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A FRAMEWORK FOR UNICEF'S ANTICIPATORY ACTION

June 2023

CONTENTS

Introduction	3
Defining and Understanding the Benefits of Anticipatory Action.....	3
1. Key Characteristics	3
2. Linkages with Existing Preparedness and Response Mechanisms.....	4
3. Understanding the Outcome and Impact.....	5
Defining UNICEF Approach to Anticipatory Action	6
1. Embedding Anticipatory Action Across the Planning Cycle	6
2. Pre-arranged and Committed Financing	6
Priorities for Action	7
1. Analyzing Risks and Understanding their Impact on Children	8
2. Enabling Resources to Mitigate Child Risks	8
3. Enhancing Anticipatory Action Implementation with Key Stakeholders	9
4. Scaling-up Anticipatory Action through Evaluation, Learning and Evidence	10
5. Advocating for Anticipatory Action	10
A Framework for UNICEF’s Anticipatory Action.....	Error! Bookmark not defined.
Annexes.....	13

INTRODUCTION

Anticipatory action (AA) is a cornerstone for better risk management and mitigation. This document seeks to; a) define what AA is, b) describe UNICEF’s anticipatory approach, and c) provide guidance on how to engage in AA in the best way possible to save children's lives, to defend their rights and help them fulfil their potential from early childhood through adolescence, in line with the Core Commitments for Children (CCC).

DEFINING AND UNDERSTANDING THE BENEFITS OF ANTICIPATORY ACTION

Agreeing on a terminology and having a common definition of AA is important to understand its difference, as well linkages, with early response plans and disaster risk reduction. Having a shared and common understanding of the concept is also key to undertaking and scaling up AA as a standard process to mitigate the impact of natural disasters, emergencies, and other shocks.

The United Nations Office for the Coordination of Humanitarian Action (UNOCHA) defines AA as *“actions that are taken in response to a trigger before the manifestation of humanitarian need”* and are intended to mitigate the impact of the crisis or improve the response¹. AA is similarly designated as *“a set of actions carried out in anticipation of a hazard impact and based on a prediction of how the event will unfold”* (IFRC 2020).

A broader definition would be to describe AA as a **set of interventions taken ahead of a hazard to reduce or mitigate its impact on people**. It complements preparedness actions and is based on a forecasting approach (or triggers) that help understand when to act. The anticipatory approach should be flexible enough to adjust the strategy based on the context.

1. Key Characteristics

AA consists of three key elements:

- **The triggers or parameters for action:** developed based on risk and impact analysis, forecasting and early warning mechanisms,² these will provide decision makers with pre-agreed points to act in pre-agreed ways, with pre-committed financing. Different trigger models can be developed based on the type of shocks or risks. It requires expert resources and cooperation between key actors, including national institutions and local communities among others.
- **The pre-planned activities:** a set of activities are planned well in advance of shocks occurring, based on the identified threats. They aim to reduce the peak impact of the shocks and should be developed considering the risks and impact on people. Planning should include the implementing partners, participants as well as the resources needed for operationalization.

¹ *Getting Ahead of Crises : A Thesaurus for Anticipatory Humanitarian Action*. Sarah de Wit, June 2019

² More on trigger-setting : <https://manual.forecast-based-financing.org/en/chapter/set-the-trigger/>

- **The committed funding (pre-financing):** Funding should be committed at the planning phase and ready for disbursement to enable activities to be undertaken in a timely manner. The pre-arranged funding and the availability of resources are key to a successful AA and require careful coordination and planning with donors. Rapid disbursement mechanisms will also need a careful design.
- Locally available resources combined with the relevant feedback generated from affected population will have to be considered and leveraged.

All AA interventions should be accompanied by monitoring and evaluation. This additional step will help measure the impact and effectiveness of the anticipatory approach.

2. Linkages with Existing Preparedness and Response Mechanisms

Looking at the classic Disaster Risk Management (DRM) cycle³, there are three major components: prevention, mitigation and preparedness, emergency response and recovery.

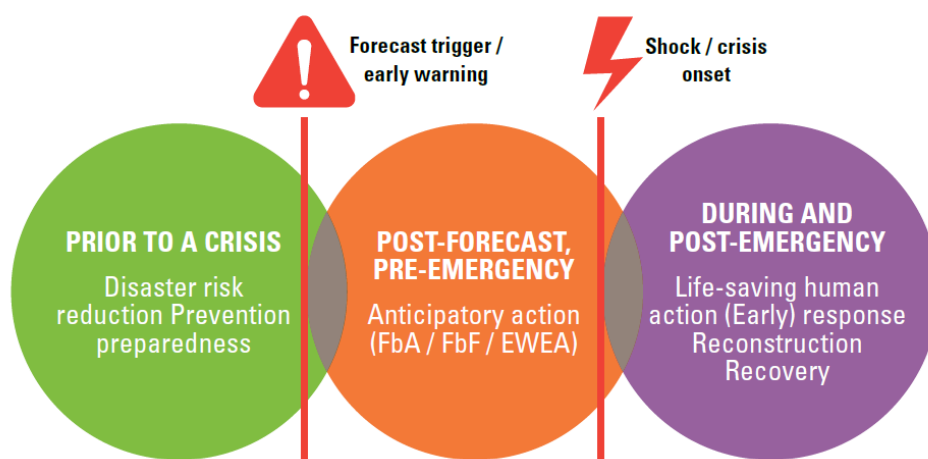


Figure 1: Timeline of actions

AA sits between preparedness and response, in a window of opportunity between an early warning (or another trigger for action and the onset of disaster.

Anticipatory action will build on contingency plans to look at risk analysis, response plans and capacities. However, while the contingency plan provides an overview of risk(s), capacities and resources in place, AA will deepen this analysis and look at specific risk(s) that are forecasted and likely to materialize in a specific period and location.

Similarly, AA will rely on preparedness measures and compliance with the windows of actions. Considering the lead time that is typically short in the case of sudden onset, readiness is key to avoid any delay in the implementation phase (that may include prepositioning of stocks, etc.).

³ Locating AA into the DRM cycle - ASEAN framework, June 2022

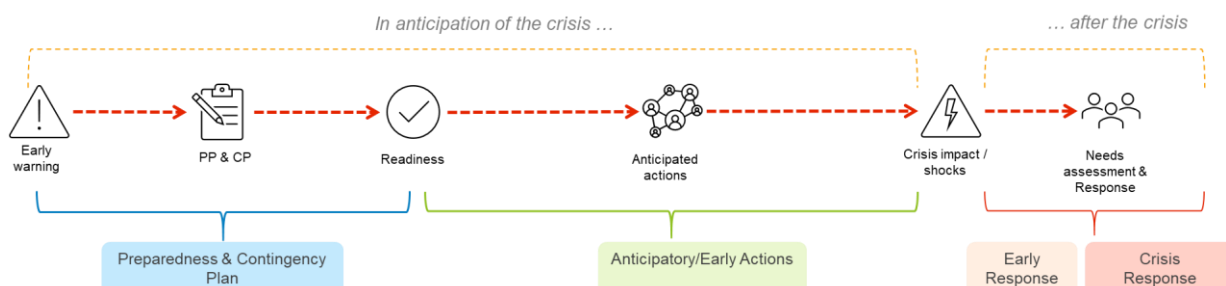


Figure 2: Preparedness, Anticipatory Action and Response

Several mechanisms have been created to respond to the increasing number of crises in the world. As a result, it may lead to some confusion when we refer to anticipatory action, early action, early response, or the traditional humanitarian response. Some of the definitions provided in the [ODI study](#) may help clarify the different concepts.

3. Understanding the Outcome and Impact

According to UNOCHA, “the humanitarian system must shift away from a solely reactive response to crises towards an increasingly proactive, anticipatory approach – acting on risks instead of only reacting to needs. Such an approach reduces the humanitarian needs, helping to protect hard-won development gains and enhance resilience” (OCHA, 2022).

Results from numerous pilot projects show that for predictable humanitarian crises, Anticipatory Action is timelier, cost-effective, more efficient, and provides a more dignified response. Several new studies document wide-ranging benefits from AA interventions, ranging from improved health outcomes to increased wellbeing (People et al., 2021)⁴.

As an example, UNICEF [Somalia \(2021\)](#), as part of the [collective CERF AA pilots](#)⁵, supported the provision of safe water, critical nutrition services, child protection, immunization and emergency health care to drought-affected children and caregivers. Anticipatory rehabilitation and upgrading of boreholes improved household finances, strengthened mental health, kept livestock healthier, and helped mitigate the risks related to negative coping mechanisms (e.g.: population displacements, community tensions, school dropout).

Acting before the onset of a predictable shock is a shift to significantly reduce the impact and costs of a humanitarian emergency.⁶

⁴ [Anticipatory action in motion: recapping the most recent evidence and illuminating pathway forward](#) – fic.tufts.edu

⁵ UNICEF is engaged in 11 of the 12 pilots (Mozambique just started the initial discussions) and was also part of the Early Action in South Sudan (src OCHA)

⁶ <https://reliefweb.int/report/world/anticipatory-action-motion-recapping-most-recent-evidence-and-illuminating-pathway-forward>

DEFINING UNICEF APPROACH TO ANTICIPATORY ACTION

Guided by the Core Commitments for Children, UNICEF prioritizes actions that will reduce the impact of humanitarian crisis on children. UNICEF's AA framework is child centered, adopts a holistic approach that seeks to help protect the most vulnerable children and their families from foreseeable crises. Early actions will be undertaken in an age-, gender- and inclusion-sensitive manner to help strengthen the resilience of communities.

1. Embedding Anticipatory Action Across the Planning Cycle

As a first step, AA can be easily embedded into UNICEF preparedness and programmatic plans, to gradually move from a response position to risk and impact mitigation position. The current UNICEF emergency preparedness platform (EPP) supports preparedness and readiness to respond to emergencies with areas for development to fully use for risk mitigation. Sectoral guidance on appropriate interventions, looking in-depth at the type of hazards, impact on children, and based on the different contexts can be integrated into the existing EPP.

At country and sub-national levels, programmatic plans may be enhanced further by linking it to the identified risks and in-country resources (Humanitarian and Contingency Programme Documents, Humanitarian Appeal for Children (HAC), etc.) to allow anticipatory/early action and mobilize pre-committed funding allocations.

At regional levels, coordination between UNICEF country offices and collaboration with main regional partners and (inter-governmental) stakeholders to maintain baselines and analysis capacities, track crisis trends and events, detect triggers and adequately inform early action will be equally crucial as emergencies are rarely localized, as border areas are often most at risk and affected and as regional systems are often least established and most challenged to effectively contribute to AA.

Organizational and institutional commitment to facilitate internal procedures (e.g., activation protocols, AA allocation disbursements) are also needed to support the implementation phase. For example, anticipatory cash interventions are often linked to cumbersome procedures before disbursement, sometimes due to the lack of existing guidance or protocols to facilitate the process. In general, having clear internal procedures that support timely funding of activities is essential.

2. Pre-arranged and Committed Financing

Commitments were made during the [High-Level Humanitarian Event on Anticipatory Action](#) to scale up AA including design and mainstreaming of systems and frameworks, early warning and forecast systems, national and local capacity and mainstreaming, monitoring and evaluation.

There are several funding opportunities that may help leverage AA approach, including the following:

- The CERF allocations provide funding for OCHA-facilitated anticipatory action pilots. UNICEF's involvement in these collective projects ranks it among the top beneficiaries. In 2023, CERF has

committed to allocate up to 10% to AA, which could be complemented by CBPF⁷ (see [CBPF global guidelines](#)).

- The USAID [Bureau of Humanitarian Assistance](#) (BHA) supports, readiness and response to relief and recovery, including the AA agenda (specific AA funding strategy).
- BHA has also committed to support the [Academic Alliance for Anticipatory Action](#) (4As), a global consortium of universities that helps develop the evidence base on AA.
- The [German Federal Foreign Office](#) (GFFO) promotes the AA approach and has become one of the main donors in this field. The GFFO has committed to allocating at least 5% of its humanitarian funding to AA by 2023, and to allocate € 100 million in 2023⁸.
- The European Civil Protection and Humanitarian Aid Operations (ECHO) is currently developing a strategy to support AA initiatives.
- The [GSMA Innovation Fund for Anticipatory Humanitarian Action](#), provides grants and support to organizations that leverage digital technology, especially mobile, to deliver solutions that anticipate potential humanitarian impacts and enable effective early response.

The establishment of internal funding mechanisms may also facilitate the transition from a heavy reliance on the CERF to an organisation-wide pooled fund that would expand UNICEF's AA efforts. The Global Thematic Humanitarian Funding (GHTF) remains the most flexible form of funding within UNICEF. GHTF allows for rapid and strategic responses by UNICEF to humanitarian crises and enables the delivery of assistance to the most vulnerable children when and where it is needed and in a timely and effective manner. There is currently a dedicated portion of GHTF that goes to emergency preparedness: the First Action Initiative (FAI) and the Co-Funding Initiative (CFI). More information on FAI & CFI [here](#). Expanding this funding to AA, based on a specific allocation process, could support readiness efforts and capacity to implement early actions. More information on GHTF criteria [here](#).

The 2023 HAC includes for the first time a dedicated portion (averaging 5 per cent globally) for preparedness and to promote allocations for anticipatory action at the RO/CO level.

Additional funding from Core Regular Resources (CRR) can also be used to strengthen AA and advocate for a child-centered approach, through the development of appropriate policies and guidance that help to mitigate risks to children (e.g., inclusion in DRM policies and strategies).

UNICEF launched the Today and Tomorrow in November 2022. Focusing on eight cyclone-prone countries across multiple regions, the US\$30 million risk transfer financing platform seeks to invest in anticipatory action over an initial three-year pilot.

PRIORITIES FOR ACTION

Integrating AA into UNICEF CO planning and preparedness efforts as part of a broader action plan is key, including linkages with existing systems at regional and country level. The following steps may help us set the stage for an anticipatory approach within UNICEF:

⁷ CBPF: [Country-Based Pooled Funds](#)

⁸ [Review of the German Federal Foreign Office's approach to anticipatory humanitarian action](#), February 2022

1. Analyzing Risks and Understanding their Impact on Children

UNICEF is working on multiple fronts to provide data-based evidence, improve its risk analysis and preparedness capacity:

- The [Children's Climate Risk Index \(CCRI\)](#) was created to strengthen risk-informed programming and planning processes through the generation of global evidence on children's exposure to climate and environmental hazards, shocks and stresses. A subnational version, the Child Climate Disaster Risk Model (CCDRM), currently being piloted in several countries, will enhance utility at country level.
- [UNICEF's Horizon Scan process](#) identifies emerging risks and coordinated RO/HQ support (including support to strengthen risk analysis, develop preparedness plans and financial support for preparedness actions).
- The [Emergency Preparedness Platform \(EPP\)](#), UNICEF's online platform for planning and monitoring CO's emergency preparedness levels.

Country level analysis are also supported by risk assessments tools, such as the Climate Landscape Analysis for Children (CLACs) and Child-Centered Risk Assessment (CCRA), as well as the Situation Analysis (SitAn) reports focusing on children's vulnerability to climate change and disasters.

An in-depth impact analysis is required to better understand the effect of the different crises and forecasted shocks on children and their families and communities. Discussing the risks and impacts with local actors and communities would help us develop appropriate interventions designed to effectively reduce the impact of such shocks.

2. Enabling Resources to Mitigate Child Risks

Key UNICEF sectors (WASH, Nutrition, Education, Child Protection, Health, Social Protection) have been engaged in several Anticipatory Action initiatives led by OCHA (CERF-AA), including in the development of frameworks and triggers for droughts and dry spells, storms, floods and most recently for the cholera outbreak. There is a space to have stronger impact with more proactive actions in contexts affected by conflicts, disease outbreaks, nutrition, and food security crisis. UNICEF is drawing on its sectoral expertise to increase efforts in AA measures that ensure safety net and protection mainstreaming that address child risks:

- On disease outbreaks, the development of collective AA frameworks for health emergencies is being discussed with key partners (e.g., WHO and OCHA), to look at parameters including the development of triggers that are well-adapted to such hazard types and the scale-up of cholera AA frameworks to address the global cholera crisis.
- The Nutrition Vulnerability Assessment in Crisis (NuVAC), a global UNICEF/WFP joint initiative, looks at malnutrition drivers to better inform timelier decisions in fragile and conflict settings.
- The WASH Severity Classification (WSC) tool will contribute to the identification of vulnerabilities and support the development of appropriate preparedness and AA strategies.
- Based on the lessons learned from different pilots, a reference sheet for setting up an operational framework for delivering Humanitarian Cash Transfers (HCT) is being developed.

- EAPRO recently released the [Disaster Risk Financing and Social Protection](#) report which looks at evidence on Pre-Arranged Finance for Government Support in Disasters and linkages with social protection.
- Child Protection, GBV and Gender focal points are working together for protection mainstreaming across AA interventions, looking at gender and age inclusion. A [guidance note](#) with key recommendations has been developed to reinforce UNICEF's AA approach.

Recent studies⁹ have also explored child displacement related to climate change: about 43 million internal child displacements between 2016 and 2021, which is equivalent to about 20,000 child displacements per day. Reinforcing our forecasting and trigger models could help avoid such situations, especially in contexts impacted by complex crises. Organizations and research institutes (e.g., IOM, UNHCR, VIEWS) are looking at climate-driven population displacements and forced displacement, that offers opportunities for collaboration.

Continuous efforts are made to improve the existing mechanisms and to provide technical guidance to COs to set reliable early warning systems with relevant partners (Early Warning for All¹⁰). UNICEF is also involved in joint efforts to improve the development of triggers, with more appropriate mechanisms to extend AA interventions to health risks and conflict.

3. Enhancing Anticipatory Action Implementation with Key Stakeholders

AA is not a standalone approach and should be fully integrated and/or complementing in-country risk reduction policies and strategies. UNICEF engagement with local partners, including local authorities and communities, is essential for successful implementation. The Organization's contribution should primarily support anticipatory measures that ensure safety net and protection mainstreaming with technical guidance to strengthen and leverage this approach using UNICEF preparedness and programmatic tools (Humanitarian and Country Programme Documents, Humanitarian Action for Children).

Localized approaches, involving men, women and young people at community level will help understand the needs, roles and strengthen structural measures that may help mitigate children's risks. Capacity building and support to locally-led strategies would reinforce community resilience and may help provide sustainable solutions to address the various shocks.

The UNICEF AA approach complements other organizational priorities like for instance, the accountability to affected populations. By recognizing the inherent capacities of families and communities in affected areas to address crisis situations, combine with providing feedback they can assume a more central role of engaging with others in co-creating solutions to protect the most vulnerable children and their families from foreseeable crises.

Further engagement with the private sector (e.g., insurance, telecoms, specialized service providers) is necessary to support collective initiatives, using their field of expertise and resources. At the global

⁹ *New Data Brief on Climate-related Displacement of Children – UNICEF, February 2023*

¹⁰ *The Early Warnings For All Initiative (EW4All) was formally launched by the UN Secretary-General at the COP27. The Initiative calls for the whole world to be covered by an early warning system by the end of 2027.*

level, UNICEF is part of the [Anticipation Hub](#) and actively involved in global forums with AA practitioners and donors (Regional and Global Dialogue platforms, COP27, EU Forums, etc.).

Several discussions are being conducted at regional levels with concrete actions to anticipate upcoming risks (e.g. the joint [AA roadmap](#) developed by the RAAWG¹¹ for Southern Africa). The [ASEAN Framework on AA in Disaster Management Guidelines](#), and the [Disaster Responsive Social Protection \(DSRP\)](#) guidance (2021) is an example of UNICEF engagement at regional level (EAPRO).

Building on GBV's example¹², contributions at sectoral level could help frame the locally developed guidance with appropriate AA interventions to mitigate the impact on women and children. UNICEF has also benefited from ECHO's¹³ funding to pilot a [forecast-based project on floods in Nigeria \(Kaduna\)](#), and mainly based on cash modalities.

4. Scaling-up Anticipatory Action through Evaluation, Learning and Evidence

UNICEF's implementation of the agreed AA framework must be accompanied with a monitoring and evaluation process to generate evidence on whether and how AA makes a difference. The uncertainty surrounding forecasts, short lead times and fast-evolving situations, are among the challenges that may be faced when applying standard M&E tools to AA. Some of the CERF pilots provide practical examples on use of M&E in AA.

Impact assessments may also be initiated to understand whether and how those who benefitted from anticipatory action are able to avoid or cope with the impacts of the hazards. Technical support and guidance may be provided by the [Humanitarian Evidence and Learning section](#) (HELS) to generate this evidence.

Tools have been developed to institute feedback mechanisms, strengthen community engagement (RCCE¹⁴) and engagement with affected populations. The evaluation and learning components are also key to generate the evidence for advocacy and actions. Additional tools and guidance on AA monitoring, evaluation, accountability and learning (MEAL) may be found [here](#).

5. Advocating for Anticipatory Action

Advocacy for AA will be focused on the following:

- (1) influencing the development of new or emerging AA policy,
- (2) influencing and informing the implementation of existing policy commitments on AA, and
- (3) influencing and informing allocations of international funding of AA interventions.

¹¹ *Regional Anticipatory Action Working Group (RAAWG)*

¹² *Research Query: GBV and Anticipatory Action Approaches – GBV AoR, June 2021*

¹³ *The department for Civil Protection and Humanitarian Aid Operations (DG ECHO)*

¹⁴ *Risk Communication and Community Engagement (RCCE) / Communication*

UNICEF's AA advocacy – in line with its broader AA framework – aims to be child centered, directly supporting organizational efforts to protect the most vulnerable children and their families from foreseeable crises.

UNICEF has identified opportunities to advance policy and funding in support of child-centered AA. This includes the following:

- **Advocacy for accountability** so that commitments already made by Member States, regional bodies, international financial institutions, and UN and humanitarian partners at the 2021 High-Level Humanitarian Event on Anticipatory Action, are followed through.
- **Leveraging political agreement for accelerated and sustained progress:** leveraging more recent joint political commitments by the G7 – together representing the world's top humanitarian, development and climate donors – to accelerate, embed and sustain progress on AA across international humanitarian, development and climate policy development, within G7 members and beyond (bringing others on board).
- **Momentum on funding allocations:** identifying those donors who are already putting – or have committed to put – a dedicated percentage of their funding towards AA and working with them as champions and allies to demonstrate the impact and bring additional partners onboard.
- **Prioritization of children** within ongoing policy dialogue with humanitarian partners on collective approaches to AA, including on the development of agreed frameworks and triggers for droughts and dry spells, storms, floods and public health emergencies, leveraging our strong sectoral expertise, role as cluster lead agency, and role and presence within the humanitarian community.
- **Generating and analyzing evidence** of the impact of inaction on AA, as well as evidence generation and documentation of success stories on the positive impact in areas where AA has been prioritized.

A FRAMEWORK FOR UNICEF'S ANTICIPATORY ACTION



VISION

Reduce the impact of humanitarian crises on children through a more proactive & protective approach

GOAL

Using a holistic approach, undertake early actions to protect the most vulnerable children and their families from foreseeable crises, in an age-, gender- and inclusion-sensitive manner, and in some contexts to help them cope with the cumulative impact of conflict and climate shocks.

PRIORITIES FOR ACTION

Understanding the risks and impact on children

- Build key partnerships to improve risk analysis and preparedness with operational early warning systems & tools;
- Strengthen programming and planning processes through regular monitoring of the emerging risks;
- Provide data-based evidence on Children's exposure through in-depth impact analysis.

Enabling resources to mitigate child risks

- Develop guidance on programmatic AA measures based on impact analysis
- Fully integrate AA into the existing preparedness (EPP) & planning mechanisms;
- Work on triggers that facilitate activation protocols for early action.
- Leverage funding opportunities to improve preparedness & readiness efforts.

Enhancing AA implementation with key stakeholders

- Engage with key partners to effectively implement the identified anticipated actions (HPD/CPD, HAC);
- Advocate and support the full integration/ institutionalization of child-centered AA approach in locally-led strategies;
- Engage with local partners and communities to strengthen structural measures that ensure safety net.

Scaling-up AA with evaluation, learning & evidence

- Establish and support learning phases with relevant feedback mechanisms, monitoring and evaluation tools;
- Improve the quality and scope of AA interventions based on regular impact assessments;
- Extend the adoption and implementation of AA measures in several contexts, including in regional guidelines and risk reduction strategies.

PRINCIPLES

Child-centered using a holistic approach

Coordinated, impact-based and cost-effective

Collaborative, Sustainable and localized

Participatory, evidence-based and accountable

ANNEXES

- **UNICEF key resources**
 - [Designing an AA framework – Step by step guidance](#)
 - [Key considerations for integrating GBV in AA](#)
 - Key considerations for engaging Communities in AA initiatives
 - Reference sheet for setting up an operational framework for delivering humanitarian cash transfers
 - Mapping preparedness, AA and response interventions (as of December 2022)
- **Global and regional AA initiatives**
 - [Anticipatory action in 2022: a global overview](#)
 - [CERF-AA collective frameworks](#)
 - [AA around the world - Anticipation Hub](#)
 - [STARTNETWORK](#)
 - [Risk-informed Early Action Partnership \(REAP\)](#)
 - [Sahel Predictive Analytics project](#)- Anticipating Vulnerability Hotspots in the Sahel
- **Other resources and guidance**
 - [The conflict prediction system \(ViEWS\) : predicting conflict and humanitarian impacts](#)
 - [Monitoring and evaluation of anticipatory actions for fast and slow-onset hazards: Guidance and tools for Forecast-based Financing \(WFP\)](#)
 - [Forecast-based practitioners manual \(IFRC\)](#)

Annex: Designing an Anticipatory Action Framework – Key steps

OBJECTIVE

Add here the objective of the pilot, including a summary of:

- **Context:** quick overview explaining why this framework is developed.
- **Scope:** areas covered, hazard(s) covered and compounding effects.
- **Process:** forecasting model and activation protocols, the action plan and funding mechanism, as well as the learning and evaluation component.
- **Added value:** expected outcome and impact.
- **Stakeholders:** lead agencies and partners involved in the project

SITUATION ANALYSIS

Description of the hazard(s)

- **Historical data:** trends analysis, main drivers and impact on the populations (add visuals and maps)
- **Analyzing previous response:** actors involved in the current response, capacity and resources available (including government and community resources) and lessons learnt (what works and what need to be improved?)
- **Selection criteria:** Is the hazard forecastable? What is the seasonality? What is the rationale for anticipatory actions?

Risk and impact assessments

- **Risk analysis:** what are the current risks identified, main triggers, magnitude and forecasted timeframe? (cf. [UNICEF EPP](#))
- **Impact assessment:** what would be the impact on communities, households living in those areas and including specific impact on their children (CCDRM, SitAn, CLACs, CCRA, sectoral consultations, community feedback), exposure and vulnerabilities.

Needs analysis, action plan and target

- **Needs analysis:** based on the impact assessment, what are the areas to focus on, and what do we need to do mitigate the risks?
- **Existing resources:** How do we complement existing response strategies? Government policies?
- **Target:** what would be the scope in terms of target and interventions?
- **Stakeholders:** list the main stakeholders and implementing partners

TRIGGER DESIGN, MONITORING AND ACTIVATION PROTOCOLS

Design of trigger mechanisms

- Discuss with the Risk analysis team (RAPS) at HQ level to review the available **forecasting data** for the identified hazards. Several platforms are available within UNICEF (e.g. Geosight) and can be complemented with additional resources:

- for drought and/or dry spell: IPC/food security data, national meteorological services, specialized institutes (UNOSAT, WMO), climate center, etc.
- for floods: national meteorological services, specialized institutes (UNOSAT, WMO), climate center, Global Flood Awareness System (GloFAS), etc.
- for health-related issues, work in collaboration with national health structures, specialized organizations (WHO), health research institutes.
- for AA in conflict settings/population movement data, explore forecasting data available on relevant platforms (VIEWS, IDMC) and relevant partners (e.g. IOM for climate-driven population data, UNHCR for conflict-related data).
- Look at **historical forecast data**: ENSO, Climate change models, private sector data if available
- **Consult** with key stakeholders (discussion with experts at national level, regional and global experts), and including communities for their feedback (community knowledge).
- Coordinate with relevant agencies (IFRC/Climate Center, WFP, WHO, OCHA) for a **harmonized approach** regarding trigger development.
- Define the **indicators to use and thresholds** (impact level) for triggering
 - Examples of trigger mechanisms:

Condition 1
Food insecurity

At least 20% of the population of one or more regions projected at IPC4+

OR

At least 30% of the population of a region projected at IPC3+ AND an increase by 5 percentage points from the current estimate to the projected estimate.

Readiness Trigger	
GloFAS 7-day forecast predicts 70% probability of reaching 1-in-2 year return period	Flood warning by Nepal's Department of Water Resources
	GloFAS 3-day forecast predicts 70% probability of reaching 1-in-2 year return period

Figure 1: Trigger mechanism used for the drought in Ethiopia

Figure 2: Trigger mechanism used for the floods in Nepal

Trigger monitoring and activation protocols

- **Monitoring**: once the trigger mechanism is validated, define the roles and responsibilities in terms of trigger governance to identify the focal points responsible for providing the necessary information to monitor the trigger (information flow).
- **Early warning mechanism**: based on the trigger setting, determine the alert mechanism and activation protocols. This could be set using the different thresholds to identify the windows of action
- **Crisis timeline**: develop a clear timeline with the different windows of action (based on the pre-identified interventions) to facilitate the activation protocols
- **Activation protocols**: determine the roles and responsibilities at management level for decision making to allow the disbursement of money and implementation of the pre-

identified interventions. This could be done through a decision-making process “Who-What-How-When?” ([see example](#)).

PRE-AGREED INTERVENTIONS, TARGETING AND COSTING

Identification and selection of interventions

- **Identify relevant interventions to implement:** what will be the most impactful based on the impact assessment? Which type of intervention is relevant for risk mitigation? Is it feasible within the identified windows of action? (cf. [UNICEF EPP](#))
- **Coordination with the government:** in consultation with relevant authorities, map existing national mechanisms to ensure that the current action plan fits into their strategies to be complementary).
- **Resources and capacities:** building on relevant contingency and preparedness plans and in coordination with relevant authorities at national level, map the existing resources and capacities for implementation and main partners.
 - E.g.: in the case of anticipatory cash, a market analysis is necessary to operationalize cash assistance programs
- **Partnership and localization:** identify financial providers and potential partners at local level, including the private sector (investment firms, banks, insurance companies, NGO partners, etc.).
- Ensure that the selected interventions are in line with the windows of action based on the crisis timeline and clarify who will implement the actions after a trigger has been reached.

Targeting and costing

- **Identify your target:** which areas would be the most impacted? who and where are the most vulnerable populations groups?
- Depending on risk analysis and forecasting, identify several **scenarios** based on the severity and location of the shock (windows of actions)
- **Costing:** estimate the cost for each type of intervention within the different windows of action, and with envelope distributions and target populations, bearing in mind that in some cases not all the interventions would be implemented.

FINANCING AND MONEY DISBURSEMENT

Pre-committed funding should be ready for disbursement to enable the planned activities to be undertaken in a timely manner.

Identifying funding sources

- **Funding for Preparedness activities:** several funding mechanisms are available for preparedness actions such as the FAI and CFI (more information [here](#)). They can be used to fund AA preparedness activities.
- **Funding for direct implementation**
 - External funding can be granted based on the submission of proposals. It's important to flag the added value and expected impact (risk mitigation) of the AA project on populations. Support from the global or regional level can be provided for the development of the proposal.
 - Strengthening partnerships: several initiatives are already conducted by INGOs, IFRC, StartNetwork and UN agencies (FAO, WFP) together with the

governments and local NGOs. Getting involved in those joint projects could help leverage collective funding from donors (e.g.; Nigeria project on AA for floods).

- Internal funding mechanisms can be used: 2023 HAC includes a dedicated portion (averaging 5% globally) for preparedness end AA.
- CERF allocations: there is an increase of the [CERF allocations](#) dedicated to AA. Sectors/Clusters can submit their projects proposals to be part of the collective frameworks developed at country level (e.g. [Ethiopia's example](#)). Support from the global or regional level can be provided.

○

Activation plan for disbursement

- **Clarify activation and funding disbursement process:** based on the activation protocol, ensure that there is a clear process in place to enable money disbursement in a timely manner. See example for slow-onset drought activation process here.
- **Coordinate with the government and key stakeholders** to make sure the allocation process is streamlined. For anticipatory cash for example, make sure that financial procedures and MoUs with the relevant parties are pre-defined.

MONITORING, LEARNING AND EVALUATION

Monitoring, learning and evaluation processes must be discussed along with the action plan, as some of the requirements (e.g. targeting documentation, pre-assessment) should be conducted ahead of the implementation of activities. It also requires some additional funding to be considered while looking at funding mechanisms and partnerships.

Monitoring the implementation

- **Monitoring framework:** Liaise with M&E focal points to develop a monitoring framework based on the agreed interventions. In the case of a joint project with multiple stakeholders, create an M&E practitioner group to discuss relevant indicators and key requirements.
- **Data sharing protocols:** develop data sharing protocols (including beneficiary data) and ensure targeting will be documented to facilitate an impact evaluation (e.g. for interviews and feedback mechanisms).
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Learning and evaluation

- **Feedback mechanisms:** liaise with relevant AAP focal points to develop feedback mechanisms modalities that would help assess the impact and document learning and evaluation processes.
- **Identify relevant learning processes** to be implemented in coordination with the Humanitarian Evidence and Learning Section (HELS)
- **Partnerships:** identify key partners to support learning processes (see more information [here](#)).
- Based on the evaluation processes, develop **action plans** to help improve and/or review the current framework.