Simplified Standard Operating Procedures (SSOPs) for Corporate Emergency Activation Procedure in Level 3 Emergencies

Objective: The objective of these simplified standard operating procedures is to simplify, streamline and clarify UNICEF procedures related to emergencies to enable a more effective response.

Applicability: These SSOPs apply to all situations in which the UNICEF Executive Director has declared a Level 3 emergency and activated the Corporate Emergency Activation Procedure (CEAP) (EXD/2011-001). The duration of application will be the same as specified in the Global Broadcast (up to 3 months), and the applicability will cease when the CEAP is de-activated by the Executive Director.

The SSOPs are available online. The SSOPs will be re-issued in March 2013. The annexes may be updated in the course of the year. Therefore it is advised to check the UNICEF emergencies portal for latest updates.

*Actions in red indicate deliverables.

Sector: Global Emergency Coordinator (internal and external coordination)
Business owner(s): EMOPS

Prior to activation

Action	Considerations	Responsibility	To consult/ engage	Approval Clearance by

1. **Send memo to ED recommending application of CEAP <u>within 18 hours</u> of receiving the initial report on the extent of the emergency**	▪ Based on assessment of the emergency, using criteria: scale, urgency, complexity, capacity, and reputational risk.	EMOPS Director	CO RD IASC and UN partners DEDs	ED
2. **ED names GEC <u>within 3 hours</u> of receiving a recommendation**		ED		ED
3. **Prepare global broadcast for declaration of CEAP <u>within 3 hours</u> of receiving a recommendation**	▪ Names GEC and confirms period of application for GEC role. ▪ Should clearly say that IRT is deployed on a 'no regrets' basis, but that COs/ROs can expect funding for backfill.	EMOPS Chief HPS	GEC RO CO	ED
4. **Advise ED on composition of IRT [Link HR SSOPs]**	▪ Minimum requirement for IRT deployment is: IRT team leader; supply/logistics; human resources; planning/M&E; communications; operations and relevant programme staff depending on nature of emergency. Rest is flexible and depends on needs. ▪ Final length of IRT members' deployment will be recommended to the ED by the RD and GEC based on assessment of needs for a period of up to 3 months.	GEC	DHR PD CO RO EMOPS SD	ED
Immediately at activation (first 24 hours)				
5. **Consider 'step aside' procedure as required [Link HR SSOPs]**	▪ This is an exceptional measure to be taken by the organisation and uses established criteria. ▪ On basis of RD's recommendation, ED decides whether CO leadership has to change. ▪ If current CO Rep confirmed, RD and CO Rep define working methods between IRT members and current CO team. ▪ If 'step aside' is invoked, IRT leader or RD temporarily leads response at country level until new senior designated official arrives (see annex on 'step aside' procedure).	ED	RD(s) GEC DEDs EMOPS DHR	ED

6. **Establish clear communication lines and information-sharing between HQ, RO, CO**	▪ Mailing lists and focal points established for clear lines of communication between HQ, ROs, and COs. ▪ Clear lines established for i) information-sharing and ii) decision-making at different levels.	EMOPS Chief HFSS as Secretariat to GEC	HQ Divisons RO CO	GEC
7. **Appoint HQ emergency focal point**	▪ Leads coordination with GEC at HQ. ▪ Information focal point.	EMOPS Chief HFSS	EMOPS	GEC
8. **Establish Emergency Management Team (EMT)** **[TOOL]**	▪ According to ToRs at director and working levels. ▪ Establish the key focal points for EMT and back-up staff that will cover the emergency. ▪ Arrange first conference call and set agendas. ▪ Directors, CO and RO designate working level focal points under EMT coordinated by EMOPS. ▪ Set up EMT working level focal points mailing list for coordination of information and technical follow up as relevant.	EMOPS DD, NY, as Secretariat to GEC	CO RDs OED HQ Division Directors	GEC
9. **Initiate IRT deployment on 'no regrets' basis (IRT should be deployed <u>within 48 hours</u> of emergency)** **[Link HR SSOPs]**	▪ Engage, brief and deploy staff. ▪ Review needs based on initial information received and country capacity.	GEC	RD DHR CO Rep	ED
10. **Brief ED on evolving situation**	▪ Identify key areas of concern and recommended actions. ▪ Identify areas in which high level advocacy may be needed and support ED's intervention.	EMOPS Director	EMT CO RO	GEC
First 48 hours (in addition to those listed above)				
11. **Establish HQ level daily working level briefs**	▪ Daily 10 min briefs/info exchange for key staff working on key actions; quick review of evolving situation; actions of the day and update of actions taken; gaps and bottlenecks that need to be addressed.	GEC	HQ Divisions (working level focal points)	None
12. **Establish regular conference calls**	▪ Establish daily conf call.	EMOPS DD, NY	EMT members	GEC

with EMT	▪ Situation update and overview of response strategy, highlighting any programmatic issues requiring support or follow up, key gaps and on-ground capacity for programme delivery, supplies, HR, communications, advocacy, resource mobilisation, inter-agency issues, etc. ▪ Monitor application of L3 SSOPs. ▪ Oversight over deployment of ERT and IRT.			
13. Establish inter-agency communication lines	▪ OCHA, DPP, DPKO, other key agencies and partners.	EMOPS DD, NY		EMOPS Director
14. Issue EPF for fast deployment of IRT within 48 hours [Link RM SSOPs] [TOOL]	▪ Issuance of minimum $1 million EPF as needed (in addition to regular EPF requests). ▪ To be reimbursed by CO when funds become available.	EMOPS Director	PARMO PD RO CO	DED Emergencies
15. Brief ED and OED	▪ Decide what information is needed internally including formats and schedules to help decision-making processes.	EMOPS DD, NY	All divisions/RO/CO OED	GEC
First week (in addition to those listed above)				
16. Determine IRT members' roles, responsibilities and accountabilities [Link HR SSOP and Operations SSOP]	▪ Within one day of IRT deployment. ▪ Reflect in Table of Authority.	RD	IRT team leader GEC CO Rep[1]	RD
17. Continue regular conference calls with EMT	▪ Continued as above. ▪ Include forward planning. ▪ Include policy implications.	EMOPS Chief HFSS as Secretariat to GEC	EMT	GEC
18. Decide on appropriate line of communication for programme and technical support	▪ Given nature of emergency to ensure an integrated programme strategy. ▪ PD DD to channel coordinated strategic support from Programmes, calling as needed	PD Deputy Director GEC	CO RO EMOPS GCCs	GEC

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[1] For the remainder of the SSOPs where the term 'CO Rep' is used, this denotes the current CO Rep or, if 'step aside' has been invoked, the OIC designated by the ED.

	on the PD emergency focal points.			
19. Convene dedicated EMT session on integrated programme strategy	▪ Should be timed between CAP and Response Plan development. ▪ Requires working level coordination in advance. ▪ To be repeated as required.	PD Director (prepare session) GEC (convene session)	EMOPS GCCs	None
20. Ensure inter-agency coordination	▪ Emergency Directors Meeting. ▪ Engage at the IA level ad hoc briefings/meetings (ECHA/IASC/PC etc).	EMOPS DD NY and DD Geneva		GEC
21. Plan emergency site visits	▪ Start considering travel to emergency location for OED/ED and/or GEC and relevant EMOPS staff.	GEC	OED RO EMOPS SD	ED
Following weeks (in addition to those listed above)				
22. Continue regular conference calls with EMT	▪ As above. ▪ Adjust schedules as needed (daily to twice weekly or weekly as needed).	EMOPS Chief HFSS as Secretariat to GEC	EMT	GEC
23. Ensure inter-agency coordination	▪ As above –focus on ECHA/IASC/PC. ▪ Potential joint HQ inter-agency missions. ▪ Focus evolving to post conflict and early recovery.	EMOPS DD NY and DD Geneva		GEC
24. Brief ED and OED	▪ Review at this stage what information is needed internally, and establish briefing schedules to help decision-making processes.	EMOPS Chief HFSS	All divisions/RO/CO	GEC
25. Develop a plan for handover and exit from L3, including follow-up to IRT	▪ Should happen in week 2 or 3. ▪ *Minimum requirements of an exit strategy under development.*	RD IRT team leader		GEC
26. Review period of application of the L3 corporate emergency	▪ Outline handovers and next steps. ▪ Clear communication sent pertaining to the winding down and handover to respective	GEC	OED RO	ED

	divisions and key actions pending.		EMOPS	

Related Procedures, Guidance, Rules, Policies and Regulations
- Response Toolkit
- ExDir 2011-1 on Corporate Emergency Activation Procedure
- Core Commitments for Children in Humanitarian Action (CCCs)
- EMT and working level network ToRs
- Annex on Step Aside Protocol

Risk Management Strategy

Potential GECs to be briefed and familiar with SSOPs and TORs. Recommended simulation exercises to test Activation Procedure.

SSOPs to be reviewed by each division to establish who does what where (and when) within their divisions.

Exit Strategy

The exit strategy from the L3 CEAP must be defined by the GEC and approved by the ED during the weeks following activation. EMOPS is currently developing some basic guidelines on minimum standards for an effective exit strategy which will be in part based on the experience in the Horn of Africa emergency. Contact EMOPS, HPS for more information on planning the exit strategy.

Sector: (Cluster) Coordination Business owner(s): EMOPS

Immediately at activation (first 24 hours)

Action	Considerations	Responsible	To consult/ engage with	Approval/ clearance by
1. **Contact/convene GCCs**	- If CA already activated in country, which clusters do we lead/co-lead? What capacity is already in place? - If not, what does UNICEF recommend for sector leadership role for CO and for CA activation? - Contact global co-lead agencies for education (Save the Children) and GBV (UNFPA) to discuss division of responsibilities.	EMOPS DD, Geneva and GCCs	PD DHR CO Rep	N/A
2. **Initiate immediate deployment of CCs on a 'no regrets' basis (CCs should be deployed within 48 hours of**	- Immediate deployment of CCs (minimum deployment CC for IM, WASH, nutrition, education, child protection, the rest will be context specific). - Deployed CCs are in an advisory role, for limited	DHR Chief, HR in emergencies	EMOPS CO RO	GEC

emergency) **[Link HR SSOP]**	▪ duration, and work with field teams to map needs. ▪ GEC can draft staff for this from either CO staff already involved in cluster coordination, IRT members, Cluster RRTs and/or deploy GCCs. ▪ EPF funding/CRQ provided by CO to be used for travel and DSA.			
First 48 hours (in addition to those listed above)				
3. **Determine CO role in sector/cluster coordination and identify immediate additional surge requirements**	▪ Agreement to activate CA and/or assign sector/cluster lead roles needs to be reached within HCT, and signed off by ERC.	CO Rep	CO Section Chiefs GCCs/EMOPS RD/REA PD	GEC
4. **Initiate deployment of CC surge [Link HR SSOPs]**	▪ Based on recommendations made in previous step as part of overall surge deployment plan. ▪ GCCs to liaise with DHR to recommend/review candidates against OSM list.	DHR Chief, HR in emergencies	CO Rep GCCs EMOPS	GEC
5. **Provide HQ guidance on cluster coordination**	▪ Support CC management function including provision of latest guidance and tools. ▪ Request for CC registration in CAP online system sent to OCHA as soon as individuals identified.	EMOPS, GCCs, inter-cluster advisor and IM expert	EMOPS PARMO	None
6. **Ensure CC function adequately costed and included in resource mobilisation tool [LINK RM SSOP]**		CO Rep	CO Section Chief GCCs/EMOPS PARMO	GEC
7. **Establish data management system [*in coordination with OCHA*]**	▪ Generic google CC/IM email addresses; contact list; information collection forms (needs assessment formats, 4W); web platform.	EMOPS, GCCs, inter-cluster advisor and IM expert	CC GCCs EMOPS OCHA	CO Rep
First week (in addition to those listed above)				
8. **Agree on UNICEF role in sector/cluster coordination**	▪ Ensure appropriate sector coordination mechanisms are established (and level of	CO Rep	CCs CO Section Chiefs	GEC

within HCT	decentralisation defined), and UNICEF leadership accountabilities for the response are clearly defined and agreed by the HCT.		GCCs EMOPS PD	
9. **Provide mentoring/support to CCs**	▪ Provide guidance and advice to country CC. ▪ Ensure all incoming CC/IM staff have received the latest guidance and tools for CC function.	GCCs and Cluster IM	CCs EMOPS	GEC
10. **Agree and sign MoU on co-leadership arrangements and division of responsibilities**	▪ Ensure clear division of accountabilities and tasks are defined and agreed in MoU with any co-lead agencies.	CO Rep	GCCs CCs	GEC
11. **Prepare initial cluster response strategy/plans**	▪ CO/CC to work with partners to draft cluster/sector strategy, initial targets, response plans (to feed into IA Flash Appeal). ▪ Ensure integration of cross-cutting issues and inter-sector/cluster linkages. ▪ HQ/GCCs to provide technical guidance and feedback on proposed cluster strategy and targets.	Country Level CCs	Programme staff SAG/ Cluster partners Inter-cluster coordination forum PD GCCs	GEC
12. **Ensure CC function adequately costed and included in IA appeal [LINK RM SSOP]**	▪ Decision should be made and applied consistently across UNICEF led/co-led clusters/AoR on whether to have CC costs as a separate project sheet or as a budget line in the sector sheet.	CO Rep	CCs CO Section Chiefs PARMO EMOPS	GEC
13. **Complete Cluster/Sector Coordination Milestone Monitoring Tool for CC function [LINK Planning SSOP] [TOOL]**	▪ Tool provides CO senior management and HQ with an oversight on any remaining gaps in fulfilling CC function obligations.	CO M&E team	CCs CO Rep CO Section Chiefs EMOPS	CO Rep
Following weeks (in addition to those listed above)				
14. **Continue to advocate on behalf of sector level needs at country and global levels**	▪ CCs to flag major funding shortages and capacity gaps with CO Rep and HQ/GCCs.	CO Rep	CCs, CO Section Chiefs, CO M&E GCCs PARMO EMOPS	GEC
15. **Review CO capacity for CC function on a regular basis**	▪ To identify any unfilled surge requirements and to see if structure created needs to be adjusted as	CO Rep	CCs DHR	GEC

(using Cluster / Sector Coordination Milestone Monitoring Tool for CC function) [TOOL]	response evolves.		GCCs/EMOPS CO M/E	

Related Procedures, Guidance, Rules, Policies and Regulations
- Cluster coordination checklist
- Cluster Coordination 2 page fact sheet (under development)
- Humanitarian toolkit: Cluster / Sector Coordination Milestone Monitoring Tool
- Internal guidance for COs on the cluster approach is in the process of being developed as well as a number of guidance notes by the IASC on cluster coordination.

These SSOPs aim to formalise processes that have previously been applied in an ad-hoc manner. By having established steps and accountabilities for decision-making, UNICEF will be able to ensure adequate coordination capacity in country in the event of a Level 3 emergency.

Risk Management Strategy
The critical step recommended in these SSOPs is the immediate deployment of CC and IM capacity to support all sectors/clusters where we have global leadership accountabilities. With a Level 3 emergency, no matter what coordination structures are already in place, additional capacity will be needed. If it is later decided that UNICEF will not lead in a particular area, the surged capacity can be withdrawn. While this approach implies a cost in terms of deployment, this is preferable to previous approaches of waiting for country level decisions to be made on leadership and capacity gaps.
Linked to this is a more top-down approach to decide on the structure and capacity needed to support coordination arrangements. There has been a consistent tendency for this to be underestimated, with additional capacity only being requested once existing staff have been overwhelmed. For a Level 3 emergency, this approach is not adequate.
Given UNICEF's global accountabilities under the IASC, the recommendation on cluster coordination surge and structure should be signed off by the EMOPS D1 Deputy Director (EMOPS Geneva) and the GEC.

Exit Strategy
The SSOPs cover the critical steps of: deciding on sector/cluster leadership role, determining most appropriate structure for coordination, and ensuring that adequate support is provided to the CO to develop its strategy for managing and exiting out of the clusters. Once these have been agreed, the follow-up actions are essentially the routine functions of GC/HQ support to COs.

Sector: Humanitarian Planning, Performance Monitoring and Evaluation **Business owner(s): DPP, PD and EMOPS**				
Immediately at activation (first 24 hours)				
Action	*Considerations*	*Responsibility*	*To consult /engage*	*Approval / clearance by*

1. **Initiate initial scoping of potential impact**	▪ Initial working assumptions on potentially affected populations based on extrapolation from pre-crisis data and type of crisis; ideally done in-country, but can be done remotely by RO or HQ if CO level operations hampered. ▪ As this is refined, to be coordinated at HCT level and globally with OCHA leading into Flash Appeal. ▪ The initial scoping (in particular first calculations on affected population) will inform the scope of the response to be included in the Immediate Needs Document/Flash Appeal, as well as the initial supply plan.	CO Rep	RO EMOPS PD	GEC
2. **Decide on UNICEF lead for Inter-Agency Flash Appeal** **[Link RM SSOPs]**	▪ In some cases undertaken by EMOPS if CO requests.	GEC	CO RO EMOPS	GEC
3. **Produce and disseminate first Situation Reports (SitRep)** **[TOOL]**	▪ Use SitRep Guidance and Template, weekly format (initially may not include programme results tables). ▪ Submitted by CO to GEC. ▪ CO SitReps to be used as basis for other info products to avoid repeated requests to CO for information.	CO Rep EMOPS Chief HFSS to provide quality assurance	GEC RO EMOPS	GEC
4. **Initiate documentation of timeline of key decisions/actions from day 1** **[TOOL]**	▪ This is a key input to future reviews, lessons learned exercises and evaluation (see model ToRs). ▪ Expansion of this work to decentralised levels may be considered in Integrated M&E Plan.	EMOPS Chief HPS		None
First 48 hours (in addition to those listed above)				
5. **Decide on UNICEF role in Rapid Assessment**	▪ As per CCCs, Rapid Assessment should be conducted 'in a timely manner,' wherever possible as a joint inter-agency activity. ▪ Consider: (i) preparedness for, and OCHA capacity, to lead initial Needs Assessment, (ii) role/capacity of Cluster Coordination teams, (ii) need for specific IA surge through IASC mechanisms and/or UNICEF staff, (iv) need/capacity for follow-up of sector specific assessment (e.g. Child Protection), (v)	CO Rep	EMOPS PD PARMO	GEC

	potential linkage to later multi-sector surveys or rolling needs assessment, (vi) resource implications (technical, financial and coordination).			
6. **Develop and issue Immediate Needs Document (if applicable)** [Link RM SSOPs] [TOOL]	▪ Decision to release an IND will depend on the timing of the FA and other considerations. ▪ IND is released if there is 'sufficient time' before a FA. If the FA is delayed, an IND would normally be released. ▪ Intended both for fundraising/advocacy and to establish the ORE 'ceiling' to receive funds. ▪ Requires initial review of situation against programme CCCs to map out broad outline of priority response actions. ▪ Ensure cluster coordination costs factored into INDs. ▪ Establish who will draft the IND (CO, RO or EMOPS–IAHP/GVA).	CO Rep	RO PD EMOPS PARMO PFP DOC SD	GEC
7. **Identify capacity gaps for programme delivery** [Link HR and Cluster Coordination SSOPs]	▪ Identify technical capacity gaps to feed into OSM, including programme, PME and operations. ▪ Ideally building on rapid assessment (an inter-agency process outside the control of UNICEF).	CO Rep IRT Team Leader	PD RO DHR SD	GEC
First week (in addition to those listed above)				
8. **Develop and issue Flash Appeal** [Link RM SSOPs]	▪ Scoping of overall UNICEF response programme strategy and scale of contribution to overall response to be discussed as part of FA development process. ▪ See key issues and processes in CAP: UNICEF Checklist 2011 for COs, ROs, HQ (Working Document). ▪ Ensure cluster coordination costs are factored into appeals as well as cross-cutting needs assessment, monitoring and evaluation. ▪ Appeal targets to be monitored and revised as necessary. See Target Population Calculator in Response Plan Guidance and Template. ▪ Important for UNICEF to lobby for indicators to be focused on limited set of high frequency monitoring	CO Head of Programmes	CO RO EMOPS PARMO PFP PD	RD (if CO drafts); GEC

	indicators. See Humanitarian Performance Monitoring: Indicator Guide.			
9. Decide on how/ which components (if any) of previously ongoing Country Programme are deemed critical and can/should be continued during response	▪ All other activities to be renegotiated with national partners and donors accordingly to allow re-allocation of resources.	CO Rep	EMT	DRD
10. Decide on how CP results framework will be re-aligned to accommodate the response	▪ Revise programme results structure by creating new PCR/IR(s) in line with the emergency response. ▪ Required to allow immediate transfer of resources to CO. ▪ Decision must balance ease of tracking and reporting on financial implementation against the Appeal, simplicity for programmatic implementation and coherence in terms of evolution of the CP.	CO Rep	EMT	DRD
11. Decide on Response Plan timeframe	▪ To be linked to planned timeframe for Revised Appeal; requires prompt IA agreement.	CO Rep	RO PD EMOPS PARMO	GEC
Following weeks (in addition to those listed above)				
12. Establish channels through EMT and supporting HQ working level focal points for communicating lessons from major and mega-emergencies	▪ Lessons are targeted primarily to EMT and supporting HQ working level focal points so that they many bring lessons forward in engagement with RO and CO. ▪ EMOPS knowledge management focal point consults with working level focal points under EMT to identify key meetings/processes and issues where lessons from past emergencies can usefully inform decisions and processes.	EMOPS chief HPS	CO RO PD EO SD	GEC
13. Agree on main elements of strategy for the Response Plan <u>within week 2</u>	▪ Response Plan to build on, and replace, all previous programmatic and operational plans developed as part of emergency phase. ▪ Response Plan sets out key results indicators to be monitored on a high frequency basis and other key	CO Rep	RO EMT	GEC

	results indicators. Consistency with Flash Appeal important. ▪ To be discussed and agreed in a dedicated EMT session, with review from PD. ▪ Timeline for completion of the Response Plan (2 weeks max) set by GEC (to align with in-country planning processes).			
14. Agree on approach to Humanitarian Performance Monitoring including timing of transition to results (output) reporting in SitRep [TOOL]	▪ Initial agreement on priority elements based on review of existing systems and capacities (UNICEF, UN, national) for performance monitoring (high frequency partner reporting, field monitoring, cluster level monitoring). See Humanitarian Performance Monitoring Toolkit: Overview Tools. ▪ CO to propose date by which partner reporting and cluster performance monitoring systems can begin to shift from programme reporting based on inputs to programme results tables and frequency with which these can be updated.	CO Rep	EMOPS PD PARMO RO	GEC
15. Develop Response Plan [TOOL]	▪ Response Plan remains a working document, revised as strategy and targets are clarified and context shifts. ▪ See Response Plan Guidance and Templates.	CO Head of Programmes	RO EMT	GEC
16. Agree on Integrated M&E Plan (including reporting) with lead roles defined [TOOL]	▪ Involve government counterparts to the extent possible. ▪ See Simplified Humanitarian IMEP Guidance and Templates. ▪ Advocate as possible for an IA approach on resource intensive and cross-cluster elements – e.g. needs assessment and follow-up surveys.	CO M&E and Head of Programmes	RO EMT	GEC
17. Put in place PCA for field monitoring	▪ Where possible, UNICEF should work through Government entities as a way to further strengthen their capacity to monitor and promote ownership of the humanitarian response.	CO Rep		CO Rep

18. Agree on Audit Plan		OIA Chief	EO RO GEC	DED Management
19. Follow-up/monitor implementation	▪ Conduct regular meetings and field visits as necessary to review progress and identify any adjustments which may be required.	CO Rep	DPP GEC	CO Rep
20. Provide ongoing technical advice on humanitarian response	▪ Communication line for technical discussions established by technical focal points in ROs and COs. Coordinated via EMT. ▪ Requests for technical support/guidance shared simultaneously with Regional and HQ technical advisors; Inputs consolidated at regional/HQ level as agreed and fed back to CO.	PD DD Regional Advisors	EMOPS GEC SD	None

Related Procedures, Guidance, Rules, Policies and Regulations
- Situation Report (SitRep) Guidance and Templates
- Model Terms of Reference: Level 3 and major Level 2 Emergencies -- Timeline Exercise
- Inter-Agency Standing Committee Need Assessment Guidance and Tools.
- Consolidated Appeal Process (CAP): UNICEF Checklist 2011 for Country Offices, Regional Offices and Headquarters (Working Document)
- Response Plan Guidance and Template including Target Population Calculator
- Humanitarian Performance Monitoring Toolkit: Indicator Guide

Risk Management Strategy

Risk of reputation and perceptions around accountability need to be managed through transparency around the IMEP. Clearance by OED on overall plan allows evaluation components to be independent of GEC and operations, but also coordinated in timing and focus.

Higher level of risks around partnerships must be accepted; this is managed through (i) A clear articulation of how partnerships need to be scaled up while keeping these manageable and (ii) Clearly adjusted procedures for approval of PCAs, globally with known international partners and locally with national partners.

There is a need to ensure that UNICEF's programme strategy is: in line with inter-agency strategies; identifies and builds on opportunities for integrated programme delivery to maximize impact of our interventions; and builds in early recovery and risk reduction to ensure linkages to ongoing development programmes.

Exit Strategy

IMEP updated and leadership transferred fully to CO.

Decision to be taken in consultation with CO, RO (lead), GEC, HQ Divisions on resumption of a 'regular country programme cycle'.

Sector: Human Resources Business owner(s): DHR				
Immediately at activation (first 24 hours)				
Action	*Considerations*	*Responsibility*	*To consult /engage*	*Approval / clearance by*
1. **Provide support to Staff Wellbeing, Safety and Security**	▪ See HR checklist.	DHR Chief HR in Emergencies CO Rep	DHR CO RO EMOPS SMT DFAM	DHR Director
2. **Support deployment of IRT on 'no regrets' basis (IRT should be deployed within 48 hours of emergency)**	▪ Minimum requirement for IRT deployment is: IRT team leader; supply/logistics; human resources; planning/M&E; operations; communications and relevant programme staff depending on nature of emergency. Rest is flexible and depends on needs. ▪ See HR checklist.	GEC	DHR EMOPS CO DFAM SD	GEC
3. **Review CO staff mobilization Plan**	▪ Review staffing level to deploy CO staff in affected areas and conduct a preliminary assessment of staff/consultants /availability of housing facilities.	CO Rep & Chief HR	RO DHR SD	GEC
4. **Create OSM**	▪ List preliminary surge needs and circulate the OSM to all concerned (RO, CO, relevant HQ divisions & EMOPS).	DHR Chief HR in Emergencies	CO EMOPS RO SD	None
5. **Review Regional Rapid Response Roster**	▪ Identify staff within the region to be deployed immediately.	Regional HR Specialist	CO DHR	RD
6. **Consider 'step aside' procedure as required [Link GEC SSOP]**	▪ See Annex on 'step aside' procedure.	ED	RD(s) GEC DEDs EMOPS DHR	ED
First 48 hours (in addition to those listed above)				

7. Coordinate with standby partners Geneva and CO to identify and facilitate timely SURGE deployments	▪ Identify SURGE needs for initial three months. ▪ Travel visa for surge staff must be prioritised. ▪ CO must send regular updates on procedures for visa to HQ travel unit, EMOPS, EMT.	DHR Chief HR in Emergencies EMOPS Chief IAHP CO Chief HR	EMOPS GEC CO RO ITSS SD	DHR Director
8. Obtain technical clearance for SURGE deployments	▪ Technical clearance will have been arranged in advance at headquarters or by regional advisers to facilitate quick deployment. ▪ CO approves SURGE deployments within 24 hours.	DHR Chief HR in Emergencies	EMOPS SBP PD and relevant Divisions	Emergency focal points in PD and other divisions
9. Issue CRQ for SURGE deployments (travel, DSA costs, and backfills to releasing offices)	▪ Issue CRQ to facilitate quick deployments of SURGE staff. ▪ Preposition external personnel for SURGE assignments. ▪ Provide CRQ for $200,000 to facilitate deployments of international staff and pay for additional HR capacity within DHR to provide support.	CO Ops Officer	CO DHR	CO Rep
10. Fast track recruitment of TA and SSA	▪ See Human Resources checklist.	DHR Chief HR in Emergencies	CO	DHR Director
First week (in addition to those listed above)				
11. Assist the design of cluster support within the existing CO structure **[LINK Cluster Coord SSOPs]**	▪ Consult with EMOPS cluster leadership on the design of the cluster support system.	CO Chief HR	PD EMOPS CO	GEC
12. Review CO staffing structure	▪ Assess the existing staff strengths of the CO and identify gaps.	CO Chief HR	CO RO DHR SD	CO Rep
13. Review SURGE needs for the first three months	▪ This will include receiving inputs from DOC, Supply, Finance, IT and all other divisions into the SURGE plan.	CO Rep	CO EMT DHR SBP RO	GEC

				PD EMOPS ITSS SD	
14. Provide CO SURGE assignment clearance form	▪ SURGE assignments clearance form should be signed before departure to ensure PERs and end of mission handover notes are prepared and submitted to the HR team in the CO. ▪ CO arranges travel and payments of DSA for SBP.	DHR Chief HR in Emergencies SBP Geneva and CO Chief HR	CO Programme and Operation Chiefs	None	
15. Establish reporting structure for SURGE staff within existing organigram		CO Chief HR	DHR	CO Rep	
16. Establish focal point at CO for security & programme briefings for SURGE staff /SBP deployments	▪ DHR gives the web link to the deployment kit to SURGE staff to prepare them prior to departure. ▪ CO HR team to designate focal points for CO/programme specific briefings.	DHR Chief HR in Emergencies CO Chief HR	CO Programme and Operation Chiefs	CO Rep	
Following weeks (in addition to those listed above)					
17. Monitor SURGE plan and adjust as needed		CO Chief HR	CO RO DHR SD	CO Rep	
18. Develop HR strategy	▪ To implement the emergency response and recovery programmes including approach to scaling down.	CO Rep	CO HR Team DHR	CO Rep	
19. Identify FT and TA recruitment needs		CO Chief HR	CO Head of Programmes	CO Rep	
20. Manage FT and TA recruitment	▪ See HR checklist.	DHR Chief HR in Emergencies CO Chief HR	CO HR Team CO Head of Programmes DFAM	DHR Director CO Rep	
Related Procedures, Guidance, Rules, Policies and Regulations: ▪ [Executive Directive CF/EXD/2010-005](#) dated 31 December 2010 will be applied to accelerate recruitment of TA or FT. The regular staff selection policy will be suspended and all recruitment will be fast tracked to speed up recruitment of medium-term human resources needs of the CO. ▪ [Sick leave entitlements policy](#)					

▪ [Checklist for Human Resources](#)	
▪ [Annex on Step Aside Protocol](#)	

Risk Management Strategy
The management of the SURGE deployments is critical during the initial phase of the emergency response to ensure that the organisation has adequate human resources capacity to scale up quickly. The transition between the SURGE period and longer term implementation of programmes is critical and needs to be planned in parallel. If this is not well managed, it can have negative consequences on programme delivery and UNICEF reputation. The SURGE Plan includes both short and medium -term human resources support to accelerate recruitment for FT & TA. The deployment of a dedicated IRT HR member will mitigate this risk.

Exit Strategy
The exit strategy needs to be built in to the scale-up framework of the programme to ensure that the CO structure will not be highly inflated, as this is not sustainable in the long-run for the organisation. Given the high costs involved in downsizing of an office, developing a more realistic projection of the programme needs will be critical. There is a need to carefully review the best modalities for contractual status during the scale up to ensure the exit strategy is incorporated in the design of the new office structure.

Sector: Supply & Logistics
Business owner(s): SD

Objective: Support the CO and UNICEF's emergency response with: i) rapid deployment of Supply and/or Logistics staff (including as a part of the IRT), and ii) implementation of a Supply Strategy that supports the Response Plan. The main components of the Supply Strategy include:
- Supply plan
- Sourcing plan
- Logistics and distribution plan
- Roles of each office (CO/RO/HQ) and partners (e.g. WFP/UNHCR/WHO/etc) contributing to the Supply Plan
- Supply and logistics staffing needs to support the implementation of the response and planned deployments

Immediately at activation (first 24 hours)

Action	Considerations	Responsibility	To consult /engage	Approval / clearance by
1. **Assess the initial situation**	▪ Contact Supply Logistics staff in the affected CO and respective RO. ▪ Contact EMOPS for information. ▪ Contact UN agencies to exchange updates on supply issues. ▪ Contact Global Logistics Cluster Cell.	SD Emergency Coordinator	CO SL Manager RO EMOPS	SD Director
2. **Review SD internal decision-**	▪ The coordination of L3 emergency will be led by the Sr.	SD DO	N/A	N/A

	making	• Emergency Coordinator who will for such purposes report to the Director. • Send email to AGM communicating such review.			
3.	**Estimate first wave supply requirements**	• Provide the CO with a draft list of supplies that might be required based on the estimated affected population.	CO Supply Officer	CO Programme staff SD Emg. Coord.	CO Rep
4.	**Deploy SD support mission**	• SD assesses with the CO the need for a support mission to ensure adequate S&L strategy that takes into account lessons learned, current supplies, workflows and tools.	SD DO	CO RO EMOPS GEC	Sr Emergency Coordinator
5.	**Review status of emergency essential supplies, and define alternatives as needed**	• If required SD to trigger a fast tracked replenishment for the different SD controlled hubs.	SD DO	None	Sr Emergency Coordinator
6.	**Establish the Emergency room**	• During first weeks of emergency response all SD emergency focal points sit in the same room to ensure an adequate procurement and logistics response. • Invite contracted Freight Forwarders to sit in the emergency room.	Sr Emergency Coordinator	None	None
7.	**Identify suitable Supply Logistics staff to be deployed as part of HR SURGE deployment** **[Link HR SSOPs]**	• SD Emergency Coordinator to liaise with CO SL Manager and identify the needs. • The first wave of deployment would normally include a Supply Planning Manager, a Logistics Coordinator and a Warehouse Specialist, but this may vary based on office needs. • The first wave should be deployed within 48 hours for an initial 3 to 4 weeks. • Arrange for visa and initial flight bookings for staff potentially to be deployed.	SD Emg. Coord. CO SL Manager	CO DHR EMOPS RO	GEC
8.	**Develop first draft of Supply Strategy as an element of Response Plan**	• Update the AGM and emergency focal point. • Share with EMOPS/RO/CO.	SD Sr. Emergency Coordinator	CO RO	GEC
First 48 hours (in addition to those listed above)					

9. **Finalise v.1 of Supply Strategy including the supply plan**	▪ Ensure Supply Plan reflects programme priorities and share/agree with SD Emergency Coordinator.	CO SL Manager	FWD EMOPS PD RO	GEC
10. **Prepare for first wave of supplies**	▪ Identify optimal shipping locations. ▪ Alert suppliers of emergency materials. ▪ Ensure supply activities (e.g. quantities, items, etc.) and plans are documented for use by communication teams and resource mobilisation.	SD	CO	SD Snr. Emg. Coord
11. **Ship the first deliveries upon reception of Supply Order**		SD Shipping/TLC	FWD	SD Director
12. **Ensure CO/RO/EMOPS is consulted if military asset support is offered**	▪ For consistency of policy.	SD DO	CO RO EMOPS	GEC
13. **Support local procurement (according to the configuration of the CO)**	▪ Share emergency procurement practises. ▪ Deploy (or plan deployment of) SD Quality Assurance staff to develop local procurement arrangements. ▪ Share existing essential supplies standard through neighbouring procurement arrangements.	SD Emg. Coord	CO SL Mg RO	SD Director
14. **CO to initiate Supplier surveys**	▪ According to the supply requirements of CO to evaluate local market and initiate ITBs in line with their existing Local LTAs.	CO SL Manager	SD contracting and quality control sections	None
15. **Establish daily emergency meeting with SD emergency focal points**	▪ Every morning all SD emergency focal points, communication, shipping and the warehouse manager will convene to analyse the response strategy. ▪ Immediately establish communication within SD on the situation and requirements.	SD ECU	None	None
16. **Identify the staff to be deployed in first wave of SURGE as part of HR SURGE deployment [Link HR SSOPs]**	▪ First wave of staff deployed by HR. ▪ SD to propose names and carry out technical clearance. ▪ Identify additional resources to secure the second wave of deployments.	SD Emg Coord	RO CO SL Manager DHR	GEC
17. **Keep UN and cluster partners informed about UNICEF Supply and**	▪ Contact relevant UN agency and partner to ensure coordinated approach. ▪ Initiate weekly call with heads of logistics of WFP, WHO	SD Emg Coord	EMOPS	None

Logistics response	• and UNHCR. • Needs to be coordinated with EMOPS.			
First week (in addition to those listed above)				
18. **Update the Supply Strategy as part of Response Plan**	• Ensure the Supply Plan is updated by the CO and that re-orders are in place.	CO SL Manager	SD PD RO EMOPS	GEC
19. **Monitor the delivery of the supplies**	• Keep Supply/shipping table updated. • Share the information with CO, RO, EMOPS and DOC.	SD Emg Coord	CO SL Manager	None
20. **Ensure that the CO has adequate understanding of IKA procedures**	• Support proper management of IKA.	CO SL Manager	SD PARMO PFP EMOPS	SD PARMO PFP
21. **Ensure adequate communication to obtain IKA**	• Liaise with PFP, PARMO and DOC to ensure adequate dissemination of needs for IKA of goods and services.	SD KMU	SD CO PARMO PFP DOC	CO RO SD Snr. Emg Coord
22. **Ensure that the supply chain is effective**	• Review CO Supply and Logistics strategy document. • Make sure that all internal and external reporting mechanisms are in place.	CO SL Manager	SD Emg Coord RO	GEC
23. **Support local or regional procurement**	• Share existing essential supplies standard through neighbouring procurement arrangements.	CO SL Manager SD Emg Coord	RO	SD Director
24. **Identify additional staff for SURGE as needed**	• Identify, clear and deploy logistics staff to UNICEF-managed clusters and/or CO if required. • Deployments to be coordinated via HR.	SD Emg Coord	CO SL Manager RO EMOPS DHR	GEC
25. **Continue updates on Supply and Logistics activities in SitReps and updates to OED**	• Ensure internal information sharing (AGM, Emergency updates on the board, etc). • Review SD internal strategy. • External updates on supply movement and pipeline to EMOPS/RO/CO/DOC.	CO SL Manager	None	None
Following weeks (in addition to those listed above)				

26. **Continuous updates of the Supply Strategy as part of Response Plan**	▪ Ensure the Supply Plan is updated by CO and that re-orders and second wave orders are in place early enough to allow for most economical means of transportation.	CO SL Manager	SD Emg Coord RO PD EMOPS	CO Rep
27. **Continue to monitor the delivery of the supplies**	▪ Keep supply/shipping table updated. ▪ Share the information with CO, RO, EMOPS and DOC.	SD ECU	CO	None
28. **Ensure the second wave deployments are ready**	▪ Ensure all future staff are recruited or available.	SD ECU/HR	CO RO DHR EMOPS	DHR Chief HR in Emergencies
29. **Continue updates on Supply and Logistics activities in SitReps and updates to OED**	▪ SL Manger to share all relevant updates with CO SitRep focal point. ▪ Ensure internal information sharing (AGM, Emergency updates on the board). ▪ External updates on supply movement and pipeline to EMOPS/RO/CO/DOC.	CO SL Manager SD Emg Coord	None	None

Procedures, Guidance, Rules, Policies and Regulations
- Checklist for supply
- Emergency calculator and Hubs inventory levels
- DFAM Emergency guideline (Financial rule 112.29)
- Supply Manual, Chapter 10 (Emergency Section), and UNICEF on-line supply catalogue and on-line track & trace of supplies
- Quick Reference Guide for procuring supplies via partners (PCAs) (forthcoming)

Risk Management Strategy
As procedures are being simplified for Level 3 emergencies, this section will present a brief rationale of the risk assessment for applying such simplified procedures and will propose a mitigation strategy for the resulting risks to the organization.

Exit Strategy
This section will present a brief explanation of how the transition back to "regular" procedures in this specific sector should be managed.

Sector: Operations
Business owner(s): DFAM

Immediately at activation (first 24 hours)

Action	Considerations	Responsibility	To consult /engage	Approval / clearance by?
1. **Review need for temporary or additional office space and guesthouse**	▪ If a temporary office is required, for officially declared UNICEF assisted emergencies, a CO can sign an office lease agreement, without prior approval of DFAM. ▪ Guest houses are required for staff on assignment, visitors and staff on official duty travel when suitable accommodation is not available or staff need to be grouped together within compounds for security purposes. ▪ Guest houses should meet the minimum standards of accommodation. ▪ In all situations the daily rate for guesthouse accommodation must cover all operating costs.	CO Rep	DFAM (Deputy Director Admin) GEC DHR	CO Rep
2. **Assess the finance and administration capacity of office staff**	▪ Asses the number and experience of current staff to handle the anticipated larger workload. ▪ If necessary approach the RO as early as possible to request the temporary deployment of experienced UNICEF staff at the appropriate level.	CO Rep	DFAM DHR GEC	CO Rep
3. **Authorize and assign UNICEF vehicles for non-official use by staff members**	▪ Staff members must reimburse UNICEF for using a vehicle for personal reasons based on the standard UN km/mileage allowance rates established for the duty station. ▪ RO can authorize loan of vehicles to the emergency location. ▪ Offices should have in place standby agreement with local suppliers for renting of equipment & vehicles as part of emergency preparedness.	CO Rep	DFAM (Deputy Director Admin) Regional Operations Officer	CO Rep
4. **Assess the operation of local banks**	▪ Where banking facilities are not available or unreliable determine whether the office should set up a petty cash account (up to $1,000), or a cash on hand account (more than $1,000). ▪ Third party cash providers (including other UN Agencies and well-established organisations) may be	CO Rep		DFAM DD of Finance

	used to make payments or to replenish cash accounts with approval from DFAM.			
5. **Review direct or remote access to UNICEF financial management and accounting system**	▪ If the system cannot be accessed directly or remotely for financial management and accounting purposes, the Office should revert to manual accounting system to prevent delay. ▪ The financial management and accounting function and budget allotment can be delegated to another office, e.g. issuance of requisitions/commitments, etc. ▪ Ensure there is provision for VISION licences to be available for IRTs as they deploy to CO.	CO Rep DFAM DD of Finance	RO ITSS	CO Rep
First 48 hours (in addition to those listed above)				
6. **Review/ adjust Table of Authority (TOA)**	▪ The number of staff members available will determine the extent of controls implemented (e.g. if < 4 staff, 2 staff required for any transaction). ▪ If there is only one staff member, DFAM Comptroller's Office should be notified. ▪ The Head of Office may delegate the authority to another office to manage specific components or the full budget allocated to the office. ▪ In instances where there are less than three staff members with delegated financial authority, a single signatory bank account can be used with DFAM approval. ▪ Where required, consider providing financial authority to IRT members.	CO Rep	DFAM	CO Rep DFAM
7. **Assess the need to change the organisational structure**	▪ The RD at the request of the CO Rep has the authority to endorse changes in the Posts and Organizational Structure (e.g. zone offices & sub-offices).	CO Rep	RO DFAM GEC	CO Rep
8. **Review/establish process for handling cash**	▪ A service provider can be hired for transportation, handling and disbursement of cash. ▪ Staff security must never be compromised or put at risk whilst handling cash.	CO Rep	DFAM	DFAM DD of Finance

9. **Convene CRC according to simplified procedures**	▪ In emergency situations, a CO Representative can change the way the CRC works to help expedite the review process including: ▪ Location: A sub-CRC can be convened at a zone office ▪ Composition: The Composition of CRC can be changed by the CO Representative to include as members/alternates any appropriately experienced staff member that would have joined the country office following the emergency ▪ Quorum of CRC: Must have three voting members even in emergency; but members can be 'polled' to approve contracts. The emergency submission must be submitted to the next meeting to be recorded. ▪ Frequency of meeting: As frequently as needed in an emergency. ▪ Changes in CRC composition should be recorded/ reported.	CO Rep	CRC	CO Rep
Following weeks (in addition to those listed above)				
10. **Process IKAs** **[LINK RM SSOPs]**		PARMO DD	SD DFAM GEC	DED Emergencies
11. **Conduct spot checks on financial, accounting and inventory records**	▪ Re-assess financial risk and recommend corrective actions where applicable.	CO Rep	DFAM	CO Rep
Related Procedures, Guidance, Rules, Policies and Regulations These procedures are specifically for level 3 emergencies and do not replace any other guidance. These procedures are a simplification of the existing Financial and Administrative Management Guide to allow an effective response in level 3 emergencies. References: DFAM Simplified Standard Operating Procedures (SSOPs) in Level 3 Emergencies				
Risk Management Strategy To balance UNICEF's objectives of rapid delivery and sound financial accountability, these Level 3 emergency procedures provide for options that: a) Reduce the number of preventative controls, which speeds up the operational response but also increases risk.				

b) Increase detective controls to mitigate the increased risk, which can be implemented once the immediate programmatic response is underway.
Exit Strategy
At the end of the Emergency level 3 status, normal internal controls as documented in UNICEF Financial and Administrative Policies to be reintroduced.

Sector: Partnerships with NGOs (including signing PCAs) **Business owner(s): DPP**				
Immediately at activation (first 24 hours)				
Action	*Considerations*	*Responsibility*	*To consult /engage*	*Approval / clearance by?*
1. **Identify available NGOs**	▪ Review available NGO roster and update as required. ▪ Review and activate any country level pre-certified PCAs. ▪ Document choice of NGO. ▪ Prioritize national and international NGOs registered in country. ▪ If using partners already assessed by a UN partner (UNDP, UNFPA, WFP) as part of HACT micro assessment, UNICEF can use the results of this assessment and the assurance plan in place to manage risks. ▪ If a micro-assessment has to be delayed following an emergency, UNICEF can still transfer cash to an implementing partner, but has to assume 'high risk' followed by more frequent assurance activities.	CO Rep	DPP PD	CO Rep
First 48 hours (in addition to those listed above)				
2. **Review/update ongoing PCAs as required**		CO Rep	CO Sections GEC	CO Rep
3. **Adopt simplified management of PCA reviews and approvals within the CO**	▪ CO has the authority, with CO Rep's sign off, to use simpler PCA format based on an assessment of the risks associated with the partnership.	CO Rep	CO Sections	CO Rep

- Existing partnerships regulated by a PCA can be amended to cover emergency activities within the same sector (PCAs can also be amended to cover other sectors, but this requires technical review of partner capacity).
- New partnerships with existing partners, where their existing performance is satisfactory, can be documented using the 'short-form'.
- New partnerships can be developed using the 'short form' PCA for 'low risk' partners.
- Consider developing short timeframe PCAs (e.g. 1-2 months) for partners (which can be amended as needed).
- PCAs can be signed with international NGO partners with whom UNICEF has global experience without first doing an assessment, and as a way of managing potential risk.
- All decisions must be documented for the sake of transparency and accountability.

OPTIONS: (i) Add to the 'Monitoring Agreement': (a) that partners report against the OCHA 3W template; and (b) that partner reports are copied directly to relevant Cluster/Sector Coordinators according to the framework and mechanisms agreed at Cluster/Sector level. (ii) CO can decide to adopt a flat, uniform, percentage at any level up to 25% of direct implementation costs instead of parsing through each relationship to determine individualized percentages. (iii) Assessment of CSO capacity and integrity could be shortened on a case-by-case basis where UNICEF already works with the partner in question. (iv) Develop SSFAs for quick impact type interventions with CBOs (only one per CSO/CBO per year up to a limit of 20,000 USD cash/value of supplies per CSO per year), then, link the CBOs with more established CSOs for longer-term interventions which include strengthening the capacity of the CBOs. (v) The budget should adopt standardized and costed interventions: Example provide 200 malnourished children with nutritional support (e.g. F100) in 5 locations = $50,000 per site per month.

	(vi) Zone Offices are authorised to develop and review PCAs with CO Rep approval (can be done electronically).			
First week (in addition to those listed above)				
4. Authorise selected NGOs to reprogramme unused cash balances and supplies	▪ In line with the revised work plan and budget. ▪ UNICEF can commit to refinance original agreed activity after the emergency where applicable.	CO Rep	PARMO PFP	CO Rep
5. Disburse funds and/or provide supplies to selected NGOs	▪ <u>The Head of Office is authorized to disburse funds to implementing partners with Direct Cash Transfers (DCT) outstanding for periods over 6 months but not exceeding 9 months</u>. In exceptional situations, authorization can be provided by the Regional Director for disbursements to partners with reports outstanding for periods over 9 months. ▪ Where required, <u>the Head of Office is authorized to release cash transfers to implementing partners for periods up to six months providing strengthened monitoring and assurance activity and assuming high risk ranking.</u> ▪ Where required and applicable, <u>funds can be disbursed to an NGO's offshore account primarily when the NGO does not have a local bank account or local banking facilities are not operational</u> (payment to be processed through the Inter Office payment facility).	CO Rep	CO RO	GEC
Following weeks (in addition to those listed above)				
6. Follow-up/monitor implementation	▪ Conduct regular meetings and field visits to review programmatic progress and identify any adjustments which may be required.	CO Rep	DPP GEC	CO Rep
7. Conduct spot checks on financial and inventory records	▪ Re-assess the NGO capacity and associated financial risk, if any, and recommend corrective actions, where applicable.	CO Rep	DFAM DPP	CO Rep
Related Procedures, Guidance, Rules, Policies and Regulations ▪ [CF/EXD/2009-011](#), dated 15 December 2008 - Programme Cooperation Agreements (PCAs) and Small Scale Funding Agreements (SSFAs) with civil society organizations (CSOs), and associated Guidelines for Country Offices ▪ [DFAM's SSOP and Pocket Guide on Financial & Administrative Management in Emergencies](#)				

| | UNICEF Financial and Administrative Policy 5 – Supplement 1 (forthcoming) |
| | UNICEF Financial and Administrative Policy 5 (forthcoming) |

| **Risk Management Strategy** |
| As part of the Office's emergency preparedness and ongoing programmes, a roster of NGOs would have been developed supported by a risk/capacity assessment of their financial and programmatic management capacity. Regular monitoring and spot check visits would be conducted by the Office to allow prompt detection and correction of any anomaly. |
| **Exit Strategy** |
| On receipt of instructions of conclusion of level 3 emergency, CO would officially inform the NGOs of specific financial and programmatic policies and procedures which would no longer be applied. A new/revised work plan and budget would be prepared for new or continuation of planned activities or those which had to be stopped due to the emergency. The Office would have to review and update the table of authority and guidelines. |

| **Sector: Resource Mobilization** |
| **Business owner(s): PARMO, and PFP, DFAM, DOC, SD, PD** |

| **Immediately at activation (first 24 hours)** |

Action	*Considerations*	*Responsibility*	*To consult/ engage*	*Approval Clearance by*
1. **Issue EPF**	▪ Based on first information received, EMOPS will draft a short NFR and recommend a minimum no-regrets allocation as needed of $4 million EPF to CO, with a sufficient amount to be used to establish performance monitoring, information management systems and cluster coordination mechanisms ▪ EPF clearance will be fast-tracked by mail poll (PD, PARMO, and OED). ▪ GEC to consider using this EPF country allocation for acquisition of immediate supply needs.	EMOPS Director	CO RO PD PARMO	ED
2. **Issue PBA anytime, anywhere**	▪ PFP/PARMO to backstop each other as needed to create grants. ▪ 'Emergency Appeal Reference' used by PARMO and PFP must be consistent to track emergency funds. ▪ Thematic humanitarian contributions issuance streamlined. ▪ Remote access to UNICEF ERP system in place so that PBAs can be processed and issued as rapidly as possible (on holidays, weekend). ▪ Thematic funding to be issued on pledge basis in Level 3	CO Head of Programmes	PARMO PFP DFAM CU Budget	CO Rep

	response. (Process to be approved and established.)				
3. **Appoint a dedicated point of contact**	▪ To manage and respond to requests and be proactive with donors in communicating issues of concern. ▪ Focal point to also work with PARMO/PFP to ensure full spectrum of humanitarian financing resources (bilateral, global and country-based pooled funds) are tapped into. ▪ PARMO/PFP to advise CO which donors might be interested and at what level to contact them.	CO Head of Programmes	DHR PFP GEC PD EMOPS	CO Rep PARMO Director
4. **Communicate contributions pledged and received from all funding sources directly to the CCs**	▪ Including updates on EPF and summary table on overall CO budget implementation	PARMO emergency focal point	PFP	None
First 48 hours (in addition to those listed above)					
5. **Develop and issue Immediate Needs Document (if applicable)** **[Link RM SSOPs]** **[TOOL]**	▪ Decision to release an IND will depend on the timing of the FA and other considerations. ▪ IND is released if there is 'sufficient time' before an FA. If the FA is delayed, an IND would normally be released. ▪ Intended both for fundraising/advocacy and to establish the ORE 'ceiling' to receive funds. ▪ Requires initial review of situation against programme CCCs to map out broad outline of priority response actions. ▪ Ensure cluster coordination costs factored into INDs. ▪ Establish who will draft the IND (CO, RO or EMOPS – IAHP/GVA).	CO Rep	RO PD EMOPS PARMO PFP DOC	GEC
6. **Align country programme results framework in VISION with appeal to ensure accurate funds monitoring**	▪ Revise programme results structure by creating new PCR/IR(s) in line with the emergency response. ▪ Required to allow immediate transfer of resources to CO. ▪ Decision must balance ease of tracking and reporting on financial implementation against the Appeal, simplicity for programmatic implementation and coherence in terms of evolution of the CP.	CO Head of Programmes	DPP/PIMAS	CO Rep
First week (in addition to those listed above)					
7. **Disseminate information to donors based on common humanitarian advocacy priorities document**	▪ Develop and disseminate key messages to donors. ▪ Align fundraising approaches (messages, quality funding, appeal ceilings, etc.)	DOC Director	PARMO CO EMOPS	CO Rep

	▪ Align funding targets of Humanitarian Action for Children (HAC)/CAP and (PFP/EMOPS) silent or underfunded emergencies list, if they exist.	PARMO Director PFP Director	CO RO	CO Rep
8. Develop and issue Flash Appeal [Link Cluster Coordaintion and Planning SSOPs]	▪ Scoping of overall UNICEF response programme strategy and scale of contribution to overall response to be discussed as part of FA development process. ▪ See key issues and processes in CAP: UNICEF Checklist 2011 for COs, ROs, HQ (Working Document). ▪ Ensure cluster coordination costs are factored into appeals as well as cross-cutting needs assessment, monitoring and evaluation. ▪ Appeal targets to be monitored and revised as necessary. See Target Population Calculator in Response Plan Guidance and Template. ▪ Important for UNICEF to lobby for indicators to be focused on limited set of high frequency monitoring indicators. See Humanitarian Performance Monitoring: Indicator Guide.	CO Rep	CO RO EMOPS PARMO PFP PD SD	GEC
9. Draft and submit CERF (and ERF if available) proposals to HC	▪ Coordination at country level. ▪ Include funding for cluster coordination if needed.	CO Head of Programmes	RO EMOPS PD PARMO	CO Rep
10. Update Financial Tracking System frequently	▪ FTS receives funding information from donors, agencies, NGOs directly, both from field and HQ levels, which can be inconsistent.	PARMO emergency focal point	CO	None
11. Produce funds tracking table containing income, pipeline and pledged data	▪ Sectoral gap tracking would be needed if funding is primarily coming in as earmarked. ▪ Automation of pipeline and pledge data by sector in central system for PARMO, PFP, CO, RO involved (currently this tracking is a manual exercise).	PARMO emergency focal point	CO RO HQ/PFP	None
Following weeks (in addition to those listed above)				
12. Identify any in-kind assistance (IKA) [Link Supply and DFAM SSOPs]	▪ If IKA involves military assets EMOPS needs to clear it. ▪ If IKA involves any programme supplies not on the 'emergency supply list' or in the CO's supply plan, then their suitability/appropriateness should be reviewed and cleared by relevant PD sectors.	CO Rep	SD PARMO PFP DFAM RO	SD/PARMO /PFP/ DFAM Directors

			PD EMOPS	
13. Develop information products for humanitarian advocacy and fundraising (e.g. local donor engagement table, infographics).	▪ Share with PARMO and PFP for donor follow-up accordingly. ▪ Needs to be linked to overall advocacy plan.	CO Head of Programmes	PARMO PFP EMOPS RO	None
14. Revise Flash Appeal within 3 to 6 weeks	▪ Incorporate information from assessments; be clear on UNICEF result targets and cluster results targets. ▪ Incorporate key issues and processes from CAP/FA guidance and checklist for HQ, RO, COs.	CO Rep	PD EMOPS RO	GEC
15. Issue periodic reports (standard is 90-day, six months, one year) reflecting results monitored through the HPMS **[Link Communications SSOPs]**	▪ Clear delineation between UNICEF-specific results and cluster achievements needed in all reports, based on HPMS. ▪ Highlight funding gap for both UNICEF programmes and UNICEF-led clusters. ▪ Establish capacity for production of the progress report (expertise needed in publishing software).	CO drafts in Word (oversight CO Rep) DOC to fine-tune design/layout before distributing	EMT members	GEC
16. Issue financial utilization reports (if asked by donors)	▪ Emergency programme structure in VISION should be harmonized with appeal projects. ▪ Establish responsibility and frequency. ▪ Recipient offices to ensure high level utilization of donor funding. ▪ Constraints and bottlenecks should be noted in cases of low spending.	CO Head of Programmes DPP Chief SIPA	DPP PFP PARMO EMOPS	DPP Chief SIPA
17. Support OED engagement and influencing **[Link GEC SSOPs]**	▪ Using donor capital visits and special briefings for PRs in New York. ▪ Develop resource mobilization calendar of meetings and events to ensure timely UNICEF engagement with donors.	CO Rep PARMO Director	PD EMOPS GMA DOC PFP	DED Emergencies ED

Related Procedures, Guidance, Rules, Policies and Regulations
▪ CF/EXD/2004-012 In-Kind Assistance
▪ PROGRAMME POLICY AND PROCEDURE MANUAL: PROGRAMME OPERATIONS. Chapter 6. Programming Tools ("Toolbox"); Section 11. Resource Mobilization in Unstable Situations and during Emergencies
▪ Who does what in PARMO
▪ Who does what in PFP

- [Response Toolkit](#)
- Daily, weekly, monthly [Sitrep templates for Level 3 emergencies](#)

Risk Management Strategy
In a competitive fundraising environment, risk management in resource mobilization will involve the proactive sharing of credible and relevant information to donors and partners (both at HQ and field levels), including clear UNICEF positions on difficult issues that may arise. Timely reporting on outcomes/results, value for money, expenditure rates, and analysis of trends related to the situation of children and women, etc. will impact either favourably or unfavourably on donor funding.

Exit Strategy
Resource mobilization best practices will be incorporated into country office procedures and fundraising strategy.

Sector: COMMUNICATION **Business Owner: DOC**

Immediately at activation (first 24 hours)

Action	*Considerations*	*Responsibility*	*Consult / Engage*	*Approval / Clearance*
1. **Assess communication capacity at CO and RO level**	▪ If support required, ensure communication officer is included in IRT deployment.	DOC Director	CO RO DHR EMOPS	GEC
2. **Identify additional communication SURGE capacity (other than IRT)**	▪ Refer to DOC SOP on Rapid Response Communication Surge. ▪ These staff members will be identified by DOC but deployed by DHR. ▪ Consider what communication capacity exists at regional level.	DOC DD	DOC CO	DHR Director DOC Director
3. **Arrange pre-deployment briefings**	▪ Pre-deployment briefings with DOC, EMOPS, PD, PFP and PARMO. ▪ Pre-deployment materials: Work with SD, ITSS and CO to ensure that communication officer has access to basic equipment for communication purposes including laptop, smartphone, skype UNICEF t-shirt and cap for interviews.	DOC DD (SD responsible for procurement, ITSS responsible for configuration)	EMOPS PD PFP PARMO ITSS SD	None

4.	**Collect information and prepare key messages [Link Advocacy and RM SSOPs]**	▪ Immediately establish communication with external and internal sources of information at the emergency scene. ▪ Prepare key messages (and where possible photos) and share with DOC, EMOPS, GEC, PFP, PARMO and RO to ensure consistency of public messaging including consistency with messages in IND and humanitarian advocacy messages. ▪ Key public messages should be coordinated – from sitreps, external communications, advocacy initiatives. ▪ Liaise with Supply Division/Operations for supply updates.	CO Comms Officer CO Comms officer	CO Rep DOC EMOPS PFP PARMO RO SD PD	CO Rep (for single country) GEC (for multi country)
5.	**Issue UNICEF statement [Link Advocacy SSOPs]**	▪ UNICEF statement should be issued within 24 hours. ▪ To be followed by regular news notes. ▪ Statement should be shared with DOC, RO, PFP and PARMO who will distribute to National Committees, donors and post on UNICEF website. ▪ Ensure statement is aligned to humanitarian advocacy messages.	CO Comms Officer RO Comms Officer if any regional statements	CO Rep DOC EMOPS PFP PARMO RO SD PD	CO Rep (for single country) GEC (for multi country)
First 48 hours (in addition to those listed above)					
6.	**Prepare list of spokespersons and contact on-ground international media to offer scene-setting interview**	▪ Identify UNICEF spokespersons for media interviews in consultation with the CO Rep. ▪ Share list of Spokespersons with DOC, EMOPS, PFP and PARMO. ▪ Brief UNICEF colleagues in preparation for press interviews. ▪ Reach an understanding with the CO Rep on how to handle information that has not been confirmed or that must be withheld, and how to deal with controversial issues. ▪ If there is no on-ground media present, a call should be made to CNN, BBC, Reuters, AP, Al-Jazeera etc. or other relevant newsrooms to offer a telephone interview. ▪ Maintain Media log.	CO Comms officer	DOC PFP EMOPS HPS RO	CO Rep (for single country) GEC (for multi country)
7.	**Disseminate emergency-related information to media**	▪ In materials shared with media, ensure that quotes from Representative or senior programme manager are included as well as quotes from affected population (mother/child). ▪ Share the content of media releases, briefings and interviews, as well as the nature of media queries received with DOC, PFP, EMOPS and	CO Comms officer for local media/ DOC for global media	CO Rep DOC PFP EMOPS RO	None

	ROs to avoid contradictions. ▪ Ensure information shared with media is aligned to humanitarian advocacy messages [Link Humanitarian Advocacy SSOPs].		PARMO	
8. **Prepare external communication for advocacy and fundraising purposes** **[Link Advocacy SSOPs]**	▪ Set up arrangement through DOC-IBIS for video, photography and stories for external communication and advocacy for international distribution to broadcasters and National Committees.	CO Comms officer	CO RO DOC-IBIS PFP EMOPS	CO Rep
9. **Keep UN partners in the emergency informed about UNICEF press releases and statements**	▪ Closely liaise with relevant UN agencies and partner communication officers to ensure coordinated, coherent communication ▪ UNICEF's overall messaging should be complementary to the UN line (see UNCG SOP "Communicating together in times of crisis", 2009).	CO Comms officer	CO Rep DOC RO	DOC Director / RD / CO Rep for partners at respective levels
First week (in addition to those listed above)				
10. **Build/strengthen media relations and assist media in gaining access to emergency scene**	▪ Journalists will be eager to reach the affected scene. Where possible, offer media a place on an aircraft or truck carrying supplies. ▪ Assist journalists to get the story out but not at the expense of interference in emergency operations. ▪ Coordinate NC media requests.	CO Comms officer	CO RO DOC PFP	CO Rep
11. **Ensure visibility**	▪ Encourage colleagues to make UNICEF's results visible. Ensure UNICEF equipment, transport and supplies are prominently marked with the UNICEF name and symbol and where possible encourage staff to wear UNICEF T-shirts, caps, etc. especially during media visits.	CO Comms officer	Country Office Supply Division	DOC Director
12. **Prepare brief country fact sheet**	▪ Fact sheet should contain essential background information on the country and emergency-affected area, and the impact on children and women. Ideally this would have been done PRIOR to an emergency as part of preparedness. ▪ Liaison between Comms Officer and Reports Officer to ensure that key messages, information in SitRep and Fact Sheet is consistent and accurate.	CO Comms officer	CO DOC PFP	CO Rep
13. **Organise video and photo coverage**	▪ Provide professional video and photo coverage to Internet, Broadcasting and Image Section of DOC. Determine how to FTP video and photos. Consult with field/central ICT about options. ▪ Obtain photo, story and video guidelines in advance.	CO Comms officer	DOC-IBIS PFP ITSS	CO Rep

14. **Use social media to report on the situation on the ground**	▪ In close liaison with DOC & PFP, use social media sites to report on the situation on the ground and on UNICEF's response. ▪ Use of social media should be in line with UN social media guidelines. ▪ Prior knowledge would be needed about how to use social media.	CO Comms officer	DOC RO PFP	N/A
15. **Organise conference call with National Committees**	▪ Arrange conference call with National Committee to update them on the situation on the ground in support of their advocacy and fundraising efforts.	PFP Geneva Communicatio n Officer	RO DOC GEC EMOPS	PFP Director CO Rep
Following weeks (in addition to those listed above)				
16. **Continue to disseminate information on the situation as it evolves**	▪ Ensure background information, key messages, and country fact sheets are updated on a regular basis so that they reflect the most accurate information as the situation evolves.	CO Comms officer	CO RO DOC	None
17. **Identify suitable communication staff to be deployed for up to three months**	▪ Refer to DOC Standard Operating Procedures on Rapid Response Communication Surge Support in Sudden, Large-Scale Emergencies. ▪ Prepare handover note for new communication officer based on Communication Handover Checklist.	DHR Chief HR in Emergencies CO Comms officer	CO RO DOC EMOPS PFP	DHR Director DOC Director

Related Procedures, Guidance, Rules, Policies and Regulations
- DOC Standard Operating Procedures - Rapid Response Communication Surge Support in Sudden, Large-Scale Emergencies (Dec 2010)
- Core Commitments for Children in Humanitarian Action (p44-45)
- Emergency Communication: Tools and Resources
- UNICEF Video Production Guidelines
- Web Photo Guidelines
- UNICEF Brand Toolkit

Risk Management Strategy
The in-country Risk Management Strategy should inform communication in emergencies. Country Office with support of DOC should pay particular attention to managing reputational risks.

Exit Strategy
Responsibility for the communication function will revert back to the Country Office Communication Officer with ongoing RO and HQ support as needed.

Sector: Humanitarian Advocacy Business owner(s): EMOPS				
Immediately at activation (first 24 hours) and for first 48 hours				
Refer to Communication SSOPs				
First week (in addition to those listed above)				
Action	*Considerations*	*Responsibility*	*To consult /engage*	*Approval / clearance by*
1. **Draft 2-3 Advocacy Priorities to prioritize specific Humanitarian Outcomes [TOOL]**	▪ See checklist for advocacy.	GEC	CO Rep EMT	GEC
2. **Establish informal task force**	▪ 1 focal point nominated by each relevant Division/Office ▪ Task force drafts and ensures implementation of Plan of Action. ▪ Task force reports back on conference calls.	Chair designated by GEC	EMT	GEC
Following weeks (in addition to those listed above)				
3. **Plan of Action is drafted and implemented to deliver on Advocacy Priorities [TOOL]**	▪ Must include monitoring element w/ frequency (daily, weekly). ▪ Roles of Divisions/Offices on Advocacy Priorities elaborated/ confirmed with key actions, sequencing. ▪ Identify channels when UNICEF cannot speak.	Chair designated by GEC	Task Force EMT	GEC, RD, CO Rep
4. **Update Advocacy Priorities (at least weekly)**	▪ Plan of Action updated weekly, with status. ▪ Advocacy Priorities incorporated into, and aligned with, Response Plan, with flexibility as situation changes.	Chair designated by GEC	Task Force EMT	GEC, RD, CO Rep

Related Procedures, Guidance, Rules, Policies and Regulations
These procedures are designed for more effective humanitarian advocacy (public and private) towards common Humanitarian Outcomes:
- Checklist for advocacy
- Advocacy Priorities
- Plan of Action for Humanitarian Advocacy
- Saving Lives, Protecting Children: Advocacy in Emergencies

- Advocacy Toolkit
- Thematic briefs (forthcoming) on policy issues relevant to specific contexts (ex. CivMil), with focal points, are made available, possibly as part of an IRT toolkit. Applying these requires adaptation to the context and should not preclude consultation with technical experts.

Risk Management Strategy

Lack of corporate policy and accountabilities on advocacy create risks to UNICEF programmes and reputation, especially in the urgencies of emergencies. These simplified procedures are intended to fill this void and guide public and private advocacy at all levels.

Exit Strategy

Advocacy becomes the responsibility of a small team supporting the Representative at country level, including relevant sections. Focal points from task force can support, as needed.

Sector: ICT
Business Owner: ITSS

Procedures: The below are identified as key actions to ensure a rapid and efficient emergency response in area of ICT. Many of the outlined actions build on existing ICT emergency preparedness guidelines, as specified in the ITSS Emergency ICT Checklist (on IT-Explorer/Emergency Portal). *In situations where the country office installations and staff are directly affected by the emergency, primary responsibility for actions indicated as country office ICT responsibility below may be transferred to Regional Chief of ICT (RCICT).*

Immediately at activation (first 24 hours)

Action	Considerations	Responsibility	To consult /engage	Approval / clearance
1. **Conduct a quick ICT assessment and share information with CMT, RCICT and ITSS emergency focal point [TOOL]**	▪ Assessment tools available in 'ICT emergency toolbox' on ITSS Emergency Portal. ▪ If access to emergency location is difficult, seek to obtain information about ICT status and gaps from non-ICT staff visiting area or from other agencies.	CO ICT manager	RCICT (Regional Chief of ICT)	CO Ops officer
2. **Implement ICT Disaster Recovery plan**	▪ ICT DR plan is part of office Emergency Preparedness Response Plan.	CO ICT manager	RCICT	CO Ops officer
3. **Implement security communications procedures/radio-check (HF/VHF radio communication system, satphones, etc.)**	▪ In interagency radio networks, this task may be handled by lead agency.	CO security focal point/officer	CO ICT manager	CO Ops officer
4. **Ensure staff travelling to affected area has access to voice, data-connectivity and security-communication options**	▪ Voice and data-connectivity options include local service providers (if operational), other UN agencies' services, BGAN and other mobile satellite communications, etc.	CO ICT manager for in-country	HQ ITSS	CO Ops officer

	▪ Provide key staff with access to smartphone (if services available in emergency location).		travel. RCICT for travel to country.		
5. Initiate regular ICT sitreps for sharing with CMT, RCICT and HQ ITSS	▪ SitRep typically daily in early phase of emergency, then bi-weekly or weekly as required. Simple format should be used: period covered; main actions taken (services, procurement, staffing); major gaps and constraints (services, procurement, staffing); immediate and longer term plans; interagency ICT activities; etc.		CO ICT manager	RCICT	CO Ops officer
6. Alert UNICEF ICT service providers that emergency services may be required	▪ Alert global, regional and in-country suppliers and include possible scenarios, services required, estimated number of locations, timeframe, etc.		HQ ITSS Director / RCICT / CO ICT manager (at respective levels)	CO ICT manager/ RCICT / HQ ITSS	None
If UNICEF CO is directly affected, inaccessible or under threat:					
7. Support office ICT BC-DR plan	▪ May require contracting of local ISP and/or use of back-up communications tools such as BGAN or other satellite communications.		CO ICT manager	RCICT/HQ ITSS	CO Ops officer
8. If corporate email service down, implement Internet-based email for key staff	▪ If possible, refer to official records of staff members' existing private email addresses (gmail, yahoo mail, etc).		CO ICT manager	RCICT/HQ ITSS	CO Ops officer
9. Assess need for implementation of "shadow" office for hosting of essential CO ICT services	▪ Shadow office can be UNICEF office in neighboring country.		RC ICT	HQ ITSS	GEC
First 48 hours (in addition to those listed above)					
10. Identify emergency ICT staff to lead and support UNICEF ICT response [Link HR SSOPs]	▪ The IRT may constitute ICT/telecoms expert. ▪ Identify additional surge capacity needed (to be deployed by DHR) ▪ Take advantage of ITSS and DHR roster of internal and external emergency ICT trained staff.		RCICT	HQ ITSS/ DHR	CO Ops officer
11. Initiate in-house and interagency ICT coordination teleconferences	▪ Teleconferences are typically held at least twice a week in the initial stage, then weekly or as required.		HQ ITSS Director	CO ICT manager / RCICT	CO Ops officer
12. Participate in local and global	▪ If local ICT working group does not exist, consider initiating		CO ICT	RCICT	CO Ops

		manager		officer
interagency ICT coordination meetings; seek to identify opportunities for interagency shared ICT services	(TOR for local ICT working group available on Oneresponse.info)	manager		officer
13. Prepare ICT supply plan and forward to supply responsible [Link Supply SSOP]	▪ For quick delivery: Order standard UNICEF equipment, preferably from Supply Division's Emergency Supply List; Use emergency SO option; Order complete kits. ▪ Request ITSS pre-stocked telecoms solutions (ETR1, 2 and 3 kits).	CO ICT manager	RCICT/HQ ITSS	CO Ops officer
First week (in addition to those listed above)				
14. Review and update Office Profile on UNICEF intranet	▪ Information on Office Profile is essential for coordination and support.	CO ICT manager	RCICT	CO Ops officer
15. Implement file sharing solution	▪ File sharing is essential for sharing of hand-over documents and other important files. File sharing solution can be shared drive or – if local network sharing not feasible – collaborative space on UNICEF Intranet.	CO ICT manager	RCICT / HQ ITSS	CO Ops officer
16. Ensure fast-track of requests for assignment of email and Intranet access for new staff and consultant	▪ As adequate, agree on higher priority ICT SLA for all other service requests by the affected CO. ▪ e-saf requests from emergency office to be immediately flagged and prioritized.	HQ ITSS Director	RCICT/DHR	CO Ops officer
Second week (in addition to those listed above)				
17. Determine additional ICT staffing requirements and initiate action to obtain necessary staff [Link HR SSOP]	▪ Take advantage of ITSS and DHR roster of internal and external emergency ICT trained staff	RCICT	CO ICT manager/DHR	CO Ops officer
Following weeks (in addition to those listed above)				
18. Provide key UNICEF users with corporate network access; implement core UNICEF information systems and associated infrastructure to support the operation.	▪ Consider requesting emergency telecoms response kit from ITSS in-house pre-stock	CO ICT manager	RCICT/HQ ITSS	CO ops officer
19. Perform follow-up ICT assessment to	▪ Assessment tools available in 'ICT emergency toolbox' on ITSS	CO ICT	RCICT/HQ ITSS	CO ops

determine gaps in longer-term response	Emergency Portal.	manager		officer

Related Procedures, Guidance, Rules, Policies and Regulations

The ITSS Simplified Standard Operating Procedures for Level 3 emergencies build on the ICT component of the CCCs as well as current ITSS policies and procedures related to emergency response and business continuity, including ICT Guidelines & checklist, ICT Assessment templates, ICT Budget tools, TOR for Interagency ICT working group, etc. Where possible, these policies and procedures have been simplified.
- ICT emergency toolbox

Risk Management Strategy

The major risks have been identified as:

Risk: Lack of availability of trained and experienced ICT emergency response staff.

Mitigation strategy: UNICEF trained responder staff is available from various standby partners and can be used for support roles; however for ICT manager role, UNICEF staff will be required.

Risk: Local service providers affected by emergency/disaster and not able to provide services.

Mitigation strategy: Import UNICEF telecoms response kits to ensure back-up connectivity.

Risk: Delays in importation and licensing of IT and telecoms equipment.

Mitigation strategy: Raise license and importation issues to interagency level and have local ICT working group/Emergency Telecoms Cluster group approach local Govt. telecom authorities with import/license requests.

Risk: Quantity of ICT equipment does not reflect actual needs.

Mitigation strategy: CO ICT Manager to work closely with CO Operations officer to ensure matching between expected staffing levels and ICT requirements.

Risk: ITSS pre-stock not replenished after shipment to CO.

Mitigation strategy: ITSS will only commit to ship from pre-stock after receiving adequate budget for reimbursement, alternatively written commitment from CO Rep or GEC.

Exit Strategy

The main areas to consider in ICT exit strategy are:
- Ensure exit strategy is clear about ownership of ICT manager function when response staff exit and hand-over to longer-term staff.
- Ensure Office Profile and ICT inventories are updated with equipment imported as part of emergency response.
- Ensure equipment with recurring costs (such as satcoms) is incorporated in CO inventory and budget.
- Ensure office data-connectivity is resilient and adequate.
- Ensure local and global contracts for telecoms and ICT services are formalized and budgeted for.

Sector: Security/OPSCEN Business owner(s): Security				
Immediately at activation (first 24 hours)				
Action	*Considerations*	*Responsibility*	*To consult /engage*	*Approval / clearance by*
1. **Establish location and safety of UNICEF personnel in emergency location** [Link HR and Operations SSOP]	▪ Emergency contact list up-to-date. ▪ Country Staff List up-to-date. ▪ GPS for office locations and preferably staff residences. ▪ Check TRIP to identify visitors or staff out of country.	CO Security Adviser/OPS Officer	OPSCEN GEC RO	CO Rep
2. **Establish primary and alternate means of communication to emergency location** [Link ICT SSOP]	▪ Determine best means of communication and alternate system. ▪ If feasible, establish an in-country crisis management centre. ▪ Have dedicated line for routine message traffic if normal communications are destroyed/degraded.	CO Security Advisor	HQ Security ITSS OPSCEN	none
3. **Liaise with UN Communications Centres as required**	▪ Exchange information and compare numbers of personnel recorded.	OPSCEN	UNDSS DPKO other AFP	PSA
4. **Identify dependants and non-essential staff that can be relocated/evacuated**	▪ CO Rep identifies non-essential staff beforehand. ▪ Identify Safe Haven location. ▪ DHR informed of potential relocation.	CO Security Adviser/ OPS Officer	RO	EMOPS Director
5. **Advise Senior Management and provide security/safety updates as required**	▪ Prepare briefing notes, presentations and maps.	UNICEF Principal Security Advisor (PSA)	PSA OPSCEN	EMOPS Director
6. **Alert Staff Counsellors** [Link HR SSOPs]	▪ Obtain staff lists and consider support at Safe Haven.	PSA	DHR	none
7. **Provide regular updates on security and emergency situation**	▪ Obtain information from various sources (field, other agencies, media, etc).	OPSCEN	PSA and Deputy	PSA
First 48 hours (in addition to those listed above)				
8. **Determine if a security adviser is required to assist emergency** [Link HR SSOP]	▪ Alert HQ Security if assistance required. ▪ Identify suitable candidate. ▪ Ensure technical clearance from DSS.	CO Security Advisor Deputy PSA	RO DHR	CO Rep

	▪ Deployment to be done via DHR.			
9. Identify need for specialist security equipment **[Link Supply SSOP]**	▪ Country or Emergency SRA to determine if special equipment required. ▪ Liaise with Supply Division to ensure order of equipment and delivery in country.	CO Security Advisor	HQ Security RO Logistics	PSA
10. Provide short-term surge Security Officer to cover recruitment of Emergency Security Adviser in line with overall SURGE deployment plan	▪ Regional Security Adviser to provide immediate surge. ▪ HQ Security to provide Security Officer if none available within region. ▪ Assessment of scale and duration of security support to be conducted by surge officer.	RO Security Advisor PSA	CO DHR	DHR Director
11. Determine rotation/relief of surge security adviser	▪ Assessment done by Surge Security Officer to determine need.	CO Security Advisor	RO CO GEC	CO Rep PSA
First week (in addition to those listed above)				
12. Follow-up on employment status of security officer recruitment	▪ Medical clearances. ▪ UNLP applications. ▪ Language and gender suitability.	CO Security Advisor	DHR HQ Security	DHR
13. Identify need for respite for surge security officer	▪ Determine intensity of the emergency and stress levels. ▪ Identification of a replacement officer.	CO Rep RO Security Advisor PSA	Regional Security Advisor HQ Security	EMOPS Director
Following weeks (in addition to those listed above)				
14. Identify lessons learned	▪ Should form part of the post activity report. ▪ Post activity report completed and submitted to HQ Security prior to departure.	Security Advisor on Surge support	CO HQ Security	PSA

Related Procedures, Guidance, Rules, Policies and Regulations
- ▪ Security Toolkit

The establishment of a stand-by list of appropriately qualified and trained security officers medically cleared in advance is critical to provide emergency security officers in a timely manner (forthcoming).

Risk Management Strategy
Without funding to allow for yearly medical clearances of the stand-by list security officers there will continue to be delays in recruitment.

Exit Strategy
Emergency support ceases once Surge Security Officer is withdrawn or the CO establish and recruit a permanent post.

Annex: List of Acronyms

List of acronyms		**FA**	Flash Appeal
AGM	Advisory Group Meeting (Supply Division Management)	**FWD**	Freight Forwarder
AoR	Areas of Responsibility	**GCC**	Global Cluster Coordinator
BGAN	Broadband Global Area Network, Inmarsat high-speed data mobile satellite service	**GEC**	Global Emergency Coordinator
CA	Cluster Approach	**GMA**	Governance, UN and Multilateral Affairs
CAP	Consolidated Appeals Process	**HAC**	Humanitarian Action for Children
CC	Cluster Coordinator	**HACT**	Harmonized Approach to Cash Transfers
CCCs	Core Commitments for Children in Humanitarian Action	**HCT**	Humanitarian Country Team
CEAP	Corporate Emergency Activation Procedure	**IA**	Inter Agency
CERF	Central Emergency Response Fund	**IASC**	Inter Agency Standing Committee
CMT	Crisis Management Team	**IKA**	In Kind Assistance
CP	Country Programme	**IM**	Information Management
CRC	Contract Review Committee	**IMEP**	Integrated Monitoring and Evaluation Plan
CRQ	Contingency Cash Requisition	**IND**	Immediate Needs Document
CSO/CBO	Civil Society Organization/ Community Based Organization	**IRs**	Intermediate Results
DFAM	Division of Financial and Administrative Management	**IRT**	Immediate Response Team
DHR	Division of Human Resources	**ISP**	Internet Service Provider
DOC	Division of Communication	**ITB**	Invitation to Bid
DPP	Division of Policy and Planning	**ITSS**	Information Technology Solutions and Services Division
ECHA	Executive Committee on Humanitarian Affairs	**LTA**	Long Term Agreement
EMOPS	Office of Emergency Programmes	**NC**	National Committee
EMT	Emergency Management Team	**ORE**	Other Resources, Emergency
EPF	Emergency Programme Fund	**OSM**	Operational Staffing Matrix
ERF	Emergency Response Fund	**PARMO**	Public-sector Alliances and Resource Mobilization Office
ERP	Enterprise Resource Planning	**PBA**	Programme Budget Allotment
ERT	Emergency Response Team	**PC**	Secretary General's Policy Committee
e-SAF	Standard Access Form	**PCA**	Project Cooperation Agreement

PCRs	Programme Component Results		**SBP**	Stand By Partners
PFP	Private Fundraising and Partnerships		**SD**	Supply Division
PGM	Supply Requisition		**SLA**	Service Level Agreements
PM	Programme Management		**SO**	Sales Order
PR	Permanent Representative		**SSA**	Standard Service Agreement
PSA	Principal Security Advisor		**SSFA**	Small Scale Funding Agreement
RA	Rapid Assessment		**TA**	Temporary Appointment
RCICT	Regional Chief of ICT		**TRIP**	Travel Request Information Process
RRTs	Rapid Response Team		**UNCG**	United Nations Communications Group
SAGs	Social Service Access Grants		**VISION**	Virtual Integrated System of Information