six months and beyond

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Participatory Vulnerability Analysis (PVA) project in Italy – L'Aquila earthquake

Following the 2009 L'Aquila earthquake in Italy, which killed 308 people and displaced thousands for several months, there was much criticism about the government's broken promises in the reconstruction process.
In 2010 ActionAid Italy produced a documentary called 'L'Aquila a pezzi' (Broken L'Aquila) that called on the government to account for its actions, delays and lack of accountability: **http://video.corriere.it/aquila-pezzi-inchiesta-actionaid/d1be2f1e-40b5-11df-84ba-00144f02aabe**

This documentary was widely distributed online, in national newspapers and among independent media.

Two years after the earthquake the needs of the affected communities were still vast, with thousands of people displaced, an empty and unpopulated city centre and social services still not restored. In 2011, ActionAid Italy established its first domestic LRP and after first contact in town it designed a pilot programme for the Pettino borough of L'Aquila, one of the worst affected areas with 15,000 inhabitants. Many of the most active citizens had tried to participate in the reconstruction process since 2009, but the lack of information, transparency in tenders for reconstruction and bureaucratic delays had caused great frustration.

Using ActionAid's PVA technique, adapted for the Italian context, **affected communities in L'Aquila were supported to identify critical gaps in social and physical infrastructure and advocate for better disaster resilience measures.** Through the analysis, communities are able to speak out against factors that affect their wellbeing and advocate for early warning systems and risk mitigation measures. The pilot project has not yet shown its full potential in terms of the changes the community can bring to its territory, but has laid the basis for a broader and longer term project that can be developed in L'Aquila.

The community is now part of a network of actors including local organisations, the Italian Agency for Emergency Response (AGIRE) and academics. The network aims to develop a vulnerability toolkit that can also be used by other towns and cities that are affected by disasters.

ActionAid Italy established its own LRPs in 2011 and is now active in nine towns. The main focus areas include women's rights, right to food and accountability. ActionAid Italy is now looking for funds to implement a longer-term PVA project in L'Aquila.

PVA in L'Aquila.
PHOTO: ACTIONAID

FURTHER READING AND RESOURCES
Templates and guidance for developing effective case studies:
http://goo.gl/ENKGfe password: powerinpeople
ActionAid's approach to resilience building and the links to emergency response,
sample template for a key milestone report and a generic ToR for an end-of-programme
evaluation can all be found at: **http://goo.gl/asTkFk**

Environmentalists protest against the increasing effects
of climate change in Lilongwe, Malawi.
PHOTO: JAMES AKENA/PACJA

Section six:
preparedness

eprhandbook.actionaid.org/section6

Section
06

KEY POINTS

- Disaster preparedness is a process of increasing capacity to effectively anticipate, reduce potential damage, respond to, and recover from the impacts of likely, imminent or current hazard events or conditions.

- Disaster preparedness **is ensuring that information, skills and knowledge, infrastructure, materials, institutions, linkages, policy and funding** are available at LRP/partner, local government and organisational levels.

- Disaster preparedness is required at three levels – **institutional, national and community level.**

- Key elements of ActionAid's preparedness planning process are:

  - **capacity-building** with staff members, local partners and communities

  - developing, institutionalising and putting into practice a **preparedness plan** at the community, regional and national level

  - **building strong links** with other actors on preparedness and response locally, regionally and globally

  - **monitoring and reviewing.**

- Disaster preparedness plans need to be **integrated with ActionAid's regular planning and budgeting processes,** and should be reviewed on an annual basis.

About this section

This section describes the key actions that should be taken before a disaster happens, to ensure that ActionAid, partners and, most importantly, the communities we work with, are ready.

National and LRP level preparedness plans

People living in poverty and exclusion are constantly vulnerable to disasters, and poverty reduction efforts are incomplete without reducing this vulnerability. All ActionAid members in countries vulnerable to disasters (countries assessed in IHART's analysis as high risk in terms of likelihood and impact of natural disasters and/or conflict) are therefore expected to have disaster preparedness plans in place.

The purpose of a preparedness plan is to make sure that communities, partners and ActionAid can develop the necessary skills, resources, information, systems and structures to effectively prepare for disasters, to reduce their impact and respond more efficiently. It should guide the process of preparing for disasters and should also provide guidance on what the organisation will do when a disaster happens.

Preparedness is critical to ensuring a timely and efficient emergency response. ActionAid focuses on building preparedness at a range of different levels; from the household and community level, to the staff of ActionAid and our partners, and more widely as an institution. Local level preparedness is particularly important, given the fact that local people are usually the first responders in any emergency. In particular, women are often at the forefront of rescuing family members and assets.

The emergency preparedness plan will include the following elements:

✔ Background and country/LRP contextual analysis, history of disasters, major hazards and impact. Hazard analysis.

✔ Vulnerability analysis.

✔ Stakeholder analysis (LRP and national level).

✔ Key interventions for preparedness, response, recovery and rehabilitation.

✔ Budget for identified interventions.

✔ Analysis of donor communities and fundraising matrix (LRP, national/regional and global level).

✔ Assessment of communications process and plan for emergencies.

✔ Capacity-building activities for staff, partners and communities.

The preparedness plan should be:

• collective – created through engagement

• forward-looking and clear in setting actions

• integrated into national level and LRP planning and programming (vertically and horizontally)

• live and updated regularly – through review and simulation

• realistic, simple and user-friendly

• well communicated and accessible

• connected to all other aspects of emergency management

• decentralised, local co-ordination/management model

• concentrated on process and people rather than documentation

• linked with national and sub national response systems

• developed through active women's participation and leadership.

Babita and Bhanu take part in rescue and evacuation training as part of an ActionAid disaster risk reduction programme in Assam, India.
PHOTO: PRASHANT PANJIAR/ONASIA/ACTIONAID

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Emergency preparedness and response handbook
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Reference
6.0.2

Section six : preparedness

The key elements of the ActionAid preparedness plan template are:

- **Contacts and leadership**. All key contacts in the member/country programme and partners, and key external stakeholders such as other humanitarian agencies, government, suppliers etc.

- **Risk analysis and scenario building.** Map out hazards and risk – including the possible scale and nature of impact at national and LRP level, based on past events and anticipating climate induced events. Facilitate and limit challenges in the policy environment and operations.

- **Information about communities at risk.** Recording the characteristics and number of people at risk in our working areas.

- **Management process.** Decision-making process – assigning roles and responsibilities of staff, operations management, considering size of contingency funds, potential fundraising plan, preparing key donor information.

- **Possible key interventions.** Possible intervention and costing of each. Advance procurement and logistic plan.

- **Capacity mapping – limitations and support required.** Capacity of partners and ActionAid. A clear articulation of capacity gaps – and plans to meet the gaps, such as deployment and support. Analysis of fundraising and communication capacity.

- **Preparing to communicate.** Ensuring your team and the ActionAid federation are prepared to communicate from the first hour of a humanitarian emergency, to ensure swift and impactful fundraising and influencing at the national, pan regional and global level. This should include:

  1. Feeding into ActionAid's country factbook profiles (profiled on the Hive) ahead of time with information such as: what's the population of the country? How many sponsored children do we have there? What's the agricultural or economic cycle? This will provide ActionAid with 80% of a holding statement issuable to media and digital channels in the first hour of an emergency.

  2. Ensuring your national press lists are up-to-date and that Country Directors and communications staff have active twitter accounts.

  3. Ensuring staff have read and understood ActionAid International's *Checklist for communications capacity* document and are aware of the communications capacity required to undertake national and international communications when a humanitarian disaster strikes.

  4. Ensuring the Country Director has received on-camera media training in preparation for being a spokesperson during a humanitarian emergency.

Section six : preparedness

Reference
6.0.3

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• **Preparing to fundraise.** Ensuring your team and the ActionAid federation are prepared to fundraise from the first hour of a humanitarian emergency, to capitalise on rapid response funds made available by institutional donors, trusts and major donors. This should include:

1. In advance of a disaster, ensuring ActionAid staff: a) have a solid understanding of key emergency donors (ECHO, DEC/AGIRE, DFID, AusAID, etc) at the country/ international level, and of the level of information/data required for high-quality proposals, and b) are familiar with donor proposal formats.

2. Ensuring that ActionAid staff have a strong understanding of the UN system, cluster level co-ordination mechanisms and opportunities for accessing funding through the UN.

3. In advance of a disaster, ensuring that ActionAid has invested time and effort in building in-country relations with key emergency donors (ECHO and DFID in particular) so that they are familiar with our work and aware of our capacity to respond to disasters.

4. Ensuring that you have skilled human resources (staff) available at ActionAid and partner level to a) gather data and information on the emergency situation (through rapid and detailed needs assessments) and b) generate high quality proposals (narrative and budgets) that meet donor requirements.

Development and management of preparedness plan process

Countries are expected to do the following preparedness processes:

1. capacity-building for staff and partners
2. development and institutionalisation of preparedness plans
3. rollout and operationalise preparedness plans (integrated into LRP and national plans)
4. build links with other actors locally, regionally and globally on preparedness and response
5. monitor and review the process and plans regularly, build knowledge in the sector.

1. Capacity-building for staff and partners

The main objective is to equip ActionAid and partner staff with the knowledge and skills needed to engage in emergency response and preparedness work. This is done through a five to seven day training curriculum using approaches developed and tested by IHART. It is expected that the country programme will form a core team, which will be mandated to co-ordinate the whole preparedness process. This team will also be mandated to be the emergency response action team in case of an emergency within the country.

2. Development and institutionalisation of preparedness plans

1. Staff and partners would develop their preparedness plans at LRP, sub-national (depending on the country programme) and national levels. It is expected that members/country programmes will take leadership and ownership in the development of the plans (with support from IHART preparedness advisors). See preparedness plan template at: **http://goo.gl/asTkFk**

2. ActionAid and partners facilitate Participatory Vulnerability Analysis at LRP level to identify and prioritise hazards and risks at the community level.

3. The draft preparedness plan is submitted to IHART for review and input from relevant units from the International Secretariat.

4. The member/country programme finalises the preparedness plan and presents it in a workshop with their senior management team for approval.

5. Plan is signed off by member/country programme senior management team, Country Director, Head of IHART and National Board/Country Co-ordination.

6. Approved plan to be sent to IHART and Country Co-ordination Directorate Cluster Lead.

7. The organisation will institutionalise the preparedness plans by developing appropriate policies, procedures, standard operating procedures and systems, run simulation exercises and create space within the organisational structure.

8. Composition of multi-disciplinary team to respond, with clear roles and responsibilities and delegated authorities, linked to the various teams and functions of the organisations.

3. Roll out and operationalise preparedness plans

To ensure effective roll out and operationalisation, preparedness plans must be integrated and form part of the country strategy paper and the annual/LRP plans and budgets, and be made available for the whole federation. In practical terms this implies ensuring that activities around imparting information, knowledge and skills, development of infrastructure, materials required, institutions and linkages, policy and funding are all part of the normal activities in annual plans and budgets. It is important to emphasise that preparedness is best done during normal times in readiness for any disasters.

The following steps should be taken by the member/country programme over a one to two year period:

1. ActionAid partners should develop their own preparedness plans, which link into the ActionAid ational and LRP plans

2. capacity-building of ActionAid staff and partners

3. community level training on emergency preparedness and response, and development of local level plans

4. building community level institutions and linking these to local and national disaster management structures

5. fundraising to support preparedness activities from community level upwards

6. integrating preparedness activities with ongoing ActionAid programmes.

Risk map, Assam, India. What are the key features of the village? Where are the hazards?
PHOTO: SILVA FERRETTI/ACTIONAID

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Emergency preparedness and response handbook
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Reference
6.0.6

Section six : preparedness

4. Building networks

Member/country programme preparedness plans
are developed in the context of existing plans from
governments and other actors. A synergistic approach
should be developed to implement preparedness plans
at all levels by networking and collaborating with
government, UN systems and other civil society
actors, and establishing/strengthening co-ordination
mechanisms. Some of the activities could be:

1. Establish links with the Inter-Agency Standing
   Committee (IASC) and participate in Inter-agency
   co-ordination meetings at the national and
   sub-national level.

2. Build/promote/strengthen working groups/forums/
   common platforms to facilitate enhanced planning.

3. Develop links with the local/sub-national and
   national preparedness planning process.

5. Monitoring and evaluation

1. Preparedness plans and their implementation
   should be monitored and reviewed on a regular
   basis, and updated to integrate emerging trends
   and needs.

2. Any learning should be shared with other actors
   and within the ActionAid federation to contribute
   to knowledge creation.

Section six : preparedness

Reference
6.0.7

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All ActionAid preparedness activities should:

- **Build on existing capacity**, and be informed by Participatory Vulnerability Analysis and principles.

- **Prioritise the role of the communities we work with.** Women and excluded people play a central role and leadership in defining and managing preparedness planning, and should be actively engaged at all stages of the process.

- **Be integrated and connected.** Preparedness plans must be interlinked with relevant internal strategies, plans and processes and well as the plans of external stakeholders. For example, preparedness plans at community level should be integrated with preparedness plans at LRP level, which should link with our strategy in-country and our broader federation-wide strategy. ActionAid preparedness plans should also be connected to local government planning as well as other preparedness initiatives being undertaken by government and other actors.

Below is specific guidance on implementing preparedness activities at different levels.

Prioritising preparedness in country level plans:

1. Ensure community preparedness is included as a component of your country strategy paper and allocate sufficient budget to preparedness planning activities.

2. Develop locally appropriate process guidelines for addressing household and community preparedness.

3. Invest in the capacity of staff, LRP, partners and community facilitators to lead and manage preparedness activities.

A map of Gollapota village, India, drawn by villagers as part of a disaster risk reduction project.
PHOTO: SILVA FERRETTI/ACTIONAID

act:onaid

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6.0.8

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Household and community level preparedness planning:

4. Use participatory tools and methodologies to ensure that people have relevant information about the hazards they might face, and are able to understand the causes (including climate change) and impact of disasters. Work with the community to develop an action plan to address the underlying causes of their vulnerability to hazards, including policy-advocacy activities (social actions, support movements) as relevant to hold duty bearers to account.

5. Understand the institutions that exist at local level, led by both men and women. What role can they play during and after a disaster?

6. Examine what capacity already exists in the community. Support people to identify capacity gaps and plan how to fill these from within existing resources (e.g. through training).

7. Facilitate development of preparedness plans at individual household level. Develop and share a brief checklist that households can use to draw up preparedness plans. Develop and share simple messages (e.g. through information, education and communication materials) about actions people can take at household level to ensure they are prepared for emergencies, e.g. what people should do before, during and after a disaster, how people can protect themselves and their property/ assets during disasters, etc.

8. Ensure communities have access to information about current and future disaster risks.

Section six : preparedness

Reference
6.0.9

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Preparedness planning at partner level

9. Consider collaborating with donors of existing partners to facilitate a joint preparedness planning.

10. Support partners to include disaster risk assessment in their analysis and programming processes and include disaster risk management in their policy, strategy and planning process.

11. Follow ActionAid preparedness planning guidelines – see: **http://goo.gl/asTkFk**

Basic Emergency Response Training – facilitation pack

IHART has developed a facilitation pack for a five-day Basic Emergency Response Training. The aim of the training is to provide staff with the essential skills and knowledge to undertake emergency response with speed, efficiency and effectiveness. Since 2010 IHART has conducted seven trainings to build the capacity of over 175 EFAST and country programme staff members. The course received high ratings from attendees' training feedback, and also from participants after an emergency in terms of how they were able to apply the training in practice. This facilitation pack has now been created so that regional hubs and country programmes are also able to deliver this training to their relevant teams in future.

The pack can be accessed here: **http://goo.gl/cR353c**

FURTHER READING AND RESOURCES
Preparedness plan template: **http://goo.gl/asTkFk**
Summary of the preparedness process: **http://goo.gl/B0J8Xo**
Basic Emergency Response Training facilitation pack: **http://goo.gl/cR353c**

Section seven:
programming in emergencies

Section
07

KEY POINTS

- Human rights-based approach – ActionAid believes that poverty is a violation of human rights; **poverty underlies and is exacerbated by people's vulnerability and their inability to cope with shocks and hazards. Disaster-affected people living in poverty have the right to assistance.**

- **Accountability is the responsible use of power in the interests of people living in poverty and exclusion and affected by disasters.** This is done through various tools and techniques including community-led assessment and change plan and implementation processes, social audit, community reviews, public hearings, economic literacy and budget accountability for government (ELBAG) etc, in accordance with international standards that ActionAid is signatory to.

- **When disasters strike, people need information as much as they need shelter, food, water and safety.** By providing the right information, at the right time, from the right source, lives and livelihoods can be saved.

- Advancing women's rights is unapologetically **taking sides with women living in poverty and exclusion and affected by disasters.** Our response must take into account women's specific needs and right to protection and dignity. We strengthen and facilitate women's leadership and ensure that they effectively lead the assessment, response, preparedness and resilience building process.

- **Pychosocial work is an essential component of our response that is built on 4 Rs: relive/re-grieve, recreation, rebuild, refer.** We enable community-based volunteers to facilitate and support the process.

- **Livelihood support enables affected communities to maintain and rebuild their ability to support their families and build resilience** for future disasters.

- **Secure access to food is a universal human right.** Support can be provided through food distribution, cash support, cash transfers, lobbying government. All interventions must link to the restoration of livelihoods and resilience to future disasters.

- **Providing non-food items (NFIs) in emergencies is essential to ensuring the safety, security, health, dignity and wellbeing of people affected by disasters.** This will primarily depend on the context, but usually includes clothing, kitchen utensils, hygiene kits etc.

- Conflict sensitivity is the ability of an organisation to understand the **conflict and power dynamics** in the context it operates in, and the interaction between intervention and that context. This understanding is applied to minimise negative impacts and maximise positive impacts on conflict throughout the emergency response and resilience building cycle.

- **Policy should start from day one** and is a core component of emergency response. It should be led by community demands and should link local, national and international discourse.

About this section

This section provides detailed guidance on key programming areas in disaster response. It is intended to help managers, field staff and partners design disaster response programmes. This section builds on **Sections 2**-**6**, which summarise the key operational activities that should be implemented during a disaster response.

This section describes how ActionAid approaches disaster response in several key programme areas:

- human rights-based approach
- accountability
- communicating with disaster-affected communities
- women's rights
- psychosocial work
- livelihoods
- food security
- non-food items
- conflict sensitivity
- policy.

Five-year-old Djimi Dauphin was forced to live in a makeshift tent for months after his family home was destroyed by an earthquake in Port-au-Prince, Haiti.
PHOTO: CHARLES ECKERT/ACTIONAID

HRBA Human rights-based approach (HRBA) in emergencies

ActionAid's HRBA approach and the principles that guide long-term social change work also apply in disasters.

There are eight key principles that guide ActionAid's disaster response:

1. we put people living in poverty first and address **immediate needs as basic rights** in emergencies, enabling their active **agency** as rights activists

2. we analyse and confront unequal **power**

3. we advance **women's rights**

4. we work in **partnership**

5. we are **accountable and transparent**

6. we monitor, evaluate our **impact**, critically reflect and **learn** to improve our work

7. we ensure **links** across levels – local, national, regional, international

8. we build credible **alternatives** to the traditional top-down model of humanitarian response.

Why does ActionAid take an HRBA approach in emergencies?

- ActionAid believes that poverty is a violation of human rights: poverty underlies, and is exacerbated by, people's vulnerability and their inability to cope with shocks and hazards.

- Disaster-affected people living in poverty have the right to assistance.

- ActionAid believes that change will only happen and be sustainable if rights holders are aware, conscious and organised to challenge power and hold the state and other duty bearers accountable.

- ActionAid believes that rights of disaster-affected people living in poverty and exclusion will be achieved if ActionAid, supporters and allies stand in solidarity with rights holders and their institutions.

- Disasters have a disproportionately negative affect on women. ActionAid puts women's needs and rights at the centre of our emergencies work and seeks to challenge the power dynamics that underlie and exacerbate women's vulnerability.

- ActionAid believes that rich and powerful institutions like the state and the market act to control productive resources and build wealth during/after disasters, and that this dynamic denies people living in poverty and exclusion their rights.

Women make their way home with emergency supplies after floods hit their community in Bansi Bulungu, Ghana.
PHOTO: ACTIONAID

HRBA IN EMERGENCIES

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What does HRBA in emergencies mean in practice?

Providing relief in an emergency is not contrary to ActionAid's HRBA. ActionAid sees immediate needs such as food, water and shelter as the basic rights of disaster-affected people. Addressing these immediate needs is an important component of any disaster response. However it is important that even in the initial service delivery phase, an HRBA approach is followed. This means people living in poverty have a say in what goods and services are provided, and that these are delivered in ways that respect their dignity.

Do not worry my son! Our long-term, rights-based, people-centred, participatory approach recognises your universal, inherent, indivisible rights to life, dignity, protection, development... The state must...

HELP!

"A drowning person needs a rope, not a sermon"

Alongside providing immediate relief, ActionAid must at the same time be working to empower affected people living in poverty and exclusion, particularly women. For example, we should be supporting them to organise and mobilise with others, to have a voice and develop their ability to negotiate with the powerful in order to claim, secure and enjoy their human rights. This can mean:

• Ensuring that people have information and analytical ability to claim their rights and entitlements.

• Undertaking political-economic analysis of discourse, ideas, laws, policies and practices – both existing and emerging – to determine whether women and other excluded people's rights are ensured.

• Empowering and strengthening capacity organisation of women and excluded people – and promoting their active agency and actions.

• Building local community institutions, federating these and fostering alliances with other like-minded groups at local and national levels.

• Policy-advocacy work in solidarity with others, to influence the policies and practices of national governments, international donors and private companies to ensure the rights of disaster-affected people living in poverty and exclusion are secured and protected in emergency situations.

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Humanitarian workers can further disempower people – particularly women – by treating them as helpless victims who lack capacity and are unable to steer their own recovery. Good intentions, without examination of one's own attitudes, behaviour and ways of working, are not sufficient to overcome the policies and practices of structural discrimination and exclusion, or to bring about fundamental change in the power relations which systematically violate people's rights.

The ActionAid principles above have been translated into a set of minimum standards. The checklist below will help 'assess' if a programme is consistent with ActionAid's human rights-based approach in emergencies – see **Section 1** of this handbook.

To the right is an outline of a process of implementing an HRBA approach in practice, which ActionAid has used in various disaster contexts. It is a guide, rather than a standard formula – HRBA is about a mindset and a principle. However, this gives an idea of how programmes can be designed with HRBA in mind. Note the steps do not necessarily have to be implemented in sequence: they can happen in parallel.

Changing basic conditions
• addressing immediate needs (food, shelter, health etc.)
• adopting participatory approaches to decision-making
• building self-confidence through psychosocial support.

Critical self-awareness and collective community action
• understanding the political context and marginalisation process
• analysing and prioritising problems and possible solutions
• mobilising collective actions and resources
• community-led implementation, monitoring, review and evaluation.

Solidarity and alliance building
• mobilise and strengthen community-based institutions
• federate and build alliances.

Advocacy to assert rights
• negotiate and assert rights.

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Examples of HRBA programming in practice
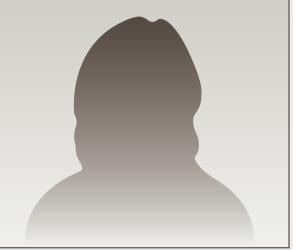
Example: Syria refugee response

The following example describes the programme design for an on-going response in a refugee camp in Jordan housing over 120,000 refugees fleeing in the conflict in Syria.

Example: Asia tsunami response, Sri Lanka

The example following describes how ActionAid's emergency response supported a specific household following the 2004 tsunami. Sara (alias) had previously been raped during the Sri Lankan civil war, and conceived a child. As a result she was marginalised by her community and lived on the periphery of the village before the tsunami struck.

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HRBA IN EMERGENCIES

STEP 1:
Changing basic conditions

Example: Syria refugee response

- Women's groups were formed in the refugee camp, and women took responsibility for community mapping, identifying and prioritising needs and selecting samples from non-food items (NFI) suppliers.

- Women lead the distribution of NFIs at local 'street' level (demonstrating an alternative to large-scale distributions from a central distribution point, which communities had identified as problematic in terms of security and a lack of dignity).

- Women's groups were trained on water quality testing in response to concerns about the poor quality of drinking water in the camp. The results will be raised with agencies responsible for water provision.

- Women and young people were trained on basic first aid skills, to meet an immediate gap in the provision of primary health facilities in the camp.

Example: Asia tsunami response, Sri Lanka

- ActionAid supported Sara to access a local government grant for reconstruction of houses following the tsunami, and provided part funding to meet remaining costs.

- ActionAid supported Sara's child to enrol in a school provided by another NGO.

STEP 2:
Critical self-awareness and collective community action

Example: Syria refugee response

- Community volunteers are trained in psychosocial support, and lead group sessions where people can share experiences and participate in expressive arts.

- Women's committees are involved in planning, implementing and monitoring the activities to be implemented in their local areas.

- Capacity-building sessions will be provided for women and young people on human rights, women's rights, and skills such as campaigning and managing groups.

- Women's groups will be supported to identify protection issues and develop community-based plans to address these issues at local levels.

Example: Asia tsunami response, Sri Lanka

- Sara began participating in women's group sessions within her community, including identifying issues affecting women in the emergency.

- Livelihoods support is provided to help vulnerable women like Sara to earn an income.

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STEP 3:
Solidarity and alliance building

Example: Syria refugee response

- Groups of women and young people in different blocks within the camp will be linked together to jointly raise common issues with camp authorities and share ideas and learning.

- Groups of women and young people will be connected with refugee groups in project areas outside the camp to form federations, through exchange visits and virtual platforms.

- Refugee groups and federations will be connected with existing Jordanian women and youth networks (e.g. those working on violence against women, legal rights, youth engagement).

Example: Asia tsunami response, Sri Lanka

- Women's groups in different villages affected by the tsunami linked together into local and national federations.

STEP 4:
Advocacy to assert rights

Example: Syria refugee response

- Women and young people are consulted on key policy issues being addressed at national and international levels (including transformative justice models for Syria and addressing tensions between refugees and host communities).

- Citizens' reports to be developed highlighting community voices on these issues.

- Joint advocacy led by women and youth groups from among refugees, with support from Jordanian women and youth activist networks.

Example: Asia tsunami response, Sri Lanka

- Women campaigned on violence against women, culminating in the presentation of a petition to the responsible ministry in national government.

- Representatives from the women's federation involved in drafting national legislation on violence against women.

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ACCOUNTABILITY

Accountability in emergencies

Accountability is defined as the responsible use of power; it can be understood as an obligation on the part of decision-makers or those with power to account for the use of their power. Accountability is usually seen as being about compliance and counting: assigning performance indicators and safeguards against corruption and inertia. But accountability is fundamentally about shifting the balance of power. Through raising their voice and exercising their rights, people can demand just and accountable governance.

In disaster situations there is an increased risk of mismanagement and misappropriation of available funds and resources, which deprives people living in poverty and exclusion of the support they are entitled to. Accountability therefore has to be a key part of ActionAid's approach to emergencies.

We are committed to being accountable to the following stakeholders:

- the communities we work with who are affected by disasters and conflict

- donors and supporters

- governments, international laws, standards and practices.

Overarching guidelines

- Accountability to the communities we work with is both a process (programme approach) and an outcome for communities and the programme.

- ActionAid views accountability as more than programme management compliance. It is a political process that aims to enable the communities we work with to hold duty bearers accountable, and thus shift power dynamics in their favour.

- ActionAid implements specific accountability programmes as a core component of all emergency responses. ActionAid and partner staff, as well as volunteers, must demonstrate their commitment to delivering accountability to the communities we work with through their attitudes and behaviour at all times.

- A risk register for the emergency response is developed, reviewed and updated in Oversight Group meetings.

- ActionAid's open information policy **(http://goo.gl/asTkFk)** requires us to share financial information through our websites and/or locally available means.

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Accountability to disaster-affected communities

ActionAid has developed a number of mechanisms for delivering accountability to disaster-affected communities during emergency responses, including social audits, community reviews and people's hearings. These mechanisms aim to support communities to empower themselves to ask questions and challenge the typical 'donor/recipient' mindset, facilitating a shift in a person's view of her/himself as a beneficiary/recipient of aid to that of a person with a right to assistance and active agency in the process of their recovery. ActionAid's experience shows that by going through such processes with ActionAid, the communities we work with can gain the confidence and skills necessary to demand accountability from duty bearers.

Manar, 22 (left) checks the distribution of ActionAid women's kits on an accountability board in Zaatari refugee camp, nothern Jordan.
PHOTO: HANNAH BURROWS/ACTIONAID

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What does accountability to disaster-affected communities mean?

There are five key areas of accountability to disaster-affected communities: participation; transparency; complaints; review and reflection; and sanctions.

Participation

• Humanitarian response should prioritise the participation of the affected communities at all stages, including needs assessments, selection of people to receive support, decisions on which relief items are to be provided, procurement and delivery of items, programme reviews and evaluations, etc.

• Recognise that people within the communities we work with have different capabilities in utilising accountability mechanisms. Often the most marginalised people are not aware or lack the necessary skills, knowledge, capacity or time to hold duty bearers (including humanitarian organisations) to account. ActionAid should invest in building the capacity of communities to engage successfully with accountability mechanisms.

Transparency

• Clarify programme objectives, ActionAid's role and limit of our programme as part of being transparent.

• Conduct a contextual analysis to understand the type of information the communities we work with may need to be aware of, and ensure that any information shared is contextualised as part of the overall emergency response.

• Consider using transparency boards to share information on the emergency response with communities, but be careful to consider issues such as literacy and language. Be open to alternative ways of sharing information as suggested by disaster-affected communities.

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Complaint mechanisms

- Develop locally appropriate and culturally acceptable complaints mechanisms that enable the communities we work with to feed back their thoughts on all aspects of the Emergency Response and Resilience Programme. These may include installing complaint boxes, setting up a phoneline/SMS feedback mechanism, etc. Always consider issues of accessibility and the differing abilities of various groups to engage with such mechanisms. Ensure communities are clear on the purpose and how to use complaint mechanisms, and be sure to communicate what people can expect from ActionAid in terms of response to their queries.

- Allocate sufficient resources for handling complaints in the form of grievances, protests, objections or criticisms. Handle specific complaints against individual staff members or volunteers through their line manager in the first instance, seeking support from your in-country HR officer as necessary.

- ActionAid has a complaints mechanism policy that can be accessed here: **http://goo.gl/WBKxg1**

Review and reflection

- Put in place locally appropriate mechanisms such as social audits and community reviews to enable the communities we work with to analyse our work – and provide feedback.

- Ensure programme plans and budgets are flexible enough to accommodate feedback from the communities we work with.

- Adopt decentralised management processes that enable partners and field offices to incorporate the community's feedback.

Peer review team, Ziseiri community, Ghana.
PHOTO: ACTIONAID

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Sanctions

- Sanctions are a vital component of accountability. If there are no consequences for state actors and humanitarian agencies when they don't meet commitments and standards, the entire accountability process fails. Even with the most comprehensive and insightful information on performance, no-one can be held accountable unless there are sanctions for misconduct and non-achievement.

- Communities targeted by the emergency response must be empowered so that they can impose sanctions on humanitarian agencies, e.g. people may reject the support that is provided in their community, people may take legal recourse against agencies who act improperly.

- ActionAid should support communities to advocate for appropriate sanctions against duty bearers. For more information on the role of civil society in holding state actors to account, see ActionAid's *Accountability handbook*, part of the Just and Democratic Local Governance series of HRBA tools. **http://goo.gl/R8xhyY**

- Sanctions must be coupled with answerability. Those who have the obligation to deliver should also have a binding duty to answer questions and explain themselves when things go wrong.

- Sanctions must be enforceable. It is insufficient for sanctions merely to exist, without being put into practice. When monitoring reveals that obligations have not been met, sanctions should be enforced as a matter of course, and not as an exception to the rule.

Monitoring our commitments and ensuring compliance:
ActionAid's Accountability Charter commits us to monitor compliance on our agreed minimum standards, policies and accountability principles and their implementation in practice. Each entity in the federation is responsible for implementing the accountability standards that follow from this charter. Governing bodies have the responsibility to monitor compliance and sanction non-compliance. We will monitor and report on progress as appropriate, and take responsibility as members for upholding our commitments.

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What does accountability to disaster-affected communities look like in practice?

ActionAid has developed different tools and mechanisms to operationalise accountability to disaster-affected communities. Many of these are used in ActionAid's longer term development programmes – these practices do not stop after disasters – they become even more important.

Tools and resources can be found in the ActionAid Accountability in Emergencies Resource Book
http://goo.gl/xSZJR6

Community-led participatory change plan (CLPCP)

CLPCP is an approach to learning and social change wherein the initiatives of planned change are from the people, for the people, and by the people. The primary objective of CLPCP is to build the capacity of local communities to analyse the causes of their poverty, establish appropriate local response mechanisms, and access available resources by creating meaningful networks and alliances with other stakeholders so that their voices can be heard at the provincial and national levels. The community itself takes up the leadership, and acts as catalyst for its own empowerment and transformation.

CLPCP emphasises the following essential elements:

• Support of community groups to analyse their own situation using participatory tools such as social, resource and mobility mapping, historical transects, wellbeing ranking, etc.

• Use of participatory methods to address the key issues. This involves using participatory methods to decide how to act on the concerns and problems the community experiences, which have surfaced in their analysis of their situation. The participants then prioritise what actions to take.

• Provision of space for individual planning in the context of community ownership.

• Involvement of key external stakeholders to help build links between local communities and the resources they require.

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Social audit

ActionAid has adopted social audit as a participatory and transparent process of ensuring public accountability, as well as a process by which all stakeholders jointly review and evaluate programme achievements, shortcomings and learnings. Social audit enables an organisation to: account for its performance to all stakeholders, especially the poor and excluded; maintain transparency and check corruption; learn to improve future performance; understand better its impact; promote wider participation and community ownership of the programme; and build a social platform at the village level for poor and excluded people to question and demand their rights.

Social audit is delivered through three key processes:

1. Transparency or display boards: the name of the village and objectives, coverage, activities and budget of the initiatives under implementation are displayed on a board in a public place in the village (i.e. temple, road junction, or bus stand) and updated on a regular basis.

2. Vigilance committee: community selects a group of volunteers mainly comprising members of excluded groups with equitable gender representation, to monitor and supervise the day-to-day implementation of the projects, including procurement. These volunteers receive training to enable them to take up larger responsibilities in community-based institutions.

3. Community auditing of bills and expenses vouchers: copies of vouchers and bills for expenses incurred by partners and community members in implementing project activities in the village must be shared. The community must accept the role of the vigilance committee and approve the bills and expenses vouchers incurred in the village by passing a resolution. Any complaints against the vigilance committee or partner implementing the project must be acted on immediately. It is useful to invite other civil society organisations and government representatives to these interactions. This helps the community to ask for similar processes to be done in the village by other actors.

Mwanajuma Hiribae updates her community transparency board, Wenje, Kenya.
PHOTO: ESBEN SALLING/ACTIONAID

Vigilance committee, Sri Lanka.
PHOTO: ACTIONAID

A community audit takes place in Sri Lanka.
PHOTO: ACTIONAID

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Community review

Community review is a process held every three months whereby nominated members from vigilance committees from different villages form a team and physically verify the programme direction and achievements in each of the villages. The reviewers move from village to village to observe the programme and verify the quality of work in each village, with the primary aim of learning from others' experiences, facilitating networking around issues, building wider solidarity in the neighbouring villages, and helping them gain a sense of ownership. The process changes the status of the community from 'the source of information' to 'the owner of the information'.

The steps in community review include:

• Clustering of villages in a functionally feasible way. Clustering is to enhance networking with government and other agencies.

• Formation of the review team comprising at least two members (one of whom is a woman) from each village.

• Orientation to the programme including: what is planned in the village, the intended coverage, intended outcome, the process planned, and agreement regarding the implementation of the programme.

• Village-wise physical verification through village visits by the team. In each village this coincides with the community auditing of the bills and vouchers of expenses in the social audit process which is described above.

• Reporting the community review – sharing lessons learnt, good practices and programme effectiveness.

• Dialogue around issues emerging from this community review.

Through the community review process, the community in general and members of the vigilance committee in particular learn about the finances in neighbouring villages, and can undertake comparative analysis which supports them to ask questions about the expenditure of partners and other agencies.

Public hearing

The public hearing is a large gathering held once a year, usually at the level of the district or a wider region. It is attended by disaster-affected community members, vigilance committees, community review committees, partners, ActionAid staff, government officers and other stakeholders such as academics, the media and members of religious institutions.

In the public hearing, partners display and present the programme progress against plan and budget details. Groups of people from the disaster-affected community observe all the details, and achievements and missed opportunities are openly discussed. Partners, ActionAid and government officers sit together to answer questions posed by the community.

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Economic literacy and budget accountability for government (ELBAG)

ActionAid views economic injustice as a core denial of rights, and we regard economic literacy and budget accountability work as a crucial instrument for strengthening governance and public policy. Government budgets play a crucial role in the economic activities of a nation, especially in poverty eradication. The overall objective of ELBAG is to build, democratise and demystify knowledge on budgets and public finance, and to look at them as political processes and priority setting mechanisms of the government, rather than merely technical processes or documents. It focuses on building capacities of communities and their organisations to engage with economic processes and to challenge economic injustice at the micro and macro levels.

Specifically ELBAG aims to:

• Build people's capacities to monitor, track and question budgetary policies by institutionalising accountability mechanisms like local level budget analysis, social audits, community reviews and public hearings, such that the poorest and most excluded people can challenge injustice in their daily reality.

• Strengthen community and civil society organisations' engagement with budgets on a sustained and continuous basis from the local to the national levels, in order to advocate for reform of the budget formulation process, and to influence budget allocation priorities.

• Empower communities and civil society to understand the manifestations of economic injustice around them, and to be able to challenge them.

Accountability to donors and supporters

All staff involved in the Emergency Response and Resilience Programme should read and understand ActionAid's contractual obligations to donors and ensure these are integrated into the programme.

ActionAid also has an obligation to ensure that we provide timely and accurate programme and financial information to donors and supporters. Any changes to the programme response that require amends to a donor contract should be communicated to the donor in advance, to seek any necessary approvals.

Accountability to government and compliance with international standards and laws

In any emergency response the government is the primary duty bearer and should be responsible for providing support to the communities affected. ActionAid establishes links with government at different levels, informing officials of our plans and reporting on progress in our response. ActionAid's Emergency Response and Resilience Building Plans have to demonstrate our accountability to the government at various levels – unless they are contravening international standards and laws such as the Universal Declaration of Human Rights.

ActionAid is a member or signatory of various international standards and conventions that guide humanitarian response. As an organisation we have an obligation to adhere to these standards and to operationalise them in our work in disasters.

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Sphere standards

The Sphere project is a voluntary initiative established in 1997 that brings a wide range of humanitarian agencies together around a common aim – to improve the quality of humanitarian assistance and the accountability of humanitarian actors to their constituents, donors and affected populations.

The Sphere handbook, *Humanitarian charter and minimum standards in humanitarian response,* is one of the most widely known and internationally recognised sets of common principles and universal minimum standards in life-saving areas of humanitarian response. These tools set out standards and guidance for different areas of humanitarian response including shelter, WASH, protection, food and non-food items.

ActionAid staff responding to disasters should be aware of the standards that apply in relevant sectors and ensure that the assistance provided by ActionAid meets these standards. They are also a useful tool for advocacy and holding government and other providers to account, as they provide a framework for identifying where response is falling short.

The Sphere handbook in multiple languages can be accessed free of charge online at: **http://www.sphereproject.org/handbook**

Hard copies can be ordered through the website, with subsidised prices for NGOs. A free Sphere e-learning course in multiple languages is also available: **http://www.sphereproject.org/sphere/en/learning/e-learning-course/**

Many countries have national Sphere chapters, where humanitarian agencies come together as a community of practice to discuss and operationalise the Sphere project. You can find information on these communities, as well as training opportunities at:

http://www.sphereproject.org/community/welcome-to-the-sphere-community/

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Interagency Network for Education in Emergencies

In order to achieve a minimum level of educational access and quality in emergencies, as well as to ensure the accountability of the workers who provide these services, the Interagency Network for Education in Emergencies (INEE) has developed the INEE *Minimum standards for education: preparedness, response, recovery.*

The INEE minimum standards are designed for use in emergency preparedness, response and recovery and in humanitarian advocacy. They are applicable in a wide range of situations, including natural disasters and armed conflicts. The standards give guidance on how to prepare for and respond to acute emergencies in ways that reduce risk, improve future preparedness and lay a foundation for quality education. They provide flexibility in responding to needs at the most important level – the community – while providing a harmonised framework to co-ordinate the educational activities of national governments, other authorities, funding agencies, and national and international agencies.

The INEE minimum standards are companion standards to the Sphere project minimum standards in humanitarian response:
http://www.ineesite.org/en/partnerships/sphere-companion

INGO Accountability Charter

The INGO Accountability Charter is an initiative of International NGOs to demonstrate their commitment to accountability and transparency. The charter seeks to:

- identify and define shared principles, policies and practices
- enhance transparency and accountability, both internally and externally
- encourage communication with stakeholders
- improve our performance and effectiveness as organisations.

The charter text codifies practices for INGOs in the areas of respect for universal principles; independence; responsible advocacy; effective programmes; non-discrimination; transparency; good governance; ethical fundraising; and professional management.

The full charter and more information can be found at:
http://www.ingoaccountabilitycharter.org/

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ACCOUNTABILITY

Humanitarian Accountability Partnership (HAP)

The Humanitarian Accountability Partnership International is a multi-agency initiative working to improve the accountability of humanitarian action to people affected by disasters and other crises. HAP members range from agencies with a mandate of emergency relief and development activities to institutional donors. They are committed to meeting the highest standards of accountability and quality management.

HAP members commit to developing a code of conduct for staff responding to disasters, and to integrate the HAP principles into organisation policies and processes. Members have to report annually won progress, and have to meet further requirements to fulfil the HAP certification process.

The 10 HAP principles are:

- **Humanity:** concern for human welfare and respect for the individual.

- I**mpartiality:** providing humanitarian assistance in proportion to need, and giving priority to the most urgent needs, without discrimination (including that based upon gender, age, race, disability, ethnic background, nationality or political, religious, cultural or organisational affiliation).

- **Neutrality:** aiming only to meet human needs and refraining from taking sides in hostilities or giving material or political support to parties to an armed conflict.

- **Independence:** acting only under the authority of the organisation's governing body and in line with the organisation's purpose.

- **Participation and informed consent:** listening and responding to feedback from crisis-affected people when planning, implementing, monitoring and evaluating programmes, and making sure that crisis-affected people understand and agree with the proposed humanitarian action and are aware of its implications.

- **Duty of care:** meeting recognised minimum standards for the wellbeing of crisis-affected people, and paying proper attention to their safety and the safety of staff.

- **Witness:** reporting when the actions of others have a negative effect on the wellbeing of people in need of humanitarian assistance or protection.

- **Offer redress:** enabling crisis-affected people and staff to raise complaints, and responding with appropriate action.

- **Transparency:** being honest and open in communications and sharing relevant information, in an appropriate form, with crisis-affected people and other stakeholders.

- **Complementarity:** working as a responsible member of the aid community, co-ordinating with others to promote accountability to, and coherence for, crisis-affected people.

The 2010 HAP standard and more information on HAP can be found at
http://www.hapinternational.org/projects/standard/hap-2010-standard.aspx

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Code of Conduct for the International Red Cross, Red Crescent Movement and NGOs in Disaster Relief

The Red Cross Code of Conduct is a voluntary code that seeks to safeguard high standards of behaviour and maintain independence and effectiveness in disaster relief. In the event of armed conflict, its clauses are to be interpreted and applied in conformity with International Humanitarian Law.

The 10 principles of the Code of Conduct are:

1. The humanitarian imperative (saving lives and alleviating human suffering) comes first.

2. Aid is given regardless of the race, creed or nationality of the recipients and without adverse distinction of any kind. Aid priorities are calculated on the basis of need alone.

3. Aid will not be used to further a particular political or religious standpoint.

4. We shall endeavour not to act as instruments of government foreign policy.

5. We shall respect culture and custom.

6. We shall attempt to build disaster response on local capacities.

7. Ways shall be found to involve programme beneficiaries in the management of relief aid.

8. Relief aid must strive to reduce future vulnerabilities to disaster as well as meeting basic needs.

9. We hold ourselves accountable to both those we seek to assist and those from whom we accept resources.

10. In our information, publicity and advertising activities, we shall recognise disaster victims as dignified humans, not hopeless objects.

ActionAid's humanitarian assistance is neutral in the sense that we never take sides with actors in a conflict or with political parties. However, ActionAid does take sides with people living in poverty and exclusion. In our analysis, the assertion of people's rights in emergencies is a political process and in this sense humanitarian assistance cannot be neutral.

The full code can be downloaded from
http://www.icrc.org/eng/assets/files/publications/icrc-002-1067.pdf

A short film on the ICRC code of conduct has been produced and can be found at:
http://www.youtube.com/watch?v=INZuLjbHg3Q

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People in Aid

People In Aid is a non-profit organisation that aims to improve organisational effectiveness within the humanitarian and development sector worldwide by advocating, supporting and recognising good practice in the management of people. People in Aid supports organisations whose goal is the relief of poverty and suffering to enhance the impact they make, through better management and support of staff and volunteers. Members have to fulfil certain obligations to achieve certification.

The People in Aid code is an internationally recognised management tool that helps humanitarian aid and development agencies enhance the quality of their human resources management. It covers seven areas:

• human resources strategy

• staff policies and practices

• managing people

• consultation and communication

• recruitment and selection

• learning, training and development

• health, safety and security.

The ActionAid International Secretariat and its 26 associates and affiliates worldwide have been accredited with the first People in Aid quality mark called: Committed to the People In Aid Code of Good Practice in 2013. The code and more information can be found at:
http://www.peopleinaid.org/code/online.aspx

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FURTHER READING AND RESOURCES

ActionAid Accountability in Emergencies Resource Book
http://goo.gl/xSZJR6

ActionAid's open information policy: **http://goo.gl/asTkFk**

Article on ActionAid's approach to accountability and experiences of accountability to disaster-affected communities in the 2004 Asian Tsunami: **http://goo.gl/mhXoTv**

ActionAid's complaints mechanism policy:
http://goo.gl/WBKxg1

ActionAid's accountability handbook: **http://goo.gl/R8xhyY**

More information on the work of Sphere:
http://www.sphereproject.org

The INGO accountability charter:
http://www.ingoaccountabilitycharter.org/

The 2010 HAP standard:
http://www.hapinternational.org/projects/standard/hap-2010-standard.aspx

Red Cross Code of Conduct:
http://www.icrc.org/eng/assets/files/publications/icrc-002-1067.pdf

People in Aid Code of Conduct:
http://www.peopleinaid.org/code/online.aspx

People's report: violence against women in the post-tsunami context and *A call to action: citizens' charter based on voices of drought affected people in Kenya:* **http://goo.gl/asTkFk**

Piew-Un Sunan carries his mother, who suffers from kidney disease, through flood waters to the hospital in Bangkok 3 times a week.
PHOTO: JAMES BOAKES/ACTIONAID

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Communicating with disaster-affected communities

When disasters strike, people need information as much as they need shelter, food, water and safety. By providing the right information, at the right time, from the right source, lives and livelihoods can be saved.

Given the right information during disasters, people can make their own choices and decisions, and become more active participants in the process of their own recovery and claiming their rights.

Hawo Mamo, 48, chairlady for the relief committee in Rapsu, Kenya, checks her phone before deciding whether to harvest her crop.
PHOTO: PIERS BENATAR/PANOS PICTURES/ACTIONAID

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COMMUNICATING WITH DISASTER-AFFECTED COMMUNITIES

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What is communication with disaster-affected communities?

When disasters strike, people need information as much as they need shelter, food, water and safety. **By providing the right information, at the right time, from the right source, lives and livelihoods can be saved.** At the same time, if people have access to useful information during disasters they can make their own choices and decisions, and become more active participants in the process of their own recovery and claiming their rights. They can feed back, complain, voice their opinions and, in doing so, hold agencies like ActionAid – and other bodies like local and national government – to account.

Communication with crisis-affected communities is a critical component of humanitarian response

From earthquakes to armed conflicts, human survival can depend on knowing the answers to some critical questions: what is the extent of the damage? Where can I get clean water? Is it safe to go back home? As well as needing access to timely and accurate life-saving information, affected communities have the right to ask questions and get answers from humanitarian responders. They have the right to voice their needs, ideas and feedback and to take an active role in relief and recovery efforts in their country. When people are not given the opportunity to voice their opinions and provide feedback, it exacerbates their dissatisfaction, anger and frustration.

Communication with affected communities is a cross-cutting function that facilitates greater accountability and effectiveness of aid delivery; enhances resilience building; and promotes understanding between humanitarian organisations and the communities they serve. Yet despite its potential to save lives and improve aid delivery, communication with affected communities has not been given sufficient attention by humanitarian organisations and is not systematically institutionalised within the humanitarian sector. Its importance to quality programming is not widely recognised and rarely implemented effectively. This gap has been recognised in recent reviews of humanitarian response:

The people who are on the receiving end of our assistance are rarely, if ever, consulted on what they need or are able to choose who will help them or how. Whilst this has been long recognised as an issue, too little has been done about it.

For more information, see: **www.cdacnetwork.org**

To understand why 'communication is aid', watch this short film from the CDAC network: **http://www.youtube.com/watch?v=ZDmKLcY7Nis**

Ways of communicating with disaster-affected communities
The key thing to remember is that communication should be two-way. It is not just about delivering information to people affected by disasters; they should also have a chance to share information with aid providers and express their views and feedback.There are many different ways to communicate with people, and lots of tools that have been developed to support this. The important points when considering how to communicate are:

• Consider information needs at the rapid and needs assessment stage (see tools below) to understand the information gaps people face and how they prefer to receive information.

• Use a range of different communication channels to ensure you reach different parts of the community, including the most vulnerable groups.

• Understand community preferences for communication channels (including cultural factors, accessibility factors such as literacy levels, access to electricity, coverage and uptake of different forms of media such as newspapers, mobile phones etc) and think about how this varies for different groups (women, older people, children).

• Consider the availability of communication channels, taking into account damage to infrastructure following a disaster.

• Consider how communication channels can be used for two-way communications (for example if you are using radio, can you incorporate listener phone ins, or community listening groups).

• Collaborate – it is important to link with clusters and other co-ordination mechanisms to ensure that the messages are coherent and communities are not overwhelmed with lots of disjointed sources of information. Also, think about how you can work with partners, including local media organisations.

Tools and resources

There are lots of useful tools and guidance available to help you design and implement activities to communicate with disaster-affected communities.

Many of these are listed in ActionAid's accountability in emergencies toolkit (under development, draft versions can be requested from IHART).

Some of the best places to start are:

Infoasaid media and telecoms landscape guides: the online guides provide comprehensive and detailed information on the media and telecommunications landscape in 22 countries, including details of coverage and community usage of radio, television, newspapers, mobile phones etc. These were developed by the Infoasaid project, which has now ended but their website archives lots of useful learning and tools. **http://infoasaid.org/media-and-telecoms-landscape-guides**

Infoasaid message library: searchable database of pre-developed and approved messages on a wide variety of topics, including cholera, gender-based violence, mine prevention etc, developed in collaboration with different clusters. These can be used to disseminate critical information to affected populations in an emergency. **http://infoasaid.org/cgi-message-library?destination=%2Fmessage-library**

Infoasaid diagnostic tools: tools and guidance on assessing information needs and capacity, including rapid information assessment.

CDAC 101 seminar series: series of reports from introductory '101' seminar series on communicating with disaster-affected communities. Includes using SMS in emergencies, using radio broadcasts, and humanitarian financing information. **http://www.cdacnetwork.org/public/resource/101-seminar-series-report-using-sms-humanitarian-response**

Internews: website features toolkits and reports on use of different media in emergencies, particularly how to engage with local media organisations. **http://www.internews.org**

See for example a short film on programmes developed in collaboration with local radio stations for refugees in Dadaab refugee camp: **http://vimeo.com/72501084**

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COMMUNICATING WITH DISASTER-AFFECTED COMMUNITIES

Case study: SMS project in Isiolo, Kenya
Since May 2011, ActionAid has been partnering with a consortium called Infoasaid. The aim of this initiative was to:
• Mainstream communications with disaster-affected communities in our emergency preparedness and response.
• Strengthen the capacity and preparedness of ActionAid to respond to the information and communication needs of crisis-affected populations.
• Provide rapid responses to select emergencies in partnership with ActionAid to inform and support their two-way communication with affected populations.

As part of the partnership, ActionAid began implementing a pilot project in Isiolo, Kenya, where ActionAid (in collaboration with the World Food Programme) provides vital food rations to over 80,000 people every month. Distribution of the supplies is handled by community members themselves through self-organised 'relief committees', and overseen by field officers employed by ActionAid.

Broadly, the project aims to help combat food insecurity amongst communities affected by the 2011 drought. It uses innovative technology – Frontline SMS and Freedom Fone – to transmit information simultaneously to multiple recipients from a laptop computer, and to provide a channel for communities to feed back to ActionAid staff. The project provided basic mobile phone and solar chargers to 250 relief committee members, and 30 Java-enabled mobile phones to ActionAid field officers, regional office staff and others including warehouse owners and food truck drivers.

In July 2012, the project was awarded the Innovation Award in the **2012 Technology 4 Good Awards**
http://www.technology4goodawards.org.uk
Read more about the award:
http://www.actionaid.org/2012/07/actionaid-mobile-phone-project-kenya-wins-innovation-award

Hasha Kalcatcha, 35, uses a solar panel to charge the mobile phone she received as part of the SMS project.
PHOTO: PIERS BENATAR/PANOS PICTURES/ACTIONAID

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COMMUNICATING WITH DISASTER-AFFECTED COMMUNITIES

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A recent review of the project found that it had brought benefits for both drought-affected communities and ActionAid, by:

• **Boosting household income**

Edward, relief committee secratary:
"A man asked 'how is the livestock price in Isiolo?' I told him it is lower, he immediately called people in Nanyuki so that they could go to buy [in Isiolo] and sell in other towns. He bought so he could sell at a higher price."

• **Improving relations between communities and ActionAid**

Fatumah, food monitor:
"We used to argue. The community wanted to know why I had not told them about the distribution dates. Now they have time to prepare. Within 30 minutes we are done. Before we had to ask neighbouring villages to help with off-loading – that could take two-three hours."

• **Increasing the speed and efficiency of food distribution**

Community member in Oldonyiro:
"There is a big change now. Long before, food used to stay overnight because there was no communication. Now we get information immediately even when the trucks are still in Isiolo. We are aware that food is arriving tomorrow, and we go ready for distribution."

Field officers also report that the use of Frontline SMS has reduced the need for frequent travel to rural communities for face-to-face meetings – in one case from 24 per month to just 12 – saving time and money.

• **Enabling communities to link with the outside world**

Salesa, community member:
"When one [child] was bitten by the snake we used the phone to call the vehicle to help take them to hospital."

• **Enabling community members to better plan their time**

Halima, community member:
"In the past we saw the [food] trucks arriving and we might have gone to attend to other works. Now, we get [information] one or two days before, we can put off our jobs and come to collect food."

Providing information on when food distributions will arrive means children no longer have to leave school to tell parents the trucks are on the way, as was the case previously.

• **Improving the speed and efficiency of data collection**

Thomas, ActionAid food monitor:
"The Frontline SMS forms are very easy to fill. They do not consume even 10 minutes. The information goes to the hub and…it is secure. Before, I gave the information on paper which can disappear."

The review also highlighted areas for improvement, including:

• Improving the way ActionAid shares, and responds to, information received from community members. Relief committees are using the phones provided by the project to report important information such as flooding, or disease outbreaks. A systematic approach for handling this information needs to be put in place.

• Reviewing the benefit of the Freedom Fone hotline. Discussions with community members revealed that the Freedom Fone number is rarely used. In addition to some technical problems, there are significant cultural and economic challenges which are currently hindering its uptake, which ActionAid needs to investigate.

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COMMUNICATING WITH DISASTER-AFFECTED COMMUNITIES

Since the project began ActionAid has received questions and complaints from community members relating to the humanitarian situation and response. These communications are received and processed by ActionAid's Data Officer in the region. If the complaint does not relate to ActionAid's work it is passed onto the relevant external contact. If it does relate to ActionAid it is handled by the ActionAid's Project Co-ordinator. If the complaint is related to a serious matter it would fall under ActionAid's complaints procedures as outlined in the *Complaints and response mechanism framework* for investigation and action. While no serious complaints have been received during this time, a number of queries relating to food distributions came in. In one case, community members used the mobile phones provided by ActionAid to communicate the fact that they hadn't received food supplies for a number of weeks. When ActionAid's Project Co-ordinator reasoned that this was because community members had failed to complete work on a food-for-assets project, the community again used the mobile phones to request that the Project Co-ordinator visit the site to see that the work had indeed been finished. Following the site visit, the Co-ordinator agreed that the work had been completed satisfactorily, and as a result the food distributions were reinstated.

Rahab Mburunga manages the Freedom Fone and Frontline SMS hubs in ActionAid's office in Isiolo, Kenya. She uses the system to send out text and voice messages on food and livestock prices to community members to help them deal with the impact of drought.
PHOTO: ACTIONAID

Women's rights in emergencies

At the heart of ActionAid's work is a commitment to promoting women's rights. This is central to all objectives in ActionAid's strategy, *People's action to end poverty,* and is non-negotiable in all programmes, including emergency preparedness and response, based on the understanding that the underlying causes of poverty and injustice are gendered. In emergencies, violence against women is exacerbated.

The different needs, risks and opportunities for women and men affected by emergencies must be analysed. Strategic Objective 4 highlights the critical importance of women's leadership in building community resilience and enabling effective disaster response and preparedness. Women and their rights must be explicit in all aspects of emergencies programming to ensure access, equity and protection.

Thousands of women took part in a rally in Chitwan, Nepal, to demand their right to a life without hunger.
PHOTO: BRIAN SOKOL/ACTIONAID

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WOMEN'S RIGHTS

Guiding principles

- Working on women's rights is non-negotiable for ActionAid, and we focus on women living in poverty and exclusion.
- Women are differentially affected by disasters.
- Disasters increase women's existing vulnerability.
- Disasters increase the burden of work done by women.
- Women are often the first responders, but the last to participate in decision-making.
- Women are not helpless victims and have an important leadership role in preparedness, response and recovery.
- Emergencies present an opportunity to challenge underlying social inequalities.

In practice, this means ensuring women's participation and leadership in each stage of the emergency process and ensuring that women's specific needs are identified.

Needs assessment

- Collect data disaggregated by sex and age and information on women's specific material, psychosocial and information needs.
- Collect data on needs of women with disabilities.
- Community participation in needs assessment process (reviewing questions, organising meetings etc) must be led by women to identify their own and community needs.
- Women team members must lead the consultations with women, who must be consulted separately from men.
- The needs assessment design must be sensitive to women's needs (e.g. timing and location, women's psychosocial needs etc).

Participation in decision-making

- **Women must be involved in all stages of preparedness, response and recovery,** including procurement, project design and relief distribution.
- The **right to participation and decision-making are often denied to women,** and emergencies present an opportunity to redress this.
- To support women to participate in the decision-making process and access the assistance they are entitled to, **ActionAid must help women to access information and understand their rights.**
- Emergencies are an **opportunity to amplify the voices of people who are normally excluded.**
- The **planning of activities and the behaviour of humanitarian workers impacts women's ability to participate and lead.**
- In emergencies ActionAid should work with and **strengthen existing women's groups and institutions** (e.g. *Reflect* circles) – capacity-building is a key part of preparedness.

WOMEN'S RIGHTS

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Immediate response

- Women have specific material, psychosocial and information needs that need to be considered in each sector (e.g. food, shelter, health, WASH, protection, psychosocial support, communications with disaster-affected communities) during the immediate response.

- Women's participation is essential in ensuring these needs are identified and that women are able access appropriate assistance.

- The Sphere standards set out minimum standards for emergency response in each sector, including strategies for addressing women's specific needs.

- Alongside these technical standards, ActionAid must also consider the political aspects of women's rights in emergencies.

Violence against women and girls

- Violence against women and girls can take different forms – physical, sexual, emotional or psychological, economic and structural discrimination.

- Violence against women and girls is not only committed by individuals, but also can be committed by the state through consistent, persistent structural discriminatory policies and processes that deny or abuse women's rights.

- Structural discrimination results in violations of women's human rights – mechanisms for registration, information provision, distribution of relief, inaccessibility of authorities who are there to protect.

- There are laws, policies, codes of conduct or standards at international, regional and national levels to safeguard women (including CEDAW, UNSCR 1820 and UNSCR 1325), but these are often inconsistently applied.

- The dominant political, social and cultural beliefs and practices that both accept and perpetuate violence against women and girls, profoundly influence the formulation and implementation of the legal framework.

- Violence against women and girls often increases in emergencies and should be considered in all programme plans.

- Individuals, communities, mandated agencies and states all have a role to play in protecting women and girls from violence – different approaches to protection are described in the ActionAid protection manual, available at: **http://goo.gl/8K9FrC**

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WOMEN'S RIGHTS

Women's leadership in the policy process

- The structural causes of vulnerability that pre-exist in society persist in the emergency context, and can impact on disaster response. This is also true for the inequalities/injustices that women face.

- Policy work aims to ensure the disaster response is just and equitable, and that change is sustainable through empowering poor and affected people – particularly women – and changing power relationships.

- Policy influencing/policy advocacy means deliberately influencing governments and other power holders who decide on policy and practices that have a humanitarian impact – i.e. that deny rights of the rights of women.

- Programme and policy work are interconnected. Policy work must be grounded in the programme and affected women's experience and concerns in the field. Practice should also be informed by policy.

- For ActionAid to effectively support affected women to claim, secure and enjoy their human rights in emergency contexts it is critical that the programme, policy and communications functions are linked.

- Women, including women living in poverty and exclusion, have the ability to make their voices heard and effectively influence policy – ActionAid's role is to support and build the capacity of these women so that they can take a leadership role in the policy process.

See also earlier in **Section 7**, which includes a case study on policy work around violence against women following the 2004 Asian tsunami.

FURTHER READING AND RESOURCES
A separate manual with detailed guidance on women's rights in emergencies is available here: **http://goo.gl/8K9FrC**
Sphere protection principles: **http://www.spherehandbook.org/en/how-to-use-this-chapter-5/**

Psychosocial work in emergencies

The devastating impact of disasters may result in significant emotional distress, causing increased suffering and hindering the ability of survivors to rebuild their lives and livelihoods. In some cases, traditional and cultural practices of relieving such distress may not be sufficient to bring about full recovery. In emergencies where large parts/all of the community is affected, specific psychosocial activities may need to be implemented. Psychosocial work aims to enable people to adapt to their lives post-disaster, to cope with losses they may have suffered, and to begin to rebuild their lives and livelihoods.

A woman in Stadium IDP camp in Kayin state, Myanmar, receives psychosocial support from an ActionAid staff member.
PHOTO: ACTIONAID

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PSYCHOSOCIAL

In the aftermath of an emergency, almost every individual who has been affected will suffer a degree of emotional distress that limits their ability to return to their normal lives. Establishing a relationship of trust between the disaster survivor and the psychosocial facilitator is essential.

It is important to note that ActionAid will not treat serious mental issues, but rather link the disaster survivor with relevant professional institutions that have the expertise to provide sufficient support.

There are four steps that make up ActionAid's psychosocial support in emergencies:

1. **Relive and re-grieve:** create safe spaces for women where they can come together to share their experiences, and relive and re-grieve for those they have lost through structured sessions facilitated by a psychosocial worker.

2. **Recreation:** help people to find ways to relax and take recreation, for example through creating women and children friendly spaces, community drama, song, sports etc.

3. **Rebuild:** identify culturally appropriate ways for people to start to return to normality, for example by helping children return to school and helping people rebuild their livelihoods. Women will often use the safe spaces provided for recreation and reliving/re-grieving to start planning response and livelihood rebuilding.

4. **Refer:** ActionAid is not equipped to provide specialised support to treat serious mental health issues. In serious cases, we should link the disaster survivor with relevant professional services such as government services, specialised humanitarian agencies etc.

Many of these activities can be facilitated by trained people from the community, particularly women, who are familiar and understand the cultural sensitivities and practices. ActionAid can train a cadre of people, including disaster survivors themselves, to facilitate psychosocial work. Be sure to include women facilitators, as well as people from different parts of society including teachers, youth activists and health workers.

FURTHER READING AND RESOURCES
ActionAid has a separate manual on psychosocial support in emergencies: **http://goo.gl/kN1on4**
IASC guidelines on mental health and psychosocial support in emergency settings: **http://goo.gl/l2OCZs**

LIVELIHOODS

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Livelihoods in emergencies

In a disaster, the entire population may have been exposed to the same shock, but the impact it has on people's lives and livelihoods will vary depending on the social, geographic, economic and political processes influencing and interfacing with the particular event. Key variables explaining differences in impact include people's class, occupation, caste, ethnicity, gender, health status, age, the nature and extent of their social networks, their asset base prior to the hazard or their power relative to other groups. All people living in poverty and exclusion are vulnerable. Any disaster disproportionately affects those affected by poverty, impacting their lives and livelihoods.

The community from Garba Tulla, Kenya, working on a project to capture rain water during the rainy season.
PHOTO: JEAN-BAPTISTE LOPEZ/INFOASAID/ACTIONAID

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LIVELIHOODS

Disasters generally result in the loss of lives, homes and assets, and the disruption of livelihoods and social services provision, sometimes with long-term consequences. The impact on livelihoods might include the destruction of food stocks, standing crops, the death of livestock or the destruction of tools (e.g. handlooms, shops, farming implements, boats and nets etc). A 'livelihood' comprises the capabilities, assets and activities required for a means of living. Assets are not only human, natural, physical and financial, but also social and political.

Disasters also have the potential to further skew power relations against the most vulnerable people, as they lose their assets and income opportunities and further sink into poverty and debt. Therefore a key principle of investment is equity not equality. In a community devastated by a disaster almost all families will be affected. But in the rehabilitation process, it is most often the powerful people who grab the external resources and poor and vulnerable families are left out. As such, more resources should be allocated to the poorest and most vulnerable families rather than to a slightly-better off family. In addition, with appropriate assistance and policy change, disasters provide an opportunity to establish sustainable livelihood options for the most vulnerable people, based on substantial changes in the pre-disaster power dynamics. It is this last possibility which is the goal of all livelihood interventions of ActionAid in the post-disaster context.

Sustainable livelihoods are those "which can cope with and recover from stress and shocks, maintain or enhance its capabilities and assets, and provide sustainable livelihood opportunities for the next generation; and which contribute net benefits to other livelihoods at the local and global levels and in the short and long term," (Chambers and Conway, 1992). This concept also includes: *"lifestyles and workstyles that do not deplete the social and environmental capital of economies"*. **(http://www.iisd.org/didigest/glossary. htm#S).**

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Guiding principles

• Focus on diversification of livelihoods in the programme response.

• Define minimum threshold levels of investments for disaster-affected people to make their livelihoods profitable/ economically viable (e.g. 10 goats/cows could be one unit not two cows, which would not be viable). This should be calculated based on the local context, skills and market. Those who are the poorest should benefit from a larger share of the investment, which might include supporting access to markets; capital investments and capacity building etc, so that they can achieve an equity of income with those better off.

• Backwards and forwards linkages (linking supply of inputs, production and end-product processes including marketing) are essential for successful livelihood interventions. Livelihood programme design should be informed by a thorough analysis of local context, resource and capacities, and with the active engagement of the affected communities at all stages. Tools such as wealth and wellbeing ranking, as well as matrix ranking, may be appropriate for selecting families to receive livelihoods assistance.

Local residents of Philippeau, Haiti, participate in a community organised clean-up of flood prone areas of their hillside community.
PHOTO: CHARLES ECKERT/ACTIONAID

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LIVELIHOODS

- Strengthen women's leadership and capacities so they are empowered and can reduce their unpaid care work (e.g. invest in land owned by women and increase the productivity of the land). We need to ensure that there is adequate focus on the following seven areas of intervention:

1. improvement in women's food security

   - number of meals per day

2. active participation of women in collective action (and solidarity with women who can't join the groups)

   - number of women who are members of groups

3. improved access to basic services

   - number of women who access agricultural extension services
   - number of women who access basic services including childcare, health, education

4. improved access to and control over productive resources (individual and collective) for women

   - number of women who have access to land
   - number of women who have access to livestock

5. increased intake of sustainable agricultural practices

   - reduction in use of external inputs
   - water conservation/sustainable water management
   - diversification of crops and livelihood
   - improved access to markets

6. enhanced contributions by women to household revenues (and control over these resources)

   - number of women who can decide what to do with their production
   - number of women who have a say in household spending/revenue decisions

7. optimised time and resources spent in care and reproductive activities by women – policies and interventions must recognise women's paid and unpaid work, including unpaid care work

   - time spent in care activities – recognised or paid for
   - time spent in unpaid work – recognised or paid for
   - time spent on leisure

- Livelihood diversification must be culturally acceptable, environmentally sustainable, technologically feasible and economically viable.

- Support/build co-operatives/federations/links between producers to enhance people's ability for collective bargaining and access to and influence over markets. Build capacity of people to understand local legal frameworks related to the livelihoods/trades they are pursuing; to negotiate with markets and manage their production themselves. Ensure institutional processes are established to enable collective procurement and marketing.

- Ensure livelihood interventions conform to the laws and policies of the country in which they are being implemented.

LIVELIHOODS

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Addressing immediate needs of disaster-affected communities:

- Design community based food-for-work and cash-for-work schemes. Cash-for-work normally works where sufficient food is available in the local markets. In the case of a lack of food in local markets, food-for-work is more appropriate. Consider cash – or combine cash with material support. Undertake a security analysis for any large-scale cash transfers. All food kits should adhere to Sphere nutritional standards. **(http://www.spherehandbook.org/en/1-food-security-and-nutrition-assessment/)**

The affected community members – especially women representatives – decide on:

- the types of activities that they are willing to undertake
- food combinations
- where to procure the food from, and supervision of the procurement
- day-to-day monitoring of activities
- management of the food distribution/cash payment
- cash transfers for the most vulnerable community members.

The community – especially women – will also identify:

- the most vulnerable individuals/families
- agreed cash transfer/food transfer mechanisms
- ensuring lists and coverage of the programme are reviewed at regular intervals.

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Livelihood analysis and designing interventions

- Make use of available livelihood analysis from the perspective of people living in poverty and exclusion and affected by disaster, particularly women. It is also critical to understand the context that they live in such as dry zones and conflict areas; and technical areas such as market analysis.

- Adopt, where possible, a household and local economic approach to understand all aspects of livelihood systems. For example, consider four internally cohesive strands for lasting impact:
a) each household's capacity and livelihood needs;
b) community infrastructure and local markets that condition livelihood recovery;
c) governance and environmental sustainability that affects livelihood security; and
d) the power analysis within the household and community that informs livelihood options.

- Understand the policy and legal environment, which may enable or limit people's livelihood recovery – and develop advocacy and campaigning strategies around it.

- Develop a livelihood programme based on the minimum level of investment required for people to generate income and meet the needs of their household.

- Consider the differential impact of a disaster due to pre-disaster inequality in society. Utilise economic recovery as a means to address vulnerabilities, especially among ethnic minorities and women. When designing a livelihood programme, meeting the immediate needs of people living in poverty and affected by disasters is fundamental, but programmes must also strategically link to longer term recovery of livelihoods.

- Addressing disaster-related traumas through psychosocial initiatives is a pre-condition to livelihood recovery. Experience from the Asian tsunami response and cyclones Sidr and Aila suggest that people's ability to re-start their livelihood has greatly depended on their mental wellbeing, as well as their physical wellbeing. Always involve communities and local experts in deciding which varieties and species of seeds or livestock are used in any intervention – and understand and address people's capacity for restocking (not just distributing). Integrating local knowledge and experience with scientific innovation is crucial to designing an effective livelihoods programme.

- Promote campaigns to secure resilient livelihoods, and ensure that they are co-ordinated with the state agencies that provide support services to agriculture and livestock.

Livelihood programme design is fundamentally driven by the principles outlined in this section. Programmes will greatly vary according to the context, but it is essential to recognise that the provision of livelihoods and support for communities to recover is the responsibility of the state. However, the role of civil society and agencies like ActionAid is to facilitate the process to enable communities to assert their rights.

This is best done through the following steps:

1. Ensuring immediate needs are addressed

E.g. cash transfers, cash for work, food for work, food for assets.

2. Livelihood analysis conducted to identify livelihood options

Analysis may assess knowledge, skills and expertise; raw materials available; production process; markets; women's perspective and equity of support to address inequity in society. Alternative livelihoods – research and promote livelihoods that are resilient to disasters and climate change. See climate change guidelines at: **http://goo.gl/asTkFk**

3. Initiate appropriate livelihoods support

E.g. farm-based livelihood (restart agriculture through tools, seeds for farmers and capital, boats and nets for fishermen, restocking livestock, seed distribution, agricultural loans, training etc). Non-agricultural livelihoods (ensure that affected communities have the skills and access to capital and material support for business and wage earning).

4. Facilitate the creation of co-operatives so that communities can negotiate a fair price with markets

E.g. capacity building to manage co-operatives, collective procurement of materials and marketing.

5. Mobilise and federate communities, and foster alliances with stakeholders to assert rights

E.g. link with government, private sector etc. to carry out advocacy and support policy on access and control over natural, financial and technological resources.

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LIVELIHOODS

FURTHER READING AND RESOURCES
ActionAid climate change guidelines: **http://goo.gl/asTkFk**
Sphere nutritional standards for food kits:
(http://www.spherehandbook.org/en/1-food-security-and-nutrition-assessment/)
ActionAid *livelihoods in emergencies manual*: **http://goo.gl/RyPszB**

Naseem Bibi, from Punjab in Pakistan, is hoping
to expand her small shop through an ActionAid
livelihood support scheme that was put in place
after the area was hit by flooding.
PHOTO: UMAR FAROOQ/ACTIONAID

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Food security

Food security issues may emerge as a result of food price rises, droughts, floods, earthquakes or a combination of these factors. Food crises are more often than not a failure of public policy – an abdication of responsibility by the state to respect, protect and fulfil their citizens' right to food. It is caused because of lack of entitlements, including social capital. There may be many factors that cause a food crisis – but if adequate systems were in place, there is no reason why anyone should live with hunger given that the world produces enough food for our needs. Secure access to adequate and safe food is a universal human right, which all states of the international community are mutually obliged to respect, protect and fulfil, including an extraterritorial obligation not to violate the right to food of the people of other countries. The FAO and Sphere have defined food security as 'all people at all times have physical and economic access to sufficient, safe and nutritious food for a healthy and active life'.

A lorry load of food arrives in Kyuso, Kenya. It will be used as part of an ActionAid food-for-work scheme in this drought-prone area.
PHOTO: DANIELLE PECK/ACTIONAID

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FOOD SECURITY

Recent causes of food price crises include:

- Extreme weather conditions, structural changes in commodities markets, food and energy speculation, biofuels mandates, and longer term trends on both sides of the food supply/demand equation that are driving prices up:

  - On the demand side the causes are population growth, rising affluence, changing diets, and the increasing use of grain to fuel motor vehicles.

  - On the supply side: soil erosion, aquifer depletion, loss of cropland to non-farm uses, plateauing crop yields and the growing impact of climate change are all squeezing supplies, while steadily rising oil and gas prices have increased fertiliser, production and transport costs. A weak dollar, ultra-loose monetary policies, and an explosion of speculative activity on commodity futures markets is also considered to be amplifying price movements.

- National causes includes rising cost of production (due to fuel charges, high input prices, fertilisers, pesticides, excessive interest from money lenders), transportation costs, abnormal profits by middlemen, taxes on food items, drop in food production due to weather problems etc.

ActionAid will go deeper into analysis about the experience of women and other excluded groups in assessment and identify the causes of an acute and persistent food crisis caused by:

- Availability: damage of crops as a result of disasters, displacement caused by conflict or other reasons, reduction of labour forces, depletion of pasture and grazing land and climatic factors causing failure of crop production.

- Access: caused by destruction of livelihoods as a result of disaster, restriction in access to natural resources, price hikes and unemployment.

- Consumption: including looking at dietary diversity and intra-household food distribution, where in most cases women get the least share.

Following analysis of the assessment, we design our own response and the response of our partners, and identify what is expected from duty bearers both in the short term and longer term.

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Guiding principles

- The right to food is enshrined in human rights law and many national constitutions and policies. Country programmes need to check the legal status of the right to food in their respective constitutions. Given enough food in the world, there is no reason for food shortages – it is a failure of policy and lack of entitlement that leads to hunger. The short-term trigger could be a flood, drought, locusts, but the failure is policy failure. Governments have the responsibility to respect, protect and fulfil the right to food. While ActionAid believes the state is responsible to secure the right to food, ActionAid will always respond to food crises if there are significant gaps and we have the capacity to respond.

- ActionAid's aim is to ensure that chronic hunger or silent hunger does not go unnoticed. We will put in place mechanisms to monitor hunger trends, to ensure that we have alert levels that help trigger our response before a full-blown crisis develops.

- ActionAid's response in food crisis is guided by our strategy to secure the right to food through ensuring small-scale food producers, women, and other vulnerable groups are at the forefront of the response and programme design.

- ActionAid has subscribed to the principles of food sovereignty and believes that communities should have the right to determine their own polices, especially with regards to agriculture and food security. We believe that smallholder led sustainable agricultural production and increased access and control over natural resources by rural women are two of the most effective strategies to address long-term food security.

- ActionAid will respond with appropriate means based on sound analysis of the severity of the crisis and alternative responses. ActionAid will respond with its core strength with a preference for livelihood support to meet long- and short-term food crisis needs – we will only intervene with free food distribution or therapeutic care if such services are not available, and there is malnutrition and significant threat to life. We will combine food distribution with our livelihood programmes.

- ActionAid will always defend people's right to food through policy research, advocacy and campaigning aimed at securing food for women and other excluded people.

- Any withdrawal of food response should be gradual and strategic, made only after careful assessment of the risks and implications on the affected population.

- ActionAid will always assess the implications of the provision of food aid – both our own and that of other actors – on people living in poverty and the local markets, and will always oppose genetically modified food or seeds.

- ActionAid will look at interventions that support increased incomes, increased wellbeing and reduced vulnerability.

- Interventions should be locally appropriate. For example, in any seed distribution, we must take into account locally appropriate seeds; and only purchase high input intensive seeds when it is appropriate to do so.

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FOOD SECURITY

ActionAid focuses on women living in poverty and exclusion. From a food security perspective, in our work with women smallholders we need to ensure that there is adequate focus on the following seven areas of intervention:

1. Improvement in women's food security
- Number of meals per day

2. Active participation of women in collective action (and solidarity with women who can't join the groups)
- Number of women who are member of groups

3. Improved access to basic services
- Number of women who access agricultural extension services
- Number of women who access basic services including childcare, health, education

4. Improved access to and control over productive resources (individual and collective) for women
- Number of women who have access to land
- Number of women who have access to livestock

5. Increased intake of sustainable agricultural practices
- Reduction in use of external inputs
- Water conservation/sustainable water management
- Diversification of crops and livelihoods
- Improved access to markets

6. Enhanced contributions by women to household revenues (and control over these resources)
- Number of women who can decide what to do with their production
- Number of women who have a say in household spending/revenue decisions

7. Optimised time and resources spent in care and reproductive activities by women – **policies and interventions must recognise women's paid and unpaid work, including unpaid care work**
- Time spent in care activities – recognised or paid for
- Time spent in unpaid work – recognised or paid for
- Time spent on leisure.

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Assessment

- Understand both the causes of food crisis and the experience felt by women and children.

- Understand what capacity already exists to reduce food insecurity.

- Work with specialised agencies on nutritional assessment as it is not our core strength.

- Establish surveillance on the evolving nature of the food crisis and monitoring to understand the causes of food crisis, and impact on livelihoods, food consumption, and coping strategies of households particularly women.

- When planning any intervention, such as food or cash support, build in a plan for evaluation to look at the impact of that intervention on local markets, as they can cause pocket inflation or increase prices – doing harm to the people we aim to serve.

- Wnsure that interventions planned consider gendered roles and help empower women and challenge gender relations in addition to addressing their food security.

Deciding strategy

- If food is available in the market, adopt cash-based approaches such as cash-for-work or training.

- Do not consider cooked food and therapeutic care unless ActionAid and partners have the capacity and proven experience to do so.

- Consider food distribution in schools only when there is proven malnutrition risk among children. There are multiple benefits of food distribution when done appropriately – such as education, capacity-building and restoration of household and community infrastructure. ActionAid will support those households whose children are likely to drop out from school, enter child labour or be married early due to food shortages.

- Distribute food only preferred by women and rights holders. Food distribution thresholds to be determined by the size and requirement of households such as lactating or pregnant women.

- Intervene based on community indicators before a food crisis becomes acute – share your analysis with government and other actors.

- Promote alternatives to food distribution by strengthening means of livelihoods, and use this as a phase-out strategy.

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FOOD SECURITY

- Keep an eye on the local food prices, on media reports of shortages, and on harvest figures. You can access national price data through FAO's global food price monitor: **www.fao.org/giews/english/gfpm/GFPM_12_2010. pdf**. The FAO global food price monitor provides a national trend – for local prices often there isn't any published data available, in which case you could monitor the prices locally. You could keep track of the prices of key staples in local markets over two or three seasons and chart them in a graph in the DA/partner's office. Monitor your prices against this graph, and if the local price exceeds the two-three season average by more than 10% you should take note. This is just guidance, local factors are often extremely crucial and your local knowledge will be essential in making a prudent call.

- Be ready to respond and raise the issues in the media as well as with your government. You may be able to break the story in the media and get attention for your issues – if you are able to predict the crisis based on our information from the ground on harvest failures, food shortages, price rises etc.

- Demand that governments bring together all sectors to agree and implement a national food security plan to prevent current and future food crisis. If such a plan already exists, demand an urgent review to see what elements are not working or could be scaled up. The UN High Level Task Force and the FAO's Committee on World Food Security have both proposed national food security councils. The Brazilian National Council for Food Security and Nutrition is another good example of multi-sectoral, multi-stakeholder councils.

- Discuss your own immediate and medium-term response with partners on the ground to ensure the basic food needs of the rights holders are met.

Implementing intervention

- In the short term consider amongst other actions:

  - Provision of food, cash, vouchers or a combination, depending on the local context.

  - Lobby the government for food price controls or subsidies for those most affected by hunger.

  - Call for expansion of social protection programmes including cash transfers, school feeding, food-for-work, cash-for-work, subsidised food rations, expansion of public distribution systems, setting up of community kitchens, provision of and scale up of community wbased therapeutic feeding.

  - Lobby governments for provision of seeds, inputs and micro-finance to farmers in time for next planting season, where appropriate expand the coverage of ActionAid's and its partners interventions of inputs.

  - Lobby for temporary reduction in tariffs or a temporary export ban (depending on if you are an importing country or if your country exports).

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• Over the longer term in order to help build resilience and enhance food security consider the following;

- Facilitate a robust analysis critically examining the cause of food crisis and potential solutions at the community level, taking on board a women's rights perspective. In this analysis it is also essential that we critically look at the laws/policies/schemes that enable/inhibit the community's own efforts at becoming food secure. Some of these may be linked with national or international factors. In the last international food price rise crisis the most important coping mechanism communities resorted to was use of their own networks and community coping mechanisms. It is crucial to help support strong local networks and support structures.

- Promotion of sustainable agriculture that is climate resilient at the local level and in our advocacy work nationally and internationally. At the local level this could include farmer to farmer exchanges, farmer field schools, support for household and community seed banks, farming co-operatives, documenting promising practices at the local level to be used for scaling up.

- Promotion of local and national grain banks in the communities we work with, but also in our advocacy work.

- Lobbying for increased public budgets for agriculture. This could mean continuing existing national level research on public financing for agriculture; scaling up our work on budget tracking with local communities and women's groups; rolling out investing in women farmer toolkits; advocacy to ensure government or regional targets are met and that they support smallholder farmers, in particular women smallholders; and poverty reduction and climate resilience.

- Tracking access to social transfers (government schemes that strengthen local resilience and production) to make sure that the right people are benefiting and that coverage is sufficient.

- Mobilise civil society and community-based organisations to engage national policymakers to address the causes of the crisis; by putting in place sustainable systems, processes, policies and programmes.

- Facilitate engagement with international actors (including the UN, social movements, G20) to put pressure on and support the capacity of the national process to initiate and sustain change.

- Consider local purchases to strengthen markets.

Addressing malnutrition

• Work with specialised agencies such as WFP or UNICEF on deciding and implementing nutritional programmes.

• Follow established standards such as Sphere to implement nutritional interventions.

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FOOD SECURITY

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FURTHER READING AND RESOURCES

ActionAid's guidelines on feeding infants and young children in emergencies: **http://goo.gl/Vfgajt**

UN food security cluster: **http://foodsecuritycluster.net/**

Sphere's *Minimum standards in food security and nutrition:*
http://www.spherehandbook.org/en/1-food-security-and-nutrition-assessment/

The FAO's global food price monitor: **www.fao.org/giews/english/gfpm/GFPM_12_2010.pdf**

A woman receives emergency supplies after being
affected by flooding in Kayin state, Myanmar.
PHOTO: ACTIONAID

NON-FOOD ITEMS

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NFI

Non-food items
(NFIs)

Providing NFI support in emergencies is essential to ensuring the safety, security, health, dignity and wellbeing of people affected by disasters.

Clothing, blankets and bedding materials meet personal human needs for shelter and for the maintenance of health, privacy and dignity. Access to basic goods and supplies enables affected populations to prepare and consume food appropriately, meet personal hygiene needs and build, maintain or repair shelters.

All affected populations – whether they are able to return to the site of their original homes, are hosted by other families or are accommodated in temporary communal settlements – will have individual and household non-food item needs that must be assessed and met as appropriate.

Relief items being shared out after flooding in Upper East region, Ghana.
PHOTO: ACTIONAID

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NON-FOOD ITEMS

Guiding principles:

- **ActionAid's response should be guided by the principles of common sense, context and consistency.**

- ActionAid will provide NFIs to the most vulnerable groups in the immediate response phase, based on the actual needs of affected people as identified through consultative processes undertaken as part of rapid/needs assessments.

- ActionAid will engage affected communities in the selection and distribution of NFIs to ensure cultural appropriateness, dignity, transparency and accountability.

- ActionAid will prioritise procurement of NFIs from local suppliers and vendors, or neighbouring areas within the country's borders as far as possible.

- Priority will be given to the specific NFI needs of women, children, people living with disabilities, people living with HIV/AIDS, the elderly and other particularly vulnerable groups.

- ActionAid will link affected communities with relevant government institutions or agencies to acquire appropriate NFIs if available to avoid any form of duplication.

- ActionAid's NFI interventions should be guided by the Sphere standards.

- ActionAid should implement preparedness plans around non-food distributions, and may consider stockpiling materials ready for distribution during emergencies.

Assessment

- Understand what NFIs are or will be provided by the government or other agencies in ActionAid targeted areas.

- Work with specialised agencies if required on NFI needs of the communities that may fall outside of ActionAid's core strength and understanding.

- Establish monitoring mechanisms to understand the impact of NFI support on local markets, as they can cause pocket inflation or increase prices – doing harm to people.

Deciding strategy

- If NFIs are available in the market, adopt a cash-based approach such as cash-for-work, or training to enable communities to decide what to purchase and to have ownership over it.

- Consider NFI distribution for children (e.g. education kits) only if education space is functioning and available.

- Distribute NFIs only preferred by women and rights holders. The NFI distribution threshold is to be determined by size and household requirements.

- Provide capacity-building, if required, for proper utilisation of any NFIs distributed.

- Promote alternatives to NFI distribution by strengthening means of livelihood.

- Consider local purchases to strengthen markets.

In all cases items should be culturally appropriate, and guidance given on how the items should be used.

FURTHER READING AND RESOURCES
Sphere - Minimum standards in shelter, settlement and NFIS:
http://www.spherehandbook.org/en/how-to-use-this-chapter-2/

Conflict sensitivity

Conflict sensitivity is the ability of an organisation to:
1. understand the conflict and power dynamics in the context in which it operates
2. understand the interaction between the intervention and that context, and
3. act upon this knowledge and understanding to minimise negative impacts and maximise positive impacts on conflict.

Women in Mugunga One camp for displaced people in Goma, Democratic Republic of Congo, protest against the conflict. The placard says 'we don't want to be raped any more. Stop the violence.'
PHOTO: JENNY MATTHEWS/ACTIONAID

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CONFLICT SENSITIVITY

How can we be conflict sensitive in an emergency response?

• Application of conflict sensitivity should take place at every stage of the emergency programme cycle, including preparedness, assessment, design, implementation and evaluation.

• Conducting a structured conflict analysis and updating it throughout an emergency response to inform the way interventions are designed, implemented and evaluated, is the cornerstone of conflict sensitivity.

• Conflict analysis takes a systematic approach to:

  - understanding the background and history of the conflict

  - identifying all the relevant groups involved

  - understanding the perspectives of these groups and how they relate to each other

  - identifying the causes of conflict.

• In some situations it may be too contentious or sensitive to talk of conflict analysis. Using the broader term context analysis can help to overcome this challenge. However, it is important to differentiate between a context analysis that examines a broad array of social, economic, political and cultural issues and a conflict analysis that specifically seeks to understand conflict and power dynamics.

Seven-year-old Issa Jackson collects water for his family who live in Mugunga One camp for displaced people, Goma, Democratic Republic of Congo.
PHOTO: JENNY MATTHEWS/ACTIONAID

CONFLICT SENSITIVITY

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Key questions to answer in a conflict analysis

Conflict profile

• What is the political, economic and socio-cultural context? (Physical geography, population make-up, recent history, political and economic structure, social composition, environment).

• What are the emergent political, economic, ecological and social issues? (Elections, reform processes, decentralisation, new infrastructure, disruption of social networks, mistrust, returnees or refugees and internally displaced persons (IDPs), presence of armed forces, HIV/AIDS).

• What specific conflict prone/affected areas can be situated within this context? (Areas of influence of specific actors, frontlines around the location of natural resources, important infrastructure and lines of communication, pockets of socially marginalised or excluded populations).

• Is there a history of conflict? (Critical events, mediation efforts, external interventions).

Conflict causes

• What are structural causes of conflict? (Illegitimate government, lack of political participation, lack of equal economic and social opportunities, inequitable access to natural resources, poor governance).

• What issues can be considered as proximate causes of conflict? (Uncontrolled security sector, light weapons proliferation, human rights abuses, destabilising role of neighbouring countries).

• What triggers can contribute to the outbreak/further escalation of conflict? (Elections, arrest/assassination of key leader or political figure, military coup, rapid change in unemployment, natural disaster, increased price/scarcity of basic commodities).

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CONFLICT SENSITIVITY

Conflict actors

- Who are the main actors? (National government, armed groups, private sector, multilateral organisations, religious or political networks, civil society, political parties, neighbouring states, traditional authorities, diaspora groups, refugees/IDPs).

- What are their main interests, goals, positions, capacities and relationships? (Religious values, political goals, access to economic resources).

- What institutional capacities for peace can be identified? (Civil society, traditional authorities, political institutions judiciary, regional and multilateral bodies).

- What actors can be identified as (potential) spoilers? Why? What are their incentives? (Groups benefiting from the war economy, leaders/authority figures who may feel undermined by a project).

Conflict dynamics

- What are the current conflict trends? (Escalation or de-escalation, decrease in inter-group violence).

- What are windows of opportunity? (Are there positive developments? How can they be strengthened?).

- What scenarios can be developed from the analysis of the conflict profile, causes and actors? (Best case, middle case and worst-case scenarios).

CONFLICT SENSITIVITY

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'Good enough' conflict analysis

Applying conflict sensitivity to an emergency response can be challenging due to the complexity of the contexts in which emergencies occur and the speed with which organisations need to react, which leaves little opportunity or time for the use of sophisticated and in-depth analyses. The assessment phase of an emergency is a particularly challenging period where the demand to start providing lifesaving assistance is very high. As time is limited, opportunities to integrate conflict sensitivity need to be realistic, practical and easily understood.

Taking on board these simple steps may avert negative unintended consequences:

Assessment phase:

Undertake a **'good enough' conflict analysis** as part of the first-phase emergency response. This analysis should be short and easy to integrate with other aspects of a multi-sectoral emergency assessment, and clear enough to be used by people with no conflict sensitivity expertise. Try and use participatory methods with partners and affected communities as much as you can. In some cases, access may be restricted and it may not be possible for remote teams to complete the assessment.

If this is the case, an analysis can be drawn up in the short-term on the basis of the knowledge of existing staff and/or programmes operating in these regions, including from other agencies operational in these areas.

Try to **deepen the conflict analysis in later stages** of the emergency intervention. As the dynamics of any given situation are constantly changing, it is important to update the analysis at regular intervals. This can be achieved by cross-referencing with other agency analyses or talking with communities or other groups who were not part of the original analysis. PRRPs, real time evaluation meetings or intra-agency co-ordination meetings are excellent opportunities to integrate a deeper level of analysis.

Design phase:

Use participatory conflict analysis from both the preparedness (if possible) and assessment stages to inform programme design and risk management.

Develop a **risk matrix** that considers how potential conflict flashpoints may be mitigated.

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CONFLICT SENSITIVITY

Guiding questions for 'good enough' rapid conflict analysis:

1. What is the history of the conflict in the area being assessed? What is it about and how long has it been going on? What has the intensity of the conflict been?

2. What groups of people are involved?

3. What kinds of things divide these groups (e.g. caste, tribe, access to resources) and what connects them (e.g. shared cultural practices, local peace initiatives, shared assets)?

4. Where are the conflict-affected areas geographically located?

5. Does conflict get worse at any particular time or period (time of day, season, during elections, during religious festivals etc)?

6. What are the best, worst and most likely scenarios for the future of the conflict in the context? What does each scenario depend on?

Integrating conflict sensitivity into an emergency response proposal check list

✔ Does the 'background' description demonstrate a sound understanding of the operational context (including a conflict analysis)?

✔ Have comprehensive assessments been conducted, including those involving the affected population?

✔ If the project is in a highly volatile context, have indicators for conflict sensitivity been included (e.g. whether target groups perceive that the intervention is contributing to conflict)?

✔ Are there mechanisms and resources in place for effective inclusion and communication with affected/targeted people, including the most vulnerable, throughout the project cycle, in particular during the project design phase? What about also talking with factions to make sure they understand that aid is neutral and based on humanitarian principles?

✔ Does the intervention offer effective feedback and complaints mechanisms available to all beneficiaries/participants and non-beneficiaries/participants in the project area?

FURTHER READING AND RESOURCES
Conflict Sensitivity Consortium's *How to guide to conflict sensitivity:* **http://goo.gl/1NjvDs**
HPN network paper: *Applying conflict sensitivity in emergency response:* **http://goo.gl/9BGF85**

POLICY IN EMERGENCIES

Section seven : programming in emergencies

Reference
7.9

Emergency preparedness and response handbook
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Policy in emergencies

Natural disasters, conflicts and other shocks and crises almost always have a disproportionate impact on the lives of people living in poverty, as the impact of disasters is often a reflection of the inequality that exists in a society. Direct service delivery and programmatic response are often not enough to enable these people to recover fully, which is why policy and advocacy work have an important role in emergency response and during the post-emergency recovery period.

We can achieve a much greater impact through direct advocacy, campaigning and policy analysis than by doing programme work alone. Our integrated approach to policy and programming reflects and embodies the human rights-based approach.

Women demand their rights at a rally in Bhopal, India.
PHOTO: SRIKANTH KOLARI/ACTIONAID

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Emergency preparedness and response handbook
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POLICY IN EMERGENCIES

Policy work can help to address the structural causes of vulnerability such as poverty, discrimination and exclusion that were pre-existing in society, and are exacerbated during disasters. Policy work also aims to ensure that disaster response is just and equitable, and that change is sustainable through empowering poor and affected people and changing power relationships. Ultimately we must remember that in times of crises there is increased opportunity to challenge and change power relationships, and the opportunity for policy discourse is higher due to the greater visibility created by emergencies, as the people/situation and issues are at the centre of attention.

Note: there is a fine line between the end of emergency response and longer term resilience building and human rights work. Emergencies can present opportunities to launch advocacy initiatives or campaigns that address poverty and inequality broadly, as these factors of course make people more vulnerable to disasters.

Guidance on policy work

• policy work should be evidence based; especially from the ground level

• policy work should start on day one of an emergency, but should also be covered in preparedness plans

• policy work must have coverage (must be based on our work on the ground, not based on what we think, but what we do)

• programme work must have leverage

• analysis must be orientated to women's rights. We are also taking sides with women who are living in poverty and exclusion, and are affected by disasters

• we will be led by the community (ask communities to develop plans which all agencies can use, also look at how communities are linking with other agencies, and allow the government to co-ordinate if they are able to).

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POLICY IN EMERGENCIES

Reference
7.9.2

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What is policy influencing work?

Policy influencing means deliberately influencing governments and other power holders who decide on policy and practices that have a humanitarian impact, i.e. violate or deny rights. Areas of possible influence include:

• laws and policies – relating to schemes, programmes etc.

• institutions – e.g. disaster management centre

• budget allocation

• discrimination in implementation.

Examples of what we can accomplish through policy work:

• strengthen the agencies of right holders in emergencies to ensure security, assistance and the right to participate in key decisions, among other human rights

• shape the policy discourse and raise issues to form public opinion and media attention for slow-onset disasters

• achieve a long-term reduction of poverty and reduced risk to climatic and non-climatic hazards and shocks.

How do we do policy and advocacy work during emergencies?

ActionAid's programme and policy work form a continuum. In other words, our advocacy and policy activities are informed by the realities and facts gained from working with communities and partners on the ground. Doing policy work means helping to shape how things are done or how things are. A **policy** is a stance or a position on an issue, or can also be the rules and regulations that shape people's actions and behaviours. **Advocacy** is the actual activities that we undertake to transform existing or establish new policies. In any situation, we must know:

a) the current situation;

b) what we want to change and;

c) what we need to do to move from the current situation to our new, ideal scenario.

The process of developing a strategy is the **policy analysis**—when we analyse the present situation and decide what changes we want to push for. The **advocacy strategy** is the overall plan developed that, as already noted, will transform the present scenario into the scenario that we envisage, where people affected by disasters are able to claim their rights, and where governments and other power holders uphold these rights.

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7.9.3

Section seven : programming in emergencies

POLICY IN EMERGENCIES

Top level policy analysis will determine key issues on which to focus:

- research should examine the structural causes of vulnerability and poverty
- there can be short and medium/long-term issues
- must do risk analysis before deciding on an issue to take forward
- determine what other actors are doing on this issue
- ensure that communities are involved in the analysis and in the determination of which issues to take up.

Detailed strategy development for moving forward:

- know how much financing is available for this work
- understand how this will link to your other policy and programme work
- how many staff resources are available for this work?
- ensure that communities and partners are involved throughout the planning process so that it truly is representative of the people
- again, be sure of the risk involved in any specific policy area or advocacy issue.

Taking action

- determine the best approach to take in your advocacy
- targeted advocacy to specific individuals or groups
- coalition building
- campaigning
- local, national and/or international level activities.

Link with other like-minded actors where possible:

- ensure that advocacy work is connected to what is happening on the ground
- as always, ensure that community members/groups are involved and aware of all activities, especially women's groups
- always stay informed on other activities going on which may impact your work
- be flexible to change your activities in the face of a change in environment.

POLICY IN EMERGENCIES

Section seven : programming in emergencies

Reference
7.9.4

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Campaigning

Campaigning is different to other forms of advocacy because we aim to bring about significant political change through actively mobilising large numbers of people to make demands on the powerful.

- campaigning is one way to build large-scale grassroots support for an issue

- an effective campaign requires substantial input of financial and staff resources, including flexible funding to support longer-term campaigning work

- it is important to follow the ActionAid International protocols for launching any international report or press release for a wider international audience

- formulate advocacy and communications strategies for all campaign work – with clear messages and alternative solutions.

Steps for developing a citizens' report:

Key steps on what ActionAid does:

1. analysis of existing policies, e.g. on violence against women, look at policies on protection of women

2. train partners, and turn policies into simple materials which communities can understand

3. enable communities to look at policies and review if they are working and what are the gaps. Also look at public commitments made by officials

4. federate community groups (to bring those issues up to national and international level) to agree messages

5. bringing messages to national level – e.g. sharing with government or UN locally (national advocacy)

6. bring messages to international level: community voices are key (international advocacy).

FURTHER READING AND RESOURCES
People's report: violence against women in the post tsunami context, and
A call to action: citizens' charter based on voices of drought-affected people in Kenya: **http://goo.gl/asTkFk**

Annex 1 : security of communities in emergencies policy

ActionAid International board meeting – April 2013	
Title of paper	ActionAid Policy on Security of Communities in Emergencies (revised).
Written by	International Emergencies & Crises Team and Director of Country Co-ordination.
Information, discussion or decision?	For International Board endorsement and Decision on Motion to 2013 General Assembly for approval.
What are the potential risks?	Non-compliance by members and country programmes in implementing the policy will risk the achievement of our strategic objectives and reputational risks to the federation in not living to our values.
Who are the stakeholders?	All national boards and country management teams, the International Board, International General Assembly and International Secretariat.
What are the budget implications?	The Disaster Preparedness and Response Fund has resources to support countries while the countries have adequately budgeted contingency funds for responding to emergencies.
Are there confidentiality issues?	No.

Summary paragraph including what do you want to achieve:

This policy is a revision of the existing Rights holders security policy. The revision has been necessary to align to the International Strategy in delivering on Strategic Objective 4 and to the new International Secretariat structures. The policy aims to ensure commitment across the federation to our values of solidarity with those living in poverty and affected by disasters, in line with our human rights based approach. Consistency in implementing the policy will enable ActionAid maintain its accountability, reputation and profile with people living in poverty.

ActionAid's Policy on Security of Communities in Emergencies

1. INTRODUCTION

This document sets out principles and policies for ensuring the security of communities ActionAid is actively working with in local rights programmes during emergencies and crises. The previous policy titled Rights holders security policy has been revised to align with, and support achievement of objectives in People's action to end poverty, as well as fitting in with the International Secretariat structure. This policy also defines the mandates, roles and responsibilities of the members, country programmes and the International Secretariat in responding to emergencies affecting communities where we are working.

2. KEY PRINCIPLES

2.1 ActionAid believes that the protection of the lives of vulnerable communities we work with, their wellbeing and property during emergencies, conflicts and crises is in line with the human rights based approach. Concerted efforts to build community preparedness to respond, and resilience before, during and after the disaster, are part of this approach. Hence, members of the ActionAid federation (affiliates, associates, country programmes and International Secretariat) will respond to orange and red alert emergencies, working with affected communities and our partners to demonstrate collective responsibility to save lives and support to reinstate livelihoods.

2.2 ActionAid, as a signatory to the International Red Cross and Red Crescent Movement Code of Conduct for NGOs in Disaster Response[1], has committed itself to the principle that the humanitarian imperative (saving lives) comes first in our work with those living in poverty. ActionAid is also committed and has signed up to the Sphere Humanitarian Charter and Standards[2], which outline requirements for timely and appropriate response, and to the Humanitarian Accountability Partnership (HAP) that is an industry standard for accountability and quality management, particularly to disaster-affected communities.

2.3 In view of ActionAid's primary legal and contractual responsibility to employees, staff safety and security must take precedence if, at any time, a choice has to be made between the legal responsibilities and duty of care to staff in relation to the imperative to respond to the emergencies affecting communities we work with.

[1] http://www.ifrc.org/publicat/conduct/code.asp
[2] http://www.sphereproject.org

3. ACTIONAID'S APPROACH

Emergency response is an issue of rights – and the lack of their protection and fulfilment by duty bearers. ActionAid's overall approach to ending poverty aims to tackle the root causes of people living in poverty and injustice by reducing their vulnerabilities, caused by injustice including in times of disaster and conflict. ActionAid's emergency response work will be based on a thorough analysis of the causes of vulnerability – politics, gender and power dynamics. Emergency preparedness and response are mutually reinforcing components to build capacities of vulnerable communities to develop resilience, mitigate the impact of disasters and play active roles in responding to the crises.

Affiliate/associate members and country programmes will build the capacities of people living in poverty and their institutions to be actively involved in preparedness and response activities.
Our emergency response will be guided by a human rights based approach, building capacity in local communities and co-ordination through strategic partnerships, and will include protection of civilians, especially women and children.

ActionAid will provide assistance on the basis of communities' vulnerability status. and will give special assistance to marginalised groups such as female-headed households, people living with HIV/AIDS, people with disabilities, the elderly and minorities. ActionAid recognises especially the differential impact of emergencies on women and will ensure women's leadership and promotion, protection and fulfilment of their rights in emergency preparedness, response and recovery.

ActionAid categorises threats/ vulnerability of communities according to an alert level system that is very much in line with humanitarian standards. The alert levels (**YELLOW**, **ORANGE**, **RED**) are defined in the Standard operating procedures in orange and red alert emergencies (SOP) document, which gives the operational guidelines for implementing this policy. The federation's response will be defined by the agreed alert level of the disaster.

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[1] http://www.ifrc.org/publicat/conduct/code.asp
[2] http://www.sphereproject.org

4. ROLES AND RESPONSIBILITIES

Members and country programmes

- All members/country programmes prone to emergencies, conflicts and crises will invest in developing and operationalising ActionAid preparedness plans at LRP and national level. Countries will be prioritised as being low/medium/high risk based on analysis of the country's vulnerability to weather and conflict related disasters and capacity to respond. This list will be reviewed periodically by International Emergencies and Crises unit and approved by the Senior Leadership Team[3].

- Members/country programmes are required to respond to **ORANGE** and **RED** alert emergencies that affect the lives and livelihoods of communities we are directly working with in local rights programmes or with partners.

- In a case where a country management team is unwilling to respond to orange or red emergencies the Country Director will have to provide justification in writing why they are unable to respond and get it approved by both National Boards (for affiliates) and the Chief Executive of ActionAid International. National Boards may request ActionAid Internatonal to organise an effective response directly or through suitable local partners.

- National Boards are expected to provide oversight in ensuring the emergency preparedness of country teams in line with this policy and ensure that preparedness is in line with strategic country priorities.

- In extreme circumstances where the country management team is overwhelmed by the scope of the disaster and/or individually/collectively affected by the disaster, the Chief Executive, in consultation with the National Board (in the case of affiliates/associates) and the Director of Country Coordination (for country programmes) can mandate the relevant Directorate and Unit (IECT) to intervene and respond in a red or orange level emergency, as well as manage the country operations. The Country/Executive Director and management team will in this circumstance be required to 'step aside' and be supported to resume their management duties when conditions to do so have become favourable.

- In case of differences of opinion between National Boards and International Secretariat, the final decision will lie with the ActionAid International Chief Executive, in line with this policy and in consultation with the International Board.

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[3] As at Jan 2013, 24 countries are prioritised on the medium and high risk categories and are the focus during the strategy period. This will be updated as necessary where there is increased exposure to disasters and when new countries join the Federation.

- For emergencies defined as red alert, all fundraising markets (VHDUs) are required to activate processes to raise funds from institutional, high value donors and appeals. For emergencies defined as orange alert, institutional and high value fundraising opportunities are prioritised.

International Secretariat

- The International Secretariat, through the International Emergencies and Crises Team, will co-ordinate international responses to **RED** and **ORANGE** level emergencies and support **YELLOW** alert responses as requested by countries.

- International Secretariat functions will provide necessary support according to the responsibilities contained in the Standard operating procedures in **ORANGE** and **RED** alert emergencies document and the Terms of reference for International Oversight Group.

- The International Secretariat, through the International Emergencies and Crises Team, will set up and manage a Disaster Preparedness and Response Fund to support countries in responding to **ORANGE** and **RED** alert emergencies.

- The International Secretariat will initiate communications, policy and campaigns work alongside the response to build profile, raise awareness and to support fundraising during **ORANGE** and **RED** alert emergencies.

- The Directorate responsible for emergencies work will develop and update the *Standard operating procedures in orange and red emergencies* and any other guidelines to operationalise this policy, which shall be approved by the Senior Leadership Team.

5. RESPONDING TO DISASTERS IN NON-OPERATIONAL COUNTRIES AND AREAS

For major emergencies in countries where ActionAid does not have a presence, the Chief Executive and Senior Leadership Team, in consultation with the Chair of the International Board, has the mandate to take decisions on responding to disasters in countries where ActionAid does not have a presence. This is in line with the Country entry and exit policy approved by the General Assembly in 2012. This decision will be based on: reputational risk of ActionAid not intervening; strategic advantage in responding, and where there is confirmed funding/resources outside the ActionAid International budget.

Where emergencies happen outside of our local rights programmes in member countries and country programmes, the Country/Executive Director will decide whether or not to initiate a response in line with our HRBA approach to emergencies and also in consideration of reputational risks, strategic importance and availability of funding resources outside the annual plan and budget.

Depending on capacity and availability of additional resources by development partners or governments, the Country Management Team may decide to support a national response co-ordinated by the government or other agencies, bringing in best practice from our approach.

6. APPLICATION OF THIS POLICY

This policy is applicable to all members and country programmes where ActionAid is working directly with people living in poverty and in partnership with local organisations in local rights programmes and national projects.

7. CONCLUSION

The International Board is requested to endorse this revised policy and move it as a motion for approval by the 2013 General Assembly as the policy affects all members of the federation and country programmes. Where emergencies happen outside of our local rights programmes in member countries and country programmes, the Country/Executive Director will decide whether or not to initiate a response in line with our HRBA approach to emergencies and also in consideration of reputational risks, strategic importance and availability of funding resources outside the annual plan and budget. Depending on capacity and availability of additional resources by development partners or governments, the Country Management Team may decide to support a national response co-ordinated by the government or other agencies, bringing in best practice from our approach.

Emergency preparedness and response handbook
Annex 2 : standard operating procedures in red and orange alert emergencies

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Annex 2 : standard operating procedures in red and orange alert emergencies

Purpose:

This standard operating procedure guideline outlines the expected organisational response in the event orange or red alert emergencies and is guided by the Policy on responding to emergencies in local and national rights programmes (revised March 2013). Its purpose is to guide ActionAid leadership at International and country levels on steps to be followed in initiating and co-ordinating implementation of **RED** or **ORANGE** alert emergencies.

What is an ORANGE or RED alert emergency?

Red and orange alerts are the highest ActionAid emergency levels, meaning the disaster must be treated as an agency-wide priority. These levels of emergencies are likely to result in mass mortality, destruction and suffering. They will have an impact on the functioning of a country including the politics, infrastructure, types of aid and fundamentally the rights and opportunities for disaster-affected communities.

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ORANGE

- 20,000 – 50,000 people affected nationally including communities that ActionAid works with
- some global or regional media interest
- declaration of national emergency by government OR
- IHART and/or government, or other humanitarian actors define the situation as significant

PLUS in addition to the above criteria, IHART assess that the capacity of the member/country programme to respond effectively is overwhelmed.

National:

- emergency response starts in affected member/country programme by country team
- situation reports updated daily or weekly

International:

- alert level declared by Director of Country Co-ordination on recommendation of Head of IHART
- IHART co-ordinates international support from the federation
- Oversight Group appointed by Director of Country Co-ordination and meets regularly as per the ToRs, with a focus on strategic and not just operational issues (see below)
- EFAST mobilised by IHART in consultation with the country
- DPRF funds released if proposal is approved
- IHART International Programme Manager deployed if assessed by IHART to be necessary
- VHDUs and other affiliates who have fundraising capacity fundraise through institutional donors and major donors.

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RED

- **over 50,000 people affected nationally including communities ActionAid works with AND**
- **significant global media interest OR**
- **declaration of national emergency by government OR**
- **IHART and/or government, or other humanitarian actors define the situation as critical**

PLUS in addition to the above criteria, IHART assess that the capacity of the member/country programme to respond effectively is overwhelmed.

National:

- emergency response starts in affected member/country programme by country team
- situation reports updated daily or weekly

International:

- alert level declared by Chief Executive Officer on recommendation of Head of IHART in consultation with Director of Country Co-ordination.
- crisis becomes top priority for all units and constituents of the federation
- IHART co-ordinates international part of the federation
- Oversight Group appointed by Chief Executive and meets regularly as per ToRs, with a focus on strategic issues, as well as operational effectiveness of the response.
- IHART mobilises EFAST in consultation with country programme
- IHART International Programme Manager deployed
- DPRF funds released if proposal is approved
- VHDUs and other affiliates who have fundraising capacity fundraise.

Annex 2 : standard operating procedures in red and orange alert emergencies

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Guiding principles:

The overarching principles of this guideline are:

1. Responses must enable communities to assert their rights in line with the HRBA approach.

2. We take sides with people living in poverty and affected by the disaster.

3. Promotion of women's leadership and women-led responses must be a central focus of both immediate response and integration into long-term programming.

4. Immediate responses must reach affected rights holders with whom ActionAid is already working, as a minimum.

5. All actions will be fully transparent and accountable to disaster-affected communities.

6. Responses will be operationalised in co-ordination with other actors, including partners, based on complementary skill sets, shared perspectives and strategic advantage.

7. Overall accountability for the emergency response remains with responding country management.

8. International Humanitarian Action and Resilience Team becomes accountable for and provides overall leadership for international co-ordination.

9. Emergency response takes precedence over all other organisational requirements which may hinder rapid response. This would require rescheduling of other activities and deadlines.

What is the first thing to happen?

When an emergency happens (whether a sudden onset or recognition that a slow onset is spiking) a teleconference will take place between the respective Country Director/Head of Country Co-ordination (latter in the case of multi-country disaster); International Programme Manager in IHART and the Head of IHART. Any of these three individuals will request a teleconference (refer to **Annex 1** for agenda/information required) and based on a situation update (verbal or written) from the Country Director a decision is taken to recommend the alert level. If the recommendation is red alert, the Head of IHART will recommend this to the Chief Executive, who takes a final decision and triggers the implementation of this guideline. If the recommendation is orange alert, the Head of IHART will recommend this to the Director of Country Co-ordination who will trigger implementation of this guideline.

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What happens next?

The following activities need to happen within **48 hours** of the disaster and concurrently (not in sequence):

1. Initiation of the response to affected populations based on preparedness plans and rapid assessments – led by the Country Director (national perspective)/Head of Country Co-ordination (latter in the case of multi-country disaster) and International Programme Manager (international perspective and technical expertise).

2. Assessment of staff security and impact on staff will be part of the rapid assessment and appropriate measures taken to ensure staff security during emergencies as per the Global Staff Security Policy.

3. Country Director/Head of Country Co-ordination (latter in the case of multi-country disaster) requests funds from Disaster Preparedness and Response Fund (DPRF) that is activated by IHART. A decision is made within 24 hours by IHART, and shared with the country.

4. Co-ordinated by the International Communications Team (or nominated lead country for communications in emergencies), a holding statement is written, signed off, sent to press, placed on websites, sent to ActionAid's communications network and disseminated via social media, within one hour of the start of the emergency. The statement should be based on information from the Country Director, pre-existing country data and reputable news sources.

5. IHART's International Programme Manager, Information Officer, and Head of IHART are available 24 hours a day at the onset of a declared emergency to provide support.

6. The IPM will be deployed as decided by the Head of IHART to the responding country within 48 hours in both red and orange emergencies. The IPM has joint line management and accountability to the Country Director (or country emergency coordinator) and Head of IHART (see the TOR in **Annex 2**).

7. Within four hours of the initial teleconference (as above) the Oversight Group convenes, takes relevant decisions and triggers the following as agreed in the meeting:

   - Programme response – top line activities agreed based on information from Country Director.

   - Fundraising and Communications Director triggers fundraising activity as outlined in the alert level categories (institutional donors and major donors fundraising in the case of an orange alert; institutional donors, major donors and public appeal in the case of a red alert). The IHART Team Business Manager is the link person from IHART with the fundraising team on emergencies.

   - Fundraising and Communications Director triggers communications activities which is subsequently coordinated by the Head of Communications working closely with IHART.

   - Director of Programmes triggers international programme support/response with direct technical support co-ordinated by International Programme Manager in IHART.

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- Director of Programmes triggers policy; campaigns support/response. Policy response includes immediate analysis of national and international policies and set up of an international system to link policy appropriately at different levels – coordinated by IHART in consultation with Country Director.

- Head of Country Co-ordination gives direct support to Country Director and ensures business as usual activities are suspended or put on hold to rally staff in supporting the response.

- In extreme cases where the country leadership team have been personally affected and unable to lead on the response and other programme work, the Chief Executive may invoke the 'step-aside' provision in the Policy on responding to emergencies in local and national rights programmes by appointing a senior member of the IHART team to lead the response and manage the programme. In the case of members, this will be done in consultation with the National Board.

8. **Within 24-48** hours IHART supports the responding country to put in place a management structure, and agrees the capacity gaps for filling within the next 24 hours for IHART to deploy EFAST as appropriate.

9. Country programme produces daily situation reports and immediate response plan that are shared with IHART which IHART circulates to the wider federation.

10. The Chair of the Oversight Group reports to the CEO or Director of Country Coordination on a daily basis during the emergency (see TOR for Oversight Group). Once a month, the Chair of the Oversight Group submits a report to SLT and the CEO, through the relevant member of SLT.

Information and decisions required for initial teleconference

1. **Information shared:** scale and location of disaster; type of disaster; likely impact of disaster; immediate safety/security concerns of staff/partners; immediate capacity gaps identified.

2. **Guidance shared:** links with Security Adviser if not already happened and if necessary; immediate steps to take in country programme; suggestions for capacity requirements judged by scale of disaster; how to access further information, advice on what will be expected from the country programme during the course of the emergency (e.g. putting other work on hold).

3. **Information:** key contacts in country programme shared, specifically information/communication contact for first few days.

4. **Decision:** decision on alert level recommendation taken and communicated appropriately, including decision on leadership of the response and management of the country programme.

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Terms of Reference for Emergency Oversight Group

This generic TOR is written on the understanding that it should be adapted to specific disasters with the agreement of the key Oversight Group (OG) members. In the case of red alert emergencies, this team is brought together by the Chief Executive. For orange alert emergencies, the OG will be called by the Director for Country Co-ordination. At the first meeting the scope, membership and timeframe for the OG will be agreed.

1. Purpose of the Oversight Group

The Oversight Group is set up to:

- provide oversight on organisational risk management (includes reputational, financial, and staff security risks).

- be accountable for the co-ordinated support of the ActionAid federation (VHDUs, MHDUs and functions within the International Secretariat) to the countries implementing emergency response

- approve the emergency response programme framework (it includes scale of response, programme, policy research, fundraising, communications, financial management). This is NOT to replace the line management but to ensure effective collaborative efforts and synergies

- be accountable for ensuring linkages to longer term development programmes.

2. Team members and roles:

a. **Chair: Head of IHART (or International Programme Manager if Head of IHART is not available)** The chair convenes and manages meetings, and ensures actions are carried out and communicated appropriately. The Chair is accountable to the Chief Executive and Director of Country Co-ordination, based on alert levels.

b. **Head of Country Co-ordination:** to support and ensure organisational compliance and to offer appropriate support from cluster level to the affected country.

c. **Country Director/s:** to lead emergency programme implementation and management; to link emergency response framework to longer term programming; to update the OG members and take forward decisions.

d. **Programmes Director:** to advise on policy and campaign opportunities, links and risks. To leverage additional policy/campaign support as necessary (can be invited into the coordination team as and when required).

e. **International Fundraising and Communications Director:**

- To advise on fundraising opportunities; links and risks.

- To mandate VHDUs to fundraise for a disaster if agreed and to monitor compliance and effectiveness.

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1 This ToRs were approved by SLT in November 2011 but have been revised to align to new structure and incorporate recommendations at the Feb 2013 IS leadership meeting.

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- To advise on communications opportunities (for awareness raising; building profile; fundraising; influencing; campaigning), links and risks. To leverage additional communications support as necessary (particularly in the first two weeks of the emergency).

- To mandate VHDUs to undertake communications work if agreed.

f. International Director of Operations: to advise on financial risks and risk management.

g. International Programme Manager – IHART: to provide technical advice and implement decisions made.

h. IHART Senior Staff (not core members – but can be invited as required): to provide appropriate technical advice and perspective; to take forward decisions taken; to report on progress from an international perspective; to update risks and opportunities for strengthening the response (e.g. policy; funding; programme; communications); to activate EFAST members as required by the implementing countries.

Note: Relevant SLT members are expected to attend the first OG meeting for any disaster. After this they can delegate representation either on a permanent or ad-hoc basis to relevant persons in their team to deliver against the responsibilities as outlined in the TOR.

3. Scope of the role of Emergency Oversight Group:

- Oversight Groups are accountable to SLT through the Director of Country Co-ordination, who will report to SLT regularly.

- Based on updates on the progress of overall programme, policy, communications and fundraising work vis-à-vis agreed plans, provide guidance to overcome challenges, if any, and manage the international risks of the response.

- To facilitate cross-functional linkages within the International Secretariat and demonstrate servant-leadership in working with the countries on emergency response.

- To inform and update the OG of the global opportunities and challenges that might impact on ActionAid's response and recommend appropriate action.

- To approve the overall policies, plans and budget for the affected country/countries Emergency Response Programme or any significant amendment therein.

4. Frequency of the meetings:

- Meetings are daily for the first 15 days.

- After the first 15 days, it will be once a week for 3 months.

- After the first 3 months, it will be once a month until one year after the commencement of the disaster response.

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Terms of Reference for IPM on deployment in emergencies

Note the below is a broad guideline and will be adapted to the local context for each specific emergency.

Terms of Reference: Interim Emergency Response Programme Manager

Reports To: Country Director

Accountable To: Head of IHART

Key functional contacts: National emergency response programme staff; IHART Team Business Manager; IHART Information Officer, IHART Systems & Surge Capacity Officer

Duration: 1 month

Purpose of role: IHART's International Programme Managers will be deployed to any Country Programme within their region responding to an orange or red alert emergency. They will act as an interim ERP Manager to initiate, support and guide an emergency response programme.

Key responsibility areas:

1. **To lead on the development of an Early Recovery Plan in line with policies and strategies of ActionAid, and emergencies response programme in collaboration with the country team**

   - work with country programme team to identify early recovery areas of work that require response

   - develop a specific plan for livelihood recovery and reactivation of income opportunity of the affected community for the recovery period

   - integrate the use of the Emergency Manual throughout the response plans

   - work with the country programme to conduct early recovery assessment and participate in UN/government led national early recovery assessment.

2. **To develop and establish a monitoring mechanisms and reporting system to share progress of activities in a timely, transparent and consolidated manner and identify gaps and propose alternatives**

   - assist the country programme team to update the early recovery and livelihood restoration plan as per situation and available funding

   - work with the country programme for developing concept note and provide support to develop proposal on early recovery (especial focus on livelihood recovery)

   - facilitate the set up of mechanisms for participatory planning for sustainable and community-based early recovery and livelihood restoration programme.

Emergency preparedness and response handbook
Annex 2 : standard operating procedures in red and orange alert emergencies

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3. To initiate the process for developing a Comprehensive Resilience Plan and Budget

- work with country programme team to set up a workshop for the development of a three-year comprehensive resilience plan and budget

- share materials, tools and templates from previous Comprehensive Resilience Planning meetings with the team.

4. Establish and develop donor systems (with the International Partnership Development Team)

- participate in the Humanitarian Cluster meetings where cluster approach is established and assist the country programme focal person to liaise with clusters

- support country programmes to engage with donors local to international (support country programmess, comms and IPD).

5. To ensure that advocacy, disparities and cross-cutting issues [gender, women's rights, exclusion, environment, governance etc.] are taken into account in all policies, strategies and activities of country programme

- ensure that disparity and diversity issues are incorporated into all programmes (with a clear focus on women, men, girls and boys, persons with disabilities, excluded groups, the elderly, etc.)

- ensure that all planned activities are culturally sensitive and take into account the local context, and are in line with the Red Cross and NGO Code of Conduct, Sphere minimum standards (if applicable) and humanitarian principles

- follow the humanitarian principles, standards and guidelines that ActionAid is committed to, and ensure these are adhered to by ActionAid staff, partner staff, deployees and volunteers

- ensure that environmental and sustainability issues are considered

- ensure transparency and accountability tools, processes and mechanisms to rights holders are in place.

6. To mobilise, manage, inspire, and build the capacity of the country programme

- training of staff for the programme

- recruitment of staff for the programme

- guidance on staff and asset security.

7. Be an IHART contact point

- take part in regular Oversight Groups that will be coordinated by IHART

- make sure short stories/photos go to IHART's Information Officer.

- when completing an assignment this person will document lessons learnt and feed these into the ActionAid knowledge management system and IHART.

Annex 3 : rapid assessment checklist

This document is a guideline for the sorts of questions you might wish to ask during a rapid needs assessment. Rapid assessments should be completed within 72 hours of an emergency happening.

Please fill in as much as you can of this form, but don't delay sending it until all the data is available. If there are gaps or information you cannot gather yet, please just explain this and send as much information as you have.

1. Briefly describe the disaster and what has happened.

- What is the disaster (e.g. earthquake, floods, conflict etc.)?
- When did it happen/start?

2. List the areas affected:

Region	District	Villages affected	Are these AA LRPs? Yes/No

- If possible, attach a map highlighting affected areas and ActionAid LRPs

3. Number of people affected

Summarise the results of the data collected from each of the communities sampled (copy this table for each community):

	Girls aged 6-14	Boys aged 6 -14	Women aged 15-45	Women aged 46+	Men aged 15-45	Men aged 46+	Girls and boys under 5	Total
Name of community and district								
Total number of households								
Total population								
Total number of people affected								
	Specify how these people are affected (add criteria below according to the specific disaster – the criteria provided are examples)							
Eg. Deaths								
Eg. Displaced								
Eg. Cases of cholera or other disease								
Eg. Houses destroyed								
Eg. Crops failed								

Damage to infrastructure (e.g. roads, bridges, schools destroyed, communications down etc.)	Please describe:

Provide an estimate of the number of people affected in ActionAid's LRPs, clearly stating what assumptions you have used to calculate this, including:

• the data from communities where you conducted the rapid assessment

• how many communities were sampled

• how many communities are within the affected area

• what you mean by a household (i.e. how many people are included in one household) and how a household is defined – e.g. – those cooking on one stove or those living under one roof etc.)

Total number of communities (villages) affected										

	Girls aged 6-14	Boys aged 6 -14	Women aged 15-45	Women aged 46+	Men aged 15-45	Men aged 46+	Girls and boys under 5	Total	Are there any people with disabilities? Please describe briefly
Total number of people affected									
Eg. Deaths									
Eg. Displaced									
Eg. Cases of cholera									
Eg. Houses destroyed									
Eg. Houses damaged									
Eg. Crops failed cattle, poultry, goats, died									

4. What are the urgent needs identified by the community? Please specify under the following headings, highlighting the specific issues prioritised by women:

- food
- shelter and non-food items
- health
- protection
- psychosocial support
- water, sanitation and hygiene
- other (livelihoods etc.)
- seeds for the next sowing.

5. Are there specific impacts on women that you can identify at this stage? What are the specific needs of women in the communities visited?

6. Who are the most vulnerable groups in this crisis and how are they being affected differently?

7. What is the community already doing to respond in each of the places sampled? What existing community structures exist that are organising the response (e.g. traditional leadership structures, women's groups etc.)?

8. What is being done by other agencies in each of the communities sampled (e.g. UN agencies, NGOs, government?)

9. What are the gaps that are not currently being met?

10. Situation forecast: briefly describe how the situation is likely to develop over the next four weeks.

- E.g. forecasts for heavy rain and flooding, upcoming lean food season, projections for spread of disease, risk of conflict or social unrest
- state the basis for this analysis (e.g. weather forecasts, government, NGO, UN data, ActionAid own analysis, community views etc.).

11. Brief description of the rapid assessment process

- date of the assessment
- methodology and sources of information used (including ways you ensured women's participation)
- name of the person and organisation responsible for the assessment.

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AA Country Programme National (Office) Describe conditions at the ActionAid national offices (tick as appropriate)	
_ No damage	
_ Minor damage	
_ Moderate damage	
_ Destroyed	

AA Local Rights Programmes Infrastructure (Office) Describe conditions at the LRP offices (tick as appropriate)	
_ No damage	
_ Minor damage	
_ Moderate damage	
_ Destroyed	

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Human resources

Explain availability at Country Programme national headquarters and LRP levels after the emergency		
	National level	LRP level
Staff		
Volunteers		
Partners		
Other		

How long can the country programme fund the emergency response operation?	
Hours/days	
Week(s)	

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Annex 4 : contact details

IHART primary emergency focal points

Name	Job description	Location	Phone	E-mail
Amar Nyak	International Programmes Manager, Asia	India	+91 965 031 2922	Amar.Nayak@actionaid.org
Bijay Kumar	Head of IHART	London, UK	+44 (0)20 3122 0721 +44 7 5959 63 801	Bijay.Kumar@actionaid.org
John Abuya	International Programmes Manager, Africa & Americas	Nairobi, Kenya	+254 20 4250 000 +254 721 734 040	John.Abuya@actionaid.org
Lois Appleby	Information Officer	London, UK	+44 (0)20 3122 0580 +44 7725 423355	Lois.Appleby@actionaid.org

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Communications focal points

Name	Job description	Location	Phone	E-mail
Natalie Curtis	Journalist – Emergencies & Content | ActionAid UK	London, UK	+44 (0)203 122 0641	Natalie.Curtis@actionaid.org
Ryan Gawn	Head of International Communications	Johannesburg, S. Africa	+27 11 7314519 +27 (0) 715 278 354	Ryan.Gawn@actionaid.org
Tricia O'Rourke	International Communications Media Manager	London, UK	+44 (0)203 122 0824 +44 (0)7850 312 438	Tricia.O'Rourke@actionaid.org

Security focal point

Name	Job description	Location	Phone	E-mail
Javeria Ayaz Malik	Global Security Advisor	Nairobi, Kenya	+44 7809 657 901 +254 731 000 022	javeria.malik@actionaid.org

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Annex 5 : daily situation report days 0-7 - template

Purpose: the situation report (sitrep) acts as a tool to share information on emergencies across the federation and to provide relevant information for fundraising and media audiences. It is **not** meant to act as a guide for rapid assessments or programmatic interventions.

Instructions for completing the sitrep:

✔ This sitrep should be submitted within 24 hours from start of a sudden onset emergency or escalation of a slow onset emergency, particularly for orange or red level emergencies on the ActionAid alert system. It should then be updated every 24 hours until one week after the start of the emergency.

✔ **Update at 48hrs+** grey boxes should be used to provide any updated information each time you submit the sitrep. Do not change the information you provide in the first submission at 24hrs.

✔ Complete this form and send to **Lois.Appleby@actionaid.org** and relevant International Programme Manager: **Amar.Nayak@actionaid.org** for Asia and **John.Abuya@actionaid.org** for Africa and the Americas.

✔ Consult the Quick guide to collecting photos, film and interviews in emergencies for guidance on gathering material in **Section 5 of this annex**.

✔ **If it is not possible to complete and send the template within 24 hours, the information should be given to Lois Appleby, Information Officer, International Humanitarian Action & Resilience Team, over the phone. Tel: +44 (0)20 3122 0580.**

Emergency name:	
Report date:	
Authors: (who filled it in, who contributed):	
Key contacts in disaster-affected country:	
Name & phone no. **in-country response coordinator:**	
Name & phone no. **in-country communications coordinator:**	
Name & phone no. **in-country spokesperson(s)** able to give media interviews (usually CD):	

SECTION 1: DESCRIPTION OF THE EMERGENCY

1. What is the geographical location of your emergency? Where is it in relation to your LRPs?

MAX. 1 PARAGRAPH

2. Which LRPs are affected and who is funding these? (This information should be in your preparedness plan.)

MAX. 1 PARAGRAPH

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3. What is the scale of the damage e.g. how big is the area affected? How many towns/villages/cities are affected and where are they located? What is the damage to infrastructure? MAX. 2 PARAGRAPHS

STATUS AT 48HRS+:

4. Using the table, please list how many people in the country are affected by the emergency in the following ways: PLEASE UPDATE AT EACH SUBMISSION OF SITREP

	Number of people	Source of information
Affected		
Deaths		
People displaced		
People injured		

5. **In your analysis, what is/are the cause(s) of the current emergency?** MAX. 1 PARAGRAPH

6. **Was ActionAid a significant actor in the emergency area before the emergency? Are there other actors involved e.g. is there presence from other I/NGOs?** MAX. 1 PARAGRAPH

7. **What is the expected impact on existing ActionAid projects in the affected areas?** MAX. 1 PARAGRAPH

STATUS AT 48HRS+:

8. **What is the impact/expected impact on sponsored children?** MAX. 1 PARAGRAPH

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STATUS AT 48HRS+ : (headcount, wellbeing of sponsored children, any changes to their environment/vulnerability):

9. **What is the impact/expected impact on women e.g. material loss, protection issues; increased burden of care etc.? Are any other vulnerable groups specifically impacted/expected to be impacted e.g. elderly, disabled people, minority groups?** MAX. 1 PARAGRAPH

STATUS AT 48HRS+:

10. **What is the expected impact on people's livelihoods?** MAX. 1 PARAGRAPH

STATUS AT 48HRS+:

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11. What is the current outlook – is the situation likely to improve or get worse over the next few days/weeks? What is the basis of your analysis (reports from UN, government, weather forecasts, etc.)? MAX. 1 PARAGRAPH

12. Are any ActionAid staff directly affected by the emergency? If so, how? MAX. 1 PARAGRAPH

STATUS AT 48HRS+:

13. If possible, give details of security concerns for staff/partners in undertaking emergency response, and of any additional concerns/constraints in accessing affected communities. MAX. 1 PARAGRAPH

What are the staff safety and security challenges and how these are being managed?

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STATUS AT 48HRS+:

14. Has the government declared a state of emergency and/or requested international support? MAX. 1 PARAGRAPH

15. How is the government responding and what are its commitments (if known)? MAX. 1 PARAGRAPH

STATUS AT 48HRS+:

SECTION 2: EMERGENCY NEEDS

1. Have you done or are you planning any rapid needs assessments? (Please note as per the emergencies handbook a rapid needs assessment should take place within 72 hours of the crisis) MAX. 1 PARAGRAPH
Please share any reports from assessments by attaching them to this email. For planned assessments provide information on geographical areas to be assessed and proposed dates of the assessment.

2. Please list the likely key needs of those affected, e.g. food, shelter, medicines, etc. (state where information comes from, e.g. ActionAid's own assessments or secondary sources such as the UN). MAX. 1 PARAGRAPH

STATUS AT 48HRS+:

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SECTION 3: ACTIONAID'S RESPONSE

1. Please complete this table with as much information as possible on where ActionAid is responding to the emergency/planning to respond (include map if possible). Add rows as necessary.

Area name (specify if LRP or not)	Type of activity (e.g. distribution of food, NFIs – give details of items, etc.)	Proposed number of people to be reached	Proposed amount to be spent £	Amount secured so far £

2. Please briefly explain how you intend to target the most vulnerable and who the most vulnerable groups are.
      MAX. 1 PARAGRAPH

3. Please suggest an alert level for this emergency based on the ActionAid alert system categories (see below) and the situation at the time of writing.

Alert level criteria (emergencies and conflict)

GREEN – ActionAid member country decides on alert level

- Normal – situation normal.

YELLOW – ActionAid member country decides on alert level

- Portion of country/population affected.
- Attention on the disaster is from local to national.
- ActionAid rights holders are affected.

ORANGE – Based on its assessment, IHART recommends alert level to Director of CoCo

- 20,000 – 50,000 people affected including ActionAid rights holders
- Nationally-significant disaster (possibly regional), eg. govt. declares national emergency, international community prioritises emergency, etc.
- Some global or regional media interest.

PLUS IHART assesses that the ActionAid member capacity is overwhelmed.

RED – Based on its assessment, IHART recommends alert level to CEO

- Massive scale national or regional emergency with global significance, eg. govt. declares national emergency, international community prioritises emergency, etc.
- At least 50,000 people affected including ActionAid rights holders.
- Global media interest.

PLUS IHART assesses that the ActionAid member capacity is overwhelmed.

Suggested alert level for this emergency:

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SECTION 4: ACCESSING FUNDING AND FUNDING NEEDS

1. **Do you have staff that can collect interviews and photos from the emergency area? (Will be necessary for appeal/web fundraising)** MAX. 1 PARAGRAPH

    YES or NO

2. **Are UN clusters set up? Are you participating in any UN clusters?** Please provide details where possible.
    MAX. 1 PARAGRAPH (If you need further guidance on UN cluster engagement for either policy/fundraising purposes please refer to the 'How to' guide in the Emergencies Handbook or request this from lois.appleby@actionaid.org)

3. **How are donors responding and what are their funding commitments (if known)?** (E.g. DFID, ECHO).
    MAX. 1 PARAGRAPH

STATUS AT 48HRS+:

4. **Please list any donors you have been in contact with (both in-country and internationally) to request funding for this emergency, and the status of that request.**

Donor name	Amount requested £	Proposal status

5. **Are you seeking support from the Disaster Preparedness and Response Fund (DPRF)?** (Refer to the guidelines below before applying – note as well as fulfilling the disbursement criteria, disbursements are **subject to sufficient funds being available at the time of request).**

• **Amount requested in GBP** (up to max. of GBP 40,000):

• **Timeframe for project:**

• **Number of people to be reached with DRRF funding:**

• **Give below a budget breakdown per activity** (has to match amount requested from DRRF or identify relevant budget lines in general budget):

Summary of DPRF guidelines (for a copy of the full guidelines contact catherine.kenyon@actionaid.org)

• An situation qualifies for DPRF funding in the immediate aftermath of a disaster and if **lives and livelihoods are immediately threatened.**

• The request for funds from the DPRF should NOT include any contribution to management/overheads costs of the ActionAid member or partners – it is assumed that these are already covered by the ActionAid member's funding.

• If you raise in-country/other funds above the DPRF disbursement amount for the same intervention, the DPRF funds should be reimbursed.

• Disbursements from the DPRF are approved by the IHART International Programme Manager for your region, after consideration of the above factors in relation to your application.

SECTION 5: INFORMATION FOR FUNDRAISING AND MEDIA RESPONSE

Purpose: This section requests additional information required by the Federation to support potential fundraising and media work.

Instructions:

✔ This information should be updated every 24 hours with NEW interviews and photos.

✔ Consult the Quick guide to collecting photos, film and interviews in emergencies for guidance on gathering material.

In the first 24 hours, please provide: At least ONE eyewitness quote describing the scene of the emergency (e.g. from a partner staff member, a community member): MAX. 1 PARAGRAPH

Every 24 hours thereafter, where possible, please provide NEW interviews using the below template. Additional quotes in response to additional questions are also welcome.

THE INTERVIEW	
Interviewer's name:	Date of interview:
Interviewer's organisation:	Location of interview:

THE INTERVIEWEE	
Interviewee name:	Interviewee age:
Interviewee home location (village, region and country) Is it an ActionAid LRP?	What links (if any) does the interviewee have with ActionAid's child sponsorship?
What is the interviewee's family situation (married, single, number children and their ages, name of husband/wife)?	

SAMPLE QUESTIONS FOR THE INTERVIEWEE
E.g.: Please describe what happened to you during the emergency – where you were, what you did, how you felt. What happened to your home/village? What happened to your family?

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IMPACT
E.g.: What was life like before the emergency?
E.g.: What has changed since the emergency? E.g. where you sleep, what you eat, will the way you get money be affected, are you in danger?

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E.g. What are your fears and hopes now?

IF ACTIONAID IS RESPONDING

E.g.: How is ActionAid helping you during the emergency? What help do you expect from ActionAid?

E.g.: What difference is ActionAid's help making and what still needs to be done?

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Photos

With each submission of this sitrep, please provide NEW photos. Photos should be attached to the email that accompanies this sitrep. Photos should also be submitted to your communications officer.

Please provide, as outlined in the Quick guide to collecting photos, film and interviews in emergencies:

• photos of people impacted by the emergency

• photos of ALL interviewees.

For each photo, please provide the following information:

Photo file name/ number	Location (village/ district/ region)	Name(s) and age(s) of person/ people featured	Context/activity happening	Photographer name & organisation	Date taken

Weekly situation report (day 8+) template
is available at: **http://goo.gl/asTkFk**

Annex 6 : example ToR for Emergency Response Manager

JOB TITLE: **Emergency Response Manager**

REPORTING TO: Country Director

RESPONSIBLE FOR: Emergency response team (field coordinators, field mobilisers and other staff recruited for the response)

CO-ORDINATES WITH: Partner organisations, programme advisors, ActionAid International Humanitarian Action and Resilience Team

LOCATION: ActionAid office in [*specify location*], with frequent travel to programme locations: [*List programme locations*]

The Emergency Response Manager is responsible for implementing and managing the work of the Emergency Response Programme. The Emergency Response Programme is an ActionAid funded programme addressing [include brief description of programme components]. The Emergency Response Manager will manage ActionAid's response to the crisis, with responsibility for building capacity of partner organisations and team, representing the programme and ensuring its sound and effective implementation, as well as monitoring and reporting on its implementation.

The main **responsibilities** of this position are:

1. Ensuring timely and effective programme implementation
2. Providing technical guidance to the programme, partners and team
3. Representing the programme at all levels
4. Managing and appropriately allocate programme resources
5. Supervising programme M&E processes

The main **activities** of this position are:

1. Timely and effective programme implementation

- Ensure timely and quality delivery of the Emergency Response Plan, including immediate needs component, capacity building component and policy/advocacy component

- Develop and monitor detailed operational plans in accordance with the overall Emergency Response Plan

- Supervise and manage programme staff and volunteers working on the emergency response, including providing on the ground support and guidance

- Ensure ActionAid's principles and approaches to emergencies are integrated into the response

- Follow the humanitarian principles, standards and guidelines that ActionAid is committed to, and ensure these are adhered to by ActionAid staff, partner staff and volunteers

- Ensure transparency and accountability tools, processes and mechanisms to affected communities are in place

- Provide regular updates to the national team, ActionAid International Oversight Group and International Humanitarian Action and Resilience Team

2. Technical guidance to the programme, partners and team

- Provide technical guidance to the programme and incorporate key aspects of ActionAid's work in emergencies (including HRBA, women's leadership, accountability, links to longer term development, etc.)

- Provide capacity building and induction for local partner organisations and volunteers engaged in the emergency response programme

- Identify intervention opportunities and support programme advisors to develop further funding proposals

3. Programme representation

- Represent the Emergency Response Programme with external stakeholders (including government, UN agencies, NGOs) and seek to build appropriate partnerships

- Provide regular updates to Oversight Group which guides the Emergency Response implementation

4. Appropriately allocation of programme resources

- Work with finance and administration colleagues to programme budgets including setting monthly forecasts and ensuring that line items are appropriately spent

- Identify areas where additional resources may be needed and work with ActionAid management to re-allocate funds within the budget and identify additional funding sources as necessary

5. Supervising programme M&E processes

- Work with relevant staff to ensure M&E plan is being implemented, data is being collected from the field and regular reports are being produced

- Conduct regular field visits to support staff and monitor implementation of the response

- Use M&E data to regularly review and modify programme approaches and activities to achieve expected results

- Prepare quarterly reports and other documents for the programme

Qualifications and qualities

- A Master degree in a relevant field, or equivalent working experience

- At least 5 years technical experience, including substantial field based experience in emergencies and working with refugees and vulnerable groups

- Deep understanding of the regional context, including substantial working experience in the region

- Commitment to women's rights, human rights based approach and accountability to affected communities

- Experience and high competence in liaising with government authorities, NGOs and UN staff

- Demonstrated ability to plan and manage complex programmes

- Excellent team support and supervision skills

- Proven management skills with effective personal communication skills

- Flexibility and ability to take initiative to adapt to changing circumstances

- Financial management skills and accountability

- Excellent verbal and written communication skills with fluency in XX languages

- Positive attitude towards work and ability to work effectively within a team

- Discreet and able to make good judgments about the flow of information

- Ability and willingness to work in challenging programme locations

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Annex 7 : example ToR for Emergency Response Team

The ERT exists to support collective and accountable decision-making,
bound by the ActionAid global strategy and country strategy,
to implement the Emergency Response Programme.

Purpose of the Emergency Response Team

• To ensure effective coordination and information sharing between different teams involved in implementation of the emergency response programme.

• To ensure effective integration of the emergency response programme into longer term programmes and overall strategic objectives of the country strategy.

• To provide a forum for joint decision-making.

• To provide a mechanism for mutual accountability between different parts of the country programme for timely and quality delivery of the emergency response programme.

• To provide monthly updates to the Oversight Group.

Members
[examples, to be contextualised]

• Country Director (Chair)

• Emergency Response Manager (Convenor and Secretary)

• LRP Managers/Regional Managers

• Fundraising/ PD Manager

• Head of Finance

• Head of Admin & HR

The Chair may request additional posts to join the group as appropriate.

Duration

The ERT will continue through the duration of the emergency response programme. Once the emergency response programme is completed and integrated into the regional initiative,it will be disbanded by the Country Director.

Specific activities to be performed by the ERT

- Providing regular updates between team members on programme implementation against targets.
- Discussing challenges or problems arising and identifying solutions.
- Taking decisions on programme implementation.
- Allocating tasks between team members.
- Review and ensure appropriate management of the programme, identify and address capacity gaps and put in place high quality management systems to deliver response effectively.
- Review progress on coordination through working with government and humanitarian coordination mechanisms.
- Any other activities as decided by the management team itself.

Frequency of meetings

The team will meet on a daily basis during the first two weeks of the emergency response, on a regular day and time to be agreed by the members. After this the group may meet on a weekly basis.

Processes and principles

- Summary notes and key action points will be shared with the staff involved in the emergency response orogramme within 24 hours of the meeting.
- Agenda will be circulated 24 hours in advance of the meeting, and the convenor will request agenda items from all members.
- Members will be responsible for raising issues on behalf of their teams and for feeding back key messages and actions affecting their teams.
- The group should be primarily a decision-making body, based on participatory principles.

Annex 8 : detailed needs assessment checklist

The below is a set of key areas of enquiry to be used in carrying out a detailed needs assessment and should guide your information collection. This checklist should be used in conjunction with the Detailed needs assessment report template, which will guide you in writing up the information into a report.

The responses will then be used to draw conclusions on the needs of disaster-affected communities and will inform ActionAid's emergency response programming as well as the co-ordination mechanisms we use and the policy work we undertake.

These questions are meant to act as a guide and should not restrict the flow of information you can gather. The actual questions you should use must be reformulated depending on the country and disaster context.

An appropriate methodology that is context specific must be used to facilitate this needs assessment exercise. However, it is recommended that a 'conversation' approach is used in any interaction with the community, to help increase engagement from communities and facilitate open dialogue.

Overview

a) Background information to the emergency (context)

Please detail what has happened: what was the disaster (e.g. earthquake, floods, conflict etc.); when did it happen; what is the past experience of this type of disaster in the country and for other disasters; what is the history of the country.

Please include any maps or diagrams to help with this.

b) What is the total number of people affected/extent of damage?

It is important that the scale of the disaster is captured. This means that you need to collect data of those affected but disaggregate the numbers to give a clearer impact of those affected. This should be split by LRP and then totalled to give the whole picture of those affected.

Name of LRP:													

Number of people affected					Disaggregation of data								Source of information include hyperlinks as relevant
	Female		Male		Disabled		Children		Infants		Elderly		
	Affected	Total	Affected	Total	Affected	Total	Affected	Total	Affected	Total	Affected	Total	
Affected													
Deaths													
Injured													
Missing													
Displaced													
People with loss of livelihood (e.g. crops; livestock; boats; nets etc):													
Sponsored children													

c) Women's rights information

- What was the impact of the disaster/conflict on women?

- Where are women currently located, and what are their living conditions (e.g. do they have sufficient access to toilets; safe spaces; private spaces, etc.)?

- Are women's (basic and specific to women) needs currently addressed, and are there obstacles to them accessing their needs? Please focus specifically on lactating and pregnant mothers.

- How have women's lives changed since the disaster (e.g. is there an increased burden of care; have the men had to migrate, etc.)?

- Do women feel safe? Are there any reports of physical violence against women? Interrogate the types of violence and whether there is an increase because of the disaster, and are there trends in terms of age, location or association? Interrogate further about perpetrators of the violence – is there a pattern (e.g. are they a specific ethnic group; fathers; humanitarian workers etc.)?

- If there is an increase in violence, how are women coping, are they lodging complaints, and if so, where?

- Have women been consulted in needs assessments and in designing and implementing programmes (by any agencies that are active in their areas)?

- Are the priorities of women included in national needs assessments? Are specific resources allocated for women in the national response? Are there elements in national response strategy that may negatively affect women?

- Do women have access to key information regarding how to access and claim assistance, compensation? Are they involved in decision-making processes at different levels (local, regional, national) regarding response to the disaster?

- Do women's groups exist at the local level? What is their capacity?

- Are there new opportunities to bring women together, build leadership capacity, increase participation in needs assessments; designing relief and rehabilitation programmes, monitoring implementation, participating in reviews and reflections and representing the community within the community and outside of the community to influence power centres?

- Are women and their institutions aware of their right to protection, right to assistance, right to information, right to shelter etc.?

- Are women leading response/relief/rehabilitation activities?

- What is the existence and function of the justice system—what are the barriers for women to access them?

d) Psychosocial

- Are people displaying symptoms of psychosocial distress, e.g. sleeplessness; self-imposed isolation; dispassionate demeanour; unusual anger, etc. (refer to psychosocial manual)?
- Can you please provide this information disaggregated by men, women, children, youth, elderly, disabled?
- Is there any previous experience with psychosocial distress in he community?

e) Food security

- How do women and men access food locally normally (i.e. prior to the disaster)? Do they normally have equal access to the local market?
- What community and household power structures affect the use of food and other productive resources? Who (in the community and the household) controls these resources?
- [Particularly for slow onset crises such as droughts], what percentage of households are food insecure, or under threat from being food insecure over the next few months? Note – important to establish robust critera for showing how we have calculated 'insecurity'.
- [Particularly for slow onset crises such as droughts], what percentage reduction in crop production has been suffered by communities?
- What difference has the disaster made in terms of people's food consumption? Do men and women have different access to food than prior to the disaster? Have people's eating patterns changed? If so, how (e.g. now only eating one meal a day compared to three, women going without food, people eating unusual food because their usual food is not available)?
- Are local markets still functioning? Has the disaster-affected food supply to the markets and/or prices? Are people physically able to access food markets (i.e. is there any damage to infrastructure/security issues etc. that are preventing them reaching markets)?
- What is the nutritional status of different groups (men, women, children, elderly people, etc)? Are any groups (particularly women and children) showing symptoms of malnutrition and/or anemia? How are gender and social position connected to malnutrition? Note – consult health professionals to assess malnutrition rates as per agreed international criteria (.eg. global acute malnutrition (GAM), severe acute malnutrition (SAM), etc.
- What are the special nutritional needs of pregnant and breastfeeding women, people with HIV/AIDS and other vulnerable groups?
- Are women encountering problems breastfeeding? Are girl and boy babies breastfed differently?
- Are both women and men aware of and able to participate in cash- and food-for-work opportunities? Can both men and women access credit, agricultural materials and services?

f) Livelihoods

Under this section you will need to collection information on livelihoods and it will useful if you are able to cross reference this information to any livelihoods analysis you have, either produced by ActionAid or produced externally.

- Are you able to provide a wellbeing (wealth) ranking? You should categorise households and social groups into wellbeing categories. This will help you to understand the socioeconomic differences as well as understand local perceptions of and criteria for wealth, wellbeing and inequality in a community.

- What types of agriculture, farming, fishing, trade and food supply existed in the community before the disaster? What role did women and men play in these sectors? What were the pre-disaster discrimination and vulnerabilities regarding livelihood activities?

- What livelihood assets do women and men own and control? Has the emergency affected who controls what?

- Can people continue their pre-disaster livelihood? What factors such as mental distress/physical injury, capital, production input, change in bio-physical environment (salinity, sand-casting, contamination, dryness), physical infrastructure and supply chain, are limiting people's ability to res-start livelihoods? How can synergy among various support mechanisms be created by coordination? What are the cash needs of households?

- What is the impact of the disaster on local trade and markets?

- What polices and power structures affect ownership and distribution of natural resources such as land, water bodies, forest, pasture and grazing land? What are women's property and inheritance rights? How has emergency affected men and women's access to and control over resources? Are new polices emerging that restrict women's access to and control over resources?

- What skills and capacities did women and men have before disaster? Do people need additional skills to continue their pre-disaster livelihoods and/or pursue new livelihoods options?

- How much time do women, men, girls and boys spend on unpaid work (fetching water, cooking, collecting firewood, caring for children, washing clothes etc.)? Has this changed as a result of the emergency? What can ActionAid do to support women and girls to increase their participation in decision-making by releasing the pressure of unpaid work?

g) Education

Note: Please also refer to the INEE Minimum standards handbook for further questions.

- Was there any difference in access of girls and boys to education prior to the emergency? How has the emergency affected girls' and boys' access to schooling?

- [Particularly in slow-onset disasters such as droughts], are children being pulled out of school to support their families with work/fetching water/ finding pasture for animals, etc? What percentage of children have been pulled out of school over the last few months? Are more children likely to drop out? Is there any difference between boys and girls in terms of children dropping out of school?

- What is the extent of damage to the physical infrastructure of schools and approach roads/bridges? How has this affected children's access to school and what impact has this had on their attendance? What is the learning environment at home and temporary locations

- What percentage of schools in the community are functioning? Are there alternative schooling facilities for displaced children in temporary camps and host communities?

- Are there any other factors hindering school attendance (fear, threats, violence, mines, natural risks, socio-cultural factors)?

- Are schools being used as temporary shelters, meaning they cannot be used to provide education? What percentage of schools in the disaster-affected communities are being used as temporary shelters?

- Are children showing signs of emotional distress such as interrupted sleep, irritability, anger, experiencing nightmares/flashbacks?

- Are there skills/experience/interest among teachers to run psychosocial programmes for children?

h) Housing/shelter

- What was the condition, culture, material used and ownership of houses before disaster?

- What was the status of land ownership before the disaster? What percentage of people owned the land they lived on? Following the disaster, do people still have documents that prove their ownership of land?

- How many people/households have been displaced by the disaster? Where are they now staying? If people have set up camps on private land, are they likely to be evicted in the near future?

- Is there a need for temporary shelter? How long people may need to stay in temporary shelter?

- How many houses were destroyed by the disaster? How many were damaged? Did particular areas of the community suffer greater damage to houses than others? What are the likely reasons for this?

- What was the average number of people per household prior to the disaster? What is the average number of people per household following the disaster? How is the household made up?

- What is the habitation pattern of families and what are the cultural norms regarding habitation?

- Is there a need for temporary shelter? How long may people need to stay in temporary shelter?

- If people have been displaced and are living in temporary shelter, are women's living conditions safe, private, and do they have access to facilities they need, e.g. private bathrooms, etc?

- What capacity exists in the community or displaced location to rebuild shelter? How can ActionAid support building additional capacity of people to engage in reconstruction? Are women involved in shelter design and rebuilding?

- What are the contextual, operational and policy challenges to re-building permanent homes? How long would it take to build permanent home? What ideas, opinions and preferences do communities (both men and women) have about the size, location, material and approach (owner driven or contractor driven) about rebuilding their homes?

What are the environmental implications of these preferences (e.g. type of material preferred for rebuilding) and what are government restrictions and advice in this regard? Are there viable alternatives that will be socially and culturally acceptable to communities as well as compatible with government policy?

- What is the number of people whose permanent shelter cannot be constructed due to land and or other issues? Can local and central government (including local municipalities) provide land for rebuilding? What are the existing policies and rules regarding land ownership? What can ActionAid do to address land issues?

- What are the emerging discourse, standards, policies and interest groups shaping housing polices? How do they affect women and other excluded/landless/homeless people?

- What is the research potential to develop resilient housing? What capacity can ActionAid build for local construction workers and communities?

i) Non-food items (NFIs)

You will need to ensure that clothing, bedding, personal hygiene, cooking and eating, fuel, tools and equipment are considered.

- What NFIs have been identified as required?
- What is the customary provision for women, men, children and infants, pregnant and lactating women and older people, and what are the particular social and cultural considerations?
- Are the identified NFIs appropriate for the needs of women, children and infants?
- What additional items are considered socially or culturally important to maintain the health and dignity of the affected people?
- Are you able to identify which non-food items can be sourced locally or obtained by the affected population themselves?

j) Water, sanitation and hygiene

- What water and sanitation practices were the population accustomed to before the disaster? How has this changed as a result of the disaster? Specifically how are women affected?
- What is the current source of water for drinking, bathing, washing clothes and other domestic use? How far is the water source from households? Is it safe for women to access?
- Do all groups in the affected population have equal access to the water?
- Will the water from the source be sufficient to meet the immediate and longer-term needs of all the affected population?
- If water treatment is necessary are there treatment options available? Do people know have access to water treatment options (e.g. chlorine tablets) and know how to use them safely?
- What sanitation facilities are people, especially women and children, using? Are there issues with poor sanitation, overcrowding, etc?
- Are there any cases of water-borne diseases in the community? How many, and which groups are affected?
- How can water and sanitation facilities be built to be more resilient to future disasters?

k) Information

- Do some households in the community (at least 1 in 4 households) have access to a functioning radio following the disaster? If yes, what are the 3 main radio stations people in the community listen to now and when do they listen? (specify the radio station name and time people listen using a 24-hour clock)

- Do some households in the community (at least 1 in 4 households) have access to a functioning television set now? If yes, what are the 3 main TV stations people in the community watch now?

- Do some households in the community (at least 1 in 4 households) have access to a functioning mobile phone now?

- Which language(s) do people in the community speak?

- What are the 3 most trusted sources of information in your community? (please only select 3)

  - Friends, neighbours and family
  - Community leader
  - Religious leader
  - Government official
  - Military official
  - Aid worker
  - Other (please specify)

- What are the 3 preferred channels used by the community now? (please only select 3)
  - Radio
  - TV
  - Newspaper/magazine
  - Telephone voice call
  - SMS message
  - Internet
  - Notice boards and posters
  - Community meetings
  - Loudspeakers
  - Other (please specify)

- What are the 5 most important information needs for your community now? (please only select 5) Information about:
  - Missing family and friends
  - Food
  - Water
  - Shelter (or shelter materials)
  - Health advice and treatment
  - Market prices for commodities and livestock
  - Information on how to access personal documents such as ID cards
  - Security
  - Weather forecasts
  - The situation in your country of origin
  - How to contact aid providers
  - Other (please specify)

What kind of information does the community want to share with government and/or aid organisations? (Please tick all that apply)

- Alert government and/or aid organisations of needs in the community
- Share your experience
- Provide feedback (positive or negative) about the quality of aid received
- Other (please specify)

l) Resilience building

- What risks did the community face before the disaster and what are the new and emerging risks?
- How do women see the gaps in resilience?
- How did power structures, access to resources and decision-making create vulnerabilities of women and other excluded groups? What new opportunities have been created for local governance for resilience building?
- What difficulties are women and other people experiencing in accessing, understanding and make use of EW. What can the strategy be to retain social evidence of disaster, in the case of low frequency hazard area?
- Explore capacity building in relation to: empowerment of women, agency building and leadership; and responsiveness in relation to operational, legal and policy capacity of local and national government? What capacity already exists among householders, community and organisational level to design resilience building programmes? How can regional and international risks be addressed?
- What investment can ActionAid make in children in relation to resilience?

m) Existing policies and schemes

- What are the existing constitutional obligations, legal responsibilities and political commitments of the government regarding protection and fulfilling the rights of those affected by the disaster (particularly women)?

- Has the government announced any new laws, provisions or compensation packages in response to the disaster? What are these and to what extent are women's issues included? Are any groups likely to have been excluded and discriminated against as a result of their status and vulnerability prior to the disaster?

- What is the role of various actors and interest groups in shaping recovery policy? To what extent are those affected by the disaster able to engage with and influence decisions around the recovery process?

- Is the aid provided by donors and government sufficient to meet the needs of all those affected by the disaster? Are there any discrepancies between the amount of funds pledged/committed by government and donors and money which can be accessed for response? How does the per-capita aid allocation compare to that allocated for previous disaster responses in the country, region and internationally?

- Do discourse and practices of standards consistent with internationally established practice?

- What factors affect the ability/capacity of those affected by the disaster to hold the government to account? What mechanisms (existing and new/emerging) are communities aware of and able to use to do this?

- What are the policy and governance opportunities created to secure resilience for women and other excluded people?

- Has the disaster created any new opportunities to shape governance and power structures in favour of people living in poverty and exclusion (particularly women)?

- Has a Post-Disaster Needs Assessment (PDNA) been initiated by the World Bank Global Fund for Disaster Risk Reduction (GFDRR)? Which agencies are participating? Is there any involvement by communities or their representatives? If not, what action could ActionAid take to increase their engagement?

n) Capacity building

Partners

- What are the implications of multiple funding streams and a potentially significant increase in the amount of funding available on partners' capacity, systems and governance? Do partners have adequate and efficient control mechanisms in place to prevent mis-use and misappropriation of funds?

- Do partners have sufficient capacity (particularly in terms of human resources) to manage the ActionAid emergency response programme, taking into account their existing programme commitments?

- What should ActionAid include in the capacity building programme for partners in relation to systems efficiency, women's leadership, advocacy capacity and long-term programming on resilience building?

Community

- What community groups exist and what role did they play in responding to disaster? What challenges did they experience in responding to the disaster? What is their current role – are they engaged by humanitarian actors responding to the disaster?

- What is the potential of community groups to shift local power dynamics and structures in favour of women and other excluded groups? What is the potential to strengthen existing women's groups and/or create new ones?

- What can ActionAid do to revive dormant and inactive capacity of women and excluded groups in relation to disaster recovery, resilience building and advocacy/campaigning?

Emergency preparedness and response handbook
Annex 8 : detailed needs assessment checklist

Please complete this table with as much information as possible on where ActionAid is responding to the emergency/planning to respond (include map if possible). Add rows as necessary.

Area name (specify if LRP or not)	Type of activity (e.g., distribution of food, NFIs – give details of items, etc)	Proposed number of people to be reached disaggregated by gender and age and vulnerability	Proposed amount to be spent £	Amount secured so far (if applicable) £
Total				

Annex 9 : emergency response and resilience programme - example

SYRIAN REFUGEE CRISIS Revised June 2013

Contents

1. Crisis context

2. Summary of needs assessment findings

3. ActionAid approach and programme rational

4. Programme locations and target groups

5. Emergency Response Goals and objectives and summary intervention plan

Annexes

Section 1: Crisis context
- Briefly describe the crisis context (this can be taken from the needs assessment report).

Section 2: Summary of needs assessment findings
- Briefly describe the needs assessment process and list the main findings.

Section 3: ActionAid approach and programme rationale
- Describe ActionAid's existing presence and programmes in the country.

- Summarise ActionAid's approach in emergencies (e.g. focus on women's leadership, youth engagement, HRBA approach, accountability etc.).

Section 4: Programme locations and target groups
- Describe the locations where ActionAid will be responding and include a map.

- Describe the people who are being targeted (e.g. are you focusing on women, minority groups, people living in specific areas etc.). How were these people selected?

Section 5: Emergency Response Goals, objectives and key activities
- List the overall goal, objectives and main activities of the programme (this is so it can easily be cut and pasted into other documents and funding proposals).

Section 6: Intervention plan
- This table (see example below) should describe in detail the activities that will be done as part of the ERP, with numbers, dates, locations etc.

Objective 1
People's basic needs are met with speed and quality through women's leadership and people are able to assert their rights to assistance and demand aid effectiveness and accountability.

Outcomes	Indicators	Activities
Outcome 1 5100 vulnerable people will have received appropriate NFIs through a women led participatory approach.	- 12 NFI committees functioning and actively participating in planning and distribution process by end of June 2013. - 1020 households (5100 people) have received appropriate, context specific and quality NFI items through women-led processes by end of July 2013. - ActionAid's model of women-led NFI distribution documented and shared with relevant clusters, other INGOs and UN agencies by August 2013.	- Formation of NFI committees in each block in Module 5, led by a woman and comprising representatives from adult women circles, young women circles, and young men circles. - Women and youth circles identify and prioritise NFI needs within their communities and criteria for receiving them. - NFI committees conduct mapping of their blocks to identify NFI recipients. - NFI committees participate in procurement process (checking samples, selecting suppliers). - NFI committees, with support from other women and youth circle members, lead distribution process. - Documentation of distribution model through reports, simple films etc. by July 2013.
Outcome 2 4860 women and young people will be able to cope more positively and have increased psychological resilience.	- 84 community psychosocial volunteers are trained by August 2013. - 84 women and youth circles (1260 people) are participating regularly in recreation and group support sessions by August 2013. - 3600 people have support and information on referral services available through outreach visits by psychosocial volunteers by December 2013. - All women and youth circles have safe spaces to meet by August 2013.	- Conduct focus groups discussions with affected communities to identify psychosocial concerns. - Women and youth circles participate in weekly group sessions (recreation activities, expressive arts, supported communication, community action planning etc.). - Training of community volunteers from each circle to facilitate sessions, conduct community outreach and disseminate information on specialist referral services available. - Mapping of referral services for serious trauma and provide simple information on referral pathways to community volunteers. - Volunteers conduct community outreach and disseminate information to their communities.

Another ERRP example can be found at: **http://goo.gl/XdIVrJ**

Annex 10 : logistics and operations checklist and guidelines

Organising and supporting movement of people

- Assign someone to co-ordinate deployment and international travel.

- Get clarity from IHART about possible international deployment and travel requirements.

- Get clarity about nature and length of deployment. Inquire about legal requirement such as work permit, tax system, entry requirements etc. if it is a long term deployment.

- Establish communication with appropriate authorities e.g. immigration or home office who may issue or advise on visa.

- Revise visitor pack with additional context specific information, e.g. credit card does not work, specific immunisation and health preparation.

Management of procurement, storage and supply

- Determine procurement requirement immediately during assessment: specific items, quality, specification (be clear about government rules and regulations, seasonal dimension, risk factors).

- Decide mode of procurement: maintain good documentation for audit in case of exceptional mode of procurement such as arbitrary selection, cash purchase, etc.

- Prepare for customs clearance in the case of international procurement.

- Preserve sample and verify quality once supplied.

- Develop warehouse system, which should include security, safety and inventory.

Communication and IT

- Determine requirements for communications equipment and set out an alternative plan if there is a threat to the existing system.
- Purchase additional communications equipment, if necessary. Make sure that they are budgeted for in the donor proposal.
- Prepare a list of staff of ActionAid and partners with their contact details; and circulate to all involved nationally and internationally in case of an emergency.
- Ensure that ActionAid system is protected from possible attack by virus, spy wares and spam, which can severely harm emergency work e.g. meeting donors' deadlines.

Management of vehicles and transportation

- Organise adequate vehicle for the size of response.
- Develop protocol of vehicle use and make sure everyone understand to avoid frustration.
- Recruit additional drivers as part of staff welfare – in case they require long duty.

Setting up office

- Rent adequate size of office for the needs – and consider convenience and security issues especially with women staff.
- Decide about office requirements: space, IT support, storage, parking, generators, photocopy, phone line, satellite, water machines etc.
- Assess security requirement: decide whether you recruit security or go for a company.
- Consider safety issues if you're setting up the office in earthquake-prone areas.
- Negotiate with landlord about all the possible uses of the office and local regulation.

Handling of cash and banking

- Carefully analyse the donor contracts in relation to the handling of cash.
- Communicate with donors in advance if you can not comply with certain sections.
- In case of new country, certain banks require a letter from CEO authorising the team leader of the operation to open and maintain the account. Collect this letter as soon you decide to open an account.
- Quickly put together a policy and get approval about cash transactions including introducing a cash book.
- Decide bank signatory in terms of nature of staff movement (Sri Lanka – any two of three/four). Alternative signing arrangement.

Security and repartitions

- Assign a security monitoring team immediately after an emergency. In the case of a large scale operation in a highly insecure area, you may even decide to recruit a dedicated security officer. S/he can maintain liaise with other agencies, partners and government.
- Make sure that national and international staff including partners are aware about security assessment
- Design a security communication system and alternative contingency plan. Often single communication channels help to ensure that everyone receives the information.
- Identify meeting points if security deteriorate.
- ActionAid office can book alternative air ticket for repartition once security reaches a certain level.
- Ensure that all staff use safety measures such as life jackets etc.
- Make sure that all international staff have up-to-date insurance coverage (Roger Ying is the focal person for this). For new staff, initiate the process as soon as possible. It should be applicable for vehicles.

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Annex 11 : quick reference guide to emergency donors

ActionAid Emergency donors
Quick Reference Guide
updated Aug 2013

Donor and AA Focal Point **AusAID** Casey McCowan <Casey.McCowan@actionaid.org> AA Australia	**AIMS** "Australia helps reduce the adverse impacts of conflict, natural and other disasters on vulnerable populations. The Australian Government stands ready to help countries in times of natural disasters. Assistance may take the form of relief supplies, medical teams, law and order personnel, transport and communication." (AusAID website)

Geographic	Total amount of overall pot	Management and Access	Sectors	Application procedure	Constraints, Dependencies and Reporting
PNG and the Pacific, Indonesia and East Asia, South Asia and Central Asia is the main focus. Africa is also a smaller focus of AusAID's program and to a lesser extent the Middle East). AusAID have some small programs in Latin America and the Caribbean but not a focus.	$4,836 million, with $4,087 million being administered by AusAID and $325 million being allocated to humanitarian emergencies and refugees. Out of this $210 M goes to emergency response, $20 M goes to IFRC and the remainder goes to the UN (Budget 2011/12).	Access to emergency funds is largely through accredited NGOs i.e. ActionAid Australia (AAA). AusAID will give preference to those agencies under the Humanitarian Partnership Agreement of which AAA is not a member.	Integration of humanitarian action and development, disaster preparedness, food aid, refugees, rehabilitation and reconstruction, mine action.	AusAID channels its funding through accredited Australian NGOs of which AAA are one. AusAID also provides humanitarian aid through UN agencies and the Red Cross.	AusAID funding is not untied. Countries can rarely apply for funding directly. It is best to contact ActionAid Australia if there are upcoming funding opportunities. Funding to NGOs is made on a case by case basis. The reporting requirements involve interim narrative and financial reports (quarterly) and final reports (up to one month after the end of the project activities have finished).

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Donor and AA Focal Point **AGIRE** Daniele Lodola AA Italy <Daniele.Lodola@actionaid.org> +3902074200246			AIMS Funding for Relief and Recovery work		
Geographic	**Total amount of overall pot**	**Management and Access**	**Sectors**	**Application procedure**	**Constraints, Dependencies and Reporting**
Global	Depends on what is raised	Managed by HVP, AA Italy is member of AGIRE. Key contacts: Daniele Lodola, Giulio Litta	Immediate response sectors (see below) + longer term recovery activities (can include management/ overheads, capacity building, DRR, protection, livelihoods, etc. (can be spent up to 2 years post emergency)	A consultation with the member agencies (directors), including a teleconference, decides on whether or not to launch an AGIRE appeal. In case an appeal is launched, the NGOs operating in the affected areas must submit a Concept Note based on the ECHO formats, including the needs encountered and the organization experience in that area. Agire will then decide on the allocation of the grant. Full Proposals and budgets (always based on ECHO procedures) need to be submitted 15 days after the communication on the funds allocated to the NGO.	Often there are several updates on the grant following the fundraising activity and the detailed budget must be updated within 2 weeks. A final external audit by an audit firm appointed by AGIRE is required

Donor and AA Focal Point			AIMS		
DEC David Twydell (UK) <David.Twydell@actionaid.org> Emergencies Funding Manager (DEC & DFID) +44 (0)203 122 0685, +44 (0) 7789 930 013			Funding for Relief and Recovery work.		
Geographic	**Total amount of overall pot**	**Management and Access**	**Sectors**	**Application procedure**	**Constraints, Dependencies and Reporting**
Global	Depends on what is raised	Managed by PFT, AAUK is member of DEC, Key contact: David Twydell	Immediate response sectors (see below) + longer term recovery activities (can include management/ overheads, capacity building, DRR, protection, livelihoods, etc. (can be spent up to 2 years post emergency) The DEC are less keen on funding policy work and will not record any beneficiary numbers associated with a policy activity unless there has been an actual change of policy or legislation.	A consultation of 1 week with the member agencies, including a teleconference, decides on whether or not to launch a DEC Appeal. No application is needed, but proposals and budgets for the first 6 months need to be submitted 1 month after a DEC Appeal is launched.	AA UK allocation is currently 5.5%. Relief Phase 1 needs to be complete within 6 months. Recovery Phase 2 can last up to 18 months. Reporting quarterly for Phase 1, 6 monthly during Phase 2, with internal quarterly reports. Case study for Phase 1 and/or media description of 1 project required

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Donor and AA Focal Point	AIMS
DFID David Twydell (UK) <David.Twydell@actionaid.org> Emergencies Funding Manager (DEC & DFID) +44 (0)203 122 0685, +44 (0) 7789 930 013	Disbursement of funding for emergency response across a range of sectors.

Geographic	Total amount of overall pot	Management and Access	Sectors	Application procedure	Constraints, Dependencies and Reporting
Global	No fixed amount	Rapid Response Fund is a new fund launched by DFID in February 2012. Coordination by AAUK Programme Funding Team Key contact: David Twydell DFID emergency response funds also available through DFID in-country, often via disbursement through UN agencies Access requires pre-existing relationship with DFID country office and engagement in coordination mechanisms (cluster system)	Range of different response sectors depending on nature of emergency and coverage by other donors	This is a brand new fund so the process is still being defined but once the fund has been launched for an emergency there is a brief proposal form submitted in the UK within 24 hours DFID country-office AACP's should ensure: - Pre-existing relationships with DFID / UN agencies - AA preparedness plans (in place and niche /info shared with DfID) DFID currently channel funds to (I)NGO's either through the UN system or as direct grants. No systematic application process. Immediate contact / meetings & follow up required directly with DFID. Participation in cluster system / in-country networks **essential**	The report has to be submitted within 24 hours and the grant will last no longer than 6 weeks which will require the emergency response to be operational immediately. There are no formal reporting requirements during the 6 weeks although we will have to forward internal updates including sitreps to DFID. An end of grant report will be submitted at week 8. DFID in-country often unclear as to range of information (particularly financial) required through applications Pre-existing relationship with DFID essential to clarify requirements. Funding can still depend on being part of the 'club' Engagement with UN system essential to access DFID funded UN managed sub-granted income Please see copy of HERR for review of DFID's humanitarian funding.

Donor and AA Focal Point	AIMS
DPRF Sonya Ruparel <sonya.ruparel@actionaid.org> IHART Team Business Manager +44 (0) 203 122 0653, +44 (0) 7753 738 146, +44 (0)774 890 1566	Immediate release funds for initiating an emergency response (can be accessed in 24 hours)

Geographic	Total amount of overall pot	Management and Access	Sectors	Application procedure	Constraints, Dependencies and Reporting
Global	Fluctuates	Managed by IHART. Key contact: Sonya Ruparel	Immediate response – not for management/ overheads	CP applies through the Situation Report	Reporting internally one month after activities are completed, case studies and photos required

Donor and AA Focal Point
ECHO

Patricia Cassidy   <patricia.cassidy@actionaid.org>
Programme Funding Manager - ECHO (UK)

Tel: +44 (0) 203 122 0574, Mob: +44 (0) 7903 168710

AIMS
To provide emergency assistance and relief to the victims of natural disasters or armed conflict outside the European Union. ECHO is the European Commission funding mechanism for emergency funding. For more info on ECHO please see the Funding Programmes hive site within the 'Donor Intelligence' section.

Geographic	Total amount of overall pot	Management and Access	Sectors	Application procedure	Constraints, Dependencies and Reporting
Global – but ECHO prioritises some countries over others depending on scales of disaster so funding not available everywhere. The list of countries it prioritises change yearly but will support any country outside EU if a major disaster hits	Around €800m per anum, with each country provided varying provisional budgets at start of year. These can change depending on scale of disasters that actually happen	Managed by AAUK in London. Key contact: Patricia Cassidy	Food Assistance, Short term food security, Livelihood Support, WASH, Health, Nutrition, Shelter, NFIs, Disaster Risk Reduction/ Disaster Preparedness, Protection, Coordination, Capacity Building.	Formal proposals have to be submitted by AAUK (contract signee with ECHO) on the 'eSingle Form' through the ECHO Coordinator in IPD. Contracts value varies significantly, no formal max or min amounts but lowest AA contract around €100,000 and highest around €1.5. For 3 month projects after a major disaster proposals to be submitted within 72 hours of disaster. Other contracts issued usually 6-18 months depending on the funding call, with informal deadlines imposed by ECHO. ECHO has field offices in most locations it works in and field office is best way of learning of funding opportunities.	Unlikely to secure funding without local ECHO office agreeing in principle the nature of the project. Therefore important to establish relationship with local ECHO office before pursuing funding. Countries cannot apply for funding directly, only AAUK allowed by EC rules to sign contracts with ECHO. ECHO is not mandated to provide development aid but can provide DRR/ DP funding. However these projects must have measurable results by the end of the project period. 2 formal reports required, an interim during implementation and a final 3 months after project completion

Donor and AA Focal Point

Sida

Johan Bergqvist   <johan.bergqvist@actionaid.org>
Head of Programmes, Campaign and Communication, AA Sweden

Mob: +46 (0) 73 380 80 74

AIMS
Rapid, flexible and high quality funding for emergency responses.

Geographic	Total amount of overall pot	Management and Access	Sectors	Application procedure	Constraints, Dependencies and Reporting
Global	Fluctuates	When Sida opens up to new partners, proposals will be submitted through AA Sweden and contracts will be managed by AA Sweden and IHART	Disaster preparedness and risk reduction, immediate relief, reconstruction.	Sida's humanitarian partners submit proposals to Sida's humanitarian team in Stockholm. Major partners have 3-year humanitarian funding agreements. These agreements are offered on an ad hoc basis, based on proven competence and track record, operational capacity, capacity for M&E and added value.	Sida is not in a position to take on new humanitarian partners at present, due to a lack of internal capacity, and AA can therefore not access funds. However, application guidelines and partners are currently under review so this may change.

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Donor and AA Focal Point

Appeal funding (public appeals)

Sonya Ruparel   <sonya.ruparel@actionaid.org>
IHART Team Business Manager
+44 (0) 203 122 0653, +44 (0) 7753 738 146, +44 (0)774

AIMS
Flexible funding for emergency response.

Geographic	Total amount of overall pot	Management and Access	Sectors	Application procedure	Constraints, Dependencies and Reporting
Global	Depends on what is raised	Managed by IHART. Key contact: Sonya Ruparel	All – including long term – appeal funds can be spent up to 3 years post emergency.	No application, but proposals and budgets require approval from Oversight Committee (for red alert emergencies) or International Programme Manager in IHART – Paras Tamang.	In future appeal fund expenditure will need to be reported to show how different public appeal money is spent (e.g. how UK appeal funds spent). Is the most flexible money and should be spent after, or to co-fund, restricted money. Internal quarterly reporting against expenditure; monthly narrative reports and production of case studies and photos.

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Donor and AA Focal Point

UN - Central Emergency Response Fund (CERF)

OCHA manages the fund and distributes to relevant UN agencies based on priority projects identified by the UN Emergency Relief Coordinator (ERC).

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AIMS

Allows the Emergency Relief Coordinator (ERC) to ensure coverage of life-saving programmes when funds are not available from other sources

- Used to allocate funds to UN operational agencies to address critical humanitarian needs based on priorities established under the leadership of the Humanitarian/Resident Coordinator in the field

Primarily used as cash flow for UN agencies while they wait for pledges to be transferred.

Geographic	Total amount of overall pot	Management and Access	Sectors	Application procedure	Constraints, Dependencies and Reporting
Global	Grant facility - Up to US $450m, 2 'windows': - Rapid response - Under-funded – for which one third of funds is earmarked	Funds can only be accessed in country through participation in clusters. To access funding ActionAid's project must have been part of the UN Agency (the various cluster leads) led project submitted to CERF.	Any life-saving sector eligible (see "Life Saving Criteria) provided deemed a priority by the UN ERC for that particular emergency. Funding will be streamed through relevant Cluster lead agency (e.g WASH = Unicef). May contribute to the needs identified in the CAP /Flash appeal.	PARTICIPATE IN CLUSTERS. Needs can be advocated and projects then submitted through the cluster lead who in turn consults the country IASC for recommendations to the ERC. On agreement funding is then transferred to the relevant UN agency. If NGO project approved contracts will be set up with relevant UN agency.	Timeliness: Quick to disburse to UN agencies – can be very slow to get to NGOs. May need to chase contracts. Transparency: - NGOs do not always know if funds are from CERF or other source. Please try to find out and state this in your Crimson/ OPAL project as backdonor Decision-making process for fund allocation for "under-funded emergency" window is not transparent (What criteria used?). Input dependencies e.g. prior engagement with UN etc.
	Loan facility – up to $50m			N/A	

Emergency preparedness and response handbook
Annex 11 : quick reference guide to emergency donors

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Donor and AA Focal Point	AIMS
UN - Common Humanitarian Fund (CHF) UNDP is the administrative agent who are responsible for contracting NGOs (overall management by country HC and OCHA advisory group) Donna Muwonge <Donna.Muwonge@actionaid.org> Senior Donor Coordinator, IPD. +44 2031220657	To provide early and predictable funding to most critical needs as identified in the CAP for projects which previously have been under-funded.

Geographic	Total amount of overall pot	Management and Access	Sectors	Application procedure	Constraints, Dependencies and Reporting
Sudan CAR Somalia (replaced HRF – June 2010)	Country specific – generally large ($100m+)	Access to these funds is possible only through participation in the clusters. ActionAid projects must be part of the Consolidated Appeals Process (CAP) to be eligible for funding.	Any provided in line with the CAP (aka the HAP in DRC or the SWP in Sudan).	PARTICIPATE IN CLUSTERS. Needs can be advocated and projects then submitted through the cluster lead. Proposals then go to a 'POOLED FUND BOARD' (includes country HC, donors, UN agencies and NGOs) Contracts will then be set up with UNDP.	

Donor and AA Focal Point	AIMS
UN OCHA Emergency Response Fund (ERF) (aka HRFs & HERFs) Donna Muwonge <Donna.Muwonge@actionaid.org> Senior Donor Coordinator, IPD. +44 2031220657	Rapid and flexible funding for gaps in humanitarian needs – often for areas not covered by the CAP

Geographic	Total amount of overall pot	Management and Access	Sectors	Application procedure	Constraints, Dependencies and Reporting
Currently in: Afghanistan, Columbia, DRC, Ethiopia (HRF), Haiti, Indonesia, Iraq, Kenya, Myanmar, Nepal, OPT, Pakistan (tbc), Sudan, Uganda, Zimbabwe.	Amounts per country vary (between $1m-$6m) but generally small, hence providing small grants. See individual country docs for more info.	Access to these funds is through OCHA in-country. It helps to be part of the clusters however, this is not an essential criteria for ERF.	Any humanitarian need requiring rapid funding.	Projects submitted to OCHA. Cluster leads and advisory board are used to advise HC in selection. Contracts are with OCHA.	Mixed experience. Generally positive May have limitation to the number of contracts allowed at anyone time Check contracts carefully.

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Donor and AA Focal Point			AIMS		
High Value Restricted Income			Varies depending on donors as donors include high net worth individuals, trusts, foundations and companies. Trust applications usually get sent out to a pool of trusts with crtieria related to giving to emergencies/relief/ humanitarian response, so funding may have more conditions. Funding from companies and high net worth individuals tends to be more flexible.		

Geographic	Total amount of overall pot	Management and Access	Sectors	Application procedure	Constraints, Dependencies and Reporting
Global	Depends on what is raised	Managed by individual affiliate high value teams (e.g. in UK, US, Italy etc.)	Trusts may have specific criteria, but otherwise money can generally be used flexibly. With red alert emergecencies, appeals are generally used. Can be used to fund immediate and longer term activities (can include management/overheads, capacity building, DRR, protection, livelihoods, etc.)	AAUK usually submit topline concept notes to the pool of emergency trusts as soon as possible (ideally within a day) when a red alert emergency happens and makes a judgement call on orange alerts. Applications for the SCP, by way of a 3-6 page proposal are submitted throughout the year. Major donors and companies are often interested in the human stories, as well as facts and figures.	Because this is usually one of the most flexible forms of income, money should be spent after, or to co-fund, restricted money. Usually bi-annual or annual reporting with financial reports, narrative reports and production of case studies and photos

UN Appeals – Quick reference

OCHA uses the CAPs and Flash Appeals to ask donors for support for particular crises

Appeal	Purpose	Duration	Process	Why participate?	Administration
Consolidated Appeals Process (CAP)	Launched annually in response to complex emergencies More than just an appeal – but can assist in strategic planning	12 months (exceptional 18mths)	• OCHA asks for input into the CAP • OCHA (the HC) will ask cluster leads and the country level • IASC to provide information. • Increasingly NGOs are also being asked to participate in this process (usually through cluster meetings). • OCHA will provide information on what level of detail is required, but usually just a 1 or 2 page summary of our programme in the country/ region over the time of the CAP • OCHA solicits donor support	Increasingly seeing donor interest in funding through such appeals – eg SIDA has approached us directly through seeing our projects in Philippines and Haiti flash appeals. CERF is often used in the initial stages of a Flash to cover immediate needs. CHF funds may also be used to contribute to under-funded areas of the CAP showing that these appeals and the UN funding streams are closely linked. By participating we are helping to ensure that the needs in the country are realistically portrayed to the donors.	Normally involves submitting a one page summary of our programme Donors always come to us directly rather than through OCHA. We then have a responsibility to update OCHA either directly or through the UN Financial Tracking Service (FTS) **http://ocha.unog.ch/fts/pageloader.aspx** All CAPs and Flash Appeals can be found on the Financial Tracking Service (FTS). Useful to monitor donor pledges on the FTS and see where money is allocated (more on the FTS later). We are well aware that there are some problems in adding information to CAPs and Flashes - e.g. with regard to situations where the CAP appeal itself is longer or shorter than the programme we have designed (therefore skewing figures). However we can submit a proportion of any such programme or amend to fit. Essentially this is a tool that can be of benefit to us in securing funding and in overall coordination and is therefore encouraged.
CAPS and Flash Appeals show donors what the needs are and what funding needed to meet needs					

Appeal	Purpose	Duration	Process	Why participate?	Administration
FLASH	Launched by UN in response to sudden onset emergencies	3-6 months (exceptional 12 months – e.g Haiti)	• OCHA contacts key NGOs when new Flash appeal is being developed and helps NGOs connect with cluster coordination on the ground. • UN agencies and NGOs provide overview of programme and funding needs • Usually top-line information only – the sector you plan to work in (e.g. WASH, Food Aid, etc); location, estimated number of beneficiaries, and estimated budget. • OCHA solicits donor support	Increasingly seeing donor interest in funding through such appeals – eg SIDA has approached us directly through seeing our projects in Philippines and Haiti flash appeals. CERF is often used in the initial stages of a Flash to cover immediate needs. CHF funds may also be used to contribute to under-funded areas of the CAP showing that these appeals and the UN funding streams are closely linked. By participating we are helping to ensure that the needs in the country are realistically portrayed to the donors.	Normally involves submitting a one page summary of our programme Donors always come to us directly rather than through OCHA. We then have a responsibility to update OCHA either directly or through the UN Financial Tracking Service (FTS) **http://ocha.unog.ch/fts/pageloader.aspx** All CAPs and Flash Appeals can be found on the Financial Tracking Service (FTS). Useful to monitor donor pledges on the FTS and see where money is allocated (more on the FTS later). We are well aware that there are some problems in adding information to CAPs and Flashes - e.g. with regard to situations where the CAP appeal itself is longer or shorter than the programme we have designed (therefore skewing figures). However we can submit a proportion of any such programme or amend to fit. Essentially this is a tool that can be of benefit to us in securing funding and in overall coordination and is therefore encouraged.
CAPS and Flash Appeals show donors what the needs are and what funding needed to meet needs					