

# GUIDANCE

# HANDBOOK IN L1, L2

# AND L3 EMERGENCIES

SIMPLIFIED & STREAMLINED

FOR EVERY EMERGENCY (L1, L2, L3)



unicef   
for every child

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# 1. Introduction

The Core Commitments for Children (CCCs) in Humanitarian Action 2020 set out a policy and framework to equip UNICEF and its partners to deliver a principled, timely, quality and child-centred humanitarian response and advocacy in any crises with humanitarian consequences.

The Emergency Procedures<sup>1</sup> **complement the CCCs with an operational set of procedures**, designed to aid UNICEF personnel to meet the CCCs. They lay out a mandatory package of minimum actions required for all Country Offices (COs), Regional Offices (ROs) and Headquarters (HQ) Divisions responding to humanitarian crises and reflect the recommendations of Strengthening UNICEF’s Humanitarian Action, the 2020 UNICEF Humanitarian Review. These actions have been defined by UNICEF Emergency Operations (EMOPS) and relevant HQ Divisions (‘Business Owners’ – BOs) in alignment with existing global policies and procedures.

The Emergency Procedures also highlight specific **simplifications that supersede global policies and procedures that would otherwise apply in non-emergency contexts**, which CO, RO and HQ staff are mandated to take to facilitate a timely, predictable and efficient response. These simplifications are denoted as follows:

- ⊕ Applies to all emergencies;
- ⇨ Applies to L2 and L3 emergencies;
- Applies to L3 emergencies.

Representatives (for CO-level) and Regional Directors (RDs) (for RO-level) are accountable to ensure that COs and ROs **suspend or remove all additional rules, processes, guidelines or standard operating procedures (SOPs)** developed at the local or regional level which are additional

<sup>1</sup> UNICEF’s definition of an **Emergency** is aligned with the IASC’s, as follows: A situation that threatens the lives and well-being of large numbers of a population and requires extraordinary action to ensure their survival, care and protection.

- **Complex emergency:** A humanitarian crisis in a country, region or society where there is a significant or total breakdown of authority resulting from internal or external conflict and which requires an international response that extends beyond the mandate or capacity of any single agency.
- **Protracted emergency:** Major humanitarian crisis in which a large proportion of a population in a country is vulnerable to death, disease or disruption of their livelihood over a significant period of time.
- **Sudden-onset emergency:** Humanitarian crisis for which there is little or no warning.

to global procedures. COs and ROs may consider retaining technical or programmatic guidance that can facilitate a more robust and rapid response; this requires adequate written justification from the Representative (for CO-level) or RD (for RO-level).

The **primary audience** of the Emergency Procedures and this Guidance Handbook in L1, L2 and L3 Emergencies are the CO Representative and Programme and Operations staff. Specific accountabilities and responsibilities for RO and HQ are also outlined where applicable.

This Guidance Handbook is designed to provide additional guidance and clarity for CO, RO and HQ staff who implement the Emergency Procedures.

Throughout its humanitarian action and its organization, UNICEF maintains a '**no regrets approach**', meaning the organization will err on the side of deploying more capacity and mobilizing more resources in support of the response even if this proves to have been unnecessary after the fact.

## 1.1 Humanitarian classifications

**The Emergency Procedures apply to all UNICEF emergency responses – L1 to L3.** L2 and L3 Emergencies are activated through the Corporate Emergency Activation Procedure (CEAP)<sup>2</sup>. Any emergency with a stand-alone Humanitarian Action for Children (HAC) Appeal, which is not an L3 or L2 emergency, is considered an L1 emergency.

If a CO or RO is responding to a significant emergency that is not covered by a stand-alone HAC, but for which the Emergency Procedures would enable a timelier and more

effective humanitarian response, **a formal request is made from the Representative or RD to the Director of EMOPS to activate the use of the Emergency Procedures.** Triggers for this request can include a significant deterioration in a humanitarian crisis, warnings based on emergency preparedness planning and/or decisions by other agencies to activate their emergency processes. This request also clarifies the period for which the L1 will apply with start and end dates.

The CEAP, HAC or email documenting the application of the Emergency Procedures specifies whether they **apply at country, sub-national level, or programme-level (e.g. Ebola)**. The latter can include a combination of field/sub-office and CO programmes and functions. While making this decision, the Representative ensures the application is as broad as required to facilitate an effective emergency response.

## 1.2 Corporate emergency activation

The UNICEF Procedures on CEAP apply to L3 and L2 emergencies, determined based on scale; urgency; complexity; and capacity of ROs and COs affected by a crisis. Refer to the CEAP for L3 ([EMOPS/PROCEDURE/2019/001](#)) and L2 ([EMOPS/PROCEDURE/2019/002](#)) crises for further details. In November 2018, the Interagency Standing Committee (IASC) issued the [SOP for the new Humanitarian System-wide Scale-up Activation](#), replacing the April 2012 Transformative Agenda Level 3 definition and procedures. The IASC Scale-Up activation is a system-wide mobilization in response to a sudden-onset and/or rapidly deteriorating humanitarian crisis.

<sup>2</sup> The CEAPs are internal UNICEF procedures, separate from the Inter-Agency Standing Committee Scale Up Activation.

| EMERGENCY COORDINATION   |   |  |
|--|---|--|
| Action   | Accountable <sup>3</sup>  | Responsible  |
| <p><b>Emergency Management Team (EMT):</b> Establish an EMT to support decision-making for the crisis. For L3 crises, the frequency of EMT meetings will vary by crisis, with daily calls expected during the initial phase of a sudden onset emergency and/or L3 declaration. Frequency of calls may increase if the crisis escalates or gets more complicated. For L2 emergencies, convene a Regional EMT as needed. For L1 emergencies, decide whether a standalone EMT with RO and potentially HQ is required, or if the emergency can be coordinated through an existing CO forum (e.g. Country Management Team or CO EMT).</p> | <p>Director of EMOPS (L3)<br/>RD (L2)<br/>Representative (L1)</p> | <p>Deputy Representative-Programme, CO Chief of Field Operations/ Emergency Manager or Focal Point, RO Emergency Team, EMOPS and other HQ Divisions including Programme Group (PG)</p> |
| <p><b>Technical Emergency Management Team (TEMT):</b> Optionally, organize a TEMT that can be organized at HQ, RO or CO level for technical troubleshooting, information sharing, and preparing proposals for EMT decisions.</p>   | <p>Director of EMOPS (L3)<br/>RD (L2)<br/>Representative (L1)</p> | <p>CO Chief of Field Operations/ Emergency Manager or Focal Point, RO Emergency Team, EMOPS and other HQ Divisions including Programme Division</p>                                    |

| MONITORING OF EMERGENCY PROCEDURE APPLICATION   |   |  |
|---|---|--|
| Action  | Accountable   | Responsible  |
| <p><b>Training:</b> At the outset of an emergency, ensure that all CO staff (Programme and Operations) have been trained on the Emergency Procedures. Provide annual Emergency Procedures refresher training.</p> | <p>Representative</p>   | <p>Representative, CO Human Resources Manager, RO, EMOPS</p>   |
| <p><b>Monitoring capacity:</b> Ensure the CO has the monitoring, information management and reporting capacity to monitor the application of the Emergency Procedures alongside the response.</p>                 | <p>Representative</p>   | <p>Deputy Representative-Programme</p>   |
| <p><b>EMT and TEMT:</b> Use EMT and TEMT meetings to monitor the application of the Emergency Procedures.</p>   | <p>EMOPS Humanitarian Field Support Section (HFSS) (L3),<br/>RO Emergency Team (L2),<br/>Emergency Focal Point (L1)</p> | <p>CO Chief of Field Operations/ Emergency Manager or Focal Point, RO Emergency Team, EMOPS, and other HQ Divisions including Programme Division</p> |
| <p><b>Audit:</b> Use regularly occurring audits to ensure the application of the Emergency Procedures.</p>  | <p>Office of Internal Audit and Investigations (OIAI)</p>   |  |



<sup>3</sup> 'Accountable' denotes the one individual ultimately answerable for the activity or decision. 'Responsible' covers various individual expected to act/implement.



**Evaluation:** In line with the [UNICEF Evaluation Policy 2018](#) and [Procedures](#), evaluate the application of the Emergency Procedures within humanitarian response evaluations, or through other planned evaluations including Country Programme evaluations. [See](#) the Humanitarian Assessments, Planning, Monitoring and Evaluation Section

Director of EMOPS or Global Emergency Coordinator (L3)  
RD (L2)  
Representative (L1)

### EXITING THE EMERGENCY PROCEDURES

| Action  | Accountable    | Responsible                    |
|---|----------------|--------------------------------|
| <p><b>Extension:</b> In line with the extension of any L2 or L3 emergency – whether scale up or sustain phase – develop a plan to prepare to exit the L2/3 with a set of concrete benchmarks to measure the organization’s capacity to respond. This may include benchmarks relating to specialized or technical expertise, leadership, resources and partnerships.</p> | Representative | Representative, RD, EMOPS HFSS |
| <p><b>Exit Strategy:</b> At least one month before the deactivation of an L2 or L3 emergency, develop an Exit Strategy detailing how the emergency response will be maintained at scale. Exiting of L1 procedures can be documented in an email to the Director of EMOPS or through the discontinuation of the CO HAC.</p>  | Representative | Representative, RD, EMOPS HFSS |
| <p><b>Continuation of simplifications:</b> If specific simplifications are required past the end of the L1, L2 or L3 phase, detail them in the Exit Strategy.</p>   | Representative | Representative, RD, EMOPS HFSS |

### PERIODICITY OF UPDATE

| Action   | Accountable | Responsible |
|--|-------------|-------------|
| <p><b>Survey:</b> After the first year of activation, then every two years thereafter, survey COs undertaking emergency responses to measure the usefulness of the Emergency Procedures with a view to identifying lessons learned, good practices, new ideas and areas for improvement. Loop these lessons into the Emergency Procedures updates.</p> | EMOPS       |             |
| <p><b>Emergency Procedures Updates:</b> After the first year of activation, then every two years thereafter, coordinate an update of the Emergency Procedures with the relevant BOs, including to ensure it aligns with the latest relevant policies and procedures.</p>   | EMOPS       |             |





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## 2. Humanitarian Risk Management

### CCC 1.5.3 RISK MANAGEMENT (EXTRACT)

UNICEF's [Enterprise Risk Management \(ERM\) Policy](#) supports well-managed risk-taking and mitigating strategies. This implies accepting risk when benefits for children are maximized and outweigh costs; anticipating and managing risks through continuous risk assessment, and proper mitigation measures; making prompt decisions; and recognizing that affirmative management of risks is critical to success.

**The principal risk for UNICEF in all humanitarian responses is any action or inaction which results in a failure or delay in saving lives, alleviating suffering, maintaining human dignity and protecting rights of children and their families affected by humanitarian crisis.**

This principal risk is inseparable from two related risks: any action or inaction that contravenes the Humanitarian Principles of humanity, impartiality, neutrality and independence or international humanitarian law and any action or inaction which puts the affected population at risk (the principle of "do no harm").

| DEVELOPING A CO RISK MANAGEMENT STRUCTURE   |  |   |
|---|--|---|
| Action  | Accountable                                  | Responsible   |
| <p><b>Risk of inaction:</b> In line with the principal risk stated above, and in line with the CCCs, explicitly define and document the risk of inaction for the humanitarian response. Consider multiple scenarios covering full inaction, delayed action or not responding at scale across different categories of risk (programmatic/strategic, institutional, etc).<br/>Revisit this documentation every six months.</p>  | Representative                               | Representative, RD, Director of EMOPS                           |
| <p><b>High-risk countries:</b> Define a list of high-risk countries within the region. The decision should be based on contextual, programmatic, institutional and operational risks. Review and revise this list each year. Revise and update their risk analysis (Programme related) to inform adjustments to programmes.</p>   | RD   | RD, Regional Emergency Advisor (REA), EMOPS                     |
| <p><b>Risk management culture:</b> If designated as a high-risk country, enhance the risk management culture of the CO to undertake the humanitarian response.<br/>Good practice examples are highlighted below, COs may also choose to integrate risk management into existing forums such as the CMT:<br/>Example: <a href="#">Somalia Risk Management Committee</a><br/>Example: <a href="#">Yemen Risk Management Strategy</a> and <a href="#">Task Force</a></p> | Representative                               | Representative, Deputy Representatives-Programme and Operations |
| <p><b>Risk sharing:</b> Engage with key donors and other key partners during the development of the enhanced risk management culture. Where possible secure buy-in from these key stakeholders on the level of risk to be accepted throughout the response.</p>   | Representative                               | Representative, Deputy Representative-Programme                 |
| <p><b>Technical support:</b> Provide high-risk countries with technical support to build their risk management culture, and to integrate this structure with existing risk frameworks.<br/>Provide support to assess programme risk analysis and necessary adjustments.</p>   | Regional Office, EMOPS, Programme Group (PG) |   |

## 2.1 Risk Appetite Statement for UNICEF in Humanitarian Action

According to the Humanitarian Review: *A lack of formalized risk appetite has led to unpredictable humanitarian responses... UNICEF's humanitarian action depends on in-country leadership, placing considerable pressure on individuals. Overall, this means UNICEF's humanitarian*

*action is risk-averse and misses multiple opportunities. The Review calls on UNICEF to be bold enough to enable UNICEF and its partners to reach the most vulnerable populations while still implementing risk-mitigation measures to protect the organization.*

The below risk appetite statement provides the overall, aggregate level of risk UNICEF is expected to take for children in its humanitarian response. It has been developed across the existing ERM categories of strategic/programmatic, institutional, operational and contextual.

## 2.2 UNICEF Risk Appetite in Humanitarian Action

| Risk Category   | What is it?  | What are the sub-categories?   | What is the risk appetite?   |
|---|--|--|--|
| <b>Strategic/<br/>Programmatic<br/>Risks: High<br/>Appetite</b> | <p>In the UNICEF ERM policy, a strategic risk refers to those risks that positively impact or threaten to disrupt the achievement of UNICEF’s Strategic Plan. Programmatic risks are such that interventions do not achieve their objectives or cause inadvertent harm; weaknesses in programme design and implementation, failures in donor coordination, and dysfunctional relationships between development agencies and their implementing partners.</p> | <p>Health and Nutrition; Education; Child Protection; WASH; Social Protection; Equity; and Results-Based Management and Reporting</p>  | <p>UNICEF approaches strategic and programmatic risks in humanitarian crises with a willingness to seek opportunities and face potential threats to improve its timely delivery on its CCCs. Risks must be calculated, and UNICEF will continue to invest in technical expertise, innovations and advocacy to reach children who may otherwise remain inaccessible, especially in complex, high threat environments.</p>   |
| <b>Institutional<br/>Risks: Low<br/>Appetite</b>                | <p>According to the UNICEF ERM policy, institutional risk refers to the range of potential consequences of intervention for the implementing organization and its staff. These include management failures and fiduciary losses, exposure of staff to security risks, and reputational and political damage to UNICEF.</p>   | <p>Fraud, Waste and Misuse of Resources; Funding and External Stakeholder Relations; Governance and Accountability; Organizational Strategy; Misconduct; Wrongful and Negligent Behaviour Towards Others</p> | <p>UNICEF has comprehensive processes and controls in place which minimize institutional risks. However, as the principal risk in humanitarian emergencies are actions and inactions that lead to delays or failures in saving lives, alleviating suffering, maintaining human dignity and protecting rights of children and their families, the Emergency Procedures require UNICEF to reduce targeted processes and controls. Under this category, there are also areas where UNICEF has a zero tolerance approach: sexual exploitation and abuse, child safeguarding violations, discrimination and abuse of authority.</p> |





|  |   |   |   |
|--|---|---|---|
| <p><b>Operational Risks: Medium Appetite</b></p> | <p>The UNICEF ERM policy defines these as risks which result in losses from inadequate or failed processes, people and systems or from external events (excludes strategic and reputation risks but includes legal risks).</p>  | <p>Financial Management; Human Resources; Supply and Logistics; and ICT Systems and Information Security</p>  | <p>In humanitarian action, UNICEF balances the need to protect organizational resources with the need to act more quickly and boldly for children. The Emergency Procedures detail simplifications of existing processes where an increased risk tolerance is required to meet urgent humanitarian needs. This medium risk appetite does not apply equally throughout operations. Key human resources processes linked to Protection from Sexual Exploitation and Abuse (PSEA)/ child safeguarding violations remain with a zero tolerance approach. There are also areas of operational risk where UNICEF has a high appetite such as supply; in line with the ‘no regrets’ approach<sup>4</sup>, UNICEF actively takes the risk of over-resourcing humanitarian operations.</p> |
| <p><b>Contextual Risks: Low Appetite</b></p>     | <p>The UNICEF ERM policy refers to contextual risks as the range of potential adverse outcomes that may arise out of the control of UNICEF in a particular context, such as the risk of political destabilization, a return to violent conflict, economic deterioration, natural disaster, humanitarian crisis or cross-border tensions, etc.</p> | <p>Organizational Resilience Management including Crisis Management, Crisis Communications, Business Continuity, Safety and Security of Staff; Environmental and Social Sustainability, Natural and Anthropogenic Hazards</p> | <p>While contextual risks themselves are outside of UNICEF’s control, UNICEF has a low tolerance for any inaction in terms of mitigating, responding to and capitalizing on these risks and opportunities. The Emergency Preparedness Procedure ensures that UNICEF regularly reviews its contextual risks and meets the minimum preparedness standards (MPSs). The Emergency Procedures link directly from these MPSs to the minimum package of actions in humanitarian emergencies to more efficiently and effectively respond to humanitarian crises.</p>  |



<sup>4</sup> Under the no regrets approach, UNICEF errs on the side of deploying more capacity and mobilizing more resources in support of the response even if this proves to have been unnecessary after the fact.

This four-part Risk Appetite Statement provides an aggregate overview of how UNICEF responds to risk in its humanitarian action. They aggregate the **risk appetite levels** suggested at the component-level in tables throughout the Guidance Handbook in L1, L2 and L3 Emergencies. These risk tables (📄 See example below) have been set to reduce the tendency towards risk aversity highlighted in the Humanitarian Review, and support a standard and predictable approach to risk in humanitarian emergencies. The levels have been set by EMOPS and the relevant BOs, prioritizing the ability of UNICEF and its partners to deliver on its CCCs in a timely, efficient and predictable manner.

*Example risk appetite table:*

|   |
|---|
| <b>Risk:</b> Lack of collaboration with Saving Lives Together partner organizations hinders the safe delivery of humanitarian assistance and programme delivery.  |
| <b>Appetite:</b> Low  |
| <b>Mitigation:</b> Sharing of relevant security information; Establishment of security coordination arrangements and forums; Cooperation on security training; Cooperation on operational and logistic arrangements, where feasible |

The definitions of the appetite levels are taken from the UNICEF ERM with the exception of the zero-tolerance approach.

• **Zero tolerance approach:**

The occurrence of risk events in this category are fully unacceptable to UNICEF and its mandate. While it may not be possible to fully eliminate the risk, there can be no tolerance of inaction in terms of any and all measures to mitigate and/or respond to these risks.

➔ Zero tolerance is used for risks that would directly harm beneficiaries, including around sexual exploitation and abuse.

*Example of a zero-tolerance risk table:*

|  |
|--|
| <b>Risk:</b> UNICEF deploys third party contractors to provide services to beneficiaries without proper protection mechanisms in place, who then commit sexual exploitation and abuse. |
| <b>Appetite:</b> Zero  |
| <b>Mitigation:</b> Mandatory PSEA assessment, training, awareness campaigns, feedback mechanisms   |

• **Low appetite:**

The occurrence of risk events in this category has the potential to substantially damage UNICEF’s programmes, operations or reputation and substantially jeopardize its ability to fulfil its mission or potential downside costs are intolerable, should they occur. Cost/benefit considerations is carried out on a case-by case basis, factoring in severity, imminence, priority and frequency in addition to actual inherent and anticipated residual risk levels. These risks typically have elements completely or partially outside the direct control of UNICEF. Such risks will be systematically eliminated/minimized, where/when possible, within the purview of UNICEF strategic risk-based decision making and subsequent risk response.

➔ Low appetite is used for risks that would either lead indirectly to a negative impact on beneficiaries or have little to no positive impact on children and their families facing humanitarian crises.

*Example of a low appetite risk table:*

|   |
|---|
| <b>Risk:</b> The lack of clear accountabilities leads to weak advocacy and a failure to meet UNICEF’s CCCs and to uphold child rights in emergencies.   |
| <b>Appetite:</b> Low  |
| <b>Mitigation:</b> <ul style="list-style-type: none"> <li>• Include advocacy on the standard EMT agenda</li> <li>• Set clear deadlines for the completion of an initial advocacy strategy</li> <li>• Ensure advocacy capacity is part of HQ and RO support</li> </ul> |

• **Medium appetite:**

The occurrence of risk events in this category are significant, but not significant enough to substantially damage or threaten UNICEF’s programmes, operations or reputation, should they occur. These are areas that UNICEF must constantly strike a balance between the potential upside benefits and potential downside costs of a given decision. These risks are typically incurred during usual business activities and will be eliminated/minimized where/when possible and/or practical.

➔ Medium appetite is used where internal controls are decreased or bypassed to speed up the response to urgent needs. For example, single sourcing may result in a lower value for money, but allow for the delivery of life-saving goods in a shorter time span.

*Example of a medium appetite risk table:*

|  |
|--|
| <b>Risk:</b> Expedited and simplified PD leads to suboptimal programme design. |
| <b>Appetite:</b> Medium  |
| <b>Mitigation:</b> Model HPD, field monitoring, feedback mechanisms, amendment |

• **High appetite:**

The occurrence of risk events in this category is accepted as a preference for disciplined risk-taking because UNICEF has determined the potential upside benefits outweigh the potential costs. These risks are incurred due to UNICEF’s pursuit of its strategic goals and related business processes and will be minimized where/when practical.

→ High appetite is often aligned to the ‘no regrets’ approach, under which UNICEF will err on the side of deploying more capacity and mobilizing more resources in support of the response even if this proves to have been unnecessary after the fact.

*Example of a high appetite risk table:*

|   |
|---|
| <b>Risk:</b> Accelerated deployment of staff to meet immediate needs results in an over-deployment of human resources.                  |
| <b>Appetite:</b> High (based on the ‘no regrets’ approach)  |
| <b>Mitigation:</b> Additional HR capacity; results-focused surge TORs; and close coordination between the Representative, DHR and EMOPS |

| RISK SHARING   |   |   |
|--|---|---|
| Action   | Accountable   | Responsible   |
| <p><b>Risk sharing with CSO implementing partners:</b> CSO implementing partnerships include a measure of risk transference from UNICEF to the implementing partner. Ensure UNICEF equips the partner with resources required to manage and mitigate transferred risks, including:</p> <ul style="list-style-type: none"> <li>Review risks related to a programme document (PD) together and build a joint risk management plan;</li> <li>Provide sufficient Effective and Efficient Management Costs to the CSO implementing partner to roll out adequate risk management procedures. Consider providing flexible funding to national NGOs, especially those operating in high-threat environments, to support them in building longer-term risk management capacity;</li> <li>Fully participate in the Saving Lives Together Framework (📖 See the UN Security Risk Management Section).</li> </ul> | Deputy Representative-Programme   | CO Chief of PME, CO Programme Officers, CO Security Focal Points              |
| <p><b>Risk sharing with donors:</b> Include an open dialogue with donors on risk management and humanitarian principles during all relevant communications with donors on emergency response. This discussion should also address the risks associated with donor conditionality in contexts with sanctions and counter-terrorism measures. At CO-level, for all grant negotiations, include a clear and transparent discussion on the accepted level of risk. Supply Division (SD) should be consulted on all supply-related risks.</p>   | Public Partnerships Division (PPD)/Private Fundraising and Partnerships (PFP)<br><br>Representative | PPD/PFP, ROs, EMOPS<br><br>Representative, CO RM Focal Point, PPD/PFP, RO, SD |

## MANAGEMENT OF CRITICAL REPUTATIONAL RISKS

| Action  | Accountable  | Responsible   |
|---|--|---|
| <p><b>Alert:</b> In the event of any of the following incidents within an emergency response, inform the RD and Directors of EMOPS, OIAI, Division of Global Communications and Advocacy (DGCA) and PPD immediately, in parallel to managing the incident and capturing and escalating as required in Enterprise Governance, Risk Management and Compliance (EGRC).</p> <ul style="list-style-type: none"> <li>Corruption, fraud, looting, destruction or deviation of UNICEF supplies.</li> <li>Misconduct, malfeasance, mismanagement, waste of resources and sexual harassment.</li> </ul> <p>Note: Incidents of sexual exploitation, sexual abuse and child safeguarding violations follow the <a href="#">Notification Alert and Instruction for Reporting Allegations of SEA and Concerns of Abuse (Significant Harm to a Child)</a> and any subsequent policies.</p> | <p>Representative (or RD or Division Director where incidents occur at RO or HQ level)</p> | <p>Representative, RD or Division Director, Director of EMOPS, OIAI, PPD</p>      |
| <p><b>Coordination team:</b> Depending on the scale and nature of the reputational crisis, define who, in addition to the Representative, RD and OIAI, will constitute the coordination team to respond to the crisis. This may include PPD, PFP, SD and/or DGCA, among others.</p>   | <p>Director of EMOPS</p>   |   |
| <p><b>External communication:</b> Define and clearly communicate with the coordination team what information can be shared externally.</p> <p>Based on this decision, PPD/PFP to guide information sharing with relevant donors in close collaboration with OIAI and PSEA Unit (where applicable):</p> <ul style="list-style-type: none"> <li>PPD Public Partner Focal points to communicate with counterparts at the global level and CO RM Focal Point at the field level;</li> <li>DGCA leads on any communication with external media.</li> </ul>   | <p>OIAI, PPD/PFP</p>   | <p>PPD, PFP, DGCA, CO Representative, CO Communications staff, RM Focal Point</p> |

## 2.3 Roles and Responsibilities

Even where a component of a particular procedure is entirely within the responsibility of the CO, the CO does not accept the risk on its own. Risk is shared among field office (FO), CO, RO and HQ Divisions. This mutual accountability has been established through the consultative process of the development of the Emergency Procedures, whereby HQ Divisions, ROs and a Reference Group consisting of staff from all levels developed the procedures and agreed on their risk appetite levels. Specific roles and responsibilities in risk management are detailed below:

- The Director of EMOPS** sets the risk appetite for UNICEF humanitarian action through the release and update of the Emergency Procedures, specifically in the humanitarian risk appetite statements. Additional guidance is provided in the Guidance Handbook in L1, L2 and L3 Emergencies, which outlines component-level risk appetite levels. In doing this, the Director assumes joint accountability for actions taken in accordance with this guidance.
- RDs** support and oversee CO management of risks and controls, retaining joint accountability for risk management.
- Representatives** manage risks with a main objective of meeting humanitarian needs in a timely manner.

They are expected to adhere to the Humanitarian Risk Management Procedure, including the humanitarian risk appetite statement, in the Emergency Procedures.

- **Programme and Operations staff:** All UNICEF staff members are responsible for managing the risks that affect the achievement of objectives related to their areas of work, within their delegated authority.
- **Business Owners** oversee the management of risks and controls within their area(s). In their role as risk owners for their respective functional area of expertise, they provide guidance to the Director of EMOPS on risk appetite levels and ensure that risks and opportunities are managed and are monitored across emergency responses.
- **OIAI** provides independent assurance on risk management practices within the organization during regularly scheduled audits and reviews, including for emergency responses.

## 2.4 Interface with existing risk management frameworks

- **Emergency Preparedness Platform (EPP):** The EPP Step 1 (risk analyses) requires COs to update their risk profiles at least every six months to identify contextual changes in the likelihood and anticipated impact of hazards in the country. COs use updated country risk profiles to reflect the hazards in their Business Continuity Plan and the Security Risk Management document. Reference [Emergency Preparedness Platform](#) (Step 1 of CO track) and the [UNICEF Procedure on Preparedness for Emergency Response](#) (pg. 2).
- **ERM:** The Emergency Procedures are expected to align to the ERM procedure and Enterprise Governance, Risk Management and Compliance (EGRC) as they are rolled out.

- **Security Risk Management (SRM):** SRM is an analytical process of the UN Security Management System (UNSMS) for assessing the UN's operational context to identify the risk level of threats. The SRM supersedes all risk appetite statements in the Emergency Procedures in decisions related to security, together with Programme Criticality Framework (see below).
- **Programme Criticality:** Related to the SRM Framework, the common [UN Programme Criticality Framework](#) balances programme activities against security risks. Programme Criticality is a systematic structured approach to ensure that activities involving United Nations personnel can be balanced against security risks. It supersedes all risk appetite levels in the Emergency Procedures in decisions involving activities involving staff.
- **Harmonized Approach to Cash Transfers (HACT):** UNICEF has adopted the [HACT](#) framework as a risk-based management approach to transferring cash to government and nongovernmental partners. HACT applies in all situations, including in emergency, crisis and post-conflict countries.
- **Anti-fraud Strategy:** UNICEF staff members and third parties acting on UNICEF's behalf play a vital role in the prevention, detection, and deterrence of fraud, waste and abuse. UNICEF's [Anti-fraud Strategy](#) is a pillar of the organization's overall commitment to the promotion and maintenance of the highest level of ethics and integrity.
- **UNICEF Personal Data Protection Policy:** The Policy applies organization-wide and to all personal data collected or further processed by UNICEF in the role of data controller (or joint-controller) or processor. The Policy include limited derogation for personal data handling in designated emergencies ([🔗 See](#) Policy paragraph 49).





### 3. Humanitarian Assessments, Planning, Monitoring, Reporting and Evaluation

STRATEGIC RESULT: CCC 2.3.1 (EXTRACT)

**Children and their communities benefit from appropriate and timely humanitarian action through needs-based planning and results-based management of programmes**

| CCC  | Benchmarks   |
|--|--|
| <p><b>1: Equity-focused data</b></p> <p>Disaggregated data is collected, analysed and disseminated to understand and address the diverse needs, risks and vulnerabilities of children and their communities.</p> | <ul style="list-style-type: none"> <li>Disaggregated data (by age, gender, disability, location and other context-specific considerations) is collected, analysed and disseminated in all assessment, planning, monitoring and evaluation activities.</li> </ul> |



|  |   |
|--|---|
| <p><b>2: Needs assessment</b></p> <p>Coordinated, timely and impartial assessments of the situation, humanitarian assistance and protection needs, vulnerabilities and risks are undertaken.</p>   | <ul style="list-style-type: none"><li>• Needs assessments and analysis are, whenever possible, conducted as joint interagency exercises, and start within 72 hours of a sudden onset crisis, and at least annually for protracted humanitarian situations.</li><li>• Needs assessments and analysis are child- and gender-sensitive, meet interagency standards and use pre-crisis data and feedback from affected populations.</li></ul>   |
| <p><b>3: Response planning</b></p> <p>Response plans are evidence-based and consistent with interagency planning. They address coverage, quality and equity, adapt to evolving needs, ensure conflict sensitivity and link humanitarian and development programming.</p>   | <ul style="list-style-type: none"><li>• Planning is informed by evidence, including needs assessments, vulnerability analysis, pre-crisis data, learning from evaluations/ reviews, partner dialogue and feedback from affected populations.</li><li>• Indicators and targets are identified, including high frequency indicators.</li><li>• Ongoing needs assessment and monitoring plans are in place and reviewed twice a year, addressing coverage, quality, equity and “do no harm”.</li><li>• Humanitarian and development programming are linked through preparedness, system strengthening, resilience and transition planning.</li></ul> |
| <p><b>4: Monitoring</b></p> <p>The humanitarian situation and the coverage, quality and equity of the humanitarian response are monitored to inform ongoing corrective action and future planning processes.</p>   | <ul style="list-style-type: none"><li>• Progress against targets is regularly reported, including through high frequency indicators.</li><li>• Structured field monitoring, including partner dialogue and feedback from affected populations, is undertaken in line with the UNICEF <a href="#">Field Monitoring Guidance</a>.</li><li>• Situation Monitoring tracks evolving humanitarian needs at a frequency appropriate to the context.</li><li>• Intended and unintended consequences are monitored, with a focus on equity and conflict sensitivity.</li></ul>   |
| <p><b>5: Evaluation</b></p> <p>UNICEF’s contribution to humanitarian action is systematically and independently assessed through credible and utilisation-focused evaluations, interagency evaluations and other evaluative exercises, in line with the <a href="#">UNICEF evaluation policy</a> and <a href="#">procedures</a>.</p> | <ul style="list-style-type: none"><li>• Evaluations of humanitarian responses are used for organizational learning, accountability and performance improvements to enhance the systems, policies and programmes of UNICEF and its partners.</li><li>• Evaluative exercises, such as after-action reviews, lessons learned exercises and operational peer reviews, are undertaken early for rapid-onset emergencies, or incorporated into regular strategic planning for protracted responses, to inform corrective action.</li></ul>  |

The Deputy Representative-Programme, with support from the CO Chief of Planning, Monitoring and Evaluation (PME) or equivalent, commits to ensuring appropriate and timely humanitarian action through needs-based planning and results-based management of programmes. The CCCs, UNICEF procedures and supplementary guidance seek to strengthen linkages between needs assessments, implementation, situation monitoring, rapid feedback, decision making, iterative planning and internal governance.

### Key links:

- [UNICEF Reference Guide for Emergency Preparedness and Response](#)
- [Humanitarian PME SharePoint site](#)

## PREPAREDNESS

**Linking the Emergency Preparedness Procedure to Response:** MPS 2 requires COs in medium and high-risk contexts to pre-agree with UNCT/Humanitarian Country Team (UNCT/HCT) and, as feasible, with governments, the multi-sectoral needs assessment tool for UNICEF-led sectors/areas of responsibility. To initiate timely needs assessments within 72 hours of a sudden onset crisis, COs refer to pre-agreed needs assessment arrangements and tools. Reference [Emergency Preparedness Platform](#) (MPS 2, benchmark 2.4 for medium and high risk countries) and the [UNICEF Procedure on Preparedness for Emergency Response](#) (Annex B).

| Action  | Accountable                     | Responsible   |
|---|---------------------------------|---|
| <p><b>Contingency plans:</b> Complete emergency preparedness and hazard-specific contingency plans in line with the <a href="#">UNICEF Procedure on Preparedness for Emergency Response (2020)</a>. These plans can support early drafts of emergency response plans.</p> | Deputy Representative-Programme | CO Chief of Field Operations/ Emergency Manager or Focal Point, CO Programme Chiefs |
| <p><b>Capacity:</b> Consider developing standby long-term agreements (LTAs) or including contingency clauses for third party monitoring, or other monitoring, assessment and evaluation services.</p>   | Deputy Representative-Programme | CO Chief of PME, Deputy Representatives-Programme and Operations                    |

## CAPACITY

| Action   | Accountable    | Responsible   |
|--|----------------|---|
| <p><b>PME Capacity:</b> Review CO capacity for emergency planning, humanitarian performance monitoring (HPM), information management, evaluation and reporting. Where key gaps exist, request temporary staffing (<a href="#">See</a> the Human Resources Section) while recruiting longer-term support.</p> | Representative | Deputy Representative-Programme, CO HR Manager, CO Chief of PME, RO PME, EMOPS, Division of Human Resources (DHR) |

## DATA COLLECTION

| Action   | Accountable     | Responsible  |
|--|-----------------|--|
| <p><b>Data ethics:</b> Collect data only in the best interests of the child and as necessary and directly relevant in-line with the <a href="#">UNICEF Policy on Personal Data Collection (2020)</a>, <a href="#">responsible data for children principles</a>, and the <a href="#">UNICEF Procedure for Ethical Standards in Research, Evaluation, Data Collection and Analysis (2021)</a>.</p> | CO Chief of PME | CO Programme Chiefs, CO Programme and Operations staff |
| <p><b>Data disaggregation:</b> Include relevant disaggregation (sex, age, disability status, refugee/internally displaced person/ migrant/host, other as relevant) in data collection systems, protocols and PDs to the extent that it is safe for the beneficiaries.</p>  | CO Chief of PME | CO Programme Chiefs, Programme staff                   |

| ASSESSMENTS  |                                 |  |
|--|---------------------------------|--|
| Action   | Accountable                     | Responsible  |
| <p><b>Inter-Agency (IA) Rapid Assessment:</b> Influence and participate in sector-specific and multi-sector IA needs assessments, based on assessments developed under the MPS where available.</p> <p>📄 See <a href="#">Humanitarian Assessments SharePoint</a></p> | Deputy Representative-Programme | CO Chief of Field Operations/ Emergency Manager or Focal Point, CO Programme Chiefs, Cluster Coordinators and Information Management Officers (IMOs) |
| <p><b>Risk:</b> UNICEF disengagement with IA assessments leaves key gaps in child-focused information on which to base emergency programming.</p>  |                                 |  |
| <p><b>Appetite:</b> Low</p>  |                                 |  |
| <p><b>Mitigation:</b> UNICEF engagement in IA forums, deployment of adequate PME capacity</p>  |                                 |  |

| PLANNING  |                |  |
|---|----------------|--|
| Action  | Accountable    | Responsible  |
| <p><b>Emergency planning:</b> As set out in the <a href="#">Country Office Work Planning Procedure (2017)</a>, in the case of a sudden-onset emergency or a deteriorating humanitarian crisis, develop a response plan (📄 See <a href="#">template</a>) to accelerate humanitarian action in line with the CCCs and IA planning and with the contingency plans developed under MPS where available. It should be regularized into the CO workplan within 6 to 12 months, where possible<sup>5</sup>. 📄 See <a href="#">CCC Indicator Guidance</a>.</p> <p>Any changes in priorities in the Country Programme should be reflected at the next Country Programme annual review by reviewing the Theory of Change. This may lead to changes in the Activities or Outputs (first option) or the Outcome of the respective Country Programme.</p> <p>🔄 Changes to existing Outcomes or the addition of new Outcomes do not require RO approval. They should be regularized through any upcoming regular or emergency Programme Budget Reviews (PBRs).</p> <p>Integrate the emergency response into existing planning and priorities agreed with government and partners through an exchange of letters with government and/or mid- or end-year review processes.</p> | Representative | Deputy Representative-Programme, CO Chief of Field Operations/ Emergency Manager or Focal Point and Chief of PME, REA and RO PME |



<sup>5</sup> Where a government is a party to conflict, including humanitarian response planning in government-agreed UNICEF workplans may not be possible or appropriate.



|  |                                 |  |
|--|---------------------------------|--|
| <p><b>IA Response Plan:</b> Work with Cluster/Sector Coordinators and partners to develop the IA Response Plan. Ensure coordination and alignment of IA and internal UNICEF plans using the CCCs.</p>  | Deputy Representative-Programme | Deputy Representative-Programme, CO Programme Chiefs, Chiefs of Field Office (CFOs), Cluster/Sector Coordinators |
| <p><b>Indicators:</b> Align the indicators chosen in donor appeals (e.g. HAC), HPM, IA plans (e.g. Humanitarian Response Plan-HRP), UNICEF plans, Results Assessment Module (RAM) in inSight, PDs and Small-Scale Funding Agreements. Indicators should measure the quality and equity of humanitarian programming, as well as coverage.</p> <p><a href="#">See CCC Indicator Guidance</a></p> | CO Chief of PME                 | CO Chief of PME, Cluster Coordinators, CO Programme Chiefs   |
| <p><b>VISION Structure:</b> Create a humanitarian results structure in VISION to allow the immediate transfer of resources.</p> <p><a href="#">See the PPPX guidance</a> and Humanitarian PME QuickGuide.</p>  | Deputy Representative-Programme | Deputy Representative-Programme, CO Chief of PME   |
| <p><b>Country Programme Document (CPD):</b> When political or other country circumstances are significant enough to change Outputs and Outcomes of an ongoing Country Programme, these can and must be changed and amended and/or the CPD extended as per the <a href="#">PPPX CPD Extension Guidance</a>.</p>   | Deputy Representative-Programme | Deputy Representative-Programme, CO Chief of PME, RO PME   |



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## MONITORING

| Action   | Accountable                     | Responsible  |
|--|---------------------------------|--|
| <p><b>Humanitarian Performance Monitoring (HPM):</b> Implement HPM, including:</p> <ul style="list-style-type: none"> <li>• High frequency partner reporting for rapid course correction and as part of the sitrep reporting;</li> <li>• Field monitoring for verification of reporting and quality monitoring in line with the <a href="#">UNICEF Field Monitoring Guidance 2018</a>;</li> <li>• Cluster coordination monitoring;</li> <li>• Tracking key UNICEF operations support indicators.</li> </ul>  | Deputy Representative-Programme | CO Chief of PME and/ or CO Chief of Field Operations/ Emergency Manager or Focal Point, CO Programme Chiefs    |
| <p><b>Field monitoring:</b> Develop and implement a field monitoring plan based on programmatic risk (the consequences of programme success or failure) (☑ See the CO EGRC, <a href="#">UNICEF Field Monitoring Guidance 2018</a> and <a href="#">Annex 2 Field monitoring informed by programmatic risk</a>. The purpose of this increased field monitoring is to ensure rapid identification and correction of poor programme design or implementation, and monitoring of key PSEA concerns. For each programme, determine the unit of observation, frequency of monitoring, sampling methodology, measures of quality, relevant disaggregations and methods of data collection, data triangulation and analysis. Adopt a flat, locally determined percentage of all grants to be allocated to field monitoring.</p> | Deputy Representative-Programme | Deputy Representative, CFO, CO Chief of Field Operations/ Emergency Manager or Focal Point and CO Chief of PME |
| <p><b>Reporting and Feedback Mechanisms:</b> Provide support for the establishment of confidential reporting mechanisms for sexual exploitation and abuse and effective mechanisms for two-way communication with affected populations in line with the PSEA and Accountability to Affected Populations (AAP) Sections.</p>  | CO Chief of PME                 | CO PSEA and AAP Focal Points, with technical support from RO/HQ  |
| <p><b>Risk:</b> Field monitoring focuses on easily accessible locations or easy-to-find populations, leading to lower quality programming in hard-to-reach areas.</p>  |                                 |  |
| <p><b>Appetite:</b> Low</p>  |                                 |  |
| <p><b>Mitigation:</b> Focus field monitoring based on urgency; purposive or structured random sampling to ensure a broad coverage of partners, geographic areas and beneficiaries.</p>   |                                 |  |
| <p><b>Risk:</b> Increased field monitoring is excessively time consuming for programme personnel, affecting their ability to deliver their full range of duties.</p>   |                                 |  |
| <p><b>Appetite:</b> Medium</p>   |                                 |  |
| <p><b>Mitigation:</b> Increased guidance and tools for the use of third-party monitors, digital data collection.</p>   |                                 |  |

## EXTERNAL REPORTING

| Action   | Accountable    | Responsible  |
|--|----------------|--|
| <p><b>Situation Report (sitrep):</b> Issue the first sitrep (<a href="#">📄 See template</a>) within three days of a sudden onset emergency, based on the best available data on the humanitarian crisis and any first actions undertaken.</p> <p>Include a results table of high frequency indicators no later than six weeks from the onset of an emergency or declaration of L2 or L3. Disaggregate the results as appropriate for the intervention and context.</p> <p><a href="#">📄 See</a> the <a href="#">Guidance on sitrep Purpose, Scope, Accountabilities and Distribution (2015)</a>.</p> | Representative | CO Chief of Field Operations/ Emergency Manager or Focal Point and/or Chief of PME, CO Chief of Communications |
| <p><b>IA reporting:</b> Ensure appropriate and timely reporting to and by clusters or other IA coordination mechanisms. This may require adjustments to the UN Cooperation Framework and/or requirements for UNCT reporting through UN-INFO.</p>   | Representative | CO Chief of Field Operations/ Emergency Manager or Focal Point and/or Chief of PME, CO Chiefs of Programme     |

## EVALUATION

| Action  | Accountable  | Responsible |
|---|--|-------------|
| <p>In line with the <a href="#">UNICEF Evaluation Policy 2018</a> and <a href="#">Procedures</a>, schedule an evaluation for each L3 and L2 emergency at least once. All other emergencies are included in other planned evaluations, including through country programme evaluations.</p> <p>Use other evaluation exercises (reviews, assessments, operational peer reviews, lessons learned, etc.) as required, especially for rapid onset emergencies.</p> <p>All protracted emergencies are evaluated once every three years.</p> | Director of EMOPS or Global Emergency Coordinator (L3)<br>RD (L2)<br>Representative (L1) |             |
| <p><b>Risk:</b> Evaluations are not systematically planned and resourced, leading to humanitarian crises not being evaluated as per the Evaluation Policy.</p>  |  |             |
| <p><b>Appetite:</b> Low</p>   |  |             |
| <p><b>Mitigation:</b> The RD (L1), RD (L2) and/or Director of EMOPS (L3) to advocate for evaluations as per the Evaluation Policy; include humanitarian evaluations in humanitarian appeals, and ensure measures are in place to strengthen the capacity of staff to ensure well planned quality evaluations for better performance, continuous improvement and strengthened accountability.</p>  |  |             |



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## 4. Resource Mobilization (RM)

| CCCS 3.6 (EXTRACT)   | BENCHMARKS   |
|--|--|
| <p><b>1: Mobilization of adequate and quality resources</b></p> <p>Adequate and quality resources are mobilized in a timely and predictable manner to support preparedness and response to humanitarian and protection needs, particularly of the most vulnerable populations.</p> | <ul style="list-style-type: none"> <li>• Multi-year, predictable and flexible funding is mobilized from private and public sectors to reduce the gap between humanitarian needs and the resources available to meet them.</li> <li>• Funding is secured to support preparedness for faster, timely and more cost-effective responses.</li> <li>• Internal funding mechanisms (Emergency Programme Fund and Thematic Funding) are used to rapidly respond and scale up programmes.</li> </ul> |
| <p><b>2: Linking humanitarian and development resources</b></p> <p>Integration of humanitarian and development resources is enhanced.</p>  | <ul style="list-style-type: none"> <li>• Strategic investments are made from UNICEF thematic pools to support preparedness, humanitarian response and activities related to system-strengthening and resilience-building.</li> <li>• Localization of humanitarian and development programming is supported through multi-year, predictable and flexible funding. Systems are in place to track, monitor and report on these investments.</li> </ul>  |



### 3: Impartiality and risk-sharing

Resources are allocated impartially, based on the needs of affected populations.

- Available resources are allocated based on needs assessment.
- Procedures are in place to manage donor conditions at CO level.
- Donors are aware of and understand UNICEF risk management policies.

The senior CO Resource Mobilization (RM)/Partnerships staff member ('CO RM Focal Point') coordinates the responsible actors in RM/partnerships, communications and PME to ensure the availability of quality resources to meet priority humanitarian needs for children. In the absence of an RM/partnerships function, the Representative appoints a dedicated point of contact for coordination of RM efforts. The Representative retains overall accountability for RM efforts.

### Key guidance:

- [PFP Emergencies](#)
- [PPD Country Office Support](#)
- [PPD Humanitarian Partnerships and Financing Team](#)

**Linking the Emergency Preparedness Procedure to Response:** MPS 7 requires COs to put in place a RM Strategy to enhance UNICEF's readiness to respond. The Strategy should list current and potential donors and private sector partners for emergency response. At the onset of an emergency, the strategy supports a timely resource mobilization effort. Reference [Emergency Preparedness Platform](#) (Step 4; MPS 7, benchmark 7.1 for all risk contexts and benchmark 7.3 for high-risk countries) and the [UNICEF Procedure on Preparedness for Emergency Response](#) (Annex B).

## SUDDEN ONSET EMERGENCIES

| Action   | Accountable    | Responsible   |
|--|----------------|---|
| <b>Preparations for predictable emergencies:</b> Where the EMOPS/Risk Analysis and Preparedness Section (RAPS) Horizon Scan flags the risk of an oncoming emergency, organize a coordination call.   | EMOPS RAPS     | EMOPS: RAPS, HFSS, OPSCEN                             |
| <b>Online platform:</b> Set up a single SharePoint page either in advance of a predicted emergency or immediately upon onset, to host the most updated information on the emergency for use by all RM actors. Populate the platform with all existing materials (e.g. fact sheets, costed preparedness plans, external communications materials and visuals, maps, etc.).<br><br>In the first weeks of an emergency, ensure the online platform is updated daily, including funding requirements and pipeline. <a href="#">See</a> an example of a pipeline <a href="#">tracker online</a> . | OPSCEN         | OPSCEN, CO RM Focal Point, RO, EMOPS, PFP, PPD, DGCA  |
| <b>Green light:</b> Develop <a href="#">a holding statement</a> . This initial statement should include a clear 'green light' for PPD and PFP to begin immediate fundraising efforts. The statement or fact sheet is disseminated by OPSCEN.   | Representative | CO Chief of Communications, CO RM Focal Point, OPSCEN |
| <b>Deployment:</b> Request an emergency fundraising content specialist if required to ensure fundraising assets are produced and distributed when the media interest is highest ( <a href="#">See</a> Human Resources Section).  | Representative | CO Chief of Communications, DHR, PPD, PFP             |



|  |        |  |
|--|--------|--|
| <b>Media monitoring:</b> Measure the impact of media pushed out and feed it back to improving the fundraising/public engagement.   | DGCA   | DGCA, RO and CO Chiefs of Communications |
| <b>Daily updates:</b> Send daily updates on the situation, collected from CO and HQ Divisions.   | OPSCEN |  |
| <b>Risk:</b> Delayed action in the days following a sudden onset emergency leads to missed opportunities for public and private resource mobilization, and results in an underfunded response. |        |  |
| <b>Appetite:</b> Low   |        |  |
| <b>Mitigation:</b> ERT fundraising deployment, development of fundraising documents, coordination among RM, communications and PME/IM colleagues.  |        |  |

| IMMEDIATE FUNDING OPTIONS   |                |   |
|---|----------------|---|
| Action  | Accountable    | Responsible   |
| <p><b>Reprogramming:</b> Reprogramme the necessary regular resources (RR) to effectively respond to the emergency with the agreement of national authorities, as relevant, and report the reprogramming to PPD and EMOPS.</p> <p>Reprogramme thematic funds, other resources-regular (ORR) and other resources-emergency (ORE) as required. Obtain agreement in writing from the donor to reprogramme ORR and ORE, and then share with PPD (for public donors) and PFP (for private donors).</p> <p>Ensure minimum allocations for gender equality priorities (15 per cent of funds) in line with UN standards.</p> | Representative | Deputy Representative-Programme, RD for thematic funds, PPD/PFP to support reprogramming as requested |
| <p>↻ <b>Emergency Programme Fund (EPF):</b> Submit a request for EPF as per guidelines where requirements exceed funds available for reprogramming.</p>   | Representative | Representative, Deputy Representative-Programme, EMOPS  |
| <p>↻ <b>With an L2 declaration,</b> draft a note for the record to recommend a minimum no-regrets EPF allocation of \$2,500,000 (including \$500,000 earmarked for PSEA), with a sufficient amount to establish monitoring and information management systems and sector/cluster coordination mechanisms. Fast track EPF clearance by mail poll (PD, PPD, and Office of the Executive Director-OED).</p>  | EMOPS          | Representative, Deputy Representative-Programme, RD, EMOPS  |
| <p>→ <b>With an L3 declaration,</b> follow the same process as an L2 for \$5,750,000 in EPF (including \$750,000 earmarked for PSEA).</p>   |                |   |
| <b>Risk:</b> Resources are over-allocated at the onset of an emergency or L2/L3 declaration, leading to difficulty fully expending and/or replenishing EPF.   |                |   |
| <b>Appetite:</b> High   |                |   |
| <b>Mitigation:</b> Advocacy for unearmarked funds, return of unused EPF.  |                |   |

| HAC APPEAL   |                |  |
|--|----------------|--|
| <a href="#">HAC Collaboration Site</a>   |                |  |
| Action   | Accountable    | Responsible  |
| <p><b>HAC Development:</b> Develop (or update) the <a href="#">HAC appeal for the crisis</a>. Clear it with RO and EMOPS. All HACs must include an explicit gender-based violence (GBV) response.</p> <p>Once an IA appeal is in place or existing IA plan is updated, the HAC should be updated and aligned with the appeal/plan.</p> <p>⊕ Outside the annual HAC development process, develop only the minimum required external narrative, targets and budget requirements. Internal details can be completed as the situation evolves.</p> | Representative | CO Chief of Field, Operations/ Emergency Manager or Focal Point and/or Chief of PME, RO, EMOPS, RM Focal Point, Programme Division |
| <p><b>Financial Tracking System (FTS):</b> Ensure timely FTS submission:</p> <ol style="list-style-type: none"> <li>1. Monthly per HAC and grants;</li> <li>2. Quarterly per HAC and per sector (<a href="#">See Guidance on Quarterly Reporting</a>);</li> <li>3. Ad-hoc reporting as requested by IASC.</li> </ol>   | PPD            | PPD, CO and RO RM Focal Points   |

| RESOURCE MOBILIZATION   |                |  |
|---|----------------|--|
| Action  | Accountable    | Responsible  |
| <p><b>Action Plan:</b> Activate, adapt or newly develop (if not done under MPSs), an RM Action Plan which includes:</p> <ul style="list-style-type: none"> <li>• Fundraising targets;</li> <li>• Potential donors (public and private) and plans on how to engage with them;</li> <li>• Who is responsible for engagement with partners;</li> <li>• Timelines.</li> </ul> | Representative | CO RM Focal Point, with RO, PPD and PFP support as requested                           |
| <p><b>Central Emergency Response Fund (CERF):</b> Liaise with relevant Cluster Coordinators and IA coordination structures on <a href="#">CERF allocations</a>. Based on the clusters' draft CERF requests, submit CERF proposals for UNICEF-led clusters and areas of responsibility.</p>  | Representative | CO RM Focal Point, Sector/Cluster Coordinator, with PPD and EMOPS support as requested |
| <p><b>Country-based pooled funds (CBFs):</b> Where appropriate, work with relevant clusters to reflect UNICEF needs in <a href="#">CBF proposals</a>.</p>   | Representative | CO RM Focal Point, Sector/Cluster Coordinator  |



## 5. Communications and Humanitarian Advocacy

### CCCS 3.4 EXTRACT

### BENCHMARKS

#### 1: Communication

Accurate information on the situation and needs of children, women and their communities and UNICEF's response are shared in a timely manner.

In line with UNICEF's child safeguarding policy and ethical and safety standards:

- Communication strategies are implemented in a coherent manner at country, regional and global levels.
- Information is released rapidly and regularly in anticipation of, and during the immediate aftermath (within 24 hours) of new emergencies or new developments in protracted crises.
- Key messages and updated facts are regularly shared with external audiences through media, digital channels and multi-media assets supporting audience engagement and resource mobilization.



## 2: Advocacy

Advocacy is conducted at country, regional and global levels to protect the rights of children, women and their communities, promote adherence to international laws and standards, facilitate principled humanitarian access and the delivery of programmes, and promote child-friendly policies and practices.

- Advocacy strategies are actioned in a coherent manner at country, regional and global levels to address priority child rights issues and critical programming or policy gaps.
- Reliable data and child-specific information are regularly collected and used safely and ethically to influence decision-makers.

### 1.4.2 Humanitarian advocacy

UNICEF is mandated to promote and protect the rights of all children, guided primarily by the CRC and its Optional Protocols, as well as international humanitarian law. UNICEF conducts humanitarian advocacy to:

- Facilitate the delivery of humanitarian assistance;
- Secure unimpeded and principled humanitarian access to populations in need;
- Promote adherence to international and regional legal norms, standards and principles;
- Promote accountability of perpetrators of child rights violations;
- Raise international and national awareness of the situation of children and of humanitarian and protection needs, particularly of the most vulnerable;
- Trigger rights-based and equitable development and strengthening of national policies, budgets, decisions and legislation, to contribute to positive social transformation and enable affected populations to claim their rights;
- Advocate for the rights and voices of children and women as an integral component of humanitarian action.

The CO Representative has primary accountability to ensure principled humanitarian advocacy within an emergency response. This can span local, national, regional and global advocacy. COs should work alongside RO and HQ teams to consider whether advocacy is predominantly private or whether it includes public components. This should be based on:

- a. A strategic assessment of what approach will have the most impact;
- b. An assessment of UNICEF's responsibility to speak out compared to the risks of doing so.

UNICEF has a special duty to speak out on grave violations of children's rights; this is core to the UNICEF mandate and the default should always be to speak up. Communication efforts for awareness raising or fundraising must never undermine established advocacy goals.

### Key guidance:

- The [Advocacy Portal and the Decision Making Procedure for Public Advocacy on Grave Violations of Children's Rights](#).

## PREPAREDNESS

**Linking the Emergency Preparedness Procedure to Response:** MPS 7 in the EPP requires COs to put in place advocacy and communications strategies and arrangements before emergencies. COs in medium and high-risk contexts also establish LTAs with multimedia producers, and define CO media spokespersons, key advocacy and communication messages, factsheets and Q&As. At the onset of an emergency, these preparedness products enable a rapid response and sharing of accurate information. Reference [Emergency Preparedness Platform](#) (MPS 7, benchmark 7.2 for medium risk countries and benchmarks 7.2, 7.4, and 7.5 for high risk countries) and the [UNICEF Procedure on Preparedness for Emergency Response](#) (Annex B).

| Action  | Accountable        | Responsible                                   |
|---|--------------------|---|
| <p><b>Capacity building:</b> Provide advocacy and communication capacity building and support to COs to:</p> <ul style="list-style-type: none"> <li>• Create an Advocacy Strategy, engaging relevant stakeholders;</li> <li>• Make decisions about when to speak out on grave violations;</li> <li>• Create and disseminate key communication materials.</li> </ul> | RO, EMOPS and DGCA | RO, EMOPS and DGCA, relevant programme teams. |

## ACCOUNTABILITY AND COORDINATION

| Action   | Accountable    | Responsible  |
|--|----------------|--|
| <p><b>Roles and responsibilities:</b> Immediately after a sudden-onset emergency, and as a first step for all other emergencies where not yet done, establish clear roles, responsibilities and accountabilities for advocacy and communication – ensuring ownership by CO senior staff – with support from the RO and HQ.</p> | Representative | Representative, CO and RO Chiefs of Communication, DGCA, EMOPS                         |
| <p><b>IA coordination:</b> Coordinate with IA actors to agree on common advocacy priorities as well as to support advocacy within the cluster system.</p>  | Representative | Representative, EMOPS, CO and RO Chiefs of Communication, Sector/ Cluster Coordinators |

**Risk:** The lack of clear accountabilities leads to weak advocacy and a failure to meet UNICEF’s CCCs and to uphold child rights in emergencies.

**Appetite:** Low

**Mitigation:**

- Include advocacy on the EMT agenda.
- Set clear deadlines for the completion of an initial advocacy strategy.
- Ensure advocacy capacity is part of HQ and RO support.

**Risk:** Lack of shared accountability and risks at RO and HQ levels leads to the Representative being fully ‘exposed’ to any negative repercussions of speaking out.

**Appetite:** Low





|   |
|---|
| <p><b>Mitigation:</b></p> <ul style="list-style-type: none"> <li>• In L3 and most L2 emergencies, ensure any public media statements are cleared by RO and HQ. Social media should be based on agreed messaging.</li> <li>• RO and HQ issue public statements directly as needed, in coordination with the CO.</li> <li>• Leverage the support of partners to minimize the risks associated with speaking up.</li> <li>• Ensure any decisions about speaking out on grave violations follow existing procedures.</li> </ul> |
| <p><b>Risk:</b> Lack of coordination on advocacy leads to too few or too many actors speaking out, diluting the efficacy of the efforts.</p>  |
| <p><b>Appetite:</b> Low</p>   |
| <p><b>Mitigation:</b></p> <ul style="list-style-type: none"> <li>• Establish clear coordination mechanisms as part of the HRP and EMT.</li> <li>• Agree on roles and responsibilities for advocacy and communication across CO, RO and HQ from the outset.</li> </ul>   |

| HUMANITARIAN ADVOCACY STRATEGY  |   |   |
|---|---|---|
| Action  | Accountable                             | Responsible   |
| <p><b>Advocacy priorities:</b> With key partners, identify advocacy priorities, ideally no more than three. Develop specific, measurable, achievable, realistic and timebound (SMART) ‘advocacy outcomes’.</p>  | Representative                          | Representative, Country Management Team (CMT), CO and RO Chiefs of Communications |
| <p><b>Advocacy and Communications Strategies:</b> Develop, roll out, monitor and document an integrated Advocacy Strategy and Plan in line with the MPSs.</p> <p>A suggested Advocacy Strategy <a href="#">template is available here</a>, which includes detailed advice on using media and communication as a route to change, along with more information on <a href="#">turning this strategy into an Advocacy Plan</a>.</p> <p>Note: This component is mandatory for L3 and L2 responses only (recommended for all other emergency responses).</p> | Representative                          | Representative, CO and RO Chiefs of Communications                                |
| <p><b>Documentation:</b> Document and update the Advocacy Strategy and Plan and share with stakeholders across the organization so they are aware of plans and priorities and are accountable to agreed outcomes.</p>   | Lead for the Advocacy Strategy and Plan |   |
| <p><b>Risk:</b> A lack of strategic planning leads to weak advocacy, and a failure to meet UNICEF’s CCCs and to uphold child rights in emergencies.</p>   |   |   |
| <p><b>Appetite:</b> Low</p>   |   |   |
| <p><b>Mitigation:</b></p> <ul style="list-style-type: none"> <li>• Establish a clear Advocacy Strategy and Plan from the outset.</li> <li>• Seek advice and support from RO and HQ to build advocacy and subject matter capacity.</li> </ul>  |   |   |
| <p><b>Risk:</b> A lack of shared understanding of the Advocacy Strategy and Plan leads to confusion and an ineffective use of resources and relationships.</p>  |   |   |





**Appetite:** Low

**Mitigation:**

- Document the Advocacy Strategy and Plan.
- Establish a knowledge management lead who can work across CO, RO and HQ to ensure an adequate information flow.

### CHILDREN'S RIGHTS VIOLATIONS

| Action  | Accountable  | Responsible |
|---|--|-------------|
| <p><b>Speaking out:</b> Decide how and when to speak out or otherwise advocate on all child rights violations, including grave violations, based on best interest of children and a thorough risk assessment. If private advocacy is deemed more effective in achieving results, this should be justified at a senior level. Where child's rights violations occur, including grave violations, the '<a href="#">Decision making procedure for public advocacy on grave violations of child rights in complex and high threat environments</a>' should guide the process.</p> <p> See <a href="#">Annex 4</a> for detailed guidance and risk matrix</p> | <p> See <a href="#">detailed Responsible, Accountable, Supporting, Consulted and Informed (RASCI) in Annex 4</a></p> |             |



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## REVIEW CAPACITY AND RISKS

| Action  | Accountable    | Responsible  |
|---|----------------|--|
| <b>Existing capacity:</b> Review existing communications and advocacy capacity and identify any urgent requests for additional support ( <a href="#">📄 See</a> the Human Resources Section).                              | Representative | Representative, CO HR Manager, CO and RO Chiefs of Communications, DGCA, EMOPS |
| <b>Spokespersons:</b> Identify spokespersons from CO and RO, including nationalities, languages and subject matter expertise, and share the list within UNICEF and National Committees and to media contacts.             | Representative | Representative and CO and RO Chiefs of Communications                          |
| <b>Risk 4:</b> UNICEF is not adequately prepared to speak out on a given emergency, thus fails to meet key RM requirements and to uphold child rights in emergencies.   |                |  |
| <b>Appetite:</b> Medium   |                |  |
| <b>Mitigation:</b>  |                |  |
| <ul style="list-style-type: none"> <li>Identify spokespersons from the outset, with RO and HQ.</li> <li>Conduct regular spokesperson training across the CMT to ensure a wide pool of potential spokespersons.</li> </ul> |                |  |

## PRODUCTION OF COMMUNICATIONS MATERIALS

| Action  | Accountable    | Responsible  |
|---|----------------|--|
| <b>Communication materials:</b> <a href="#">📄 See Annex 5</a> for detailed guidance and a detailed overview of how to approach different materials. | Representative | Representative, CO and RO Chiefs of Communication<br><i>N.B. RO and HQ clear media products in L3s and some L2s.</i> |



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## 6. Humanitarian Access

| COMMITMENT   | BENCHMARKS  |
|--|---|
| <p>Seek to establish and maintain humanitarian access, so that all affected populations can safely and consistently reach assistance and services.</p> | <p>All COs, with the support of ROs/HQ:</p> <ul style="list-style-type: none"> <li>• Establish internal coordination mechanisms which define roles, responsibilities, processes, and tasks related to humanitarian access.</li> <li>• Identify and equip relevant staff with requisite knowledge, skills, materials, and tools on principled humanitarian action and operating in complex and high threat environments (including civil-military coordination, negotiations for access and humanitarian advocacy).</li> <li>• Seek engagement with all parties to conflict, and other stakeholders, as necessary and feasible to earn and maintain access to and for the populations in need.</li> <li>• Proactively pursue acceptance among communities and stakeholders.</li> <li>• Engage in coordination mechanisms to establish and maintain principled humanitarian access, in collaboration with UN Agencies, national and local authorities and CSOs, within existing coordination mechanisms such as the Humanitarian Country Team, the United Nations Country Team (UNCT), the Security Management Team (SMT), and the cluster/sector coordination mechanisms.</li> </ul> |

If constrained humanitarian access and/or the presence of non-state actors contribute or lead to an emergency activation, UNICEF must take early and sustained action to meet the commitment and benchmarks for humanitarian access found in the CCCs. The ability to scale up assistance

for populations in hard-to-reach areas, due to various access constraints, is contingent on there being sufficient capacity for humanitarian access spread across a number of functional areas.

| INTERNAL ACCESS COORDINATION   |                        |  |
|--|------------------------|--|
| Action   | Accountable            | Responsible  |
| <p><b>Access Focal Point (AFP):</b> Designate a CO AFP to coordinate humanitarian access across functional areas and FOs. The CO AFP reports directly to the Representative on humanitarian access. Establish AFPs at FO, with a reporting line to the CFO, where deemed relevant.</p> <p>The AFP(s) will also support the Representative to coordinate key positioning on humanitarian access issues and to decide level of involvement in inter-agency platforms.</p> <p><a href="#">See</a> Access Field Manual, Section 2: The Humanitarian Process under the heading Staff and heading Coordination</p> | Representative         | AFPs (once appointed) with support from EMOPS and RO, as required              |
| <p><b>AFP orientation:</b> Become familiar with the Access Field Manual (AFM) and other access-related humanitarian policies and guidance, common access constraints, including bureaucratic and administrative impediments, as well as the programmes, operations, conflict dynamics and basic security procedures and processes in area of responsibility.</p> <p><a href="#">See</a> Access Field Manual</p>  | Representative         | AFPs   |
| <p><b>Decide on engagement with armed actors, both state and non-state:</b> Decide whether to engage with each actors including armed non-state actors (ANSA), in consultation with the RD and Director of EMOPS, and in line with the framework for accountability found within the Policy for Engagement with Armed Non-State Actors.</p> <p><a href="#">See</a> Policy for Engagement with Armed Non State Actors</p>   | Representative         | Representative, RD and Director of EMOPS                                       |
| <p><b>Focal Point for engagement with ANSAs:</b> Designate the Representative or another staff member to lead engagement with ANSAs, in consultation with the RD, EMOPS Director and CO Security Focal Point.</p> <p><b>FO (where relevant):</b> In consultation with the Representative, the CFO decides whether s/he or a designated senior staff member will lead engagement with ANSAs at the FO-level.</p> <p><a href="#">See</a> Policy for Engagement with Armed Non-State Actors</p>   | Representative<br>CFOs | Representative or Staff with Delegated Authority<br>CFOs, Representative, AFPs |





|   |                       |   |
|---|-----------------------|---|
| <p><b>Roles and responsibilities:</b> CO and FOs to delegate access-related responsibilities across functions and make the roles and responsibilities explicit.</p> <p>Special consideration should be given to decide lead negotiators. As a default, these will be the CO Representative and CFOs. However, all staff can be considered. Those chosen must work closely with the AFPs who be responsible for coordinating access across programmatic and operational areas.</p> <p><b>See AFM, Section 2: The Humanitarian Process</b> under the headings Enablers and Staff</p>  | <p>Representative</p> | <p>Representative, CFOs, AFPs</p>   |
| <p><b>Access Strategy:</b> Update or develop an Access Strategy which includes key access constraints; access roles, responsibilities and mechanisms across functional areas; and external engagement. The update/development of the Access Strategy includes the decision, or review of the decision, to engage with armed actors, both State and non-State, where these are present and when engagement is programmatically or operationally necessary (for armed non-State actors, in accordance with the Guidelines for UNICEF engagement with armed non-State actors).</p> <p>The strategy should consider:</p> <ul style="list-style-type: none"> <li>• Access constraints such as denials, refusals, or blockages; bureaucratic, political or administrative impediments; conflict (ongoing or high risk of occurrence); violence (actual or risk of attacks on humanitarian staff or objects); interference in operational independence; unexploded ordnance/mines; environmental impediments (hazards, difficult terrain or poor infrastructure); impediments or hazards for civilian populations accessing assistance or services.</li> <li>• Clear 'red flags' that indicate when principled humanitarian action could become compromised.</li> <li>• Partner engagement in the access strategy.</li> </ul> <p><b>See Tool:</b> Access Strategy Template</p> | <p>Representative</p> | <p>AFPs with support from EMOPS (Humanitarian Policy Section-HPS) and RO, as required</p> |
| <p><b>L2/L3:</b> If required, request an ERT Emergency Coordinator, or other staff with relevant experience as surge staff for humanitarian access. Surge staff will be temporary, and will focus on implementing the Emergency Procedures, as well as the commitments and benchmarks for humanitarian access. Surge staff will then hand over to a designated AFP.</p>   | <p>Representative</p> | <p>Representative, DHR, EMOPS</p>   |
| <p><b>Risk:</b> Poor coordination results in under performance. Rather than deliberate processes, ad hoc working modalities emerge which do not include all the relevant actors. Worse yet, staff members compete for lead roles related to humanitarian access, undermining the delivery of programmes and contributing to burn out due a competitive atmosphere.</p>  |                       |   |
| <p><b>Appetite:</b> Low</p>   |                       |   |
| <p><b>Mitigation:</b> Support from RO and HQ to focus on deliberate decision-making for access roles, responsibilities, and processes, based on established good practices and lessons learned. The CO AFP will liaise with the RO and EMOPS-HPS to ensure decisions related to access coordination are deliberate and perceived as legitimate. All staff will know their role, responsibilities, and how they are expected to work together.</p>   |                       |   |

| ACCESS CAPACITY BUILDING  |             |                             |
|---|-------------|-----------------------------|
| Action  | Accountable | Responsible                 |
| <p><b>Orientation:</b> Organize Humanitarian Access Orientation Briefings and Discussions for relevant staff at CO and FOs as required or upon request by the CO. Participation of leading NGO partners is optional but recommended.</p>                                      | EMOPS-HPS   | EMOPS-HPS<br>CO and FO AFPs |
| <p><b>Risk:</b> Without the proper knowledge, skills, and attitudes, staff are less effective in establishing principled and unimpeded access. They could pose legal, reputational, financial, safety and security risks to UNICEF, themselves, partners and populations.</p> |             |                             |
| <p><b>Appetite:</b> Low</p>   |             |                             |
| <p><b>Mitigation:</b> Assess staff capacities related to humanitarian access and ensure they are provided with learning and capacity building opportunities. Representatives and AFPs work with EMOPS-HPS to ensure staff receive necessary capacity building.</p>            |             |                             |

| ENGAGEMENT WITH PARTIES TO CONFLICT AND OTHER ARMED FORCES  |                |  |
|---|----------------|--|
| Action  | Accountable    | Responsible  |
| <p><b>Engage with ANSAs:</b> When programmatically or operationally necessary, initiate and sustain engagement with ANSAs. Engagement can begin at senior or technical level.</p> <p>Simultaneously, engagement with the government should be ongoing and they must be made aware of engagements with ANSAs without getting into those details which might compromise UNICEF's neutrality.</p>  | Representative | Representative,<br>CFOs, Designated ANSA<br>Focal Point  |
| <p><b>Negotiate technical arrangements:</b> Make or maintain contact with government and non-government authorities (including ANSAs as relevant and necessary) and seek to negotiate technical arrangements, as necessary, related to modalities for movement or programme delivery.</p> <p>Engagement with the government will also be required to explain the nature of UNICEF engagement with the de facto authorities.</p>   | Representative | Representative, CFOs,<br>Designated ANSA<br>Negotiators, |
| <p><b>Risk:</b> Not engaging with all parties to conflict and other stakeholders limits humanitarian access and large segments of populations in need are missed. It also increases security risks for staff in areas where ANSA are present.</p> <p>It poses reputational, fiduciary and security risks to engage parties to conflict in a haphazard manner; without proper analysis, organization, or definition of related roles, responsibilities and delegations of authority.</p> |                |  |
| <p><b>Appetite:</b> Low</p>   |                |  |
| <p><b>Mitigation:</b> Seek to engage with all parties to the conflict in a principled manner. EMOPS-HPS has developed a policy/ guidance note on how to engage with ANSA while mitigating risk to the greatest extent possible.</p>   |                |  |

## INTERAGENCY ACCESS COORDINATION

| Action   | Accountable    | Responsible   |
|--|----------------|---|
| <p><b>Establish contact with other key humanitarian actors:</b><br/>Coordinate key positioning on humanitarian access issues with counterparts of other organizations leading in humanitarian access within the context (e.g. Humanitarian Coordinator/Resident Coordinator, Heads of OCHA, WFP, International Federation of the Red Cross and Red Crescent (IFRC), significant NGO partners, etc.).</p> <p><b>Technical level:</b> Establish and maintain contact with technical counterparts at organizations which are either leading in, or have an impact on, humanitarian access within their area of operation (e.g. UNOCHA, WFP, IFRC, MSF, etc.).</p> <p><a href="#">📄 See AFM</a></p>  | Representative | Representative<br><br>AFPs                            |
| <p><b>IA access initiatives:</b> Decide on UNICEF’s level of involvement in IA mechanisms and initiatives pertaining to humanitarian access.</p> <p>These decisions will be made by the CFOs at the FO level. The decision-maker should consider the time commitment, the value derived, the value contributed, and the risk of association for each external access initiative.</p>   | Representative | Representative<br>CFOs, AFPs                          |
| <p><b>Civil-Military Liaison (CML):</b> Designate CMLs at CO and FO levels to ensure the flow of contextual information from military and other security forces to UNICEF and its partners pertaining to security, needs, and other conditions of relevance to humanitarian access and/or the operating environment.</p>   | Representative | Representative,<br>CFOs                               |
| <p><b>Civil-Military Defense Assets (MCDAs):</b> In situations of conflict, actual and perceived <i>distinction</i> with armed actors is essential to ensure that humanitarians maintain acceptance, security and access to and among affected populations. To preserve this distinction during conflict, the use of MCDAs, including armed escorts, should be strictly avoided.</p> <p>Whether in situations of conflict or other peacetime disasters, MCDAs can only be used exceptionally as a <i>last resort</i>, when required to meet an urgent, critical, or life-saving need, and when no neutral civilian alternative is available in the time required.</p> <p>When MCDAs are exceptionally used, humanitarians must remain <i>civilian and principled in character</i> by maintaining overall operational control of activities and by ensuring adherence to humanitarian principles and applicable international law. To the extent possible, MCDAs and related personnel should be unarmed and civilian in appearance. MCDA should only provide a supporting role and should not provide direct assistance.</p> | Representative | Representative, CO<br>Security Advisor, AFPs,<br>CMLs |



|  |                       |                                  |
|--|-----------------------|----------------------------------|
| <p><b>Security coordination for humanitarian access:</b> Leverage UN Security Management System, the Programme Criticality Framework, and Saving Lives Together Framework to overcome security, and security process, related barriers to humanitarian access.</p> <p><b>See</b> Security Risk Management Section</p>  | <p>Representative</p> | <p>AFPs, CFSA/SFP</p>            |
| <p><b>Coordinate with partners to address access constraints:</b> Work with partners to ensure coordinated approaches to common access constraints, or to those which are disproportionately impacting implementing partners, especially bureaucratic and administrative impediments.</p>  | <p>Representative</p> | <p>Representative CFOs, AFPs</p> |
| <p><b>Risk:</b> Not coordinating externally, risks failing to reach as much of the population as is possible. The risk of participation in IA mechanisms or initiatives holds the potential of being associated with lower standards related to applying humanitarian principles and other norms.</p>  |                       |                                  |
| <p><b>Appetite:</b> Low</p>  |                       |                                  |
| <p><b>Mitigation:</b> Map comparative strengths and weaknesses among different organizations in the humanitarian community; Cooperate bilaterally, or form coalitions and partnerships, with organizations that have similar or higher standards related to humanitarian principles and norms and which have common geographic or programmatic areas of work, or common operational needs. Support can be obtained at EMOPS-HPS.</p> |                       |                                  |



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## 7. Accountability to Affected Populations<sup>6</sup>

| CCC 2.1.6 EXTRACT   | BENCHMARKS  |
|---|---|
| <p>Ensure that affected children and families participate in the decisions that affect their lives, are properly informed and consulted, and have their views acted upon.</p> | <p>All COs, with the support of ROs/HQ, establish processes to ensure that Affected and at-risk populations, including children and women:</p> <ul style="list-style-type: none"> <li>• Participate in humanitarian planning processes and in decisions that affect their lives.</li> <li>• Are informed about their rights and entitlements, expected standards of conduct by UNICEF personnel, available services, and how to access them through their preferred language and methods of communication, as per the Sphere standards.</li> <li>• Have their feedback systematically collected and used to inform programme design and course correction.</li> <li>• Have access to safe and confidential complaint mechanisms.</li> </ul> |

<sup>6</sup> While AAP is the work of all UNICEF COs, it is also a CCC (2.1.6), and its importance in humanitarian action is highlighted in the Grand Bargain and Humanitarian Review.



CO, RO and EMOPS staff ensure that AAP is systematically implemented, including to support PSEA, so that affected communities have the information they need, participate in decisions that affect their lives and have access to complaints and feedback mechanisms. This must be done in full coordination with other humanitarian actors to avoid multiple uncoordinated approaches.

## Key guideline:

- [AAP Handbook](#)

| PREPAREDNESS   |                |  |
|--|----------------|--|
| <p><b>Linking the Emergency Preparedness Procedure to Response:</b> EPP Step 3 requires COs to describe the two-way communications and/or feedback and complaint mechanisms that will enable the affected populations to be heard and result in positive change. At the onset of an emergency, COs should adapt these mechanisms developed at the preparedness phase to the evolving situation. Reference <a href="#">Emergency Preparedness Platform</a> (Step 3 General Response section).</p> |                |  |
| Action   | Accountable    | Responsible  |
| <p><b>Training:</b> Have all staff completed the <a href="#">AAP training on Agora</a>.</p>  | Representative | AAP Focal Point  |
| <p><b>Capacity sharing:</b> As part of the localization agenda<sup>7</sup>, build the capacity of implementing partners on AAP in coordination with other actors.</p>  | Representative | CO Programme Chiefs, CO AAP Focal Point and CO PSEA Specialist/Focal Point |

| INTEGRATION  |                |             |
|--|----------------|-------------|
| Action   | Accountable    | Responsible |
| <p><b>AAP Focal Point:</b> Designate a senior-level Focal Point such as the Deputy Representative-Programme, Chief of PME or Chief of Communication for Development (C4D) in collaboration with the emergency team (<a href="#">Tool 3.1 TORs for AAP Focal Point</a>).</p> <p>When such capacity is required but does not exist, request a surge deployment or recruit a staff member on Temporary Appointment (TA) (<a href="#">Tool 3.2 Job Description for AAP Specialist</a>).</p> <p>Note: Mandatory for L3 and L2 responses only (recommended for all other emergency responses). Decisions to be recorded at EMT/crisis management meetings.</p> | Representative |             |



<sup>7</sup> CCC 2.2.6 outlines UNICEF's commitment to localization and notes that UNICEF commits to localizing its humanitarian response by recognizing, respecting and strengthening the leadership and coordination of humanitarian action by national and local authorities, CSOs, and communities.



|  |                    |   |
|--|--------------------|---|
| <p><b>HRPs:</b> Embed AAP in the UNICEF and IA response plans and other interagency coordination plans, including the plans of the UNICEF-led clusters/sectors (at minimum). Include at minimum the four AAP benchmarks from the CCC 2.1.6.</p>  | CO AAP Focal Point | CO AAP Focal Point, CO Chief of Field Operations/ Emergency Manager or Focal Point, CO Chief of PME, Sector/Cluster Coordinator |
| <p><b>Dedicated resources:</b> Incorporate funding requirements in flash appeals and the HAC under the C4D, AAP and Community Engagement budget line, as well as relevant donor proposals. Requirements for AAP usually range between US\$200,000 and \$1,000,000. <a href="#">AAP Toolkit- Tool 5.6 Budget Overview for AAP</a></p> | CO AAP Focal Point | CO AAP Focal Point, CO RM Focal Point   |
| <p><b>Partnerships:</b> Insert language into all PDs and monitoring frameworks, demonstrating commitment and approaches to AAP. <a href="#">See</a> the Implementation Modalities Section for model PDs.</p>   | CO AAP Focal Point | CO Programme Chiefs   |
| <p><b>UNCT/HCT:</b> Ensure a collective approach to AAP is considered in IA coordination through UNCT/HCT, in accordance with <a href="#">IASC Protocol 2</a>. Promote, where possible an IA coordinated AAP framework, including joint complaints and feedback mechanisms.</p>  | Representative     | CO AAP Focal Point  |
| <p><b>Risk:</b> The AAP Focal Point is too junior and/or under-resourced, resulting in a lack of institutionalization of AAP in the CO Response Plan, appeals and PDs.</p>   |                    |   |
| <p><b>Appetite:</b> Low</p>  |                    |   |
| <p><b>Mitigation:</b> Appoint a senior Focal Point; Advocate for the funding of AAP with donors.</p>   |                    |   |

| IMPLEMENTATION   |                     |   |
|--|---------------------|---|
| Action   | Accountable         | Responsible                                     |
| <p><b>Assessing information and communication needs:</b> Insert AAP questions into planned multi-sector or sectoral assessments (<a href="#">Tool 5.2 Menu AAP Questions for Needs Assessments</a>) ensuring data is disaggregated by sex, age, disability and other relevant criteria. Where possible, engage organizations representing adolescents girls, women’s rights and youth.</p> | CO Programme Chiefs | Programme staff supported by CO AAP Focal Point |





|   |                     |  |
|---|---------------------|--|
| <p><b>Information provision:</b> Disseminate life-saving information on the emergency situation, safe and secure areas/practices and location and operations of available services, including access and inclusion criteria. This should also include:</p> <ul style="list-style-type: none"> <li>• A reminder of UNICEF’s core values of care, respect, integrity, trust and accountability and standards of conduct expected of UNICEF and partner staff;</li> <li>• Information on PSEA provided by the PSEA Focal Point;</li> <li>• Available complaints and feedback mechanisms, including how to safely report misconduct and what to expect when a report is made.</li> </ul>  | CO Programme Chiefs | Programme Staff supported by CO AAP Focal Point, in consultation with the CO PSEA Specialist/Focal Point |
| <p><b>Complaints and feedback mechanisms:</b> Within two to three weeks of a sudden onset emergency or L2/L3 declaration, assess effective mechanisms for two-way communication with affected populations with a focus on existing and/or preferred community feedback mechanisms. Where possible, use Knowledge, Attitudes and Practices surveys and engage with local organizations (including those made up of women, girls and youth) to understand the levels of trust and confidence of populations towards UNICEF or humanitarians as well as what types of feedback mechanisms the affected populations find most appropriate. Within a further two weeks, where possible, institute a set of safe, trusted and preferred mechanisms for two-way communication and receiving and responding to complaints and feedback, including:</p> <ul style="list-style-type: none"> <li>• Data protection measures in line with the <a href="#">Procedure on Personal Data Breaches</a>;</li> <li>• A delegation of responsibility and procedures to receive and respond to feedback;</li> <li>• Clear referral pathways and accountability categorized by feedback type;</li> <li>• PSEA referral pathways provided by the PSEA Focal Point;</li> <li>• A system for recording, analysing, storage and reporting feedback;</li> <li>• Sharing and using feedback for decision making including with CMT, Inter Cluster Coordination Group, Humanitarian Country Team, PSEA Network and the affected population.</li> </ul> | Representative      | CO AAP Focal Point, Sector/Cluster Coordinator with technical support from RO/HQ                         |
| <p><b>Risk:</b> Inadequate information, a lack of transparent response to feedback and complaints and/or breaches in confidentiality creates trust deficits in the response and harms affected populations.</p>   |                     |  |
| <p><b>Appetite:</b> Low</p>   |                     |  |
| <p><b>Mitigation:</b> Stringent internal mitigation measures; leading/advocating for collective, interagency AAP interventions.</p>   |                     |  |



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## 8. Protection from Sexual Exploitation and Abuse (PSEA)<sup>8</sup>

| CCC 2.1.5 EXTRACT   | BENCHMARKS   |
|---|--|
| <p>Deliver on UNICEF’s commitment to protection from sexual exploitation and abuse.</p> | <p>All COs, with the support of ROs/HQ, establish processes to ensure that:</p> <ul style="list-style-type: none"> <li>• Every child and adult in humanitarian contexts have access to safe, child- and gender-sensitive reporting channel(s) to report SEA.</li> <li>• Every survivor is promptly referred for assistance in line with their needs and wishes (such as medical care, mental health and psychosocial support, legal assistance, reintegration support), as part of UNICEF’s gender-based violence (GBV) and child protection programmes.</li> <li>• The prompt, safe and respectful investigation of SEA cases is consistent with the wishes and best interest of every survivor.</li> </ul> |

<sup>8</sup> While PSEA is the work of all UNICEF COs, risks related to sexual exploitation and abuse are heightened by humanitarian crises. It is also a CCC (1.4.7 and 2.1.5), and its importance in humanitarian action is highlighted in the Grand Bargain and Humanitarian Review.

## Key guidance:

1. [UNICEF Handbook on PSEA in Humanitarian Action](#)
2. [UNICEF PSEA Results Monitoring Framework](#)
3. [UNICEF CO PSEA Action Plan - Sample Template](#)
4. [UNICEF PSEA in Programming, Partnerships and Coordination SharePoint sites](#)
5. [Instruction for Reporting Allegations of SEA and Concerns of Abuse \(Significant Harm to a Child\)](#)
6. [Guidance Note: Reporting allegations of Sexual Exploitation and Abuse \(SEA\) and Concerns of Abuse \(Significant Harm to a Child\)](#)
7. [UN Victim Assistance Protocol](#)
8. [UNICEF GBViE resource pack Kit M: Minimum GBViE response package](#)
9. [Procedure for Managing Risks of Sexual Exploitation and Abuse in Implementing Partnerships](#)
10. [Protection from Sexual Exploitation and Abuse: A Practical Guide and Toolkit for UNICEF and Partners](#)
11. [IASC PSEA website](#)
12. [IASC Plan for Accelerating PSEA in Humanitarian Response at Country-Level; IASC PSEA Country-Level Framework](#)

**Linking the Emergency Preparedness Procedure to Response:** EPP Step 3 requires COs to anticipate probable PSEA concerns, what protective measures will be taken and how reports will be handled. At the onset of an emergency, COs should revisit the PSEA mechanisms put in place pre-crisis and adapt them to integrate PSEA at the outset of emergency response operations. Reference [Emergency Preparedness Platform](#) (Step 3 General Response section).

### INTEGRATION OF PSEA

| Action  | Accountable    | Responsible  |
|---|----------------|--|
| <p><b>UNICEF CO PSEA Action Plan:</b> Establish an office-wide Action Plan with clear roles and responsibilities for CMT, Operations, HR and Programmes as well as sub-offices, including CFOs and FO PSEA Focal Points. Identify benchmarks and targets based on established indicators and track their progress at the CMT or similar. This includes making sure that information about how to report SEA and serious child safeguarding incidents and receive assistance is visibly present in all UNICEF-supported sites, in local languages.</p> <p><a href="#">📄 See: Template for a UNICEF CO PSEA Action Plan</a></p> | Representative | Representative,<br>CO PSEA Specialist/Focal Point<br><br>Support from<br>HQ/RO PSEA Focal Points, as needed        |
| <p><b>Emergency Response:</b></p> <ol style="list-style-type: none"> <li>a. Establish SEA reporting and response systems (see below) from the outset;</li> <li>b. include standard questions on SEA/GBV risk in needs assessments;</li> <li>c. Include PSEA indicators in the HAC and report against them in the sitrep.</li> </ol> <p>Tool: <a href="#">UNICEF PSEA Results Monitoring Framework</a>.</p>  | Representative | CO Chief of Field Operations/ Emergency Manager or Focal Point and/or Chief of PME, CO PSEA Specialist/Focal Point |
| <p><b>PDs:</b> Integrate PSEA programmatically in all UNICEF PDs with a focus on</p> <ol style="list-style-type: none"> <li>a. GBV/SEA risk mitigation;</li> <li>b. Safe and accessible reporting and referral channels for SEA; and</li> <li>c. PSEA training and capacity development of all partner personnel.</li> </ol> <p>Tool: <a href="#">UNICEF PSEA Results Monitoring Framework</a>.<br/>(<a href="#">📄 See: Implementation Modalities Section</a>)</p>  | Representative | Deputy Representative -Programme; CO PSEA Specialist/Focal Point(s), Programme staff                               |



|  |                |   |
|--|----------------|---|
| <p><b>HRP:</b> Integrate IASC PSEA core activities and indicators in the HRP and/or any other relevant IA response plan, with requisite funding requirements included to establish IA PSEA systems. Tool: <a href="#">IASC Plan for Accelerating PSEA in Humanitarian Response at Country-Level</a>; <a href="#">IASC PSEA Country-Level Framework</a></p> | Representative | CO PSEA Specialist/Focal Point and/or<br>CO Chief of Field Operations/ Emergency Manager or Focal Point |
| <p><b>IA PSEA coordination:</b> Support the RC/HC and UNCT/ HCT to establish or strengthen a PSEA Network, including coordination and co-chair functions, to scale up PSEA from the outset of the emergency response.</p>  | Representative | CO PSEA Specialist/Focal Point and/or<br>CO Chief of Field Operations/ Emergency Manager or Focal Point |

### ADMINISTRATION/STAFFING

| Action   | Accountable    | Responsible   |
|--|----------------|---|
| <p><b>Dedicated PSEA Focal Point:</b> Hire, designate or deploy a full-time, dedicated PSEA Focal Point responsible for providing PSEA technical expertise to the CO, with a direct reporting line to the Representative for management-related issues and an additional line to the Deputy Representative-Programme and/or Chief of Child Protection.</p> <p>In the case of a sudden onset emergency or major deterioration in the situation, review the need for additional PSEA staffing.</p> | Representative | Representative, CO HR Manager, RO HR Team             |
| <p><b>PSEA Focal Points:</b> Establish PSEA Focal Points within all UNICEF offices including relevant FOs, which may include, for example, the CFO, a Child Protection or GBV Specialist/Officer or similar.</p>   | Representative | Representative, CO PSEA Specialist/Focal Point        |
| <p>⇒ <b>L2 requirement:</b> Automatic allocation \$500,000 in EPF (above the \$2 million allocation) and ERT/surge to support the scale up of PSEA interventions</p>   | EMOPS          | EMOPS, Representative, CO PSEA Specialist/Focal Point |
| <p>→ <b>L3 requirement:</b> Automatic allocation of \$750,000 in EPF (above the \$5 million allocation) and ERT/surge to support the scale up of PSEA interventions</p>  | EMOPS          | EMOPS, Representative, CO PSEA Specialist/Focal Point |

**Risk:** Automatic deployment of PSEA staff and allocation of EPF result in an over-resourcing on the ground related to PSEA.

**Appetite:** High (based on the 'no regrets' approach)

**Mitigation:** Additional resources can be used to support IA efforts and/or partner capacity building.

**Risk:** COs lack PSEA capacity and basic programming infrastructure (coordination, community-based reporting mechanisms, etc) thus delaying the support to communities.

**Appetite:** Zero tolerance

**Mitigation:** Preparedness activities, RO and HQ support, inclusion of PSEA in PDs and donor proposals.

## RISK MITIGATION/PREVENTION

| Action   | Accountable    | Responsible  |
|--|----------------|--|
| <p><b>Risk assessment and safe programming:</b> Conduct a rapid review and update of a comprehensive PSEA risk analysis as part of regular Emergency Preparedness and ERM, where it is reported, assessed and mitigated in EGRC. This includes: a) GBV/SEA risk analysis in the programme planning and design phase across all areas of UNICEF's work; b) regular monitoring, safety audits, consultations with affected populations (including women and children) and spot checks to assess and respond to SEA risk (PSEA and GBV Specialists); c) inter-agency SEA risk assessments (PSEA Specialist, and inter-agency PSEA network).</p> <p><b>Documentation:</b> Risk assessments and safety audits should be documented and shared with the Representative/CMT for further action and any course correction.</p> | Representative | Deputy Representatives Programme and Operations, CO PSEA Specialist/Focal Point(s), CO GBV Specialist, CO Programme Chiefs with technical support from RO/HQ |
| <p><b>Vetting:</b> Ensure adequate vetting for recruitment across all categories of workers.</p> <p><b>See</b> the Human Resources Section, PSEA component.</p>  | Representative | CO HR Manager  |
| <p><b>Pre-deployment training, In-country PSEA mandatory briefing and Refresher training on PSEA:</b></p> <p><b>See</b> Human Resources Section, PSEA component.</p>   | Representative | CO HR Manager, CO Chief of Field Operations/ Emergency Manager or Focal Point, CFOs  |
| <p><b>Partners:</b> Ensure UNICEF CSO partners undergo PSEA assessments and meet UNICEF's core standards on PSEA as set forth in the UNICEF Procedure for <a href="#">Managing Risks of SEA in Implementing Partnerships</a>.</p> <p><b>See</b> the Implementation Modalities Section.</p>   | Representative | Deputy Representatives- Programme and Operations, CO PSEA Specialist/Focal Point   |
| <p><b>Suppliers and other associates:</b> For local contracts that involve higher-risk activities, particularly those where there is limited supervision/monitoring of direct contact with children or beneficiaries in vulnerable situations, or significant processing of personal data, <b>See</b> the Direct Implementation component of the Implementation Modalities Section.</p>  | Representative | Deputy Representatives- Programme and Operations, CO Programme Officers, CO Supply Officers  |
| <p><b>Programme monitoring:</b> Ensure a robust monitoring and tracking system is in place for PSEA prevention and response actions, including field monitoring and HACT assurance activities and in accordance with the <a href="#">UNICEF PSEA Results Monitoring Framework</a>.</p> <p><b>See</b> the Humanitarian Assessments, Planning, Monitoring, Reporting and Evaluation Section.</p>   | Representative | Deputy Representatives- Programme and Operations and/or CO Chief of PME  |

| REPORTING   |                |   |
|---|----------------|---|
| Action  | Accountable    | Responsible   |
| <p><b>Internal reporting system:</b> Implement UNICEF's internal reporting procedures for PSEA in accordance with <a href="#">the Instruction for Reporting SEA and Concerns of Abuse (Significant Harm to a Child)</a>. This includes training for PSEA Focal Points, staff and partners on how to detect and report violations. Ensure that alerts, complaints, and allegations are immediately acknowledged and escalated in line with existing policy.</p>  | Representative | CO PSEA Specialist/ Focal Point(s); Staff members       |
| <p><b>External Reporting Mechanisms:</b> Establish safe, confidential, child-, disability- and gender-sensitive reporting channels for SEA that are community-based. Conduct consultations with women, girls, boys and other at-risk groups and assess existing mechanisms to determine their suitability for integration of PSEA.</p> <p>Establish/support multiple secure reporting channels, directly and or through partners, including, as appropriate, means of in-person reporting, and reporting through technology, with the requisite data protection standards.</p> <p>Ensure that information about how to report PSEA and receive assistance is visible in all UNICEF-supported sites, in local languages. <a href="#">See: Handbook on PSEA in Humanitarian Action</a> and <a href="#">UNICEF Policy on Personal Data Collection (2020)</a></p> | Representative | CO PSEA Specialist/ Focal Point(s)                      |
| <p><b>IA PSEA Reporting Mechanisms:</b> In collaboration with the IA PSEA Network, ensure that SOPs or a protocol on IA reporting and referral is established and rolled out at the outset of the emergency response. The SOPs or protocol should connect with IA community-based complaint mechanisms for PSEA.</p> <p><a href="#">See: Handbook on PSEA in Humanitarian Action</a></p>  | Representative | CO PSEA Specialist/ Focal Point(s)                      |
| <p><b>Awareness-raising materials on PSEA:</b> Ensure that information about how to report PSEA (as per the established SEA reporting channels) and receive assistance is present in all UNICEF sites, including child-sensitive materials. Using a variety of channels, share key messages on PSEA, including the availability of reporting mechanisms and services for survivors. In collaboration with the AAP Focal Point, integrate PSEA messages within UNICEF community-engagement activities.</p>   | Representative | CO PSEA Specialist/ Focal Point(s), Programmes Managers |



| RESPONSE   |                |  |
|--|----------------|--|
| Action   | Accountable    | Responsible  |
| <p><b>Referral pathways:</b> Ensure that all offices and partners have an updated list of local service providers, based on a mapping of GBV and Child Protection services and referral pathways of relevant IA bodies, such as the PSEA Network and GBV and Child Protection coordination groups. Support the scale up of assistance, where there are gaps, to ensure that the UN Victims' Assistance Protocol is fully implemented and UNICEF is prepared to fulfil its obligation to assist any child victim as the provider of last resort.</p> <p>Tool: <a href="#">UN Victims' Assistance Protocol</a></p>   | Representative | CO PSEA Specialist/ Focal Point(s), CO GBV and/or CP Specialist with technical support from RO/HQ  |
| <p><b>Survivor assistance:</b> For any case of SEA reported to UNICEF, ensure the survivor is immediately referred to a UNICEF PSEA Focal Point and/or a GBV or Child Protection actor and that assistance is promptly offered and provided by a trained case manager based on informed consent, in accordance with individual needs. This includes immediate safety, medical and/or psychosocial services based on needs.</p> <p>Tools: <a href="#">UN Victims' Assistance Protocol</a>; <a href="#">UNICEF GBViE resource pack Kit M: Minimum GBViE response package</a></p>   | Representative | CO PSEA Specialist/Focal Point(s) with technical support from RO/HQ                                |
| <p><b>IA PSEA Network SOPs:</b> Ensure that the PSEA network SOPs integrate the obligations outlined in the UN Victim Assistance Protocol and integrate GBV/Child Protection referral pathways as part of the SEA reporting procedures.</p>  | Representative | CO PSEA Specialist/ Focal Point(s)   |
| <p><b>Investigations and accountability:</b> Promote the prompt, safe and respectful investigation of PSEA cases, consistent with the wishes and best interest of every survivor. As appropriate, support safety/risk assessments to inform investigations. Coordinate between investigators and protection actors to make psychosocial and protection support available during investigations. Review investigative partner capacity assessments to identify obstacles to UNICEF and provide training to investigators on a survivor-centered, child sensitive approach. Where feasible, support the establishment of inhouse investigations capacity for partners. Promote the integration of these standards in the PSEA network SOPs (or similar) and trainings.</p> | Representative | CO PSEA Specialist/ Focal Point(s)<br>In consultation with OIAI, HQ/RO PSEA Focal Points as needed |



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## 9. Sector/Cluster Coordination

| CCC 2.1.2 EXTRACT  | BENCHMARKS  |
|--|---|
| <p>Support the leadership and coordination of humanitarian response, along with national and local stakeholders, and in compliance with humanitarian principles.</p> | <p>UNICEF, at CO/RO/HQ level, actively contributes to intersectoral coordination and ensures that sectors/clusters under its leadership are adequately staffed and skilled.</p> |

As a member of the IASC, UNICEF is committed to support humanitarian coordination along with national and local stakeholders (including national and local authorities, CSOs and communities) and to improve the collective impact of humanitarian response. Whether the cluster approach is activated or not, UNICEF plays a key role in both global and country-level IA coordination for its areas of programmatic responsibility.

### Key guidance:

- [IASC Humanitarian System-Wide Scale-Up Activation Protocol](#)
- [IASC Empowered Leadership Protocol](#)
- [UNICEF Cluster Coordination Guidance for COs](#) (An updated version is forthcoming).

## PREPAREDNESS

**Linking the Emergency Preparedness Procedure to Response:** MPS 2 requires COs to map emergency coordination structures and support the IASC Emergency Response Preparedness if adopted by UNCT/HCT. Medium-risk countries are required to agree with UNCT/HCT and government, where feasible, the leadership of UNICEF globally-led sectors/areas of responsibility. COs in high-risk contexts are also required to agree with UNCT/HCT the multi-sectoral needs assessment tools, roles and responsibilities for coordinated data collection and up-to-date inventory of critical baseline data sources. At the onset of an emergency, COs should adapt these existing coordination mechanisms and products to enable an effective and timely emergency response. [Emergency Preparedness Platform](#) (Step 4; MPS 2, benchmarks 2.1 to 2.6) and the [UNICEF Procedure on Preparedness for Emergency Response](#) (Annex B).

| Action   | Accountable    | Responsible  |
|--|----------------|--|
| <p><b>Identification of staff:</b> Identify staff within the CO who can build national capacity for sector/cluster coordination and sector-wide information management prior to, during and after an emergency and, if needed, temporarily coordinate UNICEF-led or co-led sectors.</p>  | Representative |  |
| <p><b>Orientation:</b> Ensure Cluster Coordinators and IMOs as well as the Chiefs of Section and Emergency Focal Points have an induction session with the respective global clusters, where training options are discussed.</p>   | Representative | CO Programme Chiefs, CO Chief of Field Operations/ Emergency Manager or Focal Point and other identified staff, Global Cluster |
| <p><b>Systems strengthening:</b> Based on humanitarian principles, and where feasible, establish and maintain relationships with local actors/authorities. Strengthen the preparedness plans of local authorities through technical assistance, as required. This includes the existing and/or proposed coordination structures that will be used during a response.</p> | Representative | CO Programme Chiefs  |
| <p><b>Preparedness Plans:</b> Ensure that preparedness plans are in place for UNICEF-led clusters and Areas of Responsibility (AORs) at national and sub-national levels. Sign contingency PDs and Memorandums of Understanding (MOUs) with key partners.</p>  | Representative | CO Programme Chiefs, CO Chief of Field Operations/ Emergency Manager or Focal Point, CFOs                                      |

## ACTIVATING THE CLUSTER APPROACH

| Action   | Accountable    | Responsible   |
|--|----------------|---|
| <p><b>Cluster leadership:</b> If not done under the MPSs, assign sector/cluster lead roles in agreement with the UNCT/HCT and have them signed off by the Emergency Relief Coordinator. Advocate for the activation of all UNICEF-led sectors/clusters, no matter the response.</p>                | Representative | Cluster Coordinators, CO Programme Chiefs, CFOs, with support from RO and Global Cluster Coordination Unit (GCCU) as required |
| <p><b>Sub-national clusters:</b> Ensure that UNICEF-led clusters are established at sub-national level in coordination with the UNCT/HCT, including defining the relationship to the national cluster in terms of accountability.</p>  | Representative | Deputy Representative-Programme, CO Programme Chiefs, CFOs, Sector/Cluster Coordinator  |
| <p><b>Role of UNICEF:</b> Participate as a Cluster partner at national and sub-national levels and prepare to deliver services as Provider of Last Resort for UNICEF-led clusters.</p> <p><b>See:</b> <a href="#">IASC Operational Guidance on the Concept of the Provider of Last Resort.</a></p> | Representative | Deputy Representative-Programme, CO Programme Chiefs  |
| <p><b>Risk:</b> Disagreement with national authorities and/or UNCT/HCT delays the activation of the cluster/sector coordination.</p>   |                |   |
| <p><b>Appetite:</b> Low</p>  |                |   |
| <p><b>Mitigation:</b> Strengthening the existing sectoral coordination functions for potential crises as part of preparedness plan; advocacy at Humanitarian Country Team level.</p>   |                |   |



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| LEADERSHIP  |                |   |
|---|----------------|---|
| Action  | Accountable    | Responsible                               |
| <p><b>Government leadership:</b> Based on humanitarian principles, and where feasible, actively seek government leadership in the cluster system. Plan for a deactivation and/or transition to government coordination from the start of the response.</p>  | Representative | Cluster Coordinators, CO Programme Chiefs |
| <p><b>NGO co-leadership:</b> Where NGO cluster co-leadership is recommended or agreed at the global level, discuss roles and responsibilities at the country-level (national and sub-national levels). Liaise with the Global Cluster on cluster-specific leadership arrangements.</p> <p>Sign an MOU on leadership arrangements and division of responsibilities (for an example MOU, please contact the relevant Global Cluster) and provide technical support to national NGO co-leads. To ensure funding does not limit NGO co-leadership, advocate for fund mobilization to cover these positions at all levels.</p> | Representative | Cluster Coordinators                      |
| <p><b>Risk:</b> National participation in cluster leadership is politicized and/or has inadequate capacity, impacting the neutrality and coverage of the humanitarian response. Governments are not accountable to the Humanitarian Coordinator, resulting in coordination functions that do not align with the humanitarian community.</p>   |                |   |
| <p><b>Appetite:</b> Medium (capacity), Low (politicization).</p>  |                |   |
| <p><b>Mitigation:</b> Invest in technical support and capacity building to national co-leads. Ensure UNICEF maintains a leading role in addition to contributions by local actors.</p>  |                |   |

| HUMAN RESOURCES   |                |  |
|---|----------------|--|
| Action  | Accountable    | Responsible  |
| <p><b>Immediate needs:</b> CO staff identified during emergency preparedness planning take on the Cluster Coordinator role immediately when clusters are activated.</p> <p>In parallel, initiate deployment of national-level Cluster Coordinators and IMOs from ERT, Global Cluster Rapid Response Teams, surge or stand-by partners (including CashCap) on a 'no regrets' basis for a minimum period of two months (<a href="#">See</a> Human Resources Section).</p> | Representative | CO Programme Chiefs, pre-identified staff, CO HR Manager |
| <p><b>Recruitment:</b> Recruit at minimum the national Cluster Coordinator and IMO roles for a period of at least six months for L2 and L3 emergencies. Cluster Coordinators at the national level are expected to be at P4 level.</p>  | Representative | DHR, Regional Chief of HR and CO HR Manager              |
| <p><b>Risk:</b> Response in UNICEF-led areas is un- or under-coordinated, leading to suboptimal response for children.</p>  |                |  |
| <p><b>Appetite:</b> Low</p>   |                |  |
| <p><b>Mitigation:</b> Use of fast-track HR procedures to recruit key positions; invest in appropriate staff levels to ensure quality cluster leadership and reduce turnover.</p>  |                |  |

## RESPONSE PLANNING, DATA AND ACCOUNTABILITY SYSTEMS

| Action   | Accountable         | Responsible   |
|--|---------------------|---|
| <p><b>Needs assessments:</b> Lead and coordinate sector specific and IA needs assessments including gender analyses, (in line with the MPSs). Support the development of the Humanitarian Needs Overview based on these assessments. Specific attention to be paid to engaging the affected population including local organizations such as women and girls' networks and organizations in line with the CCCs. Ensure that the affected population, including children, participate in the assessment of their needs.</p> | Cluster Coordinator | Cluster Coordinator, Cluster IMO and partners, with technical support from UNICEF PME as needed |
| <p><b>Response Plan:</b> Lead the development of the HRP (or similar, as relevant). Ensure that the affected population participate in the design of the response plan.</p>  | Cluster Coordinator |   |
| <p><b>Information management:</b> Establish sector/cluster data management systems. Data systems should capture high frequency indicators with gender, age, disability and other disaggregations as required in line with the CCCs, Sphere Standards and other global standards including the <a href="#">UNICEF Policy on Personal Data Collection (2020)</a>. The information system should also capture feedback from affected populations.</p>   | Cluster Coordinator | Cluster IMO   |

## PROVISION OF SUPPLIES TO CLUSTER PARTNERS

| Action   | Accountable         | Responsible                                       |
|--|---------------------|---|
| <p>Where required, designate relevant sectors/clusters as implementors in VISION using generic vendor number 2500240235 to transfer supplies from UNICEF to sector/ cluster partners. Ensure there is a signed TOR with results reporting requirements before releasing the supplies. <a href="#">Guideline Release Orders from CO warehouses.</a></p> | Cluster Coordinator | Cluster Coordinator, Supply and Logistics Manager |
| <p><b>Risk:</b> The lack of a legal agreement for the transfer of supplies increases the risk of waste or fraud.</p>   |                     |   |
| <p><b>Appetite:</b> High (based on the 'no regrets' approach)</p>  |                     |   |
| <p><b>Mitigation:</b> Cluster monitoring, including end-user monitoring.</p>   |                     |   |

## TRANSITION/DEACTIVATE THE CLUSTER APPROACH

| Action   | Accountable                     | Responsible |
|--|---------------------------------|-------------|
| <p><b>Engagement with Humanitarian Country Team:</b><br/>Proactively engage in discussions on the transition/deactivation of clusters and AORs.</p>  | Representative and Coordinators |             |
| <p><b>Transition/Deactivation Plan:</b> Develop and roll out realistic and viable plans, with benchmarks for transition, and decentralization/localization/deactivation, and advocate with relevant government sectors to ensure continued coordination through a sector working group and/or other mechanism.</p> <p>Where merging is considered, particular attention should be given to defining accountabilities and roles of the lead agencies in-country. Clearly articulate the line of accountability for core cluster functions and responsibilities (such as Provider of Last Resort).</p> | Cluster Coordinators            |             |
| <p><b>Risk:</b> Phasing out clusters/AORs without a comprehensive transition plan creates gaps in the provision of basic services to the communities.</p>  |                                 |             |
| <p><b>Appetite:</b> Low</p>  |                                 |             |
| <p><b>Mitigation:</b> Preparedness plans developed and local actors engaged; maintaining and/or building on existing structures for a proper exit plan.</p>  |                                 |             |



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# 10. Implementation Modalities

This section of the Guidance Handbook in L1, L2 and L3 Emergencies covers potential implementation modalities for a humanitarian response: government partnerships; CSO/NGO partnerships; UN-to-UN agreements; and direct

implementation. The Representative, working with the Deputy Representative-Programme, should decide on the appropriate mix of modalities for a given response.

| CCCS 3.5 EXTRACT   | BENCHMARKS   |
|--|--|
| <p><b>1: Preparedness</b><br/>Humanitarian programmes and partnerships are identified in advance through contingency planning and preparedness measures.</p> | <ul style="list-style-type: none"> <li>• An up-to-date mapping of current and prospective government and civil society partners is maintained at country, regional and global levels.</li> <li>• Contingency planning and partnerships are established with governments and CSOs in higher-risk countries, with simple activation protocols for rapid operationalization.</li> </ul> |
| <p><b>2: Simplified procedures</b><br/>Simplified procedures are used to establish timely partnership agreements.</p>  | <ul style="list-style-type: none"> <li>• Humanitarian partnerships undergo fast-track review and approval procedures.</li> <li>• Humanitarian partnerships with CSOs are signed no more than 15 working days after submission of required documents.</li> </ul>  |



|  |   |
|--|---|
| <p><b>3: Timely disbursement of funds</b></p> <p>Disbursement of funds to partners is timely.</p>  | <ul style="list-style-type: none"> <li>Funds are disbursed to governments and CSOs no more than 10 working days after request of funds.</li> </ul>  |
| <p><b>4: Technical assistance for quality and results-based programming</b></p> <p>Technical assistance and capacity-building are provided to partners to foster quality programming.</p>        | <ul style="list-style-type: none"> <li>Appropriate capacity-building, tools and training are provided to partners to ensure results-based and quality programming.</li> <li>Opportunities for knowledge exchange are established to leverage the expertise and capacity of partners.</li> </ul>   |
| <p><b>5: Monitoring</b></p> <p>Continuous improvement in programme quality, coverage and equity is driven by partner dialogue, feedback mechanisms, field monitoring and corrective actions.</p> | <ul style="list-style-type: none"> <li>Humanitarian partnerships include a monitoring framework, with a special focus on quality programming.</li> <li>Field monitoring missions are conducted to support programme implementation quality and identify areas for programme and partnership improvement in line with the UNICEF <a href="#">Field Monitoring Guidance</a>.</li> </ul> |





# 11. Government partnerships

| GOVERNMENT PARTNERSHIPS   |                |  |
|---|----------------|--|
| <a href="#">Country Office Work Planning Procedure</a>  |                |  |
| Action  | Accountable    | Responsible  |
| <p><b>Preparedness:</b> Include ‘contingency activities’ in work plans without a budget, implementing partner or geographic focus that can be activated by allocating a budget in VISION. No exchange of letters would be required.</p>   | Representative | Deputy Representative-Programme, CO Programme Chiefs |
| <p><b>Immediate response:</b> In the case of a sudden onset emergency or a deteriorating humanitarian crisis, provide resources (cash transfers or supplies) and technical assistance as required to national and sub-national government to support the response. Regularize these emergency-related activities through an updated workplan endorsed by an exchange of letters or documented in official minutes with government.</p> <p><b>See</b> Humanitarian Assessments, Planning, Monitoring, Reporting and Evaluation Section</p> | Representative | Deputy Representative-Programme, CO Programme Chiefs |



## 12. CSO Implementing Partnerships

Representatives and Deputy Representatives-Programme commit to establishing implementing partnerships in a timely and effective manner, as a core modality through which humanitarian aid is delivered. This includes the suspension or removal of any processes, workflows, templates and clearances imposed at the CO-level that are

not required by global procedure or guidance and that could create additional layers and unintentional delays.


- Link to [CSO Procedure](#)
- Link to [PSEA Procedure, Guidance and Tools](#)

## PREPAREDNESS

**Linking the Emergency Preparedness Procedure to Response:** The MPS requires all COs to identify potential implementing partners and those in medium and high-risk contexts to sign contingency PDs. COs in high-risk contexts should ensure that all CSOs with signed contingency PDs have received training on UNICEF’s HACT, Funding Authorization and Certificate of Expenditures (FACE) and CSO Procedure in the last two years (benchmark 6.3). Please refer to the [Emergency Preparedness Platform](#) and the [UNICEF Procedure on Preparedness for Emergency Response](#) (Annex B).

| Action   | Accountable                      | Responsible                      |
|--|----------------------------------|----------------------------------|
| <p><b>Capacity sharing:</b> Promote a common understanding of UNICEF’s partnership requirements by referring CSOs to <a href="#">Guidance for CSOs on Partnership with UNICEF</a> and the <a href="#">e-course on UNICEF-CSO partnerships</a>. Special measures should be taken to reach out to local CSOs.</p>          | Deputy Representative-Programme  | CO Programme Chiefs and Officers |
| <p><b>Standard costs:</b> Develop standard costs by relevant geographic area for common expenditures through interagency forums, market surveys and LTAs as well as overhead costs.</p> <p>Share standard costs with CSO implementing partners to act as the basis for expenditures.</p>                                 | Deputy Representative-Operations | CO Programme Chiefs and Officers |
| <p><b>Contingency PDs:</b> In line with the MPSs, develop and sign contingency PDs with CSO partners covering, at minimum, the main geographic and programmatic areas of the UNICEF response.</p>  | Deputy Representative-Programme  | CO Programme Chiefs and Officers |
| <p><b>Contingency clauses:</b> For PDs signed with CSO partners with humanitarian response capacity, include a contingency clause of up to 10 per cent of the budget, allowing UNICEF and the partner to rapidly respond in case of a sudden shock. This line can be activated by an email from the Programme Chief.</p> | Deputy Representative-Programme  | CO Programme Chiefs and Officers |

## EXISTING PARTNERSHIPS

| Action  | Accountable                            | Responsible                      |
|---|--|----------------------------------|
| <p><b>Contingency:</b> Activate, via e-mail, contingency PDs or contingency lines in active PDs.</p>  | CO Programme Chief                     | CO Programme Chiefs and Officers |
| <p> <b>Amendments:</b> Amend activities, timelines or budgets of existing PDs to support the emergency response.</p> <p>For changes requiring formal PD amendments, conduct desk review using the PD Amendment Submission and Approval Form, with no Partnership Review Committee (PRC). No additional approvals or clearances are required.</p> | Deputy Representative-Programme or CFO | CO Programme Chiefs and Officers |

## NEW PARTNERSHIPS

| Action   | Accountable                                   | Responsible                             |                                     |    |          |             |    |          |           |    |          |           |                       |   |
|--|---|---|-------------------------------------|----|----------|-------------|----|----------|-----------|----|----------|-----------|-----------------------|---|
| <p><b>Start-up activities:</b> Disburse start-up funding to partners to undertake urgent, time-critical humanitarian activities. Sign a <a href="#">one-page start-up letter</a> with the partner who must have undergone due diligence verification (<i>preferably in the UN Partner Portal</i>) and have a vendor record.</p> <p>This modality allows UNICEF to transfer an initial tranche of resources to partners to meet acute, lifesaving needs while a formal PD is being developed. The validity of the “start-up” funding is three months, or until the formal PD is signed, whichever is earlier. If funding is for supplies to be procured by partner, CO to first consult SD on availability to provide designated supplies, and CO to ensure LPA requirements adhered to if a partner is to procure.</p> <p>This modality can be used to transfer cash within the below limits:</p> <table border="1" style="width: 100%; border-collapse: collapse; text-align: center;"> <thead> <tr> <th style="color: #0070c0;">Level</th> <th style="color: #0070c0;">Maximum per partner (cash)</th> <th style="color: #0070c0;">Office-wide maximum per year (cash)</th> </tr> </thead> <tbody> <tr> <td>L3</td> <td>\$50,000</td> <td>\$1,000,000</td> </tr> <tr> <td>L2</td> <td>\$25,000</td> <td>\$500,000</td> </tr> <tr> <td>L1</td> <td>\$10,000</td> <td>\$100,000</td> </tr> </tbody> </table> <p>This modality can also be used to transfer up to three months of humanitarian supplies, with no limit on the value of the three months of humanitarian supplies. SD should be consulted to provide support to this option.</p> | Level   | Maximum per partner (cash)              | Office-wide maximum per year (cash) | L3 | \$50,000 | \$1,000,000 | L2 | \$25,000 | \$500,000 | L1 | \$10,000 | \$100,000 | <p>Representative</p> | <p>Deputy Representative-Programme, CO Programme Chiefs</p> |
| Level  | Maximum per partner (cash)                    | Office-wide maximum per year (cash)     |                                     |    |          |             |    |          |           |    |          |           |                       |   |
| L3   | \$50,000                                      | \$1,000,000                             |                                     |    |          |             |    |          |           |    |          |           |                       |   |
| L2   | \$25,000                                      | \$500,000                               |                                     |    |          |             |    |          |           |    |          |           |                       |   |
| L1   | \$10,000                                      | \$100,000                               |                                     |    |          |             |    |          |           |    |          |           |                       |   |
| <p><b>SSFA:</b> Use an SSFA to transfer up to \$50,000 cash in a 12-month period and, in addition, up to three months of humanitarian supplies, with no limit on the value of the supplies to IPs who do not yet have a Programme Cooperation Agreement for the Country Programme cycle.</p>   | <p>Deputy Representative-Programme or CFO</p> | <p>CO Programme Chiefs and Officers</p> |                                     |    |          |             |    |          |           |    |          |           |                       |   |
| <p><b>PSEA:</b> Complete PSEA assessments for all CSO partners before entering into a new partnership. PSEA assessments may be delayed by three months during rapid onset emergencies, if approved by the Head of Office, but will require a ‘high risk’ default in the risk management framework. Monitor partners’ PSEA policies and procedures regularly, as contexts may continue to change rapidly. Particularly with higher-risk engagements (where significant unmonitored contact is expected with children, child data or children in vulnerable situations), similar due diligence should be undertaken for capacity to manage other child safeguarding risks (e.g. corporal punishment, emotional abuse, safety hazards).</p>   | <p>Deputy Representative-Programme or CFO</p> | <p>CO Programme Chiefs and Officers</p> |                                     |    |          |             |    |          |           |    |          |           |                       |   |



|   |  |  |
|---|--|--|
| <p>⇒ <b>Humanitarian PDs (HPDs):</b> Use HPDs throughout an emergency response, with a single HPD covering up to 24 months. Adapt the “model” HPDs to meet the needs of the particular emergency. Ensure PD indicators align to the HAC, CO workplan and IA response plan, as relevant (☑ See Humanitarian Planning, Monitoring, Reporting and Evaluation Section).</p> <p>New HPDs should also include contingency clauses, as outlined in the preparedness section above.</p>   | Deputy Representative-Programme or CFO | CO Programme Chiefs and Officers                     |
| <p>⇒ <b>Indirect costs:</b> Adopt a flat, locally determined percentage<sup>9</sup> for the calculation of “Effective and Efficient Programme Management Costs” in the HPD. This is in addition to the seven per cent HQ support costs for international NGOs and IFRC.</p>   | Deputy Representative-Programme or CFO | CO Programme Chiefs and Officers                     |
| <p>⇒ <b>Desk review:</b> Desk review new partnerships, using the Non-PRC Submission and Approval Form (no Partnership Review Committee required). No additional approvals or clearances are required.</p>   | Deputy Representative-Programme or CFO | CO Programme Chiefs and Officers                     |
| <p><b>Unfunded PD actions:</b> To support the establishment of longer-term partnerships, sign PDs with funded activities approved for immediate implementation, as well as unfunded activities contingently approved for implementation if and when funds are received with a defined mechanism of communication of funds availability.</p>   | Deputy Representative-Programme or CFO | CO Programme Chiefs and Officers                     |
| <p>⇒ <b>Post-implementation Statement of Expenditure (SOE):</b> During sudden onset emergencies or significant deteriorations in the situation where UNICEF action has life-saving consequences, the Representative, based on a joint recommendation of the Deputy Representatives Programme and Operations, can choose to authorize the transfer of funds to any partner with an H/PPD without an itemized cost estimate (ICE) for the initial tranche immediately following the emergency onset/deterioration. This decision should be time-bound and can be used for one, multiple or all partners responding to the emergency.</p> <p>In this case, partners submit a FACE request form referencing activity-level items, and UNICEF disburses DCTs or authorizations for reimbursement and direct payment without receiving an ICE.</p> <p>Implementing partners submit a detailed SOE at the time of reporting on the utilization of funds, as part of the liquidation process.</p> | Representative                         | Deputy Representative-Programme, CO Programme Chiefs |



<sup>9</sup> This range currently varies 3 to 81 per cent globally, depending on the context, with a normal range being 10-25% of the UNICEF cash contribution to other programme costs.



|  |                |                                  |
|--|----------------|----------------------------------|
| <b>Offshore accounts:</b> If required, disburse funds to an INGO partner's offshore account. | Representative | CO Programme Chiefs and Officers |
| <b>Risk:</b> Expedited and simplified PD leads to suboptimal programme design.               |                |                                  |
| <b>Appetite:</b> Medium  |                |                                  |
| <b>Mitigation:</b> Model HPD, field monitoring, feedback mechanisms, amendment               |                |                                  |



## 13. UN-to-UN partnerships

| UN-TO-UN PARTNERSHIPS   |                |   |
|---|----------------|---|
| <a href="#">UN Joint Programmes and Pooled Funds SharePoint</a>   |                |   |
| Action  | Accountable    | Responsible   |
| <p><b>UN-to-UN agreement:</b> Draft the agreement using the United Nations Sustainable Development Group standard template and apply the eight per cent cost recovery rate (<a href="#">cost recovery calculator</a>). Share the draft agreement with PPD for clearance. The contributing agency should advance all funds to UNICEF.</p> <p>Link for <a href="#">UN-to-UN Agreement</a></p> | Representative | Deputy Representative-Programme, CO RM Focal Point, PPD-Joint Programmes and Pooled Funds section |





|  |                |   |
|--|----------------|---|
| <p><b>Joint Programme Pass-through:</b> Avoid double dipping of cost recovery rates by applying a one per cent Administrative Agent (AA) fee and a seven per cent indirect support cost proportionally allocated based on contributions going to each agency. Formalize a pass-through agreement by signing an agreement between the AA and donor and an MOU between the AA and other UN agencies.</p> <p>↻ A full Joint Programme Document is not required for emergencies: Use any template to outline the division of roles between the two agencies. Share the draft agreement with PPD for clearance.</p> <p><a href="#">Link for SAA and MOU</a></p> | Representative | Deputy Representative-Programme, CO RM Focal Point, PPD-Joint Programmes and Pooled Funds section |
| <p><b>Parallel funding arrangement:</b> Develop a brief proposal agreeing on the focus and objectives of interventions, results and roles of the different agencies including budgets. Once this is done, the donor signs a separate agreement guided by each agency to facilitate funds transfer to each participating UN agency.</p> <p>Refer to <a href="#">pages 10-11</a> of the Joint Programme <a href="#">Guidance</a> Note for reporting, monitoring and other requirements under the parallel funding arrangement.</p>   | Representative | Deputy Representative-Programme, CO RM Focal Point, PPD-Joint Programmes and Pooled Funds section |



## 14. Alternative Implementation Modalities (including Direct Implementation)

In addition to the government, CSO and UN partnerships mentioned above, COs and ROs should consider adopting a variety of flexible modalities and mechanisms to meet the needs of children facing different humanitarian crises.

1. **Rapid response mechanism (RRM):** UNICEF staff with or without partner staff provide life-saving assistance to children and families, targeting hard to reach locations where other stakeholders are unable to adequately respond. *Note: Depending on the*
2. **Third party contracting:** A human resource company or other institutional contract is used to deploy frontline staff to delivery services or supplies.
3. **Direct delivery** by UNICEF staff outside an RRM scenario.

*context, RRM may also be operated fully through implementing partners and should adopt relevant components of the below.*

## RAPID RESPONSE MECHANISM

[RRM Sharepoint](#)

[Rapid Response Internal Toolkit](#)

| Action  | Accountable   | Responsible  |
|---|---|--|
| <p><b>Human resources:</b> Recruit dedicated UNICEF staff as required, at minimum for coordination (TOR for an RRM Coordinator). Technical staff with the skills to deliver services (e.g. WASH technicians, nutritionists, nurses, etc.) may also be required, depending on the types of assistance provided. Consider also the need for increased Operations staff (supply and logistics, administration, human resources, etc.) as well as dedicated security staff.</p>   | CO Chief of Field, Operations/ Emergency Manager or Focal Point | CO Chief of Field, Operations/ Emergency Manager or Focal Point, CO Operations and HR Managers   |
| <p><b>Supplies:</b> Develop local LTAs as required for supplies and transport as well as IA MOUs for joint procurement, warehousing and transportation.</p> <p>Depending on the situation, equipment and supplies required may include satellite phones, folding tables and chairs, food, water, megaphones and camping gear.</p>   |   | CO Chief of Field Operations/ Emergency Manager or Focal Point, CO Programme sections, CO Supply and Logistics staff   |
| <p><b>Partnerships:</b> Where implementing partners are a part of the RRM, develop flexible PDs with robust results frameworks. Meet with the partners often to monitor achievements.</p>   |   | CO Chief of Field Operations/ Emergency Manager or Focal Point, CO Programme sections  |
| <p><b>IA RRM coordination mechanism:</b> Where relevant, establish an IA coordination mechanism through which decisions on RRM are undertaken. Develop a TOR for the coordination mechanism and link it, where feasible, to existing IA humanitarian structures.</p> <p>The coordination mechanism establishes in-country criteria and triggers for the RRM as well as a rapid decision tree linked, where applicable, to seasonal calendars.</p> <p>Following an alert of a rapid or slow-onset humanitarian crisis triggered by flooding, an epidemic, conflict or displacement, and in line with the in-country criteria, the RRM coordination mechanism decides on whether to simultaneously conduct a rapid assessment and an initial life-saving response. The assessment follows a context-appropriate adaptation of the <a href="#">Multi-sector Initial Rapid Assessment (MIRA) tool</a>. Based on the MIRA, the coordination mechanism decides on the scope of the RRM response.</p> <p>Other key priorities for the coordination mechanism include:</p> <ul style="list-style-type: none"> <li>• Mapping of partners, programmes, field staff and static presence to enable a handover/exit from the RRM modality in coordination with stakeholders on the ground.</li> <li>• Mapping and coordination of authorities and actors to enable access and security measures.</li> <li>• Mechanisms for joint fundraising.</li> </ul> | Representative  | CO Chief of Field Operations/ Emergency Manager or Focal Point with support from the REA, CO HR Manager Programme sections to support the CO Chief of Field Operations/ Emergency Manager or Focal Point |





|   |   |   |
|---|---|---|
| <p><b>Internal RRM coordination:</b> Put in place an internal coordination mechanism with the participation of relevant Programme and Operations focal points to ensure the integration of RRM within the wider humanitarian and development programmes.</p>  | <p>CO Chief of Field Operations/ Emergency Manager or Focal Point</p> | <p>CO Emergency, Programme and Operations Focal Points</p>                            |
| <p><b>Protection mainstreaming:</b> Prioritize the safety and dignity of affected populations and avoid causing harm and arrange for women, men, girls and boys to safely access assistance. Operate feedback and PSEA reporting mechanisms. Ensure referral pathways are available and that the feedback mechanism closes the feedback loop.</p> <p>Examples: <a href="#">GBV Minimum Action Checklist</a>, <a href="#">Security Audit: NFIs</a></p> <p>Ensure all RRM teams are equipped with supplies for clinical management of rape (CMR) and have at least one team member trained to provide CMR care.</p> <p>Where relevant, train staff on landmines and other unexploded ordnance awareness and reporting mechanisms.</p> |   | <p>CO Programme Officers</p>  |
| <p><b>Prepositioning supplies:</b> Prior to the deployment of the RRM teams on the ground, pre-position multi-sectoral supplies based on the needs of the targeted population. The RRM Coordinator will advise on the agreed internal/ IA modality for the delivery of supplies to guide supply planning and delivery timeframes.</p>   |   | <p>CO Supply and Logistics staff</p>  |
| <p><b>Operational support:</b> Ensure the RRM model includes an operational plan including cash on hand modalities (<a href="#">See</a> the Operations, Administration and Finance Section and the <a href="#">Procedure on cash accounts</a>) and/or financial service provider, accommodation arrangements in the absence of UN cleared facilities, and transport support.</p>  |   | <p>CO Programme and Operations Officers</p>   |
| <p><b>Security and Access:</b> Include RRM activities in the CO Security Strategy and access framework, ensuring that locations served by the RRM have been properly assessed and mitigation measures have been put in place to minimize potential risks or threats to RRM programming. Where possible ensure that a rapid security Mission Risk Assessment is conducted prior to the deployment of a team. Depending on the risk level, deploy the RRM team with a security focal point. This can also be triggered in advance in areas of high risk (according to scenarios) and kept updated.</p>  | <p>Country Field Security Advisor</p>                                 | <p>Country Field Security Advisor with support from the Regional Security Advisor</p> |





**Monitoring:** Develop and maintain a robust near real-time monitoring system for the RRM, including mechanisms to collect complaints, feedback and reports and to allow the reporting of SEA. Use third party monitors as required.

Example: [Third Party Monitoring TOR](#)

Monitor based on clear indicators and timeframes. Include 'process' indicators such as the number of teams deployed within an agreed number of days, supplies on ground within 1 week, etc. This will allow the team to track inputs in timely way to improve RRM effectiveness. Monitoring framework should have clear timeframe – in line with the exit strategy.

CO Chief of Field Operations/ Emergency Manager or Focal Point

CO Programme Officers



## THIRD PARTY CONTRACTING

All contracts follow the [UNICEF Procedure on Procurement in Emergencies](#). The below applies to scenarios where contracted institution either directly implements humanitarian assistance or manages contracts who directly implement humanitarian assistance. This may include staff who coordinate UNICEF support in inaccessible areas; scenarios where it is more cost-efficient or effective for an institution to provide services (health, nutrition, education, protection, etc.), work in areas with restricted access for CSOs, and third-party monitoring.

As these scenarios require prolonged or repeated direct (face-to-face or online) contact with beneficiaries, contact with minimal supervision/monitoring, and/or access to sensitive or personal data, additional protection considerations also apply, as detailed below.

| Action  | Accountable  | Responsible  |
|---|--|--|
| <p><b>TOR:</b> Develop a TOR/Request for Proposals (RFP) that specifies the humanitarian assistance the contracted institution will deliver, including:</p> <ul style="list-style-type: none"> <li>• Programmatic objectives and expected delivery modalities;</li> <li>• Target beneficiaries, including vulnerability and equity criteria;</li> <li>• Geographic scope and duration of implementation;</li> <li>• Reporting requirements including frequency and required indicators;</li> <li>• Expected number and skillsets of staff to be hired;</li> <li>• Role of UNICEF in technical training and oversight, as well as monitoring;</li> <li>• Annex TORs of key roles.</li> </ul> <p>Ensure that the selected institution is fully accountable and responsible for staff they contract for implementation. Consider:</p> <ul style="list-style-type: none"> <li>• The service provider should be responsible for providing full administration, finance, operations and logistics to ensure timely and quality service delivery (transportation, supplies, working space, ICT, etc).</li> <li>• The specific security accountabilities, including the roles and responsibilities of UNICEF. Specifically mention that UNICEF does not have any direct or indirect responsibility towards the recruited team and their legal heirs.</li> <li>• The service provider is responsible for the provision of payments and entitlements in line with local labour laws.</li> </ul> | <p>Deputy Representative-Programmes</p>                | <p>Deputy Representatives-Programmes,<br/>CO Programme Chiefs,<br/>CO Programme Officers,<br/>CO Supply and Logistics team</p> |
| <p><b>Protection considerations:</b> Embed the following within the TOR/RFP:</p> <ul style="list-style-type: none"> <li>• Adherence to UNICEF's CCCs;</li> <li>• Gender balance of contracted/sub-contracted staff;</li> <li>• PSEA, child safeguarding and, where relevant, investigations (depending on the size and nature of the contract);</li> <li>• AAP.</li> </ul>  | <p>Deputy Representatives-Operations and Programme</p> | <p>CO Programme Officers,<br/>CO Supply Officer</p>  |





|   |                                 |                       |
|---|---------------------------------|-----------------------|
| <p><b>Code of Conduct:</b> Establish a Code of Conduct (Example from Jordan experience) that at minimum addresses: humanitarian principles, unethical behaviour and data protection and security expectations. Include PSEA in the Code of Conduct including the obligation not to commit SEA and the obligation to report complaints, allegations and rumours.</p>   | Deputy Representative-Programme | CO Programme Officers |
| <p><b>PSEA:</b> Have the contractor nominate a high-level corporate PSEA Focal Point. The corporate PSEA Focal Point is accountable to report any complaints, allegations or rumours to UNICEF. The corporate Focal Point ensures:</p> <ul style="list-style-type: none"> <li>• All contracted/sub-contracted staff have a reference check;</li> <li>• All contracted/ sub-contracted staff sign the Code of Conduct;</li> <li>• Training (and refresher training) for all contracted/sub-contracted staff on PSEA and child safeguarding;</li> <li>• A confidential reporting mechanism for both contracted/ sub-contracted staff and beneficiaries, including children;</li> <li>• Depending on the size and nature of the contract, training on conducting PSEA investigations.</li> </ul> | CO PSEA Specialist/Focal Point  | CO Programme Officers |
| <p><b>AAP:</b> Ensure the contractor rolls out:</p> <ul style="list-style-type: none"> <li>• Mechanisms for disseminating life-saving information;</li> <li>• Multiple, confidential feedback channels accessible by beneficiaries, including children.</li> </ul>  | CO AAP Focal Point              | CO Programme Officer  |
| <p><b>Contract management:</b> Ensure sufficient contract management capacity is available in the contractor and within UNICEF. Consider the equivalent staff structure for a CSO partner undertaking the same services.</p>  | Deputy Representative-Programme | CO Programme Officers |
| <p><b>Risk:</b> UNICEF deploys third party contractors to provide services to beneficiaries without proper protection mechanisms in place, who then commit sexual exploitation and abuse.</p>   |                                 |                       |
| <p><b>Appetite:</b> Zero</p>  |                                 |                       |
| <p><b>Mitigation:</b> Mandatory PSEA assessment, training, awareness campaigns, feedback mechanisms</p>   |                                 |                       |

## DIRECT DELIVERY

Scenarios may also arise where UNICEF is expected to directly implement humanitarian services outside the RRM modality, regularly, periodically or on an ad-hoc basis. This may include work in resource-poor and inaccessible areas where government and/or CSOs are not or cannot work. This can include direct frontline provision of services as well as coaching, mentoring and supportive supervision of frontline staff.

UNICEF should ensure it has the technical capacity among its staff, including with practical, frontline experience (e.g. nutrition screening and treatment, immunization, setting up or repairing water systems, etc.).

| Action  | Accountable                                   | Responsible                                       |
|---|---|---|
| <p><b>TOR:</b> Develop TOR(s) with maximum flexibility, seeking a combination of recent frontline service provision experience, as well as other skills required for their position in UNICEF (e.g. project management, technical expertise, knowledge management, etc.).</p> | Deputy Representative-Programme or Operations | CO Programme Chief or Operations Manager          |
| <p><b>Ability to practice:</b> Ensure the staff is currently licenced, certified and insured as required to work in the given profession in line with local labour laws. If professional dues or insurance fees are applicable, they should be paid by UNICEF.</p>            | Deputy Representative-Programme               | CO Programme Chief                                |
| <p><b>Supplies:</b> Create 'customer' profiles in VISION for supplies to be received by staff leading direct service delivery by completing the <a href="#">registration template</a> and submitting to Global Shared Services Centre (GSSC).</p>                             | Deputy Representative-Programme               | CO Programme Chief, CO Supply and Logistics staff |





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# 15. Humanitarian Cash Transfers (HCT)

| CCCS 2.2.8 EXTRACT  | BENCHMARKS  |
|---|---|
| Promote unconditional and unrestricted humanitarian cash transfers. | All COs, with the support of ROs/HQ, promote the use of unconditional and unrestricted humanitarian cash transfers, whenever relevant and feasible. |

COs, with technical support from ROs and EMOPS, are committed to the effective and efficient use of unconditional and unrestricted humanitarian cash transfers to meet humanitarian needs. If HCT will not be part of the response, ensure there is a justification as to why not. This decision and justification can be documented through EMT/crisis management meetings. While cash transfer programmes can be implemented through national, parallel or mixed systems, UNICEF first considers the possible use of existing national social protection systems. When this is not feasible or not aligned with humanitarian principles, UNICEF uses an alternative system.

### Key guidance:

- [HCT Programmatic Guidance](#)

## PREPAREDNESS

**Linking the Emergency Preparedness Procedure to Response:** MPS 5 requires COs to assess the feasibility of HCT for multi-sector and sector-specific objectives, using national and/or parallel systems, and in agreement with relevant stakeholders. Low-risk countries map relevant HCT initiatives. Medium risk countries also complete a preliminary operational HCT feasibility assessment, while high-risk countries do this plus identifying entry points and implementation models for HCT, and sign stand-by agreements. At the onset of an emergency, COs should reflect on these steps to adapt them to the evolving humanitarian context. [Emergency Preparedness Platform](#) (Step 4; MPS 5, benchmarks 5.1 to 5.4) and the [UNICEF Procedure on Preparedness for Emergency Response](#) (Annex B).

| Action   | Accountable                     | Responsible  |
|--|---------------------------------|--|
| <p><b>Action Plan:</b> Update or develop a <a href="#">Feasibility Assessment</a> and <a href="#">Action Plan</a>. Ensure that this is done alongside relevant social protection stakeholders including UNCCS partner agencies (UNHCR, WFP and OCHA) and other cash stakeholders (Cash Working Group). Government counterparts should be included, if feasible, considering humanitarian principles. Build on the MPS 5 template, as well as the <a href="#">social protection system readiness assessment tool</a>.</p> <p>If not in place, develop the feasibility checklist using the <a href="#">feasibility assessment template</a> and the risk mapping and mitigation strategy using the HCT risk register template.</p>                                | Deputy Representative-Programme | CO Chief of Field, Operations/ Emergency Manager or Focal Point, CO Social Protection Specialist |
| <p><b>Evidence base:</b> As part of the Action Plan, develop a strong evidence base, including the below, and considering a potential scaling after the immediate response:</p> <ul style="list-style-type: none"> <li>• A <i>secondary data analysis</i> including data from other actors such as UNCCS partner agencies and the Cash Working Group;</li> <li>• A <i>market data analysis</i> including potential digital solutions for cash delivery;</li> <li>• A <i>stakeholder analysis</i> covering national social protection systems, other UN and NGO cash programmes and financial service provider (FSP) capacity;</li> <li>• A <i>beneficiary needs assessment</i> across sectors including beneficiaries' preferred digital solutions.</li> </ul> | Deputy Representative-Programme | CO Chief of Field Operations/ Emergency Manager or Focal Point, CO Social Protection Specialist  |
| <p><b>Preparedness:</b> In line with the MPSs, identify potential service providers (including FSPs) and establish agreements where relevant.</p>  | Deputy Representative-Programme | CO HCT Focal Point, with the Cash Task Force   |

## PLANNING AND COORDINATION

| Action   | Accountable                     | Responsible   |
|--|---------------------------------|---|
| <p><b>Response Plans:</b> Ensure HCTs are costed and included in IA and UNICEF Response Plans.</p> | Deputy Representative-Programme | CO Programme Officer, CO Chief of Field, Operations/ Emergency Manager or Focal Point |
| <p><b>Interagency coordination:</b> Set up or strengthen a Cash Coordination Network.</p>          |                                 |   |

## ADMINISTRATION AND STAFFING

| Action   | Accountable    | Responsible  |
|--|----------------|--|
| <p><b>Surge:</b> If required, request the deployment of an ERT Cash Specialist or RO emergency cash specialist (See: Human Resources Section) to build existing staff capacity.</p>  | Representative | Deputy Representative-Programme, CO HR Manager, EMOPS, DHR, RO HR Team |
| <p><b>HCT Focal Point:</b> If the CO will undertake an HCT response, hire or designate an HCT Specialist or Focal Point (P3/NOC or above) to provide technical expertise to emergency and programme colleagues, as well as coordinating internal and/or IA initiatives and cluster-related HCT activities. This individual must have HCT experience and have attended the HCT training or <a href="#">e-learning course</a>.</p> | Representative | Deputy Representative-Programme and CO HR Manager                      |

## PROGRAMME

| Action  | Accountable                     | Responsible   |
|---|---------------------------------|---|
| <p><b>Humanitarian Cash Task Force:</b> Consider the establishment and leadership of a CO Cash Task Force with Focal Points from programmes and operations.</p> | Deputy Representative-Programme | Deputy Representatives Programme and Operations, CO HCT Focal Point |
| <p><b>Project design:</b> Design multi-sectoral or single-sector HCT intervention involving relevant and technical colleagues.</p>                              | Deputy Representative-Programme | CO HCT Focal Point, Programme officers                              |

**Risk:** Lack of internal and external collaboration on HCT planning and design leads to a less effective response for children.

**Appetite:** Low

**Mitigation:** Prioritize the establishment of the Cash Task Force to ensure collaboration of programme and operations colleagues from the start.

## OPERATIONS

### Financial Management SOPs for Cash Transfer Programming

| Action   | Accountable                      | Responsible  |
|--|----------------------------------|--|
| <p><b>Partnerships</b></p> <p>a. Scenario 1: Small-scale interventions</p> <p>Consider the quickest way to start HCTs, considering the market and risks, including through a government or NGO partner with on-going cash programming, leveraging their FSP. Use the HACT direct payment modality or authorized payees.</p> <p>b. Scenario 2: Larger scale interventions</p> <p>Consider exploring, as an intermediate solution, a new partnership with an NGO partner with a cash transfer mechanism (🔗 <a href="#">See: Implementation Modalities Section</a>). Consider the delivery of benefit amounts/fees using the HACT direct payment modality or authorized payees.</p>   | Deputy Representative-Programme  | HCT Focal Point, Social Policy Specialist with the Cash Task Force   |
| <p><b>Banking service agreement (BSA):</b> To work through an existing BSA, negotiate the scope and fees with the bank and add an addendum to the BSA to cover HCTs.</p> <p>Involve DFAM-Treasury and Structured Finance Services (DFAM-TSFS) immediately to review BSA offerings, and consider potential addendum options through negotiations with banking partners managed by DFAM-TSFS Banking Team.</p>   | Deputy Representative-Operations | CO HCT Focal Point, CO Finance Specialist, CO Social Policy Specialist, with the Cash Task Force, HQ Cash Team, DFAM |
| <p><b>Contracting an FSP collaboratively:</b> Follow the <a href="#">guidance for collaborative procurement</a>:</p> <ul style="list-style-type: none"> <li>• Use an existing UN agency’s contract or LTA by: <ul style="list-style-type: none"> <li>• Using the solicitation results (award) to establish a UNICEF LTA/contract, or</li> <li>• Purchasing against an established LTA/contract, where the CO Supply Focal Point reviews the most adequate options. The CO Supply Focal Point reviews the “UN FSP inventory” to identify any opportunities from other UN organizations in the country.</li> </ul> </li> <li>• Request another UN organization to carry out HCT services for UNICEF through an UN-to-UN agreement or service agreement.</li> </ul> | Deputy Representative-Operations | CO HCT Focal Point, CO Social Policy Specialist with the Cash Task Force, Supply Focal Point                         |





|  |                                  |  |
|--|----------------------------------|--|
| <p><b>🔗 Sourcing an FSP:</b> To procure an FSP unilaterally:</p> <ul style="list-style-type: none"> <li>• Draft the terms of reference (consult with the HQ Cash Coordination Team for support);</li> <li>• Coordinate with DFAM-TSFS concerning any availability of a market analysis;</li> <li>• Define a procurement strategy considering: <ul style="list-style-type: none"> <li>• Competitive bidding can be waived (📄 See the Supply and Logistics Section);</li> <li>• For a solicitation process, limit competition to a list of invitees. Through the HCT Focal Point, the Cash Task Force supports the process;</li> <li>• Draft the contract/LTA using the new cash transfer related service categories (ZX017). Request HQ Cash Team support as required.</li> </ul> </li> </ul> | Deputy Representative-Operations | CO HCT Focal Point, CO Social Policy Specialist with the Cash Task Force, HQ Cash Team, DFAM, SD Team      |
| <p><b>Contract management:</b></p> <ul style="list-style-type: none"> <li>• Clarify roles and responsibilities within the CO team and designate a contract manager.</li> <li>• Conduct a contract on-boarding to clarify the scope, requirements, deliverables and general terms and conditions.</li> <li>• Monitor the implementation of the FSP contract and conduct frequent meetings with the FSP to identify progress and bottlenecks.</li> </ul> <p>All new contracts for financial services must be cleared by DFAM-Treasurer. Include DFAM-TSFS as early as possible to ensure all requirements are in place.</p>  | Deputy Representative-Operations | CO HCT Focal Point, CO Social Policy Specialist with the Cash Task Force, Supply staff, HQ Cash Team, DFAM |
| <p><b>Risk:</b> Implementing HCT directly through an FSP or an implementing partner exposes UNICEF to the risks of fraud, including reduction in beneficiary entitlement or diversion of payment.</p>  |                                  |  |
| <p><b>Appetite:</b> Medium</p>   |                                  |  |
| <p><b>Mitigation:</b> Ensure FSPs and/or partners have appropriate internal controls and fraud prevention mechanisms, and are aware of the UNICEF contractual General Terms and Conditions and ethical behaviours (articles 2.10.3.8 and 7); strengthen monitoring and ensure separation of duties.</p>  |                                  |  |

## BENEFICIARY DATA SYSTEMS

| Action  | Accountable                     | Responsible  |
|---|---------------------------------|--|
| <p><b>Development:</b> Choose between a national Management Information System and a UNICEF-developed beneficiary data management system. Consider a phased approach, using shorter-term solutions while medium-term systems are built. Respect data protection, information security and risk mitigation measures. Request a beneficiary data system specialist support mission from the HQ Cash Team if required.</p> | Deputy Representative-Programme | CO HCT Focal Point, CO Social Policy Specialist, HQ Cash Team, DHR, RO focal point |
| <p><b>Response Plan:</b> Beneficiary data system needs are reflected in ICT response plan and Technology for Development (T4D) solutions.</p>   | Deputy Representative-Programme | CO HCT Focal Point, CO ICT Focal Point   |
| <p><b>Interagency coordination:</b> Represent UNICEF in interoperability discussions concerning beneficiary data systems coordination and integration.</p>  | CO HCT Focal Point              |  |
| <p><b>Risk:</b> Lack of investment in data privacy and information security results in leaks of confidential beneficiary data.</p>  |                                 |  |
| <p><b>Appetite:</b> Zero</p>  |                                 |  |
| <p><b>Mitigation:</b> Compliance with: <a href="#">UNICEF Data Protection Policy</a> and <a href="#">Information Security Procedures</a>; Use of UNICEF Humanitarian Cash Operations and Programme Ecosystem (<a href="#">HOPE</a>)</p>   |                                 |  |



# 16. Human Resources

The Representative commits to ensuring the CO and its FOs are fit for purpose to respond to any emerging or protracted emergency response with support from HR colleagues at CO, RO and HQ levels. Hiring Managers at all layers should respect the principle that it is crucial to have a diverse workforce from the onset of the emergency.

### Key guidance:

- [Recruitment and staffing in emergency situations](#)

| CCCS 3.2 EXTRACT   | BENCHMARKS   |
|--|--|
| <p><b>1: Timely deployment</b></p> <p>Timely deployment of personnel at the onset of emergencies enables rapid emergency response.</p> | <ul style="list-style-type: none"> <li>• Experienced and suitable personnel are identified within 48 hours after the sudden onset or deterioration of a humanitarian crisis and are deployed through surge mechanisms.</li> <li>• Human resource plans are established for immediate, medium- and longer-term needs, including scale-up, scale-down and exit strategies<sup>10</sup>.</li> </ul> |
| <p><b>2: Planning</b></p> <p>ROs, COs and FOs are adequately staffed to enable ongoing humanitarian response.</p>                      |  |

<sup>10</sup> Surge support is planned for three months, possibly six months.



|  |   |
|--|---|
| <p><b>3: Wellbeing</b></p> <p>Duty of care for UNICEF personnel is assured.</p>  | <ul style="list-style-type: none"> <li>• Duty of care measures are in place.</li> <li>• UNICEF personnel receive information on available care/support.</li> </ul>  |
| <p><b>4: Capacity</b></p> <p>UNICEF personnel have appropriate knowledge of emergency preparedness and response.</p>   | <ul style="list-style-type: none"> <li>• Personnel complete applicable mandatory training and have access to supplementary training/learning on emergency preparedness and response.</li> </ul>   |
| <p><b>5: Standards of conduct</b></p> <p>UNICEF personnel observe organizational standards of conduct, both as an individual responsibility and an organizational commitment. These include standards on discrimination, harassment, sexual harassment and abuse of authority, child safeguarding and SEA.</p> | <ul style="list-style-type: none"> <li>• Standards of conduct are disseminated and UNICEF personnel complete applicable mandatory training.</li> <li>• Appropriate and timely action is taken in response to any breaches.</li> <li>• Leadership promotes a culture that aligns with the organisation’s standards of conduct.</li> <li>• Complaint and feedback mechanisms are in place and accessible to affected populations and external stakeholders<sup>11</sup>.</li> </ul> |

**PREPAREDNESS**

**Linking the Emergency Preparedness Procedure to Response:** MPS 3 requires COs to identify staff responsibilities, staff refocusing and surge needs, and develop a staff learning plan. For low-risk countries, the CO assigns staff responsibilities for the actions required in the first 72 hours after the onset of a crisis. Medium and high-risk countries are also required to identify staff refocusing, local recruitment and surge needs for key functions and ensure staff with assigned responsibilities for the first 72 hours included in their Development Plan (in AGORA) learning activities to address their knowledge and skills gaps. At the onset of an emergency, these preparedness products are critical to realize timely deployments of well-capacitated UNICEF personnel. [Emergency Preparedness Platform](#) (Step 4; MPS 3, benchmarks 5.1 to 5.4) and the [UNICEF Procedure on Preparedness for Emergency Response](#) (Annex B).

| Action  | Accountable           | Responsible  |
|---|-----------------------|--|
| <p><b>HR contingency plan:</b> Define immediate staffing needs for the emergency response in line with the MPSs. Consider whether the office would benefit from ‘surging back-fill’ to maintain regular work processes, allowing a CFO, Section or Unit Chief to focus on the emergency response.</p> | <p>Representative</p> | <p>Representative, CO HR Manager, CO Programme and Operations Chiefs</p> |



<sup>11</sup> Every programme lead is responsible for the establishment of complaint and feedback mechanisms.





|   |                       |  |
|---|-----------------------|--|
| <p><b>Staff welfare preparedness and response:</b></p> <ul style="list-style-type: none"> <li>• Ensure a staff wellbeing framework is in place and included in the Annual Management Plan.</li> <li>• Provide individual and group counselling services; mandatory pre- and post-deployment briefings to internationally recruited staff; and introductory wellbeing briefings to locally recruited staff.</li> <li>• Train Peer Support Volunteers (PSVs) (at least one per duty station).</li> <li>• Train security personnel and wardens on Psychological First Aid (PFA).</li> <li>• Provide regular peer-reviewed psychoeducational training and materials to all staff.</li> <li>• Establish an external mental health professional network for referrals.</li> <li>• Collaborate with counsellors from other UN Agencies to ensure on the ground coverage. Ensure UNICEF staff also have options of counsellors on the ground and via remote modalities. For example, a female staff member may prefer a female counsellor.</li> </ul> | <p>Representative</p> | <p>As per below:</p> <p>Representative</p> <p>Staff Counsellor</p> <p>HR Manager</p> <p>Staff Counsellor</p> <p>Staff Counsellor</p> <p>Staff Counsellor</p> <p>Staff Counsellor</p> |
|---|-----------------------|--|

| CAPACITY ASSESSMENT  |                       |   |
|--|-----------------------|---|
| Action   | Accountable           | Responsible   |
| <p><b>Staff mobilization plan:</b> Within the first 24 to 48 hours of a sudden-onset emergency or L2/L3 declaration, develop repurposing and/or deployment plan for staff already in country in line with the MPSs.</p>                  | <p>Representative</p> | <p>Representative, Deputy Representative Operations and CO HR Manager</p> |
| <p><b>Immediate HR needs:</b> Review and roll out the HR contingency plan.</p>   | <p>Representative</p> | <p>Representative, CO HR Manager, CO Programme and Operations Chiefs</p>  |
| <p><b>Surge Tracking Sheet (STS):</b> Create an STS covering immediate staffing needs. Define in the STS if support is required on-ground or can be provided remotely. Circulate the STS to RO, DHR Surge Desk and EMOPS for inputs.</p> | <p>Representative</p> | <p>Representative, CO HR Manager, CO Programme and Operations Chiefs</p>  |
| <p><b>L2/L3 emergencies:</b> Follow 'step aside' procedures as required (need from EMOPS)</p>  |                       |   |

## RAPID DEPLOYMENT

| Action   | Accountable    | Responsible  |
|--|----------------|--|
| <p><b>Surge:</b> Assess the STS and determine, in cooperation with RO, CO and/or EMOPS as needed, (ERT Focal Point and Standby Team) appropriate surge mechanisms. DHR Surge desk leverages the HR Emergency Cone for sourcing quick support through Frontlines.</p> <p>If an ERT Emergency Coordinator has been requested, the Emergency Coordinator to support on the decision around which ERT members to be deployed.</p> <p>Ensure that all personnel are informed of the onboarding and orientation in emergencies, which includes the pre-deployment in emergencies.</p> <p>Ensure that all personnel are informed of and complete the <a href="#">Humanitarian Learning Pathways</a>.</p> <p>↪ For large scale L2 and L3 emergencies, COs with limited HR capacity may request the deployment of an ERT HR specialist.</p> | DHR Surge Desk | DHR Surge Desk, Representative, RO HR Advisor, CO HR Manager, RO HR Advisor, EMOPS |
| <p><b>Remote deployment:</b> In situations of reduced access and or increased insecurity, including public health emergencies, deploy surge staffing and new recruits remotely for all or part of an assignment.</p>   | Representative | CO HR Manager, RO HR Advisor, DHR Surge Desk                                       |
| <p><b>Stand-by partners:</b> For STS positions best recruited through a stand-by partnership (SBP), email the TOR to EMOPS Geneva and the Standby Team will assess availability of SBPs.</p>   | Representative | CO HR Manager, EMOPS   |
| <p><b>Preparedness/capacity building:</b> Regularly review the need for additional surge support and staffing capacity for emergency preparedness and capacity building.</p>   | Representative | CO HR Manager  |
| <p><b>Staff Counselling:</b> Ensure all staff and other personnel providing immediate support have access to pre- and post-deployment counselling.</p>   | Representative | CO HR Manager, Staff Wellbeing Team, HQ and RO Staff Wellbeing                     |

**Risk:** Accelerated deployment of staff to meet immediate needs results in an over-deployment of human resources.

**Appetite:** High (based on the 'no regrets' approach)

**Mitigation:** Additional HR capacity; results-focused surge TORs; and close coordination between the Representative, DHR and EMOPS

**Risk:** Short-term deployments impact the continuity of relationships with government institutions and partners engaged in the response.

**Appetite:** Medium

**Mitigation:** Minimum deployment period should be established based on envisaged pre-recovery phase and plans for longer term staffing.

| HR PLANNING  |  |  |
|--|--|--|
| Action   | Accountable  | Responsible  |
| <p><b>Needs assessment:</b> In parallel to the immediate needs assessment, identify longer-term requirements for programme and operations.</p>   | Representative   | CO HR Manager and Chiefs of Programme and Operations   |
| <p><b>HR Strategy:</b> Develop an HR Strategy covering the transition from immediate support to longer-term staffing needs, and scale down strategy to implement the emergency response and recovery programmes.</p>   | Representative   | CO HR Manager, RO HR Advisor, HR Emergency Cone  |
| <p><b>PBR:</b> Conduct a mail-poll PBR within the first month of a sudden-onset emergency or L2/L3 declaration.</p>  | Representative   | RO HR Advisor, RO Chief of Operations, Representative, Deputy Representative Operations, CO HR Manager |
| <p><b>Duty station creation:</b> If an office is established in a location that is not an already recognized duty station, obtain official approval with the host country, through the RC, and obtain International Civil Service Commission classification before assigning staff and other personnel.</p>                      | Representative   | Deputy Representative-Operations, CO HR Manager, RO Chief of Operations and HR Advisor, DHR            |
| <p><b>Support sourcing for critical emergencies:</b> Complete assessments for emergency recruitments within 20 days.<br/>Ensure approvals for emergency recruitments are received within five days.<br/>Ensure offer letters are sent within four business days, and candidates accept the offer within three business days.</p> | DHR<br>Representative<br>Approving authority<br>GSSC<br>Candidates | CO HR Manager, Hiring Manager<br>CO HR Manager, RO HR Advisor<br>GSSC<br>Candidates                    |

## RECRUITMENT OF STAFF POSITIONS

| Action  | Accountable         | Responsible  |
|---|---------------------|--|
| <p><b>Competitive process:</b> Undertake a competitive process, noting:</p> <ul style="list-style-type: none"> <li>• The selection process may commence prior to the formal establishment of the post, but no Letter of Appointment may be issued.</li> <li>• A desk review can be used. Any other processes including assessments or interviews which may increase the validity of the process are encouraged.</li> <li>• Tour of duty and minimum time-in-post may be waived by the approving authority (see table below).</li> <li>• The requirements for reference checks including ClearCheck must still be followed for all recommended external candidates, including former staff members, and for single-sourced candidates. Background verification will be conducted, as applicable (📄 <a href="#">See: Background Verification Process Instructions</a> in the Service Gateway Knowledge).</li> </ul> | Hiring Manager      | Hiring Manager with support from CO HR Manager         |
| <p>🔄 <b>Single-sourcing:</b> Use single-sourcing options in the best interest of the organization. This should be prioritized for L2/ L3 emergencies.</p>   | Approving authority | Hiring Manager   |
| <p><b>Selection decision:</b> See table below for approving authorities.</p> <p>🔄 Staff will be expected to commence within one month after accepting the offer.</p>  | Hiring Manager      |  |
| <p>🔄 <b>Approving authority:</b> The approving authority for international TA positions under seven months (with the exception of the Deputy Representative, CFO and international security positions) can be delegated to the Representative upon his/her request and after approval from the RD, and the Director of HR.</p>  | Representative      | Representative, CO HR Manager, Hiring Manager, RD, DHR |
| <p>🔄 <b>Break in service (BIS):</b> BIS are reduced as per the BIS table below.</p>   | CO HR Manager       | CO HR Manager in collaboration with Hiring Manager     |
| <p><b>Lien on post:</b> A lien can be granted to locally recruited staff applying to international TA positions in D, E and non-family duty stations for up to 364 days, with the agreement of the head of the releasing office. A renewal of the TA beyond 364 days would be without a lien.</p> <p>A lien will be granted to locally recruited staff applying to international TA positions in L2/L3 emergency duty stations for up to 729 days.</p>  | CO HR Manager       | CO HR Manager in collaboration with Hiring Manager     |





|   |                           |   |
|---|---------------------------|---|
| <b>Onboarding and orientation:</b> Ensure that new UNICEF personnel receive a comprehensive onboarding and orientation ( <a href="#">A HEAD START: Onboarding and Orientation in Emergencies- Home</a> ). | Representative<br>Manager | Representative<br>CO HR Manager<br>HR to provide guidance |
| <b>Risk:</b> Use of accelerated processes to have staff in place to lead the response results in sub-optimal competition, and/or diversity indicators.  |                           |   |
| <b>Appetite:</b> Medium   |                           |   |
| <b>Mitigation:</b> Focus on diversity during single-sourcing.   |                           |   |

| ROLE, CATEGORY OR GRADE OF THE POST   | APPROVING AUTHORITY  |
|---|--|
| <ul style="list-style-type: none"> <li>Fixed-term appointments for posts at P-5 level and posts of Deputy Representative, international security positions and CFO.</li> </ul>  | <ul style="list-style-type: none"> <li>Director, DHR</li> </ul>  |
| <ul style="list-style-type: none"> <li>TAs for posts at P-5 level and posts of Deputy Representative, international security positions and CFO.</li> <li>All posts at P-1 to P-4 levels (except posts of Deputy Representative and CFO).</li> <li>Fixed-term appointments for National Professional Officer posts.</li> <li>All posts in the GS category in a regional office/HQ duty station.</li> </ul> | <ul style="list-style-type: none"> <li>RD/Division Director of the respective region/division</li> </ul> |
| <ul style="list-style-type: none"> <li>TAs for National Professional Officer posts.</li> <li>All posts in the GS category in a country office.</li> </ul>   | <ul style="list-style-type: none"> <li>Head of Office</li> </ul>   |

| REDUCED BIS                  |                      |   |
|------------------------------|----------------------|---|
| From                         | To                   | Reduced BIS   |
| <b>Continuing/ permanent</b> | Continuing/permanent | No break  |
|                              | Fixed term           | No break  |
|                              | TA                   | <ul style="list-style-type: none"> <li>2 weeks (if in same duty station- d/s)</li> <li>1 day (if in different d/s)</li> </ul> |
|                              | Non-staff            | <ul style="list-style-type: none"> <li>2 weeks (if in same d/s)</li> <li>1 day (if in different d/s)</li> </ul>               |
| <b>Fixed term</b>            | Continuing/permanent | No break  |
|                              | Fixed term           | No break  |
|                              | TA                   | <ul style="list-style-type: none"> <li>2 weeks (if in same d/s)</li> <li>1 day (if in different d/s)</li> </ul>               |
|                              | Non-staff            | <ul style="list-style-type: none"> <li>2 weeks (if in same d/s)</li> <li>1 day (if in different d/s)</li> </ul>               |





|   |                      |  |
|---|----------------------|--|
| <b>TA</b>   | Continuing/permanent | Not applicable   |
|   | Fixed term           | 1 day  |
|   | TA                   | <ul style="list-style-type: none"> <li>• 31 days (if in same d/s, same office, after 729 days)</li> <li>• 2 weeks (if in the same d/s, different office, after 729 days)</li> <li>• 1 day (if in different d/s after 729 days)<br/>If the two TAs are in different d/s but within the same office, with same function, 31 days BiS will be applicable.</li> <li>• No break (if within 729 days)</li> </ul> |
|   | Non-staff            | <ul style="list-style-type: none"> <li>• 2 weeks (if in same d/s)</li> <li>• 1 day (if in different d/s)</li> </ul>  |
| <b>Non-staff</b><br><i>No BiS from UNV and internship to staff contract</i> | Continuing/permanent | Not applicable   |
|   | Fixed term           | 1 day  |
|   | Temporary            | 1 day  |
|   | Non-staff            | Subject to applicable procedures on non-staff  |
| <b>Retired staff</b>  | Continuing/permanent | Not applicable   |
|   | Fixed term           | Not applicable   |
|   | Temporary            | 3 months   |
|   | Non-staff            | 3 months   |

## RECRUITMENT OF INDIVIDUAL CONTRACTORS AND CONSULTANTS

| Action  | Accountable    | Responsible |
|---|----------------|-------------|
| <b>Low-value contracting:</b> For contractors/consultants below \$10,000 (one time or cumulative over a 12-month period), follow the <a href="#">Low Value Contracts (LVC)</a> guidance. An LVC does not require a contract raised in the system (no need to create a Purchase Order in VISION). The hiring office must ensure that there is appropriate record keeping for verification and audit. | Hiring Manager |             |
| <b>Competitive process:</b> Recruit individual consultants and contractors based on the <a href="#">UNICEF procedure on Consultants and Individual Contractors</a> .  | Hiring Manager |             |





|   |                |
|---|----------------|
| <p><b>↻ Single-sourcing:</b> Where it is in the best interest of UNICEF, seek approval for a single source-selection from the approving authority for the selection. Justify the single sourcing in a Note for the Record uploaded with contract documents in VISION.</p> | Hiring Manager |
| <p><b>↻ BIS:</b> When a BIS is required, ask for reduced BIS to Chief HR Business Partner.</p>  | Hiring Manager |
| <p><b>Reference check:</b> Ensure all new consultants provide a certificate of good standing from their most recent employer. Do a reference check if possible; if not, the Hiring Manager provides a Note for the Record.</p>  | Hiring Manager |

| PSEA REQUIREMENTS  |                |  |
|--|----------------|--|
| Action   | Accountable    | Responsible                                    |
| <p><b>Vetting:</b> Identify specific PSEA risks with recruitment decisions across all categories of workers (e.g. daily workers, surge support) and duration of employment, and put in place the required additional vetting and mitigation measures, above the specific reference checks, background verification and ClearCheck detailed above.</p>  | Representative | CO HR Manager, CO PSEA Specialist/Focal Point  |
| <p><b>Orientation:</b> Include a PSEA briefing for all incoming staff. Hold annual refresher training on PSEA for all staff. Ensure all staff and personnel are aware of relevant UNICEF policies and procedures:</p> <ul style="list-style-type: none"> <li>• Prohibition of discrimination, harassment, sexual harassment and abuse of authority (POLICY/ DHR/2020/002);</li> <li>• Child Safeguarding Standards (DHR/ STANDARDS/2019/001);</li> <li>• Disciplinary Process and Measures (POLICY/ DHR/2020/001 v. 7 May 2020);</li> <li>• Special measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13).</li> </ul> | Representative | CO HR Manager, CO PSEA Specialist/Focal Point  |
| <p><b>Training:</b> Conduct mandatory pre-deployment trainings for all staff and other personnel (including standby partners, consultants, volunteers and interns) in-person where possible, and as back-up through <a href="#">UNICEF's e-learning course</a>. Ensure that no staff are deployed to the field without proof of completion of mandatory PSEA training.</p>   | Representative | CO HR Manager, CO PSEA Specialist/ Focal Point |
| <p><b>Risk:</b> Candidates are deployed who are unaware of UNICEF's PSEA commitments or do not share them (due to poor vetting, training) resulting in incidents of sexual exploitation and abuse.</p>   |                |  |
| <p><b>Appetite:</b> Zero tolerance</p>   |                |  |
| <p><b>Mitigation:</b> Monitor use of mechanisms in EMT or other forums.</p>  |                |  |

## STAFF WELFARE

| Action  | Accountable    | Responsible                                      |
|---|----------------|--|
| <p><b>Time out of duty station:</b> Ensure that international professionals are able to avail themselves of rest and recuperation (R&amp;R) as per International Civil Service Commission agreements. Put in place equivalent measures – such as Special Compressed Time Off – for national staff in affected duty stations.</p>  | Representative | CO HR Manager, Programme and Operations Managers |
| <p><b>Access to Staff Counsellor:</b> Regularize staff wellbeing missions by a UNICEF recruited Staff Counsellor to CO and field duty stations at least once per year.</p> <p>Recruitment of surge staff counselling capacity should be done in consultation with the Regional Staff Counsellor and Chief of Staff Wellbeing in UNICEF HQ in particular where language may be an issue.</p> | Representative | CO HR Manager, Regional HR Manager               |
| <p><b>Access to mental health services:</b> Provide appropriate referral resources for external mental health professionals (considering culture and language).</p>   | Representative | CO HR Manager, Staff Counsellor                  |





## INCIDENT MANAGEMENT

[UN Security Policy Manual, Chapter VI \(Section C\) Management of Stress and Critical Incident Stress](#)

| Action   | Accountable                   | Responsible |
|--|-------------------------------|-------------|
| <p><b>Incident response:</b> Coordinate the psychosocial response based on scale, impact, and possibility of further incidents as well as safety and risk factors, numbers of staff, medical status, location, transport, and additional resources available. Support should be provided within 24 hours of the incident using Trauma Risk Management (TRiM) and PFA principles, including:</p> <ul style="list-style-type: none"> <li>• Conduct psychological triage and coordinate referrals, including to UN Health Services and/or UN Occupational Safety and Health;</li> <li>• Provide individual/group counselling support to affected staff;</li> <li>• Ensure administrative support from UNICEF, such as temporary leave from the office/their function;</li> <li>• Coordinate the team providing PFA including PSVs and wardens;</li> <li>• Consult with the Crisis Management Team and the Critical Incident Stress Intervention Cell activated by UN Department of Safety and Security (UNDSS) Critical Incident Stress Management Unit;</li> <li>• Provide regular situational reports to the Chief of Staff Wellbeing;</li> <li>• Refer any SEA incidents/complaints observed or reported to the PSEA Focal Point.</li> </ul> | Staff Counsellor              |             |
|  | Staff Counsellor              |             |
|  | Staff Counsellor              |             |
|  | CO HR Manager/ Representative |             |
|  | Staff Counsellor              |             |
|  | Staff Counsellor              |             |
|  | Staff Counsellor              |             |
| <p><b>Post-incident support:</b></p> <ul style="list-style-type: none"> <li>• Provide post-incident follow up support as per TRiM procedures, and ensure follow up by PSVs;</li> <li>• Provide or ensure access to individual and group counselling support sessions including through <a href="#">Cigna Global Telehealth</a>;</li> <li>• Referral to external mental health professionals as needed;</li> <li>• Provide a final report to Chief of Staff Wellbeing and CO/RO management;</li> <li>• Provide self-care time for Staff Counsellors.</li> </ul>   | Staff Counsellor              |             |
|  | Staff Counsellor              |             |
|  | Staff Counsellor              |             |
|  | Staff Counsellor              |             |
|  | CO HR Manager                 |             |

→ **Level 3 emergencies** are required make staff counselling services available to all staff and their dependents. Recruitment of UNICEF staff counsellors should be done in collaboration with the UNICEF Staff Wellbeing Unit.

**Risk:** An inadequate traumatic incident response results in long-term harm for affected staff and/or dependents.

**Appetite:** Zero tolerance

**Mitigation:** Invest in capacities, resources and referrals so they are in place in case ever required.

## STAFF PERFORMANCE EVALUATION AND KNOWLEDGE MANAGEMENT

| Action  | Accountable    | Responsible   |
|---|----------------|---|
| <p><b>Mission end performance appraisal:</b> Ensure systematic performance conversations and evaluations for all deployed personnel at the end of deployment. Ensure that the performance evaluation is properly recorded.</p>  | Representative | DHR, CO HR Manager, CO Programme and Operations Chiefs            |
| <p><b>Knowledge transfer:</b> Ensure the end of mission reports are completed and shared with the CO, RO and/or HQ as required. Use SharePoint, where possible. To increase effectiveness of the knowledge transfer, provide guidance and templates.</p> <p>Consider: What is the key knowledge to transfer? What is the balance between detail and compliance burden? What can be shared within the team vs. beyond? What is Confidential and “off-the-record”? How can we start to capture knowledge from the beginning, not the end of the assignment?</p> | CO HR Manager  | Representative, CO HR Manager, CO Programme and Operations Chiefs |



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# 17. Supply and Logistics

| CCCS 3.8 EXTRACT   | BENCHMARKS   |
|--|--|
| <p><b>1: Preparedness</b></p> <p>Supply and logistics preparedness measures are in place at global, regional and country levels, including prepositioning of supplies and contractual arrangements for logistics services and more commonly requested goods.</p> | <ul style="list-style-type: none"> <li>• Emergency supplies are kept available in Supply Division hubs and/or suppliers' premises, and/or at RO/CO level, including in some cases in governments' or partners' warehouses.</li> <li>• Long-term or contractual arrangements for procurement of emergency supplies and logistics services are in place at global, regional and country levels.</li> <li>• National and local capacity to segment and out-source supply chain services to the private sector is improved.</li> </ul> |
| <p><b>2: Timely procurement, transport and delivery of supplies</b></p> <p>Life-saving supplies for children and communities are delivered to partners and/or point-of-use in a timely fashion.</p>  | <ul style="list-style-type: none"> <li>• Financial, material and human resources are deployed to support timely delivery of supplies.</li> <li>• Supplies are delivered to country entry points within 72 hours for Rapid Response, and within 14 days by air or 60-90 days by sea for humanitarian responses<sup>12</sup>.</li> <li>• Supplies are distributed to partners and/or point-of-use in a timely fashion and the end-user monitoring protocols are in place.</li> </ul>   |

<sup>12</sup> Delivery to hard-to-reach locations, landlocked countries, trans-shipments, deliveries requiring special permits etc. may take beyond 60 to 90 days.



### 3: Sustainable procurement, supply and logistics arrangements

Sustainable procurement, supply and logistics arrangements (contracts, agreements and/or plans) are made available at the onset or deterioration of a humanitarian crisis.

- Local/regional sourcing is identified and prioritized.
- Sea/road shipments are prioritised for offshore procurement following the first wave of deliveries.
- In-country logistics service arrangements (customs clearance, warehousing, transport) are identified and established, including collaboration with partners.

The CO is supported by RO and SD during the preparedness and response phases of emergencies in order to ensure the appropriate planning, estimation of lead times, timely procurement considering local and regional stock, delivery and distribution of supplies and essential household items to affected populations, partners and/or point-of-use. UNICEF follows the “no regrets” approach for Supply and Logistics in emergencies, meaning that UNICEF will err on the side of investing in, securing, prepositioning, and deploying more resources, including supplies and services, in support of a humanitarian response, even if this proves to have been unnecessary after the fact.

### Key guidelines:

- [UNICEF Procedure on Procurement in Emergencies](#)
- [Supply Manual Chapter 10](#)

| PREPAREDNESS  |   |   |
|---|---|---|
| <p><b>Linking Preparedness to Response:</b> MPS 4 requires COs to develop annual Supply Plan, and Supply and Logistics Strategy based on the anticipated response and standing capacity. COs revisit the Supply Plan and Supply and Logistics Strategy developed and adapt it to the prevailing humanitarian context to deliver a timely and effective emergency response. <a href="#">Emergency Preparedness Platform</a> (Step 4; MPS 4, benchmarks 4.1 and 4.2) and the <a href="#">UNICEF Procedure on Preparedness for Emergency Response</a> (Annex B).</p>   |   |   |
| Action  | Accountable   | Responsible   |
| <p><b>Prepositioning:</b> Preposition supplies in SD hubs for emergencies, including L3 and global pandemics.</p>   | Deputy Director, Supply Chain                                   | ECU Senior Emergency Manager, SD Deputy Director, Programme, Chief Warehouse and Inventory Management Centre  |
| <p><b>Emergency Supply and Logistics Strategy:</b> Complete a Supply and Logistics Strategy in line with the MPSs, including:</p> <ul style="list-style-type: none"> <li>• Supply Plan (including identifying funding sources);</li> <li>• Sourcing plan, procurement method and lead time; Production and lead times need to be taken into account in emergency planning and preparedness;</li> <li>• Contingency supplies/prepositioned stock. Emergency-prone COs to have contingency stocks for three months for health and nutrition at CO or government level. CO to provide support to government for capacity development of national disaster preparedness;</li> </ul> | CO Chief of Field, Operations/ Emergency Manager or Focal Point | Deputy Representatives- Programme and Operations, CO Supply staff, Sector/Cluster Coordinators supported by RO and SD Emergency Coordination Unit (ECU) |





- Capacity development for national disaster preparedness;
- Logistics and distribution plan including last mile transport, storage capacity with required cold chain, import permits and clearances (e.g. greenlight for imports);
- Develop a distribution monitoring plan including end user monitoring;
- Freight forwarder contracts including offset of carbon emissions;
- Adequate waste management strategies;
- Roles of each office (CO/RO/HQ) and partners (including government, CSOs, clusters and UN agencies) contributing to the Supply Plan;
- Supply and logistics strengthen structure, standby partners, any additional staffing needs, and planned rapid short term deployments;
- Discussions with UN Agencies, identify joint UN activities and the Logistics Cluster.

Based on the above, preposition supplies and develop contractual arrangements for logistics and warehouse management services and more commonly requested goods and services, including transport for last mile distribution, storage with cold chain capacity, customs services, etc.

|  |  |
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|--|--|

| EMERGENCY RESPONSE  |   |   |
|---|---|---|
| Action  | Accountable   | Responsible   |
| <p><b>Coordination:</b> Immediately following an L3 or L2 declaration, establish communication with the <a href="#">ECU</a>, Deputy Director Supply Chain and the Regional Supply Advisor to coordinate emergency response activities sharing the updated Supply and Logistics Strategy.</p> <p>Activate the internal CO emergency coordination team comprising emergency, programme and operations colleagues including from supply and logistics.</p> | Deputy Representative-Programme                                 | CO Supply and Logistics Manager,<br>Regional Supply Advisor |
| <p><b>Rapid assessment:</b> Undertake a rapid assessment of supply needs, the impact of the emergency on supply and logistics with partners (with national and local authorities, other UN agencies), which is developed into a sitrep. Submit the supply needs to SD within 48 hours from the onset of the emergency.</p>  | CO Chief of Field, Operations/ Emergency Manager or Focal Point | CO Programme and Supply staff                               |





|  |   |   |
|--|---|---|
| <p><b>Activating preparedness plans:</b> Activate, adapt or newly develop (if not done under MPSs) the CO Emergency Supply and Logistics Strategy.</p> <p>Finalize an immediate needs Supply Plan within 48 hours as part of the Response Plan and identify the timelines and procurement methods.</p>   | <p>Deputy Representative-Programme</p>                                | <p>CO Chief of Field, Operations/ Emergency Manager or Focal Point, Programme Staff (defines needs) with support of CO Supply Staff, Oversight by the RO Emergency and Supply Advisor</p> |
| <p><b>Sourcing from global emergency stock:</b> Use SD global emergency stock for preparedness and response as a fast way to source required goods. The <a href="#">Emergency Supply List (ESL)</a> is a list of identified emergency supplies available at any given time in the UNICEF emergency hubs, allowing an emergency response to meet the needs of 250,000 people at risk for a period of three months.</p>  | <p>Deputy Representative-Operations/Deputy Director, Supply Chain</p> | <p>CO Programme Staff (defines needs)<br/>CO Supply Staff (supporting the procurement and delivery of supplies as per the plan)</p>   |
| <p><b>Low-Value Procurement:</b> Use low value procurement processes for goods and institutional services under \$10,000. Further guidance is available in the <a href="#">Quick Guide on Low Value Procurement</a>.</p>   |   |   |
| <p><b>Waiver of competitive bidding:</b> Competitive bidding is not required, allowable to solicit an offer directly from a single source. All simplifications applicable to procurement are available in the <a href="#">UNICEF Procedure on Procurement in Emergencies</a>.</p>  |   |   |
| <p><b>Local procurement:</b> Local procurement can be beneficial in terms of shorter delivery times as compared to offshore procurement. With the exception of materials listed in the UNICEF Supply Manual (Chapter 6, Section 2), or available global stockpile with SD otherwise COs can procure supplies locally without consulting SD.</p> <p>Supplies that are included in the UNICEF Supply Manual (Chapter 6, Section 2) require a Local Procurement Authorization (LPA); LPAs will be handled in a prioritized manner.</p> <p>→ For LPAs from L3 COs, only the summary section is required.</p> |   |   |





|  |   |  |
|--|---|--|
| <p>→ <b>For L3 emergencies:</b></p> <ul style="list-style-type: none"> <li>• Use of in-country prepositioned emergency supplies within 72 hours;</li> <li>• Offshore procurement through SD of standard emergency stock as follows:           <p><b>First Wave:</b> Standard stock emergency kits, and other lifesaving stock items via plane/charter dispatched 72 hours by charter flight;</p> <p><b>Second Wave:</b> The requisitioner uses the ESL to define standard stock supplies to be delivered within 14 days by air;</p> <p><b>Third Wave:</b> 60-90 days for other emergencies by sea.</p> </li> </ul> <p>If supply chains are globally constrained due to the global scale of the emergency, a realistic delivery date is communicated by the Transport Centre. SD provides alternative products for standard stock not available. Rapid Response emergency orders for HQ-offshore procurement require approval from the SD Emergency Coordinator for priority processing and agreed timelines.</p> | <p>Deputy Representative-Operations, ECU Senior Emergency Manager</p> | <p>CO Programme Staff, Supply Staff</p>  |
| <p><b>Immediate deployment:</b> <a href="#">Contact ECU</a> for a quick assessment mission and to make the necessary preparations to support the CO through the supply function roster. Deployment could be onsite or remotely. In parallel, request any surge required through the Human Resource Section.</p> <p>Depending on office configuration and scale of emergency needs, the first wave of deployment would normally include ERT Supply and Logistics, Senior Emergency Manager, Supply Planning Manager, Logistics Coordinator, Warehouse Specialist and/or Data Manager. The first wave of support should be deployed within 48 hours for an initial 3 to 4 weeks.</p> <p>COs with no Supply Officer should in the first wave of surge be equipped with a Supply and Logistics Emergency Coordinator to assist in assessing supply needs and interact with SD.</p>   | <p>ECU Senior Emergency Manager</p>                                   | <p>Deputy Representative-Operations, CO HR Manager, EMOPS ERT coordinator, RO and SD</p> |
| <p><b>Risk:</b> Urgent deployment of staff, finances, supplies, services that can result in an over-resourced immediate response or loss of resources. This can also result in items which need to be written off.</p>   |   |  |
| <p><b>Appetite:</b> High (based on the 'no regrets' approach)</p>  |   |  |
| <p><b>Mitigation:</b> Ensure preliminary TORs, prepositioning are in place to support surge requests, continuous capacity building as part of emergency preparedness. Additional capacity can support partner capacity building in Supply and Logistics.</p>   |   |  |



# 18. Operations, Administration and Finance

| CCCS 3.1 EXTRACT   | BENCHMARKS   |
|--|--|
| <p><b>1: Efficient use of resources</b></p> <p>Programmes are delivered through transparent and efficient use of resources.</p>  | <ul style="list-style-type: none"> <li>Financial accountability, internal governance, control mechanisms and risk management are in place and regularly updated.</li> <li>Appropriate levels of authority are delegated within the CO to facilitate rapid and flexible response at field level.</li> </ul>   |
| <p><b>2: Timely disbursement of funds</b></p> <p>Cash is disbursed to partners and vendors in a timely manner and in compliance with established procedures.</p>                         | <ul style="list-style-type: none"> <li>Cash replenishment processes are in place and alternative options identified.</li> <li>Cash and funds transfer mechanisms are in place and cash availability is regularly assessed.</li> <li>Funds are disbursed in a timely manner, for intended purposes and in compliance with established procedures.</li> </ul>                  |
| <p><b>3: UNICEF field presence</b></p> <p>Safe and conducive working environments and appropriate accommodation are in place to enable UNICEF field presence and programme delivery.</p> | <ul style="list-style-type: none"> <li>Staff are provided with adequate resources, office space, equipment, transportation, accommodation, security and logistics support which meet the duty of care principles and facilitate the delivery of programmes.</li> <li>Practical business continuity plans are in place and tests are conducted on a regular basis.</li> </ul> |



The Deputy Representatives-Operations commits to adapting and adopting processes and procedures to support a timely and effective humanitarian response, including

identifying mechanisms to mitigate and manage risks inherent in an accelerated response.


| ASSESSING THE OPERATIONS CAPACITY TO CARRY OUT AN EMERGENCY RESPONSE   |  |   |
|--|--|---|
| Action   | Accountable                                | Responsible   |
| <p><b>Rapid Assessment:</b> Conduct a rapid assessment of existing work processes with a focus on increasing efficiencies and simplifying processes. This includes using new digital platforms such as e-tools and e-Contract Review Committee. Representatives and RDs are accountable to ensure that COs and ROs suspend or remove all additional rules, processes, guidelines or SOPs developed at the local or regional level which are additional to global procedures.</p> | Representative at CO-level, RD at RO-level | Deputy Representative-Operations  |
| <p><b>Staffing:</b> Evaluate the number and experience of current Operations Staff to handle the emergency response. If needed, request temporary support.</p> <p><b>See:</b> Human Resources Section</p>  | Representative                             | Deputy Representative-Operations, CO HR Manager with support from RO Chief of Operations, DHR |
| <p><b>Business Continuity Plan:</b> Update the Business Continuity Plan to reflect the new emergency context. <b>See</b> the <a href="#">Business Continuity SharePoint</a>.</p>   | Representative                             | Deputy Representative-Operations  |



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## GOVERNANCE MECHANISMS AND INTERNAL CONTROLS

### UNICEF Financial and Administrative Policy 1- Internal Control

| Action   | Accountable    | Responsible  |
|--|----------------|--|
| <p><b>Governance mechanisms:</b> Amend the below to facilitate more efficient transactions:</p> <ul style="list-style-type: none"> <li>• Table of Authority (including paying offices and bank signatories);</li> <li>• Delegation of Authority and Segregation of Duties;</li> <li>• Financial limits;</li> <li>• Delegation letters;</li> <li>• Roles assigned in VISION;</li> <li>• Statutory Committee membership and processes, including for the Contract Review Committee.</li> </ul> <p>The number of available staff determines the extent of controls implemented. If fewer than four staff with the delegated authority are available at a location, a minimum of two staff must execute temporary internal controls on any transaction. If there is only one staff member, notify the DFAM Comptroller's Office.</p> | Representative | Deputy Representative-Operations, with support from Regional Chief of Operations as required, DFAM, GSSC |
| <p><b>Release strategy:</b> If a substantial increase in funds is anticipated or the risk profile for the office has changed, request the DFAM Comptroller's Office to perform an ad-hoc review of the release strategy. Provide the estimated annual budgets, procurement and DCT levels, if known.</p>   | Representative | Deputy Representative-Operations   |
| <p><b>Changes in Office Structure:</b> Endorse changes required in the Posts and Organizational Structure. These would include:</p> <ul style="list-style-type: none"> <li>• Creation or closing of a new office;</li> <li>• Change of office type;</li> <li>• Internal re-organization (section/unit);</li> <li>• Establishment/abolishment/extension of project-funded posts.</li> </ul> <p> <b>See:</b> <a href="#">Technical Budget Instructions 2020</a> (item 32 paragraph b)</p>   | RD             | Representative, Deputy Representatives-Programme and Operations  |
| <p><b>Risk Management:</b> When a risk occurs, ensure it is managed as per UNICEF Procedure. When support is needed in addressing a risk derived from the emergency, request support as per the UNICEF Procedure on Risk Escalation. When any office risk level changes during the emergency, submit risk assessment in EGRC.</p>  | Representative | Deputy Representatives-Operations and Programme  |
| <p><b>Risk:</b> An increase in the limits in the Table of Authority reduces the level of oversight and leads to potential funds mismanagement.</p>   |                |  |
| <p><b>Appetite:</b> Medium</p>   |                |  |
| <p><b>Mitigation:</b></p> <ol style="list-style-type: none"> <li>1. The accountability framework is revised to clearly define the new roles and responsibilities and the new thresholds.</li> <li>2. Governance mechanisms are reassessed to ensure a clear segregation of duties as well as checks and balances.</li> <li>3. Delegation of duties in VISION are regularly reconciled with the ToA and violations are corrected or mitigated.</li> </ol>   |                |  |

## TEMPORARY OFFICES

### UNICEF Financial and Administrative Policy 7 Supplement 6- Guidelines for Premises

| Action   | Accountable    | Responsible  |
|--|----------------|--|
| <p><b>Temporary office premises options:</b> If an office is damaged or inaccessible, review the need for a temporary office. Consider prefab buildings (see <a href="#">examples here</a>) in consultation with SD. Also consider shipping containers from the local market. Other UN agencies should be consulted and shared premises with UN agencies considered either to operate in a new areas or if the UNICEF office is damaged, or to host and support another UN agency as needed.</p> <p>If an office is to be opened, closed or relocated, use the <i>“Checklist for establishing a temporary office”</i> <a href="#">UNICEF Financial and Administrative Policy 7 Supplement 6- Guidelines for Premises (Annex D)</a>.</p> <p>When setting up an office, obtain temporary classification of a new duty station from International Civil Servants’ Commission, through the Humanitarian or Resident Coordinator.</p> | Representative | Deputy Representative-Operations, Operations Staff, RO Operations, DFAM, DHR |
| <p>⇒ <b>L3, L2 only:</b> A lease agreement can be signed without approval by DFAM. The signed lease agreement should then be shared with DFAM (<a href="#">Administrative Services</a>) as soon as it is signed. Use the <i>standard lease agreement (available in the Policy)</i> approved by UN Office of Legal Affairs. If any changes to the lease are required, DFAM must be consulted in advance.</p>  | Representative | Deputy Representative-Operations with support from DFAM                      |
| <p><b>Risk:</b> Requirement to urgently establish a temporary office results in unfavourable lease terms.</p>  |                |  |
| <p><b>Appetite:</b> Medium</p>   |                |  |
| <p><b>Mitigation:</b> Compliance with additional guidance listed under the L2/L3 simplifications</p>   |                |  |

## GUESTHOUSES

### UNICEF Financial and Administrative Policy 7 Supplement 6- Guidelines for Premises

| Action   | Accountable    | Responsible   |
|--|----------------|---|
| <p>A guesthouse can be set up for staff on assignment, visitors and staff on official duty travel if:</p> <ul style="list-style-type: none"> <li>• Suitable accommodation is not available (from the Government or private rentals); or</li> <li>• Personnel need to be grouped together within compounds for security purposes.</li> </ul> <p>Depending on the availability of space, allow implementing partner staff to use UNICEF guesthouses, with a specific consideration to be given to female staff members in insecure areas. Ensure measures are in place to protect against sexual exploitation and abuse by staff or partner personnel including, at minimum, a Guest Policy and visitor's log.</p> <p>Submit a proposal and a draft lease to DFAM (<a href="#">Administrative Services</a>) and the Regional Chief of Operations for review and approval, prior to signature. The proposal should include:</p> <ul style="list-style-type: none"> <li>• An analysis of the situation;</li> <li>• Projected costs and timeframe;</li> <li>• Security clearance from UNDSS;</li> <li>• Proposal on how costs will be recovered as UNICEF Guesthouses cannot be operated at a financial loss (except for security-related costs).</li> </ul> <p>The daily rate for guesthouse accommodation must cover all operating costs and should be aligned to Daily Subsistence Allowance rates where possible.</p> | Representative | Deputy Representative-Operations, Operations Staff, RO Operations, DFAM |
| <p><b>Guesthouse committee:</b> Establish a Guesthouse Committee. Ensure gender parity for this Committee to address security concerns of female staff.</p>  | Representative | Deputy Representative-Operations, Operations Staff                      |
| <p><b>Canteen:</b> Where access to food is difficult, set up a canteen (full cost recovery) or enter into an agreement with a food supplier.</p>   | Representative | Deputy Representative-Operations, Operations Staff                      |
| <p><b>L3, L2 only:</b> Sign a lease agreement without approval by DFAM, in line with the requirements for a lease for a temporary office (above).</p>  | Representative | Deputy Representative-Operations with support from DFAM                 |

## TRAVEL

[DHR/PROCEDURE/2017/11 Rev 1- UNICEF Policy on duty travel](#)

| Action  | Accountable         | Responsible   |
|---|---------------------|---|
| <p>With prior authorization of the office, staff can purchase their own tickets or arrange travel with the airlines directly if a travel agency is not accessible, making all efforts to obtain lowest airfare. Staff can also contact HQ, OPSCEN or ROs to arrange travel when needed.</p> | <p>Staff member</p> | <p>Staff member with support from HQ, OPSCEN and RO</p> |

## UNICEF VEHICLES

[UNICEF Financial and Administrative Policy 7 Supplement 5- Guidelines for UNICEF Vehicles Management](#)

| Action   | Accountable           | Responsible |
|--|-----------------------|-------------|
| <p>Authorize and assign UNICEF vehicles (both UNICEF-owned and UNICEF-rented vehicles) for official and/or non-official use by staff members, as needed.</p> <p>Where non-official use has been authorized, staff members must have fully comprehensive insurance and reimburse UNICEF for using a vehicle for personal reasons based on the standard UN km/mileage allowance rates established for the duty station. The authorization must be documented with justification.</p> <p>Third party providers or individual contractors cannot be used to drive UNICEF vehicles, neither can UNICEF consultants or stand-by partners.</p> <p>Shuttles to transport staff may be organized where security is a concern or public transportation/infrastructure has been impacted.</p> | <p>Representative</p> |             |

**Risk:** While driving, staff have accidents or otherwise damage UNICEF vehicles, reducing vehicles available for programmatic purposes.

**Appetite:** Low

**Mitigation:** Ensure understanding of safe driving principles, staff must have comprehensive insurance. Non-UNICEF staff require a waiver to move in UNICEF vehicles.

## FINANCIAL MANAGEMENT AND ACCOUNTING

### UNICEF Policy on Cash Management

| Action   | Accountable    | Responsible  |
|--|----------------|--|
| <p><b>Petty Cash and COHA:</b> Assess the level of operations and risks to determine if petty cash, cash on hand (COHA) or mobile cash payment modalities are required or if the office needs to contract a FSP or a third-party cash provider.</p> <p>Seek approval from DFAM to establish COHA and ensure that COHAs/petty cash are safely stored.</p> <p><b>🔗 See</b> the <a href="#">Procedure on cash accounts</a>.</p> <p>Expenses can be invoices using the <a href="#">Invoice for miscellaneous expenses form</a>.</p>  | Representative | Deputy Representative-Operations   |
| <p><b>FSPs:</b> As needed, work with <a href="#">DFAM-TSFS</a> to establish relationships with FSPs including banks, Mobile Network Operators or other institutions who provide payment services.</p> <p><b>A Third-Party Cash Provider</b> may be any company or entity used to provide cash when the banking system has failed and an alternate mechanism is needed to make payments. It may be another UN agency, a multinational corporation, a local money lender/money agent or some other entity.</p> <ul style="list-style-type: none"> <li>Seek guidance and approval of <a href="#">DFAM-TSFS</a> to process transactions through a Third-Party Cash Provider, including to vet the entity (including against the <a href="#">UN Sanctions List</a>);</li> <li>If the banking system has collapsed, it is likely that off-shore payments in USD or Euros may be required, and this will need to be authorized by DFAM-TSFS.</li> </ul> | Representative | Deputy Representative-Operations, RO Operations, DFAM  |
| <p><b>Staff security:</b> Do not jeopardize staff security by entering into intermediary arrangements or transporting or storing large amounts of cash without a proper assessment of risk. Wherever possible, eliminate the need for UNICEF to keep cash overnight.</p> <p>If possible and with the approval from DFAM (Deputy Director TSFS) hire a service provider for transportation, handling and disbursement of cash.</p> <p>If cash funds must be transferred, in coordination with security colleagues:</p> <ul style="list-style-type: none"> <li>Minimize the number of people who know about the transfer or storage of the funds;</li> <li>Carefully plan all movements of the money from start to finish, including with contingency plans.</li> </ul>  | Representative | Deputy Representative-Operations, CO Chief Field Security Advisor, CO Programme and Operations Staff |
| <p><b>Risk:</b> Use of alternative payment options to accelerate payments results in an increased risk of financial mismanagement.</p>   |                |  |
| <p><b>Appetite:</b> Medium to high, depending on the context and volume of funds.</p>  |                |  |
| <p><b>Mitigation:</b> Use known systems or companies, piggyback on other UN agencies.</p>  |                |  |

## TRANSACTIONS

### UNICEF Policy on Cash Management

| Action  | Accountable                      | Responsible   |
|---|----------------------------------|---|
| <p><b>Manual recording:</b> If required, rely on the manual recording of financial transactions such as receivables, cash receipts and payments from petty cash and COHA when VISION cannot be accessed and later recorded in VISION.</p>   | Deputy Representative-Operations | CO Operations Staff                                     |
| <p><b>One-off vendors:</b> Where payments are made to one or more "one-off vendors"; allow staff to advance the cash to cover these payments. The staff member collects receipts from the "one-off vendors" to liquidate the advance.</p>   | Deputy Representative-Operations | CO Operations Staff                                     |
| <p>⇒ <b>L2/L3:</b> Transactions from L2 and L3 countries will be prioritized by GSSC. Upon activation of an L2 or L3 emergency, the EMOPS Operations Manager updates the prioritization in Vision where the designations cover the full country. Upon deactivation, EMOPS Operations Manager removes this prioritization.</p> <p>For sub-national L2 and L3 emergencies, the emergency tag in the Service Gateway is used to ensure prioritization.</p> | GSSC                             | EMOPS, Representative, Deputy Representative-Operations |

## BANK ACCOUNTS AND SIGNATORIES

### UNICEF Policy on Cash Management

| Action   | Accountable    | Responsible                             |
|--|----------------|---|
| <p><b>Bank signatories:</b> Update the bank signatories and paying offices based on the review of the Table of Authority and inform DFAM. DFAM-TSFS will send a letter addressed to the bank to the CO.</p> <p>In instances where there are fewer than three staff with delegated financial authority, consider transferring the processing of transactions to another office or to GSSC. If this is not possible then a single signatory bank account can be used, with DFAM-TSFS approval.</p> | Representative | Deputy Representatives-Operations, DFAM |



# 19. Information and Communications Technology (ICT)

| CCCS 3.8 EXTRACT  | BENCHMARKS  |
|---|---|
| <p><b>1: Timely deployment</b></p> <p>ICT infrastructure and solutions are deployed in a timely manner, supporting efficient programme implementation and staff security.</p>                             | <ul style="list-style-type: none"> <li>• All high-risk COs preposition essential, ready-to-use emergency ICT kits.</li> <li>• Core UNICEF information systems and associated infrastructure are in place, including secure corporate data connectivity.</li> <li>• Platforms, tools and end-user devices are provided for data collection and analysis and for communication with the affected population.</li> <li>• Shared telecommunications and data communications service delivery options are identified with partners.</li> </ul> |
| <p><b>2: Capacity</b></p> <p>ICT personnel have the capacity to respond to emergencies in line with Telecoms Security Standards and interagency standards.</p>  | <ul style="list-style-type: none"> <li>• Field ICT personnel are trained and involved in emergency simulation exercises at interagency, regional and country level.</li> </ul>  |
| <p><b>3: Data protection</b></p> <p>Data privacy and adherence to protection principles and standards are ensured while processing personal and sensitive data about affected or at-risk populations.</p> | <ul style="list-style-type: none"> <li>• Technical and organizational safeguards and procedures are implemented to ensure proper data management, data protection and privacy.</li> </ul>   |



The goal of ICT in emergencies is to support staff safety and security; ensure the continuity of the response; and support programmatic innovations to deliver results for children. The CO ICT Manager and Deputy Representative-Operations are responsible to ensure the below actions are taken in a timely manner, with support from RO ICT and Information and Communication Technology Division (ICTD).

## Key links:

- [Emergency Telecommunications Handbook](#)
- [ICTD Emergency Portal](#)
- [ICT Emergency Preparedness Checklist](#)

| SUDDEN ONSET EMERGENCIES   |                                  |   |
|--|----------------------------------|---|
| Action   | Accountable                      | Responsible   |
| <p><b>ICT Assessment:</b> Perform an <a href="#">ICT Assessment</a> at the onset of emergency and share the information with CMT, Regional ICT and ICTD emergency focal point.</p> <p>This can be done through other staff or information from other agencies if the office is not accessible to ICT staff.</p> <p>Share ICT human resources needs with CO Management, including potential surge requirements (<a href="#">See</a> Human Resources Section).</p> | Deputy Representative-Operations | CO ICT Manager with support from RO ICT and ICTD Emergency Focal point, DHR |
| <p><b>Office relocation:</b> If a new office is considered, ensure an ICT responder is part of the first assessment and follows the <a href="#">ICT Assessment</a>.</p>  | Deputy Representative-Operations | CO ICT Manager  |
| <p><b>Equipping UNICEF responders:</b> Provide adequate voice and data communication equipment to staff and responders traveling to affected area(s) to access corporate resources. Contact ICTD for advice as required.</p>   | Deputy Representative-Operations | CO ICT Manager with support from RO ICT and ICTD Emergency Focal Point      |
| <p><b>ICT Providers:</b> Alert local and global ICT providers about a possible requirement for additional capacity in the field. If the response is likely to trigger an increase of staff in an existing office, inform internet service providers to anticipate an upgrade of the bandwidth, wireless infrastructure or staffing.</p>  | Deputy Representative-Operations | CO ICT Manager  |
| <p><b>Start-up Supplies:</b> Consider ICT needs for the first wave of supplies. Before ordering any ICT supplies or equipment, the list is reviewed by the RO ICT Chief or ICTD Emergency Section in NY to ensure the compatibility and relevance for the context. Consider requesting ICTD emergency kits and/or Emergency LAN kits that are pre-stocked in NY/ Copenhagen.</p>   | Deputy Representative-Operations | CO ICT Manager, with support from RO ICT and ICTD Emergency Focal Point     |
| <p><b>ICT Response Plan:</b> Finalize and implement an <a href="#">ICT Response Plan</a>. This should consider the need for improved connectivity, including for video if possible. Procurement of supplies and equipment is done using emergency procurement procedures.</p> <p><a href="#">See</a>: Supply and Logistics Section.</p>  | Deputy Representative-Operations | CO ICT Manager, with support from RO ICT and ICTD Emergency Focal Point     |





|   |                                  |   |
|---|----------------------------------|---|
| <p><b>T4D:</b> Undertake a <a href="#">Digital Platforms Assessment</a> and share the outcomes with CMT, RO ICT, Business Analyst and ICTD. Support the design, development, deployment and evaluation of T4D solutions used in emergency response.</p>                                   | Deputy Representative-Operations | CO ICT Manager with support from RO ICT & Business Analyst and ICTD, Deputy Representative-Programme, CO Programme Chiefs and Staff |
| <p><b>File sharing:</b> Create a dedicated workspace for files used during the emergency using UNICEF’s current standards, in order of importance: SharePoint (collaboration site), OneDrive, local shared drive. Use WeShare for photos and videos.</p>                                  | Deputy Representative-Operations | CO ICT Manager  |
| <p><b>ICT Coordination:</b> Hold weekly conference calls and provide situation reports (see <a href="#">sample report</a>) in collaboration with the Regional ICT, ICTD in HQ and the inter-agency community. Ensure UNICEF participation in any relevant interagency working groups.</p> | Deputy Representative-Operations | CO ICT Manager, with support from RO ICT and ICTD Emergency Focal Point   |

⇒ **L2-specific procedure:** ICTD ensures fast-track of ICT service requests raised by the affected CO.

→ **L3-specific procedure (in addition to L2-specific procedure):** CO is prioritized for ICTD emergency stock, though it remains available to all emergency-affected COs.

**Risk:** During a sudden onset emergency, high levels of procurement requirements and importation and licensing issues result in delays and under-resourced staff.

**Appetite:** Low

**Mitigation:** Import UNICEF telecoms response kits to ensure back-up connectivity, outsourcing procurement of ICT equipment and services to shadow office, RO or HQ, advocacy through ICT Working Group/Emergency Telecoms Cluster.

**Risk:** Immediate needs are overcalculated, resulting in an excess of supplies compared to need.

**Appetite:** High (based on the ‘no regrets’ approach)

**Mitigation:** CO ICT Manager to work closely with Deputy Representative-Operations to ensure matching between expected staffing levels and related ICT requirements.



## 20. Security Risk Management

| CCCS 3.7 EXTRACT  | BENCHMARKS  |
|---|---|
| <p><b>1: Security Risk Management (SRM)</b></p> <p>Security risks that could affect personnel, premises, assets or the ability to deliver emergency programmes are identified, assessed and managed, in compliance with the SRM policy.</p> | <ul style="list-style-type: none"> <li>• SRM process is developed and supports valid, context-specific and timely risk management decisions.</li> <li>• SRM decisions balance security risks with Programme Criticality.</li> </ul>   |
| <p><b>2: Adequate resources</b></p> <p>SRM capacity is adequate to manage risks to personnel, assets and premises and enable the delivery of programmes.</p>  | <ul style="list-style-type: none"> <li>• Sufficient human, material and financial resources are allocated, in a timely fashion, to support the assessment of security risks and implementation of management measures.</li> </ul>   |
| <p><b>3: Coordination</b></p> <p>Active participation in interagency security fora at global and national levels ensures that SRM measures, policies and guidelines enable programme delivery by UNICEF and partners.</p>                   | <ul style="list-style-type: none"> <li>• Collaboration with and support to partners on security matters is effective and is guided by the UN Security Management System (UNSMS) and the Saving Lives Together (SLT) framework.</li> <li>• Active participation to the following fora is ensured: Security Cell and Security Management Team at national level, Inter-Agency Security Management Network (IASMN) at global level, and Saving Lives Together (SLT) at global and national level.</li> </ul> |

Building on a structured Security Risk Management (SRM) approach, in which the operational context is assessed to identify the security risk level of threats and determining an appropriate response, the UNICEF Representative- with support from the Country Field Security Advisor (CFSA) or other designated Security Focal Point (SFP) as well as the Regional Security Advisor (RSA), and the Office of Security Coordination (OSC)- is responsible for the following actions. The effectiveness and efficiency of the following actions largely depend on the level of preparedness

achieved through the implementation of core requirements of the UN Security Management System (UNSMS) policies and guidelines:

- [UNICEF Security Framework of Accountability](#)
- [UNSMS Security Policy Manual](#)
- [Security Risk Management Manual](#)
- [DO and SMT Handbook](#)

| MANAGE SECURITY OF UNICEF PERSONNEL   |                |             |
|---|----------------|-------------|
| Action  | Accountable    | Responsible |
| <b>Account for all personnel and eligible family members:</b> In the first 24-hours after a sudden onset emergency, account for all UNICEF personnel and eligible family members. Report the tracking status to UNDSS, RO and EMOPS.                                  | Representative | CFSA/SFP    |
| <b>Keep personnel informed:</b> Ensure production of regular security updates and dissemination of security alerts, advisories, and reports through appropriate means of communications, as per the CO SRM.   | Representative | CFSA/SFP    |
| <b>Capacity building of personnel and eligible family members:</b> Ensure personnel are aware of, and regularly exercise, security plans, contingency plans and SOPs for different security scenarios including relocation, evacuation and alternate work modalities. | Representative | CFSA/SFP    |
| <b>Risk:</b> Inadequate preparation compromises the security of UNICEF personnel and their eligible family member during a period of insecurity.  |                |             |
| <b>Appetite:</b> Low  |                |             |
| <b>Mitigation:</b> Implementation of core requirements of the UNSMS policies and guidelines, regular information sharing and capacity building, including in times of stability   |                |             |

| SECURITY RISK MANAGEMENT  |                |             |
|---|----------------|-------------|
| Action  | Accountable    | Responsible |
| <b>Review and update the SRM process:</b> In the first 24-hours after a sudden-onset emergency, advise and support the Designated Official in the Security Management Team (SMT), or the Area Security Coordinator (ASC) in the Area SMT (ASMT), to analyze the security environment, review and approve the SRM. This review is based on the advice from the Security Cell, led by the senior UNDSS security professional. | Representative | CFSA/SFP    |





|   |                |   |
|---|----------------|---|
| <p><b>Alternative working modalities:</b> Consider, among other SRM strategies, implementing alternative working modalities including temporary staff ceilings or travel restrictions, relocation, or evacuation, if necessary.</p>                           | Representative | CO HR Manager   |
| <p><b>Financial resources:</b> Once the SRM is updated, identify funding sources to implement any additional SRM measures.</p>  | Representative | Representative, CFSA, RD/RSA, OSC                             |
| <p><b>Security plans:</b> Based on the updated SRM, provide UNDSS with updates to the country Security Plan and any contingency plans.</p>  | Representative | CFSA/SFP, Deputy Representatives-Operations and Programme     |
| <p><b>Information sharing:</b> Ensure the CO receives and shares with the Designated Official (DO) and the UNDSS Security Adviser updates on the evolving security environment. Share updates with RO and EMOPS as well as with CO personnel as required.</p> | Representative | CFSA  |
| <p><b>Emergency Communication System:</b> Through the SMT/ASMT, and as advised by the Security Cell, ensure adequate provision and timely distribution of communications equipment as required by the SRM.</p>  | Representative | Deputy Representative-Operations, CFSA, RCO, RSA, OSC, CO ICT |
| <p>→ <b>L3 specific procedures:</b> OPSCEN is designated as a 24/7 information and telecoms hub to support the response and its coordination.</p>   | OPSCEN         |   |

|  |
|--|
| <p><b>Risk:</b> UNICEF personnel implementing PC-1 activities remain in an assessed high-risk location allowing them to maintain critical life-saving programmes.</p>  |
| <p><b>Appetite:</b> High</p>   |
| <p><b>Mitigation:</b> Implementing SRM measures and procedures; Updated Security Plan including predetermined and rehearsed response to crisis situations impacting personnel and operations, and collaboration with the Host Government; Emergency field telecommunications; Regular information sharing; Adequate and sustainable resources to manage security risks</p> |

| SURGE SUPPORT  |                |                                    |
|--|----------------|------------------------------------|
| Action   | Accountable    | Responsible                        |
| <p><b>Surge support:</b> Based on the updated SRM process and UNICEF specific programmatic needs, determine where there is need for additional security support and provide recommendations to the RO and EMOPS.</p> | Representative | CO HR Manager, RD/RO Security, OSC |
| <p><b>Risk:</b> Inadequate security management presence compromises the security of UNICEF personnel and their eligible family members and hinder programme delivery.</p>  |                |                                    |
| <p><b>Appetite:</b> Low</p>  |                |                                    |
| <p><b>Mitigation:</b> Capacity building of UNICEF SMT/ASMT representatives as the security decision-makers in COs; Capacity building of UNICEF security professionals as the security advisers in the COs</p>        |                |                                    |

## SAVING LIVES TOGETHER (SLT)

| Action  | Accountable    | Responsible                             |
|---|----------------|---|
| <p><b>Security coordination arrangements:</b> Establish close liaison with implementing partner organizations and respond to any queries on SLT related issues.</p>   | Representative | CFSA/SFP, CO Programme Chiefs and Staff |
| <p><b>Incident Response:</b> Support the coordination of security incident response measures. Collect, compile and cross-check information for security reports and coordinate mutual assistance in maintaining relevant security incident databases.</p> | Representative | CFSA/SFP                                |
| <p><b>Capacity building:</b> Make training events available to security managers of SLT partner organizations, when feasible.</p>   | Representative | CFSA/SFP, Programme Chiefs and Staff    |
| <p><b>Risk:</b> Lack of collaboration with SLT partner organizations hinders the safe delivery of humanitarian assistance and programme delivery.</p>   |                |   |
| <p><b>Appetite:</b> Low</p>   |                |   |
| <p><b>Mitigation:</b> Sharing of relevant security information; Establishment of security coordination arrangements and forums; Cooperation on security training; Cooperation on operational and logistic arrangements, where feasible</p>                |                |   |

# DOCUMENT MANAGEMENT INFORMATION PAGE

|   |   |
|---|---|
| <b>Document Title</b>                           | Guidance Handbook in L1, L2 and L3 Emergencies  |
| <b>Document Number</b>                          | <b>GUIDANCE/EMOPS/2021/001</b>  |
| <b>Effective Date</b>                           | <b>1 December 2021</b>  |
| <b>Mandatory Review Date</b>                    | One year after effective date, with annual reviews ensured thereafter   |
| <b>Responsible Business Owner</b>               | EMOPS   |
| <b>Responsible Manager</b>                      | Grant Leaity (Deputy Director, EMOPS), Tsedeye Girma (Chief of Risks Analysis Preparedness Section, EMOPS), Sara Bordas Eddy (Chief of Humanitarian Field Support Section, EMOPS)   |
| <b>Co-Business Owner</b>                        | N/A   |
| <b>Document Summary</b>                         | This procedure provides a set of fast-track procedures to facilitate all UNICEF work in humanitarian emergencies.   |
| <b>Regulatory content the Document Replaces</b> | <a href="#">UNICEF Emergency Procedures for Coronavirus (COVID-19) response</a> (circulated by email)<br>UNICEF Procedure for Level 2 Emergencies Annex 1 to CF/EXD/2013-003<br>Simplified Standard Operating Procedures for Level 3 Emergencies (L3 SSOPs) |
| <b>Topics Covered</b>                           | Emergency response  |
| <b>Corporate Risk Area</b>                      | Natural and Anthropogenic Hazards   |

## REFERENCE / LINKS TO ENABLING LEGISLATION AND BACKGROUND

|   |  |
|---|--|
| <b>Links to Relevant Policy</b>                             | <a href="#">Core Commitments for Children in Humanitarian Action</a><br><a href="#">Enterprise Risk Management Policy</a>  |
| <b>Links to Relevant Procedure</b>                          | <a href="#">UNICEF Emergency Procedures</a><br><a href="#">UNICEF Procedure on Corporate Emergency Activation for Level 3 Emergencies: EMOPS/PROCEDURE/2019/001</a><br><a href="#">UNICEF Procedure on Regional Emergency Activation for Level 2 Emergencies: EMOPS/PROCEDURE/2019/002</a><br><a href="#">UNICEF Procedure on Preparedness for Emergency Response PROCEDURE/EMOPS/2020/001</a> |
| <b>Links to Relevant Guidance</b>                           | Programming Policies and Procedures Site (PPPx)  |
| <b>Links to Relevant Training Materials</b>                 | <a href="#">Humanitarian Evidence &amp; Learning Section</a>   |
| <b>Links to Other Knowledge &amp; Information Resources</b> | <a href="#">Emergency Procedures Sharepoint</a><br><a href="#">Emergency Procedures</a>  |

# Acronyms

|             |   |              |   |
|-------------|---|--------------|---|
| <b>AA</b>   | Administrative Agent                                | <b>DAPM</b>  | Division of Data, Analytics, Planning and Monitoring  |
| <b>AAP</b>  | Accountability to Affected Populations              | <b>DCT</b>   | direct cash transfer                                  |
| <b>AFM</b>  | Access Field Manual                                 | <b>DGCA</b>  | Division of Global Communications and Advocacy        |
| <b>AFP</b>  | Access Focal Point                                  | <b>DHR</b>   | Director of Human Resources                           |
| <b>ANSA</b> | armed non-state actors                              | <b>DO</b>    | Designated Official                                   |
| <b>AORs</b> | Areas of Responsibility                             | <b>ECU</b>   | Emergency Coordination Unit                           |
| <b>ASC</b>  | Area Security Coordinator                           | <b>EGRC:</b> | Enterprise Governance, Risk Management and Compliance |
| <b>ASMT</b> | Area Security Management Team                       | <b>EMOPS</b> | Office of Emergency Programmes                        |
| <b>BIS</b>  | break in service                                    | <b>EMT</b>   | Emergency Management Team                             |
| <b>BO</b>   | Business Owner                                      | <b>EPF</b>   | Emergency Programme Funds                             |
| <b>BSA</b>  | banking service agreement                           | <b>EPP</b>   | Emergency Preparedness Platform                       |
| <b>C4D</b>  | Communication for Development                       | <b>ERM</b>   | Enterprise Risk Management                            |
| <b>CBFs</b> | country-based pooled funds                          | <b>ERT</b>   | Emergency Response Team                               |
| <b>CCC</b>  | Core Commitments for Children                       | <b>ESL</b>   | Emergency Supply List                                 |
| <b>CEAP</b> | Corporate Emergency Activation Procedure            | <b>FACE</b>  | funding authorization and certificate of expenditures |
| <b>CERF</b> | Central Emergency Response Fund                     | <b>FO</b>    | field office  |
| <b>CFO</b>  | Chief of Field Office                               | <b>FSP</b>   | financial service provider                            |
| <b>CFSA</b> | Country Field Security Advisor                      | <b>FTS</b>   | Financial Tracking System                             |
| <b>CML</b>  | Civil-Military Liaison                              | <b>GBV</b>   | gender-based violence                                 |
| <b>CMR</b>  | clinical management of rape                         | <b>GCCU</b>  | Global Cluster Coordination Unit                      |
| <b>CMT</b>  | Country Management Team                             | <b>GS</b>    | General Service                                       |
| <b>CO</b>   | country office                                      | <b>GSSC</b>  | Global Shared Services Centre                         |
| <b>COHA</b> | Cash on Hand  | <b>HAC</b>   | Humanitarian Action for Children                      |
| <b>CPD</b>  | Country Programme Document                          | <b>HACT</b>  | harmonized approach to cash transfers                 |
| <b>CRC</b>  | The Convention on the Rights of the Child           | <b>HC</b>    | Humanitarian Coordinator                              |
| <b>CSO</b>  | civil society organization                          |              |   |
| <b>DAFM</b> | Division of Financial and Administrative Management |              |   |



|              |  |               |  |
|--------------|--|---------------|--|
| <b>HCT</b>   | humanitarian cash transfers                                | <b>NOC</b>    | National Officer with minimum of five years of work experience           |
| <b>HCT</b>   | Humanitarian Country Team                                  | <b>NY</b>     | New York   |
| <b>HFSS</b>  | Humanitarian Field Support Section                         | <b>OCHA</b>   | United Nations Office for the Coordination of Humanitarian Affairs       |
| <b>HPD</b>   | humanitarian programme document                            | <b>OED</b>    | Office of the Executive Director   |
| <b>HPM</b>   | Humanitarian Performance Monitoring                        | <b>OIAI</b>   | Office of Internal Audit and Investigation                               |
| <b>HPS</b>   | Humanitarian Policy Section                                | <b>OPSCEN</b> | Office of the Security, Coordinator and Operations Centre                |
| <b>HQ</b>    | headquarters   | <b>ORR</b>    | other resources- regular   |
| <b>HOPE</b>  | Humanitarian Cash Operations and Programme Ecosystem       | <b>ORE</b>    | other resources- emergency   |
| <b>HR</b>    | Human Resources  | <b>OSC</b>    | Office of Security Coordination  |
| <b>HRP</b>   | Humanitarian Response Plan                                 | <b>P3</b>     | International Professional with minimum of five years of work experience |
| <b>IA</b>    | inter-agency   | <b>PBR</b>    | Programme and Budget Review  |
| <b>IASC</b>  | Inter-Agency Standing Committee                            | <b>PD</b>     | programme document   |
| <b>IASMN</b> | Inter-Agency Security Management Network                   | <b>PFA</b>    | psychological first aid  |
| <b>ICE</b>   | itemized cost estimate                                     | <b>PPF</b>    | Private Fundraising and Partnerships Division                            |
| <b>ICT</b>   | information and communications technology                  | <b>PG</b>     | Programme Group  |
| <b>ICTD</b>  | Information and Communication Technology Division          | <b>PME</b>    | planning, monitoring and evaluation                                      |
| <b>IFRC</b>  | International Federation of the Red Cross and Red Crescent | <b>PPD</b>    | Public Partnerships Division   |
| <b>IMO</b>   | Information Management Officer                             | <b>PPPX</b>   | The Programme Policy and Procedure Site                                  |
| <b>INGO</b>  | international non-governmental organization                | <b>PRC</b>    | Partnership Review Committee   |
| <b>LPA</b>   | local procurement authorization                            | <b>PSEA</b>   | protection from sexual exploitation and abuse                            |
| <b>LTAs</b>  | long-term agreements                                       | <b>PSVs</b>   | Peer Support Volunteers  |
| <b>LVC</b>   | low value contract   | <b>RAM</b>    | results assessment module  |
| <b>MCDA</b>  | civil-military defense asset                               | <b>RASCI</b>  | Responsible, Accountable, Supporting, Consulted and Informed             |
| <b>MIRA</b>  | Multi-sector Initial Rapid Assessment                      | <b>RAPS</b>   | Risk Analysis and Preparedness Section                                   |
| <b>MOU</b>   | memorandum of understanding                                | <b>REA</b>    | Regional Emergency Advisor   |
| <b>MPS</b>   | Minimum Preparedness Standards                             | <b>RC</b>     | Resident Coordinator   |
| <b>NFI</b>   | non-food item  | <b>RD</b>     | Regional Director  |
| <b>NGO</b>   | non-governmental organization                              |               |  |

|               |   |              |  |
|---------------|---|--------------|--|
| <b>RFP</b>    | Request for Proposals                                     | <b>SRM</b>   | Security Risk Management                         |
| <b>RM</b>     | resource mobilization                                     | <b>STS</b>   | Surge Tracking Sheet                             |
| <b>RO</b>     | Regional Office   | <b>T4D</b>   | Technology for Development                       |
| <b>RR</b>     | Rest and Recuperation                                     | <b>TA</b>    | Temporary Appointment                            |
| <b>RRM</b>    | rapid response mechanism                                  | <b>TEMT</b>  | Technical Emergency Management Team              |
| <b>RSA</b>    | Regional Security Advisor                                 | <b>TORs</b>  | terms of reference                               |
| <b>SAA</b>    | Standard Administrative Arrangements                      | <b>TriM</b>  | Trauma Risk Management                           |
| <b>SBP</b>    | stand-by partnership                                      | <b>TSFS</b>  | Treasury and Structured Finance Services         |
| <b>SD</b>     | Supply Division   | <b>UNCCS</b> | United Nations Common Cash Statement             |
| <b>SEA</b>    | sexual exploitation and abuse                             | <b>UNCT</b>  | United Nations Country Team                      |
| <b>Sitrep</b> | situation report  | <b>UNDSS</b> | United Nations Department of Safety and Security |
| <b>SFP</b>    | Security Focal Point                                      | <b>UNHCR</b> | United Nations High Commissioner for Refugees    |
| <b>SLT</b>    | Saving Lives Together                                     | <b>UNSMS</b> | United Nations Security Management System        |
| <b>SMART</b>  | specific, measurable, achievable, realistic and timebound | <b>USD</b>   | US Dollar  |
| <b>SMT</b>    | Security Management Team                                  | <b>WASH</b>  | water, sanitation and hygiene                    |
| <b>SOE</b>    | statement of expenditure                                  | <b>WFP</b>   | World Food Programme                             |
| <b>SOP</b>    | standard operating procedure                              |              |  |





**GUIDANCE/EMOPS/2021/001**

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