

# THE EMERGENCY PROCEDURES

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SIMPLIFIED & STREAMLINED

FOR EVERY EMERGENCY (L1, L2, L3)



unicef   
for every child

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# 1. Introduction

The Emergency Procedures<sup>1</sup> **complement the Core Commitments for Children (CCCs) with a minimum package of actions** required for all Country Offices (COs), Regional Offices (ROs) and Headquarters (HQ) Divisions responding to humanitarian crises. 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 apply to facilitate a timely, predictable and efficient response.

The Emergency Procedures are denoted as follows, when:

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

**The Emergency Procedures are mandatory and auditable for all crises**, except where their application is limited to specific responses, as noted.

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 SOPs developed at the local or regional level, which are additional to global procedures**.

**These 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<sup>3</sup>, but for which the Emergency Procedures would enable a timelier and more effective humanitarian response, **a formal request is made by email from the Representative or RD to the Director of Emergency Operations (EMOPS) to activate the use of these 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 must also clarify the start and end dates for the L1.

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.

<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.

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

<sup>3</sup> A stand-alone HAC can be either single-country or multi-country (e.g. migration, refugee or natural disaster-related HACs). It does not cover general regional HACs.

## 2. Emergency Coordination

Action	Accountable <sup>4</sup>	Responsible
<p>⊕ <b>Organize an Emergency Management Team (EMT):</b> and optionally a Technical Emergency Management Team (TEMT) to support corporate decision-making for the crisis. Use the EMT and TEMT, as well as regularly occurring audits and evaluations, to monitor the use of the Emergency Procedures.</p>	<p>Director of EMOPS (L3) RD (L2) Representative (L1)</p>	<p>Deputy Representative-Programme, CO Emergency Focal Points, RO Emergency Team, EMOPS and other HQ Divisions including Programme Group, Office of Internal Audit and Investigation (OIAI), Evaluation Office</p>
<p>⊕ <b>Extension:</b> During any extension of an emergency phase (L1 to L3), develop an exit plan with concrete benchmarks to measure the organization's capacity to respond to on-going needs.</p>	<p>Representative</p>	<p>Representative, RD, EMOPS Humanitarian Field Support Section (HFSS)</p>
<p>⊕ <b>Exit Strategy:</b> At least one month before the deactivation of an emergency, develop an Exit Strategy detailing how the emergency response will be maintained at scale.</p>	<p>Representative</p>	<p>Representative, RD, EMOPS HFSS</p>

## 3. Humanitarian Risk Management

**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 crises.**

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").

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). Revisit this documentation every six months.</p>	<p>Representative</p>	<p>Representative, RD, Director of EMOPS</p>

<sup>4</sup> 'Accountable' denotes the one individual ultimately answerable for the activity or decision. 'Responsible' covers various individual expected to act/implement.



<p>⌚ <b>High-risk countries:</b> Define a list of high-risk countries within the region at the start of each year. 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> For high-risk countries, enhance the risk management culture of the CO to undertake the humanitarian response. Good practice examples are highlighted below; COs may also choose to integrate risk management into existing forums such as the CMT.</p> <ul style="list-style-type: none"> <li>• Example: <a href="#">Somalia Risk Committee</a></li> <li>• Example: <a href="#">Yemen Risk Management Strategy</a> and <a href="#">Task Force</a></li> </ul>	Representative	Representative, Deputy Representatives-Programme and Operations

The below risk appetite statement provides the overall, aggregate level of risk UNICEF is expected to take in its humanitarian response. The [Guidance Handbook in L1, L2 and L3 Emergencies](#) provides additional details on expected risk appetite levels by component, which should be used to guide risk management decisions during a humanitarian response. More information on how to use these risk appetite levels can be found in the Humanitarian Risk Management Section of the Handbook. Noting that:

- **Low appetite:** the occurrence of risk events in this category have the potential to substantially damage UNICEF’s programmes, operations or reputation and substantially jeopardize its ability to fulfill its mission or potential downside costs are intolerable should they occur.

- **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.
- **High appetite:** The occurrence of risk events is accepted as a preference for disciplined risk-taking because UNICEF has determined the potential upside benefits outweigh the potential costs.

UNICEF RISK APPETITE IN EMERGENCIES	
<p><b>Strategic/Programmatic Risks: High Appetite</b></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>	<p><b>Institutional Risks: Low Appetite</b></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 that UNICEF reduces 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>





Operational Risks: Medium Appetite	Contextual Risks: Low Appetite
<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>5</sup>, UNICEF actively takes the risk of over-resourcing humanitarian operations.</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>

## MANAGEMENT OF CRITICAL REPUTATIONAL RISKS

Action	Accountable	Responsible
<p><b>Alert:</b> Inform the RD and Directors of EMOPS, OIAI, Division of Global Communications and Advocacy (DGCA) and Public Partnerships Division (PPD) immediately, in parallel to managing the incident and capturing and escalating as required in Enterprise Governance, Risk Management and Compliance (EGRC), for any of the following:</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.</li> <li>• 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) and any subsequent policies.</a></li> </ul>	<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 by email or in an EMT/crisis management meeting who will constitute the coordination team to respond to the crisis.</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. This can be done by email or in an EMT/crisis management meeting.</p> <ul style="list-style-type: none"> <li>• PPD Public Partner Focal Points communicate with counterparts at the global level while the CO Resource Mobilization (RM) Focal Point leads at the field level.</li> <li>• DGCA leads on any communication with external media.</li> </ul>	<p>OIAI, PPD/PPF</p>	<p>PPD, PFP, DGCA, Representative, CO Communications, RM Focal Point</p>



<sup>5</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.

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

Action	Accountable	Responsible
<p>➡ <b>Response Plan:</b> Activate, adapt or develop a UNICEF Humanitarian Response Plan consistent with interagency (IA) planning. Regularize it into the CO workplan within 6 to 12 months, where possible<sup>6</sup>. For reference: <a href="#">Country Office Work Planning Procedure (2017)</a>, <a href="#">CCC Indicator Guidance</a> and an <a href="#">optional template</a>.</p>	Representative	Deputy Representative-Programme, CO Chief of Field Operations/ Emergency Manager or Focal Point and CO Chief of PME, REA and RO PME
<p>➡ <b>Field monitoring:</b> Develop and implement a field monitoring plan based on programmatic risk (the consequences of programme success or failure).            📖 <b>See</b> CO EGRC, <a href="#">UNICEF Field Monitoring Guidance 2018</a> and <a href="#">Annex 2: Field Monitoring informed by programmatic risk</a>.</p>	Deputy Representative-Programme	Deputy Representative, Chief of Field Office (CFO), CO Chief of Field Operations/ Emergency Manager or Focal Point and CO Chief of PME
<p>➡ <b>Situation Report (sitrep):</b> Issue the first sitrep (📖 <a href="#">See template</a>) within three days of a sudden onset emergency. Include a results table of high frequency indicators no later than six weeks from the onset of an emergency or declaration of an L2 or L3.            📖 <b>See</b> 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 CO Chief of PME, CO Chief of Communications
<p>➡ <b>Evaluation:</b> In line with the <a href="#">UNICEF Evaluation Policy 2018</a> organize an evaluation for each L3 and L2 emergency at least once. All protracted emergencies are evaluated once every three years. Ensure evaluations cover UNICEF's delivery of the CCCs.</p>	Director of EMOPS or Global Emergency Coordinator (L3) RD (L2) Representative (L1)	

<sup>6</sup> Where a government is a party to conflict, including humanitarian response planning in government-agreed UNICEF workplans may not be possible or appropriate.

# 5. Resource Mobilization (RM)

Action	Accountable	Responsible
<p>⇒ <b>RM Action Plan:</b> Activate, adapt or newly develop (if not done under MPSs) a RM Action Plan. For L2 and L3 responses, the Plan should be completed within the first month after the declaration.</p>	Representative	Deputy Representative-Programme, CO RM Focal Point, with RO, PPD and PFP support as requested
<p>⇒ <b>Reprogramme</b> the necessary regular resources with the agreement of national authorities and report this to PPD and EMOPS. Reprogramme global/regional thematic funds, other resources and other resources-emergency, with written agreement from the donor.</p>	Representative	Deputy Representative-Programme, CO RM Focal Point
<p>⇒ <b>HAC:</b> Develop (or update) the <a href="#">HAC appeal for the crisis</a>. Outside the annual HAC process, develop only the external narrative, targets and budget requirements.</p>	Representative	CO Chief of Field Operations/ Emergency Manager or Focal Point and/or CO Chief of PME, Programme Chiefs, CO RM Focal Point, RO, EMOPS, Programme Group
<p>⇒ <b>With an L2 declaration</b>, EMOPS drafts a short note for the record and recommends a minimum no-regrets allocation of \$2,500,000 in emergency programme funds (EPF) (including \$500,000 earmarked for PSEA). EPF clearance is to be fast-tracked by mail poll (Programme Division, PPD, and the Office of the Executive Director).</p>		
<p>→ <b>With an L3 declaration</b>, EMOPS follows the same process as an L2 for \$5,750,000 in EPF (including \$750,000 earmarked for PSEA).</p>		





# 6. Communications and Humanitarian Advocacy

Action	Accountable	Responsible
<p>➡ <b>Roles and responsibilities:</b> Establish clear roles and responsibilities for advocacy and communication – ensuring ownership by senior CO staff, with support from RO and HQ. Note: Mandatory for L3 and L2 responses only (recommended for all other emergency responses).</p>	Representative	Representative, CO and RO Chiefs of Communications, DGCA, EMOPS, Programme Group (PG)
<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>Grave violations:</b> Engage in public advocacy on all violations of children’s rights, including grave violations, wherever it is in the best interest of the child. Follow the <a href="#">‘Decision making procedure for public advocacy on grave violations of child rights in complex and high threat environments’</a>.</p> <p>📄 See <a href="#">Annex 4: Responsible, Accountable, Supporting, Consulted and Informed (RASCI)</a></p>	Representative	Representative, in consultation with Regional, DGCA and EMOPS Directors



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# 7. Humanitarian Access

Action	Accountable	Responsible
<p>➡ <b>Access Focal Point (AFP):</b> Designate a CO AFP to coordinate humanitarian access across functional areas and Field Offices (FOs). Designate FO AFPs as needed. 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>	Representative	AFPs (once appointed) with support from EMOPS and RO, as required
<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>	Representative	AFPs with support from EMOPS and RO, as required
<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, CFOs



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## 8. Accountability to Affected Populations (AAP)<sup>7</sup>

Action	Accountable	Responsible
<p>↻ <b>Integration:</b> Designate a senior-level AAP Focal Point (<a href="#">Tool 3.1 TORs for AAP Focal Point</a>) and embed AAP in needs assessments, response plans, monitoring frameworks and programme documents (PDs), and raise dedicated funds for it through the HAC. <a href="#">See</a> also the <a href="#">AAP Toolkit</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	AAP Focal Point, CO Chief of Field Operations/ Emergency Manager or Focal Point and/or CO Chief of PME
<p>↻ <b>Information provision:</b> Undertake a rapid information and communication needs assessment with participation of the affected populations. Institute mechanisms for gathering and disseminating life-saving information in line with this assessment.</p>	CO Programme Chiefs	Programme Staff supported by AAP Focal Point
<p>↻ <b>Feedback mechanisms:</b> Assess preferred community feedback mechanisms. Institute a set of safe, trusted and preferred mechanisms for two-way with, and receiving and responding to complaints, feedback and reports from, affected populations.</p>	Representative	AAP Focal Point, with technical support from RO/HQ

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

Action	Accountable	Responsible
<p>↻ <b>UNICEF CO PSEA Action Plan:</b> Establish an office-wide action plan for PSEA with clear roles and responsibilities. Ensure a robust monitoring and tracking system is in place for prevention and response actions. A sample <a href="#">Action Plan template is here</a>.</p>	Representative	Representative, CO PSEA Specialist/Focal Point



<sup>7</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.

<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.



<p>⇒ <b>PSEA Specialist:</b> Hire, designate or deploy a full-time, dedicated PSEA Specialist/Focal Point, reporting to the Representative on management-related PSEA matters. Establish PSEA Focal Points within all relevant UNICEF FOs. Notify RO and HQ PSEA leads of the nominations.</p>	Representative	Representative, CO HR Manager, RO HR Team
<p>⇒ <b>Risk assessment and safe programming:</b> Ensure a comprehensive PSEA risk analysis as part of regular Emergency Preparedness and Enterprise Risk Management, where it is reported, assessed and mitigated in EGRC.</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>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 and reinforce mechanisms for reporting SEA violations. Post information about how to report and receive assistance in all UNICEF-supported sites, in local languages. <a href="#">See Handbook on PSEA in Humanitarian Action, UNICEF Policy on Personal Data Protection (2020)</a> and the AAP Section.</p>	Representative	CO PSEA Specialist/ Focal Point(s)
<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. Support the scale up of assistance, where there are gaps, to ensure that the UN Victims' Assistance Protocol is implemented and UNICEF is prepared to assist any child victim as the provider of last resort.</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> Ensure that for any case of SEA reported to UNICEF, the survivor immediately referred to a UNICEF PSEA Focal Point and/or 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.</p>	Representative	CO PSEA Specialist/Focal Point(s) with technical support from RO/HQ
<p>⇒ <b>For L2 emergencies</b>, \$500,000 of EPF is automatically designated to scale up of PSEA interventions.</p>		
<p>→ <b>For L3 emergencies</b>, \$750,000 is automatically designated.</p>		

# 10. Sector/Cluster Coordination

Action	Accountable	Responsible
<p><b>⇒ Activation and leadership:</b> Agree with the Humanitarian Country Team on sector/cluster lead roles and have them signed off by the Emergency Relief Coordinator in line with EPP MPS. Based on humanitarian principles, and where feasible, seek government leadership in the sector/cluster. Where cluster co-leadership is recommended at the global level, agree and formalize roles and responsibilities at the country-level (national and sub-national levels).</p> <p><b>📖 See</b> the <a href="#">UNICEF Cluster Coordination Guidance for COs</a>. Ensure that UNICEF-led clusters are established at sub-national level in coordination with the UNCT/HCT.</p>	Representative	Cluster Coordinators, CO Programme Chiefs, CFOs with support from RO and Global Cluster Coordination Unit (GCCU) as required
<p><b>⇒ Staffing:</b> Seek immediate surge deployments for the Cluster Coordinator and Information Management Officer (IMO) for UNICEF-led sectors/clusters for L2 and L3 emergencies, at minimum. In parallel, recruit these two roles for a period of at least six months.</p>	Representative	Division of Human Resources (DHR), RO Chief of HR and CO HR Manager
<p><b>⇒ Supplies:</b> 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.</p> <p><b>📖 See</b> the <a href="#">Guideline Release Orders from CO warehouses</a>.</p>	Cluster Coordinator	
<p><b>⇒ Deactivation:</b> Develop transition/deactivation plans for UNICEF-led and co-led clusters, and advocate with relevant government sectors for their participation where feasible.</p>	Cluster Coordinator	

# 11. Implementation Modalities

Action	Accountable	Responsible												
<p>↻ <b>Contingency Program Documents (PD):</b> Sign Contingency PDs with CSO partners and ensure all PDs with partners with humanitarian response capacity include a contingency clause of up to 10 per cent of the budget.</p>	Deputy Representative-Programme	CO Programme Chiefs and Officers												
<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 should first consult SD on availability to provide designated supplies, and CO should ensure LPA requirements are adhered to if a partner is to procure the supplies.</p> <p>This modality can be used to transfer cash within the below limits:</p> <table border="1"> <thead> <tr> <th>Level</th> <th>Maximum per partner (cash)</th> <th>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	Representative	Deputy Representative-Programme, CO Programme Chiefs
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>Amend</b> existing PDs using a desk review.</p>	Deputy Representative-Programme or CFO	CO Programme Chiefs and Officers												
<p>↻ <b>New PDs:</b> Use the Humanitarian PD (HPD) template throughout an emergency, with a single HPD used for up to 24 months. Desk review partnerships using the Non-Partnership Review Committee (PRC) Submission and Approval Form. No additional approvals or clearances are required.</p>														
<p>↻ <b>Indirect costs:</b> Adopt a flat, locally determined percentage 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 International Federation of the Red Cross and Red Crescent.</p>														



<p>⇒ <b>Procurement:</b> Apply a threshold of US\$10,000 for the simplified remote procurement assessment.</p>		
<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>		
<p>⇒ <b>Post-implementation Statement of Expenditure (SOE):</b> During sudden onset emergencies or significant deteriorations in the situation where UNICEF action has lifesaving 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/PD without an itemized cost estimate (ICE) for the initial tranche immediately following the emergency onset/deterioration. 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, Deputy Representative-Operations, CO Programme Chiefs



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# 12. Humanitarian Cash Transfers (HCT)

**Application:** The below procedure applies to COs or ROs undertaking HCTs. 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.

Action	Accountable	Responsible
<p>🔄 <b>Feasibility Assessment and Plan:</b> Update or develop a <a href="#">Feasibility Assessment</a> and <a href="#">Action Plan</a> in line with MPS.</p> <p>Ensure that this is done alongside relevant social protection stakeholders, UNCCS partner agencies (UNHCR, WFP and OCHA) and other cash stakeholders (Cash Working Group). Government counterparts should be included, if feasible, considering humanitarian principles. Use UNICEF preparedness tools.</p> <p>Include strong evidence with analyses of secondary data, market actors (including capacity, risk, resilience), stakeholders and beneficiary needs, considering the potential scaling needs after immediate response.</p>	Deputy Representative-Programme	CO Chief of Field Operations/ Emergency Manager or Focal Point, CO Social Policy Specialist
<p>🔄 <b>HCT Specialist:</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 staff, as well as coordinating internal and/or IA initiatives and cluster-related HCT activities.</p>	Representative	Deputy Representative-Programme and CO HR Manager
<p>🔄 <b>Cash Task Force:</b> Consider the establishment and leadership of a CO Cash Task Force composed of focal points from programmes and operations to operationalize and coordinate the HCT response.</p>	Deputy Representative-Programme	Deputy Representatives-Programme and Operations, HCT Focal Point
<p>🔄 <b>Operations:</b> Consider the quickest way to setup a cash programming payment mechanism, considering the market and risks. Explore existing options: by working with a government or NGO system, leveraging a financial service provider (FSP) used by a government or NGO partner; using a government mechanism if assessed as feasible; working through an existing banking service agreement; or using an existing UN contract. Alternatively, contract an FSP unilaterally or jointly with another UN agency.</p>	Deputy Representative-Operations	HCT Focal Point, CO Finance Specialist, CO Social Policy Specialist, with the Cash Task Force, HQ Cash Team, DFAM
<p>🔄 <b>Information system:</b> Choose between a national Management Information System and a UNICEF-developed beneficiary data management system. Respect data protection, information security and risk mitigation measures.</p>	Deputy Representative-Programme	HCT Focal Point, CO Social Policy Specialist, HQ Cash Team, RO Focal Point



# 13. Human Resources (HR)

Action	Accountable	Responsible
<p>↻ <b>Staff mobilization:</b> Within the first 24 to 48 hours of a sudden onset emergency or L2/L3 declaration, repurpose and/or deploy staff already in country to support the response (as agreed in MPS).</p>	Representative	Representative, with Deputy Representative Operations and CO HR Manager
<p>↻ <b>Surge:</b> Define immediate programme and operations staffing needs in a Surge Tracking Sheet (STS). The DHR Surge Desk then assesses the STS and determines, in cooperation with RO, CO and/or EMOPS as needed, (Emergency Response Team Focal Point and Standby Team) appropriate surge mechanisms.</p>	Representative	Representative, CO HR Manager, CO Programme and Operations Chiefs, RO HR Advisor, EMOPS, DHR
<p>↻ <b>Recruitment:</b> Develop an HR Strategy covering the transition from immediate support to longer-term staffing needs, and a scale down strategy. Conduct a mail-poll Programme Budget Review within the first month of a sudden onset emergency or L2/L3 declaration.</p>	Representative	CO HR Manager, RO HR Advisor, HR Emergency Cone
<p>↻ <b>Support sourcing for critical emergencies:</b></p> <ul style="list-style-type: none"> <li>• Complete assessments for emergency recruitments within 20 days.</li> <li>• Ensure approvals for emergency recruitments are received within five days.</li> <li>• Ensure offer letters are sent within four business days, and candidates accept the offer within three business days.</li> </ul>	<p>DHR</p> <p>Representative</p> <p>Approving authority</p> <p>GSSC, Candidates</p>	<p>CO HR Manager, Hiring Manager</p> <p>CO HR Manager and RO HR Advisor</p> <p>GSSC, Candidates</p>
<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>Vetting:</b> Ensure all new staff, individual contractors and consultants, have a reference check and <a href="#">background verification</a> as applicable.</p>	Representative	CO HR Manager, CO PSEA Specialist/Focal Point
<p>↻ / → <b>Approving authority</b> for international Temporary Appointment (TA) positions under seven months (with the exception of the Deputy Representative, CFO and international security positions) can be delegated to the Representative on request, after approval from the RD and the Director of Human Resources.</p>	Representative	Representative, CO HR Manager, Hiring Manager, RD, DHR





<p>↻ <b>Selection decision:</b> See table below for approving authorities. Staff will be expected to commence within one month after accepting the offer.</p>	Hiring Manager	
<p>↻ <b>Break in service (BIS):</b> BISs are reduced as per <a href="#">Annex 6 BIS table</a>.</p>	HR Manager	CO HR Manager in collaboration with Hiring Manager
<p>↻ <b>Staff Wellbeing:</b> Ensure staff wellbeing activities are included in the Annual Management Plan. Regularize staff wellbeing missions by a UNICEF-recruited Staff Counsellor to CO and FO duty stations at least once per year. Ensure appropriate referral resources for external mental health professionals are available (considering culture and language). → <b>Level 3 emergencies</b> are required to make staff counselling services available to all staff and their dependents.</p>	Representative	CO HR Manager, Staff Counsellor

### Approving authority

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 international Security positions 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>

# 14. Supply and Logistics

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.

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 an Emergency Supply and Logistics Strategy in line with MPSs. Preposition supplies and develop contracts for logistics and warehouse management services and more commonly requested goods and services.</p>	CO Chief of Field, Operations/ Emergency Manager or Focal Point	Deputy Representatives- Programme and Operations, CO Supply staff, RO and SD Emergency Coordination Unit
<p>↻ <b>Rapid assessment:</b> Undertake a rapid assessment of supply needs and the impact of the emergency on supply and logistics. Submit the supply and logistics needs (support, plans, forecast) to SD within 48 hours from the onset of the emergency.</p>		CO Programme and Supply staff
<p>↻ <b>Activating preparedness plans:</b> Activate, adapt or newly develop (if not done under MPSs) the Emergency Supply and Logistics Strategy. Finalize an immediate needs supply plan within 48 hours as part of the response plan and identify the timelines and procurement methods.</p>	Deputy Representative- Programme	CO Emergency/ Programme Staff, Supply Staff, RO Emergency and Supply Advisors
<p>↻ <b>Waiver of competitive bidding:</b> Competitive bidding is not required, it is allowed 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> and in <a href="#">the Quick Guide on Low Value Procurement</a> (for procurement under 10,000 USD).</p>	Deputy Representative- Operations / Deputy Director, Supply Chain	CO Programme Staff, Supply Staff, RO Supply Advisors, SD
<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>	Deputy Representative- Operations, ECU Senior Emergency Manager	CO Programme Staff, Supply Staff

# 15. Operations, Administration and Finance

Action	Accountable	Responsible
<p>↻ <b>Assessment:</b> Conduct a rapid assessment of existing work processes with a focus on increasing efficiencies and simplifying processes. 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>Business Continuity:</b> Update the Business Continuity Plan to reflect the new emergency context.            📄 See the <a href="#">Business Continuity sharepoint</a>.</p>		
<p>↻ <b>Risk Management:</b> When a risk occurs, ensure it is managed as per UNICEF Procedure.</p>	Representative	Deputy Representatives-Operations and Programme
<p>↻ <b>Amend</b> the following to facilitate more efficient transactions in the best interest of the organization: Table of Authority, Delegation of Authority, financial limits, delegation letters, roles assigned in VISION and Statutory Committee membership and processes.</p>	Representative	Deputy Representative-Operations, Regional Chief of Operations, DFAM
<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.</p>	Representative	Deputy Representative-Operations
<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 financial services provider or a third-party cash provider depending on the context.            📄 See the <a href="#">Procedure on cash accounts</a>.            Expenses can be invoiced using the <a href="#">Invoice for miscellaneous expenses form</a>.</p>	Representative	Deputy Representative-Operations
<p>↻ / → <b>L2/L3 simplification:</b> The RD can endorse the following changes as required in Posts and Organizational Structure: creation of a new office, closing of an office, change of office type, internal re-organization (section/unit) and the establishment/abolishment/extension of Other Resources (OR)-funded posts.</p>		
<p>↻ / → <b>L2/L3 simplification:</b> If a temporary office or guesthouse is required, and the government has no suitable facilities, sign an office lease agreement, without prior approval of DFAM while following the <a href="#">UNICEF Financial and Administrative Policy 7 Supplement 6- Guidelines for Premises (Annex D)</a>.</p>		
<p>↻ / → <b>L2/L3 Prioritization:</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 where the designations cover the full country. Upon deactivation, EMOPS Operations Manager removes this prioritization. For sub-national L2 and L3 emergencies, the emergency tag in the Service Gateway is used to ensure prioritization.</p>		

# 16. Information and Communications Technology (ICT)

Action	Accountable	Responsible
<p>⇒ <b>Assessment:</b> Perform an <a href="#">ICT Assessment</a> at the onset of emergency and share the information with the Country Management Team, Regional ICT and ICTD Emergency Focal Point.</p>	Deputy Representative-Operations	CO ICT Manager with support from RO ICT and ICTD Emergency Focal Point, DHR
<p>⇒ <b>Plan:</b> Finalize and implement an <a href="#">ICT Response Plan</a>. Procure supplies and equipment using emergency procurement procedures.</p>		
<p>⇒ <b>T4D:</b> Undertake a <a href="#">Digital Platforms Assessment</a> and share the outcomes with CMT, Regional 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 Regional ICT and Business Analyst and ICTD. Deputy Representative-Programme, Programme Chiefs and Staff
<p>⇒ <b>Sharepoint:</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>L2/L3-specific procedure:</b> ICTD ensures fast-tracking of ICT service requests raised by the affected CO.</p>		
<p>→ <b>L3-specific procedure (in addition to L2-specific procedure):</b> CO is prioritized for ICTD emergency stock, though it remains available to all emergency-affected COs.</p>		

# 17. Security Risk Management (SRM)

Action	Accountable	Responsible
<p>➡ <b>Staff tracking:</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 United Nations Department for Safety and Security, RO, and EMOPS.</p>	<p>Representative</p>	<p>Country Field Security Advisor (CFSA) or other designated Security Focal Point (SFP)</p>
<p>➡ <b>SRM Update:</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 in the Area SMT, to analyze the security environment, review and approve the SRM.</p>		
<p>➡ <b>Saving Lives Together (SLT):</b> Establish close liaison with implementing partner organizations and respond to any queries on SLT-related issues. Make training events available to security managers of SLT partner organizations, when feasible.</p>		

# Acronyms

<b>AAP</b>	Accountability to Affected Populations
<b>AFP</b>	Access Focal Point
<b>BIS</b>	break in service
<b>CCC</b>	Core Commitments for Children
<b>CEAP</b>	Corporate Emergency Activation Procedure
<b>CFO</b>	Chief of Field Office
<b>CFSA</b>	Country Field Security Advisor
<b>CML</b>	Civil-Military Liaison
<b>CMT</b>	Country Management Team
<b>CO</b>	country office
<b>COHA</b>	cash on hand
<b>CSO</b>	civil society organization
<b>DAFM</b>	Division of Financial and Administrative Management
<b>DAPM</b>	Division of Data, Analytics, Planning and Monitoring
<b>DGCA</b>	Division of Global Communications and Advocacy
<b>DHR</b>	Director of Human Resources
<b>ECU</b>	Emergency Coordination Unit
<b>EGRC</b>	Enterprise Governance, Risk Management and Compliance
<b>EMOPS</b>	Office of Emergency Programmes
<b>EMT</b>	Emergency Management Team
<b>EPF</b>	Emergency Programme Funds
<b>EPP</b>	Emergency Preparedness Platform
<b>ESL</b>	Emergency Supply List
<b>FO</b>	field office
<b>FSP</b>	financial service provider

<b>GBV</b>	gender-based violence
<b>GCCU</b>	Global Cluster Coordination Unit
<b>GS</b>	General Service
<b>GSSC</b>	Global Shared Services Centre
<b>HAC</b>	Humanitarian Action for Children
<b>HCT</b>	humanitarian cash transfers
<b>HCT</b>	Humanitarian Country Team
<b>HFSS</b>	Humanitarian Field Support Section
<b>HPD</b>	humanitarian programme document
<b>HQ</b>	headquarters
<b>HR</b>	Human Resources
<b>IA</b>	inter-agency
<b>ICE</b>	itemized cost estimate
<b>ICT</b>	information and communications technology
<b>ICTD</b>	Information and Communication Technology Division
<b>IMO</b>	Information Management Officer
<b>LPA</b>	local procurement authorization
<b>MPS</b>	Minimum Preparedness Standards
<b>NGO</b>	non-governmental organization
<b>NOC</b>	National Officer with minimum of five years of work experience
<b>OCHA</b>	United Nations Office for the Coordination of Humanitarian Affairs
<b>OIAI</b>	Office of Internal Audit and Investigation
<b>P3</b>	International Professional with minimum of five years of work experience
<b>PD</b>	programme document
<b>PFP</b>	Private Fundraising and Partnerships Division

<b>PG</b>	Programme Group	<b>SLT</b>	Saving Lives Together
<b>PME</b>	planning monitoring and evaluation	<b>SMT</b>	Security Management Team
<b>PPD</b>	Public Partnerships Division	<b>SOE</b>	Statement of Expenditure
<b>PRC</b>	Partnership Review Committee	<b>SOP</b>	Standard Operating Procedure
<b>PSEA</b>	protection from sexual exploitation and abuse	<b>SRM</b>	Security Risk Management
<b>RASCI</b>	Responsible, Accountable, Supporting, Consulted and Informed	<b>STS</b>	Surge Tracking Sheet
<b>REA</b>	Regional Emergency Advisor	<b>TA</b>	Temporary Appointment
<b>RD</b>	Regional Director	<b>TEMT</b>	Technical Emergency Management Team
<b>RM</b>	resource mobilization	<b>UNCCS</b>	United Nations Common Cash Statement
<b>RO</b>	Regional Office	<b>UNCT</b>	United Nations Country Team
<b>SD</b>	Supply Division	<b>UNHCR</b>	United Nations High Commissioner for Refugees
<b>Sitrep</b>	situation report	<b>WFP</b>	World Food Programme
<b>SFP</b>	Security Focal Point		











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