

Office for the Coordination  
of Humanitarian Affairs

**UNITED NATIONS  
DISASTER ASSESSMENT  
AND COORDINATION**

**UNDAC  
Field Handbook**



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**Foreword**

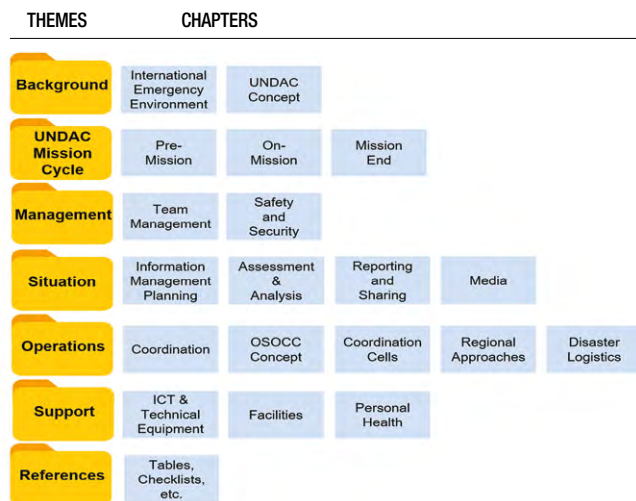
This 7th edition of the UNDAC Field Handbook 2018 marks the 25th anniversary of the United Nations Disaster Assessment & Coordination system (UNDAC). The UNDAC system was originally established by United Nations (UN) and the International Search and Rescue Advisory Group (INSARAG) to ensure effective coordination between national disaster management agencies and incoming search and rescue teams in sudden-onset, large scale emergencies. Over the past quarter of a century, UNDAC has evolved and adapted to the changing requirements of the international humanitarian response system. Today, UNDAC teams are not only deployed in sudden-onset disasters, but also provide valuable support in protracted crises, technological and other types of emergencies, and are playing an increasing role as a tool and service of the UN in supporting governments in disaster response preparedness activities. UNDAC deploys globally to ensure effective collaboration between national disaster management systems, international humanitarian response actors, bilateral responders including the military, national non-government organizations, civil society and the private sector, to name but a few.

Core to UNDAC practices is systematic post-mission evaluation to enable best practices and lessons learned to feed into the continuous development of the UNDAC methodology captured in this updated Handbook. This is, therefore, a living document and, as a reader and user, you should consider yourself a co-creator. Comments or suggestions for further development of the Handbook should be addressed to the Emergency Response Support Branch (ERSB) in OCHA Geneva.

**Introduction to the Handbook**

The UNDAC Field Handbook is intended as an easily accessible reference guide for members of an UNDAC team before and during a mission to a disaster or emergency. The Handbook is not an authoritative instruction, but rather represents an accumulation of institutional memory related to processes and procedures for coordination as seen in the scope of the UNDAC Standard Terms of Reference. Its focus is on both the *what* and the *how* of international emergency response and is grounded in the mandate of the UN Office for the Coordination of Humanitarian Affairs (OCHA), which manages the UNDAC system.

The Handbook is divided into six main themes that are broadly aligned with the functions of an On-Site Operations Coordination Centre (OSOCC). Each theme is divided into chapters that are written as stand-alone documents, referencing material across all themes.



The UNDAC Handbook has been developed by OCHA with support from members of the international UNDAC system. Information is drawn from a wide variety of sources:

- UNDAC best practices as captured in mission reports and training materials.
- Various OCHA, UN and Inter-Agency Standing Committee (IASC) guidelines, e.g. INSARAG Guidelines, Multi-Sector Initial Rapid Assessment (MIRA) Guidance, and numerous others.
- The United Nations High Commissioner for Refugees (UNHCR) *Operational Data Management Learning Programme*.
- The United States Office of Foreign Disaster Assistance (OFDA) *Field Operations Guide and Disaster Assessment Procedures Manual*.
- Publications by the International Federation of Red Cross and Red Crescent Societies (IFRC).
- Humanitarian Practice Network (HPN) paper *Common Needs Assessments and humanitarian action*.
- Technical briefs and training material from the Assessment Capacities Project (ACAPS).
- ACAPS and the Emergency Capacity Building Project (ECB) *Humanitarian Needs Assessment – The Good Enough Guide*.
- Disaster Management research from Lund University, Sweden and University of Copenhagen, Denmark.

OCHA is grateful for these contributions in support of the UNDAC system.

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### UNDAC MOBILIZATION AND MISSIONS

In emergencies when an UNDAC team is mobilized by OCHA Geneva, two separate lines of communication will be opened exclusively for direct contacts with the Emergency Response Support Branch (ERSB):

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Before deploying on an UNDAC mission, you need to know some basic information about how international emergency response functions, the principles upon which it is founded, and how the UNDAC concept works and fits into the larger system. This theme consists of the following chapters:

### A. The International Emergency Environment

This chapter provides a general background to international humanitarian assistance in disasters, humanitarian response mechanisms and coordination structures, and the most common stakeholders.

### B. The UNDAC Concept

This chapter introduces the UNDAC concept, explains the foundations of the UNDAC methodology, how the system works, and introduces UNDAC operational partners and support services.

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### A.1 Introduction

A sudden-onset emergency situation is often characterized by overwhelming needs, competing priorities, destroyed or damaged communication and transportation infrastructure, a rapid influx of providers of humanitarian assistance coupled with an outburst of mutual aid from local communities, as well as overwhelmed and highly stressed officials from governmental and non-governmental institutions. Given this view of an emergency, an image of chaos quickly springs to mind.

The opposing view would be one of coordinated activities and structures that bring order to the chaos. At its best, coordination contributes to humane, neutral, impartial, timely and relevant assistance, increased management effectiveness, a shared vision of the best possible outcomes from a given situation, a seamless approach to service delivery and donor confidence resulting in sufficient resources to achieve the desired outcomes, i.e., the least possible amount of human suffering and material damage, seamless recovery and a rapid return to normal living conditions and the ongoing progress of development.

There are some fundamental tenets that define the framework of international emergency response and influence coordination of humanitarian assistance. This chapter provides UNDAC members with an introduction to principles, authorities, frameworks and the general context which govern international humanitarian response.

### A.1.1 Tenets of international emergency response

International emergency response is humanitarian assistance to a crisis-affected population that seeks, as its primary purpose, to save lives and alleviate suffering. Humanitarian assistance is deeply rooted in history and culture, from ethno-religious beginnings and post-war interventions to the 'modern' era of humanitarianism. Considered as the desire to lend assistance to others, humanitarian action is as old as humanity itself.

The UN was established on 24 October 1945 by 51 countries committed to preserving peace through international cooperation and collective security. Today, nearly every nation in the world belongs to the UN and membership totals 193 countries. When States become members of the United Nations, they agree to accept the obligations of the UN Charter, an international treaty that sets out basic principles of international relations. According to the Charter, the UN has four purposes: to maintain international peace and security; to develop friendly relations among nations; to cooperate in solving international problems and in promoting respect for human rights; and to be a centre for harmonizing the actions of nations. The UN Charter, Article 1.3, mentions humanitarian assistance, in particular, where it defines that one of the UN's purposes is *"to achieve international co-operation in solving international problems of an economic, social, cultural, or humanitarian character, and in promoting and encouraging respect for human rights and for fundamental freedoms for all without distinction as to race, sex, language, or religion"*.

In December 1991, the UN General Assembly (GA) adopted the ground-breaking Resolution 46/182 *"Strengthening of the coordination of emergency humanitarian assistance of the United Nations"*, which is the foundation of the international humanitarian system as we know it today. It laid down the key principles for humanitarian action as well as the 'architecture' of international humanitarian assistance. Along with the humanitarian principles set forth in the Geneva Conventions and other international legal frameworks, GA Resolution 46/182 continues to shape how humanitarian work is conducted and organized.

GA Resolution 46/182 agreed on guiding principles for the Member States and the UN and the establishment of coordination mechanisms. The Resolution determined the following:

- 1) Humanitarian assistance must be provided in accordance with basic humanitarian principles that provide the fundamental foundations for humanitarian action. Humanitarian principles are central to establishing and maintaining access to affected populations whether in the context of a natural disaster, an armed conflict or a complex emergency, i.e., a humanitarian crisis which occurs in a context where there is a total or considerable breakdown of authority resulting from civil conflict and/or foreign aggression.

Promoting compliance with humanitarian principles in humanitarian response is an essential element of effective humanitarian coordination.

- **Humanity** – Human suffering must be addressed wherever it is found. The purpose of humanitarian action is to protect life and health and ensure respect for human beings.
- **Impartiality** – Humanitarian action must be carried out on the basis of need alone, giving priority to the most urgent cases of distress and making no distinctions on the basis of nationality, race, gender, religious belief, class or political opinions.
- **Neutrality** – Humanitarian actors must not take sides in hostilities or engage in controversies of political, racial, religious or ideological nature.

- **Independence** – Humanitarian action must be autonomous from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented.

- 2) The sovereignty, territorial integrity and national unity of countries must be respected and international assistance can only be provided with the consent of the affected country. The UN Charter, Article 1.3 (see quotation above), describes the overarching UN mandate for humanitarian coordination; but another fundamental principle is defined in the UN Charter, Article 2, which states that no international organization or country can intervene in another country without consent. The national Government is the absolute authority within the borders of its own territory. As such, the responsibility and authority to assist and meet the needs of a society lies with its own Government. A Government can ask or welcome assistance from other States or organizations but assistance cannot be forced upon them unless a majority of the members of the UN Security Council can agree that the matter is of such importance that humanitarian assistance must be imposed. To deploy to another country without being requested and without being welcomed or in other ways invited, can, regardless of intentions, be considered an act of force similar to an invasion and will be considered a violation of international conventions. Consequently, all international assistance is conducted in support of national authorities and upon request, irrespective of the desire of international organizations to respond immediately.
- 3) The affected country has the primary lead role in the initiation, organization, coordination and implementation of humanitarian assistance within its territory. For most natural disasters, the affected State is a willing and legitimate partner and does request (or 'welcome') international assistance. In more complex emergencies, however, the legitimacy and territory of the State may be in violent dispute. In some situations, a legitimate Government may not exist and, even if it does, it may have limited authority and capability. This situation makes adherence to the above principles problematic in complex emergencies. In these cases, the commitment to the victims may supersede the commitment to the State. More likely, however, coordination efforts will need to acknowledge the legitimacy of competing authorities and humanitarian advocacy will become a strong focus. Thus, one may need to develop and maintain effective relationships not only with the State but also with the antagonists, political opposition and in some situations, non-state actors.
- 4) At the same time, sovereign States are encouraged to facilitate the implementation of humanitarian assistance by intergovernmental and non-governmental organizations, particularly when capacity is lacking.
- 5) The UN play a central and singular role in providing leadership and coordinating the efforts of the international community in support of the affected countries.

In line with these principles, no international organization has the authority to tell another organization what to do. The UN is an organization of Member States that works through consensus. It is not a world government and it does not make laws. It does, however, provide the means to help resolve international conflicts and formulate policies on matters affecting the whole world. Within the UN, all Member States, regardless of size, political views or social systems, have a voice and a vote in this process. As a result, several UN bodies, i.e., departments and offices of the UN Secretariat, specialised agencies, funds and programmes, have been given a mandate to provide or coordinate international assistance within their field but without any authority to command, direct or order. This is a privilege that remains with State authorities only.

In line with the humanitarian principles, we find the 'do no harm' principle which is derived from medical ethics. It requires humanitarian organizations to strive to minimize the harm

they may inadvertently do through their presence in providing assistance. Humanitarian actors need to be aware if assistance is used to reinforce nepotism or corruption, or becomes a de facto part of the dynamics in a context because it creates jobs, gives income in the form of taxes, leaves little or no responsibility on the State for social welfare, etc. Such unintended negative consequences may be wide-ranging and extremely complex. To minimize possible longer-term harm, humanitarian organizations should provide assistance in ways that are supportive of recovery and long-term development.

### A.1.2 Recent developments

In May 2016, the World Humanitarian Summit (WHS), was held in Istanbul, Turkey, aimed at fundamentally reforming the humanitarian aid industry to react more effectively to today's many crises. The WHS resulted in about 1,500 commitments from 400 UN Member States and other organizations. One of the Summit's main achievements was 'The Grand Bargain,' which is the name for a set of 51 'commitments' to reform humanitarian financing and make it more efficient and effective.

The Grand Bargain aims to offer one of the solutions to address the humanitarian financing gap. It includes a series of changes in the working practices of donors and aid organizations that would deliver an extra billion dollars over five years for people in need of humanitarian aid. These changes include gearing up cash programming, greater funding for national and local responders and cutting bureaucracy through harmonised reporting requirements. The Grand Bargain commits donors and aid organizations to:

- Greater transparency.
- More support and funding tools for local and national responders (25% of global humanitarian funding by 2020).
- Increase the use and coordination of cash-based programming.
- Reduce duplication and management costs with periodic functional reviews.
- Improve joint and impartial needs assessments.
- A participation revolution: include people receiving aid in making the decisions which affect their lives.
- Increase collaborative humanitarian multi-year planning and funding.
- Reduce the earmarking of donor contributions.
- Harmonise and simplify reporting requirements.
- Enhance engagement between humanitarian and development actors.

It is anticipated that the implementation of the sum of the Grand Bargain commitments will result in better aid, with humanitarian action moving from a supply-driven model dominated by aid providers, to a demand-driven model, more responsive to the people being assisted.

### A.2 Humanitarian response mechanisms

In all disasters requiring international assistance, a range of organizations or entities will provide relief. These range from national and local authorities, through UN agencies, to international and national response organizations. Again, GA Resolution 46/182 provides the basic architecture for the international humanitarian system. In addition to the above-mentioned principles, the resolution established the following:

- The position of an Emergency Relief Coordinator (ERC), at Under-Secretary-General (USG) level, to coordinate and facilitate humanitarian assistance.
- The Inter-Agency Standing Committee (IASC) as the primary mechanism to coordinate the assistance of UN and non-UN humanitarian partners. Under the leadership of the ERC, the IASC develops humanitarian policies, agrees on a

clear division of responsibility for the various aspects of humanitarian assistance, identifies and addresses gaps in response and advocates for effective application of humanitarian principles.

- The establishment of the consolidated appeal process and the Central Emergency Response Fund (CERF) which can disburse swiftly up to USD 450 million per year for sudden-onset emergencies, rapidly deteriorating situations and protracted crises that fail to attract sufficient resources.
- The establishment of the Department of Humanitarian Affairs (DHA) with offices in Geneva and New York to provide institutional support to the ERC/USG. In 1998 DHA was renamed the Office for the Coordination of Humanitarian Affairs (OCHA).

The following sections provide an overview of the primary actors involved in coordination of international emergency response.

#### A.2.1 The Government

As per GA Resolution 46/182, the Government of a disaster-affected country bears the primary responsibility for humanitarian assistance and coordination. Structures that allow Governments to manage, prevent and respond to disasters have become increasingly sophisticated and are founded typically upon a civil protection approach with operations using an incident management system. Most countries will have a National Disaster/Emergency Management Authority or Civil Protection Agency to oversee and coordinate risk analysis, preparedness and response, but capacities and capabilities of these agencies may vary.

A general framework for coordination within the Government at the capital level is headed by a Minister/Secretary of State and supported by disaster/emergency management resources. The disaster management structure will typically include all the different sectors of humanitarian activity like health, water, sanitation, education, agriculture/food security, infrastructure and logistics, security, etc., headed by relevant ministry officials. The structures are further reflected at provincial, district, municipal and village levels with the relevant heads of office in these areas.

At the regional level, the affected Government could reach out to inter-governmental bodies to provide assistance and support. In some regions, there are established humanitarian assistance and coordination mechanisms that are rapidly deployable and work with Member States to coordinate relief supplies, military asset deployment and assessment teams, e.g., the European Union (EU), the Association of South East Asian Nations (ASEAN), and the Caribbean Disaster Emergency Management Agency (CDEMA). Response teams of these regional inter-governmental organizations are increasingly becoming a first point of call due to their proximity and membership of the affected Government. See also Chapter O. for regional approaches to coordination.

#### A.2.2 The Emergency Relief Coordinator (ERC) and OCHA

The Emergency Relief Coordinator (ERC) is responsible for maintaining an overview of all emergencies requiring humanitarian assistance and for coordinating and facilitating the humanitarian assistance of the UN system to those emergencies that require a coordinated response. The ERC also acts as the central focal point for governmental, intergovernmental and non-governmental relief activities and is supported by OCHA.

OCHA is responsible for bringing together humanitarian actors to ensure a coherent response to emergencies. OCHA also ensures there is a framework within which each actor can contribute to the overall response effort. OCHA has various resources and tools to support humanitarian action worldwide, of which the UNDAC team is one. Consequently, UNDAC teams deployed in sudden-onset disasters work towards the same overarching mission objectives as OCHA.



OCHA's mission is to coordinate the global emergency response to save lives and protect people in humanitarian crises and to advocate for effective and principled humanitarian action by all, for all.

OCHA's activities are focused around five core functions:

- **Coordination** – OCHA coordinates humanitarian response to expand the reach of humanitarian action, improve prioritization and reduce duplication, ensuring that assistance and protection reach the people who need it most. Through critical situational and gender-responsive analysis, OCHA provides a comprehensive picture of overall needs and helps a diverse set of actors achieve a common understanding of the humanitarian context and a collective plan for the response.
- **Advocacy** – OCHA raises awareness of forgotten crises. Promotes respect for international humanitarian law (IHL), brings the voices of crisis-affected people to the forefront and helps people obtain access to humanitarian assistance.
- **Policy** – OCHA helps set the agenda for humanitarian sector reform and effectiveness in response and promotes the normative framework for international humanitarian action.
- **Humanitarian financing** – OCHA mobilizes financing mechanisms to ensure that humanitarian needs are met, and coordination mechanisms are promoted.
- **Information Management** – OCHA provides information management services to the humanitarian community to inform a rapid, effective and principled response.

OCHA operates through a network of offices in the field which support Member States and Humanitarian Country Teams (HCT) and facilitates the work of operational agencies that deliver humanitarian assistance to populations and communities in need.

### A.2.3 The Inter-Agency Standing Committee (IASC)

An important function of the ERC is to lead the IASC which is the primary mechanism for inter-agency coordination relating to humanitarian assistance. It is a unique inter-agency forum for coordination, policy development and decision-making involving the key UN and non-UN humanitarian partners. The IASC was established in June 1992 by GA Resolution 46/182.

The IASC has the following objectives:

- To develop and agree on system-wide humanitarian policies.
- To allocate responsibilities among agencies in humanitarian programmes.
- To develop and agree on a common ethical framework for all humanitarian activities.
- To advocate for common humanitarian principles to parties outside the IASC.
- To identify areas where gaps in mandates or lack of operational capacity exist.
- To resolve disputes or disagreement about and between humanitarian agencies on system-wide humanitarian issues.

The IASC is composed of heads or designated representatives of UN operational agencies and a number of standing invitees from outside the UN system. In practice, no distinction is made between 'Members' and 'Standing Invitees' and the number of participating agencies has expanded since the inception of the IASC in 1992 (to 18 organizations/bodies as at July 2017).

In fact, the strength and added value of the IASC lies in its broad membership, bringing together UN agencies, international organizations, the Red Cross/Red Crescent Movement and non-governmental organization (NGO) networks.

### A.2.4 The UN Resident Coordinator (RC) and the Humanitarian Coordinator (HC)

In a great majority of countries where the UN system is present, overall coordination of UN activities falls primarily to the UN Resident Coordinator (RC) in consultation with relevant

UN agencies. The RC is the designated representative of the UN Secretary General and the position carries the same rank as an Ambassador of a foreign state. The RC leads the UN Country Team (UNCT), the inter-agency coordination and decision-making body at country level. The main purpose of the UNCT is for individual agencies to plan and work together to ensure the delivery of tangible results in support of the development agenda of the Government. In most countries, the Resident Representative of the UN Development Programme (UNDP) is designated as the RC.

The ERC may appoint a Humanitarian Coordinator (HC) in a country experiencing an emergency or where an existing humanitarian situation worsens in scale or complexity. The functions of an HC are separate from an RC, but these positions are often combined in one person – the RC/HC.

In normal times, the RC and the UNCT coordinate disaster preparedness and mitigation activities, monitor and provide early warning of potential emergency situations, and lead contingency planning. However, when a humanitarian crisis erupts or a situation of chronic vulnerability sharply deteriorates, the RC - as HC - will also lead and coordinate the inter-agency humanitarian response and report to the ERC on humanitarian matters for the duration of the emergency. The HC function normally phases out once the emergency subsides.

The HC is accountable to the ERC and has overall responsibility for ensuring that humanitarian response efforts are well organized. In a large, complex or escalating humanitarian crisis, the ERC may appoint a separate person as HC.

### A.2.5 The Humanitarian Country Team (HCT)

The Humanitarian Country Team (HCT) is a strategic and operational decision-making and oversight forum established and led by the HC. Composition includes representatives from the UN, international NGOs and the Red Cross/Red Crescent Movement. Agencies or organizations that are designated as Cluster Leads should represent the clusters as well as their respective organizations (see Section A.3.1 below for more on the Cluster Approach). The HCT is responsible for agreeing on common strategic issues related to humanitarian action. It should be a forum which mirror-images the IASC at country level. However, it may not only consist of the standard IASC member organizations but should also bring together representation from other organizations that undertake humanitarian action in-country and commit to participate in coordination arrangements. Some HCTs have also decided to include representatives of key assisting governments and/or donors in their membership or as observers. The size of the HCT should be limited, however, to allow for effective decision-making.

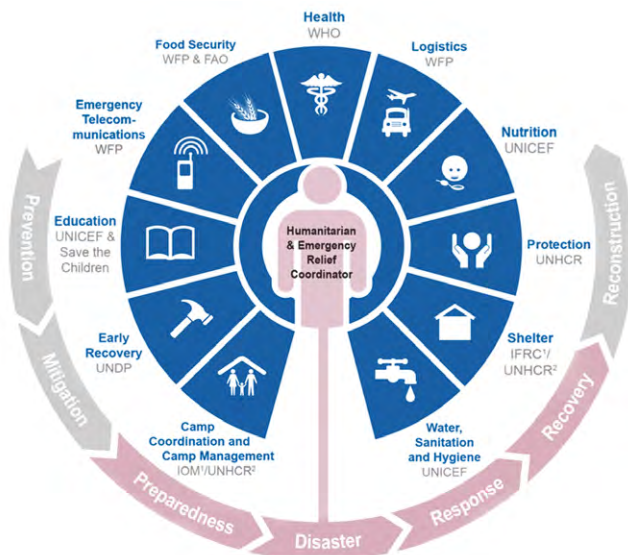
The HCT's objective is to ensure that the activities of participating organizations are coordinated and that humanitarian action in-country is principled, timely, efficient and effective, and contributes to longer-term recovery.

## A.3 Humanitarian coordination

In an international, multi-organizational response environment, coordination of activities will require a more participatory process than that found in typical national disaster management structures with more hierarchical decision-making systems. Humanitarian coordination is a more process-oriented system which combines traditional disaster management approaches with the guiding principles of GA Resolution 46/182. See Chapter L. for more on coordination methodology.

### A.3.1 Humanitarian coordination structures and the Cluster Approach

The needs of a disaster-affected population are commonly identified by sectors of humanitarian activity, e.g., health, food, shelter, etc. This can also be referred to as sectors



**Figure A.1 Global Cluster Leads**

of response or just sectors. Such sectors have been historically recognized as a common modality of organizing disaster response and organizations have traditionally specialised themselves in working in one or more sectors.

Generic structures for coordinating humanitarian operations exist; however, whether they are applicable is dependent on the affected Government's wishes, the particular needs of the situation, available resources and what is culturally, contextually and politically pertinent. In situations where a resourceful and effective governmental structure for disaster response exists, one should seek to adopt a model most suited to support this. However, in situations where the coordination needs overwhelm national capacities, additional structures may be required for the international response.

In 2005, a major reform of humanitarian coordination, known as the Humanitarian Reform Agenda, introduced a number of new elements to enhance predictability, accountability and partnership, including the Cluster Approach. Clusters are groups of humanitarian organizations, both UN and non-UN, working in each of the main sectors of humanitarian action. The aim of the Cluster Approach is to strengthen system-wide preparedness and technical capacity to respond, and to provide leadership and accountability. Global Cluster Leads are designated by the IASC in eleven sectors of humanitarian activity, with clear responsibilities for coordination and ensuring a sufficient level of preparedness within their cluster.

The Global Cluster Leads provide the following types of support to strengthen field response:

- Technical surge capacity.
- Trained experts to lead cluster coordination at the field level.
- Increased stockpiles, some pre-positioned within regions.

- Standardised technical tools, including for information management.
- Agreement on common methods and formats for needs assessments, monitoring and benchmarking.
- Best practices and lessons learned from field-tests.

The Cluster Approach also provides a structure which can facilitate partnerships with host Governments, local authorities and local civil society.

At country level, cluster leadership should not necessarily be provided by a UN agency, or even the Global Cluster Lead agency, but by the organization best suited. The clusters may be 'activated' when there is a new large-scale emergency or sharp deterioration and/or significant change in an existing humanitarian situation leading to coordination gaps. The clusters would be part of an international emergency response, based on the HCT's analysis of humanitarian need and coordination capacity on the ground and in consultation with national partners. The RC/HC should only recommend the activation of clusters when there is an identified need which is not being addressed.

### A.3.2 Field level coordination structures

The key objective of international humanitarian action is to support national efforts in meeting the needs of a disaster-affected population. It is important to remember that when governments request international humanitarian support to respond to disasters, national legal systems are the main regulatory frameworks for all response, relief and recovery activities.

To activate one or more clusters, the RC/HC agrees with the HCT which should be activated based on contingency plans or the type and scale of the emergency, and with a clear rationale that takes into account national capacity and needs. The selection of a Cluster Lead Agency (CLA) ideally mirrors the global-level arrangements, but this is not always possible and, in some cases, other organizations may be better placed to take the lead. Upon agreement within the HCT, the RC/HC sends a letter to the ERC outlining the recommended cluster arrangements. The ERC transmits the proposal to IASC Principals and Global Cluster Leads for approval within 24 hours and informs the RC/HC accordingly.

Any decision on cluster activation should be taken in consultation with the affected Government who should, as far as possible, co-chair the clusters at different levels, from capital to field locations.

At the strategic level, inter-cluster coordination takes place within the HCT under the leadership of the HC. The HCT comprises the CLAs (at Country Representative/Director level) and selected operational partners involved in the response, and it is within the framework of this strategic decision-making forum that the overall humanitarian response operation is guided and led.

The designated CLA leads and manages the cluster. Where possible, it does so in co-leadership with Government bodies and NGOs. At country level, heads of Cluster Lead Agencies are accountable to the HC for:

- Ensuring that coordination mechanisms are established and properly supported.
- Serving as a first point of call for the Government and the HC.
- Acting as a provider of last resort in their respective sector.

The RC/HC will lead the international humanitarian response in consultation with national authorities and the HCT. While the style of leadership exercised is consultative, in the first three months of a large-scale emergency crisis the RC/HC will need to exercise considerable judgment to enable swift decision-making. This decision-making ability will be supported through enhanced accountability to the ERC, who will require more regular briefings from

the HC during this period. The RC/HC will be accountable to the ERC for the management of an effective and well-prioritized response.

In certain large-scale emergencies, the RC/HC will be empowered to lead the response to the crisis for an initial period of three months. Speed in decision-making is essential. To be effective, the RC/HC must be empowered to make timely decisions in strategic key areas, such as setting of overall priorities, allocating resources, monitoring performance and dealing with underperformance.

At a programmatic level, inter-cluster coordination generally takes place within the framework of an inter-cluster coordination forum/group, formed by cluster coordinators from each cluster. The cluster coordinator for each individual cluster provides leadership and works on behalf of the cluster, facilitating coordination at an operational level within the cluster, while maintaining a strategic vision and developing an operational response plan. He/she also ensures coordination with other clusters in relation to inter-cluster activities and cross-cutting issues. The cluster coordinators are responsible for ensuring that cluster-specific concerns and challenges that cannot be solved within the cluster are raised and properly discussed at the HCT, and that ensuing strategic decisions are shared and acted upon at operational level.

Cluster members should adhere to the minimum commitments that set out what all local, national or international organizations undertake to contribute. They include:

- A common commitment to humanitarian principles and the Principles of Partnership.
- Commitment to mainstream protection in programme delivery.
- Readiness to participate in actions that specifically improve accountability to affected populations.
- Understand duties and responsibilities associated with membership of a cluster and commit to consistently engage in the cluster's collective work as well as cluster's plan and activities.
- Commitment to ensure optimal use of resources and sharing information on organizational resources.
- Commitment to mainstream key programmatic cross-cutting issues.
- Willingness to take on leadership responsibilities as needed and as capacity and mandates allow.
- Contribute to developing and disseminating advocacy and messaging for relevant audiences.
- Ensure that the cluster provide interpretation so that all cluster partners are able to participate.

OCHA provides guidance and support to the HC and HCT and facilitates inter-cluster coordination. OCHA also helps ensure coordination between clusters at all phases of the response, including needs assessments, joint planning, and monitoring and evaluation.

Even if coordination of international humanitarian response is not hierarchical, the generic humanitarian coordination model may be depicted by the illustration on the following page.

However, whilst one may strive to accomplish a given structure, in reality, it often has to be adapted to situational needs. Given the special nature of international relief, the particulars of the disaster-affected country, the policy of donor governments, and a multitude of other factors, there is no set answer to how disaster relief may be coordinated. Every disaster has its own dynamics and, thus, its own solutions to coordination.

The key objective of the Cluster Approach is to ensure a coordinated approach with agreed leadership of international assistance in support of the Government lead role. This approach is not the only humanitarian coordination solution. In some cases, the Cluster

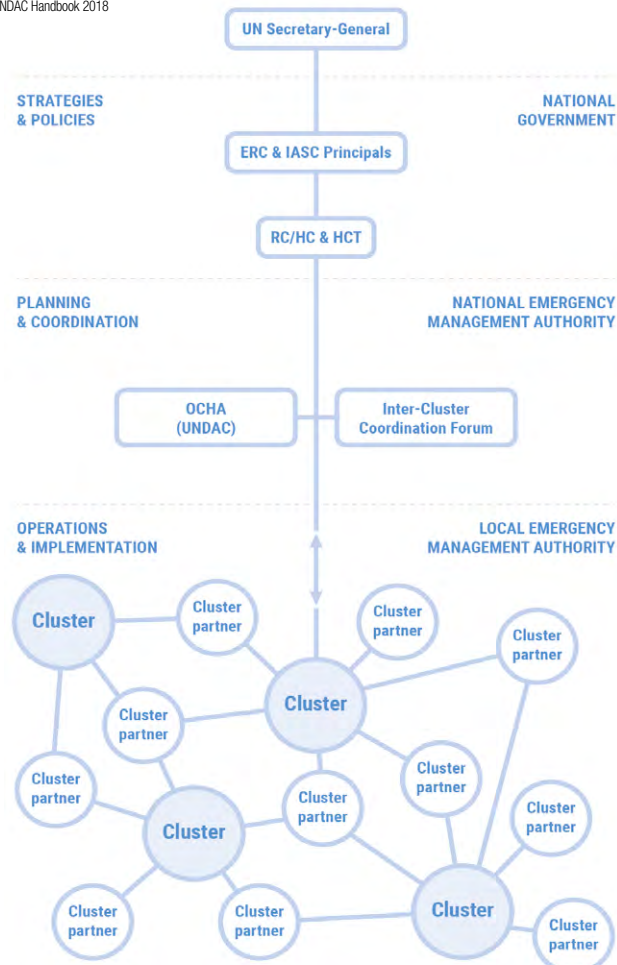


Figure A.2 Generic humanitarian coordination model

Approach may co-exist with other, non-cluster coordination solutions – whether national or international – or an alternative sectoral approach may be preferable. An indiscriminate application of all clusters, in every emergency, at every location/level, may waste resources and reduce opportunities for governments to exercise their primary responsibility to provide humanitarian assistance to people in need. Coordination should have a clear objective and be result- and action-driven, rather than process-driven. See also Section L.3.1 for more on inter-cluster coordination.

the principles of neutrality and impartiality, CERF addresses crises where needs are most urgent to ensure funding goes to meet life-saving needs when it can have the most impact. Interventions are based on life-saving priorities set collectively by humanitarian partners on the ground, using existing coordination mechanisms.

CERF pools voluntary contributions from donors around the world into a single fund. In December 2016, the UN GA endorsed the Secretary-General's call to expand CERF's annual funding target from \$450 million to \$1 billion by 2018.

CERF issues grants through two windows:

- The Rapid Response Window (RR) provides assistance to new emergencies, to existing emergencies that have deteriorated significantly, or in response to time-critical needs, accounting for two thirds of CERF annual grants.
- The Underfunded Emergencies Window (UFE) delivers support for critical needs in underfunded and often protracted crises. Grants are allocated in two rounds per year, accounting for about one third of CERF annual grants.

CERF also has a loan facility of \$30 million.

### A.3.5 Humanitarian Response Plans (HRPs) and Flash Appeals

Humanitarian Response Plans (HRPs) are required for any humanitarian crisis requiring the support of more than one agency and are prepared by HCTs based on a humanitarian needs overview. In sudden-onset emergencies, it will often be called a Flash Appeal.

This is a joint strategic response plan (document) that presents a snapshot of the overall situation, as well as sector/cluster-specific response plans and budgets covering a given time period. HRPs/Flash Appeals include budgets that should be updated regularly to reflect any substantial changes in the needs of affected people or the situation in general. An initial CERF allocation will be included in the overall budget and be part of the Plan/Appeal.

A common strategic approach – formalized in an HRP or Flash Appeal – is essential for an efficient response that builds on each organization's strengths. Joint strategic planning and budgeting brings aid organizations together to jointly plan, coordinate, implement and monitor their response to natural disasters and complex emergencies. It also allows them to appeal for funds cohesively and not competitively. See Section L.3.5 for more on HRPs and financing.

### A.4 Stakeholders in international disaster response

UNDAC teams will work with a wide variety of stakeholders during any response. While the specific organizations and structures will vary, the general roles and responsibilities of the stakeholders are fairly consistent. Familiarity with the major actors will enable UNDAC teams to work together with them in an effective manner. The following sections give an overview of the most important stakeholders and bodies in international emergency response.

#### A.4.1 Civil society and Government

Among the most significant stakeholders are the Government and affected populations/civil society. The first responders in any emergency are disaster-affected people and their Governments. Before any international or, in most instances, national response mechanisms kick in, it is people affected by the disaster or conflict, their neighbours and local civil society that are the first on the scene. In the first hours, they use whatever resources are available to them to carry out activities such as search and rescue, providing shelter, distributing food and water, etc. Often this response is supplemented through community-based organizations and networks, including religious groups, unions and even local businesses.

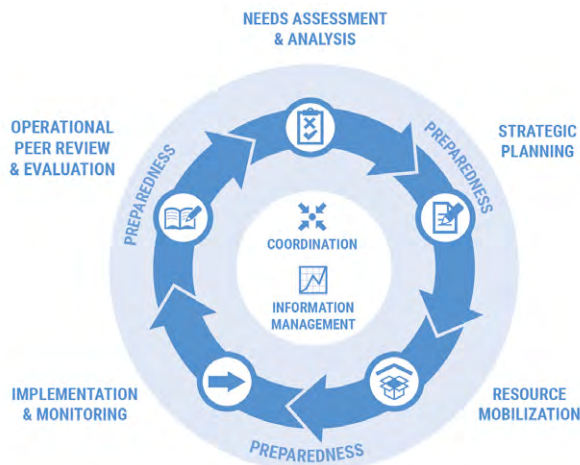


Figure A.3 Overview of the HPC

### A.3.3 The Humanitarian Programme Cycle (HPC)

The IASC has agreed that international humanitarian response is delivered following the concept of the Humanitarian Programme Cycle (HPC), which is a coordinated series of actions undertaken to help prepare for, manage and deliver humanitarian response. It consists of five elements, coordinated in a seamless manner, with one step logically building on the previous and leading to the next.

The activities of an UNDAC team, generally deployed for the first three weeks following a disaster, will focus on and support mostly the Needs Assessment and Analysis element of the HPC, informing Strategic (Response) Planning, Resource Mobilization and Implementation.

If executed effectively, the HPC will achieve:

- Stronger emphasis on inter-sectoral analysis and prioritisation of the needs of affected people.
- Improved targeting of the most vulnerable.
- Consideration of the most appropriate and feasible response modalities.
- Increased funding for humanitarian priorities.
- Greater accountability of humanitarian actors and donors for collective results.

Successful implementation of the HPC is dependent on effective emergency preparedness, effective coordination with national/local authorities and humanitarian actors, and effective information management.

### A.3.4 The Central Emergency Response Fund (CERF)

Established by the UN GA in 2005 as a fund for all and by all, the Central Emergency Response Fund (CERF) is one of the fastest ways to accelerate humanitarian assistance for people affected by conflict and disasters. CERF allocates funds to kick-start, sustain or scale up humanitarian response at the most critical phases of an emergency. Guided by

## A.4.2 UN Agencies

A number of specialised UN agencies are important in international emergency response.

- **The United Nations Development Programme (UNDP)** – UNDP focuses on the development-related aspects of disasters and aims to mainstream disaster risk reduction into national development strategies. It does this through provision of technical assistance and capacity-development to strengthen disaster risk management and establish mechanisms to support post-disaster recovery. UNDP seeks to ensure that disaster risk reduction considerations are factored into national and regional development programmes and that countries use the recovery process following disasters as a window of opportunity to mitigate future risks and vulnerabilities. UNDP has representation in most developing countries of the world and is also the custodian of the RC system.

The Global Cluster for Early Recovery (GCER), is chaired by UNDP.

- **The United Nations High Commissioner for Refugees (UNHCR)** – The majority of UNHCR's programmes begin as a result of a specific type of emergency, i.e., a sudden influx of refugees. UNHCR provides protection to persons of concern and ensures that the necessary assistance reaches them. In terms of material assistance, UNHCR's goal is the survival of refugees through ensuring adequate basic and supplementary food supplies, health care, shelter, water and sanitary facilities, clothing, and essential community services. Much of this assistance is channelled through its implementing partners, i.e., the Government of the asylum country and NGOs. Even if UNHCR's mandate defines a 'refugee' as a person displaced from his or her native country, the organization also does extensive work with Internally Displaced Persons (IDPs), i.e., people who have had to leave their homes following a disaster or conflict, but still reside inside their native country. However, this distinction in their mandate often requires a special request from high level UN bodies or affected governments before UNHCR can participate fully in a humanitarian operation inside an affected country.

UNHCR is the global lead for the Protection Cluster and co-chairs the Global Shelter Cluster together with IFRC. The Global Camp Coordination and Camp Management (CCCM) Cluster is co-led by the International Organization for Migration (IOM) for natural disasters and UNHCR for conflict-induced IDP situations.

- **The United Nations Children's Fund (UNICEF)** – UNICEF works towards improving the lives and wellbeing of children and their families. Together with partners, they work in 190 countries and territories to the benefit of all children, everywhere, focusing special efforts on reaching the most vulnerable and excluded. UNICEF's emergency aid activities target health and immunization, water, sanitation and hygiene (WASH), trauma counselling, family reunification, education, and child soldiers.

UNICEF is global lead for the WASH and Nutrition Clusters and co-lead for the Education Cluster together with Save the Children. UNICEF is also the designated focal point agency for Child Protection within the Global Protection Cluster.

- **World Food Programme (WFP)** – In an emergency and depending on need, WFP may: provide advice and assistance to the Government, other concerned agencies and local authorities in assessing possible requirements for emergency food aid, and in planning and managing appropriate interventions; provide food aid to meet emergency needs, subject to the availability of resources and the assessed need for international food aid; and help to mobilise and ensure coordination in the planning and delivery of food assistance from all sources, and any necessary logistics support and other complementary inputs. Although WFP provides substantial quantities of food and is the source for almost all multilateral food aid, the majority of international food aid is provided bilaterally, i.e., directly from donor to affected state or party. WFP

ensures the co-ordination and orderly scheduling of food aid shipments from all sources; seeks ways to expedite deliveries; mobilises and provides logistic support; and advocates appropriate policies and procedures for the use of food aid. WFP also assists donors, upon request, to procure, transport and/or monitor the distribution of certain bilateral food aid consignments.

WFP is the global lead of the Emergency Telecommunications (ETC) and Logistics Clusters, and co-leads the Food Security Cluster (FSC) together with the UN Food and Agricultural Organization (FAO).

- **World Health Organization (WHO)** – The WHO is the UN specialised agency for health matters and works in disasters: to ensure that health needs are properly assessed and monitored; to provide coordination between national and international health partners; to mobilize national and international expertise and/or supplies to meet specific health threats; and to identify critical gaps in the public health aspects of response that need rapid filling, either by the combined effort of all stakeholders or by WHO itself as provider of last resort.

WHO is the global lead for the Health Cluster and the custodian of the Emergency Medical Team (EMT) coordination concept which is an important part of emergency response. See Section N.3 for more on EMT coordination.

- **International Organization for Migration (IOM)** – IOM joined the UN system in 2016 and is the leading intergovernmental organization in the field of migration, working closely with governmental, intergovernmental and non-governmental partners. IOM helps ensure the orderly and humane management of migration, promotes international cooperation on migration issues, assists in the search for practical solutions to migration problems and provides humanitarian assistance to migrants in need, including refugees and internally displaced people.

The Global Camp Coordination and Camp Management (CCCM) Cluster is co-led by the International Organization for Migration (IOM) for natural disasters and UNHCR for conflict-induced IDP situations. IOM also actively participates in the Logistics, Early Recovery, Health, Emergency Shelter and Protection Clusters.

- **The UN Population Fund (UNFPA)** – UNFPA works closely with governments, UN agencies and other partners to ensure that reproductive health is integrated into emergency response. UNFPA provides hygiene, obstetric and family planning supplies, trained personnel and other support to vulnerable populations, and works to ensure the needs of women and young people are served through both the emergency and the reconstruction phases. UNFPA can play an important role in collecting data during emergencies as it collaborates with national statistical organizations in developing and middle-income countries, facilitating the collection, analysis, dissemination and use of reliable data and information.

## A.4.3 The Red Cross and Red Crescent Movement

The Red Cross and Red Crescent Movement is the world's largest humanitarian network, comprising nearly 100 million members, volunteers and supporters.

Structurally, the Movement is comprised of three core components:

- 190 national Red Cross and Red Crescent societies.
- International Federation of Red Cross and Red Crescent Societies (IFRC).
- International Committee of the Red Cross (ICRC).

Together, these components operate worldwide with a mission to prevent and alleviate human suffering wherever it may be found, to protect life and health, and to ensure respect for the human being, particularly in times of armed conflict and other emergencies.



It is important to distinguish between IFRC and ICRC.

- **IFRC** – The world's largest humanitarian organization, providing assistance without discrimination as to nationality, race, religious belief, class or political opinions. Founded in 1919, IFRC membership comprises 190 national Red Cross and Red Crescent societies, a secretariat in Geneva and numerous delegations strategically located to support its activities. IFRC works with national societies in responding to catastrophes around the world and coordinates and directs international assistance following natural and man-made disasters in non-conflict situations. Its relief operations are combined with development work, including disaster preparedness programmes, health and care activities, and the promotion of humanitarian values.
- **ICRC** – The founding body of the Red Cross movement and an impartial, neutral and independent organization whose exclusively humanitarian mission is to protect the lives and dignity of victims of war and internal violence, and to provide them with assistance. ICRC is the custodian of the Geneva Conventions and their additional Protocols, which constitute the primary part of International Humanitarian Law and cover the treatment of wounded and sick military personnel, prisoners of war and civilian populations in internal and international conflicts. During situations of conflict, ICRC is responsible for directing and coordinating the Movement's international relief activities. It also promotes International Humanitarian Law and draws attention to universal humanitarian principles.

National Red Cross and Red Crescent societies occupy a unique place as auxiliaries to the public authorities in their countries. The 'auxiliary role' is a technical term to express the unique partnership a national society has with its government in providing public humanitarian services. Although national societies work alongside governments and public authorities, they are independent and their work is not controlled or directed by the national government. Each government should recognize its national society as a legal entity and allow it to operate according to the fundamental principles of the Movement. National societies provide disaster relief, support health and social programmes, and promote International Humanitarian Law and humanitarian values.

Both IFRC and ICRC are standing invitees (not members, for reasons of independence) of the IASC. IFRC is the convener of the Global Shelter Cluster in natural disaster emergencies, while UNHCR takes the lead in conflict situations.

#### A.4.4 Non-Governmental Organizations (NGOs)

In the context of disaster management, an NGO is an organization that works - in any capacity - in relief assistance. NGOs can be divided into two main categories, namely the international NGOs, i.e., those working internationally who may deploy to an affected country, and local NGOs, i.e., those working within their own country when a disaster strike.

NGOs are, in principle, autonomous and relatively independent of governments and are financed by private individuals or groups as well as governments. NGOs are receiving more and more funding from governments (usually their own) or international organizations, e.g., the European Union. It is important to note that many of the world's largest NGOs have budgets and resources exceeding that of many UN agencies. NGOs are often implementing partners of UN agencies in emergency response.

The NGO community has always been important in the humanitarian world. They work in all areas of the humanitarian field and provide the greatest international capacity to implement relief on the ground. NGOs tend to specialise in one or two fields, or to target their efforts towards one vulnerable population group. They usually have skilled staff, rapid deployment capacity (if they are not already in the area), operational flexibility, and resources that might not otherwise be available in an emergency.

The number of national NGOs may also be high. These can be essential partners in disaster response because they are known locally and they themselves know the area, the culture, the population, etc. In many cases, they work together with international NGOs, the UN and/or others, sometimes as implementing partners.

#### A.4.5 International Governmental Organizations (IGOs)

By definition, an IGO is an organization of sovereign states created with a shared purpose and established by a founding document such as a charter or treaty giving them a mandate. In emergencies, it is quite common to meet IGOs comprised of member states from a particular world region. The Association of Southeast Asian Nations (ASEAN), the European Union (EU), and Southern African Development Community (SADC) are typical examples of IGOs. They are also referred to as International Organizations or Intergovernmental Organizations.

There are numerous IGOs in the world with various purposes, systems and mandates. Several of them have a humanitarian profile as part of their purpose and do considerable work with regards to disaster response. How they work in disasters is often dependent on their mandate and policies. For example, both the EU and ASEAN have specialized teams that may deploy rapidly to emergencies to assess and/or coordinate their response, while an organization such as the International Monetary Fund (IMF) may provide emergency assistance to help member countries with urgent balance of payments financing needs in the wake of natural disasters or armed conflicts. A commonality for IGOs is that, in most cases, they work in cooperation with governments, whereas NGOs are often privately created and may seek independence from governments.

#### A.4.6 Military forces

Generally, military forces are associated with protecting/defending sovereignty or as an instrument for aggression between states. Over the last decades, however, the role of military forces has expanded beyond this to include tasks related to and/or in support of humanitarian action. Military forces have become active players in international emergency response and governments will continue to rely upon rapidly deployable military capability for support in humanitarian operations. Regardless of country, militaries are often organized in similar ways and often share many common aspects, whether they are army, navy, air force or marine/amphibious forces. Militaries are organized in a clear hierarchical structure with clear lines of command, control and communication.

However, in some contexts, military forces may, by their nature and regardless of purpose, be perceived as parties to, or instigators of, armed conflict. This is especially the case when they have a dual purpose in an emergency, e.g., when deployed for peacekeeping or peace-enforcing purposes while also having a mandate to participate in relief operations, or when the humanitarian crisis comes as a consequence of an armed conflict and the military forces party to that conflict are the ones providing security. In such contexts and if appropriate measures are not taken, upholding the humanitarian principles may become difficult if military forces are used haphazardly in humanitarian operations.

Humanitarian Civil-Military Coordination (UN-CMCoord) is, and will always be, a subset of broader humanitarian coordination. UN-CMCoord is the essential dialogue and interaction between civilians and military actors in humanitarian emergencies that is necessary to protect and promote humanitarian principles, avoid competition, minimise inconsistency and, when appropriate, pursue common goals. There are several internationally agreed guidelines on the use of military forces in humanitarian operations and civil-military interaction. Experience has shown that in all major emergencies, some level of civil-military coordination is required and that failure to establish effective and appropriate civil-military

relations may have severe consequences both in current operations and in the latter stages of the emergency. See Section N.4 Humanitarian Civil-Military Coordination.

#### A.4.7 Private sector

Private sector companies are increasingly involved in disaster response, often as part of their commitment to a corporate social responsibility strategy. This involvement can take many forms, including as donors and as direct service providers of aid. Some companies, like DHL and Ericsson, have been working to support humanitarian operations for years and are now being joined by a growing number of private sector actors involved in disaster response. The vast majority of private companies' involvement in disaster relief occurs independently of humanitarian coordination structures. UNDAC members should engage with the private sector as a key stakeholder in an effort to improve coordination and overall effectiveness, and to address gaps in humanitarian response.

The corporate sector can provide services in their area of expertise to complement and assist humanitarian actors in relief and rehabilitation efforts. They may also second highly specialized technical staff to agencies and organizations which can accept such resources. Several companies have established partnerships with organizations and agencies specifying what kind of support can be given in a disaster situation. For example, certain expert logistics companies are part of the Logistics Cluster and can support airport operations with surge staff to cope with a sudden influx of relief teams.

The Connecting Business initiative (CBI) is an OCHA-UNDP led multi-stakeholder initiative that provides a mechanism for the private sector to engage with the UN system, national governments and civil society, in a coordinated manner, on crisis risk reduction, emergency preparedness, response and recovery. As of early 2018, the CBI brings together 13 national private sector networks, representing hundreds of companies worldwide, to coordinate and facilitate access to the tools, resources and mechanisms that will enable businesses to undertake effective disaster risk reduction, emergency preparedness, response and recovery. See Section L.3.4 for more on private sector engagement or <https://www.connectingbusiness.org/>

#### A.4.8 Ad hoc and improvised humanitarian groups

As humanitarian events become more visible to the global population through mass media and social networks, there are an increasing number of 'good samaritans' keen to be engaged in providing humanitarian relief. These range from spontaneously formed small groups to more sophisticated technocrats. They are typically passionate, willing to help and may be able to mobilise their own funds to operate; but they are rarely equipped with knowledge of standards or coordination systems and may be short-lived in their operations. While assistance is always needed and welcomed, there have been instances where such groups have caused harm by creating dependence, duplicating efforts by international systems thus wasting resources, and potentially violating humanitarian and other fundamental principles.

#### A.4.9 Diaspora

Perhaps the least understood, overlooked and yet often resourceful group of people who may be increasingly involved in humanitarian assistance is the diaspora. The diaspora population is potentially a significant resource to tap into as they may have a wealth of knowledge of the culture, language and social nuances, as well as financial resources to support humanitarian assistance. They often lack knowledge and understanding of the international humanitarian response system, hence their absence in coordination mechanisms; but they can often be targeted for key communication messages and coordination through host country government and media channels.

## B. THE UNDAC CONCEPT

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### B.1 Introduction

The UNDAC system is designed to support national governments, the UN in-country, the HC and HCT and incoming international responders with coordination during the first phase of a sudden-onset emergency. It also aims to advise and strengthen national and regional disaster response capacity. An UNDAC team can be deployed at very short notice (12-48 hours) anywhere in the world.

#### B.1.1 Components

The UNDAC system consists of four components:

- 1) Staff** – Professional and experienced emergency managers and humanitarian experts made available by their respective governments or organizations, together with OCHA staff. UNDAC team members are specially trained and equipped for their task.
- 2) Methodology** – Predefined methods for coordination, including collection and management of information, coordinated assessment and coordination support structures for the first phase of a sudden-onset disaster.
- 3) Mobilisation procedures** – Proven systems to mobilise and deploy an UNDAC team to a disaster site anywhere in the world within 48 hours of request.
- 4) Operational partnerships and equipment** – Personal equipment and service packages enabling UNDAC teams to be self-sufficient, as well as operational partnerships optimising service provision for the humanitarian community during UNDAC missions.

## B.1.2 Concept

UNDAC is a first response tool of the UN, managed by OCHA, that can be deployed in sudden-onset or escalating emergencies to establish or support a coordination mechanism for international response. It may be requested by a government, a UN RC/HC or a UN agency, including OCHA. An UNDAC team works under the same mandate as OCHA and may in many cases be OCHA's first presence on the ground.

An UNDAC team is a neutral, international asset that provides experienced emergency managers, with a variety of skillsets, free of cost and at very short notice. An UNDAC team may be deployed at the outset, or in situations such as tropical cyclones, upon early warning of an emergency. The team provides international capacity to support cross-sectoral emergency assessment, coordination of relief and information management at national and local levels. UNDAC teams are requested by, and work under the authority of, the RC/HC. In situations where there is no UN presence, the UNDAC team may work in direct support of the government of an affected country (see also Section B.1.4 below).

When required, an UNDAC team may establish and run an On-Site Operations Coordination Centre (OSOCC) and a Reception Departure Centre (RDC) to act as a link between international responders and national authorities; to facilitate coordination of international response; and to provide a platform for cooperation, coordination and information management amongst international humanitarian responders. An OSOCC is a rapid response tool that may serve as a bridge from emergency response to longer-term relief and may become the foundation of an OCHA field office. The OSOCC structure will almost always be established in earthquake situations where international Urban Search and Rescue (USAR) teams are assisting in the rescue of survivors (see Chapter M. for more on the OSOCC concept and Chapter N. for specific coordination cells).

UNDAC teams may be reinforced with experts covering more specialized fields of emergency management and humanitarian action, e.g., environmental, sudden-onset technological and industrial accidents, cluster coordination, etc. An UNDAC team is self-sufficient in telecommunications, office and personal equipment. Operational partner organizations often complement the capacity and services of an UNDAC team in a range of areas, such as Information Communications Technology (ICT), logistics, field operations, information management, mapping, assessment and analysis.

### **UNDAC regional teams**

The UNDAC team is divided into regional teams:

- Africa, Middle East and Europe
- Americas (including the Caribbean)
- Asia and the Pacific

In emergencies of mainly national or regional concern, OCHA will largely draw upon the regional UNDAC team of members from the affected region. This enables OCHA to deploy emergency managers who are well versed in the local context, languages and culture. In major emergencies requiring large or multiple deployments, OCHA can draw upon UNDAC members from all regions worldwide to compose the teams. See Chapter O. for specific regional approaches.

### **Triggers for mobilisation of an UNDAC team**

Indicators triggering the mobilisation of an UNDAC team include:

- **Natural or technological disasters** – When a disaster-affected country requests international assistance in coping with a natural or technological disaster and requires additional international coordination resources; or, when a disaster is imminent e.g., hurricanes, UNDAC teams may be pre-positioned in the country. A government or RC/HC may also request an UNDAC team to mobilise and help determine whether or not international assistance may be required, or to focus on a specific aspect of emergency response, such as information management or for environmental emergencies.
- **Complex emergencies** – When there is a sudden escalation or change in intensity of a complex emergency, which is likely to result in a requirement for additional international coordination resources.

In each case, the deployment and detailed tasks of an UNDAC team are agreed by OCHA, the RC/HC and/or the requesting Government and agreed in the mission Terms of Reference (ToR). The team normally stays in the affected area for the initial response phase of two to four weeks.

## B.1.3 Core activities

An UNDAC team on mission will ideally be flexible enough to carry out or be involved in a wide range of activities. Depending on the nature and the scale of the disaster/situation, an UNDAC team on mission may:

- Support and facilitate the work of the affected Government, the RC/HC and HCT in the coordination of international assistance at different levels (capital/field) and locations.
- Establish and run an OSOCC/RDC to link international efforts with national relief, facilitate coordination of international relief, support USAR operations (in earthquake situations), support EMT coordination, create and/or support a platform for cooperation, decision-making and information management.
- Support the establishment of, or strengthen, the Government coordination structure for international coordination, both on a strategic level and at the site of the disaster.
- Support coordinated assessment efforts, e.g., the Multi-Cluster/Sectoral Initial Rapid Assessment (MIRA) Framework.
- Undertake a Flash Environmental Assessment to identify secondary environmental risks and request specialised expertise and follow-up, as necessary.
- Strengthen disaster management and humanitarian response activities by:
  - Supporting national disaster management authorities through optimising the use of available resources to ensure maximum impact and establishment of priorities for response activities.
  - Supporting international humanitarian response through the establishment or reinforcement of a humanitarian coordination platform, application of humanitarian principles and standards, inter-cluster coordination, and provision of advice and guidance on coordination structures, tools and services, and humanitarian financing mechanisms.
- Support reporting, public information and information management.
- Support safety and security management.
- Provide liaison functions, including:
  - Where relevant, initial provision of humanitarian civil-military coordination (UN-CMCoord) with support from relevant sections within OCHA as needed.



- Creating the link between national emergency management authorities and UN/ international response mechanisms.
- Provide management of technical support teams including ICT services.
- Administer the UNDAC team, including development of handover and exit strategies, to in-country partners or efficient transition of services to a longer-term OCHA presence, when required.

### Outside of disasters

Between disasters, as manager of the UNDAC system, OCHA:

- Ensures that UNDAC methodologies, tools and resources are up to date and made available for the UNDAC system worldwide, based on global good practice.
- Coordinates the selection of new UNDAC candidates from governments and international organizations to maintain the capacity of the UNDAC system worldwide.
- Trains new UNDAC members in the UNDAC methodology.
- Develops the skills of UNDAC members through functional training courses, response coordination exercises and other related training events.
- Keeps UNDAC members and UNDAC focal points in governments and organizations informed of developments in the UNDAC system.
- Supports and conducts national disaster response preparedness missions as part of wider, OCHA and inter-agency preparedness activities, such as the Capacity for Disaster Reduction Initiative (CADRI).

### B.1.4 UNDAC Standard Terms of Reference (ToR)

The IASC Working Group recognized the value of the UNDAC system as OCHA's rapid response tool for emergency coordination in 2002 and issued the following statement that provides guidance for the use and development of the concept:

#### General:

*UNDAC is part of OCHA, not an independent organization. Its main role is to give the ERC the capability to support a Member State affected by an emergency by providing technical services, under the leadership of the RC/HC. Among the technical services that UNDAC provides, the principal ones are on-site coordination and information dissemination services.*

#### Complex emergencies:

*The response to complex emergencies is frequently politically sensitive and close consultation within the United Nations family is called for. When UNDAC teams are deployed into such environments it will normally be in the context of OCHA's surge capacity.*

#### Assessment:

*Substantive sectoral assessments will normally be made by the host Government, UN agencies, or qualified members of the IASC family. An UNDAC team may be requested to provide technical support in support of the RC/HC or UN Country Team.*

#### Reporting and appeals process:

*UNDAC will not issue appeals. UNDAC's reporting will focus not only on the material dimension. This reporting will aim to give governments and others a broad understanding of the scale of an emergency. Any United Nations appeal will be managed by the RC/HC and the UN Country Team.*

### Agency participation in UNDAC:

*IASC agencies will seek to make available a number of staff for training and deployment on UNDAC teams.*

### Governance arrangements:

*UNDAC will be managed by OCHA. An UNDAC Advisory Board has been established to more closely involve partners and to provide advice to the ERC on the development of the UNDAC system. Participating governments and IASC member agencies are invited to join the board which shall be chaired by OCHA. OCHA will report regularly to the IASC Working Group on the functioning of the UNDAC system and will consult the IASC Working Group with respect to any significant policy proposals.*

The statement was followed by issuance of a set of standard Terms of Reference (ToR) that was approved by the ERC in November 2002. These have been recently updated, reflecting changes in the international emergency environment and re-affirmed by the ERC in 2017:

*When on mission, the UNDAC team:*

- 1) *Works under the authority of the United Nations Resident/Humanitarian Coordinator in-country – and if there is no United Nations (UN) presence, in direct support of the Government – as one of the components of OCHA's integrated first response to an emergency and ensures linkage between the national, UN and wider international response.*
- 2) *Supports and facilitates the work of the affected Government and/or the United Nations Humanitarian Country Team in-country, or other coordination bodies established in the initial response phase of an emergency, primarily in the areas of:*
  - a. *On-site coordination*
  - b. *Coordinated assessments and needs analysis*
  - c. *Information management*
- 3) *Supports and facilitates the coordination of the emergency response efforts between the Government, the United Nations and the wider international humanitarian community, and, when requested, may establish an On-Site Operations Coordination Centre (OSOCC) or support the establishment of an (inter-)cluster/sector coordination mechanism for the effective coordination of all international relief assets in support of the appropriate national emergency management authority.*
- 4) *May establish, during earthquakes and other emergencies involving collapsed structures where international urban search and rescue teams are deployed, upon request and pursuant to UN General Assembly resolution 57/150 (2002) and in accordance with the Guidelines of the International Search and Rescue Advisory Group (INSARAG), a Reception Departure Centre (RDC) and a specialized Urban Search and Rescue Coordination Cell (UCC) as part of an OSOCC with the local emergency management authorities to enable them to meet the technical needs of coordination of the international urban search and rescue teams.*
- 5) *Support the coordination of initial rapid assessments, with a view to identifying the strategic humanitarian priorities as well as priority interventions required and elaborating a concerted operational picture, including through the development of updated situation analyses to inform a Flash Appeal / Central Emergency Response Fund (CERF) request and the further coordinated assessment process. Detailed multi-sectoral assessments will normally be undertaken by the affected Government and cluster/sector leads in-country.*

- 6) *Works to support and strengthen the information management process between national and international responders in the early phase of the response in view of facilitating sound decision-making. Information management improves the capacity of stakeholders for analysis and decision-making through strengthened collection, processing, analysis and dissemination of information and is the foundation on which decision-making for a coordinated and effective response is based.*

## B.2 UNDAC methodology

The UNDAC methodology is based on best practices from more than 280 missions to over 100 countries since the UNDAC system's inception in 1993. It is a methodology that can be adapted to suit any given emergency situation, being flexible, adjustable and dynamic in the sense that it evolves with the various challenges an UNDAC team may face on mission and add value to the response.

Originally the UNDAC methodology grew out of a need for coordination in earthquake response, bringing together national disaster management and international humanitarian response actors. Subsequently, the UNDAC methodology evolved and took on aspects from different approaches and experiences to become a coordination interface between disaster management and humanitarian action. The methodology combines elements of disaster management, functional organizational models, political considerations and application of international humanitarian principles, standards and practices.

Lessons learned and best practices from UNDAC missions are captured, processed and fed into this knowledge-base for inclusion in future UNDAC training and methodology development.

### B.2.1 The Cornerstones

The UNDAC methodology is built upon four 'Cornerstones' which underpin the UNDAC system and provide the basis for how individual members and deployed teams approach UNDAC mission objectives.

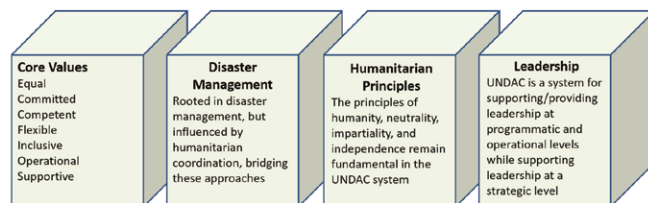


Figure B.1 The UNDAC Cornerstones

#### Core values

Core values are traits or qualities that represent an individual's or organization's highest priorities, deeply-held beliefs and fundamental driving force. Individual UNDAC members come from diverse professional backgrounds and cultures, with skills and competencies that bring value to the UNDAC team. At the heart of the UNDAC methodology lie certain core values that UNDAC members, and teams, are required to adhere to as part of their membership and while on an UNDAC mission:

- **Equal** – UNDAC members leave their egos and work-status at home. In a team, all members are equal and home positions inconsequential.
- **Committed** – UNDAC members are committed to achieve the mission objective, to contribute to a common goal, and put individual and personal agendas or needs aside.
- **Competent** – UNDAC members are experts within their fields and able to apply their expertise internationally in a variety of contexts and disaster situations. They are committed to maintain their skills and expertise, to be prepared and to keep up to date on relevant issues.
- **Flexible** – UNDAC members are flexible and adaptable. UNDAC teams adjust mission objectives to situational needs and aim to stay on top of the developments at all times.
- **Inclusive** – UNDAC members are inclusive. UNDAC teams strive to involve and integrate partners and other stakeholders in the coordination mechanism, aiming to create one whole where the output is larger than the sum of its parts.
- **Operational** – UNDAC members apply an operational focus. UNDAC teams will base decisions/recommendations on operational needs and not political considerations.
- **Supportive** – UNDAC members support each other and in-country counterparts. When on mission, UNDAC teams endeavour to find a role within an existing structure and support, coach and guide without establishing non-sustainable systems.

When on mission, UNDAC members are considered UN staff. The UNDAC core values supplement the core values of the UN, i.e., integrity, professionalism and respect for diversity, to which UNDAC members must also subscribe. The full text of the UN core values can be found in the UNDAC Mission Software.

#### Disaster management

UNDAC is an OCHA first response tool that may support and/or establish basic coordination services during the critical first phase of the response. An UNDAC team may either enhance existing or OCHA surge capacity in-country or may itself provide OCHA services, including a facilitation role with regards to humanitarian coordination.

The UNDAC system also has strong roots in disaster management and thus can add particular value at the programmatic and operational levels during the life-saving phase, when rapid decisions and concrete actions need to be taken. The UNDAC team endeavours to link all responders, including humanitarian actors, the affected Government, bilateral responders, the military, the private sector, etc., to create a coordination platform, establish basic services and provide leadership when needed.

In the immediate aftermath of many disasters, there may be a void where 'everything' needs to be created, or re-created, from scratch. Simple, tangible structures for coordination, emergency organizational models and basic services need to be established before more complex structures can evolve. The specificity of the UNDAC team and its methodology is that it provides an interface between disaster management and the international humanitarian response system, whereas humanitarian coordination structures typically do not include disaster management actors and approaches. The two terms can be defined as follows:

- Disaster management, also referred to as emergency management, can be defined as the organization and management of resources and responsibilities to address all aspects of emergencies, in particular preparedness, response and initial recovery.

This involves plans and institutional arrangements to engage and guide the efforts of government, non-government, voluntary and private agencies in comprehensive and coordinated ways to respond to the entire spectrum of emergency needs.

- Humanitarian coordination can be defined as an overarching, principled way of managing delivery of humanitarian assistance through strategic planning, policy-making and facilitation of cooperation and consensual decision-making.

In the complex first response environment, the UNDAC team will need to be the link between different systems and organizations that have differing ways of decision-making, either authoritative, like civil protection or the military, or consensus based, like the HCT or clusters. Key success factors for an UNDAC team will be to establish:

- 1) Swift trust among these actors through demonstration of competence and professionalism, openness with information, integrity and reciprocity.
- 2) Leadership, by connecting, collaborating, coordinating or commanding people, organizations and resources to enable solutions and address priorities in emergency response.

By actively linking the disaster management and humanitarian 'spheres,' the UNDAC team brings an added value not normally found in the international humanitarian response system. This provides integrated disaster response services and may fill a gap for affected governments, HCTs and OCHA.

**Humanitarian principles**

The humanitarian principles are fundamental to both the UNDAC system and most humanitarian actors (see Section A.1.1). In recent years, there has been a proliferation and diversification of response actors, some of whom may attach different interpretations to the humanitarian principles. Humanitarian responders increasingly include not only the agencies/organizations found in the IASC, but many more NGOs, businesses, individuals, networks of online volunteers and profit-oriented aid or security contractors. In addition, a growing number of countries and multilateral organizations are engaging in humanitarian relief, with different objectives and cultures, and varying levels of expertise and experience in humanitarian affairs.

As an extension of the humanitarian principles, the Core Humanitarian Standards on Quality and Accountability (CHS) have been defined. The CHS set out nine commitments that organizations and individuals involved in humanitarian response can use to improve the quality and effectiveness of the assistance they provide. By publicly acknowledging their commitments, humanitarian organizations can be held accountable to crisis-affected people and communities. The full text of the CHS can be accessed in the UMS and at the following link: <https://corehumanitarianstandard.org/files/files/Core%20Humanitarian%20Standard%20-%20English.pdf>

In the immediate aftermath of a disaster, the UNDAC team on the ground will need to ensure that coordination activities are conducted in a way that adheres to the humanitarian principles and CHS. It is important that this is also clearly communicated to technical partners, support staff and other actors working with the UNDAC team.

**Leadership**

Providing leadership and management in a multi-organizational, international environment brings about unique challenges that can be difficult to address through traditional organizational models and procedures. At national level, leadership in crisis management will normally be defined by national legislation; however, leadership at the international level

COMPLEX FIRST RESPONSE ENVIRONMENT



Figure B.2 UNDAC operational space

does not have the same foundation. Leadership procedures and organizational structures therefore require distinct measures which recognize the framework of international emergency response. (See Section A.2 for more on humanitarian response mechanisms.)

Traditional crisis management generally operates on three levels: strategic decision-making; mid-level coordination; and direct coordination of resources on-site. Strategic decisions will be made in the HCT by Cluster Leads and their partners. In certain large-scale emergencies,

LEVEL	TOOL/FORUM	ROLE
<b>Strategic</b> National Authorities RC/HC & HCT Donors	Strategic decision forum Strategic response plan Funding/appeals	→ TO ADVISE
<b>Programmatic</b> National Emergency Management Authority Inter-Cluster Coordination Military	OSOCC Standard setting Technical guidance	→ TO PROVIDE LEADERSHIP → TO ADVISE THROUGH CONSULTATION
<b>Operational</b> Local Emergency Management Authority Clusters Technical groups	Operational planning Operational support	→ TO PROVIDE LEADERSHIP → TO ADVISE THROUGH CONSULTATION

Figure B.3 Levels of leadership in humanitarian operations and UNDAC's role at each level

also referred to as Level 3 (L-3) emergencies, where timely decision-making is essential, the RC/HC may be empowered to make decisions on behalf of the HCT.

Depending on the situation and scale of the disaster, UNDAC teams can either provide or support leadership on programmatic and operational levels in emergencies. UNDAC teams generally do not provide strategic leadership but do, on occasion, provide strategic advice to governments, RC/HCs or HCTs. UNDAC, as a concept, belongs to the programmatic and operational levels with regards to leadership.

### B.3 The UNDAC system

The UNDAC system is managed by the Emergency Response Support Branch (ERSB) in OCHA Geneva. UNDAC team members are made available by member and participating countries of the UNDAC system, as well as by OCHA, UN agencies or international, regional and non-governmental organizations.

Each member or participating country and organization accepts to maintain a single UNDAC focal point for OCHA to interact with on all matters dealing with the UNDAC system. The UNDAC focal point also acts as the point of contact for UNDAC members from that country or organization.

The UNDAC Advisory Board meets annually to provide advice and orientation to OCHA on the management of the UNDAC system. It is composed of representatives from member countries and organizations and chaired by OCHA. Normally, the respective UNDAC national or organizational focal point attends the Advisory Board.

#### B.3.1 System membership

As of April 2018, membership in the UNDAC system comes from more than 80 member and participating countries and 18 UN agencies, international and regional organizations and NGOs.

Member countries are self-financing members of the UNDAC system and hold UNDAC mission accounts with OCHA through which funds are deposited to cover deployment costs of their national UNDAC members. Member countries participate in the annual UNDAC Advisory Board meetings. As of April 2018, the UNDAC system has 41 member countries.

Participating countries are sponsored members of the UNDAC system, whose participation is financially supported by contributions to OCHA and/or through special agreements with some self-financing member countries.

The member organizations of the UNDAC system (whether UN, IFRC, international/regional organizations or NGOs) are also normally self-financing members that commit to providing staff as UNDAC members for missions and training.

### B.4 Team membership

UNDAC members are experts who all have links to their sponsoring country or organization. UNDAC members from member or participating countries, often referred to as national UNDAC members, have profiles that are broadly divided between those working in disaster management at the national level and those working in international humanitarian response. UNDAC members from organizations normally have international humanitarian coordination profiles and/or experience in a specific sector of humanitarian activity. OCHA trains these individuals in the UNDAC methodology for sudden-onset response coordination.

### B.4.1 Functions

Every UNDAC team must have sufficiently broad skillsets to ensure that the fundamental roles and responsibilities outlined in Section B.1.3 can be delivered consistently during a mission. To this end, standard functions are assigned within deployed teams. On smaller missions, each UNDAC team member may be responsible for multiple functions whereas, during larger disasters, multiple members may be assigned to the same function.

It should be noted that, when an OSOCC is established, functions may be more broadly described and functional tasks assigned to specific cells under each function. See Chapter M for more details on OSOCC functions and cells. The generic functions within an UNDAC team are:

#### Team Leader

- Plan of Action, mission objectives and operational updates
- Direct link/liaison with RC/HC, HCT, Government, partners, clusters, OCHA regional office and/or headquarters
- Strategic planning/direction
- Ensure cohesion/connectivity within the team
- Sign-off on external reporting
- Focal point for security matters
- Focal point for general team matters
- Media policy approval
- Safety and security management

#### Deputy Team Leader

- Stand in for Team Leader when necessary and fulfil Team Leader's functions
- Assign/track physical locations of team members
- Liaison with operational sub-teams
- Daily management of team/mission, OSOCC management
- Safety and security planning for the team
- Manage team handover/exit strategy to subsequent teams, national authorities, OCHA, etc.
- UNDAC Mission Software workspace
- Oversee reporting and information management
- Internal communication
- Media policy implementation

#### Team Support and Logistics Management

- Coordination of internal logistics
- Logistical support to inter-agency missions
- Management of team resources and technical support staff
- Organization of accommodation, transport, local support, translators, etc.
- Establish/enforce filing system
- Finance management

## Information Management

- Management of internal information flow
- UNDAC Mission Software workspace
- Information on web-platforms, etc.
- Mapping
- Information management products (3W, contact list, etc.)

## Reporting

- Reporting, media and public information
- Media policy advice/development
- Support humanitarian financing (Flash Appeal, CERF, Financial Tracking System)

## Disaster Management and Coordination

- Advises Team Leader and works with concerned authorities and disaster management partners, including:
- Optimizing use of available resources and prioritising response activities
- Coordination of international teams
- Support to coordination of needs assessment
- Reporting and information management including with affected communities and authorities
- Input on safety and security management
- Liaison, including creating the link between civil protection and UN/international response mechanisms
- Management of UNDAC support teams
- Input to public information initiatives
- Handover to longer term OCHA team/exit strategy

## Humanitarian Response and Coordination

- Advises Team Leader and works with concerned authorities and humanitarian partners, including:
- Coordination of humanitarian actors
- Establishment of an accountable humanitarian framework, principles and standards in support of UN, Red Cross and Red Crescent Movement and NGOs providing protection and assistance activities
- Advises on humanitarian sectors and clusters and on humanitarian financing mechanisms
- Support to coordination of needs assessment
- Reporting and information management, including with affected communities and authorities
- Input on safety and security management
- Assistance in (but not overall responsibility for) drafting of funding requests
- Assistance in handover to longer term OCHA team/exit strategy

## Assessment and Analysis

- Advises Team Leader and works with concerned authorities, disaster management and humanitarian partners, including:
- Analysis of information, including situational analyses
- Providing expertise in assessment methodologies e.g., MIRA, etc.
- Developing, agreeing and applying shared assessment capacities, tools and methodologies
- Coordination of assessments
- Presentations and feedback to key decision-makers including sector/cluster leads and operational agencies
- Preparation of assessment information for public disclosure
- Ensuring accountability for the correct use and dissemination of assessment information
- Working closely with operational agencies and coordinators on follow up assessments and monitoring impact and progress of interventions within an accountable humanitarian framework

## Other operational areas for coordination, as may be determined by mission objectives

- Environmental emergencies
- USAR coordination
- Inter-cluster coordination
- Cluster expertise
- UN-CMCoord
- EMT coordination

### B.4.2 Qualifications and training

UNDAC members have diverse skillsets that enables OCHA to deploy specialized teams adapted to the context and situation. UNDAC teams demonstrate leadership capacities that are closely aligned to those required of OCHA P-4 and P-5 staff, i.e., the two highest categories of Professional-level UN staff, to improve acceptance, understanding and performance of UNDAC teams on mission. The UNDAC system also encourages leadership through close functional synergies to those required of OCHA Emergency Response Roster (ERR) personnel, especially at senior levels. An added value of the UNDAC system is the deployment of fully functioning teams as opposed to individuals. This enables an UNDAC team to cover a wide variety of functions and bridge the different demands of national disaster management and international humanitarian response, as well as draw on existing regional networks and relationships.

In addition to the concepts enshrined in the UNDAC Cornerstones (Section B.2.1), all UNDAC members are required to demonstrate knowledge of the following areas:

- **International emergency environment** – Including the stakeholders in emergency response, different types of national disaster management systems, mandates of major international humanitarian organizations and a general understanding of international law applicable to international disaster response.
- **Natural disasters** – Including consequences of different types of natural hazards, vulnerability and response capacity and operating in an emergency environment.

- **Environmental emergencies** – Defined as a sudden-onset disaster or accident resulting from natural or human-made factors (or a combination of both) that cause or threaten to cause severe environmental damage as well as loss of human lives and property. Technological disasters are one type of environmental emergency, which can be caused by man or triggered by a natural disaster.
- **Disaster management** – Including coordination and direct management of urgent actions to respond to the entire spectrum of emergency needs.
- **Humanitarian coordination** – Including humanitarian principles and standards, international humanitarian architecture and functioning, coordination structures, the Cluster Approach and the latest developments.
- **OCHA's mandate** – Including its mission statement, structure, functioning, the role of the ERC, emergency response tools and services including humanitarian financing, the UNDAC system, concept and methodology (including generic ToR) and UNDAC best practices from missions.
- **Online resources** – Including the most relevant websites, databases, country information, reference sources, exchange platforms, etc.

Following successful completion of the Induction course and mandatory safety and security training, national UNDAC members must be issued with UN contracts prior to being deployable. The contracts are issued at the discretion of OCHA Geneva and are valid for one year. A valid UNDAC contract does not guarantee deployment. For each UNDAC mission, team composition is established by OCHA ERSB based on the specific needs.

#### B.4.3 The wider UNDAC network

Trained UNDAC members who, for various reasons, are not deployable, represent a huge asset for the UNDAC system. They are considered a source of support for the UNDAC system as a whole, as well as, on occasion, specific support to UNDAC missions and activities. This global network also includes others who have become aware and supportive of UNDAC's role, services and methodology, e.g., through former membership of the UNDAC team, awareness courses or other training events or exercises, UNDAC missions, partner organizations and other response networks, etc. The wider UNDAC network is encouraged to promote understanding and acceptance of UNDAC within their own organization, country or region, as well as provide mission, training or other kinds of distance support.

#### B.5 UNDAC support

UNDAC teams deploying to an emergency must be fully operational and self-sufficient from the moment they land in the affected country. Immediately following a disaster, the team may face damaged infrastructure and communications, unsafe or destroyed buildings and a serious disruption to daily life, facilities and services. UNDAC teams may, therefore, have to bring their own telecommunications, technology, office equipment, tented accommodation and food. Mobilizing this kind of support for an UNDAC team is vital to ensuring the team can start to do its job as soon as it arrives at the disaster site.

In addition to ICT, infrastructure and logistics support, specific skills might be required to complement the UNDAC team, including Geospatial Information Services (GIS), remote sensing assessment and analysis, etc. Partners providing such services will either be fully integrated or deploy alongside the team. To ensure that UNDAC missions are sufficiently supported, OCHA has developed several partnerships with governments, regional organizations, NGOs and the private sector.

Depending on the mission requirements, OCHA Geneva will seek to mobilise and deploy support to all UNDAC missions. At a minimum, this may include ICT support to ensure data and voice communication but may be expanded to include a range of other services.

The services available through partners to augment the UNDAC mission are:

#### *Assessment and Analysis and Information Management*

- **GIS and remote sensing** – UNDAC partners provide emergency mapping services and satellite imagery analysis to help identify the impact of a sudden-onset event and contribute to the overall situation analysis. Such partners bring in expertise and knowledge in this field as well as the required software, tools and data, e.g., satellite imagery acquisition or baseline maps.
- **Assessment and Analysis (A&A)** – Humanitarian needs analysis and assessment can be strengthened both at field level and through remote support. When deploying with or alongside UNDAC, such partners will, on most occasions, be included in the OSOCC A&A Cell (see Section I.2. and M.3.2 for more on A&A methodology and set-up). Subject matter experts will support the A&A work with data collection, analysis and development of situation analyses.
- **OSOCC Information Support Staff (OISS)** – Several staff members from UNDAC's operational support partners will also have received training as OISS, whose primary role is to augment the work performed by UNDAC members and/or OSOCC cell coordinators during disasters through the provision of additional capacity related to information and internal coordination. They can support with all forms of data-processing, deliver external services, and support with other services related to internal coordination and information management within an OSOCC. OISS may also be provided as additional capacity to the clusters should there be a need.

These staff can be deployed as part of an UNDAC team working under the UNDAC Team Leader or as part of the OSOCC staffing contingent working under the OSOCC Manager. Support staff are provided through existing mechanisms with partner organizations.

#### *Infrastructure and logistics support services*

- **ICT service package** – Provides information and communication technology to support a standard first responder team, e.g., an UNDAC or equivalent emergency response team. The service includes basic communications, internet access, office services, etc., and allows the team to operate from different locations. May also complement an RDC, coordination centres or offices. The package is accompanied by 2-3 experts who arrange installation of equipment, ensure maintenance, provide user support, as well as general practical and logistical support.
- **Logistics support services** – Speedy transport in the field may be key to the success of an UNDAC mission. UNDAC partners can deploy logistics experts to support the team's activities and act as service provider, including securing transport vehicles, identifying suitable housing and office space, supplying the team with office goods and other required material. Typically, such support partners will be part of the OSOCC Support function (see Section M.3.4).
- **Coordination centre** – Provides equipment for the set-up and management of an OSOCC or other type of coordination centre, including high-speed internet access, wireless LAN, laser printer and photocopier facilities. May be housed in tents, prefabs or existing buildings, depending on the available resources on the ground. The coordination centre service is designed on a case-by-case basis and is deployed



with minimum two support staff to establish the facilities and infrastructure and provide regular maintenance.

- **Light and heavy base camp** – At short notice, UNDAC partners can deploy a light base camp to support UNDAC with a tented concept providing basic services during a short timeframe, normally 2-8 weeks. The concept may include accommodation, offices, catering services, water and sanitation facilities, communications equipment and logistics services. The light base camp may supplement a coordination centre.

Similarly, a heavier base camp can be deployed in support to the wider humanitarian community. The heavy base camp is a comprehensive quality tented concept for office and accommodation facilities, including all necessary equipment and services. The concept may include office, accommodation, meeting rooms, water and sanitation facilities, kitchen and catering service, tools and equipment, water purification and distribution, power supply and distribution, etc. The base camp provides sleeping areas with personal privacy, offices with appropriate work stations, catering service (three healthy and balanced meals per day and water). While UNDAC might be part of requesting the deployment of a heavy base camp and facilitate the camp's arrival, the management of the camp will be supported by other operational UN agencies. See Chapter R. Facilities for more information on determining camp locations.

### **Administrative support**

Administrative support for an UNDAC mission will be provided mainly through the Office of the RC/HC and will usually include arrangements for entry to the affected country, e.g., visa on arrival, airport pick-up, accommodation, in-country transport and liaison with national and local officials.

Many UNDAC missions require extensive administrative skills and knowledge of UN internal procedures. To this end, OCHA has trained several of its administrative staff on the UNDAC mission cycle and team functioning, and can deploy them as part of an UNDAC team to support with various administrative tasks, e.g., finance, hiring of national staff, cost-plans, etc.

### **B.5.1 Mobilization of support services**

Support services may be mobilized:

- Upon request of OCHA management.
- Upon request of the UNDAC Team Leader before departure and in cooperation with the mission focal point in OCHA Geneva.
- Automatically (in situations where there is an obvious need for equipment and/or staff support to an UNDAC mission, such as earthquakes or other devastating sudden-onset disasters).

Standing arrangements enable OCHA to mobilize the support services alongside the UNDAC team. The arrangements for the deployment of the support teams to the field are made on the basis of cooperation between the responding countries and OCHA.

In addition to their technical and subject matter skills, many of the staff from UNDAC partners have undertaken UNDAC support staff training which ensures that they can assist in OSOCC operations and other tasks of an UNDAC team. Support staff members will always bring their own personal kit and equipment to ensure their ability to operate.

Many UNDAC support staff also have extensive mission experience. They should be fully integrated into the team and may, in many cases, take responsibility for one or several of the functional areas of the team.

### **B.5.2 UNDAC operational partners**

Support services can be provided by one or several of the UNDAC operational partners listed below. An UNDAC operational partner has signed a Letter of Intent with OCHA that stipulates the nature of the support provided and the deployment arrangements. All UNDAC partners adhere to the UNDAC Partnership Framework document that outlines the relationship. UNDAC partners support UNDAC missions on a 'best effort' basis, meaning that they are not formally committed to deploy with UNDAC but will make their best effort to do so depending on funding, staff availability, security restrictions, etc. The type of support, the size of the support team and the duration of the mission will all be discussed at the time of the deployment request and determined by the needs of the mission.

#### ***Assessment Capacities Project (ACAPS)***

ACAPS is a non-profit project of a consortium of three NGOs (Action Contre La Faim, Save the Children and Norwegian Refugee Council) and specialises in needs assessment and analysis. ACAPS works across the humanitarian sector and regularly publishes independent analyses and thematic reports on humanitarian crises and natural disasters. ACAPS may support UNDAC missions with experts working out of an OSOCC A&A Cell or provide remote analysis support. See Section M.3.2 for more on an OSOCC A&A Cell.

#### ***Americas Support Team (AST)***

Formed in the early 2000s, the AST is staffed and maintained by members of the Fairfax County Fire and Rescue Department from the USA. It has 12 specially trained personnel who have expertise in ICT, logistics, field assessments and information management. The AST is primarily deployed to sudden-onset disasters in the Americas region to provide support to an UNDAC team, as well as to establish an RDC and OSOCC. The AST is funded by the United States Agency for International Development (USAID) during international missions.

#### ***Atlas Logistique – Humanity & Inclusion (HI)***

Atlas Logistique is the section within Humanity & Inclusion responsible for deploying logistics expertise and setting up 'logistics platforms' during emergencies. Atlas Logistique has the ability to respond rapidly worldwide and provide logistics support through the deployment of humanitarian logistics and supply chain experts in support of UNDAC missions.

Atlas Logistique staff typically provide logistics support and coordination to the UNDAC team and, when needed, to the wider humanitarian community. On UNDAC missions, Atlas Logistique engage with the relevant logistics focal point within the UNDAC team including other UNDAC partners, lead or support the Logistics Cell in the OSOCC, and liaise with the Logistics Cluster focal point in-country, if/when activated, to ensure full logistics coordination and planning early in a response.

#### ***Cascos Blancos***

The White Helmets of the Ministry of Foreign Affairs and Worship of Argentina carries out its activities by means of a volunteer corps, through a working strategy based on cooperation, solidarity and community participation. The White Helmets act at the request of an affected country or within the framework of a call for international humanitarian assistance. They work on rehabilitation, reconstruction and development tasks, and promote risk prevention and management, in Argentina and abroad. Their main support services to the UNDAC team are with ICT.

### **Deutsche Post DHL Group**

DHL provides on-site logistical support at airports to ensure successful processing and dispatch of relief supplies. In the first chaotic phase of an emergency response, airports can be overwhelmed by the high number of incoming relief flights, normal operations may be suspended and additional logistics support may be required. When requested by OCHA, DHL Disaster Response Teams, drawn from 400 trained DHL volunteers, can be operational on the ground within 72 hours of the alert.

### **European Union (EU) Civil Protection Mechanism**

The EU Civil Protection Mechanism, through its Emergency Response Coordination Centre (ERCC), can provide EU experts and teams made up of highly trained specialists with skills in areas such as coordination, data collection, disaster management, environmental expertise, structural engineering, volcanology, etc., who can be made available to the UNDAC system. Civil Protection assets from the EU voluntary pool are also on standby for humanitarian operations and can be deployed to support the response. The relationship with the Mechanism also includes joint preparedness activities such as training and exercises.

As a key partner to the UNDAC system, a number of activities are conducted between OCHA and the Mechanism to ensure an efficient collaboration between UNDAC and EU Civil Protection Teams when both are deployed to the same operational environment. See Section O.4 for more on the EU and European regional approaches.

### **Fuel Relief Fund (FRF)**

FRF is an international non-profit NGO based in the USA and the Netherlands and is the only NGO in the world dedicated to solving fuel needs in global humanitarian response. FRF sends teams of highly trained, specialised volunteers to major disasters, partnering with local communities, fuel and energy corporations, local, national and regional government administrations, to execute a coordinated disaster response. Serving as an operational support partner of OCHA and member of INSARAG, FRF identifies fuel requirements, types and sources as well as transportation to meet fuel needs.

### **The International Humanitarian Partnership (IHP)**

IHP is a voluntary multinational operational network of governmental emergency management agencies active in the field of humanitarian assistance from Norway, Sweden, Denmark, Finland, Estonia, Germany, the UK and Luxembourg. The overall aim of IHP is to enhance emergency response efforts through supporting operational actors in the field of humanitarian assistance and coordination.

The objectives of IHP are to:

- Enhance operational capacity in emergencies through deployment of specialized surge capacity (experts and equipment) to multilateral organisations.
- Improve operational efficiency and effectiveness in emergencies.
- Strengthen coordination of humanitarian assistance and facilitate information sharing as well as encourage cooperation between various actors in emergencies.
- Provide a practical demonstration of donor government cooperation and coordination.
- Enhance emergency preparedness, through capacity building, trainings and exercises.

IHP provides support modules to a large number of UNDAC missions. When deploying an UNDAC team, OCHA assesses likely support needs and alerts the Chair of the IHP, who in turn liaises with other member countries to determine who can best deliver the support

required in the time available. The providing country or countries will, unless otherwise agreed, cover the costs for deployment and operation.

### **MapAction**

MapAction is an NGO specialising in mapping services for humanitarian emergencies and regularly deploys on UNDAC missions. MapAction has a small full-time staff but most of its capacity is provided by skilled GIS volunteers trained to work in disaster response situations. MapAction also supports UNDAC training and methodology development.

### **REACH**

REACH was created in 2010 to facilitate the development of information tools and products that enhance the humanitarian community's decision-making and planning capacity. REACH specialise in collecting field data in a systematic and comprehensive way. REACH may support UNDAC missions with experts working out of an OSOCC A&A Cell. See Section M.3.2 for more on an OSOCC A&A Cell.

### **Télécoms Sans Frontières (TSF)**

Founded in 1998, TSF is a humanitarian NGO specialised in emergency telecommunications and new technologies for humanitarian response. TSF can deploy telecom specialists from its headquarters or regional bases within 24 hours to support disaster response. TSF's mandate focuses on providing access to information for those affected by humanitarian crises and installing emergency communications centres for aid agencies.

### **UNOSAT**

The United Nations Institute for Training and Research (UNITAR) Operational Satellite Applications Programme (UNOSAT) provides timely, high quality mapping services and geospatial information products using GIS and satellite imagery, offering timely and high-quality geospatial information to decision-makers, including UN Member States, international organizations and non-governmental organizations. UNOSAT develops solutions on integrating field-collected data with remote sensing imagery and GIS data through web-mapping and information-sharing mechanisms. UNOSAT's goal is to make satellite solutions and geographic information easily accessible to the UN family and experts worldwide who work at reducing the impact of crises and disasters.

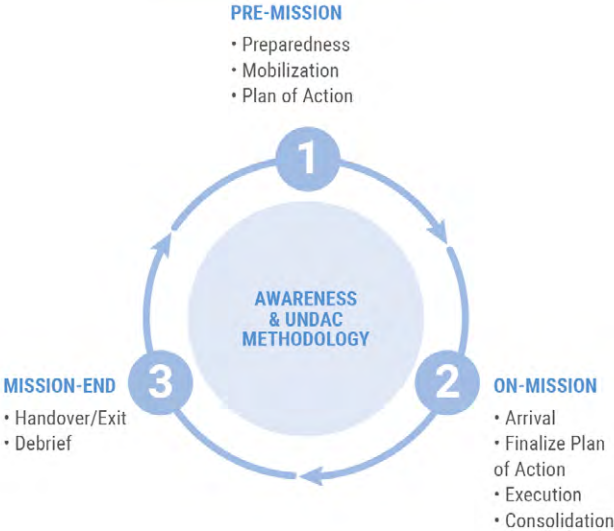
UNOSAT has a 24/7 rapid mapping service ready to support UNDAC during all phases of a humanitarian crisis with a full range of timely and reliable satellite-derived products, as well as satellite image analyses and geospatial information technologies. The service can be activated by sending a request to [emergencymapping@unosat.org](mailto:emergencymapping@unosat.org) or by calling the hotline +41 75 411 49 98. UN decision-makers, UN Member States, international organizations and NGOs can request the activation of this service. However, when there is an UNDAC deployment, UNOSAT, as an operational partner, automatically activates to remotely assist the deployed team members. See also Section J.2.1 Geospatial Information Services.



UNDAC MISSION CYCLE

An UNDAC mission normally follows a typical operational cycle, covering three interrelated phases of activity: pre-mission, on-mission and mission-end. Awareness of the mission cycle will help UNDAC members anticipate and plan operational activities in the field.

UNDAC MISSION CYCLE



This theme provides detailed information on each stage of the mission cycle, including actions to be taken by individual members, by the Team Leader and as a team.

**C) Pre-mission**

This chapter walks you through important aspects of personal preparedness measures, mobilization procedures and actions, and how to write and use a Plan of Action.

**D) On-mission**

This chapter describes actions to be taken immediately after arrival on a mission and outlines vital steps to be taken during the first day(s).

**E) Mission-end**

This chapter describes handover and exit procedures, including handover brief, team debrief and mission reporting.

C. PRE-MISSION

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**C.1 Introduction**

UNDAC members can be deployed anywhere in the world within 12-48 hours after a request is made. OCHA has well-established and practised procedures to ensure that a team can be alerted, mobilized and deployed within this timeframe. UNDAC member and participating countries need to establish internal procedures to enable UNDAC members to deploy rapidly. The same goes for individual preparedness – receipt of an UNDAC alert is not the time to start thinking of what to bring, who to call to ask for permission or to check if passport and vaccinations are in order. This chapter gives general advice on pre-mission preparedness for individuals and describes how UNDAC teams are alerted, mobilized and deployed.

**C.2 Preparedness**

UNDAC members are expected to maintain a high level of readiness. What this entails varies from individual to individual. As a rule of thumb, a personal plan or detailed checklist should be prepared for everything that needs to be addressed – from ensuring that travel documents are in order, to care arrangements for pets and plants while absent. A comprehensive plan or checklist will ensure that nothing is forgotten when in a hurry and mobilizing for mission deployment.

The following is some general advice on what could be included as preparedness measures and/or in a checklist:

- Personal arrangements, e.g., family prepared for possible sudden departure on mission, arrangements during absence, a will and personal affairs in order.
- Professional arrangements, e.g., rapid release from employment for UNDAC missions, continuation of salary and benefits while on mission.
- National UNDAC focal point arrangements, e.g., agreements, insurances, funding arrangements.
- Participation in relevant training and exercises for improved personal preparedness, e.g., various OCHA or other courses where UNDAC members are offered slots.
- Ensure validity of UNDAC contract, medical certificate and maintain updated contact and personal information on the Virtual On-Site Operations and Coordination Centre web platform (VOSOCC).
- UNDAC and personal mission kit prepared and ready.

- Payment of pending bills and cancelling/rescheduling of appointments for the expected mission period.
- Power of attorney or other legal instruments for dealing with your daily affairs.
- Life insurance, disability insurance, personal belongings insurance.
- Travel documents and money (cash, credit cards, hard currency).
- Prescription medicines, mission-specific medical requirements, e.g., malaria prophylaxis.

Being prepared is mostly about mentally changing gears and entering a different mindset – an emergency mindset. Most emergency workers, whether from a fire or health department, humanitarian organization or the armed forces, will testify to this and agree that with a well-prepared plan it is all a matter of execution. When the ‘alarm’ goes off, one switches to an emergency mindset and follows the steps prepared in advance. This helps keep a clear mind and mitigate the effects of stress that naturally go with being alerted for mission.

### Documentation

The following documents will be needed and should be easily accessible during travel:

- Passport (with at least six months' validity), preferably machine readable, and with at least two blank pages. Carry photocopies and additional passport photos (for issuance of visas on arrival if needed).
- International certificate of vaccinations, with photocopies.
- United Nations Certificate, with photocopies.
- Electronic copies of essential documents (in cloud space e.g., Dropbox, Google Drive, etc.).
- Travel itinerary and electronic ticket (from OCHA for national UNDAC members).
- Hard copy of Travel Attestation from OCHA (in lieu of visa).
- Local currency or US Dollars/Euros in cash (preferably small denominations) and international credit cards (with emergency numbers in case of loss or theft).
- Mission-specific country information, including latest situation reports, maps, contact information, etc.
- Emergency contact numbers (OCHA Geneva, in-country and personal).
- Hard or electronic copies of latest relevant reference material, e.g., Inter-Agency Standing Committee (IASC), OCHA and other key guidelines.
- This UNDAC Handbook, full version or short, aide-memoire version.

#### C.2.1 Medical preparedness

UNDAC missions may take place in areas where one is exposed to communicable diseases and other health risks. In addition, deteriorating public health conditions following a disaster may further increase the risk of contracting an illness and/or hamper treatment. UNDAC members should thus make sure their vaccinations are up-to-date and registered in an international certificate of vaccination (the World Health Organization standard is recommended) as it is highly unlikely that there will be sufficient time to arrange vaccinations before departure on mission.

The following vaccinations are recommended (and, in some parts of the world, obligatory):

- MMR (Measles-Mumps-Rubella: 2 doses are valid for life, normally given in childhood)
- Yellow fever (obligatory for some countries, i.e., no entry without a valid certificate of vaccination)
- Tetanus, in combination with diphtheria
- Poliomyelitis (obligatory for some countries, i.e., no entry without a certificate of vaccination)
- Hepatitis A
- Hepatitis B
- Typhoid
- Rabies
- Other vaccinations according to diseases endemic in the region being visited, e.g., Japanese encephalitis, meningitis ACWY

A number of websites give updated information on requirements and recommendations for each country, e.g., the Center for Disease Control and Prevention ([www.cdc.gov/travel](http://www.cdc.gov/travel)) and the World Health Organization ([www.who.int](http://www.who.int)). International SOS also has a website (<https://www.internationalsos.com/medical-and-security-services>) and application that provides relevant information.

Malaria is a serious risk on many missions and UNDAC members should establish procedures for obtaining appropriate prophylaxis, and treatment, on short notice, e.g., through an advance prescription from a doctor. Since no malaria prophylaxis can be fully effective, it is important to take preventive measures, e.g., repellents, insecticide impregnated mosquito net, appropriate protective clothing. Further information and country guidance can be found on health websites as indicated above.

UNDAC members should maintain personal health records which may be needed by health providers if they fall ill on mission. Important information should include:

- Recent dental check-up
- Records of medical illnesses and medication being used
- Blood type
- Allergies, particularly to food or medication
- Vaccinations record
- Health insurance details
- Name and contact details of your usual health care provider, e.g., personal doctor or medical specialist

This information (together with any relevant certificates, prescriptions and other health documents) should be updated and carried by UNDAC members whenever they are deployed.

Every UNDAC member should carry a medical kit to treat minor health illnesses or injuries. This should be prepared in advance and medicine expiry dates checked periodically. The contents should be clearly marked, including medication name and proper usage. A sturdy waterproof container is recommended, with compartments for different needs. Suggested contents include the following:

- Skin care
  - Sun block/sun screen
  - Lip salve
  - Moisturizer
  - Plasters in assorted shapes/sizes
  - Hydrocortisone cream against skin allergies, insect bites, etc.
  - Antiseptic cream for cuts, abrasions, etc.
  - Antiseptic wipes/soap
  - Insect repellent (at least 50% DEET or Icaridin)
- Medication
  - Fever, aches, pain, e.g., paracetamol, ibuprofen, aspirin
  - Sore throat, cough, e.g., lozenges
  - Runny nose and allergies, e.g., antihistamine
  - Abdominal upset, e.g., activated charcoal, antacids
  - Diarrhoea, e.g., lmodium
  - Oral Rehydration Salts (ORS)
  - Anti-malarial pills
  - Broad-spectrum antibiotics
  - Water purification tablets
- Others
  - Alcohol wipes
  - Bandages
  - Medical gloves

Upon receipt of an UNDAC alert, members should take the following steps:

- Evaluate their state of health. If there are any doubts about existing illnesses, injuries or mental health status, members should not make themselves available for deployment until they have been resolved and should advise OCHA accordingly.
- Check that their individual medical kit is prepared and packed, including any prescription medication or supplies that may not be available in the deployment location.
- Pack spare health articles such as glasses, contact lenses, etc., and any associated requirements.
- Include individual health documentation in their hand luggage, including vaccination certificates and personal health data.
- Check the health threats and requirements in the deployment location, update their medical kit as appropriate and commence any prophylactic treatment necessary.

Chapter S. Personal Health includes additional information related to staying healthy on mission.

### **Personal equipment**

Clothing and equipment requirements for a mission vary according to the location, climate, culture, disaster type, extent of damage and other factors. To maintain a high level of readiness, team members are expected to have a suitable variety of clothing and equipment

available to enable them to deploy anywhere in the world, without losing time needed to obtain additional equipment.

Everyone should use their own judgement in packing for a mission, but as a rule, members should pack light and pack smart – including being able to personally carry everything by themselves. New UNDAC members will receive a mission kit when they become deployable, which includes numerous items suitable for missions.

The mission kit should be supplemented with clothing and equipment according to personal preferences. Specifically, members should add food for the first 48 hours (and water for the first 24 hours) in case none is initially available. A contingency plan for obtaining food and water on location is important. Individual mission kits should also include at least two changes of clothing (appropriate for the disaster type, location/culture, climate/elevation and expected duration of the mission; quick-dry clothing is recommended as it enables you to travel light and wash your own clothes) and sturdy walking boots. It is also important to include one set of business clothing, e.g., jacket and tie for men, culturally-appropriate/conservative clothing for women, for meetings with local officials. The significance of being smartly dressed for official meetings cannot be over-emphasized as many cultures do not take seriously, or are even offended by, people who are not 'properly' dressed.

The following items are also recommended for the individual mission kit:

- Backpack or hold-all (as carry-on luggage)
- Rain gear, jacket and trousers that fold up small, and appropriate all-weather footwear
- Sleeping bag with silk or cotton liner
- Travel pillow/case
- Field mattress
- Waist pouch or money belt, for documents and money
- Hat and/or other headgear (for sun or warmth as appropriate)
- Lightweight stove and one litre bottle for fuel (empty for air transport)
- Mug, plate, cooking set and eating utensils
- Water bottle with purification filter and large opening for better cleaning
- Dry food - for the first 48/72 hours in case of lack of alternatives. Check online 'food for trekking' as examples of high energy, lightweight and compact food rations
- Toilet articles, including a towel, toothbrush/paste with a snap-on case to keep it clean, wet-wipes, deodorant, soap or all-in-one body wash - travel sized and airport-security friendly (under 100ml), liquid soap in a separate plastic bag in case of leakage during travel
- Anti-bacterial gel or liquid for hand cleaning
- Roll of toilet paper, crushed to fit in suitcase, or Kleenex tissues ('wetties')
- Earplugs and facemask, with spares
- Extra glasses and an ample supply of contact lenses, if required
- Two pairs of sunglasses
- Headlamp, torch/flashlight with spare bulb (or LED) and batteries

- Pocket knife/multi-tool, Swiss Army knife, Leatherman, etc. (not in hand luggage)
- Sewing kit (not in hand luggage)
- Ball of string
- Duct tape
- Plastic bags
- Matches and candles
- Pencil and notebook
- Laptop (See also Section Q.1.3 for advice on using personal laptops)
- Chargers for personal equipment, universal adapters for electrical appliances
- USB memory sticks
- Mobile phone with possibility for using locally bought SIM cards
- Smart phone with camera and web interface for messaging apps and other online services, preloaded with standard apps, e.g., Humanitarian ID, UNDAC Handbook, INSARAG Guidelines, KoBo Toolbox, etc. (See also Section Q.1.4 for advice on use of personal phone and locally bought SIM-cards.)
- Extra battery pack/power bank for your phone

For (travel to) warmer climates, consider:

- Mosquito net
- Mosquito repellent
- Cool boots/shoes

For cold climates, consider:

- Woollen hat
- Windproof jacket
- Fleece jacket
- Woollen sweater
- Warm boots (water-resistant)
- Woollen socks, gloves or mittens, scarf or buff-type head and neckwear, woollen or thermal underwear

The following may also be helpful:

- Compass/GPS
- Alarm clock
- Pocket-size binoculars
- Identification tags ('dog tags') with name, nationality and blood type
- Books and magazines – e-readers are good options as they take less space
- Downloaded music and movies

A personal tent for accommodation may be needed, but it should be clarified with OCHA before departure if this will be supplied by operational support partners or through other arrangements.

### C.3 Mobilization

Mobilization of an UNDAC team will commence on the occurrence, or early warning, of a sudden-onset disaster in which preliminary information indicates that an UNDAC team might be needed. Where there is sufficient warning, e.g., in cyclones, etc., the decision may be made to pre-position an UNDAC team in the country if time allows.

An alert is sent via the VOSOCC, through automated SMS messages and e-mails, to deployable UNDAC members, either globally or to regional teams as the situation requires. UNDAC national focal points may also receive these alerts if they wish. Following receipt of an alert, UNDAC members log onto the VOSOCC to receive information about the disaster and to indicate their availability for the mission.

It is important to note that when an UNDAC member notifies their availability to OCHA via the VOSOCC, OCHA has to assume that the relevant availability checks have already been done, i.e., personal and professional availability, including with the UNDAC national or organizational focal point where required.

Mobilization follows a pre-set, 3-stage routine:

- **M1** – Alert
- **M2** – Standby
- **M3a** – Dispatch

On some occasions, it may be decided to share advance information or give early warning of a possible emergency to UNDAC members, but without issuing an alert. In this case, an information message, or 'M0', may be sent through the VOSOCC. An M0 is for information only and no action is required from deployable UNDAC members, although sometimes members are asked to indicate if they would be available if there were to be a mission.

An UNDAC mobilization procedure may be interrupted at any time by the transmission of a stand-down message (M3b) or a cancel message after the M1.

OCHA Geneva has an emergency telephone number and e-mail address for use during a mobilization:

Telephone: +41 (22) 917 1600 - E-mail: undac\_alert@un.org

Note: While the telephone number above may be used to contact OCHA Geneva in any emergency, the e-mail address should only be used by UNDAC members to indicate availability/non-availability following an UNDAC alert, as it is not monitored at other times. Indications of availability/non-availability should always be made online on the VOSOCC unless unforeseen circumstances prevent this.

#### ALERT (M1)

- 1) When a major disaster occurs, or is anticipated, OCHA opens a discussion topic on the VOSOCC and alerts an UNDAC team if required.
- 2) An automated SMS and e-mail is sent to individual UNDAC members and national UNDAC focal points informing them of the alert (M1) and asking UNDAC members to indicate their availability.
- 3) UNDAC members confirm their mission availability, if required after checking with their UNDAC national or operational focal point, and reply online through the VOSOCC, indicating their availability, contact details, closest airport and earliest time available to depart.

- 4) In some rare cases, an M1 can be cancelled due to unforeseen circumstances. In these cases, an 'UNDAC team cancel message' will be sent out.

### STANDBY (M2)

- 1) OCHA selects an UNDAC team from amongst the available UNDAC members according to the type of disaster, relevant skillsets, language skills, etc.
- 2) Through the VOSOCC, OCHA sends an automated SMS and e-mail standby message (M2) to individual UNDAC members and national UNDAC focal points, indicating members selected to be on standby.
- 3) Selected members confirm receipt of the M2 standby message directly to OCHA and complete, sign and return the M2 reply form (acknowledging and consenting to their deployment) and the Insurance Proposal Form. They then prepare for departure.

### DISPATCH (M3A)

- 1) OCHA takes the decisions on final team composition and dispatch.
- 2) The dispatch message (M3a) is sent by OCHA through the VOSOCC to the selected UNDAC team members by automated SMS and e-mail.
- 3) OCHA makes travel arrangements for the team members and makes preparations for their arrival in-country (visas on arrival, airport pickup, hotel arrangements). Electronic tickets are sent to the selected UNDAC members by e-mail, together with a Travel Attestation (in lieu of visa) to be printed and hand-carried during the voyage. Team communication is set up through e-mail, WhatsApp groups and the UNDAC Mission Software (UMS).
- 4) OCHA Geneva arranges insurance that covers the following services:
  - Emergency Number 24/7
  - Assistance and medical evacuation
  - Contingency planning
  - Claim settlements, e.g., doctors, hospitalization, medicines, etc.

Further details on coverage and procedures can be found in the UMS.

Note: All other necessary insurance is the responsibility of the selected member or his/her sponsoring government/organization.

- 5) OCHA Geneva completes travel authorization requests with the United Nations Department of Safety and Security (UNDSS) for all selected members, which should preferably be received by members before departure.
- 6) Selected members depart on mission.

As soon as the team composition is known, final individual preparations should be made and, led by the designated Team Leader, the team should start the following:

- Determine mission objectives, Terms of Reference (ToR) and likely functions.
- Identify United Nations, OCHA and UNDAC network members in the country/region.
- Confirm travel arrangements, flights, visa requirements, Daily Subsistence Allowance (DSA), attestation, etc.
- Register contact information on Humanitarian ID. See also Chapter H.1.

- If not initiated by OCHA Geneva, establish group-chat, including OCHA Geneva focal point, using a messaging app, e.g., WhatsApp, Skype, Slack, or similar, and hold first, virtual team meeting.
- Start the team-building process by reaching out to all members and discuss individual skills, strengths and weaknesses.
- Research country-specific information, political and socio-economic situation, climatic conditions, medical requirements, security situation, lessons learned from previous responses, etc. Upload to VOSOCC as appropriate.
- Consult secondary information sources, e.g., international/national, media, social media, humanitarian websites, etc. Follow national Civil Protection Twitter account if applicable.
- Obtain disaster-specific information, such as consequences, likely living conditions, personal luggage requirements, equipment needed and other requirements.
- Login and download the UMS updates and specific mission folder, access the mission e-mail. See also Chapter C.3.1.

### Cultural sensitivity

Cultural, political, social and religious considerations may influence how the team approaches its mission objectives and must be taken into consideration by individual team members to ensure adaptation to local customs and avoid offending or alienating local counterparts, for example:

- Headscarves for women might be considered mandatory.
- Short sleeves and shorts are rarely accepted as business attire.
- Consumption of certain foodstuffs or alcohol may be prohibited.
- Local meeting management, hierarchies, and customs should be respected and can mean success or failure of a mission.

Team members should research cultural information prior to deployment, e.g., travel advice from their home country's Foreign Office, etc., and seek a briefing on customs and traditions of the country on arrival. Local staff and drivers are often an excellent source in this regard.

### Travel documents

Deploying team members will normally be issued with an electronic ticket by OCHA for their international travel and a United Nations Travel Attestation in lieu of a visa. These are e-mailed to the team member and should be printed off and hand-carried during the voyage. As a minimum, an electronic copy should be kept on a smartphone or tablet. Travellers should go to the airport as early as possible to have time to handle any problems with departure arrangements. Some airlines are unfamiliar with the United Nations Travel Attestation and may require explanation that the team member is travelling on a United Nations emergency relief mission and that a visa, if needed, will be issued on arrival in the affected country.

### Money

On UNDAC missions, the United Nations Daily Subsistence Allowance (DSA) is used to cover personal expenditures for UNDAC team members and will be made available either through a direct transfer to the team member's bank account, or through the local UNDP office in local currency. Those members who do not want DSA transferred to their bank account

and would rather retrieve it through the local UNDP office should notify OCHA of this before deployment.

Team members should be aware that it may take some days before they receive their DSA, especially in a disaster situation. They should, therefore, carry cash (in small denominations), to a limit acceptable for security reasons (determined by the traveller), in a currency accepted in the affected country (usually US Dollars, Euros or other major international currencies).

### **Luggage**

As the journey to the affected country may involve several flight changes, members should pack their personal equipment in a way that they can carry on-board the most vital items to allow them to function immediately upon arrival. It is recommended that the normal entitlements for hand luggage are used to the maximum. Remember to allow ample time for security checks at transit points and respect the latest international air travel regulations regarding forbidden objects in hand luggage.

In cases where team members may have onward internal flights to reach the disaster site(s), luggage allowances may be considerably less than those accepted on international commercial flights. This should be considered, both in terms of packing and in choice of luggage. In principle, OCHA Geneva will book your ticket allowing two pieces of luggage which will make a reorganization possible without having to leave equipment lying around in a hotel or similar when preparing for an onward internal flight with restricted weight.

### **En route**

When travelling, it is important that the team members take the opportunity to get as much rest as possible as they will be expected to take up work immediately upon arrival in the affected country. Should anything unforeseen occur during the journey, such as missing a flight connection, OCHA should be informed immediately.

### **C.3.1 UNDAC Mission Software (UMS)**

As a team, UNDAC members need to establish communication and information management protocols from the outset of the mission. The UNDAC Mission Software (UMS) supports UNDAC teams allowing them to collaborate remotely, produce, share and archive documents using one single space, synchronizing in a local area network or over the internet. It also provides access to key standard guidance and templates to be used on mission (called the UNDAC Toolbox) and can be used when offline.

The UMS user manual is available at:

<http://portal.undac.org/pssuportal/portalrest/filessharing/download/public/wwwfVZ0w5ry8RqBq>

A video tutorial is also available at:

[https://www.youtube.com/watch?v=P5o\\_Fofgd7k](https://www.youtube.com/watch?v=P5o_Fofgd7k)

Through the UMS, one UNDAC e-mail account for the team will be set up for each mission. The address will be: name of the mission @undac.org and username and password will be provided to the UNDAC Team Leader. The e-mail inbox will be available at the following address: <https://mail.undac.org>

More addresses can be created, e.g., for specific functional areas or On-Site Operations Coordination Centre (OSOCC) cells if needed.

### **C.3.2 Plan of Action (PoA)**

Development of a mission PoA is the responsibility of the Team Leader and should begin as soon as the team composition is known. Each member of the team is expected to participate in the planning process, which is generally initiated by OCHA and the Team Leader, and a virtual team meeting through Skype or similar should be arranged as soon as possible. Together with OCHA, the Team Leader engages with the OCHA country/regional office, OCHA headquarters and the Resident Coordinator/Humanitarian Coordinator (RC/HC) to coordinate development of the PoA.

When drafting the PoA, consider the following:

- Team composition, contacts, capabilities, possible roles and responsibilities, on-site support and the deployment plan.
- Clear and concise mission objective(s).
- Initial activities upon arrival, e.g., meeting with the RC/HC, OCHA, national authorities, Designated Official (DO) for safety and security, airport authorities, etc.
- Information management strategy, including reporting requirements and agreed information products with deadlines. See Chapter I.2 for more details on information strategy development.
- Internal and external communication plan.

Overall, the PoA establishes the foundation of the mission and gives direction for further planning. It can be created virtually, as speed of deployment rarely allows the team to meet before arrival in-country. Developing the PoA engages the team members in 'mission mode.' It allows them to brainstorm ideas, anticipate challenges and opportunities, and plan the approach. More importantly, it allows each team member to be clear on initial tasks upon arrival.

While much may be unknown when initial planning commences, a review of secondary data sources can provide important information about the developing situation. Together with baseline and pre-crisis information, in-crisis secondary data is often the only source of information in disaster situations when communication lines may be disrupted and information is scarce, fragmented and inconsistent. In some cases, a formal Situational Analysis will be published to summarize this information ahead of UNDAC's arrival (see Section J.2). This can be done from a remote location with summaries being provided by specialists from OCHA or other partners. Other important sources of information for the PoA are the UNDAC Standard Terms of Reference (ToR) (see Section B.1.4) or any preliminary Terms of Reference that have been determined already for the mission (and circulated with the M2).

### **Contents**

The PoA should be kept short, simple and to the point, perhaps in bullet points, avoiding too much detailed information that will change as the situation develops. The following content should be included:

- **Situation** – Should include a summary of known information on the disaster event, damage, national response, international response and projected developments in the emergency situation, including secondary risks.

- **Mission Objectives** – Should reflect the UNDAC ToR and be based on the directions of the ERC, the RC/HC, the Government, the emergency situation and in-country support requirements. The mission objectives should indicate the main focus of the mission, e.g., assessment support, information management, coordination, cluster coordination support, establishment of an OSOCC, liaison, field coordination, and the expected base(s) of the mission, e.g., in the capital with field trips or at the emergency site with liaison in the capital. It is very important that the mission objectives are SMART:
  - *Specific* – Simply written and clearly define what is going to be done.
  - *Measurable* – Can provide tangible evidence that objectives have been accomplished. While the overall mission objective(s) will be a measure for the mission, there are usually several short-term or smaller measurements which will need to be built in.
  - *Achievable* – Challenging and appropriate to the situation, but sufficiently well-defined that they can be achieved. The team must possess the appropriate knowledge, skills and abilities needed to achieve the objectives.
  - *Realistic* – A goal toward which the team is able to work, taking account of all the relevant factors and constraints.
  - *Time-bound* – Linked to a timeframe by which they should be reached.
- **Organization** – Should include the organization of the team in functional areas depending on the mission objectives, as well as the assignment of individual responsibilities amongst the team members. A basic team structure should include not only the UNDAC team and support personnel, but also any other OCHA surge deployments, and should cover functions such as leadership and management (Team Leader and Deputy Team Leader), information management (assessment, analysis and reporting), operations (facilitation of coordination, liaison with disaster responders, cluster coordinators, etc.), logistics (transport, board and lodging) and support (administration and telecommunications). Team organization should also include the locations of team members (field and/or capital) and the base.
- **Programme of work** – Should include a short description of the activities planned within the functional areas in order to achieve the mission objectives and the relation between these activities and the timeframe for their execution. It is important to define activities directly related to the mission objectives and to keep these activities updated.
- **Handover and exit** – Should include an estimate of what mission activities should continue after the team's departure, to whom they should be handed over, and what activities should be terminated. Although imprecise in the early stages of the mission, it is important to include this point for further development as the mission evolves. Remember that missions are usually short and closing the loop should be considered from the very beginning.
- **In-country counterparts** – Should include the RC/HC, under whose authority the team will work, as well as other important counterparts, e.g., Humanitarian Country Team (HCT) and other coordination mechanisms, national authorities including the national and local disaster management authorities, etc.

- **Logistics and resources** – Should include information on team logistical arrangements in place or required, such as accommodation and transport, as well as team resources such as telecommunications equipment and mission support resources, e.g., office equipment and mission finances.
- **Mission support** – Should include information on measures in place to backstop and provide remote support to the mission from OCHA regional office, OCHA headquarters, as well as information on various support /resources from other operational partners (see Section B.5.2).
- **Information management strategy** – Should include procedures for communication between the team and the OCHA regional office, OCHA headquarters, field locations and the RC/HC. The first report to OCHA should always be sent as early as possible after arrival in the affected country. Thereafter, the team should send regular situation reports/updates as applicable. This section of the PoA should clarify the flow of information both internally within the team and what will be required with counterparts, i.e., when to report, in what format and to whom. It will be important in each mission to also determine how the team should contribute to the RC/HC office's situation reports at the country level and/or OCHA situation reports (from the regional office or globally). Section H.2 contains detailed information on development of an information management strategy and Section J.1.1 on standard UNDAC reporting.
- **Safety and security** – Should include information on safety and security concerns in the affected country and at the disaster site, including instructions for team movements, e.g., a buddy system, reporting and identification. A separate template for safety and security planning is included in the UMS. Chapter G. contains detailed information on mission security.
- **Media strategy** – Should include a communication strategy for international and national media, in consultation with the RC/HC, OCHA regional office and, in a large emergency, OCHA headquarters. The plans should include key messages agreed upon and updated daily. The team should nominate a spokesperson for the international media (normally the Team Leader) and the agreed key messages should be shared with all team members on a daily basis. In emergencies with a high international media presence, deployment of trained OCHA media officers should be pursued. There may be a need to nominate a different spokesperson for the national media if the Team Leader is not fluent in the local language. Chapter K. contains further information on the development of a media strategy.

If the UNDAC team is part of a wider OCHA response, the team's internal organization, functions, leadership and reporting lines will need to be defined, agreed and well understood to ensure a coherent 'one OCHA' response. This is of vital importance as it may otherwise lead to duplication of efforts, gaps in services, lack of leadership support to the RC/HC and HCT and the loss of credibility of OCHA within the humanitarian system.

### ***The PoA as a management tool***

Remember that the PoA is a living document that should be adjusted during the mission as the situation evolves. Keeping it dynamic, however, might be challenging as it is all too easy to create a written plan that remains on paper and is never turned into reality. A PoA should be a management tool and used for guidance. A very rigid, detailed plan may be just as bad as an overly superficial one. The former may be too detailed and become obsolete before



it is off the printer, while the latter may be too shallow to accurately reflect the situation and define what needs to be done. The challenge lies in finding the balance and creating a plan that provides enough of a framework to guide and structure the programme of work, especially in the first week, but flexible enough to adapt to (rapid) changes as they occur.

To ensure that the PoA remains dynamic and is used as a management tool, it may be useful to explore various display options and to define benchmarks to measure progress. This can be done in electronic format, using a different software, or by large sheets of paper displayed on a wall. Below is an example of a simple structure where mission objectives have been redefined as benchmarks on a timeline.

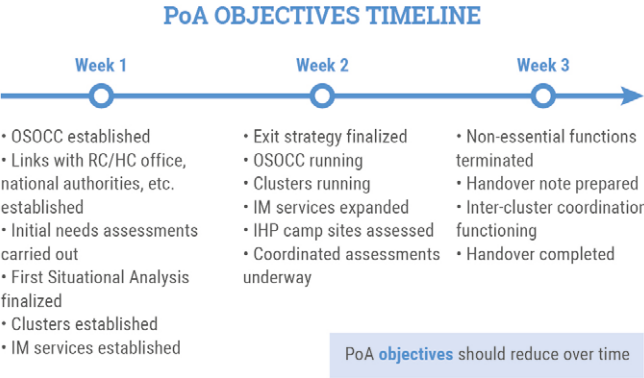


Figure C.1 Example mission objectives timeline

Tasks to be completed could be broken down in defined activities, either for the team, or for each functional area or individual team member. If feasible, the team should carry out an operations review each day and reflect any changes in the immediate work planned for that day and the next couple of days.

**D. ON-MISSION**

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**D.1 Introduction**

The first 24 hours after arrival of the UNDAC team in-country are crucial to establishing credibility and subsequent functioning. Therefore, actions to be taken within the first 24 hours must be considered and prepared as carefully as possible. This is especially true for the initial meetings of the UNDAC team or UNDAC Team Leader with the RC/HC, HCT and/or the Government.

The following is a list of activities typically related to the on-mission phase of an UNDAC mission. Not all the activities listed here are applicable all the time, and there may be additional activities that are not listed. The list is primarily meant to be a guide for UNDAC members' discretionary use.

**Arrival**

- Complete entry formalities, e.g., immigration, customs clearance, etc.
- Secure local transport and logistics.
- Initiate meetings with in-country counterparts, e.g., RC/HC, national authorities, OCHA regionally/nationally, United Nations agencies, regional organizations, non-governmental organizations (NGOs) and other stakeholders.
- Obtain security situation/briefing and, if required, finalise team specific safety and security plan. See also Chapter G. for more information on UN Safety and Security.
- Identify key issues, dispel pre-conceived ideas and clarify mission objectives.

**Finalise PoA**

- Confirm mission objectives and finalise ToR in agreement with RC/HC, HCT, national authorities and/or OCHA regional/national/headquarters.
- Finalise PoA in a format that can be used as a management tool. See also Section C.2.3 for PoA contents and visualisation.
- Determine additional needs/constraints and identify required resources.
- Set out the roles of members working from other locations, if deployed.
- Identify additional required staffing from UNDAC, OCHA or operational support partners, whether remotely or as part of the team and request when needed through OCHA Geneva.
- Consider a handover and exit strategy.

**First actions**

- Update OCHA Geneva at the end of the day by e-mail or phone following the UNDAC Daily Update template in the UMS.



- Draft an initial UNDAC Report and share it with OCHA Geneva, RC/HC, OCHA country or regional office, and others as applicable. Please note that the team will not issue an OCHA Situation Report but the UNDAC Report will be included in it. See also Section J.1.1 for Standard UNDAC products.
- Post on the VOSOCC some updates on the situation.
- Establish a contact list and share it on the VOSOCC.
- Share security numbers with all team members.
- Share your location on the VOSOCC, e.g., hotel, OSOCC, UNDAC office, etc.
- Seek to procure local SIM cards. See also Section Q.1.4 for personal mobile phone advice.

### Execution

- Support the RC/HC, HCT, national authorities and/or OCHA at the regional/national/headquarters level(s).
- Establish and/or support coordination structures, e.g., OSOCC, inter-cluster coordination mechanisms.
- Provide or support leadership at programmatic and/or operational levels as required.
- Facilitate and/or support assessment and information management processes.
- Support other stakeholders with coordination of response if needed, e.g., United Nations agencies, individual clusters, Civil-Military Coordination (CMCoord) structures, NGOs, field locations, etc.

### Consolidation

- Analyse the situation, re-visit mission objectives and adapt the PoA if necessary.
- Establish new objectives and adjust roles and responsibilities as needed.
- Analyse workload and adjust or request additional resources if needed.
- Establish new team routines, e.g., meetings/briefings, reporting deadlines.
- Specify handover and exit strategy.

## D.2 Arrival

Immediately upon arrival, the team should complete the necessary immigration and customs procedures. In some countries, some equipment, such as satellite telecommunications, may have to be declared. Documentation to facilitate entry is normally given by OCHA to the UNDAC Team Leader or support staff carrying the equipment. The RC/HC's office or the OCHA country office, if present, is always informed of the team's arrival and should normally have made all necessary arrangements, including visas on arrival (where necessary), equipment entry, airport pick-up and, if possible, hotel reservations. Each team member should carry contact details for the RC/HC's office in-country and other key contacts in case of problems on arrival.

### Building trust

Mission experiences show that there are three main factors that are critical to mission success: The above three main factors allow the team to establish swift trust with and among key partners with whom they are collaborating and coordinating. If it appears that a specific skillset is missing from the team to undertake certain activities to achieve the mission objectives, action should be taken immediately through discussion with OCHA Geneva.

UNDAC teams have a good reputation, but this does not mean that the necessary trust and network-building essential for mission success takes place without a conscious effort. One needs to start from scratch every time and build trust with partners step by step.



- Defining the mission: it is critical there is early agreement on a realistic and achievable TOR of the team in the collaboration with and support to the government, the RC/HC and HCT and OCHA. This is a major success factor as it will lead to trust with the government and key stakeholders.
- A strong team with the right mix of leadership, expertise and relevant, preferably local, experience and skills, including language, and team size.
- Having associated expertise (e.g., mapping or environmental expertise) and ability to establish or connect networks (e.g., USAR, EMT, EUCP, ICC) that allow the team to take a central role in information management and driving analysis and therefore coordination and decision-making.

Figure D.1 Key success factors in building trust

### Establish contact

One of the first actions the team should undertake on arrival in the capital is to meet with the RC/HC and the HCT, as well as with the national authorities. In some cases, OCHA may have representation in the country or surge staff from the OCHA regional office may already be there. In such cases, the UNDAC team should link up with OCHA staff immediately and decide together on the next course of action. If the team arrives at a point other than the capital, where there is no representation of the RC/HC or OCHA, they should proceed immediately with establishing a team base of operations and get in touch with the national/local authorities.

### ***Establish team base***

In the capital, the team base of operations should normally be established either in the main UN office, close to the RC/HC, with the OCHA office, or with the National Disaster Management Authority (NDMA). If this proves impractical, in consultation with the RC/HC and OCHA, the team may have to establish a base at another location. This could be at a hotel, in another UN agency office or at the office of a national authority. If the team arrives directly at an emergency site where the RC/HC or OCHA is not represented, the team should proceed to identify a base from which it can operate, preferably as close as possible to the national authorities in charge of the emergency.

For best use of time, the team may split up at this point, executing different tasks according to the initial PoA. One member may establish a team base with support personnel and set up telecommunications and office equipment, while another handles administration and logistics. In the meantime, the Team Leader, and possibly other team members, can proceed to meetings with the RC/HC, HCT and/or national authorities.

### ***Mission expenditures***

OCHA will normally authorize the RC/HC to incur UNDAC mission expenditure up to a given limit on behalf of OCHA for the cost of the team's in-country travel (including rental of vehicles if required), hiring of local staff (drivers and interpreters as required), as well as rental of office space and equipment if necessary. The UNDAC Team Leader will be informed of the amount in each case and authorized to collect funds and/or incur such expenditure through the UNDP office in-country where applicable.

#### **D.2.1 Initial meeting with the RC/HC, the HCT, and the national authorities**

The initial meeting with the RC/HC, HCT, or national authorities, is extremely important, as this enables the team to clarify its role, objectives, usefulness and credibility in order to establish an immediate relationship and get a better understanding of the current situation. It is important to bear in mind that many in-country counterparts may themselves be affected by the disaster and feel overwhelmed by the challenges they are facing. The team should project professionalism and awareness of local capacities, arrangements and challenges, as well as being humble and modest. At the same time, the UNDAC team is an external resource and may be viewed as coming to 'take over.' It is thus important to show empathy, emphasize solidarity and offer the team's professional skills and experience to support partners in managing the disaster. A well-prepared introduction of the UNDAC team is an indication of professionalism and should be carefully thought through as part of the initial PoA. The following should be addressed:

- Decide who is to speak on behalf of the team (normally the Team Leader) and who will attend.
- Decide who will answer specialized questions, based on specialities of UNDAC team members.
- Prepare an outline of the introduction – short, relevant and to the point (see below).
- Visualize the brief if possible (but remember that time will be limited), or prepare handouts on the UNDAC system, and have business cards or a contact list ready to hand over (generic templates can be found in the UMS).
- Make the effort to find out what the coordination structures are, who the members of the HCT are and what organizations they represent. Similarly do this for national coordination bodies when briefing with the national authorities.

- Ask questions about the context and the latest situation (it may have changed while you have been travelling). What are current priorities, as well as challenges and constraints.
- Ask their views and opinions about the response and likely evolution of the situation. Inquire about experience and lessons learned from previous (similar) emergencies and responses in the country.
- At the end of the meeting, agree on mission objectives, reporting lines, sign-off procedures, and finalise the mission ToR.

See also Section L.2.2 for more detailed guidance on meeting management.

### ***Aspects to be covered during the briefing***

The following should be covered when introducing the team:

- A short introduction to the UNDAC concept, i.e., OCHA's rapid response tool, including reference to most relevant UNDAC missions, major recent emergencies, similar emergencies, other UNDAC missions in that country.
- A short presentation of each member's experience and capacity of deployed support partners (this could be a handout).
- The value-added tasks that the UNDAC team could undertake in support of the HCT, Government, and partners, including:
  - Coordinating initial needs assessments and analysis.
  - Supporting information management.
  - Establishing coordination links between all international responders, including NGOs, donors, foreign military assets, private sector, bilateral response teams, etc.
  - Establishing functional relationships with national and local emergency management authorities and ensure interface with international response, e.g., through OSOCC/liaison officers, etc.
  - Supporting inter-cluster coordination and establishment or reinforcement of humanitarian coordination structures, including at the disaster site.
- A short introduction to the OSOCC concept if this is relevant to the disaster.
- A short outline of the initial PoA, including linkages with wider OCHA response and how a close working relationship with national authorities will be established.
- An overview of other OCHA services that may be called upon, including secondary/ environmental impact assessment.

### ***Dos and don'ts while meeting with the RC/HC, HCT and/or national authorities***

Do:

- Dress professionally, e.g., jacket and tie or equivalent for at least the first meeting.
- Show respect and empathy, and express solidarity.
- Emphasize the fact that the team is there to help them by enhancing existing in-country capacity to deal with the emergency.
- Emphasize that the UNDAC team is a specialist emergency management tool sent by the ERC and OCHA to assist.
- Underline that OCHA and the UNDAC team are not itself involved in running relief programmes but are facilitating situation analysis, coordination and solutions that allow resources to be mobilized for an effective response, targeting the needs of affected people at the right time at the right place.

- State that in line with the above, the team can raise awareness of the situation and needs at the international level.
- Emphasize that the team is self-sufficient and will not divert resources from HCT members or national authorities.
- Ask questions about the situation, affected areas and in-country context, national and international response so far, priorities, capacity, gaps, challenges, constraints, the likely evolution of the situation, etc.

#### Don't:

- Have more than one team member talk simultaneously.
- Waste time – everyone will be busy and stressed.
- Show signs of impatience, irritation or distraction, e.g., use of mobile phones.
- Make commitments on behalf of OCHA or, if briefing national authorities, on behalf of the RC/HC unless discussed and agreed in advance.
- Make any financial commitments.

This meeting is also an opportunity to identify key contacts in both the capital and the affected areas. This may include identifying:

- Members of the HCT, i.e., cluster leads.
- Cluster coordinators, if an inter-cluster coordination forum exists.
- Key staff from national authorities in charge of the emergency response.
- Key staff from national authorities in charge of international relief, if not the same as above.
- Key diplomatic missions representing countries most likely to respond to the emergency.
- International humanitarian organizations, including NGOs, represented in the country.
- National humanitarian organizations.
- UN agencies represented at the site.
- Local authorities in charge of the emergency response.
- International organizations responding to the emergency.
- National relief organizations present in the affected areas.

#### **Security briefing**

UNDAC members on mission are UN staff and subject to UN regulations for safety and security.

The UN person in overall charge of security issues in a country is called the Designated Official (DO) and is usually the United Nations Resident Coordinator (RC) in that country. Prior to deployment, OCHA will have applied to the United Nations Department of Safety and Security (UNDSS) for travel authorization for each UNDAC team member for the mission and will have requested special authorization for the team to use military aircraft or vessels in-country. Except in special circumstances, the DO is then granted authority to decide if the team may do so and should be consulted in this regard. You must not use military aircraft or vessels unless you have received specific security clearance from the DO.

All team members must receive a security briefing from UNDSS officials in-country as soon as possible after arrival. If this is not initiated by the RC/HC as DO, the team should ask for one.

The United Nations Security Risk Management (SRM) model is a managerial tool for the analysis of safety and security threats that may affect its personnel, assets and operations. Within the SRM, a Security Risk Assessment (SRA) will have been conducted pertaining to the country and/or location the UNDAC team deploys to. All security decisions, security planning and implementation of measures to manage security risks must be based on the SRA. The UNDAC team should make sure to take account of this in their plans. Mission requirements will have to be balanced with security measures, e.g., authorization for use of military aircraft, in-country travel security clearance, curfews, escorts, use of radios and specialized security equipment. Any potential conflict between mission requirements and security measures needs to be identified and addressed at the earliest stage. In some circumstances, an UNDAC-trained security officer from UNDSS may be part of the UNDAC team. Chapter G. Safety and Security contains detailed information on safety and security procedures.

#### **Finalise PoA**

Following the first contact with the RC/HC, security briefing and other key meetings, the team should affirm or, alternatively, adjust its mission objectives in light of the information received and the options open to the team. The PoA should be finalised on this basis and the team should commence its activities without further delay.

#### **D.3 Execution**

The diversity of disaster situations and contexts makes it very difficult to provide a blueprint of exactly how to execute mission activities. While specific activities related to coordination, assessment and analysis, and information management methodologies can be found in the respective chapters of this Handbook, each mission develops its own identity and moves according to its own dynamics.

The situation will constantly be changing and priorities may be different from day to day. In such situations, it is important to not lose sight of the overall mission objectives defined in the PoA. Together with the Cornerstones of the UNDAC methodology (see Section B.2.1), they should provide direction and serve as a guiding beacon for the mission.

Thus, make a habit of visiting the PoA on a regular basis, do an operational review, and adjust the daily work programme accordingly. Consider:

- New developments in the situation that influence the objectives of the mission.
- Any changes to team organization, including OCHA surge deployments, gaps in team expertise and possible need for reinforcement.
- Coordination needs and how the team could best support them.
- Information gaps identified through situational analysis and key places/areas for field visits.
- Update on communications and safety and security.
- Latest official statistics on the disaster and key messages for any encounters with the media and others.

#### **Sexual harassment, sexual exploitation and abuse**

Within the United Nations there is zero tolerance for sexual harassment, sexual exploitation and abuse in any form.

- **Sexual harassment** – Any unwelcome sexual advance, request for sexual favour, verbal or physical conduct or gesture of a sexual nature, or any other behaviour of a

E. MISSION END

sexual nature that might reasonably be expected or be perceived to cause offence or humiliation to another.

- **Sexual exploitation** – Any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another.
- **Sexual abuse** – Actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.

The difference between sexual harassment and sexual exploitation and abuse is that sexual harassment occurs when power differentials between staff members are abused. Sexual exploitation and abuse occurs against a beneficiary or member of the community.

All colleagues and partners with whom UNDAC works are expected to behave in a professional manner. As such, the following guidance is to be followed:

- At all times, treat the local population with respect and dignity.
- Sexual harassment, sexual exploitation and abuse is unacceptable behaviour and prohibited conduct for all United Nations and affiliated personnel.
- Sexual harassment, sexual exploitation and abuse threatens the lives of the people we aim to serve and protect.
- Sexual harassment, sexual exploitation and abuse undermines discipline and damages the reputation of the United Nations.

If any UNDAC member has knowledge of sexual harassment, exploitation and/or abuse, it must be reported to the RC/HC, UNDAC Team Leader or mission focal point in OCHA Geneva.

D.3.1 Consolidation

Around halfway into the mission, or sooner depending on the situation, it is important to revisit the mission objectives to see if they need to be adapted. The situation, as originally perceived, may have changed as more information becomes available and is analysed. More resources may have become available, and there may be a need to establish new objectives and make changes to roles and responsibilities. Any changes to the overall mission objectives should be made in consultation with the RC/HC, the OCHA regional office and OCHA headquarters. Before revising the PoA, it is important to ask the questions:

- Are we on the right track?
- Are the right people doing the right jobs?
- Is there a need for additional resources, human or material?
- Is the workload evenly distributed, or is there a need to rotate?
- Should the mission period be prolonged, and should additional team members be mobilized?

The answers to these questions should lead to a revised PoA, including any changes to team organization and areas of responsibility.

At this stage in the mission, it is important to finalize the handover and exit strategy to ensure that systems are in place to avoid a breakdown of the structures the team has set up once the mission ends. It is important to avoid dependency on the team's services and structures and to seek solutions that are sustainable after the team leaves. When establishing a structure or providing a service, it should be thought through from the beginning whether this is something that partners on the ground could sustain six months into the future. It may be easy to build something, but it may not be sustainable without the resources from the team.

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E.1 Introduction

The decision to terminate the UNDAC team's mission is taken by OCHA headquarters in consultation with the RC/HC, the OCHA regional office and the UNDAC Team Leader. After the decision is taken, the team should brief the RC/HC, the HCT and, when appropriate, the national authorities.

Handover/Exit

- Define what services should be handed over and which should be terminated.
- Coach counterparts that will take over structures and bring them onwards.
- Conduct final reporting/debrief to in-country strategic partners, i.e., RC/HC, HCT, national authorities.
- Confirm administrative procedures and logistics of departure in cooperation with OCHA Geneva.
- Where applicable, support OCHA Geneva in arranging an external evaluation of the mission.

Debrief

- Hold an internal debriefing with the team, including analysis of the overall mission, SWOT analysis (strengths, weaknesses, opportunities and threats), mission closure and the psychological impact (professional follow-up if necessary).
- Debrief externally with the OCHA Geneva focal point, OCHA regional office, remote support and other involved parties, with a focus on mission specifics and lessons identified (complete a debrief form).
- Capture good practices in writing for later methodology updates.
- Conduct performance evaluations (individual and team).
- Write mission reports, i.e., a full mission report and donor summary.
- Reconcile mission expenditures, as applicable, e.g., petty cash reconciliation.
- Submit individual Expense Report (see also Section E.2.3).

E.2 Handover and exit

It must be clarified at the earliest possible moment whether the operation/disaster is of a magnitude that requires an enhanced or new OCHA presence in the country or if partners on the ground, whether national or international, can take over functions established by the team. As soon as it starts to become clear which direction the operation is taking (scale, timeframe, secondary impact, scenario development, national and international response,

etc.), the team's handover/exit can be planned in more detail. Typical indicators for mission phase-down are:

- Routine work dominates the day.
- Working hours become more regular and there is more spare time.
- Regular meals and sleep.
- E-mail flow slows down.
- Fewer enquiries to the OSOCC/operations centre.
- Situation is more and more foreseeable.

If an extension of the mission is envisaged, this should be discussed with the mission focal point in OCHA Geneva and the OCHA regional office for forward planning, i.e., availability of UNDAC team members to prolong their mission, rotation with a new team or deployment of other OCHA surge capacity. It is important to identify to whom functions and provision of services may be handed over and to decide whether any of the UNDAC equipment should be left behind. It is also important to identify team administrative and logistical activities that need to be taken to end the mission.

In the beginning of the mission, exit planning is visionary and strategic. As the mission proceeds, it should be adjusted as necessary and further developed with details and key actions to make it more tangible. When the mission end approaches, it needs to become definite, with detailed planning for the last week/days, including the team debrief and end of mission reporting. If rotated with another UNDAC team, start mission reporting so the second team can pick it up from where it was left off and not have to report on what happened before their arrival.

A detailed handover note should be prepared specifying what functions, assets and services are being handed over and to whom. In many cases, the handover note can be annexed to the End of Mission Report. For those taking over coordination functions, this should include:

- **Situation** – Situation reports, maps, update on the current situation, themes and likely future developments.
- **Mission objectives** – Past and current, likely and future, early recovery, concerns and remarks.
- **Key actors/partners** – National authorities, NGOs, United Nations, military, donors, etc., presented as a contact list, who-what-where overview, etc.
- **Activities and processes to continue** – For example, inter-cluster coordination structures, leadership functions, information management, other coordination functions.
- **Evaluation of current status** – What has been accomplished, what has not been done but should be, strengths and weaknesses of the coordination mechanisms.
- **Operational information** – Safety, security, logistics, communications.
- **Administration, finance, in-country support** – Including what should continue and the financial implications (when the UNDAC team departs, mission funding ceases). A separate handover note for administrative procedures may be needed and a template can be found in the UMS.

Copies (preferably electronic) of all key information should be retained to share with relevant counterparts in-country and within OCHA Geneva. It is important to provide a detailed list of mission expenditures and original receipts (generally to the UNDP office in-country) and to

resolve any outstanding financial issues before leaving the country. It is also imperative that all UNDAC team members who requested their DSA to be paid in-country have collected it from UNDP prior to departure.

During the exit period, it is also important to set aside time for an internal debrief within the team and to capture key points to be included in mission reporting.

### E.2.1 Mission reporting

At the end of each mission, it is important to draft a mission report. This is usually for the benefit of the RC/HC or, as appropriate, the Government, but is also intended for sharing with the wider community of response partners. The report should focus on what the team has done, including best practices from this response, suggested improvements to future contingency plans, and suggested updates to the UNDAC methodology.

The mission report should be regarded as an integral part of the exit and handover strategy. While this report is the responsibility of the UNDAC Team Leader, all team members should contribute to the process. Many UNDAC team members, based on their mission experiences, are able to offer recommendations on future disaster response preparedness to either governmental institutions or in-country UN entities. While the team is in a unique position to offer advice, to be properly effective it is important that recommendations can be followed up as part of a wider, ongoing response preparedness programme. It is, therefore, important to capture such recommendations in the mission reporting process for follow-up by the OCHA regional office and other relevant partners. The recommendations may be the starting point for more targeted disaster response preparedness activities that the UNDAC system could support or feed into initiatives already underway.

Mission reporting is also an excellent opportunity to capture good practices that may be considered for updates to the UNDAC methodology and for training purposes. Bear in mind that UNDAC methodology is dynamic and forward-looking. Capturing mission experience is the best way to ensure the further development of the UNDAC Field Handbook and UNDAC training materials. However, if it is not recorded following the mission, it may easily be lost and eventually forgotten.

In addition to the mission report, OCHA Geneva will prepare a short end of mission report that captures key points from the mission to be shared with the UNDAC team member's sponsoring government/organization. It is also distributed at the annual UNDAC Advisory Board meeting.

### E.2.2 Debrief

At mission end, an internal debrief should be conducted with the whole team with the aim of:

- Bringing a sense of closure to the mission before returning home, e.g., review of the mission, achievements, challenges, SWOT analysis (strengths, weaknesses, opportunities, threats), self-evaluation of team performance, team management and individual experiences, psychological impact.
- Defining recommendations for future in-country activities, e.g., preparedness for future disasters.
- Drawing out lessons learned and enriching institutional memory for the UNDAC system.

For the internal debrief it is important to be aware of any stress reactions, cumulative stress or critical incident stress that need to be addressed. See also Section S.3 for more information on managing mission stress.

The key points of the debrief should be summarized using the standard template Team Debrief, SWOT and Recommendations found in the UMS, and should be shared with the team members and mission focal point in OCHA Geneva only. The debrief is treated confidentially and should not receive wider circulation.

In the case of a major disaster, as much as the team schedule allows for it, OCHA Geneva and the regional office may try to organize a more formal debriefing with external partners as part of the wider response evaluation, usually post-mission and by teleconference.

### ***Evaluation***

Following the mission, OCHA Geneva and the individual team members will also do a performance evaluation. It aims to support the evaluation of the member's mission performance primarily from self-reflection. As such, it provides an opportunity for UNDAC members to assess themselves and receive input based on the mission experience so that their future training and deployments are more personalized and can guide professional development.

#### **E.2.3 Administrative matters**

All UNDAC team members should complete an Expense Report as soon as possible following return from mission to enable rapid settlement of their entitlements. OCHA Geneva will assist with this procedure. To process the Expense Report, team members should send the following scanned documents via e-mail:

- Originals of all boarding passes and any air, train or other transport tickets issued.
- Originals of all attachments relevant to personal expenses incurred, e.g., excess baggage charges, visa costs, airport taxes, receipts for taxis, official phone calls or Internet usage, etc.
- UNDP-issued receipt for payment of DSA, if applicable.

Please note that United Nations administrative rules are very strict. Expenses will not be reimbursed unless officially authorized and originals of official receipts provided. It is, therefore, important to consult with the UNDAC Team Leader and/or OCHA Geneva before incurring such expenses.

UNDAC members should keep a photocopy of all original documents sent to OCHA Geneva for their own records.

Management of an UNDAC team falls under the role of the UNDAC Team Leader and Deputy Team Leader. These two roles have distinct differences but also overlaps. Furthermore, an UNDAC team is often expected to exercise leadership and be at the forefront of the coordination process. To do this, we need to know a few things about working in teams, leadership and management.

This theme consists of 2 chapters:

### F. Team Management

This chapter discusses team dynamics, team coordination and leadership models that are applicable to the UNDAC concept. You will also find the Guide for UNDAC Team Leaders, with hints and tips arranged by topic with references to relevant chapters in this book.

### G. Safety and Security

This chapter introduces UN security management procedures, how they relate to an UNDAC team, links to further reading and tips and hints about personal safety and security.

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#### F.1 Team functioning

A team becomes more than just a collection of people when a strong sense of mutual commitment towards a common goal creates a synergy greater than the sum of individual performances. This section explores what it takes for a group of people to become a team and thus generate the collective leadership that UNDAC teams strive to achieve.

##### F.1.1 Team development

A group of people is different from a team. In groups, people work independently, are not involved in planning and there is little interdependence or reliance on each other's roles. Teams, on the other hand, work together towards a common goal. Members can contribute and make suggestions, take ownership of different parts of the task and understand their role within the bigger picture.

According to the classic model of team dynamics, to transition from a group of people into a team involves a number of stages:

- **Forming** – Involves the introduction of team members, when the team first meets or as members are introduced subsequently. Members are likely to be influenced by the expectations and desires they bring with them and will be keen to understand how the team will operate as a whole.  
This is where the team members orient themselves towards goals, begin to determine how they will contribute and seek guidance from those in leadership positions.
- **Storming** – Team members will have different opinions as to how the team should operate. Individuals who are anxious about conflict may find the storming phase difficult. The best teams will understand that some tension is a necessary phase of development, will actively listen to each other and navigate an agreed way forward. Failure to do so may cause the team to disintegrate as individuals try to bolster their own opinions to weather the storm.



This is where rules, procedures, structures and roles should be established. Management of the details of team functioning now becomes important.

- **Norming** – The team now emerges with an agreed method of operating and team members sign up to a common working method. During this phase, team members are able to reconcile their own opinions with the greater needs of the team. Cooperation and collaboration replace the conflict and friction of the previous phase. This is where team spirit grows, the team becomes cohesive and information and ideas begin to flow more easily.
- **Performing** – The emphasis is now on reaching the team goals rather than working on internal processes. Relationships are settled and team members are likely to build loyalty towards each other.

This is where the team functions efficiently and effectively, is able to manage more complex tasks and cope with greater change.

Following the last stage, teams may go through a fifth stage of growth, such as:

- Returning to the forming stage as group membership changes,
- Entering a 'dorming' stage as the group gets complacent, or
- Successfully reaching its goal, completing its work and entering an 'adjourning' stage.

Bear in mind that this development process is not necessarily linear. Teams tend to go back in stages if there is a significant change in membership, leadership or task distribution. The time spent at each stage may vary depending on the team members and some teams may never reach the final stage to become fully functional. This is particularly important for UNDAC teams, which generally operate in emergency environments with constantly shifting priorities, tasks and roles.

**Team performance**

Successful team performance usually involves a number of key steps. This is not an exact science but based on best practices and should be viewed as a useful aide to improving team effectiveness on mission. These steps can be thought of as building blocks where each block is founded on the previous one:

1. **Goals** – Define clear goals of what the team is trying to achieve. This can also be thought of as the 'strategic direction' of a team.
2. **Roles** – Establish functions and roles and decide on who does what to fulfil team goals and how the various roles interact and communicate with each other. Try to avoid grey areas and evaluate team functioning after the first few days.
3. **Procedures and processes** – Define how work gets done, including how each function (and cell in an OSOCC) should work, its internal structures and processes.
4. **Interpersonal relationships** – Clarity around steps 1-3 should ideally optimise the way team members interact with one another. Confusion and (hidden) disagreements around what the team should be doing and who should be doing what may lead to lack of effectiveness and friction within a team. See also Section F.2.4 Managing interpersonal relations.

**F1.2 Team coordination**

There are certain recommended actions to focus on during each stage of the team's development:

Stages	Actions
Forming	<ul style="list-style-type: none"><li>• Set aside time for the team to get to know each other, even if it's only a minimum due to the emergency.</li><li>• Define clear mission objectives, if possible as a team exercise to establish ownership.</li><li>• Outline roles and responsibilities and include support partners in team setup.</li><li>• Quickly establish systems to enable members to collaborate and decide on procedures within their function and/or OSOCC cell.</li></ul>
Storming	<ul style="list-style-type: none"><li>• Clarify structures and decision-making mechanisms.</li><li>• Define procedures for internal team communications, preferably as a visual (see also Chapter I.2).</li></ul>
Storming	<ul style="list-style-type: none"><li>• Offer opportunities for proactive involvement so all team members contribute.</li><li>• Ensure follow-up on agreed actions.</li><li>• Acknowledge that there may be tensions and emotions at this stage but be proactive and have an open dialogue to minimise friction.</li></ul>
Norming	<ul style="list-style-type: none"><li>• Make sure to include the team in ongoing planning and resource allocation and allow for flexibility.</li><li>• Delegate and provide support to functions and/or OSOCC cells.</li><li>• Coach individual team members and support partners, especially the less experienced.</li></ul>
Performing	<ul style="list-style-type: none"><li>• Seek feedback on team performance and look for ways to improve.</li><li>• Extend external partnership opportunities and promote leadership opportunities for partners.</li><li>• Facilitate opportunities for capacity-building of partners as part of the handover and exit strategy.</li></ul>



Figure F.1 Leadership vs. management



F.2 Team leadership and management

Within UNDAC teams, we often separate leadership and management roles, particularly on larger missions. The UNDAC Team Leader has a more external role, directed towards supporting the Government, RC/HC and HCT, whereas the Deputy Team Leader/OSOCC Manager has a more internal role, focusing on team functioning, processes and procedures. The distinction is far from clear-cut and there may be several overlaps. Both roles need to incorporate elements of the other, while remaining aware of respective overall responsibilities.

F.2.1 Situational leadership

UNDAC Team Leaders and Deputy Team Leaders may face situations where different leadership styles will need to be applied.

The situational leadership approach suggests adapting leadership style depending on the situation being faced. For example, an autocratic, decisive leadership style may be more appropriate in a time of crisis where rapid decisions are needed, while a democratic leadership style may be best to promote ownership of a decision.

When the leader is autocratic, he or she initiates action, structures activities and makes decisions. This style is assertive and may be appropriate at the beginning when processes and timescales are being determined, when team security is at stake, when the leader is significantly more experienced than other team members or when time is short. The most important skill is being able to communicate clearly.



Figure F.2 Leadership range

The consultative style gets results by leading discussions, asking questions that involve all team members and motivating them to volunteer for responsibilities. This style seeks to build consensus around decisions and is important in gaining commitment to processes and building trust. The most important skill for this leadership style is facilitation and it may be used effectively during the storming stage of a team. However, it is time-consuming, so it is important to develop the flexibility to use the other styles appropriately.

The democratic style lets the group make decisions and encourages others to use their expertise,

while the leader still maintains responsibility for the overall outcomes. This style is predominantly

used during the norming and performing stage of a team. It will be increasingly important to engage this style of leadership when approaching the end of an UNDAC mission where tasks and structures will be handed over to others, allowing partners to use their specialised knowledge and experience, and take ownership of the process.

An effective UNDAC Team Leader will use all leadership styles depending on the nature of the situation, the development stage of the team and the dynamics within the team.

F.2.2 UNDAC collective leadership

We often speak of the collective leadership of an UNDAC team whereby the whole team exercises leadership to help the humanitarian community to advance towards a shared goal. Leadership is not the sole responsibility of the individual tasked with being Team Leader but is rather shared among the whole team. See also Section D.2 on building trust.

The idea of collective leadership challenges the traditional notions in which individuals are the source of leadership. Authority, responsibility and accountability are more broadly distributed to create opportunities for participation in leadership by all team members and across UNDAC functions and/or OSOCC cells.

The UNDAC methodology describes coordination as a synergy of actions where the effect is greater than the sum of its parts (see Section L.2 Coordination methodology). To achieve this, you will often need a fairly flat structure within the team, with members who are given a lot of freedom in how they approach their role and solve their tasks. This is further supported by how the OSOCC concept is designed. On the surface, the OSOCC looks like a traditional functional organizational model, using a system of command and control; but, in reality, the OSOCC is a collection of functions whose responsibilities lean more towards serving the OSOCC clients than the OSOCC itself. See also Chapter M. OSOCC Concept.

The table below shows some differences between traditional approaches and collective leadership:

Element	Traditional leadership	Collective leadership
Leadership	Individual	Team and functions
Decisions	Team Leader	Distributed and aligned with areas of responsibility
Structure	Hierarchy	Flattened and based on networking
Communications	Top down	Multi-directional and transparent
Diversity and inclusion	Less room for multiple cultural influences	More room for multiple cultural influences
Processes	Directive	Collective
Accountability	UNDAC Team Leader	Distributed among UNDAC functions and OSOCC cells

F.2.3 Internal coordination

Managing the details of the internal work processes within an UNDAC team is usually the responsibility of the Deputy Team Leader or OSOCC Manager. A key to success will often be to ensure sufficient information flow within the team. There is no simple 'one-size-fits-all' solution to achieve this but some strategies include:

- Whiteboards for key information, e.g., activity board, general information, operational planning boards.
- A 'to-read' list of important documents.
- An input area in the UNDAC Mission Software or other shared workspace.

- Regular/daily team meetings.
- Regular briefings and situational updates.
- A five-minute 'scrum' every 'x' hours, i.e., all team members stop their work for a short period and everyone gives a quick update of their activities before returning to their tasks.
- Scheduled teleconferences with sub-locations/offices.
- Group chat using a messaging app, e.g., Skype, WhatsApp, Slack or similar.

With smaller teams, internal information flow may be easier to achieve than when the team is large or spread out over a wider geographical area. With large teams, and often when combined with OCHA surge and various support staff, managing work processes may require separate managers or focal points for each function or OSOCC cell in addition to an overall team manager.

## F.2.4 Managing interpersonal relations

While, ideally, personality clashes are dramatically reduced when a team has clarified goals, roles and procedures, different personality preferences can impact the team dynamics and the effectiveness of teamwork. Acknowledging that people have different working styles or ways of relating to others helps us understand our own needs as well as the preferences of others. It can often help to depersonalise conflicts.

For example, if a colleague's natural instinct is to talk aloud in order to find a solution, you may bear with him or her even though your personal preference is to think it through before discussing with others. This might be interpreted as not keeping others in the loop or being participatory, but it may originate from a personal preference of figuring out problems before sharing them.

There are many psychometric tools available to help people understand themselves better and for teams to analyse their collective strengths and weaknesses. Most tools require a trained facilitator to explain the scope of the assessment and assist individuals and teams to make sense of the results. Emergency responders often feel that the urgency of an UNDAC mission doesn't lend itself well to pausing and analysing team dynamics. However, a team-building session early in the mission that focuses on individual preferences, as well as team strengths and weaknesses, can save precious time and energy later on. It also helps to address irritations and cumulative stress (see Section S.3 for more on managing stress) which otherwise might not have a constructive outlet. Understanding diversity in teams improves communication and work practices and helps UNDAC teams to function efficiently and more effectively.

## F.3 Guide for UNDAC Team Leaders

The following is intended as a quick guide for UNDAC Team Leaders and includes hints and tips on team leadership and mission management. References to important material in this UNDAC Handbook are included.

### Preparedness

Team Leader hints:

- As a potential UNDAC Team Leader, have an in-depth knowledge of the UNDAC concept, support mechanisms and recent mission deployments, as well as OCHA, its mandate, structure and various tools and services, including humanitarian financing mechanisms.

- Keep updated on developments in the Inter-Agency Standing Committee (IASC) as well as on international humanitarian response policy, thinking and architecture, disaster trends, lessons learned and international evaluations carried out following major international disasters.
- Remain in close contact with OCHA Geneva and participate in regular training activities between missions.

References: A.1 to A.4, Chapter B., C.2

### Mobilization

Team Leader hints:

- Ensure that the deployment is seen as part of OCHA's wider response and that surge deployments from other parts of OCHA are merged as much as possible with the UNDAC team forming 'one OCHA.'
- Discuss with OCHA Geneva a ToR that is as specific as possible, anticipates next steps and agrees on what resources and capacities may be needed.
- Assess team composition, e.g., professional and soft skills, experience, gender, regional/local knowledge and languages, etc.
- Have a virtual team-meeting as soon as team composition is clear, engage the team in discussion of preliminary mission objectives and have an open discussion on team roles and individual tasks within this.
- Assess requirements for additional support from operational support partners and include them in initial team meetings.
- Seek out contact information for the affected country.
- Start an initial plan, including entry into the affected country, e.g., resources, equipment, documentation, visas, etc.
- Ensure that relevant secondary data and baseline information is available to the team as quickly as possible, including data on existing in-country coordination structures (national and international), emergency response planning, lessons learned from previous responses, etc.
- Initiate and map required remote support from OCHA offices, operational partners and/or the UNDAC network.

References: C.3

### Initial Planning

Team Leader hints:

- Brainstorm ideas and plan your approach with the team.
- Make an inventory of assets.
- Anticipate challenges and opportunities.
- Establish 'mission mode'.
- Prioritize and assign tasks, including OCHA surge and support staff.
- Establish a preliminary timeline.
- Ensure the initial plan establishes a direction and a foundation for further planning, even if it has to be changed.
- Create the initial plan virtually due to speed of deployment as there is rarely an interim marshalling point before entry into the country.
- Any plan is better than no plan at all. Remember: if you fail to plan, you plan to fail.

References: C.3.2, H.1

**Meeting with RC/HC and/or HCT**

Team Leader hints:

- The meeting is a two-way interaction where information received is just as important as information presented.
- Keep your brief short, simple and to the point.
- Emphasize that the team is there to assist/support the RC/HC and HCT and will report to them.
- The outcome of the meeting should define the overall mission objective and the framework of the Plan of Action.
- Ask about current UN coordination arrangements, e.g.,
  - Is there an HCT including non-UN actors or donors and an updated contingency plan?
  - Are there humanitarian clusters, a sectoral approach and which international agencies and/or national agencies are (co-)leading?
  - Have agencies and/or organizations been designated as lead in key areas of response (as per any contingency plan)?
  - Are there government counterparts or a designated national emergency management authority?
  - Are those responsible from the international humanitarian system, e.g., cluster leads, already liaising with government counterparts?

References: D.2.1

**Plan of Action (PoA)**

Team Leader hints:

- Think strategically from the beginning and don't get caught up in day-to-day operational matters. They should not dominate your workday as one may easily lose oversight.
- Think about what is possible to achieve as opposed to what you want to achieve. You cannot do more than that which your resources, capacity and operational framework dictate.
- No plan survives contact with reality; it should be the best you can predict; it will almost certainly not happen that way; you can still succeed.
- It's not the plan that is important but having gone through the planning processes and thought through possible challenges that may occur further down the road. Having made and written down a PoA gives you something to work around in a flexible manner, with improvisation as needed. You can make appropriate changes even if the detail does not work out the way you planned.
- Define the overall mission objective first. The Handbook offers a generic format of what the plan should contain but it is the mission objectives that determine how the plan should be formulated, structured, displayed and implemented.
- Consider what your exit strategy will be from the very beginning of your mission and adapt this part of the plan in the light of developing experience.
- Identify when and where physical presence is required and what team member(s) are most suited to go where.

- Catalogue resources required to ensure the team's effectiveness. Consider local resources (partner organizations, response teams) and international resources (UNDAC partners, OCHA, remote support).
- Ensure that the objectives are achievable given resource constraints, e.g., number of team members, operational support, etc.
- As a general rule of thumb, when offered resources (staff) it is often better to accept than to decline, even when there is no obvious resource gap. In the initial phase of an emergency, tasks quickly accumulate and it is good to have extra capacity ready at hand.

PoA as a management tool:

- May be created as a checklist with questions on what you need to know to achieve your objectives.
- Remember, the plan is more about process management than a product.
- May be displayed as a timeline with benchmarks and then used to review implementation of achievements and failures.
- Tasks may be broken down in smaller responsibilities that can be assigned to certain team members.
- Should serve as a record of what the team has planned and achieved and be an institutional memory of mission development.
- Use the PoA to define your support requirements, but don't let the resources control your plan.

References: C.3.2, D.2.1, D.3.1

**Team management**

Team Leader hints:

- Be aware of the difference between leadership and management. Management is about procedures, structures and processes. Leadership is about vision, providing direction, setting ethical standards, decision-making and social skills. Remember: leaders do the right thing, managers do things right.
- If a Deputy Team Leader is not already appointed, do so, and see what management responsibilities can be covered by him/her.
- Leadership is based on one's behaviour. Skills alone do not make leaders; style and behaviour do, especially your behaviour towards others.
- There are different leadership styles, from autocratic, i.e., makes all decisions by him/herself, to a service-oriented style, i.e., what do I have to do to make you perform well. The situation at hand defines what style to apply. For example, it might be appropriate to choose a firm decisive style in an urgent operational setting but an inclusive style when formulating ideas and plans.
- Your team members will have different personalities and different ways of working and performing in a team in an emergency. Think about how your team members function and adapt your leadership where possible and required.
- When geographically spread out, define clear reporting lines and responsibilities. Not every location has to do everything.
- Remember your responsibility for team members in other locations. Call them on a regular basis.

- Keep the team-work communal and social and be aware of the risks of cumulative stress and fatigue in your team.

References: F.1, F.2, G.4, S.3

### ***Coordination, scope, approach and techniques***

Team Leader hints:

- Remember the cornerstones of the UNDAC methodology, i.e., the UNDAC core values, bridging disaster management and humanitarian coordination, the humanitarian principles and how UNDAC supports or provides leadership.
- Assess existing structures and decision-making processes and adapt your structures accordingly.
- Identify the main stakeholders, their requirements for coordination support and how you best may establish yourself alongside them.
- Remember that proximity to key decision-makers is vital.

References: B.2, L.2, H.1

### ***OSOCC***

Team Leader hints:

- The Team Leader should not ordinarily undertake the role of OSOCC Manager.
- Think clearly about your choice of location to ensure proximity to national authorities and other key entities.
- The OSOCC Guidelines and the UNDAC Field Handbook cover generic OSOCC functions but it will be the situation that dictates which are needed and which should be given the highest priority.
- Remember that the OSOCC is a service provider to the whole humanitarian community. It may start as a structure for direct coordination of life saving activities, e.g., Urban Search and Rescue (USAR), but may evolve into an OCHA field office and/or support centre for the HCT in the longer term.

References: M.3

### ***Civil Military Coordination (UN-CMCoord)***

Team Leader hints:

- When military forces play a significant part in the humanitarian response, a dedicated CMCoord structure is usually needed.
- Be aware of the purpose, scope and dimensions of humanitarian civil-military coordination.
- Establish a civil-military coordination skills inventory amongst the UNDAC team.
- Request civil-military coordination personnel and/or expertise through OCHA Geneva.
- Consider, upon consultation with the RC/HC, the release of context-specific civil-military coordination guidance.
- Establish, together with the RC/HC or dedicated operational coordinator, clear lines of communication.
- Define the tasks of a dedicated civil-military coordination officer according to the key strategies of UN-CMCoord.

- Identify international and domestic military actors in your area of operations and establish and maintain an appropriate interface depending on the political context of the intervention.
- Overcome challenges with your counterparts through transparent exchange of information, constant dialogue and establish trust and confidence in each other's work.

References: N.4

### ***Assessment and Analysis (A&A)***

Team Leader hints:

- Assessments should inform decision-making. Initial assessments mainly inform strategic decisions and preliminary emergency funding allocations in the early phases, while in later phases they inform programming and monitoring.
- Assessment is a process that starts with preparedness. In the emergency response context, an assessment is an ongoing process by which we gather available information, collate it and analyse it to inform our response, i.e., make decisions. Do not think of assessment as a field trip.
- The assessment process is iterative, with each step building on the previous one and providing increasing levels of detail. The findings of each phase will drive the design and focus of the next phase.
- Make an A&A plan that reinforces coordinated approaches, e.g., establish an OSOCC A&A Cell, establish an Assessment Working Group (AWG), etc.
- Always start the process with collection of secondary data to compare with actual findings to identify disaster impact.
- Ensure remote support from staff based at HQ or similar who can undertake secondary data review and support analysis.
- First, start with the big picture. Afterwards, go more in-depth on issues identified by the previous assessment. Assessments move from a life-saving focus to an increasingly recovery-oriented focus.
- Analysis is first and foremost a cognitive process and best done in a group setting. Remember: several brains think better than one.
- Initially, time is key. Only a rough picture of the situation is needed. How big a problem is it? What are the major issues? Any there any particular groups/sectors/geographical areas that are specifically affected with urgent needs? Is there need for specific expertise in the team, e.g., related to hazardous materials? Better to get the full picture half-right than only parts of the picture completely right.
- Assessments should be coordinated, involve shared analysis, identify secondary risks and contribute to a shared understanding of the operational picture.
- UNDAC's role is to ensure that assessments are conducted and coordinated, not necessarily to carry them out. Nevertheless, any UNDAC team must be prepared to initiate and take charge of the assessment process if needed, especially in the early stages of an emergency.

References: Chapter I.

## Information management (IM)

Team Leader hints:

- The IM Function should be assigned to one or several dedicated team member(s) early on in the mission, but all members are part of the process.
- An information management strategy, including external and internal communication lines, should be developed and incorporated in the PoA.
- Ensure that you have a robust system for processing information.
- Don't let yourself and the team be driven by technology and software solutions.
- The success of a mission is often measured by the quality of the information produced and disseminated.
- Information overload will be likely. Consider resource requirements, including the option of remote support by other OCHA offices and partners.

References: Chapter H.

## Reporting

Team Leader hints:

- In some countries, the UNDAC team will need to contribute directly to the RC/HC office's situation report. In others, your report will be an input to the overall OCHA situation report, at the regional or global level. Make sure you agree on when and what to contribute and to whom.
- Agree on deadlines and sign-off procedures on various outputs with RC/HC during first meeting.
- Try to imagine yourself at the receiving end and anticipate what information you would need.
- Define your primary audience for the situation report, bearing in mind that this may change over the course of the mission.
- Bottom-line-up-front (BLUF) is a good rule of thumb. Tell your readers right away what the highlights of your report are.
- Even when the report is written by other team members, it should be approved by the Team Leader before onward distribution.

References: Chapter J.

## Operational briefings for the UNDAC team

Team Leader hints:

- Should preferably be held on a daily basis.
- Use the PoA to define the next day's tasks and assign responsibilities.
- Ensure all team members are briefed, either in-person, virtually, or by a representative of their OSOCC Cell.
- Utilise the operational briefing for regular debriefs and look for signs of cumulative stress, fatigue and other potential staff or team functioning issues.

References: C.3.2, L.2.2, S.3

## Media

Team Leader hints:

- Always discuss media strategy with the RC/HC. S/he knows the country and potential pitfalls.
- In a major emergency, expect OCHA headquarters to issue key messages for media.

- Always have the latest official and key figures to hand, e.g., death toll, injured, number of USAR teams in-country, etc.
- Normally the Team Leader should be the focal point for media. If not, the Team Leader must ensure an overall media strategy and appoint a spokesperson.
- Media is a good tool for advocacy but stick to the team's area of expertise.
- Media messages should reflect what is being reported in public reports and requested in appeals (key messages).
- Specific media messages should be cleared with the RC/HC.
- Ensure all team members are aware of the key figures and messages of the day to avoid being caught unawares.
- Give only factual statements, not your opinion, and never lie to the press.
- If required, try to get a dedicated community engagement expert deployed with the UNDAC team, but as a minimum coordinate the development and dissemination of key humanitarian messages in local languages.

References: Chapter K.

## Funding

Team Leader hints:

Central Emergency Response Fund (CERF):

- The RC/HC must endorse agency proposals to access the CERF; agencies cannot submit directly to the ERC.
- Proposals should be sent as a package to the ERC and the CERF Secretariat at [cerf@un.org](mailto:cerf@un.org).
- Budgets must follow the CERF template and a project allocation table is required.
- CERF is meant to jump-start the initial response. It is not meant to cover all needs but rather provide a quick injection of resources so that responders can begin critical life-saving activities while mobilizing additional funds.
- Situations requiring CERF funds should normally also generate an appeal. The RC/HC allocates available CERF funds to the highest-priority, most urgent life-saving projects.
- CERF doesn't replace an appeal, it interacts with it. Appeals and CERF requests are developed in tandem, where CERF is a quick funding tool to cover the time lag between issuance of the appeal and receipt of commitments and funds from donors.
- The ideal: simultaneously prepare an appeal and prioritize projects within it for CERF funding, showing CERF allocations in summary financial tables within the appeal document.
- CERF will not fund 100% of an emergency's project requirements except in rare circumstances.
- See also <https://cerf.un.org/apply-for-a-grant/rapid-response>.

Appeals:

- The RC/HC and HCT must own both process and end product.
- UNDAC, and in particular OCHA staff on the team, may support the HCT in preparing appeals but only with 1-2 dedicated staff with subject matter expertise.
- The government must support an appeal and is sometimes (but not always) involved as an implementing partner.
- Appeals must be short and produced very quickly (within a few days to a week).

- Appeals draw on Humanitarian Response Plan (HRP) methodology but much slimmed down.
- Use the sector/cluster system in producing appeals through delegation to lead agencies.
- A decision will need to be taken whether to include acute relief needs only or also transitional needs.
- The Team Leader agrees on strategy and process with the RC/HC at the outset. Review progress and stay in close contact with him/her throughout.
- Use UNDAC members to support key cluster leads but be careful not to let appeal support consume all your team's resources and monopolize its work and time.
- Consult OCHA Geneva or the OCHA regional office to get an experienced appeal writer if required
- Ensure consistency of approach and of the key messages, at field level, in the capital and at headquarters.
- Resist efforts to inflate financial requirements.
- Protect and help your appeal writer. Dedicate a good national staff assistant for translation.
- Be prepared for 'curve balls'. The situation and deadlines will, likely, change during production.

References: A.3.4, A.3.5, L.3.5

**End of mission**

Team Leader hints:

- An exit and handover/transition strategy must be included in the very earliest PoA, as well as in every interim plan and team operational briefing, otherwise it may easily get lost in the urgency of the mission. Failure to properly plan and execute a handover/transition strategy may seriously imperil your achievements and the long-term success of the mission, resulting in lost opportunities to stabilize changes and innovations. It may also leave a gaping hole in the management of the operation when the UNDAC team leaves.
- Typically, an effective strategy requires an ongoing inventory of assets and processes under the team's control, identifying local partners at the earliest opportunity who can assume key functions performed by the team and, if necessary, building up their capacity before the handover takes place.
- It is important to note that a proper handover/transition strategy may be implemented over the course of the mission as partners are identified and determined ready. It should not all be left until the end of the mission.
- Remember: people will often better remember the team for how they left rather than for the work they did during their mission.

References: E.2

**G. SAFETY AND SECURITY**

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**G.1 Introduction**

No mission is without risk. Team members may face security-related threats such as armed conflict, high levels of crime, acts of terrorism and civil disorder. In addition, safety threats resulting from actual or potential disasters are often present, e.g., the risk of landslides, building collapses, downed power lines, environmental hazards such as exposure to hazardous chemicals, gas leaks, etc., flood waters and disease. UNDAC members must establish and work within a level of 'acceptable risk'. This is achieved by doing everything reasonable to reduce risk and then balancing any remaining risk with the criticality of the mission activity in question. In other words, is the action important enough to justify acceptance of residual risk, i.e., the risk remaining once all reasonable measures are in place.

The ultimate responsibility for the safety and security of UN staff in a country lies with the Government. Within the UN Security Management System and the OCHA Accountability Framework, the ERC has the overall responsibility for the safety and security of OCHA personnel and is accountable to the Secretary-General. The OCHA Security Focal Point at HQ is responsible for coordinating the organization's day-to-day response to safety and security and providing all the relevant actors with advice, guidance and technical assistance. At country level, the OCHA Head of Office is accountable to the ERC for the safety, security and welfare of OCHA personnel under their supervision, their eligible dependents and for the protection of all OCHA assets and property.

The OCHA Head of Office in-country is responsible for the safety and security of the UNDAC team while they are deployed. When there is no OCHA office in the country or other designated OCHA official present, then the UNDAC Team Leader will be responsible for the safety and security of the UNDAC team under the responsibility of the Designated Official (DO). See G.2 below and also G.4 for specific responsibilities pertaining to the UNDAC Team Leader.

While this individual, along with security and safety professionals from the UN Department of Safety and Security (UNDSS), will do everything reasonable to reduce the risk for the UNDAC team, each member has to take responsibility for their own safety and security.



This chapter presents safety and security mechanisms within the UN system and provides UNDAC members with tools and guidance to help ensure their personal health, safety and security. Sections G.2 through G.4 provide context and outline roles and responsibilities related to security, including UN Security Risk Management – an approach that applies an overriding concern for the safety of UN personnel with a secondary consideration for the safety of essential resources. The remaining sections of the chapter discuss personal safety related to missions.

Information on health-related issues, what to eat and drink and what to do in the event of a medical emergency, is included in Chapter S. Personal Health. In that chapter, you will also find specific health and safety information related to operating in unique climate zones. UNDAC members are encouraged to read relevant sections prior to mobilizing on each mission.

In addition to learning and applying the safety and security content of this chapter, all UNDAC members are required to take the following online courses:

- Basic Security in the Field II
- Advanced Security in the Field

These courses are required to be refreshed every 3 years in order to receive an UNDAC contract.

Furthermore, UNDAC members may be required to attend a Safe and Secure Approaches in Field Environment (SSAFE) course in countries with elevated current security risk. Hostile Environment Awareness Training (HEAT) courses are also recommended, but not mandatory.

## G.2 UN security management system

The Framework of Accountability provides details on the various roles, responsibilities and accountability related to security decision-making from the Secretary-General to the individual staff member. It also provides the architecture for decision-making related to security. In the UN, day-to-day decision-making related to security is decentralized to the field, generally to the most senior UN representative, who is given the responsibility of Designated Official for Security (DO).

UNDAC members should be familiar with the following security-related positions that may be encountered while on mission:

- **UN Department for Safety and Security (UNDSS or DSS)** – UNDSS serves as the UN advisory and coordinating department for security risk management. DSS advises on security management through the use of the security risk management process and coordinates the implementation of security risk management measures approved by the DO.
- **Designated Official for Security (DO)** – In each country or designated area where the UN is present, the senior-most UN official is normally appointed by the Secretary-General as the Designated Official for Security and is accredited to the host government as such. The DO is accountable to the Secretary-General, through the Under-Secretary-General for Safety and Security, and is responsible for the security of UN personnel, premises and assets throughout the country or designated area.
- **Security Management Team (SMT)** – The DO chairs the SMT which includes the head of each UN organization present at the duty station and the Chief Security

Adviser. Members of the SMT are responsible for advising and supporting the DO in their safety and security decision-making for all UN personnel, premises and assets.

- **Chief Security Advisor/Security Advisor (CSA/SA)** – An internationally-recruited security professional appointed by UNDSS who serves as the primary advisor to the DO and the SMT on all matters related to security. She/he is the senior security official at each duty station and is accountable to UNDSS. While the DO has the responsibility for the day-to-day management of the CSA, on substantive matters the CSA will report concurrently to the DO and UNDSS.
- **Field Security Coordination Officer (FSCO)** – In larger duty stations, internationally-recruited FSCOs may be deployed to assist and work under the supervision of the CSA.
- **Area Security Coordinator (ASC)** – May be appointed by the DO to control and coordinate security arrangements in areas of larger countries that are separated from the capital in terms of both distance and exposure.
- **Warden and Deputy Warden** – Wardens are appointed by the DO/ASC, in consultation with the SMT, to assist in the implementation of the security plan. Wardens are accountable to the DO/ASC for their security-related functions, irrespective of their employing organization.

As is the case with all UN staff, UNDAC members are required to abide by the security policies, guidelines, directives, plans and procedures of the UN. This includes meeting the requirement to receive a UNDSS security briefing as soon as practicable upon arrival in-country.

More information on specific UN security policy and provisions can be found in the UN Security Policy Manual (SPM) available in the UNDAC Mission Software. Team members should also become familiar with relevant UN Security Directives and may wish to consult the older UN Field Security Handbook (this document is being replaced by the SPM, but some parts remain relevant).

## G.3 Security Risk Management (SRM)

Within the UN Security Management System, the Security Risk Management (SRM) model provides all staff with tools to assess and manage risk. The level of risk posed by identified undesirable threat events is determined and security risk management options are developed. The DO and SMT select, approve, implement and monitor identified security risk management measures.

Further information on SRM can be found in Chapter IV of the Security Policy Manual.

### G.3.1 The Security Risk Management (SRM) Process

The SRM process is a structured and risk-based decision-making tool. It guides the process for the identification and assessment of the threats to UN staff, assets and operations in a Designated Area. It then identifies measures and procedure to reduce the level of associated risk to enable programme delivery within acceptable levels of risk. The process also includes a structured decision-making model for acceptable risk, which balances security risk with programme criticality.

Importantly, the UN Security Management System is risk based, not threat based. While threats are identified as part of the process, decisions are taken based on the assessment of risk, i.e., the likelihood of being exposed to identified threats and their perceived impact.

### G.3.2 Programme Criticality

The Programme Criticality (PC) Framework is a common UN system policy for decision-making on acceptable risk. It puts in place guiding principles and a systematic structured approach to ensure that the criticality of outputs involving UN personnel can be balanced against security risks. The PC Framework is part of the UN security risk management process.

The PC Framework is implemented as a mandatory policy of the organization in environments of high or very high security risk. It assesses programmatic contribution to the UN's Strategic Results in a particular situation. The responsibility for Programme Criticality lies with the senior UN representative in-country responsible for programmes, i.e., the RC or Special Representative of the Secretary-General (SRSG). You can find more information on the PC Framework in the UNDAC Mission Software.

### G.4 Security-related responsibilities: UNDAC Team Leader

The UNDAC Team Leader is responsible for their team's adherence to UN safety and security requirements. It is imperative that this is clearly understood and accepted by all. The Team Leader is obligated to refuse tasks that pose an unacceptable risk to the team's safety. Furthermore, she/he is responsible for liaising with UNDSS in-country, so they may coordinate all necessary requirements to enable UNDAC personnel to deliver the UN mandate safely.

Where there is an OCHA Office in-country, the specific responsibilities of the UNDAC Team Leader concerning safety and security are as follows:

- Ensure all team members receive a security briefing by UNDSS.
- Ensure that the arrangements detailed in relevant OCHA, UNDSS and country-specific security policies and procedures are being implemented with the aim of maintaining the security and safety of OCHA personnel, operations and facilities.
- Ensure that safety and security is a core component of all UNDAC activities in the country.
- Liaise with UNDSS to ensure an effective Security Risk Management approach to all UNDAC activities and operations (including determining the acceptable level of risk for each).
- Manage and direct all security-related activities of UNDAC in the country.
- Ensure that the DO is provided with regularly updated lists of UNDAC staff in the country.
- Advise the DO, CSA, OCHA Security Focal Point and/or other designated officials of the particular concerns of the team regarding security.
- Ensure full and complete compliance of UNDAC members in the country with all security-related instructions.
- Report all security-related incidents to the DO and OCHA Security Focal Point.
- Ensure that all UNDAC personnel are appropriately equipped with the required safety and security equipment and trained in its use.
- Keep OCHA HQ and the OCHA Security Focal Point informed of all developments in the country that have a bearing on the security and safety of UNDAC personnel, operations, premises and assets.

- Ensure collaboration on security matters with implementing partners.

Where there is no OCHA Office in-country, the UNDAC Team Leader performs the following duties (as the OCHA Security Focal Point to the SMT):

- Serves as a temporary member of the SMT and attends all SMT meetings and training.
- Keeps UNDAC staff fully apprised of security-related information and measures being taken in the country.
- Ensures that there is a fully functioning and operational communications system for security management within UNDAC and that this is fully integrated into the UN Country Emergency Communications System.
- In the unlikely event of UNDAC staff selected to be Wardens or Area Security Coordinators, ensures that they are given appropriate support and are provided with appropriate time for relevant training.
- Reports to the DO and UNDSS all instances of non-compliance of security policies by UNDAC staff members and takes appropriate action as necessary.

A template for safety and security planning is included in the UMS and should be a part of the overall mission PoA.

### G.5 Security-related responsibilities: UNDAC Team Members

Like all UN staff employed by the organizations of the UN system, each UNDAC member is accountable to their respective organization. All staff, regardless of their rank or level, have the responsibility to abide by security policies, guidelines, directives, plans and procedures of the UN Security Management System and its organizations

Each UNDAC team member is responsible for:

- Familiarising themselves with information provided to them regarding the UN Security Management System.
- Ensuring they receive security clearance prior to traveling through mission focal point in OCHA Geneva.
- If required for in-country movements, obtain security clearance prior to travel.
- Attending security briefings and signing a document certifying that they have been briefed.
- Knowing the key people responsible for security management at their location.
- Being appropriately equipped for service at all duty stations.
- Complying with all UNDSS and OCHA security regulations and procedures at the duty station, whether on or off duty.
- Conducting themselves in a manner which will not endanger their safety and security and that of others.
- Reporting all security incidents in a timely manner.
- Maintaining the Basic Security in the Field II and the Advanced Security in the Field online courses updated at all times.

### G.5.1 Personal safety and security

In addition to the duties listed above, the single most important piece of advice an UNDAC member can follow is to apply a safety and security mind-set when on mission. The following is a general list of safety and security measures that may be of help in various situations:

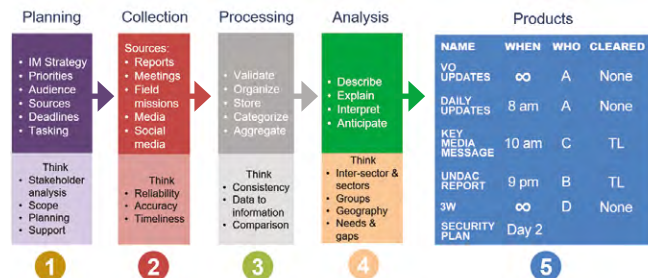
- Be aware of what is happening around you and react accordingly, before a potential situation becomes serious. Learn to be 'street wise'.
- Observe local behaviour (especially when driving), including changes in the normal habits of the local population as this may indicate imminent outbursts of major trouble, shelling, etc.
- Do not carry large amounts of money. The money you do carry should be divided into smaller amounts and kept in separate places. Enough should be carried if the need arises to pay for services, fees, taxes, etc.
- Do not arrange your days in routines, as this will make it easier for potential aggressors to elaborate plans against you.
- When at the UNDAC base, living quarters, hotels, etc., investigate possible escape routes in case the building is attacked or a fire breaks out. Agree on a meeting point for a head count. Observe the number of windows in each room and where they are situated, the best ways out of rooms, the best places to seek cover, etc. Know the fire escape plan or create one for yourself. Make these things a habit.
- If you leave the team base, make sure that someone, preferably the Team Leader or the staff appointed to manage team security, knows where you are going, how long the trip will take and the estimated time that you will return. Create and USE an OUT/IN list if applicable.
- If you regularly travel between two fixed places, e.g., between living quarters and the base, try to vary the route as well as the time each day.
- When outside the UNDAC base, always stay together with another team member. Instigate a 'buddy system' if possible.
- When going into the field, ask people who have just been to the same place and travelled the same route about the security and safety situation. If possible, keep track of incidents on a map.
- Agree with UNDSS during the security briefing procedures to be followed in case of road accidents.
- If you are equipped with a helmet and/or a flak jacket or bullet-proof vest, make sure you use them; they do work and may save your life. Not wearing them may have legal consequences in case of injuries.
- When parking, be sure to park in a way that makes it fast and easy to drive away if necessary, e.g., do not park with the front of the vehicle against a wall or any other obstruction.
- Make it a rule that you never pick up people wanting a ride as you do not know who they are or what their intentions may be. Especially, do not pick up military personnel or police as they may be dangerous or they may be targeted which will then endanger you. Similarly, if you are stranded, e.g., because of breakdown, do not accept rides from the police or military for the same reasons.

- If you should be the target of a robbery: keep calm, be passive and talk only when spoken to, obey orders, be cooperative, avoid eye contact, and (in most situations) make it understood that you are a UN representative. Do not be provocative or play the hero. However, understand that no two situations are alike and you should use your own judgement when deciding a course of action.
- When driving, steer around potholes. They may actually be craters with unexploded ordnance or holes with mines. Be especially aware of small holes, as these may be the entry hole of shells. Just because other vehicles have gone through a pothole does not mean that there is not unexploded ordnance; it may survive 35 vehicles while the 36<sup>th</sup> will trigger it.
- Be cautious with cameras and smartphone-cameras. Photos should never be taken where there is military activity, soldiers or checkpoints.
- Be prepared for evacuation by always having a grab bag packed with private items, warm clothes, extra food and drink, a first-aid kit, and your helmet and flak jacket (if supplied).
- Always carry UN credentials and your passport. Should officials demand to have the passport, a photocopy of it may be useful to hand out instead of the passport itself. Even a duplicate passport may be useful.

## SITUATION

Good situational awareness is key to an effective and accountable humanitarian response. To achieve this, we need to maximize our ability to make sense of the available information. Essential to this is good information management, assessment and analysis, which are interdependent processes that require careful planning and attention to context. We also need to be able to effectively communicate our knowledge to others.

The visual below outlines the entire information management flow in a generic UNDAC mission. It can be used as a guide by UNDAC members to ensure that their efforts in managing information will lead to quality outputs and help them plan accordingly.



The Situation theme consists of four chapters that broadly follow the sequence of topics depicted in the information management flow:

## H. Information Management (IM) planning

This chapter includes information on how to scope and assess the information landscape, where to look for basic information during mobilization and deployment, how to develop your IM strategy and set up your folder structure.

### I. Assessment and Analysis (A&A)

This chapter includes basic principles of A&A and describes how to coordinate assessments and develop an analysis strategy. It contains tips for collection of data, processing of information and advice on how to conduct meaningful analysis.

### J. Reporting and Analytical Outputs

This chapter includes basic principles of reporting, information on standard UNDAC reports, and analytical outputs.

### K. Media

This chapter includes information on how to work with media, how to work with OCHA/UNDAC Public Information Officers and basic principles for use of social media.

## H. INFORMATION MANAGEMENT PLANNING

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The implementation and coordination of a humanitarian response requires access to as reliable, up-to-date and accurate information as possible. Decision-makers need to know who has been affected, what the needs are and how humanitarian actors are responding in order to develop a strategy that will direct resources to address priority needs and gaps and mitigate risks. To deliver timely and reliable data and information to humanitarian stakeholders, the information management process needs to be planned properly.

### H.1 The information landscape

From the moment the deployment notice is given, the UNDAC team should be ready to assess the information landscape of the emergency to which they are deploying. There are numerous pre-existing resources that will be useful and enable the team to hit the ground running. The better the team are prepared, the more helpful they will be in the humanitarian response.

It is important to keep an open mind about the structures and information management systems already in place in a given context. Once the team arrives, it will have to adapt to the context, create synergies and align information flows.

#### Before deployment

There are a number of tools and services used by the humanitarian community and development actors that UNDAC members should be aware of, use and/or promote during deployment:

- **UNDAC Mission Software (UMS)** – The UMS is the team's internal file sharing tool. A file structure is provided and some pre-existing information will be added during the deployment phase, including, if already available, preliminary situation analysis, country contingency plan and other UNDAC resources. See also Section C.3.1 for more on UMS.
- **The Global Disaster Alert and Coordination System (GDACS)** was created as a cooperation framework between the United Nations and the European Commission in 2004 to address significant gaps in information collection and analysis in the early phase of major sudden-onset disasters. For the past decade, GDACS has drawn on the collective capacity of disaster managers and information systems worldwide to facilitate international information exchange and decision-making. The integrated GDACS website (<http://www.gdacs.org>) offers the following disaster information systems and online coordination tools:
  - **GDACS Disaster Alerts** – These are issued and disseminated to some 25,000 subscribers immediately following sudden-onset disasters. The automated

estimates and risk analysis which form the basis of the alerts are provided by the European Commission Joint Research Centre (JRC) and the Global Flood Observatory.

- **Virtual OSOCC** – The VOSOCC is the first source of operational information in natural disasters, providing information on teams deploying to the emergency, the latest information on the situation, the status of essential infrastructure, etc. <https://vosocc.unocha.org>
- **The GDACS Satellite Mapping and Coordination System (SMCS)** – This is a platform for coordinating satellite imagery analysis and mapping provided by different satellite mapping groups during major disaster events. The SMCS is a tool that shows which satellite images have been collected, their coverage and which entity is working on what type of analysis. In addition to an operational coordination tool for satellite image analysis professionals, SMCS is also a metadata archive for past events and a discussion forum. This service is facilitated by the United Nations Institute for Training and Research (UNITAR) Operational Satellite Applications Programme (UNOSAT). <https://gdacs-smcs.unosat.org>.
- **Humanitarian ID (HID)** – HID is a contact management tool in disasters. Humanitarian responders can download the app and check into the country or disaster they are deploying to, enabling them to quickly get in touch with other actors. All team members need to check in individually. <https://humanitarian.id>.
- **HumanitarianResponse.info (HR.info)** – HR.info is a website that gathers operational information and enables clusters to organize themselves online. It includes a meeting calendar, a document repository and an assessment registry. It is normally activated shortly after the VOSOCC in a humanitarian emergency and will be maintained for months (sometimes years) after the disaster. <https://www.humanitarianresponse.info>.
- **Humanitarian Data Exchange (HDX)** – HDX is a data repository that can be used to download country information such as population statistics and administrative boundaries, including Common Operational Datasets (CODs) which are referential datasets needed to support operations and decision-making for all actors in a humanitarian response. Even if not familiar with reading datasets, it enables responders to have an idea of how many people are living in an area, how the country is structured, e.g., number and names of regions, etc. <https://data.humdata.org>.

CODs provide a common framework enabling data from different sources to be combined and analysed. There are two types of CODs: core CODs and country-specific CODs.

Core CODs are critical for information and data products and to underpin effective coordination. They are essential for effective risk analysis, needs assessment, decision-making, and reporting by OCHA and partners on all aspects of the response. Of these, the most critical datasets to support response are the basic administrative boundaries and population statistics. This data is typically provided by the Government or national authority. Caseload figures are available after an emergency and can come from a number of sources.

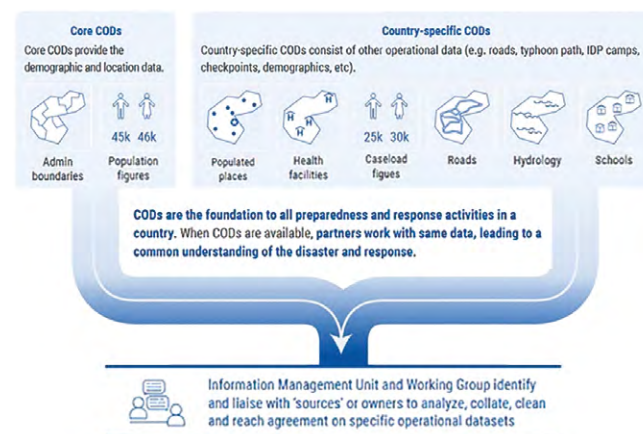


Figure H.1 Common Operational Datasets (CODs)

Country-specific CODs are defined at country-level based on local hazards and operational requirements. Examples include key infrastructure that could be impacted or used during relief operations, such as schools, health facilities and refugee camps; or topographical data such as rivers, land cover and elevation. This technical support package recommends CODs for each disaster type as well as detailed technical information on each dataset to help ensure they meet minimum standards for quality and accuracy.

See also <https://humanitarian.atlassian.net/wiki/spaces/ittoolbox/pages/42045911/Common+Operational+Datasets+CODs>.

- **ReliefWeb** – ReliefWeb is a website that serves as a document repository. Although less for operational information, useful documents may be found here, such as lessons learned or evaluations from past emergencies, situation reports, appeal documents, etc. <https://reliefweb.int>.
- **Redhum** - Like ReliefWeb, but with exclusive content for the Caribbean and Latin America. <http://www.redhum.org>.

### During deployment

When deployed, UNDAC members will need to familiarize themselves with the specific information structures and sources that may be used by the Local Emergency Management Authority (LEMA). It is also likely that development actors will already be present in the country. Here are a few tips on how to best approach the new context:

- **Conduct an IM stakeholder analysis** – Identify key actors, learn about the information they collect and share and how best to support them. If national disaster management officers are operational in the country, they will most likely have a working information cell that can provide first-hand information. Development actors often have programmes in remote areas with a lot of knowledge, access and

possibly logistical support. The important actors on the ground should be identified and a consultative process initiated to share and receive information, including ascertaining what information they can provide or help provide and how best to help them. The analysis should cover stakeholder characteristics such as:

- Position (strategic, programmatic, operational) in the emergency management architecture.
- Organizational mandate and strategic/political goal.
- Knowledge of the context.
- Subject matter or field of expertise.
- Geographic coverage of operations.
- Quality of information products.
- Contact-persons.

The stakeholder analysis will help determine who to contact with what requests, how to prioritize meetings, and what subjects to discuss. They may publish reports or provide online information which should also be used. A stakeholder analysis is an exercise serving more purposes than IM and should be an essential part of any Plan of Action (PoA). See also Section C.3.2 for PoA contents.

- **Consider resources** – The IM task is usually too large to be solved by one team member alone, and, if required, the team should ask for remote support once the gaps have been identified. This could come from an OCHA regional office, OCHA headquarters, or from an operational support partner (see Section B.5 for more on operational support). During the IM stakeholder analysis, key IM/analysis staff in other humanitarian organizations may be identified with whom to collaborate. Support may also be found by using the Digital Humanitarian Network (DHN), a network of volunteer organizations with IM capacity. <http://digitalhumanitarians.com>.
- **Handover procedures** – Any new IM processes and tools will need to be handed over as part of the handover/exit strategy. Try and minimize 'new inventions' and complicated processes. Always be aware that someone will most likely have to take over and maintain the processes created. If using a specific software or creating a complex database, others may not be able to take it on. Keep it simple.

In a nutshell, it is possible to assess the information landscape even before deploying. Once deployed, it is crucial to adapt to the context and link all information efforts to the UNDAC mission objectives.

## H.2 Information management strategy

Planning the flow of information, both externally and internally, should be an essential part of developing the PoA. See also Section C.3.2. This will become the team's information management strategy. In the first days, it can be as simple as a visual, showing communication lines between the UNDAC team and essential stakeholders, but later it should be expanded with more detail. The following key questions should help build the team's information management strategy:

- Who are our main counterparts for ongoing information exchange?
- What decisions need to be made by whom, and what information is required to make those decisions?
- Which products will the team issue, by when?

- How will we process, analyse and disseminate information?
- What communication lines, internal and external, should be established and what tools will we be using?
- How do we ensure the information runs smoothly within the team and between the team and the partners, i.e., how do we ensure the right information is in the right place at the right time?

The visual below gives a generic example of how a simple overview of external and internal communication lines, regular products and meetings may look.

It is important to define the tools you are using for internal and external communication, to have efficient communication within the team but also with external partners. When planning the information flow, think about how and with whom you are going to share specific information. For example, if a team member is attending coordination meetings, you will need to think through how the information the team member receives feeds back into the internal and external products you create.

### H.2.1 Folder structures and naming conventions

The way data is managed and processed impacts on the efficiency and effectiveness of the outputs, and the better organized the team is, the easier it will be to produce other products when required. The first step for storing of documents and data is to create an appropriate and intuitive folder hierarchy and regularly save copies in an external drive.

At the start of the mission, the UNDAC team will have access to a standard folder structure through the UMS which also contains numerous templates and background materials. The workspace provided is generic and should be adapted to the needs of the mission.

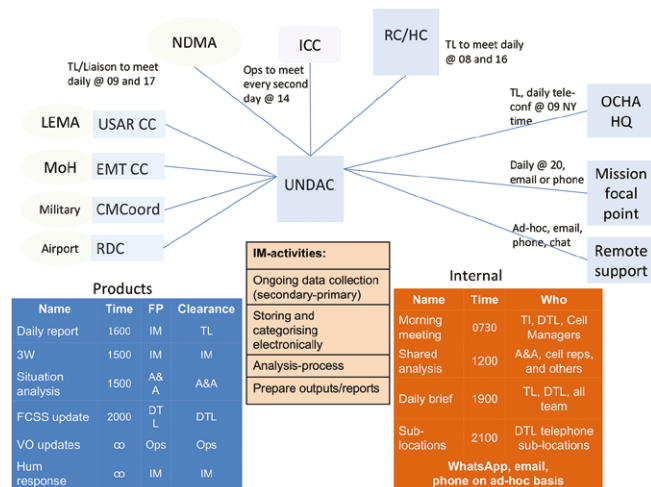


Figure H.2 Example overview: communication lines, products and activities



Managing the workspace should be the responsibility of the team member(s) in charge of information management.

When adapting the folder structure, it is important that only one or two persons make decisions on how it should look and the rest of the team follow their structure with discipline and consistency. If six or seven persons start making their own versions of an intuitive folder structure, it may easily turn into numerous different structures and information may be lost.

Even if there is no right or wrong when it comes to folder structures, it is better to avoid having too many levels of folders and sub-folders. Each main folder should have no more than two sub-folders. Otherwise, it is easy for users to get confused and lose track of where they are and where they started. Adding labels is a useful tool for categorizing files as they are not dependent on the file structure and can have multiple labels where necessary. For example, regularly accessed files or folders stored across multiple locations can be given the same label, thus enabling them all to appear in the same 'virtual folder' corresponding to the label. Such files (and folders) might include stakeholder map, workplan, UNDAC reports, etc.

Consistency is important, not only with the folder structure but also with the naming convention for folders and files, including version control, and to be effective, everyone must follow the same rules.

Both for folders and files, names should be:

- Unique.
- Indicative of what the file contains.
- Quickly scannable by the human eye, i.e., no codes or disturbing use of special characters like underscores, hyphens or dots */E* these are not needed.
- Naturally ordered, alphabetically or numerically starting with 00, 01, 02, etc.
- For version control, include the date in an agreed format, e.g., yymmdd. This will also order files sequentially.
- Above all else, the naming convention must be used consistently!

### **Best practices**

The UNDAC team should drive good practice and be the one sharing templates with partners for the reporting of response data, e.g., 3W information on Who is doing What and Where. Templates are in the UMS.

Furthermore, think about how to store and share the data and information. If it is sensitive, it may only be shared in the UMS using comprehensive naming conventions for the files. If it is of greater benefit to the whole humanitarian community and not confidential, it can be shared through tools like HDX (for data), the VO and HR.info (for information).

The data and information will most likely not be complete and quickly outdated. Don't make this stop the team from sharing it. A simple disclaimer in the dataset or report mentioning the shortfalls will be sufficient in many cases.

### **Humanitarian IM principles**

Information overload is inevitable. Filtering will be necessary to prioritize information and ways found to reconcile conflicting information. Handling information (over)flow is one of the biggest challenges in a humanitarian response and IM responsibilities need to be spread

across the team to avoid any one person becoming a 'bottleneck' and holding up information flow within the team.

The following humanitarian information management principles provide a solid base for handling information:

- **Accessibility** – Humanitarian information should be made accessible by applying easy-to-use formats and tools and by translating information into common or local languages when necessary.
- **Inclusiveness** – Information exchange should be based on a system of partnership with a high degree of ownership by multiple stakeholders, especially representatives of the affected population and Government.
- **Interoperability** – All shareable data and information should be made available in formats that can be easily retrieved, shared and used by humanitarian organizations.
- **Accountability** – Users must be able to evaluate the reliability and credibility of information by knowing its source and having access to methods of collection, transformation and analysis.
- **Verifiability** – Information should be relevant, accurate, consistent and based on sound methodologies, validated by external sources, and analysed within the proper contextual framework.
- **Relevance** – Information should be practical, flexible, responsive, and driven by operational needs in support of decision-making throughout all phases of a crisis.
- **Objectivity** – A variety of sources should be used when collecting and analysing information so as to provide varied and balanced perspectives for addressing problems and recommending solutions.
- **Neutral** – Information should be free of political interference that distorts a situation or the response.
- **Humanity** – Information should never be used to distort, to mislead or to cause harm to affected or at risk populations and should respect the dignity of those affected.
- **Timeliness** – Humanitarian information must be kept current and made available in a timely manner.
- **Sustainability** – Humanitarian information should be open sourced, preserved, catalogued and archived, so that it can be retrieved for future use, such as for preparedness, analysis, lessons learned and evaluation.
- **Confidentiality** – Sensitive data and information that are not to be shared publicly should be managed accordingly and clearly marked as such.

## I. ASSESSMENT AND ANALYSIS (A&A)

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### I.1 Assessment and Analysis basics

Assessment and Analysis (A&A) is an essential component of UNDAC missions. It includes collecting and processing data from multiple sources and using tailored methods to produce timely and usable information for decision-making.

- **Assessment** – This can be defined as a way to identify and measure the humanitarian needs of disaster-affected societies.
- **Analysis** – This can be defined as the process of interpreting available information, including ‘raw’ data, to identify significant facts, trends and anomalies to inform decision-making.

The aim of an A&A process is to help understand a humanitarian situation by identifying the main problems, their source and consequences. The purpose of A&A is not to identify an intervention directly, but to describe the most urgent problems and their causes. Suggesting a response activity comes after the problems have been identified and taking into consideration lessons learned, response capacities (national and international), recovery plans, pipelines and access.

For UNDAC teams on emergency mission, the overall purpose of A&A will almost always be to assist the Government, the Resident Coordinator/Humanitarian Coordinator (RC/HC) and the Humanitarian Country Team (HCT) of an affected country in its strategic decision-making by identifying and prioritizing needs for disaster relief assistance. In many cases, this is the mission’s main objective. It is important to remember, however, that A&A are processes, not simply visits to the field to have a look at what is going on – doing this in

an unstructured, ad-hoc manner resembles disaster tourism. Effective A&A work involves the setting of clear objectives, a minimum of planning for collection, collation and analysis of both secondary and primary data (see Section 1.2.3 for definitions), and formulation and reporting of evidence-based recommendations. As a rule, any visits to the field involving the collection of information should have a clear objective, be structured and include a minimum of preparations.

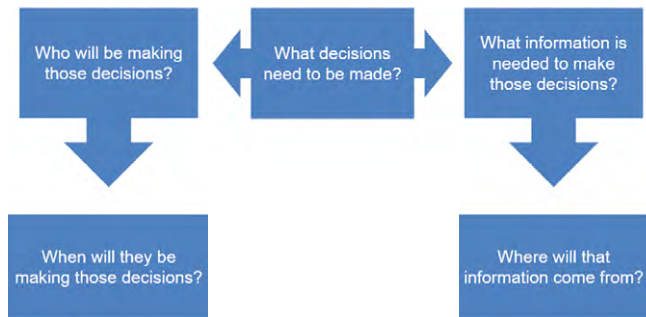
For assessments and other information-collecting exercises, there are four general principles that apply:

#### **Know what you need to know**

The amount of data and information we are bombarded with through all sorts of media and forms of communication is steadily increasing. This is also the case in emergencies, and data collection efforts need to be targeted in order to not waste resources gathering information that is not useful.

What information is needed, and when, must be defined and narrowed down to the point that it becomes clear exactly what we need to find out and why. It is all about being specific. All information collection processes in emergencies should be linked to coordination of relief, priorities, related decisions, and who will be making those decisions.

Therefore, always begin by asking the questions depicted in this flowchart.



**Figure I.1 Decision-making and information needs**

The answers to these questions will create a framework for organizing the work. The need for accuracy will be balanced by the need for speed and timeliness, and thus help further define what needs to be found out.

In many sudden-onset emergencies, especially in the first, chaotic phase, the objectives of assessment and analysis are not that different from one disaster to the next. They should contribute to the overall common operational picture, focusing on identifying:

- Scope (how large) and scale (how many) of the crisis.
- Most affected geographic areas.
- Most affected population groups.
- Most affected sectors.

- Priority needs by humanitarian sector, and inter-sector, i.e., combined needs.
- Drivers, i.e., the underlying factors or root causes that are driving a crisis and its most acute problems, or possible chain of events forward.
- Vulnerabilities and risks.
- Operational constraints.

#### **Make sense not data**

Too many A&A products nowadays mix data and reports together without further explanation and leave all interpretation to the reader. A&A needs to be explanatory and not just a descriptive summary of what the problems are. An explanation is needed as to why the problems are as they are and possible consequences highlighted.

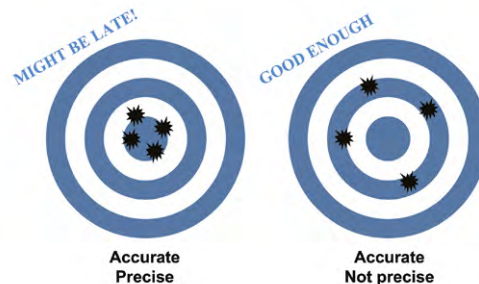


**Figure I.2 Reporting vs. analysis**

One should seek to analyse more and report less. Simply collecting information, re-packaging it and passing it on is not good enough. More information does not mean being better informed. Interpret what the data means as opposed to just summarizing facts and figures.

#### **Better to be approximately right than precisely wrong**

A&A in emergencies comes with caveats and uncertainty is more the rule than the exception. Proper analysis takes time, but taking time is a luxury one cannot afford in a crisis. When human lives are at stake, decisions need to be made quickly; but a minimum of information



**Figure I.3 Precision vs. accuracy**

will still be needed before deciding where to go. Basing important decisions on biased assumptions and opinions, without any facts or evidence to back them up, is dangerous even at the best of times. Making timely analysis with caveats is far better than no analysis at all.

Instead of aiming for precision too early in the response, settle for accuracy and design a process that is 'good enough' to allow timely decisions to be made.

Being 'good enough' means choosing an achievable solution; most likely a simple rather than a complicated one. In emergency response, a quick and simple approach to needs assessment may be the only practical possibility.

Be aware, however, that decision-makers will still need to be convinced and arguments made that the recommendations stem from an approach that gives the best option *given the urgency of the situation and the available time and information* for decisions that need to be made quickly. Too often, when operational disaster managers bring A&A findings to political decision-makers, more detail is requested and decisions postponed as they are not comfortable with the lack of information and the level of uncertainty, hence do not want to take political responsibility.

### A&A cycle

A&A are not one-off events, but iterative, meaning that each A&A process should build on the previous one since the information required becomes more detailed, sector-specific and long-term as the response develops.

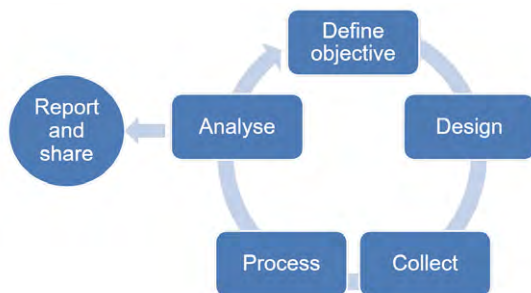


Figure I.4 A&A cycle

For UNDAC teams, this means that the first reports will most probably be based on a limited number of reports from other sources. Once enough secondary data is collected, however, further assessment of the situation can be complemented by targeted field visits to collect observations and primary data.

### I.2 Assessment coordination and analysis strategy

Humanitarian responses to large-scale disasters are becoming increasingly crowded. The same applies to assessments. Finding an appropriate assessment coordination strategy depends on many factors: the information needs for decision-making; the level of assessment preparedness in the country; the number and capacity of organizations

conducting assessments; type and timelines of their findings; the ability of the coordination team to capture and consolidate those findings; and UNDAC's specific role and mandate in the respective emergency; to name but a few.

The Inter-Agency Standing Committee (IASC) Operational Guidance for Coordinated Assessments in Humanitarian Crises distinguishes between:

- **Harmonized assessments** – Conducted separately by organizations, but in a manner that allows comparison of results (using a common operational data set, sharing key questions or indicators) and avoids gaps and duplication (by ensuring a minimal geographic and temporal synchronization).
- **Joint assessments** – Conducted jointly using one methodology, shared resources and a collaborative approach when analysing the findings.

The full document can be downloaded at <https://interagencystandingcommittee.org/needs-assessment/documents-public/operational-guidance-coordinated-assessments-humanitarian-crises>

Experience shows that parachuting into a disaster without any in-country preparation or coordination structure and producing timely, comprehensive yet granular results is an enormously difficult feat. To deal with this challenge, it is important to think of a simple strategy that enables an UNDAC team to bring some order into the assessment context, to develop and maintain a shared understanding of the situation within available resources, and to provide timely decision-making support to governments and partners. This strategy should, at a minimum, consider three elements: how the team organizes itself (internal analysis set-up), how the external coordination could be set up (assessment coordination), and what approach and tools (analysis plan) are required to answer the key questions introduced in Section I.1, above:

#### Internal analysis set-up

- Appoint within your team a clear focal point for managing assessments and facilitating analysis.
- Allocate sufficient resources to this function.
- Ensure effective linkages and collaboration with other OSOCC functions.
- Explore how much of the information management work and analysis can be delegated to remote support teams.

#### Assessment coordination (external set-up)

- Communicate clearly the purpose and capacities of the A&A function within the team or OSOCC.
- Explain the importance of coordinating assessments (sharing of data and findings, synchronizing planned assessments, encouraging shared analysis, reducing assessment fatigue, and maximizing use of available resources).
- Make A&A a recurrent briefing point during the coordination meetings.
- In larger emergencies, set up a small, dedicated assessment working group. In smaller emergencies, one should seek to utilize existing platforms, e.g., general coordination meetings, IM working groups, or similar.
- Set-up an e-mail and assessment registry so assessment findings can be easily collected and shared.

### Planning for data collection and consolidation (analysis plan)

- Develop an analysis plan (see Section I.2.3) that identifies the key questions, how they can be best answered with reasonable resources and what methods and tools are available to answer them. Depending on the context, time and resource constraints emphasis might be put on secondary data analysis.
- Where significant information gaps remain, it might be necessary to organize a Multi-Cluster/Sector Initial Rapid Assessment (MIRA). See also Section I.2.4. In a larger emergency, it will be likely a combination of ongoing secondary data analysis, the execution of a MIRA as well as coordination of ongoing and planned assessments.

#### I.2.1 Internal analysis set-up and A&A Cell

Key to successful A&A coordination is the allocation of sufficient, dedicated resources with clear responsibilities within the team. While all functions in an UNDAC team contribute to analysis, there needs to be a designated lead. In small emergencies, there should be at least one person with an A&A profile supported by an information manager and GIS expert. For larger emergencies, it is recommended to set up an A&A Cell. See Section M.3.2 for structuring and set-up of an OSOCC A&A Cell.

During mobilization of an UNDAC mission, the A&A function may be established virtually, drawing on capacities of OCHA specialized sections, regional and/or country offices, and UNDAC operational partners, e.g., ACAPS, UNOSAT, MapAction, REACH, etc.

The A&A Cell is part of the Situation Function of an OSOCC where all assessment and analysis processes are being managed. It focuses on collection and analysis of secondary and primary data and works closely with information management resources.

Purpose of an A&A Cell:

- To develop a shared understanding of the humanitarian situation, in particular current and forecasted humanitarian needs, priority areas, groups and sectors, and gaps.
- Support OSOCC management (and RC/HC as required) in developing an operational picture of the humanitarian situation and inform multi-sectoral strategic decision-making.
- Help coordinate ongoing assessments and facilitate joint analysis among humanitarian partners (Government, agencies, clusters, NGOs etc.).

Main tasks:

- Manages external coordination of assessments and analysis with clusters, agencies and the Government, e.g., through the establishment and facilitation of an Assessment Working Group (AWG) (see I.2.2) and participation at cluster and INGO coordination meetings. ToRs for AWGs can be found in the UMS.
- Manages the internal consolidation of information and coordination of analysis with other OSOCC functions and cells and the RC/HC's office, as required.
- Produces regular situation analysis reports/briefings and the outputs specified below in consultation with other functions and the RC/HC's office, as required. Works closely with mapping team.
- Leads secondary and primary data analysis (the review of secondary data might be supported remotely, depending on the cell's set-up and available remote capacity).

- Coordinates field assessments (primary data collection), and leads the MIRA process, when initiated. See also Section I.2.4.
- Manages external communication (through e-mail, web content and meeting participation) on analysis and assessments in consultation with the OSOCC management.

Data management and information management tools:

- A&A Cell webspace, which is a site where products, reports, contacts, meeting schedule and the assessment registry is hosted e.g., HR.info or VOSOCC.
- Assessment Registry, i.e., table or database of conducted and planned assessments tagged by date, organization, location and sectors, with links to reports, ideally hosted on a website, e.g., HR.info.
- Database with pre-crisis data (population, demographic breakdown, poverty data, lessons learned) and in-crisis data, tagged by problem type, location, severity, reliability, date, relevant analytical categories, sector, vulnerable groups and source. A template is provided in the UMS.
- Database visuals.

#### A&A phases

The following list outlines activities and outputs during a generic UNDAC mission to large-scale emergencies. For medium-sized emergencies, with less resources available, an adapted version may be used.

- **PHASE I (72h)** – Activation of virtual A&A Cell to immediately initiate secondary data analysis while UNDAC team is deploying. UNDAC operational partners with an A&A profile may immediately start the remote analysis work and initiate and lead the drafting until otherwise decided by collaborating partners. Initial outputs:
  - Initial situation analysis including estimates of areas and population exposed to principal hazard, analysis of pre-crisis vulnerabilities and livelihoods, and lessons learned from previous disasters.
- **PHASE II (first three days following in-country arrival)** – Gradual handover from virtual to on-site A&A Cell with focus on setting up an appropriate coordination structure (AWG), concentrating secondary data analysis on most affected areas and developing a primary data collection plan. Main outputs:
  - Secondary data: Updates of initial situation analysis, completion of an initial country profile plus a more detailed profile of most affected district/region.
  - Primary data: assessment coordination and harmonization approach agreed with main stakeholders, and design and agreement on primary data strategy best adapted to emergency context.

Possible assessment contexts may include:

Scenario	Description	Opportunities and challenges
Emergency-wide joint assessment (MIRA)	Initial multi-sectoral rapid assessment under the leadership of the RC/HC and agreed with cluster leads.	<ul style="list-style-type: none"> <li>• Level of preparedness</li> <li>• Buy-in vs. speed</li> <li>• Expectations vs. limitations</li> <li>• Timeliness of results</li> </ul>

Scenario	Description	Opportunities and challenges
Targeted MIRA and assessment coordination	A MIRA is conducted in areas with clear information gaps while coordination of sectoral assessment and secondary data analysis is ongoing.	<ul style="list-style-type: none"> <li>Assessment proliferation</li> <li>Informing response continuously</li> <li>More granular assessment</li> </ul>
No joint assessment, but focus on coordination and harmonization	Emphasis on secondary data analysis as well as assessment coordination and harmonization.	<ul style="list-style-type: none"> <li>Assessment proliferation</li> <li>Dependence on data sharing willingness and timeliness</li> <li>Adherence to harmonized approach</li> </ul>

- PHASE III (week 2 and 3 following in-country arrival)** – Full implementation during which secondary data analysis will further zoom in on the emergency and explore specific thematic areas, and with higher granularity in geographical areas. Primary data should be coordinated and/or directly collected to address information gaps and confirm initial hypotheses. In larger emergencies, the A&A functions will also be supported at sub-OSOCC level. Main outputs:
  - Secondary data: Ongoing analysis of most affected areas, vulnerable groups and most urgent humanitarian problems while ensuring sufficient support to possible sub-OSOCCs.
  - Primary data: Briefings based on initial data from joint and harmonized assessments. Advanced draft report developed.
- PHASE IV (exit)** – Ongoing needs analysis will be required beyond the UNDAC mission cycle. In these cases, efforts should be made to plan for a seamless transition and the following options should be considered:
  - If OCHA is present it will take on the coordination functions established by the OSOCC and the A&A function should be managed by an OCHA Assessment Coordinator. Continued support from partners will likely be required to maintain an effective analysis function even if reducing the tasks of the function.
  - In absence or phase-down of OCHA capacity, the A&A function could be transferred to the RC/HC's office. Capacity will likely be smaller requiring a prioritization of assessment related tasks.
  - In absence of any UN capacity, the A&A function and its tools should be transitioned to the host Government. This should be accompanied by appropriate capacity building.

Below is a list of recommended outputs. Each output is explained in more detail in the UMS. Depending on the capacity and set-up of the A&A Cell, some outputs will need to be prioritized.

Type	Content	Phase
Situation analysis	Initial overview of humanitarian impact.	I
Exposure estimates	Initial estimates of people exposed to a hazard.	I
Caseload estimations + Humanitarian profile	Estimates and description of vulnerable people exposed to a hazard and explanatory note.	II
Geographic profiles	Analytical overview of affected districts, disaster zones or livelihood zones.	II and III
Thematic reports	In-depths reports focusing on an area of special interest, e.g., market functioning, protection issues in IDP camps, lessons learned from previous responses in the country, etc.	II and III
Gap analysis	Information and response gap analysis.	III
Periodic briefing packages	Updates for RC/HC and coordination meetings as required.	II and III
Assessment coverage maps	Geographic visual of assessment registry illustrating where assessments have taken place, ideally broken down by sector.	III
Assessment findings	Preliminary results of direct observations or MIRA-type assessments conducted by the UNDAC team and partners.	III
Assessment reports	Preliminary results of direct observations or MIRA-type assessments conducted by the UNDAC team and partners.	III and IV

## 1.2.2 Assessment coordination (external set-up)

One of the main roles of the UNDAC team will be to support the coordination of assessments and analysis. As a minimum, a dedicated e-mail address should be created so assessment information can be easily shared with the team and make assessment coordination a regular discussion point during coordination meetings.

The main points to discuss with partners are:

- Creation of an assessment working group (AWG) or use of an existing platform.
  - Rationale: When general coordination meetings become too crowded, both in terms of participants and topics to cover, it is advisable to separate the discussion and bring together technical partners to focus only on assessments and analysis issues.
  - Tools: Sample TORs for an AWG can be found in the UMS.
- Encourage a timely sharing of information about conducted and planned assessments.



- Rationale: Help the response community avoid gaps and duplications.
- Tools: Dedicated e-mail address for A&A focal point, assessment registry and assessment coverage map.
- Encourage timely sharing of assessment findings and data, and participation in shared analysis sessions.
  - Rationale: Partner organizations will benefit from the findings and the UNDAC team can use them to facilitate shared analysis and develop multi-sectoral analytical outputs.
  - Tools: Dedicated e-mail address for A&A focal point, survey of surveys, regular shared analysis sessions (see Section I.5.3), PowerPoint and report templates.
- Encourage planned assessments being conducted in a harmonized manner. This can be achieved by helping partners coordinate which areas they will cover, harmonize their questionnaires, e.g., by agreeing on a core set of questions that are formulated in the same manner) and pool their resources.
  - Rationale: Less risk of assessment fatigue and greater potential for meaningful multi-sectoral analysis.
  - Tools: Assessment registry, standard questionnaire, assessment coverage maps, sampling coordination tables.

### I.2.3 Planning for data collection and consolidation (analysis plan)

During every emergency there is a set of key questions that will help you understand a humanitarian situation. To determine how these questions can be answered within available resources, it is recommended to develop a simple analysis plan that breaks the question into its sub-components, the potential data sources and analytical output.

The table below shows an extract of a sample analysis plan, showing the link between key questions and analytical outputs.

Example Analysis Plan				
Key question	Core Domain / Key Thematic Issue	Sub-components	Data Source	Analytical output
# people who potentially suffered significant damage to their shelter from tropical cyclone X	(Multi-sectoral) Scope and scale of disaster	Cycle path + destructive wind speeds	National weather institutes (secondary data)	Map showing cycle path disaggregated by Cat 1 and above wind-forces
		Population living in affected areas	Census, WorldPop (secondary data)	Table with population broken down by appropriate administrative level, wind-force and where possible with % of population living in vulnerable shelter conditions
		Building type	National statistics, World Bank (secondary data)	

During the first days, the main questions typically revolve around:

- Which areas have been affected by the disaster and, of those, which are the most affected?
- How many people have been exposed to the disaster impact and how many live in the most severely affected areas?
- What are the pre-crisis vulnerabilities and livelihoods of the affected population and who are the most vulnerable?
- What are the local and national response capacities and how are they responding?
- How severe is the crisis, i.e., strength of earthquake/hurricane compared a resilience of population, its infrastructure and response capacity?
- What are the most urgent problems?

The MIRA Analytical Framework (see also Section I.5 Analysis) provides an overview of standard themes and questions that apply to any given emergency.

Information to help answer the above questions can be obtained through numerous sources and come in a wide variety of formats. Whatever the information source, its information content can be classified either as secondary or primary data. Both are equally important and should complement each other.

Secondary Data	Primary Data
Information collected by someone else, which may have undergone some analysis.	Data collected directly through field work for the purpose of your data collection and not analysed.
For example: <ul style="list-style-type: none"> <li>• Contextual knowledge</li> <li>• Baseline data</li> <li>• Lessons learned</li> <li>• Web sources</li> <li>• Assessment reports</li> <li>• E-mail</li> <li>• Media reports</li> <li>• Satellite image analysis (see also Section J.2.1)</li> <li>• Photos/videos</li> <li>• Social networks</li> <li>• Messaging apps</li> <li>• Meetings &amp; briefings (other responders)</li> </ul>	For example: <ul style="list-style-type: none"> <li>• Meetings and briefings (affected population)</li> <li>• Phone calls</li> <li>• Interviews</li> <li>• Field visits</li> <li>• Direct observations</li> </ul> <p>Note: these examples are only primary data if conducted by the UNDAC team itself or carried out to inform UNDAC outputs. Otherwise they should be classified and treated as secondary data.</p>

### I.2.4 Multi-Cluster/Sector Initial Rapid Assessment (MIRA)

The MIRA is an approach developed and agreed by the IASC for conducting rapid multi-sectoral needs assessments. The MIRA helps to develop a shared understanding of the

situation including the scope and magnitude of the crisis, most affected areas, most vulnerable groups and most pressing problems.

The MIRA consists of two main steps:

- 1) The consolidation and analysis of available secondary data.
- 2) The conduct and coordination of field assessments to fill information gaps and check findings from the initial analysis.

The main methodological elements of the MIRA are:

- The collection, organization and analysis of both secondary and primary data, guided by the key questions that need answering and the analytical framework developed on that basis (see Section I.4)
- The 'good-enough' approach, recommending a purposive sampling method and focused at the community level (key informants) instead of household level in the initial stage of a disaster.

The MIRA is designed to enable a timely generation of findings, with comparatively few resources, in order to inform initial strategic decision-making and further in-depth assessments with a more operational focus. The main added value of this design lies in the rapid and continuous feedback of results into ongoing operations, NOT in the production of a glossy and widely-consulted report that most likely will suffer from delayed publication. While findings derived from the first step, i.e., the analysis of secondary data, should be captured in an initial Situation Analysis (see Section J.2. Analytical outputs), and from the second step in the MIRA report, there should be a continuous feedback of findings to coordination meetings on an ongoing basis.

Depending on the context and information gaps, the MIRA should be adapted, putting either more or less emphasis on primary or secondary data. It may often be possible to develop an initial common understanding of the most pressing priority needs, affected areas, and main affected groups using secondary data alone. However, primary data will be required to fill gaps and to provide a voice, albeit limited, to the affected population in identifying what they express as their most urgent needs and what type of assistance they would prefer.

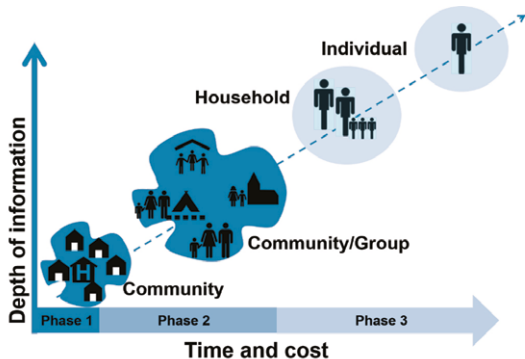


Figure I.5 MIRA phases and detail over time

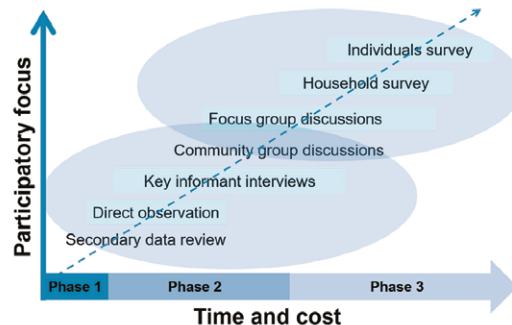


Figure I.6 MIRA phases and data collection techniques

The MIRA is designed to provide an initial situation overview to aid decision-makers in identifying priority areas during the first phase of response. It is not designed to provide the detail necessary to inform specific and localized humanitarian interventions, nor does it substitute in-depth sectoral assessments. It is important to understand what the MIRA can provide and what it cannot, and that this be made clear to decision-makers and stakeholders. A common misconception is that the MIRA provides statistically representative figures; it does not. At this stage of the emergency, this is neither feasible nor recommended, given the dynamic nature of a crisis in the early phase and the inability of responders to absorb and utilize such detailed information before it becomes outdated. Numbers of people affected/in need etc. should be only estimated using secondary data.

Depending on the magnitude of the crisis the UNDAC team might initiate the MIRA process until OCHA reinforcement arrives. In smaller emergencies where no additional surge can be expected, the team might conduct a fully-fledged MIRA. The initiation of a MIRA process, however, needs to consider added value and operational space. In a context where a host

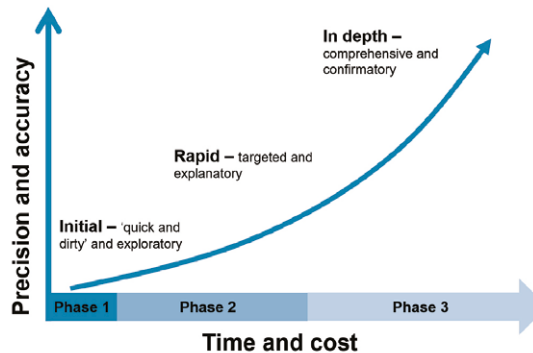


Figure I.7 MIRA phases and types of assessment

government does not allow for other assessments to take place, the team will have to analyse how a MIRA can best complement national efforts and adapt their strategy accordingly. It is important that any MIRA is led or overseen by an Assessment Expert.

It should be noted that there is a risk that a MIRA may take a long time to plan, execute and finalize. Experience shows that in countries where there has been no previous experience with assessments of this type, little or no pre-disaster assessment preparedness work, or where there is a lack of buy-in from key stakeholders, joint assessments may take up to six weeks to complete. This is a timeframe that may produce outdated results and where the costs may outweigh the benefits.

See the latest MIRA Guidance for more information. This, and a standard questionnaire, situation analysis and reporting template can be found in the UMS or at <https://www.humanitarianresponse.info/en/programme-cycle/space/document/multi-sector-initial-rapid-assessment-guidance-revision-july-2015>

### I.3 Data collection

As mentioned above, data falls into two main categories: secondary and primary data.

#### I.3.1 Secondary Data Review (SDR)

A Secondary Data Review (SDR) can be defined as a *rigorous process of data collation, synthesis and analysis building on a desk study of all relevant information available from different sources such as the government, NGOs, UN agencies, media, social media, etc.*

Even a basic SDR can provide valuable information. As a minimum, researching population figures, existing basic services that functioned before impact, which vulnerable groups lived in affected areas before impact and what they lived on, can give you a solid background for comparison with in-crisis data.

Section T.7 provides an extensive list of secondary data sources including web links.

Secondary data comes in different types and formats, depending on the source, e.g., quotes, descriptions, or just text describing facts, figures or a general situation. Every relevant piece of data needs to be captured and stored in such a way that it can be easily retrieved during the analysis process.

The data should be transcribed from its original format into something that can be used for further retrieval, processing and analysis, e.g., spreadsheet, Word, Excel or other specialized software. A simple template can be found in the UMS.

For example, secondary data can be tagged with various attributes:

- Date
- Geographical location (admin level)
- Population group
- Sector
- Type of source
- Web link
- Reliability-coding

#### Know what you need to know – consult your analysis plan

- Scope and scale
- Geographical areas
- Population groups
- Identified priority sectors
- Drivers and aggravating factors
- Vulnerabilities and risks
- Operational constraints

#### Identify sources – check for reliability and relevance

Source	Examples
National Institutions	Government ministries, universities and research institutions, local authorities
United Nations agencies, international and national NGOs	Situation reports, assessment reports, cluster meeting minutes, funding appeals, humanitarian profiles, epidemiological profiles, disaster summary sheets
International and local media	Television reports, newspaper and magazine articles
Geospatial data and satellite imagery	UNOSAT, Google Earth
Databases and datasets	EM-DAT, PreventionWeb, ALNAP Evaluative Reports Database, Common Operational Datasets
Websites	ReliefWeb, Alertnet, Shelter Centre Library, Devinfo, UN country portals
Social media	Facebook, Twitter
Large-scale surveys	Demographic and Health Surveys (DHS), Multiple Indicator Cluster Surveys (MICS), censuses

Figure I.8 Secondary data sources

These attributes can later be used as filters when searching for data answering a specific question or pertaining to a specific area, sector, or similar. Number and type of attributes should be guided by the overall purpose of the information system.

In large-scale emergencies, an online platform might be used for secondary data processing. This system allows snippets of data to be easily copied directly from an electronic text into an analysis model (see Section I.4.1 for more information on use of models), bypassing the need for a separate database. This method makes SDR more efficient but requires expert coaching/mentoring before operating. In such cases, SDR experts will support the UNDAC team, remotely and/or by being deployed alongside the team.

#### Reliability

Assessing secondary data, and evaluating how good it is, is perhaps one of the most difficult areas of SDR. How solid is the information found? Is it biased? Is it just well-presented or polished propaganda? Or is it something to be trusted and used?

Often the quality of the data is closely connected with how well the source is trusted, i.e., how reliable it is perceived to be. The following codification system is an example for assessing data reliability. Similar codifications are widely used by law-enforcement,

intelligence agencies and media houses around the world, as well as humanitarian responders. The source can be rated with a code on a scale of A-E when storing the data in the table or database.

Reliability	Outcome	History of reliability	Expertise	Motivation for bias	Transparency on origin of data
A	Reliable	Yes	Yes	No	Yes
B	Fairly reliable	Yes	No	No	Yes
C	Fairly unreliable	No	No	Yes / No	Yes / No
D	Unreliable	No	No	Yes	No
E	Cannot be judged				

Figure I.10 Data reliability codification system

Alternatively, numbers, colour-coding, or a combination can be used. Whatever the system, however, it should be employed consistently.

Remember that even a reliable source can be wrong, just as a questionable source can be correct. Be critical of the data and flag inconsistencies which may support later analysis. While working with secondary data, consider the following questions:

- Does this piece of information make sense?
- Does it fit with the general context?
- Is it relevant, or outdated and should be categorized as pre-crisis data?
- Is it plausible?
- Does it confirm or contradict other pieces of data?
- Is it 'independent' data or just a rehashing of the same data, e.g., an international media report quoting a national media report that quotes a government report?

Even if analysis forms a later stage of the process, it is important to remember that analysis starts as soon as two pieces of data can be put together, compared and questioned.

In most cases, the picture will need to be complemented by collecting primary data. The objective of the SDR is to help narrow down the locations for field visits.

I.3.2 Primary data collection

SDR will rarely answer all questions and field visits to collect primary data will be needed in under-assessed areas and to check hypotheses from secondary data. Field visits, however, need to be planned and structured, even in the simplest form. Information objectives should be thought through, which questions need to be answered/are relevant to help gather key information, what should be observed/looked for when in-situ, what resources are required, etc.

There are four broad purposes for primary data collection:

- To check findings of secondary data analysis.
- To elaborate the findings of secondary data analysis, i.e., go deeper.

- To fill gaps in secondary data, i.e. gather data where no data exists.
- To answer key questions from the analysis plan.
- To identify specific response information, i.e., beneficiary priorities, delivery means, appropriate interventions.

Even if an overarching analysis plan is made, a detailed plan for the field visits themselves will be needed. The visual below shows a sample structure.

A template for field visits to collect primary data can be found in the UMS.

I.3.3 Primary data collection methods

When collecting primary data for rapid needs assessments, there are generally three methods. Choice of methods should be based on the analysis plan.

- Key informant interviews.
- Direct observation.
- Community group discussions.

The best results will most probably involve a combination of all three. For example, when driving on a field trip to interview key informants, direct observation is used during the journey. However, care should be taken with these observations as less accessible areas may present a very different picture. Once at a site, some members of the assessment team conduct interviews or community group discussions, while others walk around and observe conditions following a checklist. A sample checklist can be found in the UMS.

See Section L.3.7 for gender considerations to ensure that the circumstances, needs, priorities and capabilities of women, girls, men and boys from diverse groups are captured.

Key informant interviews

A key informant interview is a structured conversation with a selected individual who has prior knowledge of the affected community in order to gather information on the consequences and effects of the disaster and ensuing community needs. This information creates a shared view of the community's perspective as to the impact of the crisis and humanitarian concerns. Characteristics of key informants are that they are well versed in knowledge of their communities, its inhabitants, the site visited and/or the crisis, due to their

- **Mission Objective**
- **Site selection**
  - What sites will be visited
- **Methodology**
  - Techniques
  - Form / questionnaire

- **Team composition**
  - Roles
  - Assignments
  - Team locations
- **Logistics**
  - Transport, comms, routing, etc.
- **Admin**
  - Interpretation, supplies, etc.

- **Safety**
  - Clearance
  - Escort
  - Emergency procedures
- **Pre-departure**
  - Training (KoBo, etc.)
  - Equipment check
  - Briefing

- **Data Sensitivity**
- **Uploading to database**
- **Reporting**

Figure I.11 Sample field visit plan

professional background, leadership role or personal experience, e.g., a village elder, a camp manager, local authorities, mayor, or people with more technical knowledge representing specific professions, such as health workers or school teachers. A key informant interview is cost-effective with regards to time, financial, and human resources.

There are two types of interviews, each of which have a different approach and different advantages:

Semi-structured	Structured
HOW? Uses a checklist of open-ended questions in conversation to stimulate discussion on specific topics. Answers are recorded in narrative style.	HOW? Uses a questionnaire on selected topics to ensure that all interviews address the same issues in the same way. Answers to the questions are selected from a list of options. Important to have an 'other/specify' option to capture any unforeseen responses.
WHY? Analysing interviews is labour-intensive since the conversation may be quite wide-ranging, but answers can be summarized around main points and then placed into categories to show informants' priorities. Summary sheets can then be aggregated and compared to identify patterns and priorities.	WHY? Easier to aggregate and compare answers with more precision than semi-structured interviews. Designing the questionnaire requires expertise and experience. Informant selection is critical and carrying out the interviews can be labour-intensive.
Semi-structured is good when it is not yet known what needs to be measured and a topic needs to be generally explored, hence set responses to be included in a structured questionnaire cannot be identified.	Structured is good when what needs to be measured is known and responses for each question can, therefore, be designed. Particularly suitable for mobile data collection which speeds up the data processing significantly since data entry is conducted during data collection.

It is recommended to use semi-structured interviews for capturing information that cannot be pre-coded in a questionnaire, or when contextual information is needed to better understand perceptions.

### ***Dos and don'ts while interviewing key informants***

Conducting key informant interviews requires good interviewing skills. Establishing good relations between the interviewer and the interviewee goes a long way in getting good, quality data.

Do:

- Ask the informant for permission to carry out the interview and make sure that the informant understands the purpose of the interview.
- Have a good interpreter available if necessary.
- Conduct the interviews at times and places that are safe and convenient for assessment team members and informants.

- Interviews should last as long as is convenient for the informant but try not to exceed 45 minutes to an hour for each interview.
- Interview several key informants in each location to cross-check information.

Don't:

- Wear sunglasses or jump into the questioning too fast. Be patient and spend time establishing a good rapport with the person being interviewed before going into specific questions.
- Become too focussed on the questionnaire or form being used. Remember that constant note-taking may destroy the flow of the interview.
- Be alone when interviewing. Ideally, two persons should conduct the interview where one can take notes and the other keep the conversation going.
- Move into sensitive issues if not appropriate, e.g., gender-based violence, etc. Start with factual questions that are simple to answer.

Where possible, assessment team members should meet half way through the field visit to discuss progress and agree any necessary changes to the approach or timing. Use findings from direct observation (see below) to verify information and unpick inconsistencies in key informant responses. This enables fellow team members to examine these issues during the second half of the field visit.

### ***Data sensitivity***

Think through any sensitive issues involved when collecting primary data, e.g., are there any risks involved for the key informant for having answered questions, will the data expose vulnerabilities that can be taken advantage of, etc. Responsible data collection and management is especially important in humanitarian settings and the following issues should be considered when planning:

- Will it be possible to share this data?
- Is it possible to recognize an individual from this data set?
- Obtain informed consent. Ensure stakeholders are aware of the purpose of collection and consent to sharing data.
- Manage data according to sensitivity. Be transparent when possible; but, when necessary, paraphrase data so it cannot be traced back to a source.
- What will be done with the data? Will it be handed over, if so to whom and how will they manage it? Should it be disposed of?
- Should data collection staff be trained/briefed on the purpose, specific risks and sensitive issues?

### ***Tools for interviews***

When collecting primary data, it may be decided to use a mobile data collection application that can be used on tablets and smartphones. UNDAC uses KoBo which is based on Open Data Kit and available free of charge.

For more information on KoBo please see <https://www.humanitarianresponse.info/en/applications/kobotoolbox>

A print and KoBo version of a standard Key Informant Questionnaire is available in the UMS. The form is designed to be brief but can be adapted. Each section opens with a question to determine if there is a problem or not, enabling irrelevant questions to be bypassed.

## Direct observation

Direct observation provides a snapshot picture of an affected location and adds context and meaning to data collected through interviews. There are two types of observation:

- 1) **Structured observation (looking for)** - Looking for a specific behaviour, object or event (or its absence). For example, whether people wash with soap before meals. A checklist is normally used as a reminder of key issues and to record observations.
- 2) **Unstructured observation (looking at)** - Observing to see what issues exist. For example, how women and men move in and out of a camp. A short set of open-ended questions is normally used that are answered by the observers.

There are a number of advantages and disadvantages to be aware of when conducting direct observation:

Advantages	Disadvantages
<ul style="list-style-type: none"> <li>Can be used to rapidly collect different types of information in an emergency.</li> <li>Not vulnerable to informant bias.</li> <li>Can be used to cross-check informant responses and other assessment methods.</li> <li>Can generate questions for further enquiry.</li> <li>Gives assessment teams their own perspective.</li> </ul>	<ul style="list-style-type: none"> <li>Provides only a snapshot, not a complete picture.</li> <li>Requires technical expertise of observers to answer questions.</li> <li>May affect observed people's behaviour and distort findings.</li> </ul>

Checklist for direct observation:

- Ask permission from the people living at the site to observe them, explain why and how the information will be used.
- Observe with an open mind. Compare as much as possible with key informant interviews if feasible.
- Respect local culture and gender dynamics: dress, behave, and communicate respectfully.
- Be sensitive to local concerns and the impact of the crisis.
- Invite people living at the site to join the observation.
- Start with a walk around the location with one or two community members. Ask them questions about what is observed on the way, to explain what has happened and why things are as they are.
- Make diversions to visit locations of specific interest such as water collection points, latrines, communal washing areas, schools, storage facilities, grave sites, markets and health facilities.
- Observations should be recorded immediately to ensure that they are accurate and reliable.
- If there are multiple observers, try to compare notes and discuss your observations as soon as possible.

## Tools for direct observation

There are two direct observation forms available to the UNDAC team: a simple form that can be shared via e-mail or VOSOC and which should not take more than 10 minutes, looking at severity, number of people affected, displacement, response and most urgent problems; and a more detailed form for UNDAC members and other trained personnel. Both can be found in the UMS.

## Community group discussions

This method can be used to gather information from a group of people who are invited to participate in a structured discussion on specific topics with the help of an experienced facilitator. A community group discussion is a flexible tool that has been developed for rapid information gathering and is different from other established social research methods like Focus Group Discussions.

Following a crisis, large groups of people may live in close confines; therefore, it may be difficult to be rigorous about group size or composition. Community group discussions enable information and perspectives to be gathered that may not be possible through other data collection techniques. They allow for greater diversity and enable alternative perspectives to be heard. Unlike the one-way flow of information in an interview, community group discussions generate data through group discussion and can result in a conclusion collectively owned by the group. Listening as people share and compare their different points of view provides a wealth of information, not just about what they think, but how they perceive the situation and why. The discussion's aim is to provide an understanding of how the disaster is affecting a community, from the perspective of the community.

Checklist for community group discussions:

- Groups will usually have a mixed profile and be based on who is present in a particular site. The participants are usually selected on-site, generally ad hoc, but, as far as possible, each group should contain a mix of individuals from different backgrounds, responsibilities, genders, ages and religious and/or ethnic minorities to ensure a full picture of the affected site.
- Where appropriate, separate male and female groups, as well as age groups, should be convened to bring out gender- and age-specific needs. The selection of the participants will also depend on the specific interest, aims and objectives of the field trip and available time.
- Ideally, the group should be small enough to maintain focus, give everybody a chance to speak, and allow individuals to address the group as a whole. A group of four to eight persons is an ideal size for a community group discussion.
- On a field trip, once a structure for a community group discussion is decided, it should be replicated consistently across sites. Having mixed groups in one location requires a similar set-up in the next to allow for appropriate comparison across population groups and geographical locations.
- The group should meet in a place where they can carry out the discussion, preferably sitting comfortably in a circle.
- Ensure that everybody understands the purpose of the discussion and get permission from the group to take notes.



- Be aware of any real or perceived negative consequences that community members may feel towards sharing information openly. Where possible, try to avoid the presence of leaders or other authority figures as they can dominate the discussion and prevent other participants from speaking.
- Have two facilitators for each community group discussion: one note taker; and one to facilitate the discussion, keep the discussion on track and encourage equal participation. Ensure that the facilitators are of appropriate age and gender so that male groups are facilitated by men and (where culturally required) female groups by women.
- Use a questionnaire or an agreed set of questions to stimulate and focus discussion.
- Reaching consensus is important. Questions may allow one single response, multiple responses or they may require a prioritization of responses, e.g., first, second and third priorities.
- There may be times where noting 'no clear consensus' will be relevant and recording the range of opinions will be required.

#### I.4 Processing

Processing the data is all about preparing it for further use. Good data management precedes analysis which, in turn, precedes production of good information products. Until adequate procedures for data organization, categorization, and storing are in place, the team will not be able to develop high-quality products.

When processing data and information, the following questions should always be considered:

- What is the quality of the data and what confidence do we have in it?
- Can we use all the data, e.g., is it sensitive, or unreliable?
- What is the best tool for processing?
- What is the best way to organize the data?
- What do we expect to extract from this data?

##### I.4.1 Data cleaning

A common challenge for data and information in emergencies is that it is often incomplete and time will need to be spent cleaning it, i.e., correcting spelling mistakes, removing duplicates, inconsistencies, etc., and making it useable.

The initial cleaning of the data needs to be done with careful attention to spotting anomalies. Data cleaning refers to more than closely reviewing a set of data for simple errors; it is also about looking out for information that does not make sense. Data must be validated by comparing information from a range of sources. Sometimes this will include checking the data collected in the field from one type of source with another; e.g., is what key informants from the population are saying consistent with what official governmental sources are saying and with the field teams' own observations?

This process will also include comparing primary data with information from other sources as secondary data. This is not about proving the findings, but validating them, i.e., being able to determine if the information is credible and demonstrate and support why it is correct. Understanding the differences in reporting from different information sources and why these differences exist is part of the process. Always keep a copy of the data in its original form for reference.

#### Place-codes (P-codes)

Location information is often incomplete, inconsistent or not interoperable. The best way to minimize challenges with location data is to use Place-codes or 'P-Codes' which are unique geographic (geo)identification codes, represented by combinations of letters and/or numbers to identify a specific location or feature on a map or within a database. They can be provided by OCHA's Information Management Section in Geneva or by MapAction. See also Section B.5.2 UNDAC Operational partners.

#### I.5 Analysis

Analysis has traditionally not been a well-established discipline in the humanitarian sector. It has tended to be aimed at technical, computer-based skills, focussing mainly on database analysis and use of various data analysis software. Conducting analysis, however, involves far more than collating information and manipulating software.

Analysis is a human process that requires the application of cognitive functions, the use of targeted analytical approaches and an inquisitive mind-set. Being an analyst does not necessarily require any particular qualifications apart from a critical mind and common sense. Essentially, it involves looking at the information available and trying to tell a story:

- What has happened?
- What is happening now?
- What is important and why?
- What don't we know?
- What might happen next?

In many disaster situations, there is simply more information, misinformation and background noise than anyone can handle. The information available is often of varying quality, coverage, timeliness, and accuracy, challenging the ability to make sense of it. To stay on track and navigate the maze of biases and other distractions, our mental processes require a structure to help us to think slowly while having to act fast. Some simple tools, methods and approaches can help turn data into meaningful information.

##### I.5.1 Analysis models

Analysis begins by comparing data from different locations to identify similarities and differences and comparing them with pre-crisis data. Findings need to be explained and interpreted, put into context, to identify what is most important and relevant. Analysis should start as soon as data is received (secondary or primary) and continue as long as new data comes in. One of the best tools to use will be an analysis model, also known as an analytical framework.

An analysis model can be compared to a wardrobe or closet with numerous small compartments, hooks, drawers, etc., which can be organized and used to store things for easy retrieval – in this case, information. It makes it easy to see what is there, where there are gaps and how areas or topics might be connected.

Below is an example of the analysis model included in the MIRA Framework. It is a generic analytical framework organized by topics that may be adapted to the context and situation.

In the first phase of a sudden-onset emergency, a version organized by geographical location may also be helpful to developing an understanding of the situation. Variations of the model below have been used on several occasions and proved successful for UNDAC teams.

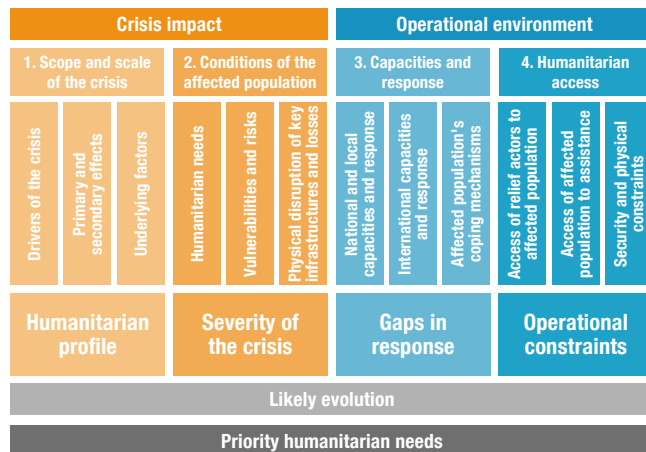


Figure I.12 MIRA analytical framework

This model can be replicated on a whiteboard or similar where information can be summarized in the various cells. This quickly shows which geographical areas are most impacted, the location of the largest number of affected people and which sectoral needs co-exist. It also shows where there are information gaps, where more information is needed and what to look for once there.

The models above are generic and should be adapted to the situation and context. It should be noted that, while models are useful to think with, if they are not properly designed and adapted they may easily lead to important information being missed.

Area	#affected	#displaced	Health	WASH	Shelter	Food	Protection	Logistics
Overall								
District A								
District B								
District C								
District D								

Figure I.13 Analysis model by geographical location

## I.5.2 Analytical steps

Analysis is not a single action but a process consisting of several steps, building on each other, increasing understanding of the findings with each step. The visual below shows the various analytical steps.

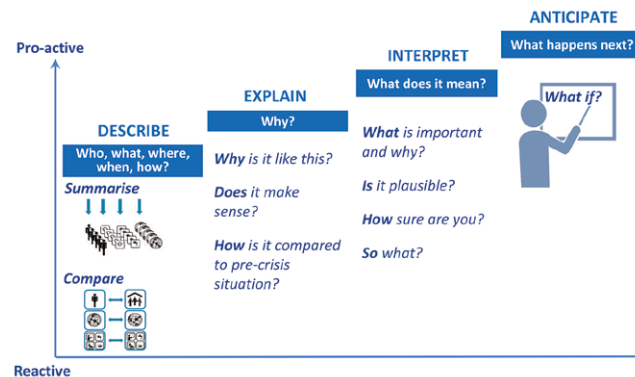


Figure I.14 Analytical steps

- **Describe** – Descriptive analysis is the same as reporting and is what is usually done in the very first hours and days of a sudden-onset disaster, when we report on what data we have and try to structure it as well as possible. This includes summarizing what is known about situations, people, places or objects. It identifies what is valid or worth noting about who, what, when, where, and how. The data should be organized in a way that is easy to comprehend and recall. The key here is to summarize the data and compare the results. How comparisons are structured depends on the context, but it is good practice to compare impact across geographic locations or humanitarian sectors, using visuals, maps and other infographics if possible. Comparisons with pre-crisis data are also vital to highlight changes, and/or longstanding issues that have been exacerbated by the impact of the disaster.
- **Explain** – Explanatory analysis probes the reason or immediate causes of a situation, explaining why a situation has developed in the way described. At this level, as an analyst, do not just organize and report interesting information, but use argumentation to provide context for the facts and observations. This sort of reasoning should be included in reports to explain why a situation has developed as it has. It is about providing context to the results and pointing out possible causes for a particular problem. When analysing emergencies, where time is of the essence, there will almost never be conclusive evidence for a cause and effect. Plausible explanations may, however, be found if we dig deeper and look for root causes in pre-crisis secondary data or lessons learned from past events.
- **Interpret** – Interpretive analysis gives meaning to the initial findings, identifies priorities and tells the audience what is most important and why it is important. This implies going beyond just explaining the information but also reaching a conclusion.

Of all the information available, what is important and why must be explained. Asking the question *'what does it mean?'*, interpretation examines the significance of a problem or topic of interest as it relates to decision-makers' interests, using logic to interpret and make judgments about the situation.

Interpreting information involves using all information available to make sure that it is a plausible interpretation and not just an opinion. At this stage in the analysis process, it is imperative to bring in peers, colleagues and partners to discuss the findings and agree on what they mean (see section I.4.3 Shared analysis). Decision-makers' willingness to accept an interpretation is closely connected to their ability to see its plausibility and the level of expert agreement. An interpretation is not a fact but a theory. Often, the best an analyst can hope for with their explanations is not that others will say; *'yes, that is obviously right,'* but rather; *'yes, I can see why it might be possible and reasonable to think as you do.'* An analyst needs to decide what possible interpretation best accounts for what they think is the most important and most interesting to notice about the findings given the context.

- **Anticipate** – Anticipatory analysis involves comparing the pre-crisis situation to the present situation and trying to consider how the situation will evolve over time based on different types and levels of response and other potential developments. This is the final step in the analysis process where potential scenarios are developed and we ask *'what if? What will happen if decision-makers do not pay attention now? What will happen if the situation goes unaddressed?'*

As an analyst, you should always look to the future, asking what might happen next and proactively anticipate what course a situation may take. This is generally based on lessons learned from previous emergencies, the analyst's experience, knowledge and strategies for modelling evidence and developing possible outcomes for a given initial situation. Anticipatory analysis may also lead to contingency planning, especially if the developments envisaged are dependent on certain assumptions about what may happen next, e.g., an upcoming monsoon season or other climatic event that occurs annually and may exacerbate the humanitarian needs.

UNDAC teams should be proactive in engaging key stakeholders in anticipatory analysis, prompting discussion by asking questions like *'what will the situation look like in 6 months'*, or *'what will happen with a displaced population if heavy rainfall should occur'*. Questions like this can be very useful and will help programme planning.

### I.5.3 Analytical tools

When doing descriptive analysis, we often summarize information using visuals, maps and other infographics that form the basis for further explanations and interpretations. Several of these should also be used in reports with short narratives providing an explanation, but also as a starting point when facilitating shared analysis sessions. See also Section J. 2 Analytical outputs.

#### Analysis flow

Comparison lies at the heart of analysis. Compare what is, with what was, and conclude with what will be, if this or that is not considered. Comparing the present with the past, bringing

in contextual elements, lessons learned, and minimum standards (thresholds), enables the future to be anticipated, as depicted in the flowchart below.

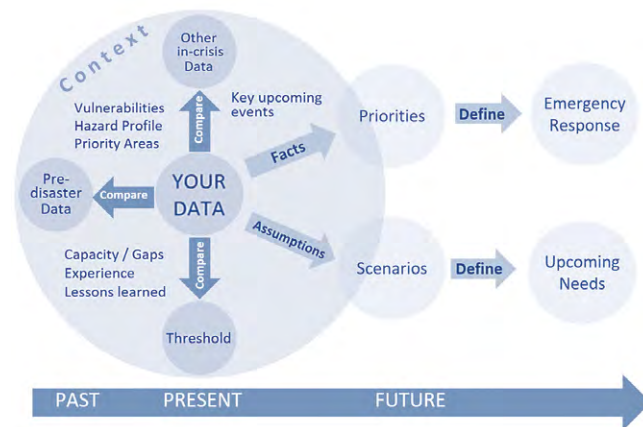


Figure I.15 Analytical comparisons

#### Problem-tree

Another tool we can use is a problem-tree, here exemplified with a cholera outbreak.

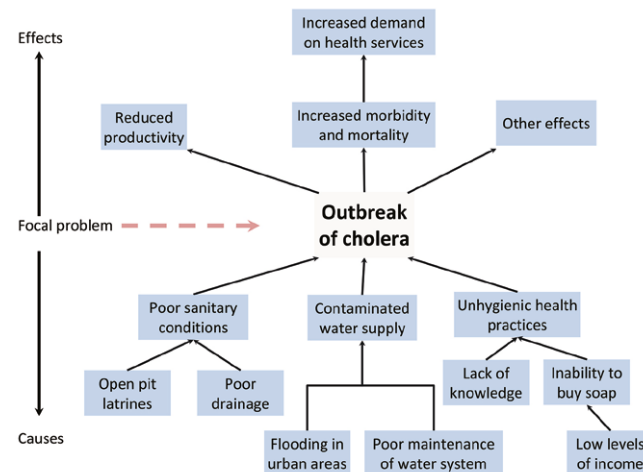


Figure I.16 Example problem-tree

This will help identify root causes of a problem and make qualified assumptions about possible consequences if the situation goes unaddressed. It will also support decisions about type of responses, both emergency interventions and others addressing the root causes.

1.5.4 Shared analysis

Analysis will always be stronger if done in a group setting, and it is highly recommended that all analysis beyond a summary of the facts, comparisons across locations and social groups, and simple explanations are conducted together with colleagues, both within the A&A Cell and with a wider group of partners. In the early days of an emergency, it is very important that other UNDAC functions and/or OSOCC coordination cells share their information with the A&A Cell and take part in shared analysis sessions.

Emergency needs analysis is different from more traditional, evidence-based research. One of the main differences is the timeframe. Emergency analysis will always have time constraints and the methodology, and extent to which it allows results to be generalized, will need to be considered. Generally, it is just not possible to have the volume, nor the quality, of data that one would like. Analysing needs-related information during emergencies relies on the ability of analysts to draw conclusions from very imperfect and fragmented information.

One way to overcome the issue of limited or insufficient quality of information is to rely on the level of agreement between peers, colleagues, and partners. Remote support for A&A should also be included. In addition, (impartial) experts can be involved in the discussion. Confidence is increased if a lack of evidence is balanced with a high level of agreement on what the findings mean. The figure below shows how to strengthen analysis by compensating limited evidence through discussions and reaching consensus.

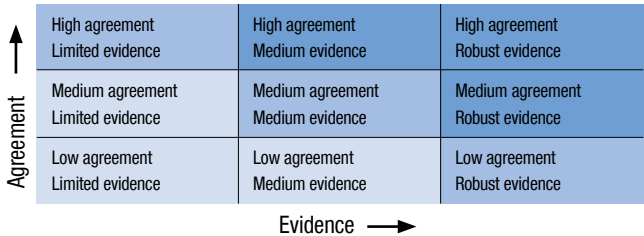


Figure I.17 Strengthening analysis table

Shared analysis is important because it provides the opportunity to balance a lack of information with a level of consensus on the conclusions reached. For example, there may be very limited evidence, but still a strong agreement among experts that a displacement situation will worsen in the coming month, leading to increased needs in other humanitarian sectors. This is generally good enough to inform decisions.

Facilitating shared analysis sessions

A shared analysis can come in many forms and range from just a couple of people discussing the findings to a larger (cluster/sector-wide) workshop or meeting involving partners, especially government partners where possible, from many organizations, representing a variety of viewpoints. An established AWG would be an essential platform for shared analysis

sessions. To save time, analysis may also be included as a separate agenda item for HCT meetings, cluster meetings, etc., to obtain inputs on certain key questions.

Common objectives may be to:

- Formulate answers to key research questions based on findings.
- Establish a common understanding of the situation by agreeing on the findings.
- Compensate lack of evidence with expert judgment.
- Resolve inconsistencies in the data through discussion and information sharing.
- Identify patterns in the data, e.g., by determining trends.
- Agree on priorities and the way forward.
- Identify key information/data that is missing and needs to be collected.
- Develop likely scenarios for how the situation may evolve.

The most efficient way of doing shared analysis is to have a facilitated process and a structure to the discussions. The flowchart below shows a generic shared analysis process for use when organizing larger, multi-sector workshops.

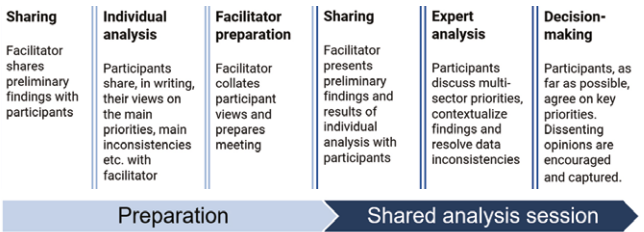


Figure I.18 Shared analysis process

When organizing shared analysis sessions in an OSOCC A&A Cell or during an HCT meeting, a simpler process might be chosen that is easier to repeat on a regular basis, e.g., using only the three last steps. As a minimum, the initial analysis should be shared in a visual form that all participants can see and understand. See also Section J.1.2 for more on visualization.

Bias in analysis processes is unavoidable and inherent. UNDAC members working in an A&A Cell should ideally be in a position where they can be objective and neutral, without any particular stake in the outcome. This will help prompt a discussion in an objective manner, without being perceived as leading it towards a particular conclusion. For the best possible result, the team should focus on:

- Selecting participants who represent different viewpoints to ensure diversity of opinion, e.g., governmental partners, bilateral response teams, donors, other humanitarian agencies, etc.
- Select subject matter experts that can speak from an independent authority on the topic.
- Defining a clear purpose of the session and providing an agenda, formulating where you ideally would like to end up.

- Ensuring that the participants are as well and consistently informed of the data as possible, to avoid simply sharing information instead of discussing what it means.

If stakeholders with varied expertise are involved in analysing the data, wider perspective and a stronger consensus will be gained. However, this will need to be balanced against any biases that these stakeholders might have. An expert or stakeholder with a vested interest in the outcome can easily push the discussion in a direction to their benefit if there is no-one to counter their point of view.

In summary, there are eight main dos and don'ts to consider while preparing for and undertaking a joint analysis exercise:

- 1) Do not get bogged down in discussions that relate to the methodology and process of the assessment. This will divert resources away from interpretation and analysis of the findings.
- 2) Do record limitations that are discovered in the data/analysis. By making a point of noting these down, it can sometimes help avoid discussions getting stuck on methodology or processing.
- 3) Do focus on analysis of findings rather than solely sharing of information. When information is being shared, it should be because it is either new information that has only just come to light OR information that assists in interpreting findings.
- 4) Do not confuse facilitation with participation. A neutral facilitator, who does not portray a vested interest in a specific outcome, is crucial to maintaining the independence required to lead a discussion on assessment findings.
- 5) Do explain definitions and concepts, including population affected, priority needs, etc., to ensure all participants have a consistent understanding.
- 6) Do emphasize the difference between the analysis of humanitarian needs as distinct from the identification of required response interventions.
- 7) Do ensure a 'safe environment' with clearly agreed norms that encourage questioning and argument. Analysis is essentially a process of interrogation of the data or information to hand. As members of the shared analysis team make statements about the data, they should encourage others to question the statements. Consequently, robust conclusions will survive, poor analysis will not!
- 8) Do document the assumptions made when deriving conclusions on findings.

J. REPORTING AND ANALYTICAL OUTPUTS

J.1 Reporting ..... 1

    J.1.1 Standard UNDAC products ..... 2

    J.1.2 Visualizing data ..... 3

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    J.2.1 Geospatial Information Services (GIS) ..... 7

When developing a product, one should already be thinking of how it will be disseminated and design it accordingly. Will it be an interactive web product or a written report? Will it be sent to a long e-mail list or published on the VOSOCC, HR.info, or similar?

When planning the information management strategy (see Section H.2), a dissemination strategy should be clearly defined. This should be listed and kept visible in the OSOCC or UNDAC premises, including what product is to be developed when, by whom, and how it should be disseminated.

J.1 Reporting

In the first week of the emergency, UNDAC reporting products may be the only source of reliable first-hand information that reaches OCHA and key partners. The UNDAC team's analysis has consistently influenced decision-making processes in most emergencies. Rigorous and reliable UNDAC reports can become one of the most important outputs of the mission.

The impact of a product is largely determined by the structure, clarity, credibility and reasoning behind it. For a product to be useful, its messages need to be communicated clearly and effectively. This requires an understanding of how messages are being retained by an identified and targeted audience, honesty about the limitations and uncertainties of the analysis, and an understanding of the end users, their expertise, data literacy, main concerns, as well as the decisions they might have to take based on the reporting. The more tailored the product is to its end users, the more impact it will have.

Whether developing a Situation Analysis that will be read by a large audience or writing an update to the mission focal point, there are a number of best practices:

- **Adapt to your audience and focus on your message** – Only those insights which are true, new, matter, and deserve action will ultimately be of interest to readers. This entails defining clearly the message and the way the data will be used to support the main storyline. Building a narrative and using storytelling techniques maximize the potential insights within the data. Narrow down the message to the audience and their data literacy level. Think about what the audience cares about and express results in those terms, e.g., funds for donors, resources for operational responders, etc.
- **B.L.U.F.** – Bottom-Line-Up-Front is a good rule of thumb and good advice whether writing a story for a newspaper, a quick e-mail to the mission focal point in Geneva, or a comprehensive assessment report. Tell readers right away what are the conclusions of the descriptions, explanations and argumentation. Reports from disasters nowadays usually have an infographic or a map up-front together with a

text box explaining what the key issues are. In an emergency there will obviously be a number of issues, but through simple analysis it should be possible to see how some of these issues are connected and how they may develop if an appropriate response is not implemented. That will also help in identifying which of all these issues are the most important, should be prioritized and highlighted up-front. In other words, *'of all these problems identified; these are the ones considered most important, this is why they are important, and why they should be the ones to focus on first'*.

- **Develop readable and persuasive information products** – Good analysis builds on logical arguments and sets of statements, where conclusions or claims are based on enough evidence and derived from clear, traceable and sound reasoning. The more robust the argument and the evidence behind it, the more credible it appears to end-users. Defend arguments, show how conclusions follow from data, deal with rival explanations along the way. Suggest the most suitable response to a problem, but primarily prepare the evidence to allow decision-makers to make their own decisions. Prefer simple explanations over more complex ones as they are usually more powerful.
- **Design effective and compelling visualizations to support key messages** – Incorporating graphics, charts, maps and graphs in a report will help convey information more vividly. Large amounts of data can be represented extremely efficiently in a well-designed chart. Choose the correct visualization methods, facilitate the desired degree of accuracy, create the appropriate metaphor, avoid clutter and above all, show the data. Understanding visual design and perception principles, appropriate use of colour, when to use what type of chart, are all key to communicating a message effectively.
- **Communicate uncertainty and document data and methods** – Indicating the sources in final results is important for credibility. Leave a trail to be able to check work later on and for others to follow. Information is required, both on the data and on the methods by which it was collected and analysed, so others can recreate the work if so wished. Limitations in reports and analytical outputs should also be communicated. This shows honesty, transparency and gives the readers a clear idea of how they can and cannot use the product. Remember the 'good-enough' principle described in Section I.1 A&A basics.
- **Edit and peer review your work** – Reviewers play a very important part in identifying gaps in logic, unconvincing evidence, errors in analysis, misspelling and grammatical errors. They will have a fresh eye on the findings and will stand as the last safeguards before dissemination. Do not allow readers to be distracted by grammar or spelling errors and inconsistencies. A good substantive and editorial review will assist in making a clearer case, improving the flow of a document as well as the reader's engagement with the text.

### J.1.1 Standard UNDAC products

With the UNDAC team being on the ground in the earliest phase of the response, it is in a unique position to provide critical information for decision-making within OCHA and beyond. Throughout the mission, the team is expected to regularly deliver two types of reporting products, summarized in the table below. Occasionally, it may have to contribute to public OCHA and/or RC/HC's office situation reports, in which case arrangements will be defined on a case-by-case basis. Templates and detailed guidance for each product is available on the UMS. All UNDAC members are encouraged to familiarize themselves with the OCHA Editorial Style Guide which can be found in the UMS.

Standard UNDAC reporting products:

Product	Daily Update	UNDAC Report
<b>Purpose</b>	Update mission focal point in OCHA Geneva and, when relevant, other parts of OCHA, on UNDAC activities and issues/challenges. A phone call to the mission focal point might be done in lieu.	Update OCHA, RC/HC and close partners on UNDAC activities and ongoing emergency operations and inform decision-making.
<b>Content</b>	<ul style="list-style-type: none"> <li>• Staff issues</li> <li>• Main changes on overall situation</li> <li>• Plan of Action update (include changes in TORs)</li> <li>• Security issues</li> <li>• Administration and logistical issues</li> </ul>	<ul style="list-style-type: none"> <li>• Summary</li> <li>• General situation overview</li> <li>• Coordination overview</li> <li>• Operational considerations</li> <li>• USAR and EMT activities</li> <li>• Operational cluster overview</li> <li>• National response</li> <li>• Bilateral response</li> </ul>
<b>Distribution</b>	Confidential: mission focal point and, when relevant, OCHA HQ and regional office	Limited: OCHA, RC/HC and partners
<b>Frequency</b>	Every day	Every two days
<b>Dissemination</b>	E-mail/UMS	E-mail/UMS, VOSOCC
<b>Cleared by</b>	UNDAC TL	UNDAC TL

### J.1.2 Visualizing data

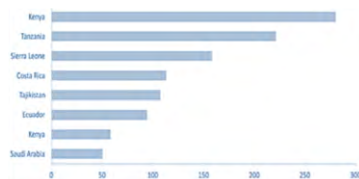
As stated earlier (see J.1 Reporting, Design effective and compelling visualizations to support key messages), incorporating infographics, charts, maps and graphs in your report will help convey information more vividly. OCHA has a Visual Information Unit, but they may not always be available for UNDAC mission-specific support as they have global responsibility. There may or may not be visualization skills within the UNDAC team, but if yes, don't hesitate to use it. Simple online tools like Google Maps and common software like PowerPoint can be used effectively even without special training in visualization. Reliefweb provides numerous icons that can be downloaded for use as symbols on maps or other visuals – <https://reliefweb.int/report/world/world-humanitarian-and-country-icons-2012>.

Good visuals are essential when organizing shared analysis sessions with stakeholders who do not know the details of the situation but are still asked to provide inputs to its findings (see Section I.4.3). Key issues for comparison may be difficult to see when presented as numbers in a table. Visualizing the data, comparing geographical areas and different social groups, using simple graphs and tables and mapped where possible, makes it easier to grasp and interpret.

Presenting data clearly, in an organized way, is important for analysis when explaining *why* the situation is as it is. Seeing the differences makes it easier to explain them. This table shows various forms of visualizations of data and how they can be used.



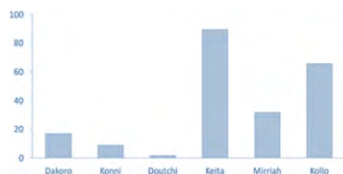
## Ranking



When you want to compare one value to another as well as its quantitative order relationship. Use bars (vertical or horizontal), sorted in descending order to emphasize high values or sorted in ascending order to emphasize low values.

For example, issues mentioned by key informants as priority needs.

## Nominal



When you want to compare values in no specific order. Use bars (vertical or horizontal).

For example, number of internally displaced per district to show differences in geographical impact.

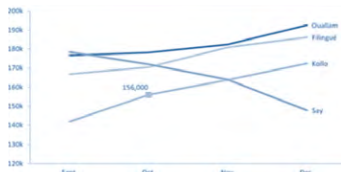
## Part-to-Whole



Also known as pie-charts, a part-to-whole graph shows how the values relate to the whole and to one another. A specific characteristic of a pie chart is the fact that everyone immediately knows that the individual slices combine to make up a whole pie. Very useful when presenting just a few values.

For example, the pie represents total population in an affected area and the pieces their status, e.g., dead, injured, missing, displaced, etc.

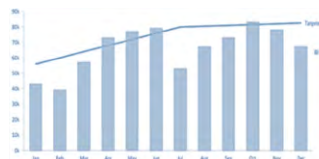
## Over time



When you want to compare measurements taken over a period of time. Lines show the flow of values across time, e.g., consecutive months of a year. The movement from one value to the next represents change, giving meaning to the slope of the line: the steeper the slope, the more dramatic the change.

For example, showing changes in school attendance for a period within a protracted crisis.

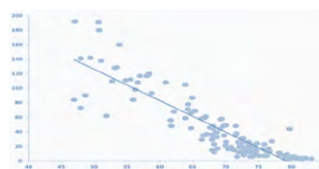
## Deviation



Shows how one or more sets of values differ from a reference set of values. Use a reference line to show how one or more values deviate from a point of reference, e.g., to show the degree to which an indicator does not meet a standard.

For example, minimum standards for available drinking water per day against actual availability.

## Correlation



When you want to compare two set of measures to determine if, as one set goes up, the other set correspondingly goes up or down and how strongly. The line shows the trend and whether it goes up (positive), or down (negative), and the more tightly the values are grouped around the trend line, the stronger the correlation.

For example, how changes in endemic diseases correlates with a decline in availability of health-services.

## Spatial



Spatial visualization shows how a situation may differ from one area to another using mapping. Very effective for showing geographical distribution of an issue.

For example, how severity of humanitarian needs is different from one area to the next.

Figure J.1 Different ways to visualize data

### J.2 Analytical outputs

A wide array of analytical outputs and other information products can emerge from an UNDAC mission and be disseminated to disaster response stakeholders and humanitarian networks. In some cases, the most valuable coordination products are simple tools like lists, location maps, damage maps or access maps. When combined with information about the needs, they directly inform the decisions of the response leadership.

#### Basic products

- **Meeting Schedule** – An updated meeting schedule of coordination meetings should be available online and as a printed version in the OSOCC. If the team has internet connectivity, use HR.info to keep the calendar up to date. The site also offers PDF exports of the calendar.

- **Contact Lists** – Key contact lists (e.g., local authorities, the UNDAC team, cluster/sector leads) should be maintained on Humanitarian ID (HID) and made available as print versions in the OSOCC. Ideally, contact lists are managed on HID and printed with an included export function. In the absence of internet connectivity, create contact lists in Excel sheets. Templates for contact lists are available in the UMS.

### Matrices and charts

- **3W product** – The main purpose of a basic 3W (Who is doing What and Where) is to show the operational presence of partners by sector and location within an emergency. 3Ws can exist in many forms and shapes. Depending on capacity, the UNDAC team can create 3W as simple tables in Excel or create maps plotting the presence of operational partners.
- **Most affected areas** – A quick overview in form of a matrix can show the severity of the situation in different locations in comparison. The goal of this matrix is to compare values, i.e., create a ranking of most affected areas.

### Analytical reports

- **Situation Analysis** – This is the first comprehensive output of a secondary data review. It describes the overall situation and identifies significant information gaps and is structured around the MIRA Analytical Framework. It should include:
  - A brief overview that summarizes the severity of the crisis, the priority needs and Government response capacities, followed by a map of the affected area.
  - Impact of the crisis featuring a breakdown of people affected and in need (humanitarian profile), the most affected areas, damage to housing and infrastructure and the status of the population.
  - Response capacities, listing local, national and international response capacity.
  - Humanitarian access.
  - Information gaps.

The first Situation Analysis will normally be drafted by OCHA and sent to the UNDAC team for completion and finalization. The Situation Analysis should be updated regularly and expanded as more information becomes available.
- **Humanitarian profiles** – This is a visual often included in situation analyses providing a breakdown of the population, showing figures of, e.g., affected, displaced, people in need, etc. To begin with, the humanitarian profile is broad, as shown in the sample below, but can later be disaggregated further with more granularity.

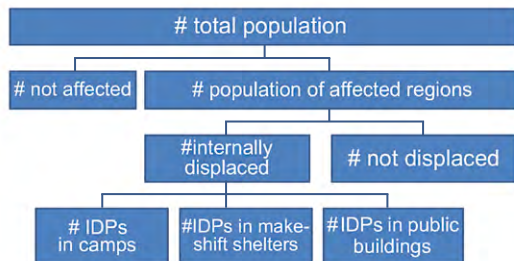


Figure J.2 Example humanitarian profile

- **Geographical profiles** – These are in-depth reports, focussing on a particular affected area, often published towards the end of the UNDAC mission when the information is rich enough.
- **Thematic reports** – These are in-depth reports focussing on an area of special interest, e.g., market functioning, protection issues in IDP camps, lessons learned from previous responses to the country, etc.

### Maps

Information maps may display the following information:

- Main affected area.
- Displaced population locations and numbers.
- Locations of various relief organizations and, in USAR operations, also mark sectors of operation of each team.
- Location of key LEMA organizations such as fire brigades, police stations, hospitals, communication centres and military headquarters.
- Location of the OSOCC.
- Location of key logistics features such as (damaged) roads, airfields or railway stations.
- Sampling maps.
- Data collection progress maps.
- Any security incidents.
- Environmental hazards.
- Other information that can be visually displayed.

The visual representation of situational and response information is a powerful tool to build common understanding. As outlined below, maps can range from the simple and basic to the detailed and complex, as warranted by the situation and permitted by the resources available.

#### J.2.1 Geospatial Information Services (GIS)

Mapped information is very important for creating a shared operational picture of a disaster situation and for coordinating the response. Humanitarian responders may arrive with no geographical knowledge of the affected area. Effective mapping of assessments and aid delivery is needed to avoid gaps or overlaps in response efforts.

Consider what maps and mapping services are needed from the outset of the UNDAC mission. If a dedicated mapping team is mobilized, they should be involved in all relevant aspects of mission planning so they can understand the decision-making needs and prepare suitable map products for each phase of the mission cycle.

The following types of maps are commonly needed during UNDAC missions:

- General topographic and road maps - for general orientation and navigation.
- USAR operations maps – possibly based on Google Earth or satellite images but street names and map coordinates are also very important for USAR tasking.
- Damage or flood extent maps – these may be based on satellite image interpretation.
- Field assessment planning maps – ideally showing administrative boundaries and place reference codes (P-Codes) if such a system exists.

- Affected population and needs maps – ensuring that areas of ‘zero needs’ are clearly distinguished from those where there is ‘no data’.
- 3W maps – linked to a continuously updated 3W matrix.

If no dedicated mapping/GIS team is available, much can be achieved by the planned use of basic tools including Google Earth, PowerPoint, etc. Even a hand-drawn overlay on a photocopied road map can be adequate to communicate the essential aspects of the operational picture.

If possible, ask a GIS unit to provide pre-prepared PowerPoint map sets, that can be edited by a non-GIS expert, to produce situation maps for reports.

The world coverage of Google Maps/Google Earth is ever-increasing and it is possible to use both without an internet connection if map data is ‘cached’ or saved off-line in advance.

OpenStreetMap (OSM) is also an excellent resource for base maps. Map areas of likely interest can be ‘cut and pasted’ from OSM into a program such as PowerPoint for use off-line. In a large emergency, the OSM volunteer community may enhance the OSM data for the affected area, so check back when possible for updates.

GIS teams may access map data from a wider range of sources, including the IASC Common Operational Datasets (CODs) for the affected country to download GIS-ready data. It is particularly important to obtain copies of the most recent administrative boundaries for the country and the best available dataset of settlements, as these will be referred to in assessment reports, etc. (see Section H.1 for more on CODs and a link to Humanitarian Data Exchange (HDX) for download of CODs).

UNDAC works with a variety of mapping partners who can support its operations and create maps and infographics to inform the broader response. OCHA Geneva will reach out to partners to ensure that maps are provided to the UNDAC team to support operations.

MapAction and UNOSAT are operational partners that work closely with UNDAC teams, supporting with GIS. MapAction often deploys alongside UNDAC, providing tailor-made maps and other onsite services both to UNDAC teams and the wider humanitarian community, while UNOSAT often supports with a range of satellite-derived products, as well as satellite image analyses. MapAction and UNOSAT cooperate in developing GIS products during humanitarian crises. See Section B.5.2 for more on UNDAC operational partners.

The UNDAC team can be updated on the status of satellite-derived analyses and the delivery of the products through the GDACS-SMCS webpage <https://gdacs-smcs.unosat.org>. This coordination platform provides an overview of the analyses carried out by different satellite mapping groups involved in big emergencies and on who is doing what in terms of satellite mapping. See also Section H. 1. for more on mapping tools and services.

Recent years have also seen growing numbers of volunteer and technical communities world-wide, such as the Crisis Mappers and Digital Humanitarians, who may be able to help with aspects of mapping. Reliable internet communications are usually necessary to make full use of these resources. OCHA or MapAction can advise on how to engage the support of these communities during a mission.

K. MEDIA

**K.1 Contact with media ..... 1**  
K.1.1 Key media messages ..... 2  
K.1.2 Working with UN and OCHA Public Information Officers ..... 2  
**K.2 Social media ..... 2**  
K.2.1 Role of the UNDAC team ..... 3

Most humanitarian crises attract media attention – often, but not always, commensurate with the scale of the emergency itself. When carried out effectively and strategically, engaging with the media can bring useful support to the response; conversely, poor handling of the media can result in missed opportunities or damage the reputation and credibility of UNDAC and the United Nations.

As a public institution, the UN is committed to the highest degree of transparency and openness in executing its mandate. At the same time, news media, in general, consider themselves objective, neutral, impartial and independent in their reporting, qualities that are familiar to humanitarians. It is, therefore, advisable to treat the news media as a stakeholder with a right to information and an asset for the response rather than as an adversary.

**K.1 Contact with media**

The Team Leader sets the guidelines for relations with the media and will usually be the spokesperson for the UNDAC team. The team’s messaging and information should be consistent with that of the RC/HC, the HCT and OCHA. However, if the media approaches an individual team member, s/he should also be able to provide factual information about the work being done at that moment.

Some basic rules:

Assign a spokesperson for the team, usually the Team Leader, and clarify under what conditions other members can communicate with the news media.

- Assign a communications focal point to liaise daily with OCHA Geneva on public information.
- Provide information about UNDAC and OCHA proactively or upon request. This can be off-the-shelf standard brochures or fact sheets created for the specific crisis. For information about the crisis itself, point to latest OCHA situation reports or other public documents posted on ReliefWeb.
- If an interview is agreed, avoid speaking about topics beyond your current work and terms of reference. Speak only in factual terms and do not speculate or hypothesize. For statistics and quantification of humanitarian needs and response, use what has been cleared for public consumption in Situation Reports, Snapshots and similar products or what has been agreed with the Team Leader/team spokesperson.

**Engage effectively**

There are several dos and don’ts to consider when engaging with the media:

Do:

- Agree the exact topic(s) of the interview. Make sure that topics stay within UNDAC’s mandate and scope of work.

- Prepare yourself: establish a few key messages, have them cleared by the Team Leader and stick to them during the interview.
- Try to anticipate the most difficult questions and rehearse the answers.
- Clarify that, as a humanitarian, you do not discuss political issues.
- Avoid responding to any question with 'no comment'.
- Admit honestly if unable to answer a question; do not guess or speculate – offer to follow up as soon as possible after checking.
- Clarify misconceptions and redirect leading questions.
- Wear UNDAC identification clothing.

Don't:

- Pick a fight with the media.
- Favour one outlet.
- Give information 'off the record' unless the situation truly merits doing so.
- Guess or make statements you cannot back up. If information is not available, say so.
- Criticize the Government, NGO, Red Cross/Crescent or UN's own response.
- Use jargon and acronyms, including 'UNDAC'. If it is television or radio, you risk that they won't use the clip.

#### Follow up

- Keep a media log (journalist's name, the outlet, focus of the interview and the local telephone number).
- Review the story once it is published or broadcast.
- Inform the RC/HC (if you are the Team Leader) or the Team Leader (if you are a team member) if an interview has taken place. If a team member has been misquoted, the RC/HC should be notified immediately and the team should try to correct the mistake. Once a story is out, it is often too late to correct it, but online news articles are frequently rectified and updated. The journalist should always be informed of the mistake.
- Get back to the reporter if asked questions you could not answer during the interview.

### K.1.1 Key media messages

Media messaging beyond factual, operational updates is articulated by the RC/HC in-country in collaboration with OCHA and in consultation with the UNDAC Team Leader. This includes advocacy and strategic communications intended for the Government, operational partners, donors, host communities, affected people and aid beneficiaries.

### K.1.2 Working with UN and OCHA Public Information Officers

The designated communications focal point in the UNDAC team should liaise closely with the OCHA Public Information Officer (PIO) in country – if one exists – or with the communications officer in the RC/HC's office. Day-to-day public messaging from the UNDAC team is channelled through the OCHA mission focal point who shares it with the OCHA communications teams at HQ and regional office level. OCHA will, from time to time, reach out to the Team Leader/team spokesperson to organize high-level interviews and briefings to the press corps in Geneva or New York. As soon as conditions allow, media relations should be handed over from UNDAC to the in-country OCHA PIO (including PIOs on surge deployment).

## K.2 Social media

The term 'social media' describes internet-based tools used to publish, share and discuss information. The best known include Facebook, Twitter, Instagram and YouTube. These tools provide a wealth of new opportunities for communications, engagement and information-sharing, but they can also amplify false information and rumours and damage an organization's reputation if used inappropriately or incorrectly.

### K.2.1 Role of the UNDAC team

All official public outreach regarding the UNDAC mission and the response will be managed by OCHA HQ, including on social media platforms. To ensure that OCHA can report on the UNDAC deployment, the communications focal point within the team should:

- Provide/ensure good quality photos of the disaster context (extent and severity of the crisis/damage), affected people, UNDAC in action, and wider response activities. Photos must include a caption with information of where, when and who is in the picture and the photographer's name. Once shared with the mission focal point in Geneva, OCHA will determine their use. Photos from the first days and weeks of a disaster are particularly important as OCHA needs visuals for its advocacy and resource mobilization.
- If possible, record videos on a phone, which may be shared with OCHA Geneva after the emergency if there are bandwidth limitations.

### K.2.2 Posting in personal capacity

Social media sometimes blurs the traditional boundaries between public and private communications, and professional and personal communications. For example, UNDAC members may comment on mission-related issues in their private social media accounts, but such comments still have the potential to reach a wide public audience. UNDAC members are advised to follow the United Nations Staff Regulations, which state that:

*While staff members' personal views and convictions, including their political and religious convictions, remain inviolable, staff members shall ensure that those views and convictions do not adversely affect their official duties or the interests of the United Nations. They shall conduct themselves at all times in a manner befitting their status as international civil servants and shall not engage in any activity that is incompatible with the proper discharge of their duties with the United Nations. They shall avoid any action and, in particular, any kind of public pronouncement that may adversely reflect on their status, or on the integrity, independence and impartiality that are required by that status.*

UNDAC members are further encouraged to follow these guidelines if/when posting to social media in a personal capacity:

- Think before posting: do not say or write anything you would not be comfortable with owning publicly, e.g., by being quoted in the news and seen by your family or by your supervisor.
- Always keep safety and security in mind: be cautious about what you post or discuss online, particularly in an operational context. Consider potential implications for staff or operational security of any information you post, including geo-tagging of photos.
- Use judgment and discretion: ask yourself if the information you are sharing is potentially sensitive. If yes, ask yourself if you should be sharing it online and what the implications could be. Avoid being photographed with military equipment or guns.
- Think about how you present yourself: be polite if you disagree with others and respect differences of opinion. Avoid disrespectful, stigmatizing or discriminatory language.
- Do not share internal or confidential information: any information you share externally should already be in the public domain. If in doubt, ask the owner of the information.
- Respect colleagues' right to privacy: consult them before posting any content related to them and do not 'tag' them in photos or other content without their consent.
- Ensure work-related content reflects UNDAC, OCHA and the RC/HC's official position: if in doubt, ask the Team Leader to review your post and seek clearance before publishing, or simply do not post.
- Avoid posting photos, videos or other media from internal OCHA/UNDAC events, including staff meetings and social events: do not identify or 'tag' a gathering as 'OCHA' in the title or in keywords.

## OPERATIONS

A sophisticated operational approach is key to an efficient and effective humanitarian response. UNDAC Operations is where situational awareness, the UNDAC Cornerstones, and all coordination approaches, from disaster management to humanitarian coordination, come together.

This theme consists of 5 chapters:

### L. Coordination

This chapter includes information about general coordination methodology, the tools which can be used and possible challenges faced. Also covered are Humanitarian Programme Cycle (HPC) support, inter-cluster coordination, cross-cutting issues, private sector engagement, humanitarian financing and community engagement.

### M. OSOCC Concept

This chapter introduces the OSOCC concept and the OSOCC structure, functions and cells, as well as information about OSOCC support and the Reception Departure Centre (RDC).

### N. Coordination Cells

This chapter focuses on coordination cells that are part of the OSOCC concept and use OSOCC methodology, but function independently of the OSOCC structure. This includes the Urban Search and Rescue Coordination Cell (UCC), Emergency Medical Team Coordination Cell (EMTCC) and Civil-Military Coordination (CMCoord) Cell.

### O. Regional Approaches

This chapter focuses on specific regional approaches for disaster management, in Africa, the Americas, Asia, Europe and the Pacific.

### P. Disaster Logistics

This chapter introduces roles and responsibilities with regards to disaster logistics, how to plan a logistics programme and information on the Logistics Cluster.

## L. COORDINATION

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### L.1 Introduction

Good coordination ensures that multilateral humanitarian actors organize themselves to focus on identified needs of affected people and in support of the national response as a system rather than as separate organizations with their own priorities and timetables. National authorities, national actors and affected people work more easily with the international humanitarian system when it is well organized and has clearly designated leadership.

The absence of coordination is characterized by gaps in service to affected populations, duplication of effort, inappropriate assistance, inefficient use of resources, bottlenecks, impediments, slow reaction to changing conditions, and frustration of relief providers, officials and survivors. In general, an absence of coordination leads to an unsatisfactory response to the emergency.

This chapter looks at how UNDAC approaches coordination, and what practices and procedures may be used to achieve the best possible outcome of the team's work. This chapter does not focus on structures, mechanisms, roles and responsibilities established in international emergency response. The *what* of humanitarian coordination as it relates to UNDAC missions is covered in the Background theme, while this chapter focuses on the *how* of coordination.

### L.2 Coordination methodology

Coordination in general may be defined as intentional actions to harmonize individual responses to maximize impact and achieve synergy – a situation where the overall effect is greater than the sum of the parts.

Coordination begins with the initiation of working relationships and regular sharing of information. Because relief providers communicate and cooperate, individuals and organizations adapt and adjust their efforts based on changing needs and gaps, and each other's strengths and weaknesses.

Coordination in international humanitarian operations will never be the result of one group or organization telling another what or how to do their work. Certainly, examples of coordination as 'directing' exist, especially where relief operations are controlled by a resourceful national government, but these situations are rare. International relief actors are traditionally directed more by their respective mandates than outside entities and coordination and decision-making is often consensus-oriented. The person or organization charged with promoting and ensuring cooperation is, therefore, working in an environment where the coordination authority has few, if any, resources to 'demand' coordination. Agencies and individuals must see some added value from participating in the coordination process and the benefits must outweigh the costs – and there are costs to coordination, as it requires time and dedicated resources.

Consequently, coordination is far from certain. The coordinating organization, in this case OCHA and the UNDAC team by extension, must establish a coordination process based on certain qualities. To achieve the best possible coordination outcomes the process should be:

- **Participatory** – Coordination occurs through the legitimacy derived from involvement. The tasks of coordination must occur within a structure and process agreed to and supported by the actors in the emergency. The coordinators must secure and maintain the confidence of the others, fostering an atmosphere of respect, trust, and goodwill. Organizations need to participate in deciding the policies, procedures, strategies and plans that will affect them.
- **Impartial** – The coordination process should not be seen to favour one organization over another, but rather to identify the distinctive competencies of each. Coordination should advocate the principle of impartiality (see Section A.1.1) provided by the actor most likely to achieve the desired outcomes.
- **Transparent** – Coordination requires trust and trust requires transparency – the willing flow of information, open decision-making processes and publicly stated, sincere and honest rationales for decisions. This will include the need to admit failure, or at least falling short of objectives.
- **Useful** – The coordination process must produce, share and disseminate useful products, processes and outcomes. These may include a platform for decision-making, an opportunity to use shared resources, a venue for donor recognition and support, or a comfortable place to share frustrations and try out new ideas.

### L.2.1 Coordination techniques

An UNDAC team needs more than a mandate. It must provide something that others want and need, including information, facilities, skills, equipment, credibility and other amenities. Ideally, a combination of all these things will be made available in a way that includes establishing an environment to come together physically, such as an On-Site Operations Coordination Centre (OSOCC) or, more abstractly, around objectives, common approaches, analysis or identified needs.

Practicing certain skills of coordination will help facilitate the coordination process. The following are techniques and approaches that are useful in achieving coordination and circumventing common coordination barriers likely to be encountered by UNDAC teams.

#### **Promote an understanding of collaborating organizations**

The UNDAC team must first get to know the players. Only by understanding the mandates of various organizations, their intentions and their capacities (resources, both material and staff) can the team involve them appropriately and have reasonable expectations of their performance variations. The UNDAC team should, as soon as feasible, meet the representatives of the various humanitarian agencies active in the emergency situation and, if it does not already exist, start a database with contacts and activities, i.e., a 'Who is

doing What and Where' (3W) (see also Section J.2 for more on 3W). Remember that some partners will likely already work together in-country, sometimes for years, while you will be a newcomer. In principle, a person should be able to walk into a coordination centre and have, easily accessible, a copy of descriptive information on all operating agencies and the particulars of their operations. These files will need to be updated regularly and online solutions or similar format where stakeholders can be encouraged to enter and update their own information is recommended.

#### **Establish a purpose**

The challenge in any coordination process is to ensure a comprehensive approach to the design of the coordination mechanism, based on a mutual understanding of the overall purpose of the coordination activities. In a hierarchical structure, the establishment of common goals is usually defined in a top-down process. In a multi-organizational response environment, the definition of common goals will often require a much more participatory process. Only with a clearly defined and agreed purpose, i.e., *why* we need to coordinate this way, will it be possible to define the required coordination functions to support the process and determine the activities, i.e., *what* we need to do to achieve the purpose.

#### **Clarify coordination parameters**

Taking a little bit of the mystery out of coordination will go a long way in ensuring that it happens. Coordination will fail if organizations feel that it will be just a waste of time in endless meetings or that the coordination effort will result in a veto of their plans and activities. The best way to clarify the coordination parameters is to have frank and open discussions about the goals expected to be reached through the coordination efforts and the needs of the various organizations for coordination. As a group, it is often useful to reflect on and (re)formulate the objectives for the humanitarian operations as these may change depending on the phase of the crisis and the Humanitarian Programme Cycle (HPC).

#### **Define an agile coordination structure**

Coordination is most effective if built around an organized, established structure, such as the affected Government's structure or according to the Humanitarian Country Team's (HCT) contingency plan. When handling large-scale emergencies with multi-agency participation, however, it may not be feasible to base coordination on existing coordination structures because these would not be able to handle the additional, situational requirements. There may be a need to either enhance governmental structures or establish additional structures, such as an OSOCC.

To be successful, the emergency coordination structure must strive towards a high level of agility to be able to facilitate multi-organizational coordination. What might have worked last time may not work this time and everything has to be adjusted to the situation at hand. In a fast-changing emergency environment, established organizations more often than not are working in structures without the necessary flexibility to adapt to situational requirements.

#### **Ensure proximity**

The UNDAC team has a unique opportunity to affect the coordination process when choosing and establishing the site for the coordination centre. Several of the functions initially taken care of by the team will very soon, or simultaneously, be filled by other stakeholders, for example, cluster coordinators, or the UN Department for Safety and Security (UNDSS). These organizations provide services the humanitarian community will want to stay in close proximity to.

The team should ensure that these entities establish themselves inside, or as close as possible to, the coordination centre. This will provide the humanitarian community with a 'one-stop-shop' and they will come to UNDAC for services and information in a natural way



— a situation where it will be easier to achieve tasks. The coordination centre should be like a lighthouse or a pivotal point that the humanitarian operations and planning turn around.

Other humanitarian agencies may even want to establish their own offices in close proximity to the centre — a location that may develop into a compound for the longer-term operation where all the key partners and/or agencies work out of the same place. This will be a great advantage for the coordination process as people will have easy access to each other and there will be more opportunities for informal networking.

### ***Promote transparency and inclusiveness***

When an organization's actions are transparent, it is possible to see how and why decisions are being made. The reluctance for transparency resides in fear — fear of disapproval, that ideas will be stolen, or resources monopolized, or that freedom of action or the ability to change course will be circumscribed. By promoting transparency without negative consequences, the coordination structure may be able to reduce the natural tendency to hide organizational decision-making processes. And, of course, transparency begins at home. Thus, the UNDAC team must model transparency in its own processes. One way to do this is to periodically evaluate how the coordination process is going and how it might be improved.

For example, undertake regular mapping of stakeholders to determine if all relevant actors are involved in the coordination. Strive to involve and integrate partners and other stakeholders in the coordination mechanism, aiming to create one whole where the output is larger than the sum of its parts. Avoid silo-thinking and organizational ego-behaviours; be self-effacing. You yourself are unimportant, like a sports referee that is never visible, yet never loses oversight or control of the game. By avoiding one's own agenda, and clearly showing that the team does not have one, it will be easier to achieve trust.

### ***Develop trust***

In a multi-organizational emergency environment, the establishment of swift trust is essential to create the good working relationships needed to facilitate effective inter-organizational collaboration and coordination. This should be the immediate focus of the UNDAC team. Inter-organizational trust in the humanitarian context can originate from four aspects:

- 1) Trust based on the judgment of goodwill and how much one considers the other to be a friend (companion).
- 2) Trust based on the perceived ability of others to carry out the needed tasks or to get the job done (competence).
- 3) Trust based on whether the behaviour is consistent with contractual agreements (commitments).
- 4) Trust based on expediency because of the need to accomplish the goals quickly (swiftness).

To build trust and cooperation amongst organizations in the emergency environment, it may be an advantage to start delivering on some key (and maybe less controversial) functions such as elementary information sharing, before moving into more controversial issues. One should try to keep things simple to begin with and build on networks very similar to social networks, tied together by common interests or, as in this environment, by sectoral operational interests, e.g., the clusters, Urban Search and Rescue (USAR), etc. Rallying around the development of a common or joint strategic humanitarian plan or funding appeal is often a good way to build cooperation.

### ***Build on linkages and networks***

When meeting the organizations, it will be important to identify with whom, in particular, organizations should liaise. This may be determined by any number of variables such as

sector or cluster, geographical area of operation, government or opposition coordinating agent, etc. The team should ensure that the linkages have been made. In many cases, this will involve contacting the parties, organizing a meeting, facilitating the introductions of the organizational representatives and producing and sharing information products such as contact lists, etc.

Some important and helpful personal relationships may already be operating. The emergency relief community is relatively small and the likelihood of people knowing each other or having worked with one another in a previous emergency is quite high. These pre-existing relationships can greatly aid the linkage process. Of course, the opposite may also be true where an unsatisfactory prior relationship will impede the current effort.

Nevertheless, networks based on pre-existing relationships, e.g., working relationships or having done training courses together, have immense value in emergency work. Very often, information sharing and collaboration takes place outside the formal coordination structures and is conducted inside a previously established network. Such networks should be utilized in the coordination process, as it will be easier for people to connect and work together. Organizations are made up of people and in emergencies it is all about people.

Work done to build these relationships in advance of disasters can greatly improve coordination efforts during a response.

### ***Facilitate an enabling environment***

The environment around the coordination process should be enabling, allowing all actors to communicate, share information and collaborate with each other. In an enabling environment, stakeholders take the initiative to become involved, take on responsibilities and move from reactive to proactive. To achieve an enabling environment, it is necessary to facilitate coordination by managing the process and avoid directing it. In a coordination process, it should be easy for participating organizations to become an active partner. One should try to instil an attitude that coordination is a shared responsibility and not something someone else does on behalf of others.

### ***Start with the needs of others***

In promoting coordination, it is tempting to say 'as UNDAC we need this information to be able to coordinate'. Thus, the need for coordination resides in UNDAC not in the other participating organizations. This is the wrong approach. The team should first ask how they can help the partners. In starting by meeting some of the agencies' needs, the team is committing to service first and earning significant credibility and trust. As part of the effort of identifying the needs of others, it will become clearer not only what coordination should seek to accomplish but also how organizations may be induced to participate. Adopt a marketing approach where you try to find out their needs and meet them, as opposed to selling them what you have to offer.

What operational organizations need could be anything from the key to a functioning toilet to the right information to base strategic decisions on. The needs are often basic tools and services, such as contact lists, meeting spaces, baseline information and common resources such as internet access and printers. Reliable and timely information management products are usually the service most wanted in a disaster situation. Good information management is the bread and butter of the coordination process.

### ***Provide useful information and services***

If the team is the repository of useful information, people will want to come to it. Maps, for example, often seem to be in short supply. Further, the coordination centre should be a good place to get a copy made, get a weather report, check what might be going on somewhere, get a security update or just see a smiling and congenial coordinator willing to take a few

moments to listen. Making all of this information available online as soon as connectivity allows will be a critical next step.

### ***Keep the ball rolling***

Momentum in coordination is essential to maintain interest and commitment. One way to do this is to ensure rapid reporting of new or updated information. Decisions made in the coordination process must be documented in the form of minutes or reports and made available. Even more important is to ensure follow-up and follow-through on decisions. Failure to implement conclusions will cause cynicism about the process and ultimately destroy the team's credibility. Part of keeping momentum is keeping people in touch with one another and keeping channels of communication open. This may involve going out of your way to make the right connections.

### ***Respect people's time and schedules***

Don't let coordination meetings become just another meeting. Ensure that the meetings need to occur and that there is vital and important work to be done. Don't be afraid to cancel a standing meeting if the agenda is not compelling enough. Publish an agenda for the meeting and stick to the schedule, including beginning and ending meetings on time. Practice good meeting facilitation skills. Ensure that everyone has a chance to say what is on their mind and that a small group or individuals do not dominate the conversation.

### ***Write it down***

Some of the results of the coordination process, both from large group and bilateral discussions, will be concrete enough to be developed into a document. Writing down minutes, conclusions and agreements provides a record for follow-up and accountability.

### ***Address small problems before they grow***

A small problem, be it a misunderstanding, a hurt feeling or a perception of insensitivity, may grow and fester resulting in a much bigger barrier to communication. Part of the role of facilitating productive relationships may involve engaging in active conflict management or relationship confidence-building, usually outside the formal coordination process. Starting small is generally a good idea in any situation as confidence builds in the coordination process. As always, UNDAC should be leading by example.

### ***Build on strengths***

It is important to ask people to do things they can do. Too often people agree to a task that they can't or won't perform under the threat of consensus or as part of wanting to be a team player. Therefore, ask people to do things they can easily accomplish, especially at first. Don't be afraid to ask them over and over whether they are sure they want to take on the task. Once the relationship is strong, it may be possible to ask them to engage in more difficult tasks.

### ***No surprises***

Nobody likes to go to a meeting and be embarrassed because they don't know something they should or that other people know. The team will need to meet and brief people outside of the formal meeting process to keep them updated on current or fast-changing events, shifts in resources or important visitors.

### ***Hand over functions to others***

It is a cliché, but try to work yourself out of a job. If a coordination centre is going to need to function for a long period, it will be best if as many functions as possible are handled either by the other agencies or by local staff of the centre. If someone else can and is willing to do the job, give them the chance. In almost every situation there is more to do than can be done. Giving jobs to others can only help in freeing you up to take on another task.

### ***Thank people and acknowledge their contribution***

Rewarding participation is an important technique in building commitment to the coordination process. When organizations have done good work, changed their programme or otherwise gone out of their way to put other's needs ahead of their own, they need to be thanked and acknowledged, publicly. Few things will inspire more participation in coordination than the feeling of being a valued contributor.

### ***Use the informal time***

There is a minimum amount of 'down-time' during an UNDAC mission, but there are always opportunities to interact with the response community during off-duty periods like meals or after-hours socializing. Don't miss the chance to build effective relationships at these times. Sharing information on hobbies, favourite sports teams, family, having coffee or tea together, etc., all contribute to building the personal regard that will encourage people to want to associate with the coordination process.

## **L.2.2 Meeting management**

Meetings proliferate in emergencies and sometimes there seem to be more meetings than one can digest. Decision-makers sometimes need to run from meeting to meeting. Coordination through facilitation, however, involves bringing people together to reach agreement on how to cooperate and move forward. Meeting is a necessity and an UNDAC team should initiate a structured meeting format by providing facilitation, leadership and meeting venues. Leading by example and showing good meeting management goes a long way in establishing UNDAC at the centre of the coordination process.

Meetings may vary from a large, general coordination meeting that brings together a multitude of various players, down to one-on-one meetings focusing on a particular issue. Ad-hoc meetings are often carried out by necessity in the first days of a sudden-onset disaster, but scheduled meetings should be formalized as soon as possible.

Based on the situation, an UNDAC team should identify how meetings should be prioritized, who should participate, who should take the lead and how they should be managed. The meeting schedule should have a logical build up, where the objectives of one meeting feed into the agenda of another meeting, e.g., when the results of various cluster meetings at the beginning of the week feed into a general coordination meeting taking place later in the week.

Meeting management can broadly be divided into three parts: preparations, the meeting itself and follow-up.

### ***Preparations***

Before any meeting, think through the following and make some preparations. The first thing to decide on is the type of meeting as that will influence all other preparations. Below is a list of different types of meetings UNDAC teams may have to facilitate or participate in during missions:

- **Briefings** – A one-way download of information.
- **Collective briefing** – Two-way information sharing where participants brief each other. Often used in conjunction with decision-making.
- **Decision-making** – Discuss, reach a conclusion, and move forward with a joint decision. These will often come in one of two versions:
  - Strategic meeting to agree on overall direction and strategic aims. This is not the place for operational information sharing or exploring details.
  - Operational meeting to agree on standards and how to work together on a programmatic level.

- **Shared analysis** – A discussion around needs and assessment findings where the purpose is to balance insufficient evidence with a high level of agreement on what the findings mean (see also Section I.5.3 Shared analysis).
- **Problem solving, negotiations** – Smaller meeting to explore a problem and find a solution.
- **Introductory meeting** – Often informal and used for networking and relationship-building.
- **Training/workshop** – Development of knowledge and skills and sometimes used in emergencies for preparing field teams ahead of primary data collection exercises.
- **Debrief** – Reviewing a task, mission, incident afterwards to elicit lessons learned or process emotions.

Having decided on the type of meeting, the next steps are to:

- Define a clear meeting purpose and define some desired outcomes. Meeting just for sake of meeting is a waste of time.
- Develop an agenda that is as specific as possible, stating agenda items with respective objectives, speakers, allocated times, etc.
- Select venue and assess strengths/weaknesses of the choice. Sometimes you have to do with what you can get and, by identifying weaknesses that may influence the success of the meeting, it is possible to mitigate them in advance, e.g., bad acoustics or disturbances, heat/cold, lighting, etc.
- Agree bilaterally with key stakeholders to identify concerns and agenda items.
- Identify participants and inform them about time, place and purpose.
- Disseminate key documents to be discussed to avoid too much information sharing during the meeting itself.
- Prepare visual support material and peer review it to make sure it is clear and understandable.
- Prepare the venue from an administrative and logistical point of view:
  - Equipment needed and working.
  - Room layout and seating arrangements.
  - Table tents/name tags/participant contact list.
  - Refreshments.
  - Accessibility issues.

The room layout and seating arrangements are important when facilitating a meeting and the visual below shows some examples. The blue dot indicates the position of the chair/facilitator.

### During the meeting

UNDAC team members will often have to chair and facilitate meetings and having done sufficient preparations is halfway to success. During the meeting, also think about the following:

- Be a good host and provide refreshments. It creates a positive atmosphere and is good for morale, especially in tough environments.
- Have a printed agenda and enough handouts for all attendees, e.g., the latest maps, contact lists, situation analyses, etc.
- Have a separate note taker so you can concentrate fully on meeting dynamics.
- Visualize names with name cards. Have a few blank cards for new arrivals to write down their name and organization and remember to write large enough to be read across the room.

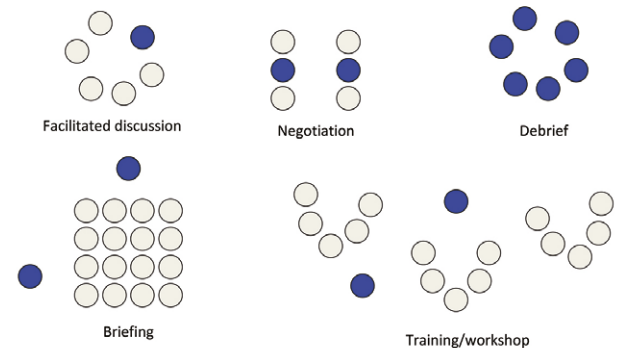


Figure L.1 Different types of seating arrangements

- Circulate a meeting attendance sheet with contact details for any follow-up communication.
- Start on time by reviewing the aim and objective of the meeting, go through the agenda, and set the timeline – and stick to it!
- Keep introductions brief, and limit detailed tour de table updates from participants. Encourage short summaries or use own briefing material that can be confirmed/corrected.
- Introduce topics and let the discussions start. If it goes off track, check for relevance and let it possibly run its course before bringing it back to the main topic. This can be tedious and must be balanced against the timeline, but is also important to ensure buy-in.
- When a topic is exhausted, summarize and paraphrase agreements, and move on.
- At the end of the meeting, recap all action points, clarify next steps and make sure everyone who has received specific tasks understand them.
- Make sure to balance facilitation with participation. A facilitator who gets too involved in a discussion may lose his/her neutrality and objectivity.
- If possible, record decisions live during the meeting and project them on a screen. This way, participants can make immediate suggestions for corrections and approve action points.

### Facilitating challenging meetings

Even during a well-prepared meeting, experienced facilitators may face difficulties. This section focuses on facilitation tips during a meeting when a conversation gets stuck or participants get upset. Challenges or irritations have many causes which can lead to complaints, arguments or a tense climate in coordination meetings. Effective chairs can manage and transform challenging dynamics during a meeting with the right, powerful question(s). The following section lists tips for facilitators to address these challenges in the room, aiming at moving the discussion along.

- **Stay the course** – Many discussions frustrate participants as the conversation appears to be about the forest, the tree, and the leaf simultaneously. It is important to keep the group on track to discuss matters at the appropriate level of complexity, agreed upon in advance. Both HCT and inter-cluster coordination meetings are often accused of drifting into operational details when requested to make strategic

decisions. Stay on top of the conversation to make sure that it remains focused on the agenda item and the outcome the group wants to achieve. When the discussion departs from the agreed level, ensure that the situation is clarified before moving to solutions, and discuss solutions for the right problem. Remind the group of the level they agreed to discuss. For example:

- *'Will the discussion of this [operational detail] advance our strategy?'*
- *'To come back to the strategic level, which we agreed to discuss.'*
- *'To focus back on the specifics, which we wanted to clarify today.'*

If a group repeatedly diverts to a level other than the one previously agreed, the facilitator should check if participants wish to refocus the discussion. It is the role of the facilitator to ask the group to make a conscious decision to divert the discussion, to close or 'park' the topic for a later discussion.

- **Shift from a problem to an outcome focus** – Groups can lose ample time and energy complaining, blaming individuals and organizations, discussing problems, etc., without moving to solutions. The following questions can move a discussion towards an outcome as answering them will force participants to take responsibility for outcomes they want to see. For example:

- *'What would you like to see?'*
- *'What would a solution look like?'*
- *'What would be the required end state?'*
- *'How could we move this forward?'*
- *'What would it take to make it work?'*
- *'Who needs to help?'*

- **Use questions to move the conversation on** – Questions can be open or closed as well as biased or neutral. Facilitators shape a conversation with the type of question they are asking.

- Open neutral questions are useful at the beginning of a conversation when many options need to be generated as they allow a wide spectrum of answers, e.g., *'what do you think of x, y, or what options do we have? How can we deal with this challenge?'*
- Closed neutral questions might be useful at the end of a conversation as they force a choice, e.g., *'do we have an agreement?'*
- Open biased questions only permit a limited spectrum of answers and allow the facilitator to steer the conversation in a direction without limiting it to one answer, e.g., *'what do you like about...? How can we make this happen?'* This type of question excludes the option of 'not making it happen'. They are helpful to implicitly communicate to the group that they have made a certain amount of progress.
- Closed biased questions, such as, *'don't you think we should....?'* polarizes the group and undermines the facilitator's neutral/objective role.

- **Explore assumptions** – Differences in unconscious assumptions can cause misunderstandings or even conflicts. When participants have strongly held opinions, it might be helpful as a facilitator to explore mental models and assumptions leading to these conclusions. For example:

- *'Can you help me understand how you came to these conclusions?'*
- *'Can you give me some data?'*
- *'What makes you say that?'*
- *'Can you restate that point?'*
- *'What is it that leads you to that position?'*

Once you have elicited some data, ask the group what they think about the interpretation and conclusions.

- **Working with challenging participants** – There are many technical ways to deal with challenging participants, such as listening, redirecting, avoiding and postponing the discussion for later. However, these will work at best once. If participants feel that their concerns and frustrations are not heard but they are being 'dealt' with to simply move on, the frustration tends to remain. At the same time, valuable ideas and concerns might not have been effectively explored and addressed. While a verbal attack instinctively elicits a defensive reaction, effective facilitators want to understand the needs of a challenging participant and then refocus the discussion on outcomes. There are four technical steps to do this. However, for this to work, the facilitator needs to have a genuine interest in exploring the needs of the challenging participant.

- 1) Listen to the negative comment and pause briefly.
- 2) Reformulate the negative comment in a constructive, outcome-focused way.
- 3) Listen to the answer.
- 4) Use a return question or proposal.

A positive reformulation signals to the other that what he or she is looking for is understood, checked by offering a formulation attempt. It does not mean agreement, merely seeking to understand. This technique does not solve the problem but it first de-escalates an exchange, gives the 'challenger' space to express his or her concerns and then lifts the discussion from the level of complaint to a focus on outcomes. Inflammatory interventions are often driven by powerful emotions. As a chair, acknowledge the emotion before reframing.

- **Working with quiet participants** – Many people may not want to speak up in a larger group for a variety of reasons. This may be cultural, organizational, hierarchical, related to language issues, or something as simple as people just being introverted and more comfortable discussing important issues in groups of three or four. They might just not be sure if they have the 'right' to speak or they might not want to antagonize others they perceive as more senior, e.g., being higher in grade or more powerful, bigger agencies or donors, or those longer in country. There are different ways to deal with this, e.g., ask participants to turn to their neighbours and discuss the issue at hand for a couple of minutes, then one person in the group shares their comments in plenary. The energy level immediately rises and everybody contributes to the conversation.

### Virtual meetings

Having virtual meetings via Skype or a similar type of software is very common and can save a lot of time and resources in comparison to face-to-face meetings. Virtual meetings can be very efficient but require more discipline than traditional meetings. To ensure efficiency, there are several considerations to think about:

- Agree in advance on who should facilitate and who should take care of technical aspects and take notes. It will be difficult to do both.
- Make sure everyone is sent an invitation, agenda, and possible passcodes well in advance and re-send shortly before the meeting as a reminder.
- Communicate in advance technical issues (connecting, downloading software) and allow time in advance of the meeting for people to connect and join.
- Start on time and be precise. Bear in mind that people are sitting ready behind their screens several minutes ahead of the meeting - don't waste their time.

- Clarify norms, e.g., one person speaks at a time, announce self, mute microphone when not speaking, announce leaving. Discourage speaker-phones as they can create annoying feedback.
- Start with a *tour de table* but keep it short.
- Stick to the agenda and end on time. Participants may have other commitments and going over-time will make them late. If not finished, it is better to skip something and agree to continue another time.
- Record the meeting and share the recording file afterwards.
- A virtual meeting as default is never completely confidential as you cannot control who will listen in on the other end.

### Follow-up

A meeting whose outcome is neither written down nor followed up has little value. Finalize and circulate the minutes/action plan promptly and follow up as soon as possible. When writing up minutes/action-plans, do:

- Be concise and clear and avoid long narratives.
- Use the agenda as structure for the minutes.
- Make sure every point has a conclusion on what was agreed, naming a responsible party for follow-up and further action, including possible deadlines.

Remember that the note taker holds considerable power as it is their perception of what has been discussed and agreed on that gets written down. The minutes should be cleared and signed off by the chair of the meeting before dissemination to minimize possible bias from the note taker. They should be circulated to all invitees of the meeting and all stakeholders who must be informed about the decisions.

Once the minutes/action plan is distributed, it is important to follow up with the persons named as responsible for follow-up as due dates approach to see whether they are on track with the action. Ensure those who need to agree on the implementation of a decision are informed, e.g., cluster coordinators. If anyone seems dissatisfied with the meeting outcome, try to meet informally with them to clarify the reason for their discontent.

### Success criteria

For all meetings, there are some key issues instrumental for success:

- Know where you are going. Have a written agenda with clearly defined objectives.
- Think about cultural factors, language, communication and local etiquette, related to issues such as time management, punctuality, hierarchy and seniority, decision-making and dispute management.
- Right participants for the right topics. Make sure that the right people are there. There is little point in discussing strategic direction with people who have no decision-making power at that level, nor will it be useful to discuss operational detail in an HCT meeting.
- Avoid an excessive number of participants as it inhibits decision-making and restricts usefulness. Consider different media and fora for different activities, e.g., information sharing, decision-making, problem solving, etc., or adopt a smaller steering group and technical working groups.
- Schedule realistically, plan the agenda, and show good time management. Starting and stopping on time shows that you are serious and professional.
- Have refreshments available and make sure that the venue is sufficiently prepared, e.g., seating arrangements, logistics, note taker, etc.
- Announce important norms and ground rules while introducing the agenda. Makes sure that participants understand if this is a briefing or a meeting meant for discussion and decision-making.

- Use tried and tested visual aids to summarize and explain. Most people process visual information faster than oral or written information and visual aids will help get everyone on the same page.
- Make sure to agree on follow-up actions with responsible parties and deadlines.
- Don't meet... if during preparations you realise that the issues at hand can be solved with a phone call or bilateral/informal meeting. Don't waste people's time by calling an unnecessary meeting.

### L.2.3 Coordination barriers

Recognizing and identifying barriers to coordination is the first step in overcoming them. Many barriers to coordination are based on the nature of emergency operations and poor working practices in challenging environments. This overview touches upon some common barriers to coordination. While they are often not under the control of the coordination body, like the UNDAC team, they can possibly be influenced by applying some of the tips.

Coordination barriers	Tips to overcome them
<b>Competition:</b> Partners contest the involvement, competence, values or interests of others. Partners compete for access, resources and visibility.	<ul style="list-style-type: none"> <li>• Adopt a transparent, systematic process for identification, prioritization and allocation of resources.</li> <li>• Develop shared policies and standards, considering the interests of all partners.</li> <li>• Ensure broad representation in decision-making and working groups.</li> </ul>
<b>Neutrality:</b> Partners feel their autonomy is threatened. Perception that coordination will limit autonomy and that freedom to make decisions and run programmes as desired will be restricted.	<ul style="list-style-type: none"> <li>• Seek shared objectives as part of a strategy.</li> <li>• Demonstrate how shared problem solving need not compromise freedom of action.</li> <li>• Respect the position of agencies whose involvement in coordinated activities is limited by their own mandates, e.g., International Committee of the Red Cross (ICRC), Médecins Sans Frontières (MSF).</li> <li>• Offer observer status if appropriate.</li> </ul>
<b>Unilateral actions:</b> Partners duplicate efforts in some generalized geographical areas, while other areas with affected populations are not covered. Actions that ignore established coordination mechanisms of the coordination body, whether by donors or organizations.	<ul style="list-style-type: none"> <li>• Clearly define, and agree, roles and responsibilities with partners.</li> <li>• Actively engage all representatives in decision-making and coordination activities.</li> <li>• Publish needs analysis per region and sector and overlay it with maps, explaining who is doing what and where to show gaps.</li> </ul>

Coordination barriers	Tips to overcome them
<p><b>Inadequate commitment:</b> Decision-makers not willing to attend meetings. There is inconsistent involvement. A coordination process that is not working well, has unclear objectives and is seen to waste time without obvious benefits to those participating in it.</p>	<ul style="list-style-type: none"> <li>Understand partners' interests and needs and ensure they benefit from meetings.</li> <li>Provide information, resources and services that are of value to them. Make the OSOCC a one-stop-shop for useful products.</li> <li>Clearly define, and agree, roles and responsibilities with partners.</li> <li>Establish and maintain personal networks.</li> <li>Notify partners of the purpose, agenda, decision(s) to be taken, and action deadlines for meetings.</li> <li>Establish decentralized coordination mechanisms to facilitate local partner involvement.</li> </ul>
<p><b>Poor information flow:</b> Information does not reach decision-makers or is not considered during the decision-making process.</p>	<ul style="list-style-type: none"> <li>Identify bottlenecks and causes, i.e., where is the information stuck?</li> <li>Work with those who have the information to facilitate the flow.</li> <li>Ask the RC/HC for help to manage bottlenecks.</li> <li>Do not censor information that might be inconvenient for decision-makers.</li> </ul>
<p><b>Poor leadership:</b> Coordination body fails to act as an 'honest broker'. Personality clashes. Domination by some partners, imposing decisions without a transparent process. Too many decision-makers or too many organizations involved, which will complicate the process and make consensus, or at least agreement, too difficult to achieve. Ineffectual or inappropriate coordination leadership at the local and/or cluster level, e.g., when the coordination body exercises autocratic leadership and imposes decisions on others without a transparent process of involvement or is too concerned with due process and unable to cut through and make a decision.</p>	<ul style="list-style-type: none"> <li>Adopt a collaborative leadership style and take care to act in a neutral manner.</li> <li>Establish and maintain personal networks.</li> <li>Ensure broad representation in decision-making and working groups.</li> <li>Periodically evaluate satisfaction of partners through informal feedback and formal performance review process.</li> <li>Establish decentralized coordination mechanisms to facilitate local partner involvement.</li> </ul>

Coordination barriers	Tips to overcome them
<p><b>Insufficient resources:</b> Lack of time or resources to devote to coordination or coordination seen as a low priority given limited time and resources. Slow or inadequate mobilization of human, material or financial resources. Staff turnover, where new staff lack a commitment to coordination or are unaware of coordination agreements.</p>	<ul style="list-style-type: none"> <li>Build on existing coordination processes and delegate coordination responsibilities.</li> <li>Streamline the use of meetings (see Section L.2.2 above).</li> <li>Invest in effective information and knowledge management.</li> <li>Seek external, remote, headquarters, or global support in mobilizing resources.</li> </ul>
<p><b>Inappropriate working practices:</b> Failure to acknowledge language constraints. Differing cultural or working practices and types of knowledge. Ignoring gender or age dimensions.</p>	<ul style="list-style-type: none"> <li>Build on existing coordination mechanisms. Involve international, national and local organizations to draw on (local) expertise, e.g., academic, research and professional institutions.</li> <li>Translate all key information as required. Provide translation and interpretation in meetings. When registering contact information, include a field for language preference.</li> <li>Adapt information and knowledge management systems to accommodate local levels of ICT capacity and expertise.</li> </ul>
<p><b>Poor performance:</b> Lack of accountability (upward or downward). Partners' failure to fulfil responsibilities, meet agreed standards, e.g., INSARAG Guidelines, cluster commitments.</p>	<ul style="list-style-type: none"> <li>Remind about guiding principles and standards or agreed commitments.</li> <li>Draw on authority of RC/HC, government partner or donors.</li> <li>Monitor performance of all partners against criteria that equally value differing forms of contribution.</li> <li>Name and shame, if all else fails...</li> </ul>
<p><b>Poor knowledge or information management:</b> Poor-quality or delayed information. Failure to establish communication or information management strategies.</p>	<ul style="list-style-type: none"> <li>Seek external, headquarters or remote support in finding information management expertise if required.</li> <li>Adapt information and knowledge management systems to accommodate local levels of ICT capacity and expertise.</li> </ul>

For more in-depth reading on these topics, also covering collaborative leadership, group decision-making, influencing and negotiating, please see the booklet *'Facilitating Collective Action'* found in the *UNDAC Mission Software (UMS)*.



### L.3 Humanitarian Programme Cycle (HPC) support

Humanitarian coordination is the foundation of the successful application of the HPC to help prepare for, manage and deliver humanitarian response (see Section A.2).

The term humanitarian coordination may be defined as an overarching, principled way of managing delivery of humanitarian assistance through strategic planning, policy making and facilitation of cooperation and consensual decision-making. It is neither a system of command and control, nor solely built on a consensus approach. (See also Section A.3 for humanitarian coordination structures.)

The goal of humanitarian coordination is to ensure that humanitarian actors responding to disasters or emergencies work together to achieve shared strategic objectives and design and deliver their assistance in a complementary fashion according to their mandates and capacities. Their activities should be adapted in response to mutual agreements on changes in circumstances and, thus, of needs.

#### L.3.1 Inter-cluster coordination (ICC)

In situations requiring the establishment of several clusters (or sectors), it is important to ensure that these groups work together to maximize the collective output. See also Section A.3.1 for general information on the Cluster Approach, and the '*IASC Cluster Coordination Reference Module*' found in the UMS. A key function for OCHA (and UNDAC) in a humanitarian operation is to facilitate inter-cluster/sector coordination to ensure there is a shared understanding of needs, agreement on a joint strategy to meet those needs and define resources (including funding), and to ensure the RC/HC and the HCT (if it is set up) is kept abreast of key inter-sectoral concerns.

##### Purpose

Inter-cluster coordination facilitates joint analysis and planning, agreeing on prioritization of interventions, geographic areas and vulnerable groups, and avoiding gaps and duplication in service delivery. It allows the clusters to jointly identify interrelated concerns, e.g., poor water, sanitation and hygiene (WASH) conditions that are likely to lead to major health problems, and make best use of resources, e.g., taking advantage of a planned food distribution to conduct a measles vaccination campaign. It considers the different approaches and modalities of providing assistance in the most effective manner, e.g., use of cash vs. in-kind assistance. Working together in this way allows assistance to be provided in a sensible, joined up manner, using common assumptions and adhering to the same principles. It promotes consideration of protection issues that impact all sectors and helps factor in how to ensure that services are mindful of gender, age and disability challenges of populations being served.

##### Function

Inter-cluster coordination is a cooperative effort between the clusters that improves the quality of the response. Where several clusters or sectors are established, OCHA/UNDAC should set up an Inter-Cluster Coordination Group (ICCG) at the earliest opportunity and ensure that regular meetings are held. It is important that the ICCG supports the work of the cluster coordinators in a meaningful manner and the role of the Inter-Cluster Coordinator is critical. The role includes several functions: advisor, facilitator, supporter and influencer. It is essential to encourage collaboration, sharing of information and building trust, both with the cluster coordinators as well as amongst them. The ICCG is accountable to the RC/HC and reports to the HCT through OCHA.

The ICCG should ensure that sufficient linkages between the clusters and national organizations and line ministries are established and maintained. The clusters may be led or co-led by national entities and be natural partners to include in the ICCG.

The Inter-Cluster Coordinator's role extends beyond that of a meeting convenor. S/he should bring an added value in terms of knowledge, guidance and motivation to enhance the quality of the work of the clusters. To do this, the Inter-Cluster Coordinator must develop a very good understanding of the local context (political, social, security) and of the main concerns of each of the sectors. It is also important to be proactive and develop strong links with the most relevant operational actors, both national and international NGOs, Red Cross/Red Crescent and UN agencies, and to be informed of their activities and their constraints. The Inter-Cluster Coordinator should, as often as possible, go on field missions, meet with affected people, local authorities, non-state actors, etc., to have an accurate understanding of the humanitarian landscape. The Inter-Cluster Coordinator should work closely with OCHA's IM function to ensure that IM tools and services are fully utilized to support inter-sectoral analysis. These proactive actions will allow the Inter-Cluster Coordinator to bring substance and added value to the role, and to offer knowledge of the context and local dynamics to ensure the response is principled, adapted to local realities, and takes into consideration 'do no harm' norms (see also Section A.1). While OCHA/UNDAC is responsible for facilitating inter-cluster coordination, all clusters have a responsibility to contribute to the collective work of the ICCG.

##### Key Responsibilities

The ICCG tracks and monitors the response and identifies key issues and developments that the RC/HC and HCT must be informed of. It identifies and transmits to the HCT the larger strategic questions that the HCT needs to address to provide a principled and effective response.

The Standard Terms of Reference (ToR) for Inter-Cluster Coordination Groups highlights the following key responsibilities of the ICCG:

- Supporting service delivery across clusters/sectors:
  - Identifying and facilitating multi-sectoral or joint programming. Where inter-sector response mechanisms are in place, e.g., joint rapid response mechanisms, the ICCG may support and oversee these.
  - Supporting sub-national level coordination groups to facilitate effective humanitarian response.
  - Informing, advising and alerting the HCT of operational priorities and response gaps. This includes regularly updating the RC/HC and HCT on critical strategic issues that require their attention and action.
  - Taking action or advising the HCT on action required on issues impacting the effective delivery of the response across clusters including in relation to funding, access, logistics, civil-military coordination or coverage.
- Supporting analysis, planning and monitoring across clusters/sectors:
  - Coordinating needs assessments (joint assessments if required) including assessment planning and analysis across clusters. See also Section 1.2 for more on assessment coordination and analysis planning.
  - Undertaking joint analysis and monitoring to identify needs, risks, threats, vulnerabilities and capacities from a multi-sectoral perspective.
  - Carrying out cross-sectoral response analysis that considers the use of and informs decisions on cash and in-kind assistance or joint programming interventions.
  - Reaching agreement on joint strategic objectives and the draft Humanitarian Response Plan (HRP) (or Flash Appeal) to be recommended to the HCT.

- Recommending adaptations and changes to the response based on a continuous gap analysis and monitoring, including of information and feedback gathered through on-going community engagement.
- Elaborating funding requests and contributing to allocation papers (CERF/ country-based pooled funds) in a collaborative manner, based on agreed priorities across sectors.
- Enabling and working in coordination with an Information Management Working Group (IMWG) to establish the information management capacities, tools and approaches required to support operational response.
- Integrating cross-sectoral issues into response:
  - Integrating gender, age and diversity characteristics of the affected populations into the response across clusters, including the use of sex and age-disaggregated data.
  - Supporting community engagement across clusters to ensure the views of affected people inform decision-making.
  - Mainstreaming protection across all clusters in the implementation of the response and ensuring protection is integral to and informs all operational decision-making and HCT updates. See also L.3.2 for more on Protection.
  - Integrating early action, preparedness and early recovery across all clusters as part of efforts to foster resilience in a crisis or post-crisis context.
- Advocacy:
  - Identifying core advocacy concerns, such as humanitarian access, preventing and addressing violations of international law or durable solutions for displacement, and requesting the HCT to advocate or provide strategic direction on these issues accordingly.

### **Linkages for effective coordination**

Ensuring effective inter-cluster coordination goes beyond the confines of the ICCG meeting. The ICCG's unique overview of inter-sectoral needs, gaps, and operational challenges means that it should play an important role in updating the HCT on the progress of the response, providing analysis that can guide the HCT in its strategic decision-making, and request guidance from the HCT on how to address major policy issues that impact how assistance is provided. A large portion of the responsibility will fall to OCHA/UNDAC to ensure that the link is made between the ICCG and the HCT, such as sharing with the ICCG key decisions made by the HCT and taking valuable operational information and analysis to the HCT from the ICCG.

It is important to recall that UN agency representatives on the HCT are representing both their cluster and their agency. In this regard, cluster coordinators and Cluster Lead Agency (CLA) heads are encouraged to brief each other before and after HCT meetings.

Equally important is to ensure a strong link between the ICCG, national counterparts and sub-national coordination bodies. The ICCG, usually sitting at national level, risks being isolated from field operations unless cluster coordinators and the OCHA/UNDAC Inter-Cluster Coordinator travel frequently to the field and visits national authorities. At the same time, ensuring that field coordination representatives can regularly feed into ICCG discussions and are kept abreast of capital-level discussions both at the ICCG and the HCT is critical to ensuring quality coordination.

See also Section L.2 for more on coordination methodology.

### **L.3.2 Protection considerations**

The objective of incorporating protection considerations into a disaster response is to meet humanitarian needs to the greatest extent possible. Experience demonstrates that not every person affected by a disaster can access or benefit from humanitarian assistance equally. Older persons and persons with disabilities may not be able to queue for long periods to receive food rations; children may not be able to carry bulky or heavy non-food items; cultural norms may prevent women from accessing medical care. These vulnerable groups require assistance if they are to access and benefit from humanitarian aid and reconstruction programmes on an equal basis with others.

Disasters also often give rise to new protection concerns. Population displacement, weak law enforcement and the breakdown of social safety mechanisms can heighten the risks of looting, gender-based violence and child trafficking. When such issues are not addressed in the initial stages of a humanitarian response, violations are both more likely to occur and more likely to continue after the emergency is over. Responses include simple measures such as floodlighting and lockable shelter kits, and more technical programmes such as family tracing, training, e.g., of border guards, and monitoring of vulnerable groups.

Protection is, therefore, often delivered through practical and simple measures and involves a range of actors in addition to traditional protection actors. A 'protection sensitive' approach should not imply any change to the primary objective of saving lives; organizations simply need to mainstream protection concerns in their response to ensure that people with specific needs are not excluded.

### **Protection mainstreaming**

Protection mainstreaming is the process of incorporating protection principles and promoting meaningful access, safety and dignity in humanitarian aid. The following elements must be taken into account in all humanitarian activities:

- **Prioritize safety and dignity and avoid causing harm** – Prevent and minimize as much as possible any unintended negative effects of an intervention which can increase people's vulnerability to both physical and psychosocial risks.
- **Meaningful access** – arrange for people's access to assistance and services in proportion to need and without barriers. Pay special attention to individuals and groups who may be particularly vulnerable or have difficulty accessing assistance and services.
- **Accountability** – Set-up appropriate mechanisms through which affected populations can measure the adequacy of interventions and address concerns and complaints.
- **Participation and empowerment** – Support the development of communities' and individual capacities and assist people to claim their rights, including – not exclusively – the rights to shelter, food, water and sanitation, health, and education.

Through the incorporation of protection principles into aid delivery, humanitarian actors can ensure that their activities target the most vulnerable, enhance safety, dignity, and promote and protect the human rights of the beneficiaries without contributing to or perpetuating discrimination, abuse, violence, neglect and exploitation.

All humanitarian actors have a responsibility to mainstream protection. CLAs and partners are responsible for ensuring that activities are carried out with a 'protection lens' and in particular for ensuring that their activities integrate protection principles. Protection Cluster leads in-country can provide advice, guidance and training on protection mainstreaming.

### Specific needs of vulnerable groups

Vulnerable persons or groups of people are those who are exposed to a combination of, or more serious, risks than the rest of the population and who have limited capacity to cope with these risks. Vulnerability is context-specific and depends on the capacities and support networks of each individual. Women, men, boys and girls of all ages may require special interventions or support depending on their circumstances and the threats their environment poses.

Vulnerability in relation to one situation does not necessarily indicate vulnerability in all situations and blanket classification of vulnerable groups should be avoided. For this reason, it is useful to carry out a vulnerability assessment to understand the specific vulnerabilities of and within a population group to risks they face as well as the existing capacities to cope in the face of these risks.

Vulnerability is influenced by displacement, geographic location, specific cultural and social power dynamics, access to information and education, access to material and financial resources, access to services and infrastructure, social support networks and specific characteristics of the group, family, or individual. Population displacement is a key factor impacting on vulnerability; displacement brings multiple risks and reduces capacity to cope.

Specific groups are often more vulnerable and need special assistance in the aftermath of a disaster. Experience shows that these groups almost always include women, children, people with disabilities and older persons. Other potentially vulnerable groups include the poor, persons living with HIV/AIDS, indigenous groups, families hosting IDPs, renters, squatters and the landless, geographically-isolated communities, individuals associated with a party to an armed conflict and certain ethnic and cultural minority groups in given countries.

It is essential to ensure that vulnerable groups are consulted, and their participation in the design of programmes encouraged, to ensure that their specific needs are met. Key tools include the collection of sex- and age-disaggregated data, and direct involvement of such groups in planning processes relating to recovery, economic and social planning, and reconstruction. Further measures include the recruitment of female staff to collect data and assess needs, and the organization of focus group discussions at times and locations that are convenient for those with special needs.

See Section T.8 for a list of protection activities by area/sector.

### L.3.3 Cash transfer programming (CTP)

There is increased interest across the humanitarian community and the donor community in using cash transfer programmes (CTP) to address the needs of affected communities. Providing cash, and in particular multi-purpose cash assistance, can offer a more dignified alternative to traditional in-kind assistance by empowering people to prioritize their needs as they see fit. Moreover, the injection of cash into crisis-affected communities can stimulate local trade and markets, helping to speed recovery. It can also serve as an important bridge between humanitarian and development phases, especially when appropriate linkages are made with government social safety nets and vulnerability reduction programmes.

Humanitarian assistance, whether cash-based or in-kind, should be needs-based and context-specific. The appropriateness or feasibility of using cash depends on key conditions being in place, notably the existence and functioning of local markets, the acceptance, preference for and safety of using cash, the availability of transfer options, and the capacity of partners to implement cash programmes. If these conditions do not exist and cannot be created, cash should not be used. Additionally, there are some needs that cannot be met by providing cash to households, such as critical infrastructure and health services, and psychosocial support.

The methods used to deliver CTP can vary widely and will likely change in the future as new tools/systems are explored. Identifying the most effective mechanism for delivering cash will depend on the local context. Some of the common methods include:

<b>Direct cash payment</b>	Hard currency is distributed directly to beneficiaries typically by the implementing organization or partner.
<b>Delivery through agent</b>	Cash is distributed to beneficiaries through money transfer agents, post offices, traders, microfinance institutions, banks or other appropriate local financial service providers.
<b>Pre-paid cards</b>	ATM, debit, or prepaid cards used for cash or voucher programmes. These cards require a phone or internet connection to be used. Cards may be provided by banks and non-bank financial service providers.
<b>Physical voucher</b>	Vouchers which are not electronic and are distributed to beneficiaries (paper, tokens, etc.).
<b>Mobile phone transfer</b>	Money or vouchers that are distributed over mobile phones by mobile network operators and/or banks.
<b>Smart card (chipped)</b>	An internet or phone line connection is not required to use these cards, which are distributed for cash grants and store purchases.

### CTP coordination

To ensure cash can contribute to meeting humanitarian needs in the most appropriate, effective and efficient manner as part of an overall multifaceted humanitarian response, it needs to be systematically and predictably coordinated and be part of the overall humanitarian coordination architecture. The coordination of cash, as with any other modality, should be context-specific.

The ICCG is responsible for cash coordination. Should the cash response be significant enough in scale, the ICCG may decide to set up a Cash Working Group as a sub-group of the ICCG, the priorities of which should be squarely directed by, and be able to influence, the operational priorities of the ICCG in terms of the overall response. Where specific sectoral programmes are designed using a cash response, these should remain coordinated within their relevant cluster or sector as with any other type of assistance.

Strategic cash coordination must be inter-sectoral. Since cash can have the greatest impact when delivered as a single multi-sector transfer, its coordination should not be linked to, or owned by, any single cluster or sector. Instead, it must cut across, involve, and support various sectors. Host governments should have a strong role in cash coordination, where possible, including with a view to promoting relevant linkages with national social protection programmes.

### Relevant issues for UNDAC in first phase response:

- Ensure cash is well integrated into the coordination platforms and processes from the very outset of the response, ensuring that it is not treated in a silo.
- Ensure information management processes capture and illustrate any cash programmes as part of the regular reporting.
- Consider the feasibility and appropriateness of using cash from the very outset, informing discussions on the most effective and efficient response options. For this purpose:
  - Liaise with the Assessment Working Group (AWG) (if a group exists) and gather information on all planned assessments, ensuring markets are included in all initial assessments and encouraging joint and/or coordinated assessments wherever possible.

- Liaise with the Logistics Cluster on early supply chain and procurement assessments.
- Liaise with the OCHA Flash Appeal focal point (if planned) to ensure that basic information on markets and response modality options are included in the Flash Appeal.
- With a view to establishing a context-appropriate coordination architecture:
  - Begin to gather information on which actors are considering cash-based interventions and the factors they are using to make this decision.
  - Monitor as many cluster meetings as possible for CTP issues and opportunities.
  - Under the leadership of the HCT and ICCG, ascertain the need to establish a multi-sectoral Cash Working Group as a sub-group of the ICCG, explore options for chairing and secretariat arrangements, and advocate for relevant decisions by the RC/HCT and HCT.
- With a view to integrating cash into the coordination platform and processes:
  - Ensure that modality of assistance is addressed during the first HCT and inter-cluster meetings and maintain cash as a standing item in the meetings that follow.
  - Based on secondary data, develop an initial overview of cash feasibility, including information on market functioning, partner presence, and financial service provider presence and capacity.
  - Promote the consideration of cash-based responses as part of CERF requests, where feasible and appropriate.

### L.3.4 Private sector engagement

In a humanitarian emergency, companies are among the first responders on the ground and often engage independently of coordinated humanitarian response structures. Remember that the private sector (commercial enterprises, business associations and coalitions (such as Chambers of Commerce, and industry networks such as GSM Association (a trade body that represents the interests of mobile network operators worldwide) or corporate philanthropic foundations) can do much more than simply donate money or goods. In almost all emergency situations, businesses are there before, during and after an emergency. Often, they have knowledge of the operating environment with resources, supply chains and know-how that humanitarian actors might not have. They may also provide their own assessments of operating conditions that can be very useful. Businesses can also help the humanitarian community approach humanitarian challenges in novel ways, leading to innovation. See also Section A.4.7

#### ***UNDAC engagement with the private sector***

As international private sector interest in a response is usually highest in the first week of the crisis, it is critical to engage with them in the initial stages and ensure they are aware of priority humanitarian needs and, wherever possible, meaningfully integrated in humanitarian coordination structures or at least linked to them. Often large, multi-national companies will have community- and government-relations departments as well as having established relationships and projects with local community groups and NGOs. It is, therefore, important to understand the scale and scope of their activities. Wherever possible, it is useful to remind them of humanitarian and 'do no harm' principles. See also Section A.1

To fully use resources that are available at the local level, you should identify key private sector players that can contribute knowledge and resources and bring 'quick wins' to the immediate response. This may mean activating pre-existing global agreements with industries or networks, such as the Connecting Business initiative (CBI) (see also Section

A.4.7) or solving concrete operational issues through 'transactional' arrangements, e.g., the provision of a truck to deliver assistance, repair of a critical road, etc. Wherever possible, it would also be useful for UNDAC members to establish initial connections that might be beneficial for short and medium-term response efforts.

To target private sector actors, UNDAC could reach out to:

- Business networks, as this allows reaching many companies through one focal point. Examples include:
  - Local or international Chambers of Commerce, e.g., US or UK members may include many multinational companies operating in the region. The Chamber/network may also be willing to act as a convener for the UNDAC team, i.e., it may host a meeting of their members so a number of companies can be addressed at once.
  - CBI local networks.
  - UN Global Compact (see below) local networks which support the UN Global Compact initiative and its core principles at the local level.
  - Other business or industry networks.
- Companies:
  - Global companies with local presence.
  - Information and communications technology (ICT), telecommunications, financial services, consumer and other industries relevant to local context.
  - Companies from neighbouring countries with strong economies.

UN guidelines on a principle-based approach to the cooperation between the United Nations and the business sector recognize the role and importance of cooperating with businesses, but also stress the importance of safeguarding the purposes and principles embodied in the UN Charter and preventing and mitigating potential risks. In practical terms, this means keeping in mind potential reputational risk (also known as due diligence) when engaging with the private sector. This precludes active engagement with certain types of companies, e.g., companies that are on the UN sanctions list, those that engage in forced and child labour, the sale of weapons, etc., and places restrictions on others, e.g., gambling and harmful products such as tobacco.

It is important to note that there is a difference between engagement and partnership. Given that UNDAC is deployed in the early stages of the crisis, the main focus will likely be simply exchanging information. If a company wants to engage in a partnership, that will likely be with an operational agency which will have its own due diligence processes.

Remember that, as with any other partner, the relationship built with the private sector should be based on trust and be mutually beneficial for both sides. As an UNDAC member, only engage with private sector actors to facilitate coordination and information sharing as with any other stakeholder. If a company offers direct support to UNDAC (transport, office space etc.) and advice is needed on whether a company might pose a reputational risk to the UN, please contact OCHA Geneva with a brief description of the proposed nature of the engagement. Remember that engaging with business networks, rather than individual local companies, usually minimizes potential due diligence issues. If companies are interested in procurement, direct them to the UN Global Marketplace <https://www.ungm.org>.

#### ***Checklist for working with the private sector***

- **Engage with the private sector from day one** – The private sector is already on the ground, with resources, technical expertise and often greater initial situational awareness than humanitarian responders. Check with the mission focal point in

Geneva if there is a CBI or other business network active in the country and ask the RC/HC if they already have an established relationship with a private sector network.

- **Identify concrete needs and asks for the private sector** – Work with the RC/HC, ICCG, cluster leads, including the cash coordinator, UN organizations and NGOs to identify concrete needs/asks for the private sector. The identification of these key asks would assist in clarifying and providing more specific guidance to businesses and industry associations as to 'how' they can engage directly in humanitarian response and 'who' they need to contact (by providing personnel, guidance, technical expertise). Be as specific as possible, e.g., *'We need four two-ton trucks, including petrol, with driver, for four days, in this specific location, for this purpose'*.
- **Include the private sector in humanitarian processes and meetings** – Ensure private sector network representatives are integrated in system-wide response processes and meetings which UNDAC facilitates, wherever possible.
- **Consider activation of pre-agreed services** – Activate practical assistance by telecommunication companies and the satellite industry to humanitarian responders through existing charters for disaster relief (see below), which should ultimately be handed over to relevant clusters once these are activated.
- **Share information management products with the private sector** – Include ongoing private sector relief efforts and contributions in humanitarian information products, e.g., situation reports, 3W, where appropriate. Identify private sector companies/networks that could support information management, data collection and analysis. The private sector's in-depth knowledge of local infrastructure, also through their supply chains and employees, could be used as a source of information to increase situational awareness.

### Useful references

Separate guidance for UNDAC on private sector engagement can be found in the UMS or by contacting the mission focal point in OCHA Geneva.

OCHA website <https://www.unocha.org/theme/partnerships-private-sector>.

Connecting Business initiative website <https://www.connectingbusiness.org>.

The UN Global Compact is the world's largest corporate sustainability initiative, calling on companies to align strategies and operations with universal principles on human rights, labour, environment and anti-corruption, and take actions that advance societal goals. <https://www.unglobalcompact.org>.

Guidelines on a principle-based approach to the cooperation between the United Nations and the business sector: [https://www.unglobalcompact.org/docs/issues\\_doc/un\\_business\\_partnerships/guidelines\\_principle\\_based\\_approach\\_between\\_un\\_business\\_sector.pdf](https://www.unglobalcompact.org/docs/issues_doc/un_business_partnerships/guidelines_principle_based_approach_between_un_business_sector.pdf).

Humanitarian Connectivity Charter (engagement with the mobile industry): <http://www.gsma.com/mobilefordevelopment/programmes/disaster-response/humanitarian-connectivity-charter>.

Crisis Connectivity Charter (engagement with the satellite industry): <https://www.esoa.net/Resources/ESOA-UN-Charter-Doc-v2.pdf>.

### L3.5 Humanitarian response planning and financing

An important element of the HPC is humanitarian response planning and financing which starts in the very early phase of the response. In the first days following a disaster, the RC/HC and HCT will have to decide on the need for an initial joint response plan which is consulted amongst all humanitarian actors. To the extent possible, national authorities should participate in its development.

### Initial response planning and Flash Appeal

An initial response plan in sudden-onset emergencies is commonly called a Flash Appeal (FA), for which specific Inter-Agency Standard Committee (IASC) guidance and good practice exists. The FA is an initial inter-agency/sector humanitarian response strategy and fundraising tool, based on a rapid appraisal of the emergency's scale and severity. The FA articulates the HCT's common vision for humanitarian action in-country over the next few months, an initial response strategy including response priorities, actions to be taken at cluster/sector level, roles and responsibilities, and consolidated funding requirements for up to six months.

An FA is developed in the first 5-7 days following a major emergency requiring international assistance. An FA typically lasts 6 months and can be revised after 4-6 weeks based on a more in-depth understanding of needs and the response context. If the emergency will require sustained international assistance beyond the FA period, the initial FA should be revised after 4-6 weeks and be further developed into a longer-term Humanitarian Response Plan (HRP), typically lasting between 1-3 years. The purpose of the FA is to:

- Avoid competing and overlapping single-agency appeals.
- Provide a framework for strategic, coordinated and inclusive (local response actors) programming.
- Attract donor funding by presenting funding requirements by cluster/sector and, if possible, an inventory of associated response projects by individual organizations for each cluster/sector.
- Enable the public tracking of donor funding to response projects, to indicate funding gaps.

The RC/HC initiates the FA in consultation with the HCT and following the Emergency Relief Coordinator's (ERC's) agreement. All humanitarian partners, including national authorities, can participate in developing the HRP. Typically, national authorities are engaged, particularly via clusters/sectors' discussions with the relevant line ministries. Government permission to issue the appeal is not required but consultation is essential. UN agencies, international organizations and NGOs (both national and international) may include projects in the appeal. The Red Cross/Red Crescent Movement typically coordinates its response under the FA but often chooses to appeal for funding independently. Government bodies of the affected country can be included as technical partners in UN or NGO projects but cannot appeal directly for funds or be major recipients/implementers of funding generated through the FA.

An FA includes the following key elements and structure:

- Country strategy – An overview of the crisis, outlining scope/severity of the emergency, initial Government and bilateral response.
- Strategic objectives – Scope of response, outlining FA response objectives, timeframe and target areas/population groups, as shaped by:
  - Initial needs analysis.
  - Government response capacity (emergency management and resources, social safety nets).
  - Access and other operational constraints for HCT response (current presence, rapid scale-up capacity, implementing partners).
  - Humanitarian response and funding outside the FA, e.g., Red Cross/Red Crescent, MSF, civil society and non-traditional partners.
  - Non-humanitarian international assistance, e.g., ongoing development programming and capacity to adjust to the emergency.
- Response strategy – Outlining:
  - Anticipated risks and how the crisis will evolve in the next weeks.

- Implementation considerations and how obstacles will be addressed, e.g., physical access.
- Agreed response priorities, as linked to where needs are assessed/expected to be worst.
- Consolidated financial requirements for the FA (not for Government).
- Sector strategies – Outlining for each cluster/sector:
  - Response objectives and priorities.
  - Target considerations and number of people targeted.
  - Financial requirements.
  - If possible, a catalogue of response projects by individual organizations, each indicating organization and contact person, summary of project objectives, priorities and activities, and financial requirements.

### Humanitarian funding

While the FA presents the humanitarian strategy and appeal, humanitarian funds come from a range of sources including:

- National governments
- Civil society
- NGO funds
- Bilateral donors
- Multilateral donors
- Corporate donations
- Individual donors
- Pooled funds

OCHA manages three main funding tools with the purpose of disbursing funds quickly to kick-start response while in-depth assessments and longer-term response planning are ongoing:

- **Emergency cash grant** - A small grant facility (requests cannot exceed US\$100,000) to kick start humanitarian relief and coordination, for procurement and/or transport of relief items. The RC/HC makes a recommendation for funding to OCHA HQ and, if approved, funds can be disbursed within a few days.
- **Central Emergency Response Fund (CERF)** - Open only to UN agencies (not NGOs) to promote early action and response to reduce loss of life, enhance response to time-critical requirements and strengthen core elements of humanitarian response in underfunded crises (see also Section A.3.4.).

CERF funded projects must be based on (initial) needs assessments and comply with CERF life-saving criteria, activities that:

- Within a short time-span, remedy, mitigate or avert direct loss of life, physical harm or threats to a population.
- Common humanitarian services necessary to enable life-saving activities, such as logistics and support services.

A CERF request will be developed by the RC/HC's office with OCHA support (country office or regional office) for the CERF Secretariat in New York. If there is no OCHA field presence, UNDAC teams may need to support the CERF request for rapid response submissions, supported by the regional office.

- **Country-based pooled funds** – These are multi-donor humanitarian funds for protracted crises established by the Emergency Relief Coordinator (ERC), managed by OCHA at country level under RC/HC leadership. Funds are allocated to partners by the RC/HC through an in-country consultative process (mainly to NGOs), to support

both strategic response priorities aligned with the HPC and response to sudden-onset emergencies.

### Role of UNDAC:

Often the UNDAC team, and in particular OCHA staff on the team, will support the development of an FA which will borrow heavily from initial situation analyses by the UNDAC team, both remote and on-site. Initial response planning will occupy inter-agency/cluster meetings as of days 2-3. UNDAC may be asked to support these and should inject its operational understanding of the emergency. Initial UNDAC assessments and emerging situation analysis are key for shaping the initial response strategy under the FA, especially considering the anticipated evolution of the crisis, operational response priorities and delivery considerations.

FAs are based on needs, but usually there will be limitations in terms of implementation capacity and the duration of complementary international assistance. That means that not everything can be done in the FA and funding requirements need to be kept realistic. FAs which are inflated, or lack operational understanding and prioritization, will neither have traction with donors nor operational relevance.

When there is no OCHA country office, remote assistance is available from the OCHA regional office or HQ which can support on technical issues and drafting. Fluid communication between UNDAC, the OCHA country/regional office, the RC/HC and OCHA HQ is key.

### L.3.6 Community engagement

Engagement with communities in the immediate aftermath of a disaster is essential to ensure that affected people have the information they need to organize their own responses, take life-saving actions at household level and access humanitarian assistance, as well as to provide important feedback on challenges and gaps. This improves programme quality and impact, leading to more effective, accountable humanitarian response operations. While there is a consensus on the importance of community engagement to achieve accountability in humanitarian response, it often raises the question 'how do we actually do it?'

UNDAC can play a critical role in setting up an 'accountable response' and, in particular, ensuring information needs are met immediately. It is suggested that a dedicated community engagement expert is deployed with the UNDAC team. ToRs for this position can be found in the UMS.

The list of suggested actions below provides clear ideas for UNDAC members to ensure accountability to affected people in the initial phase of coordination, and ensuring it can be followed throughout the HPC. Each humanitarian situation is different and it will be important to adapt the actions to the context of the operation. The list can serve as a reminder of the various areas that should be kept in mind to operationalize response-wide accountability.

### Coordination

Support the RC/HC to identify national NGOs, community groups and/or consortia to be included in the HCT or to attend relevant HCT meetings, ensuring sufficient community representation in decision-making.

- Reach out to media development organizations, (see below) to help link them to the clusters and ICCG and ensure their inclusion in planning processes.
- Ensure coordination meetings have a standing agenda item on community engagement and accountability, specifically reviewing complaints and feedback from communities (via agencies which may have complaints and feedback mechanisms) and media development and other local agencies); rapidly identify trends, collectively define solutions and track progress on addressing them, i.e., request information on



what agencies are saying and hearing from communities; ensure feedback trends are being reported.

- Rapidly assess the best structure for common feedback collation and analysis as a 'common service'.
- Identify local champions. One or several of the implementing partners may be involved in community engagement, beneficiary communication or accountability work; identify which these could be and ask for their support. Often NGOs have such staff.
- Document community feedback and include community engagement activities in all situation reports, needs overview documents, etc.

## A&A

- Agree with the ICCG that assessments will aim to include a representative sampling of the population, capturing age, gender, people with disabilities, etc. (not just community leaders). Where this is not possible, data disaggregated by age and gender should be used and assessment gaps acknowledged for phase 2 responders.
- Ensure questions on aid priorities, means of delivery (in-kind, vouchers, cash) and information needs and preferences (what people need to know and how they prefer to receive information and communicate with responders and authorities) are included in all joint assessments. There are existing question banks to draw on in the UMS.
- Ensure coordinated assessments include and draw on support from media development organizations, such as BBC Media Action, Internews, etc., as required.
- Validate results of assessments with community members where possible or include these in recommendations for ongoing response efforts post-UNDAC deployment.
- IM products should specify information and communication needs and appropriate channels of communication with affected communities.

## Communication and media

Coordinate the development and dissemination in local languages of key humanitarian messages.

- Listen, don't spam communities. Within the response community, map out what existing or planned 'listening' activities/projects may exist and try to create synergies. These may be informal or structured.
- Connect with local radio networks and other media to liaise with representatives of local/community media organizations. The coordinated response community should organize regular media briefings where aid officials, from local and international organizations, brief and take questions from the local media on progress, plans and challenges.

## Strategic response planning

- Ensure the FA and/or HRP are directly based on the findings of needs assessments which included representative sampling of the population where possible, as well as disaggregated data and joint analysis of priority needs.
- Ensure all response planning documents reflect information and communication needs, as well as response and approach to collective accountability (how the humanitarian community at the collective level plans to gather and respond to feedback/complaints and provide information to affected people).

## Resource mobilization

- Advocate for resources to support collective community engagement, including coordination structures, staff or other support, community consultations, public information campaigns and complaints and feedback mechanisms.

## Evaluation

- Support HCT/ICCG to agree on the approach to community participation in evaluation methodologies, i.e., through focus groups, civil society organizations, perception surveys or existing platforms, i.e., call-in radio programmes.

## L.3.7 Gender equality programming in humanitarian action

During a humanitarian crisis, the needs and capacities of women, men, girls and boys are different and distinct and, therefore, need to be understood to achieve effective humanitarian action. Addressing gender equality during a humanitarian crisis means planning and implementing protection and assistance according to the needs of the different groups in a community. This ensures that the humanitarian response benefits all people affected equally and avoids putting some at greater risk. Men, women, girls and boys usually have differing status and roles in society. Crises impact women, girls, men and boys differently and existing vulnerabilities are often exacerbated by other factors such as age, disability, sexual orientation, ethnicity or religion. Access to resources and services required to be resilient and to recover, or enjoyment of rights, opportunities and life chances, should not be governed or limited by affected people's gender. Protecting human rights and promoting gender equality is, therefore, central to the humanitarian community's commitment to protect and provide assistance to all those affected by emergencies.

For these reasons, gender equality programming in humanitarian action is critical. All activities should take into account the different needs and capacities of women, men, girls and boys. Gender roles and relations in the affected population should be analysed and integrated in humanitarian coordination, situational analysis, project activities and outcomes.

A coordinated effort and capitalizing on the combined strength of national and international responders and networks is critical to:

- 1) Achieve desired outcomes for individual women, girls, men and boys, their families and communities.
- 2) Reach marginalized or vulnerable groups in particular.
- 3) Maintain and strengthen resilience.
- 4) Reverse pre-existing gender inequalities.

To integrate gender into humanitarian response, the following actions are suggested:

## Coordination, participation and communication

- Identify and coordinate with local organizations representing women and girls, including those with disabilities and other marginalized groups. Ensure national and local gender and youth networks are involved in humanitarian coordination and decision-making from the start of the emergency response. If networks do not yet exist, explore ways to establish them, involving sectors/clusters.
- Ensure that gender analysis is integrated robustly into baseline data collection, assessments, information systems, communications, advocacy and programme activities of response organizations and clusters. Address both the immediate practical needs of women, girls, men and boys and strategic interests regarding underlying causes and contributing factors to gender inequality. See also Section I.3 Data collection.
- Prioritize prevention and response to gender-based violence (GBV) and put in place necessary actions to protect women, girls, boys and men from all forms of sexual exploitation and abuse by agency staff and partners, and lead advocacy for all agencies/organizations to do the same.
- Ensure that coordination mechanisms (local, national, clusters) engage in equitable and participatory approaches to involving women, girls, men and boys in decision-

## M. OSOCC CONCEPT

making processes so that they participate in the design and implementation of the programmes affecting them that are included in the HRP.

- Ensure balanced representation by women and men in all groups is achieved.
- Link with relevant community engagement activities (see Section L.3.6) by ensuring that:
  - Local and national governmental organizations are consulted in the longer-term design of gender-sensitive programmes.
  - Women and men of all ages affected by humanitarian emergencies receive information on the programme and are given the opportunity to comment during all stages of the response.
  - Assessment results are communicated to all concerned organizations and individuals.
- Ensure that humanitarian programme objectives reflect the needs, concerns and values of all segments of the population affected by humanitarian emergencies and that programming is designed to maximize the use of local skills and capacities, including those of women and youth, build on local capacity and not undermine women's, girls', boys' and men's own coping or other strategies.

### Secondary data analysis and primary data collection:

- Break down population figures by sex, age and other relevant forms of diversity and compare data with pre-crisis information. See Section I.2.3 Planning for data collection and consolidation (analysis plan).
- Collect and analyse sex-, age- and disability-disaggregated data (SADD). See Section I.3 Data collection.
- Conduct a gender analysis of the situation of women, girls, men and boys. Analyse secondary and primary data to identify the different dimensions of the crisis for women, girls, men and boys including their respective needs and capacities, roles, control over resources, dynamics and social inequalities/discrimination.
- Consult with women, girls, men, and boys from diverse groups to ensure that their particular circumstances, needs, priorities and capabilities are fully understood.
- Ensure an equal balance of men and women on field teams and, where feasible, include a gender specialist and protection/GBV specialist. See Section I.3.2 Primary data collection.
- Use participatory methods such as focus group discussions, key informant interviews, etc., and create separate groups for women, girls, men and boys, as culturally appropriate and preferred. See Section I.3.3 Primary data collection methods.
- Map the existing services available for women, girls, men and boys and trace referral pathways for specific services, such as GBV interventions.
- Request gender/GBV specialists as part of the overall protection (assessment) capacity to lead on ensuring that appropriate GBV-related questions are included in initial rapid multi-cluster/sector assessments, and that GBV is specifically addressed in assessment reports, the overall protection strategy and standards and guidelines from the earliest stages of the emergency.

For more information, see the 2017 'Gender Handbook for Humanitarian Action' ([https://reliefweb.int/sites/reliefweb.int/files/resources/iasc\\_gender\\_handbook\\_2017.pdf](https://reliefweb.int/sites/reliefweb.int/files/resources/iasc_gender_handbook_2017.pdf)) and specifically the checklist for integrating gender into each stage of the HPC (pages 75 – 79). From page 95 onwards, the sector-based checklists and guides are available, as well as the IASC GBV Guidelines: <https://gbvguidelines.org/en/home>.

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### M.1 Introduction

The On-Site Operations Coordination Centre (OSOCC) is a rapid response tool that provides a platform for the coordination of international response activities in the immediate aftermath of a sudden-onset emergency or a rapid change in a complex emergency. It is at the same time both a methodology and a physical location for on-site emergency response coordination. The OSOCC is designed to work in support of the Government of the affected country and is a tool for OCHA to carry out its mandate of coordination and information management in emergency response, particularly at the field level.

The functional organizational model the OSOCC is built on can draw its lines back to the Roman Empire, through the Napoleonic wars, and numerous emergency management organizations have used variations of the functional approach in their plans and structure throughout history. The International Search and Rescue Advisory Group (INSARAG) and OCHA originally developed the OSOCC concept to assist affected countries in coordinating international search and rescue efforts following an earthquake. However, the emergency management principles of the OSOCC concept make it a valuable tool in any sudden-onset disaster or complex emergency requiring the on-site coordination of international relief resources in the absence of other existing and functioning coordination systems. Since its inception, the OSOCC concept has been successfully implemented numerous times in situations ranging from regional emergency events to major international disasters.

It is a concept that can be internalized entirely by national emergency management structures who are in the lead of coordinating the assistance to populations affected by emergencies in their countries. Many governments have integrated the OSOCC concept, or

components of it, as part of their national emergency management plans, enabling them to establish and resource OSOCC components, e.g., Reception Departure Centre (RDC), Emergency Medical Team Coordination Cell (EMTCC), etc., when a disaster strikes and international assistance is requested.

An OSOCC may operate under one of three general models:

- 1) Direct coordination of response activities at the request of a government.
- 2) Coordination of specific aspects and support of others in cooperation with a government.
- 3) In support of the UN Resident Coordinator/Humanitarian Coordinator (RC/HC).

The OSOCC concept provides a platform and methodology for operational coordination on-site in a disaster area when other structures for international assistance and coordination, such as clusters or a nationally established structure that incorporates international actors, are not yet functioning or require enhancement. The nature of the OSOCC enables the concept to be utilized by other organizations when responding to emergencies, including international response organizations, e.g., regional organizations and governments.

To this end, OCHA, serving as the custodian of the OSOCC concept, has developed the *OSOCC Guidelines* intended for use by organizations or response teams who may be establishing and managing an OSOCC, e.g., UNDAC teams, organizations or teams who may work within an OSOCC, e.g., Urban Search and Rescue (USAR) teams, Emergency Medical Teams (EMTs), cluster coordinators and organizations who may interact with an OSOCC, e.g., Government of a requesting country, the Local Emergency Management Authority (LEMA) and regional organizations.

This chapter presents an excerpt of the *OSOCC Guidelines*. The full document can be found in the UNDAC Mission Software (UMS) or downloaded at: <https://www.unocha.org/our-work/coordination/site-operations-coordination-centre-osocc>.

## M.2 The OSOCC concept

The OSOCC concept was developed as a rapid response tool that works in close cooperation with the affected Government to provide a system for coordinating and facilitating the activities of international relief efforts at the site of a disaster. It is primarily used in sudden-onset disasters and particularly in large-scale emergencies but is applicable in other contexts including complex emergencies and in emergencies where a mechanism for operational coordination does not exist or requires enhancement.

### M.2.1 OSOCC purpose

The OSOCC has two core objectives:

- To provide a means to rapidly facilitate on-site cooperation, coordination and information management between international responders and the Government of the affected country in the absence of an alternate coordination system.
- To establish a physical space and act as a single point of service-provision for incoming response teams.

The OSOCC is intended to serve as a conduit for information exchange between the Government of the affected country and various relief providers in a disaster receiving international assistance, to facilitate cooperation with, and coordination of, international

humanitarian assistance, and to provide a platform for coordination amongst actors who do not normally work in close collaboration. The OSOCC facility supports on-site coordination and information exchange and facilitates a broader coordination platform that extends well beyond the physical OSOCC.

To optimize its effectiveness, the OSOCC should be established in the immediate aftermath of a disaster requiring international assistance or when indicated by a change in situation of an existing emergency. Wherever possible, the OSOCC should be located in close proximity to the disaster site and relevant national government authorities. The timeliness of set-up and the appropriateness of location are both critical in sudden-onset disasters to ensure optimal rescue and relief efforts.

Although an OSOCC is intended as a short-term response tool for the immediate life-saving and relief phases of a disaster, it should be established with enough flexibility and foresight to adjust to the magnitude and complexity of an emergency as it unfolds. When an OSOCC becomes fully engaged in the coordination of international humanitarian response, its role and activities may be extended to meet the changing requirements dictated by an evolving situation. It is expected that an OSOCC in some form would be operational during the relief phase of an emergency until the Government of the affected country, together with UN agencies and NGOs if required, can resume the responsibility of coordination of international resources through its own structures and offices.

### M.2.2 OSOCC context

When established, the OSOCC works within the existing humanitarian system both internationally and in the affected country, as illustrated below.

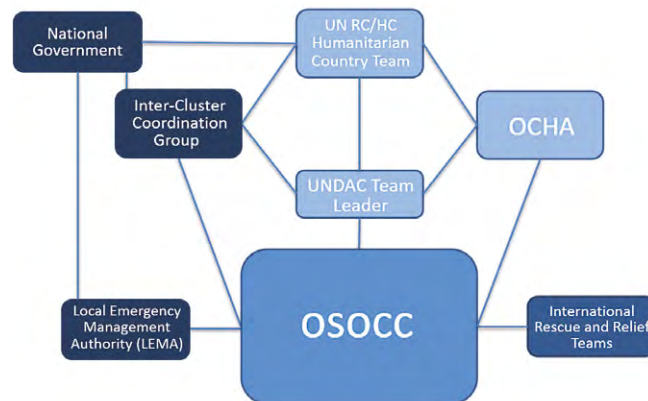


Figure M.1 OSOCC context

The OSOCC generally reports to the UNDAC Team Leader, who in turn ensures that activities of the OSOCC are aligned with the strategic direction of the RC/HC and the Humanitarian Country Team (HCT) and supported by OCHA.

The OSOCC works in support of the affected Government in coordinating the efforts of international response organizations. Within the affected country, the LEMA is responsible for the overall command, coordination and management of the response operation, thus the OSOCC maintains a strong connection to the LEMA throughout operations.

In addition to the entities within OCHA and within the affected country, the OSOCC supports and collaborates with cluster coordinators and responding teams. This can be done through integration in the OSOCC structure, including physically being located in the OSOCC facility, and/or through formal or informal liaison.

M.2.3 OSOCC structure

The OSOCC is generally structured into four functions, each of which may be composed of multiple cells.

- **Function** – Refers to a broad organizational component of the OSOCC, i.e., Management, Situation, Operations, Support. These functions will need to be considered for every OSOCC mission and at every stage of the mission. One or more people may perform each function, and/or one person may perform multiple functions. Each function can be expanded as necessary to include the number and organization of personnel required to fulfil its responsibilities.
- **Cells** – Are components under functions that can be used to further organize the OSOCC into common sub-groups that reflect the key areas of responsibility of that function. The use of cells is particularly beneficial in circumstances where the OSOCC has a large number of staff and additional layers of reporting are necessary for effective management or where particular areas of expertise are needed to focus on performing response activities rather than on coordination/leadership, e.g., the use of a USAR Coordination Cell or EMT Coordination Cell. A cell is led by a Coordinator or Manager.

The basic OSOCC structure is illustrated below, however, not all functions or cells may be needed in every situation.

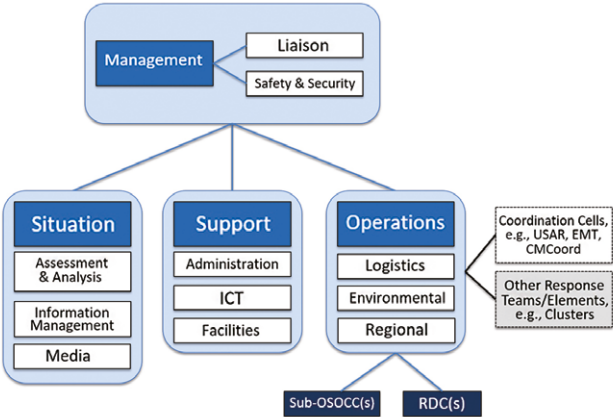


Figure M.2 OSOCC structure

The principle of flexibility allows the structure to adapt to the operational requirements of the disaster. Depending on the magnitude of the event, situational demands and available resources, one person may manage multiple functions simultaneously and other functions may require a larger complement of personnel.

In large-scale emergencies, there may be a need to establish a separate function for Humanitarian Programme Cycle (HPC) support, with staff supporting humanitarian financing and coordination of cross-cutting issues, e.g., gender, cash transfer programming (CTP), community engagement, protection, etc.

An organizational chart should be developed and displayed in the OSOCC to illustrate the reporting lines of OSOCC staff. The chart will need to be refreshed regularly to reflect the expansion/contraction of the OSOCC to meet the operational needs of the response.

OSOCC Staffing

Staff for the OSOCC will come from the UNDAC team, OCHA, OSOCC support staff, international organizations, USAR teams, EMTs and non-governmental organizations (NGOs). As additional qualified staff become available, e.g., through OCHA surge mechanisms, staffing at the OSOCC should be complemented and reinforced. In large-scale emergencies, volunteers and interns from UN organizations or other entities involved in the humanitarian relief operations may also support the OSOCC with specific tasks.

The number of staff needed to perform OSOCC functions will depend on the volume and complexity of activities and the number of shifts per day. During the immediate lifesaving phase, the workload will usually require a 24/7 commitment, thus a minimum of two work shifts to cover 24 hours should be established. As relief operations continue and routines are established, the hours of the OSOCC will shift to reflect the changing workload. The same staffing philosophy should be applied to other components of the OSOCC system, particularly the RDC and sub-OSOCC(s).

M.3 OSOCC functions and cells

This section outlines the core functions and cells of an OSOCC. Specific responsibilities for the various cells are described in position checklists which can be downloaded from the VOSOCC by following this link: <https://vosocc.unocha.org>.

M.3.1 The Management Function

The Management Function coordinates the efforts of other OSOCC functions, establishes routines for internal information flow between functions and cells, establishes formal liaison with national authorities and other response organizations, and works to ensure the safety and security of international responders. The OSOCC Manager leads this function.

OSOCC Manager

The OSOCC Manager coordinates all OSOCC functions and activities, including sub-OSOCCs and RDCs. Key responsibilities include conducting internal meetings/briefings, managing the task allocation amongst OSOCC personnel and providing leadership to the OSOCC functions. The OSOCC Manager is focused on ensuring that the OSOCC meets the objectives and fulfils the Terms of Reference (ToR) set out by the Government of the affected country, the UNDAC Team Leader and the RC/HC.

The OSOCC Manager is also responsible for developing and updating a Plan of Action (PoA) for the OSOCC in line with the objectives and ToR as mentioned above. The PoA should be communicated to OSOCC staff (including those working in the RDC and sub-OSOCCs) at least daily to ensure clarity of future direction.

The UNDAC Deputy Team Leader usually fills the role of the OSOCC Manager and reports to the UNDAC Team Leader. The UNDAC Team Leader, along with the RC/HC and Government, will determine the overall strategic and operational planning and direction for the mission, and by extension the OSOCC. The Team Leader is generally not directly involved in the operations of the OSOCC, leaving this to the OSOCC Manager.

Other than the OSOCC Manager, the most common functions within the Management Function are Safety and Security and Liaison. Other functions can be established at the discretion of the OSOCC Manager, although these should not duplicate any of the other OSOCC functions.

In large-scale emergencies, a separate Reception Area may need to be established as part of the Management Function to serve OSOCC clients. This should be operated in close cooperation with the Information Management Cell and be a first point of contact for clients seeking OSOCC services and OSOCC information products.

### ***Liaison Cell***

In reality, liaison is a crosscutting responsibility of all functions and personnel in the OSOCC that supports an effective and collaborative approach to disaster response. There may be a need to establish a separate Liaison Cell that establishes and maintains formal information exchange procedures between the OSOCC and other actors that require a dedicated resource and/or are not otherwise being served by the other functions. In some instances, the Liaison Cell may be staffed when a large number of organizations send a liaison person to the OSOCC and coordination of these representatives is necessary for continued OSOCC operations and effective information sharing. This is not intended to duplicate already established liaison between other OSOCC functions and their appropriate counterparts, e.g., USAR liaison, etc., but rather to ensure there are no gaps in liaison.

The Liaison Cell works to build and maintain relationships with the LEMA, the Government of the affected country and/or response organizations that are pivotal to cooperative and coordinated OSOCC activities. Those performing the role of Liaison staff should be diplomatic with a strong ability to build relationships with a variety of organizations through mutual understanding and consensus-building. They should be able to communicate effectively and to see opportunities to strengthen collaboration and coordination among responding organizations.

### ***Safety and Security Cell***

The Safety and Security Cell works to support and inform the safety and security of all international humanitarian actors. The Cell directly supports the responsibilities of the UN Designated Official (DO), who is typically the most senior UN staff member in the country, and works closely with security officers from other relief actors and the UN Department of Safety and Security (UNDSS) Chief Security Advisor. Although the first arriving teams, including UNDAC, will create a basic security plan, staff from UNDSS will typically assume the lead of the Safety and Security Cell as soon as possible.

Key responsibilities of the Safety and Security Cell include developing, implementing and monitoring security and medical plans for the response, including all personnel associated with the OSOCC. The medical plan is developed based on existing protocols for the affected country, or in close liaison with the EMT Coordination Cell (see Section N.3), national authorities and other medical resources present, e.g., medical resources associated with USAR teams.

See also Chapter G. on UN Safety and Security procedures.

### **M.3.2 Situation Function**

The Situation Function is responsible for collecting, managing and communicating information about the emergency to provide an updated, common situational analysis. This analysis is used to directly inform decisions by responders, senior officials, donors and – through mass media – the general public. Information is also displayed in the OSOCC for use by staff and visitors. This is achieved through the work of three cells:

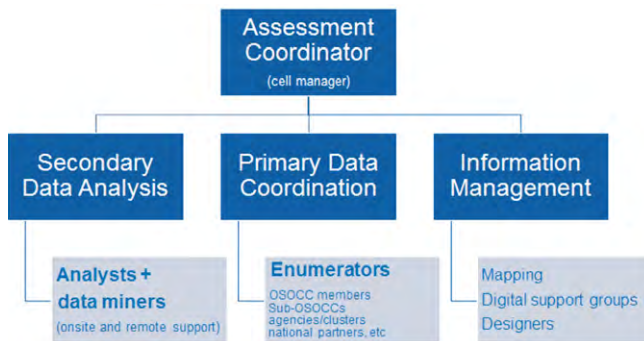
- Assessment and Analysis (A&A)
- Information Management
- Media

Together, these cells interact with numerous humanitarian actors who provide information about the situation and collaborate on communication. In many cases, these same actors become consumers of the Situation Function products, e.g., situation analyses, thematic reports, media key messages, situation reports and maps.

Those working in the Situation Function in the first phase of the emergency should have highly developed communication skills, attention to detail and a strong ability to analyse large quantities of information, including qualitative sociological information that can have relevance related to the needs of specific population groups. Immediately following a disaster, this function will often be established remotely with information being shared through the VOSOCC. This may include the collection, synthesis and analysis of secondary data to provide an updated and ideally common picture of the situation while international responders are mobilizing. The Situation Function will usually be staffed by UNDAC members – often with support from other rapid response mechanisms/teams, UN agencies and the affected Government. During this first phase, remote specialist support is generally available to assist each of the three cells, as described in the functional descriptions below. As the emergency progresses, specialists will be physically deployed as required. This may include OCHA's regional Information Management Officer(s) (IMOs) or staff from OCHA's Field Information Section (FIS), assessment experts from OCHA's Needs Assessment and Analysis Section (NAAS) or other operational support partners, and the deployment of OCHA Public Information Officers (PIOs).

### ***Assessment and Analysis (A&A) Cell***

The A&A Cell collects, synthesizes and analyses information that contributes to a common understanding of the situation. This includes identifying main challenges and impacts, root causes, and the size of the population affected and/or vulnerable groups. Socio-economic and gender analysis are critical to understanding differential impacts. This is done in very close cooperation with humanitarian partners and the Information Management Cell. The visual below shows a generic structure of an A&A Cell.



**Figure M.3 A&A Cell structure**

Pending on the size of the emergency, the UNDAC team and the OSOCC, the set-up of the A&A Cell will vary. While A&A Cell members will have to be flexible with regards to how roles are distributed or organized, it is important to clearly assign functions within the Cell.

- **For medium-sized emergencies** – It is recommended to have at least two persons assigned to the Cell, one assessment coordinator in charge of managing the Cell, the coordination of assessments and liaison with partners, and one person, ideally sheltered from the daily coordination activities, focusing on collation of pre- and in-crisis secondary data and analysis.
- **For large-scale emergencies** – A minimum of three persons, ideally four, should be assigned to the Cell assisted by volunteers supporting the gathering, consolidation and analysis of secondary data: one assessment coordinator managing the Cell and coordination with partners and other cells; one person overseeing the secondary data process and analysis; one person managing the coordination of primary data collection; and one dedicated IM person in charge of data management, liaison with IM remote support partners (e.g. Digital Humanitarian Network), mapping and infographics.
- **Remote support** – Independent of the capacity on the ground, the A&A Cell should be supported remotely as far as possible. Support may include liaison with global partners, e.g., UNITAR's Operational Satellite Applications Programme (UNOSAT), Assessment Capacities Project (ACAPS), Digital Humanitarian Network, etc., for secondary data review and analysis. Important to note is that the A&A Cell is largely dependent on this support; the set-up should reflect this and remote-based staff should be included as full members of the Cell.

The overall purpose, main tasks, and methodology is further described in Section I.2.1 and in a separate guidance note which can be found in the UMS.

### Information Management (IM) Cell

The IM Cell collects information related to the disaster (including information obtained by the A&A Cell), organizes and analyses the information, and develops a variety of products, e.g., situation reports, Who is doing What and Where (3W) data, maps, contact lists, schedules, databases, etc., which are then disseminated directly to organizations and/or made available

through online platforms and channels when connectivity allows. It also oversees the flow of information into and between the various OSOCC components, as well as externally. These activities ensure a common operating picture that informs response decisions at all levels of the disaster.

During the initial hours and days of an emergency, the IM Cell is typically staffed by UNDAC members and representatives of partner organizations such as MapAction. One of their primary tasks is to issue situation reports to inform classification of the emergency and response levels. These reports should be jointly developed with the A&A Cell. Given the importance of this task, it is often necessary to assign a dedicated staff member within this Cell as report writer. This staff member will be supported by an FCSS focal point, OCHA's Desk for the affected country/region and the OCHA regional office, including the regional OCHA IM Officer. As required, OCHA will deploy additional IM staff through surge mechanisms such as the Emergency Response Roster (ERR) or directly from FIS in Geneva.

As mentioned in Section M.3.1 Management Function, a separate OSOCC Reception Area may be needed in large-scale emergencies where OSOCC services are in high demand. Many of the IM products, e.g., maps, will be highly sought after and the IM Cell should consider having some staff co-located with the Reception Area to allow the IM Cell to become an information hub for the exchange of data with OSOCC clients. This also enables the IM Cell to promote sharing of datasets on the Humanitarian Data Exchange (HDX) <https://data.humdata.org> which is an open platform for sharing data, advocate for registration on contact lists through Humanitarian ID <https://humanitarian.id> and inform visitors about other tools and resources.

### Media Cell

During establishment of the OSOCC, the Media Cell should sit under the Management Function since the OSOCC Manager will often fulfil media responsibilities until an OCHA PIO arrives on-site. Following his/her arrival, the PIO forms the Media Cell and works closely with all OSOCC functions, but particularly the Situation Function.

The Media Cell coordinates all external media relations, monitors the media, including for situational awareness, and prepares information products for the media and the public. The Cell develops a media plan for the OSOCC that indicates the main spokesperson (potentially the OSOCC Manager) and the role of the other team members with respect to media relations. The Media Cell also serves as the OSOCC focal point for both local and international media and supports site visits of donors and VIPs.

The work of the Media Cell enables the OSOCC to clarify/reinforce response activities being supported by the OSOCC, contributing to international awareness of and advocacy for relief for the affected population.

### M.3.3 Operations Function

The Operations Function is responsible for coordinating the activities of international response teams and other resources involved in providing relief to affected populations. This function consists of a variety of coordination cells, each focused on a specific functional area. Together, these cells respond rapidly to perform operational coordination functions in areas such as rescue, provision of emergency medical care, mitigation of environmental impacts, the movement of people and goods, and coordination with military/armed actors.



Each coordination cell is generally staffed by technical experts from the cell's functional area. In the immediate aftermath of a disaster, cells may be staffed by members of first-arriving teams trained in OSOCC methodology and UNDAC members. The various coordination cells are also the primary point of contact for the RDC. The RDC works closely with most coordination cells to provide information on arriving resources and to ensure implementation of processes related to logistics, safety and security, etc.

Some coordination cells may operate semi-detached from the OSOCC, i.e., USAR, EMT and Civil-Military Coordination (CMCoord) and, in some cases, be established and operated by the Government. These are further covered in Chapter N. Coordination Cells. Other coordination cells found in the Operations Function may be:

### **Logistics Coordination Cell**

The Logistics Coordination Cell supports other cells in the Operations Function, e.g., USAR and EMT Coordination Cells, while also potentially being required to support the overall humanitarian response over an extended period. In many cases, the coordination cell will serve as the early precursor to the Logistics Cluster led by the World Food Programme (WFP). Key responsibilities include working closely with the national authorities to source, procure, move and store supplies (e.g., fuel and timber), moving people (e.g., relief team members within the affected country), securing access points, arranging for cargo handling and possibly customs clearances, and prioritizing incoming relief items for processing, e.g., prioritization of airplanes requesting landing permission.

The earliest staffing of the Logistics Coordination Cell will typically come from UNDAC, first-arriving relief teams or in-country WFP staff. These individuals will work closely with national authorities to establish an initial logistics plan/system to meet the immediate needs of the response. At first, these needs will be very specific and urgent, e.g., getting teams where they need to go. They may also work with other partners, such as the DHL Disaster Response Team (see Section B.5.2 on UNDAC operational partners), arriving support module staff or military actors (possibly through the Civil-Military Coordination Cell described in Section N.4).

As the emergency evolves, so will the Logistics structure, where required. In some cases, a Logistics Response Team (LRT) will be sent by WFP to assess the situation and determine what logistics support might be needed in-country. If activated, the LRT usually initiates or takes over Logistics Cluster operations from the first-arriving responders.

Various tools and guidelines exist to support implementation of a logistics plan/system during the first phase of an emergency. A key resource is the Logistics Cluster's *Logistics Operational Guide*, which can be found at <http://log.logcluster.org>. See also Chapter P. Disaster Logistics.

### **Environmental Emergencies (EE) Coordination Cell**

The potential release of hazardous materials and major secondary environmental impacts, such as landslides, may pose an acute risk to life, health and the environment. The complexities of a spill or other secondary environmental impact during a major emergency presents additional challenges related to identification and assessment of the incident, the safety of responders, access to locations and a potential shortage of specialized resources to address the situation. The purpose of the EE Coordination Cell is to coordinate the response to such incidents with the national authorities to ensure an effective approach to assessing and managing them. The scope and scale of this role varies greatly depending on the capacity of the national authorities and international actors and the extent of the

risk. In some cases, the entire reason for the OSOCC presence could be an environmental emergency. In many cases, however, hazardous material releases are related to other causes (e.g., earthquakes, landslides and floods).

Following a disaster, the United Nations Environment Programme (UN Environment)/OCHA Joint Unit can identify potential secondary risks posed by industrial facilities and major infrastructure located in the affected area to alert emergency responders to such potential risks. This information can be accessed via the VOSOCC. Initial on-site assessment can then occur by responders trained on the Flash Environmental Assessment Tool (FEAT) found at <http://www.eecentre.org/feat>.

Following this assessment, the Environmental Emergencies Roster (EER) can be triggered if required. EER members may then be integrated with the UNDAC team and/or can fully establish the EE Coordination Cell. The Cell will then work with available resources from the affected Government and first-arriving international response teams, e.g., USAR teams with hazardous materials response capacity, to identify and assess sites and risk levels. An initial response plan is developed and implemented through the EE Coordination Cell. Throughout this process, the cell will share information with the Situation Function and will work in direct cooperation with the A&A Cell.

Further information on Environmental Emergencies can be found at <http://www.unocha.org/themes/environmental-emergencies>. For details on how to request environmental emergency assistance, please refer to the *Environmental Emergencies Guidelines* at <http://www.eecentre.org/eeguidelines>.

### **Regional Coordination Cell**

In some situations where regional organizations deploy teams to coordinate assets deployed from their regional member states, it may be useful to establish a dedicated Regional Coordination Cell. Several regional organizations have trained teams, e.g., the European Union Civil Protection Mechanism (EUCP), the Association of Southeast Asian Nations (ASEAN) Emergency Response and Assessment Team (ERAT), the Caribbean Disaster Emergency Management Agency (CDEMA), who may deploy and establish a local coordination mechanism to coordinate regional assistance, i.e., assistance from their respective member states to the affected country. Rather than setting up parallel structures, an integrated approach through a Regional Coordination Cell would be advisable.

The Regional Coordination Cell will complement the work of the other cells, offering a possibility to members of regional organizations to be fully included in the framework of the overall response, rather than establish their own coordination centre. This cell will not overlap with existing ones. It will be a service provider to the members of different organizations. It will ensure a structured information exchange from and to responders. At the same time, it aims at offering more tailored and coordinated operational services to aid providers and the recipient government and other responders. Members of regional organizations may still liaise directly with other cells within the OSOCC.

Being integrated into the OSOCC will allow regional organizations to be more proactive in operational coordination of their own interested members by offering liaison with requisite OSOCC cells or providing support with assessment, analysis, and information management, ensuring proper exchange of information in the OSOCC. This will facilitate interoperability between systems and discourage the establishment of parallel structures.

Standard Operating Procedures (SOPs) for interoperability between the OSOCC and regional organizations already exist within some regions and should be consulted when establishing an OSOCC. See also Chapter O, which offers further guidance on specific approaches per region.

In addition, other coordination cells can be created for any purpose at the discretion of the OSOCC Manager.

### **M.3.4 Support Function**

The Support Function ensures the ability of the OSOCC to operate under adverse and challenging field conditions. This includes establishing appropriate facilities, an information and communications technology (ICT) platform and applicable OSOCC administrative and internal logistics processes. These duties are often performed and/or led by one or more deployed support teams from the International Humanitarian Partnership (IHP), the Americas Support Team (AST), or similar. The support teams may be supplemented by additional resources, such as partner organizations, as required, e.g., Télécoms Sans Frontières for ICT support. While the Support Function is not generally broken into cells, the scale of an emergency may occasionally require such a division of labour.

#### ***Facilities Cell***

This cell ensures that the OSOCC and its component parts are established in adequate workspaces to enable current and future operations. As noted above, this is generally achieved through deployment of standardized service packages provided by the IHP or AST. Further guidance on OSOCC facilities is contained in Chapter R, Facilities.

#### ***ICT Cell***

The ICT Cell implements an ICT plan for the OSOCC, in support of the overall response. The ICT plan ensures the availability of appropriate technology to enable the OSOCC to conduct its activities effectively. This includes facilitation of data and voice communications to link the various OSOCC system components with each other and the broader response, including deployed teams, the affected Government and humanitarian actors. As with the Facilities Cell, the equipment to support the ICT plan is deployed in standardized packages by partner organizations at the same time as other OSOCC staff.

#### ***Administration Cell***

The Administration Cell is responsible for internal procedures and processes to support the day-to-day running of the OSOCC. This includes maintaining financial records in support of the OSOCC Manager, purchasing and contracting, staffing reception areas, developing a staffing roster, arranging translation/interpretation support, organizing physical files and resources in support of the IM Cell, and other support duties as determined by the OSOCC Manager.

In emergencies with a need for extensive administrative skills and knowledge of UN procedures, OCHA has trained several of its administrative staff in OSOCC functioning who can be deployed as part of an UNDAC team to staff the Administration Cell.

### **M.4 OSOCC facilities**

The location of the OSOCC facilities (OSOCC, RDC and sub-OSOCCs) plays an important role in the coordination process. The establishment of the facilities is a priority, but each location should be carefully planned. The location must be readily visible and accessible to all who would benefit from its services and should have sufficient space to meet both the

immediate needs and the projected expansion of the operation, while also being safe and secure. The most suitable location for each facility is not necessarily in the midst of the disaster-affected area and consideration should be given to where coordination activities can be best facilitated.

The location of the OSOCC should ideally be in close proximity to the disaster site, LEMA and other agencies/organizations providing humanitarian assistance. This will facilitate cooperation and information exchange. The site should also maximize the effective use of communications equipment, e.g., on higher ground and not surrounded by hills or other natural obstructions, and should slope and drain effectively. Consideration should be given to a location that facilitates proper security procedures including ease of access and evacuation and an easily guarded perimeter.

It is important to note that some coordination cells may need to be forward-located to minimize the time between the onset of the disaster and the operational activities of response teams. This is particularly true for cells within the Operations Function that are engaged in life-saving activities, such as USAR and EMT. The latter will in most cases be co-located with the affected country's Ministry of Health (MoH).

Detailed guidance on site-selection of base camps and OSOCC sites can be found in Chapter R, Facilities.

Depending on the type of emergency and if it is safe to do so, the OSOCC may be established in an existing building that meets the needs of the operation. Alternately, it can be set up in one or more tents. There are advantages to each set-up and the type of incident and available resources will often determine which model is most suitable. Regardless of the type of structure, the OSOCC facility should include several separate office spaces, a large meeting space, a general area for receiving visitors and allow for sufficient crowd management as more and more organizations work with or within the OSOCC. Once established, the OSOCC flag should be placed in a location that ensures high visibility.

In large-scale emergencies, it is important to think big from the start, as the OSOCC may need to provide operating space and services for a large number of people as OCHA surge capacity and other international organizations deploy.

Remember that the OSOCC is as much a location as a concept. In some situations, the LEMA may not want the international community to have visible and separate structures from the national and local emergency operations centres and insist on integration of the team and no visibility. In those cases, OSOCC methodology can still be applied integrated into the support of national operations.

The same considerations outlined above apply to the sub-OSOCC(s).

#### **M.4.1 Establishing facilities**

A series of deployable service packages to support the OSOCC system are maintained by and available through IHP and AST. The packages provided by these support partners range from basic ICT and administration for use in an existing building to full tent-based OSOCC and base camps. When deployed in a disaster, these modules will be accompanied by support staff to establish and maintain facilities.

#### **M.4.2 Maintaining facilities**

Throughout the operation of the OSOCC system, the Support Function is responsible for ensuring that the facilities are maintained daily and can continue to serve as the base of

operations for OSOCC activities. To provide for continued operation of the OSOCC facilities, the following needs to be maintained:

- Adequate internet connectivity.
- Access to a regular power supply (e.g., through the use of generators or an existing power source).
- Adequate lighting to enable round-the-clock operations as necessary.
- Access to food supplies and maintenance of food preparation areas.
- Access to water for consumption, sanitation, cooking, etc.
- Physical structures, i.e., tents and/or buildings, and the sites on which the facilities are established.

This can be challenging in a disaster environment where resources may be scarce, regular supply chains may be interrupted and field conditions may be harsh. In addition to working with these challenges, the OSOCC facilities need to retain a degree of flexibility. The facilities may need to be adjusted to accommodate changes in the number of staff, changes in the scope of operations and/or changes in the flow of visitors/staff from other responding organizations.

M.4.3 Facility demobilization

Planning for the demobilization of the OSOCC facilities should begin at the onset of operations and will become more concrete as the end of OSOCC operations comes into sight.

In general, the RDC will demobilize first, although coordination cells may demobilize before the RDC if their primary purpose was the coordination of international relief teams. The OSOCC itself may remain in one form or another well beyond the presence of international teams, including OCHA/UNDAC and may transition into a longer-term OCHA office.

Overall demobilization plans for OSOCC facilities are led by the Support Function in cooperation with international teams, partners and local authorities. They should consider whether any of the equipment is needed to remain in-country to continue to support the work of OCHA. All other modules will need to be packed up and returned to their home organization. In addition, efforts should be made to return the space and/or buildings to a usable state prior to departure.

In conjunction with physical demobilization, the OSOCC Manager will ensure reporting to relevant authorities to provide a summary of lessons learned to inform future OSOCC missions, guidelines and training.

M.5 Reception & Departure Centre (RDC)

A large-scale disaster generally results in a sudden influx of assistance from the international community to the affected country. Response teams and relief supplies will converge in the country at one or more points of entry, seeking access to the disaster area. Depending on the geography of the affected country and the infrastructure damage, the point of entry may be an airport, seaport and/or land border. All incoming international resources will need to navigate key processes, such as immigration and customs, upon entry to the affected country, regardless of the type of entry point. Even in the best situations, the local authorities may be quickly overwhelmed by the sudden increase in volume of traffic, and at worst the airport, seaport or border-crossing facility may not be left standing to receive the

international assistance. Additional resources are likely required to provide the necessary surge capacity and to facilitate timely and organized entry.

The RDC serves as the central intake hub for international relief traffic and is often the first OSOCC component established in the affected country. As such, it is usually set up by the first-arriving USAR, EMT or UNDAC team members. In some cases, national authorities may already have established an RDC in anticipation of incoming international relief teams, in which case incoming USAR teams, EMTs and UNDAC work in support of them.

The main objectives of an RDC are the following:

- Support authorities at the point of entry (airport, seaport, etc.) in managing arrival of international teams.
- Record and help coordinate the response of international teams and link them up with the coordination structure.
- Brief arriving teams on the situation and practical information that they need to know for immediate onward deployment to the affected areas, e.g., logistics, etc.

In the early hours and days, the RDC must be prepared to facilitate the basic services of an OSOCC including delivering situational and operational briefings, providing basic logistical support, facilitating the operational activities of response teams and tracking resources. The extent to which these services are conducted will shift as the OSOCC becomes established and/or the affected country gains the means to facilitate incoming/outgoing international resources.

As the first contact point for incoming international assistance, the RDC needs to be established in a systematic manner that imparts a level of organization in the chaotic environment of the disaster. To achieve this, the RDC requires a clear structure that mimics the functional approach of the OSOCC.

While all operational decisions should be made through RDC Management and OSOCC Operations, communication lines may be established with other OSOCC functions to facilitate RDC activities, e.g., RDC Support may work with the Logistics Coordination Cell to provide transportation for arriving international response teams from the point of entry to the OSOCC. This ongoing information flow will allow the OSOCC to prepare for incoming resources, thus expediting the assignment of teams to the field.

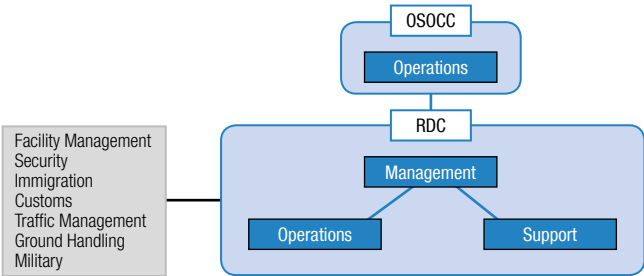


Figure M.4 RDC structure

### M.5.1 RDC coordination

The RDC often serves as the first coordination stop for international response teams and a well-functioning centre is a valuable asset for the OSOCC. The OSOCC will require information about the capacity of incoming response teams and any identified logistical needs in order to plan and carry out operational activities. In turn, the RDC will need up-to-date information from the OSOCC on the situation and the realities of the operational environment in order to brief incoming teams effectively.

A priority for the RDC is to establish a system for information flow, including identified communication channels and processes between the RDC and OSOCC. While the specific set-up and routine for coordination will be dictated by the needs and pace of the crisis, common practices include:

- An established time for a morning briefing/coordination discussion between the RDC and the OSOCC.
- An established time for the provision of updated registration information.
- An agreed-upon protocol for daily communication, e.g., by email as frequently as possible, by phone if urgent.
- Regular updating of the VOSOCC.
- A procedure for organizing the departure of the various rescue teams and their travel arrangements.

In addition to daily coordination and information-sharing activities with the OSOCC, the RDC may also participate in similar activities at the point of entry. For example, daily meetings may occur with the point of entry authorities, local representatives and/or the military. The RDC is intended to support the affected country in managing incoming international response teams and the specific support model will be determined through discussions with the authorities responsible for the point of entry. In addition, the RDC may rely on other response or government organizations for elements such as electricity, water or a place to sleep.

The approach to an RDC needs to reflect it as an extension of the OSOCC coordination platform under the same principles as the OSOCC. Promoting cooperation with and among the organizations represented at the point of entry is crucial to the RDC being able to effectively facilitate the reception and departure of international resources.

See the *OSOCC Guidelines* for more detailed information on RDC operations at <http://www.unocha.org/our-work/coordination/site-operations-coordination-centre-osocc>.

## N. COORDINATION CELLS

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### N.1 Introduction

Part of the OSOCC methodology that distinguishes it from other functional organizational models is that functions and cells are expected to operate with a large degree of autonomy, servicing primarily the OSOCC's clients rather than reporting to the UNDAC Team Leader, RC/HC and HCT. Coordination cells especially, normally linked to the Operations Function of an OSOCC, will in many cases be separated from the main OSOCC facility.

Many countries have adopted components from the OSOCC concept and integrated them into their national contingency plans. For example, the Emergency Medical Team (EMT) coordination concept will in many cases be nationally owned as part of the Ministry of Health (MoH) emergency planning and may be operational even before the OSOCC is fully functional. Other operational coordination cells normally associated with the OSOCC, such as the Humanitarian Civil-Military Coordination (UN-CMCoord) Cell or the Urban Search and Rescue Coordination Cell (UCC), may also be operational and managed by national authorities and be the natural point of contact for international relief teams.

In these cases, the OSOCC may only be supporting these coordination cells with staff, equipment, and information management and analysis capacities. The coordination cells will report directly to the respective governmental body, while links with the OSOCC will be maintained and information shared for overall analysis of need and response. In other cases, the cells will be staffed and operated fully by the UNDAC team with partners, while still being semi-detached from the main OSOCC and operate independently.

An inherent danger with this structure is that it can lead to what is referred to as 'silo-thinking'. The coordination cells may risk becoming too independent, focusing overly much on their own output, potentially reaching a situation where there is little or no communication between cells and little understanding of the interdependency of the OSOCC's larger output.

It is important to address this issue and ensure that, while coordination cells understand their primary role, they are also clear on how they should interact and what they need

from each other and when. This requires regular information exchange between cells and in particular with the Assessment & Analysis (A&A) Cell, providing input to needs-based analysis outputs. Routines for this need to be developed, implemented and maintained in such a way that good internal coordination is achieved. See also Section I.2.1 for more on the A&A Cell.

## N.2 Urban Search and Rescue (USAR)

International Urban Search and Rescue (USAR) is a complex form of international assistance normally provided in sudden-onset emergencies, such as earthquakes and collapsed structure disasters affecting an urban area. It may also be associated with other emergency operations, e.g., floods, landslides, etc. People trapped within the voids and spaces of a collapsed building often survive for many hours, even days, in the post-collapse period. This 'rescue window' provides an opportunity for search and rescue teams with the necessary capabilities and resources to rescue those trapped under such conditions.

The International Search & Rescue Advisory Group (INSARAG) is the network which works towards continually strengthening and developing USAR response internationally and at the national level. INSARAG has developed a methodology for USAR operations enshrined in the INSARAG Guidelines, to ensure standardized training, procedures and structures for international USAR teams.

INSARAG-classified international USAR teams are response assets from the international community that carry out rescue activities in collapsed structure disasters. USAR teams prepare for international deployment by maintaining a high state of readiness for rapid international deployment.

The INSARAG community has developed a voluntary, independent, peer review process - the INSARAG External Classification (IEC) - to ensure that a USAR team's international response capability remains current and continues to subscribe to the INSARAG methodology. This includes undergoing an IEC and, once classified, a reclassification process (IER) every five years, or when any institutional change in the classified team occurs. This ensures that teams continue to meet the high standards set by the INSARAG network which are constantly updated through best practice sharing, regular meetings and specialized working groups.

INSARAG has identified three levels of classification for USAR teams: Light, Medium and Heavy. Classified teams are self-sustaining and able to operate independently following common, agreed methodology. During operations, teams work in accordance with the INSARAG Guidelines and align their response with the priority needs of the affected country.

For more on INSARAG and INSARAG Guidelines, see [www.insarag.org](http://www.insarag.org).

### N.2.1 The USAR Coordination Cell (UCC)

USAR coordination does not differ significantly from coordinating relief efforts in other phases of an emergency; however, everything moves much faster due to the limited window of opportunity in which successful rescues can be made. Therefore, knowledge of USAR operations by the UNDAC team is essential for effective coordination. UNDAC teams have a specific role in international USAR operations as defined in the INSARAG Guidelines and in UN General Assembly Resolution 57/150 of 16 December 2002. For more on this Resolution see <https://insarag.org/about/ga-resolution>. Responsibilities of the UNDAC team specific to USAR operations include to:

- Establish and maintain a Reception Departure Centre (RDC) and a USAR Coordination Cell (UCC) throughout the operation with INSARAG classified teams.

- Facilitate establishing locations for Bases of Operations for USAR teams and ensure each is briefed on camp protocols and rules.
- Facilitate the coordination of the USAR operation worksite assignments with the LEMA.
- Facilitate cultural and safety briefings.
- Coordinate assessments of further needs, with the support of USAR teams.

The UCC is a specialized cell in the Operations Function of an OSOCC. Its purpose is to assist with and strengthen the coordination of international USAR teams during the rescue phase of a disaster. Recognizing the specialization of INSARAG members in the field of USAR, members of international USAR teams will, therefore, staff the UCC together with the UNDAC team

The UCC will be responsible for supporting the LEMA with planning and tasking of teams in the initial life-saving rescue phase. This service requires specialized technical staff and a part of UCC operations should be fully dedicated to this. In USAR operations, each international relief team should, if required, second a team member for UCC liaison to work within the UCC. USAR teams are expected to establish and operate a UCC and an RDC if they arrive in the affected country ahead of an UNDAC team. This is one of the standardized global requirements for all classified USAR teams operating as part of the INSARAG network. The agreement and willingness to commit personnel and equipment to a UCC may be a significant undertaking for a relief team and it is crucial that, as more international relief teams arrive, they should be requested to support the personnel and equipment needs of the UCC.

The following actions should be taken by the UCC to coordinate activities with the LEMA:

- Determine the role of the UCC regarding the coordination of international actors and relief.
- Establish an information exchange process between the LEMA and UCC.
- Identify a suitable location for the RDC and the UCC ensuring visibility for incoming resources, e.g., flags, directional signs, etc.
- Establish communication links with the RDC and VOSOCC as soon as possible.
- Perform the following tasks:
  - Gather current incident information and update reports accordingly.
  - Record USAR Team Fact Sheet information of incoming resources.
  - Identify potential locations for the Base of Operations.
  - Obtain a map of the impacted area.
  - Establish a referral procedure for handover of patients to further medical care.
  - Identify the location of cranes, loaders, forklifts and lorries, petroleum products, timber, compressed gases, interpreters and guides, and establish procedures to gain access to these resources.
  - Arrange transportation for personnel and equipment to and from worksites.
  - Establish coordination structures and meeting details.
  - Establish a plan to address safety and security issues.
- Assist the LEMA in assigning USAR and other resources based on the above information. The USAR community operates in an environment where operations are assigned based purely on a triage scale of survivability. The LEMA, however, may have different reasons for assigning priorities outside of this concept. USAR teams must work as directed by the LEMA, yet should advocate for utilization of INSARAG methodology.

- In consultation with the LEMA, assess when there are sufficient international teams on-site for the Government to announce that international USAR teams that have not yet deployed can stand down.
- Register and brief incoming resources.
- Gather and document information for UCC planning to:
  - Analyse the priority needs of the affected country in relation to USAR resources at hand.
  - Capture and analyse information supplied by USAR teams and other actors.
  - Determine gaps in operations and recommend appropriate changes.
  - Consider long-term plans regarding additional resources and reassignment.
- Display information on incident maps.
- Establish a display area that includes incident maps, situation reports, meeting agendas, weather forecasts, etc.
- Prepare for and facilitate daily USAR operations meetings to discuss specific team assignments, progress and shortfalls.
- Share as much information about the search and rescue activities as possible from the USAR teams to the OSOCC for onward development of situation reports.
- Review and update the Plan of Action (PoA) based on UCC planning meeting results and other information received, including:
  - Length of operational periods to accomplish assigned tasks.
  - Briefing schedules.

The UNDAC team facilitates the USAR planning process (consolidates information, prepares maps, provides liaison with the LEMA, etc.), but the operational details are left to the USAR teams. This is not the time to have lengthy coordination meetings with long discussions and decisions made by consensus. In this context, the UNDAC team will need to use a firmer kind of leadership and authority than in other phases of disaster relief work. In operational situations of this sort, international teams will expect clear and precise directions and tasking.

The coordination structure in an international USAR incident can involve many different stakeholders and can differ widely at each disaster. However, the core structure, key actors and how they interact should be the same, as outlined in the visual below:

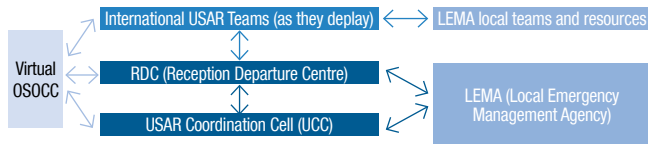


Figure N.1 USAR coordination structure

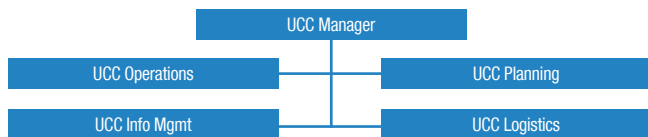


Figure N.2 UCC structure

The UCC is structured into four coordination functions aligned to its key responsibilities and reporting to a Manager.

Bear in mind that these are functions and not necessarily individuals. The UCC structure can change depending on the demands of the situation or staffing available at any given time.

### Sectorization

A disaster that warrants international USAR response will inherently be a large-scale event. The scale of destruction may involve just one city or it may affect a huge area involving numerous cities and even more than one country. Geographical sectorization of the affected areas is almost always needed to ensure effective coordination of search and rescue efforts. Sectorization allows better operational planning, more effective deployment of the arriving international USAR teams and better overall management of the incident. Technical experts in the UCC will divide the affected area into geographical sectors and assign one, but usually more, USAR team(s) to that area. When several teams are working in a sector, one INSARAG classified heavy team will take responsibility for coordination within that sector as visualized below.

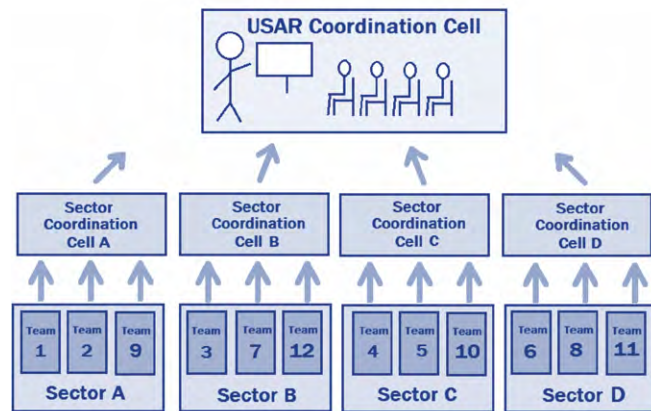


Figure N.3 USAR sector coordination structure

The sectorization, and flexible and efficient division of labour among international classified USAR teams, is enabled through their common understanding and use of INSARAG methodology and language.

### N.2.2 USAR assessments

USAR assessments should be organized by the UNDAC team in cooperation with the LEMA and USAR teams and focus on:

- Overall situation
- Priority needs
- Response
- Extent of affected area
- Type of collapsed structures
- Hazardous materials (HAZMAT)
- Secondary threats
- Logistical arrangements
- Presence of heavy equipment and materials locally that could be utilized



(e.g., bulldozers, excavators, timber for shoring)

As with planning of operations and staffing of the UCC, the USAR teams are included in assessing the situation, priorities and needs in a USAR operation.

The USAR teams should also be encouraged to perform humanitarian needs assessment activities simultaneously with operations within their assigned area. The OSOCC A&A Cell will be supporting USAR teams with questionnaires in electronic format, which can be uploaded to smartphones and tablets. Findings are then reported to the A&A Cell for further analysis. See also Section I.2.1 for more information on the A&A Cell.

**N.2.3 Demobilization of USAR teams**

Even as the rescue phase continues, many USAR Team Leaders and those managing the UCC will already be thinking about demobilization and the teams' eventual return to their home countries as the rescue window starts to close.

This transition between the rescue phase and the recovery phase of any disaster is not immediate and obvious and many USAR teams deploy with added capacities to strengthen ongoing humanitarian assistance. This may be in the form of logistics, infrastructure, corpse management, water rescue, telecommunications, medical assistance, etc.

The humanitarian work of USAR teams, often referred to as 'beyond the rubble', may be supplemented by donations of food, shelter and equipment prior to the teams' departure, or extended technical assistance based on requests from the affected Government, e.g., the use of structural engineers to survey and assess the structural integrity of damaged buildings.

The life-saving phase of a USAR operation usually lasts from 7 to 14 days after an earthquake. The decision to cease life-saving efforts by international responders is made by the LEMA, based on recommendations from the UNDAC Team Leader in close consultation with the international USAR teams. Based on these consultations, the UNDAC Team Leader can advise the LEMA of the appropriate time to end this phase but the final decision rests with the LEMA.

This is a difficult decision for the LEMA to make as it often has political implications for the local authorities. In most instances, national responders continue work on de-layering of damaged structures, with two or three international teams consulted and willing to stay behind to provide specialized technical support if necessary.

The UNDAC team and UCC assist with the USAR demobilization phase by:

- Establishing a departure schedule. The USAR teams should provide the UCC with the necessary information for this on a standardized form covering their requests and with information about their departure. This form is included in the UNDAC Mission Software (UMS) and also in the INSARAG Guidelines.
- Determining the teams' logistical requirements. In cooperation with the LEMA, the UCC/OSOCC should organize the logistical arrangements for the teams' departures from the affected area to their point of departure. As many teams will be ready to leave at the same time, a heavy strain on local transportation resources may result. A time schedule should be carefully planned to avoid gaps and bottlenecks.
- Ensuring that the RDC is converted into a Departure Centre and debriefs the departing international USAR teams.

Several USAR teams may also want to donate their equipment to the continuing relief operation. The OSOCC will be responsible for coordinating the utilization and distribution of these donations to the Government.

Following demobilization, international USAR teams will complete and submit a post-mission report and, depending on the scale of the international response, a global After Action Review (AAR) may be organized by OCHA Geneva to improve the overall effectiveness and efficiency of USAR response to future disasters.

**N.3 Emergency Medical Teams (EMTs)**

Governments have a primary role and responsibility in developing robust domestic health systems, integrating all-hazards health emergency and disaster risk-management programmes into national or subnational health plans, and institutionalizing capacities for coordinated responses during health-related emergencies, disasters, and other crises.

Efforts to strengthen the specific coordination of EMTs has been a relatively recent initiative, catalysed by the shortcomings of existing international and national mechanisms to adequately filter and coordinate responding EMTs. In addition, a lot has been learned and adapted from the experience of international search and rescue response operations and coordination as developed and agreed by INSARAG, together with OCHA, in the past 25 years.

Within this context, the '*Classification and Minimum Standards for Foreign Medical Teams in Sudden-Onset Disasters*' also known as the 'Blue Book' was published by the World Health Organization (WHO) in 2013. Since then, and to encompass both national and international dimensions of medical teams, it was decided to refer to *Emergency* Medical Teams, rather than *Foreign*. The Blue Book provides a common nomenclature for EMTs to communicate their capabilities and intended services, and establishes quality and service benchmarks. In 2015, WHO launched the EMT global classification list for internationally deployable EMTs with the aim of enhancing the response, speed and coordination following the onset of an emergency.

The Blue Book can be found at <https://extranet.who.int/emt/content/classification-and-minimum-standards-foreign-medical-teams-sudden-onset-disasters>.

**N.3.1. Emergency Medical Teams**

Emergency Medical Teams refer to groups of health professionals and supporting staff aiming to provide direct clinical care to populations affected by disasters, outbreaks and/ or other emergencies as surge capacity to support the local health system. They include governmental (both civilian and military) and non-governmental teams and can be sub-classified as either national or international dependent on area of response.

**Classification**

The Blue Book describes functional classification criteria and minimum standards of service delivery classifying EMTs into different types. This is designed to assist in quickly matching EMT capacity to identified needs at the onset of an emergency, thus supporting effective activation and coordination of EMTs (both national and international) by the affected country. It provides a standardized description for the main service types, which also includes a minimum number of outpatients and/or inpatients that each type must be able to treat each day.

Type	Description	Capacity
1 Mobile	Mobile outpatient teams Remote area access teams for the smallest communities	>50 outpatients a day
1 «Fixed»	Outpatient facilities +/- tented structure	>100 outpatients a day

Type	Description	Capacity
2	Inpatient facilities with emergency surgical care	>100 outpatients and 20 inpatients 7 major or 15 minor surgeries daily
3	Referral level care, inpatient facilities, reconstructive and specialist surgical care and high dependency/intensive care	>100 outpatients and 40 inpatients Including 4-6 intensive care beds 15 major or 30 minor surgeries daily
Specialist Cell	Teams that can join national facilities or EMTs to provide supplementary specialist care services	Any direct patient care related service can be termed as a specialist cell when given in emergency response by EMT providers (e.g., rehabilitation, paediatric, surgery, etc.)

Figure N.4 Types of EMTs

### *EMT guiding principles, core and technical standards*

The international normative framework for EMTs distinguishes between guiding principles and core standards applicable to all EMTs, no matter what the type and technical standards, which correspond to the capacity and capabilities of each type.

Importantly for coordination purposes, it is worth underlining the following guiding principles:

- EMTs commit to be integrated in a coordinated response under the national health emergency management authorities and to collaborate with the national health system, their fellow EMTs, the cluster and the international humanitarian response community.

As well as the following core standards:

#### **EMTs:**

- Agree to register with the relevant national authority or lead international agency on arrival and collaborate with inter-agency response coordination mechanisms at global, national and subnational levels, as well as with other EMTs and health systems.
- Will undertake to report on arrival what type, capacity and services they can offer based on the international EMT classification system.
- Will undertake to report at regular intervals during response, and prior to departure, to the national authorities, using national reporting formats or, if not available, the agreed international reporting format.
- Will undertake to be part of the wider health referral system, offer to accept and/or refer patients to other EMTs, the national health system or, if approved, other countries.
- EMTs will adhere to professional guidelines. All their staff must be registered to practice in their home country and hold professional qualifications for the work they are assigned to by the agency.

The above is not an exhaustive list of principles and standards. For the full list, please refer to the Blue Book.

### **N.3.2 EMT Coordination Cell (EMTCC)**

The coordination of EMTs presents unique complexities. This stems from the increasing number of EMTs responding to large-scale emergencies, particularly sudden-onset disasters, compounded by the wide variations in the size, experience, standard of service, medical and logistical capabilities, specializations and mandate of each EMT. An effective

coordination mechanism requires more than a simple, one-dimensional matching of supply to demand as many elements influence the imbalance between healthcare needs and resources. The specific needs of the affected population can vary widely, influenced by a multitude of factors such as population composition, nature and phase of the emergency, locality, geographical terrain, and pre-emergency health status and risks, to name but a few.

Moreover, in scenarios where International EMTs (I-EMT) are requested, coordination efforts must ensure their integration with the host country's existing national health system which can vary significantly in structure, quality and capacity. The deployment of I-EMTs also needs to link up with the mechanisms and methodologies for the overall coordination of the international response, including the OSOCC and the Health Cluster, if existing and activated.

Managing these specific needs of medical teams and negotiating the multiple layers of complexity involved in their coordination demands a high level of specialized expertise and experience. Therefore, effective EMT coordination benefits from a dedicated coordination cell that can address the specific coordination needs and challenges of EMTs.

### **Scope of the EMTCC**

The core purpose of the EMTCC is the overall coordination of the surge of responding EMTs (both national and international) to best meet excess healthcare needs resulting from increased morbidity or from damage to existing capacity.

Ideally, the EMTCC should be an entity entirely internal to the MoH (or national authority equivalent) that is activated, managed, and staffed by trained and experienced personnel from within the MoH. In many cases, the MoH may require external support and expertise to operationalize an EMTCC. However, even in these cases, the primary responsibility for coordination remains with the MoH or national authority. The external support is used to temporarily bridge gaps in the functioning of the EMTCC while working to build and transfer this coordination capacity back to the MoH.

The expertise provided by the EMTCC relates to the operational and technical aspects of EMT response, the promotion and on-site verification of compliance with EMT guiding principles and minimum standards and other national requirements to monitor quality of care provided to the affected population.

### **Criteria for successful EMT coordination**

Successful EMT coordination requires more than an effective coordination cell. There are four other critical requirements:

- **Acceptance and buy-in from the MoH (or national authority equivalent) of the affected country** – The responsibility and authority for coordination (including request and acceptance of I-EMTs) remain with the national authority. Therefore, any coordination mechanism must integrate with the national system and must be agreed upon by the national authority. Routine discussions and establishment of agreements as part of preparedness and national capacity strengthening must also occur.
- **Acceptance and buy-in from the responding EMTs** – This requires open dialogue with EMTs (preferably prior to emergency onset) regarding the purpose and processes of EMT coordination. The collective benefits to EMTs and to the affected population should be emphasized, while commitment of the EMTCC to minimize additional administrative burden or compromise EMT 'autonomy of intervention' should be assured. Buy-in is also achieved through pre-registration in the Global EMT Classification.
- **Pre-positioned and/or rapidly deployable human resources, financial and information technology support** – This is important to facilitate the timely

deployment of trained and experienced EMT coordinators and other team members, and to support their in-country activities.

- **Clear linkages with the wider coordination structure of the international humanitarian assistance** – This includes the required linkages and information exchange with the OSOCC, usually established close to the disaster-affected area and managed by the UNDAC team and/or other response teams, and Health Cluster if activated. The visual below shows where the EMTCC sits within the humanitarian response system.

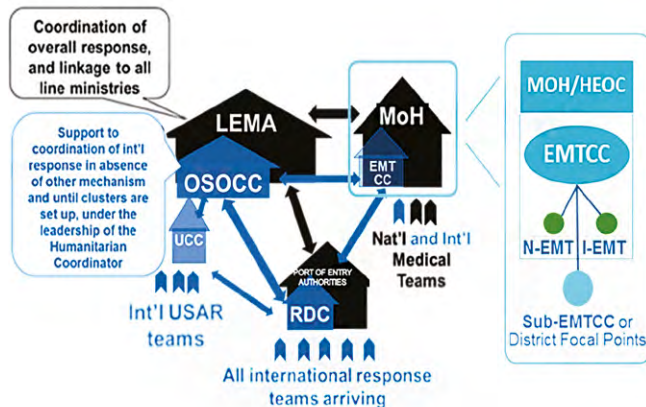


Figure N.5 EMTCC linkages

### N.3.4 EMT coordination steps and the role of the UNDAC team

The following are the key steps in the coordination process of EMTs, along with the challenges that are typically faced in each of these phases. They come with recommendations on the role of the UNDAC team in each of the phases.

#### Activation of EMTCC

National authorities are recommended to adopt a no-regret approach to the activation and staffing of the EMTCC at the onset of an emergency or even during the alert phase. In some regions, e.g., the Americas, the EMTCC is also promoted as a standing body in charge of managing the registration and potential accreditation of national EMTs when not actually in emergency response mode.

Key messages for activation of the EMTCC:

- It is better to activate the EMTCC on a no-regret basis than do it too late or not at all.
- It is important to ensure sufficient staff in the initial phases, with the option of rapidly scaling down or de-activating the EMTCC if deemed appropriate by the situation.
- An important source of information in this phase is the VOSOCC where EMTs sign up. If the national authorities accept or request international assistance, it will also be important to provide information to international teams on the arrival process in-country, including background information on the affected country, such as structure of the health system, baseline health status and risks, and national treatment protocols and guidelines.

- Normally, WHO will provide direct support to the MoH through the WHO country and regional offices and in major emergencies also through the deployment of HQ staff. The WHO EMT Secretariat is always available for advice.

Potential role of the UNDAC team:

- Link up with the WHO country office to know the status of the EMTCC activation or the level of preparedness for establishing a coordination mechanism for EMTs and ensure linkages. Many times, this information will be available through the LEMA as well.
- If EMT coordination is required and the team considers more support may be necessary, this can be raised with the WHO EMT Secretariat or through the UNDAC mission focal point in OCHA Geneva.
- Identify UNDAC EMTCC trained team member(s) to possibly support the activation and functioning of the EMTCC.

#### Registration (recording) of I-EMTs and EMT tasks at the RDC

The registration of I-EMTs is a response-specific process. It is the mechanism by which an EMT indicates its intention to offer assistance (including type and capabilities) for a specific emergency response and obtains acceptance from the MoH. Note that, for medical teams, 'registration' includes a legal connotation whereby the team is allowed to provide health services and medical staff are granted temporary licence to practice in the host country. This registration is completed for each EMT rather than for each organization offering EMTs. The term 'recording' their arrival at the RDC is, therefore, preferred for EMTs.

Registration of EMTs is necessary for 'filtering' incoming I-EMTs (according to capability and identified needs), understanding and preparing for the logistical resources needed, matching and tasking them based on their type and services, and ensuring monitoring of health operations.

When a large number of international EMTs are expected to deploy, the setting up and management of an RDC may be required, becoming the first point of contact and advance coordination post for EMTs. Rather than running a separate RDC for EMTs and to avoid unnecessary confusion, it should be thought of as a 'go-to desk' for EMTs, part of the overall RDC. If the host country has internalized the RDC mechanism in its national plans (also in cases referred to as a 'one-stop-shop'), the MoH/EMTCC will designate a liaison person to be part of the RDC.

The main function of the RDC for EMT operations is the same as for other arriving teams, with the particularity that the line ministry is the MoH and the key linkages need to be established with the MoH/EMTCC. Tasks can be summarized as:

- 1) Support point of entry authorities in managing the arrival of international resources.
- 2) Record the arrival of teams and liaise with the MoH/EMTCC, keeping the OSOCC informed.
- 3) Brief arriving teams (situation, logistical support, airport/port procedures, security and other key information).
- 4) Provide the location of the EMTCC where all the EMTs will have to register, providing relevant documentation and obtaining authorization to work in-country.

Key messages for the registration process:

- The MoH or related national authority is the only body entitled to accept or refuse the registration of EMTs.
- The registration process should collect information about the EMT's contact details, type, medical services and logistical capabilities, and intended duration of stay, as a minimum. In many cases, additional documents are required by the MoH/EMTCC to

accompany the registration forms. These may include copies of passports of each team member and other documentation, e.g., current practice licence (medical, nursing or other relevant licence) for clinical staff, letter of introduction/invitation from a national counterpart organization, etc.

- The registration process is completed once the EMT has obtained its authorization to work in-country and temporary licence to practice for its medical staff.
- Remember that, for the reasons stated above, the term 'recording' is preferred for EMTs' arrival at the RDC, unless the concept of 'one-stop-shop' is being implemented by the national authorities.
- The EMT Coordination DRAFT Handbook (WHO) suggests the use of a standardized registration form, which, if accepted by the MoH, will generally be posted on the VOSOCC. (The sample template is available as an annex to the handbook, which can be obtained from the EMT Secretariat by contacting [emteams@who.int](mailto:emteams@who.int))

Potential role of the UNDAC team:

- Promote the dissemination and clear communication of the registration requirements and process through different communication channels, including the VOSOCC, general coordination meetings, situation reports, etc.
- Support the EMT functions in the RDC and promote the use of the standardized EMT registration forms which can be found on the VOSOCC or in the UMS. Request/encourage internationally deploying EMTs to also support the RDC with additional staff if required, particularly the WHO-classified EMTs.
- Ensure the information available on the VOSOCC on EMTs (under relief teams and the specific section on EMT coordination), is monitored and updated with relevant information from the RDC.
- If no specific EMT expert is present at the RDC, establish linkages with MoH/EMTCC to inform them of arriving teams. Encourage MoH to have a liaison person at the RDC or even to manage the RDC for EMTs.
- Provide help to display information relevant to EMTs on the RDC notice boards.

### EMT operations and tasking

Information management is one of the key support functions for EMT coordination. The EMTCC requires readily accessible and up-to-date information about all responding EMTs (and their type) to make decisions about the optimal distribution of the EMTs. In reality, there are multiple additional layers of information (such as EMT logistical capabilities, anticipated departure dates and locations of already deployed EMTs) and practical information (such as EMT contact details) that need to be collected, processed and packaged in a readily accessible format in order for the EMTCC to operate effectively.

Tasking is the process of assigning EMTs to a specific site of operation, based on the EMT's type and capabilities and the identified needs or gaps, which allows for optimal resource utilization to maximize assistance to the affected population. Tasking is the core operational function of the EMTCC and its key guiding principles are the comparative advantage (or added value each EMT can bring to the response), complementarity (or strengthening existing services and filling gaps) and predictability (or pre-set of potential at-risk areas and/or facilities).

Key messages for EMT operations:

- At the level of the EMTCC, the concept of an 'EMT Master List' is generally used as the key tool for collecting and sharing all the information related to the EMTs and used for mapping of teams and activities.
- EMTs are expected to participate in periodic reporting, which may be daily in the acute phase of the emergency and transitioned to weekly after the situation has

stabilized. EMT reporting should be conducted using a standardized form, based on the EMT Minimum Dataset (MDS) forms, which are to be adapted to each country context, generally by the MoH. The forms should be provided by the EMTCC and made available on the VOSOCC.

- The choice of the data management platform for EMT reporting and information management will depend on the available infrastructure, such as reliable electricity and/or internet connectivity, and the available expertise within the EMTCC team. It can vary from basic paper forms to Excel databases or electronic systems.
- The tasking process should be applied as a periodic (rather than continuous) cycle with the tasking of EMTs occurring at a set time(s) of the day. The frequency of EMT tasking (that is, length of the tasking cycle) will depend on factors such as the emergency context, volume of incoming EMTs, availability and quality of information.
- Tasking is, in reality, a more consultative and participatory process than the term suggests. The final site allocation should be reached in discussion between the EMTCC leadership, other stakeholders within the MoH and the relevant EMT, and should also take into consideration the EMT's concerns and interests, such as pre-existing working experience or partnerships in specific localities within the country which can be an asset to their effectiveness in providing assistance in those particular localities.
- It is important to keep the reporting process simple and flexible, e.g., allowing submission via paper, phone, e-mail, and online, and to balance the coverage of questions against overburdening of EMTs. Providing an explanation of the purpose and value of EMT reporting and feeding back generated reports to the EMTs should be standard practice to encourage reporting.

Potential role of the UNDAC team:

- Dissemination of produced information (from collected, processed and analysed data) is one of the most important steps within the information management cycle. Key information products should be widely disseminated to all relevant stakeholders, including the EMTs, to also support and inform their actions. The UNDAC team can help disseminate the products to the wider humanitarian audience and stakeholders.
- Ensure situational and needs analysis information gathered through the EMT reporting and coordination process is used for the overall humanitarian situation analysis and priority setting. This includes information related to:
  - Impact on health system.
  - Number of health facilities functioning vs number of damaged/non-functioning health facilities.
  - Number and type of national and international EMTs deployed.
  - Existence of any outbreak.
- Share information on operational and logistics arrangements (transport of teams, refuelling, etc.), as well as information products (maps, situation updates, situation analysis, etc.) produced through the OSOCC or other coordination platforms with the EMTCC.
- Ensure that there is regular information exchange between the EMTCC and the OSOCC A&A Cell.
- Amplify and support the dissemination of key messages published by the EMTCC, such as the need for more I-EMTs with clear information on the type requested, or the call for stand-down.

- In emergencies where USAR teams are deployed, ensure linkages between the EMTCC and the UCC, and in particular the sharing of key relevant information:
  - Mapping of the location of existing and functioning health facilities/centres and the location of the assigned EMTs, along with capacity of each of the health facilities/EMTs. This is key information for USAR teams to be able to refer patients appropriately.
  - Procedures for disaster victim identification (DVI) and protocols for management of dead bodies.
  - Main tasking sites of USAR teams, especially if live rescues are confirmed and potentially complicated necessitating immediate medical referral.
  - Phase of the USAR response, including if decision has been taken to stop the active search phase for live victims.
  - Information on presence of civil engineers and logisticians that can help rehabilitate damaged health facilities.
- Support the coordination process by offering to raise issues or any logistical or operational needs with the LEMA or other operational entities.
- Support the civil-military coordination process. Note that there may be several EMTs that are military. During the response, military EMTs should in principle be referred to the EMTCC under MoH leadership in order to have a single EMT coordination platform, unless the host Government decides differently.
- If a standard direct observation form is developed by the OSOCC A&A Cell, this should be shared with the EMTCC for possible EMT contribution. Findings related to the status of the health facilities should be regularly shared with the EMTCC.
- The UNDAC team should be very familiar with certain tools such as the VOSOCC and can provide support to the EMTCC in managing or interpreting information, in particular the section on 'relief teams' and EMTCC.
- Identify UNDAC team member(s) or OSOCC Information Support Staff (OISS), ideally EMTCC-trained, able to provide possible support to the information management function of the EMTCC if required.

### Management of non-compliant teams

Despite the reinforcement of national regulations, Standard Operating Procedures (SOPs) outlining the expectations and responsibilities of EMTs, and minimum standards, some EMTs may continue to arrive unsolicited and/or work in an uncoordinated manner. Examples of non-compliance include:

- Arriving in-country unannounced and/or without approval from the national authority (specific to I-EMTs).
- Failing to complete EMT registration.
- Establishing operations at a site without being tasked or in contradiction with assigned site.
- Failing to comply with the EMT minimum standards.
- Failure to comply with reporting requirements.
- Failing to provide adequate handover and medical documentation related to patients' treatment, referrals or transfers.
- Departing without informing the EMTCC and/or without appropriate transition or handover (specific to I-EMTs).

Key messages for handling of non-compliant teams:

- The MoH/EMTCC is the only institution in charge of taking decisions on the management of non-compliant teams.
- There are a range of strategies and approaches that are generally implemented to improve compliance. These vary from more cooperative and supportive approaches at one end, to more confrontational and punitive approaches at the other.

Potential role for the UNDAC team:

- UNDAC's role is naturally very limited in this area. However, a key role is to support information dissemination on the EMT coordination process and direct all EMTs to the EMT coordination process.
- Ensure that information regarding EMT activities or quality of care provided are channelled to the EMT coordination mechanism for verification.
- Identify UNDAC team member(s) able to provide possible support to the functioning of a contact centre, staffed to respond to all EMT enquiries, and to disseminate essential information, if required.

### EMT departures

The careful coordination of EMT departures and handover is as equally important as the initial EMT deployments. This is to reduce gaps in service coverage due to the departure of an EMT and ensure continuity of care.

Key messages on EMT departures:

- Departure SOPs and requirements should be clearly communicated to all EMTs at the earliest opportunity.
- EMTs are required to inform the EMTCC of their anticipated end-of-operations date as early as possible, or at least one to two weeks prior to that date if different from the one initially communicated at the time of the registration.

In general, the UNDAC team or follow-on OCHA presence is not expected to have any specific role in the departures of EMTs, apart from ensuring that the information is appropriately disseminated and included in the overall situation updates.

For additional information on EMTs, see the Emergency Medical Teams website <https://extranet.who.int/emt> including *The Regulation and Management of International Emergency Medical Teams* (2017) <http://www.ifrc.org/PageFiles/115542/EMT%20Report%20HR.PDF>

### N.4 Civil-Military Coordination (CMCoord)

An UNDAC team deploying to the same emergency as foreign militaries may be expected to initially establish a Humanitarian Civil-Military Coordination (UN-CMCoord) mechanism. This is critical to the effective and efficient use of military assets to meet the humanitarian needs of affected people.

#### What is UN-CMCoord?

UN-CMCoord is the essential dialogue and interaction between civilian and military actors in humanitarian emergencies that is necessary to protect and promote humanitarian principles, avoid competition, minimize inconsistency and, when appropriate, pursue common goals. Basic strategies range from co-existence to cooperation. Coordination is a shared responsibility facilitated by liaison and common training.

The key coordination elements in natural disasters and complex emergencies are information sharing, task division and planning. The scope and modus operandi of these key elements will change with the context and with the focus of the five main CMCoord tasks:

- 1) Establish and sustain dialogue with military forces.



- 2) Determine a mechanism for information exchange and humanitarian action with military forces and other armed groups.
- 3) Assist in negotiations in critical areas of humanitarian-military interaction.
- 4) Support development and dissemination of context-specific guidance for the interaction of the humanitarian community with the military.
- 5) Monitor activity of military forces and ensure positive impact on humanitarian communities.

The context to which humanitarians respond will determine the basic coordination strategy with militaries, domestic and international. Interaction with military actors can significantly improve humanitarian action. On the other hand, it risks blurring the lines since military and humanitarian entities might have very different mandates and missions. CMCoord ranges across an operational spectrum, from full cooperation to co-existence only in the same context.

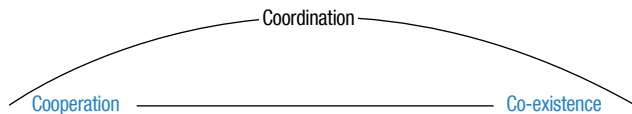


Figure N.6 CMCoord operational spectrum

The type of relationship established with military entities varies depending on the situation and nature of the military mission. It may be appropriate to co-locate, or it may be inappropriate from a humanitarian stance to have direct contact. For example, it may be appropriate to co-locate in a benign environment where a stable state government exists and there is no or little threat to security, but it is likely to be inappropriate where a conflict situation exists in a country. The visual below shows possible civil-military liaison arrangements.

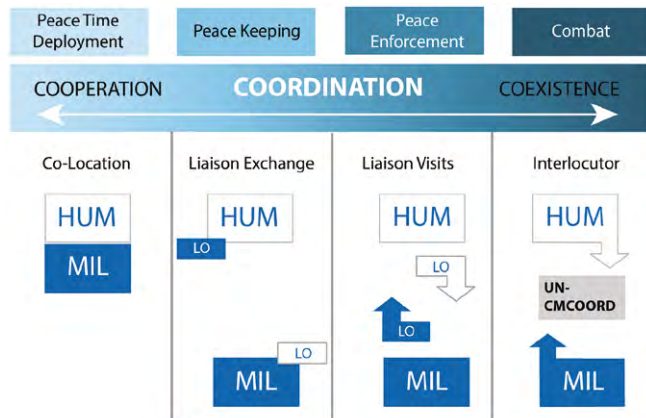


Figure N.7 Possible civil-military liaison arrangements

Some reflection is required before determining the liaison arrangements:

- When should the liaison officers of the humanitarian and military communities be co-located in the same facility?
- Should the liaison arrangements between the humanitarian community and the military be conducted in confidence or in transparency?
- What would be the implications of public knowledge of such liaison arrangements on the perception of the neutrality and impartiality of humanitarian activities?
- How may transparency of the civil-military liaison arrangements be ensured while maintaining the understanding of a clear distinction between the military and humanitarian actors?
- How may incorrect perceptions and conclusions be prevented regarding the nature and purpose of civil-military liaison arrangements?
- Which circumstances call for formal liaison arrangements? When is it better to maintain liaison on an ad hoc basis?
- What is the appropriate size and structure of the civil-military liaison component?

#### UN-CMCoord and the use of Foreign Military Assets (FMA)

Many UN Member States' militaries are first responders to disasters in their sovereign territory. Member States may also provide bilaterally agreed assistance to affected states through the deployment of Foreign Military Assets (FMA).

The use of foreign and/or national militaries to support humanitarian operations is an option to complement existing relief mechanisms. Militaries provide support to specific requirements for a defined period of time, in response to an identified and acknowledged humanitarian gap. They should:

- Provide unique advantages in terms of capability and timeliness.
- Meet a very specific requirement.
- Complement civilian capabilities.
- Be used for a limited duration.
- Be at no cost to the affected country, humanitarian budgets or the UN.

Assistance with FMA may include:

- Strategic airlift of food, shelter, health facilities, water purification units, and foreign military contingents from all over the globe.
- In-theatre operational airlift of relief supplies.

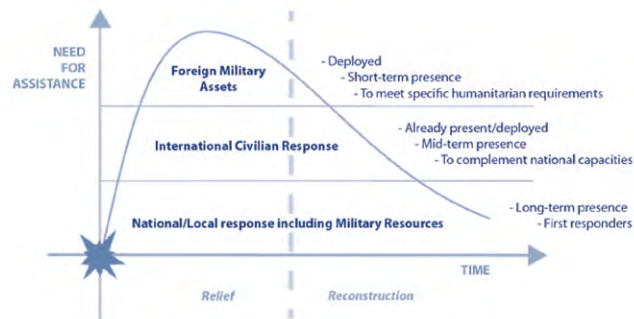


Figure N.8 Use of FMA in humanitarian operations



- Evacuation of disaster victims from the most damaged sites.
- Engineering to assist in clearing debris, opening roads, re-establishing electricity, remediating washouts, rehabilitating schools and assessing structures such as bridges.
- Water purification to produce huge amounts of clean drinking water.
- Fumigation of worst hit sites in living areas to contain secondary threats such as outbreak of epidemics.
- Mobile medical teams to treat injuries.
- Establishment of field hospitals to provide advanced health services.
- Logistics to support the delivery of humanitarian supplies.
- Identification of potential sites for assistance as required.

The involvement of FMA to support humanitarian operations may have serious consequences and could impact the perceived or actual neutrality, impartiality and operational independence of the humanitarian effort. It is, therefore, essential that the use of FMA is based on the appropriate category of assistance tasks to support humanitarian gaps.



**Figure N.9 Categories of humanitarian assistance tasks**

In-country contingency planning should consider the possibility of national and foreign military in support of the broader disaster response operations. If and when an affected government requests and/or accepts international assistance, including FMA, this creates an expectation from the affected and assisting governments that the FMA will be used.

Governments could consult the Emergency Relief Coordinator (ERC) prior to deploying military forces to ensure proper formulation of mission and the appropriate capacity to deploy. FMA should seek guidance from the RC/HC and OCHA when in-country and should have designated trained liaison officers who will interact with UN-CMCoord Officers on the ground.

Humanitarian organizations and staff need to understand that using military assets is acceptable in order to meet critical humanitarian needs, especially in natural disasters in peacetime. However, a UN-CMCoord mechanism helps to ensure that available FMA are used optimally to support humanitarian priorities and a common platform is needed to share information between the humanitarian and military communities.

#### N.4.1 UNDAC and UN-CMCoord

If an UNDAC team deploys to an operational environment where there is a pre-existing relationship, engagement and/or coordination with national, foreign or UN mission military forces, the humanitarian guidance in place governing the relationship should be adhered to. If an OCHA country office is present, there will be a specialist UN-CMCoord staff member or focal point with whom contact should be made, preferably prior to deployment. This is best initiated by the UN-CMCoord focal point within the UNDAC team. Military forces may or may not be involved in the relief operation but may have a significant impact on such operations regardless.

If there is military involvement or influence in the disaster response, but no pre-existing OCHA presence, there should be a UN-CMCoord specialist integrated in the UNDAC team. All UNDAC team members, however, should be aware of the way in which to appropriately and effectively interact with military forces on the ground, facilitate essential dialogue between humanitarian and military actors, and establish a civil-military coordination mechanism that enhances the disaster response by facilitating information sharing, task division and operational planning. FMA should be utilized and/or coordinated to create an appropriate interaction and best use of resources to meet the needs of the affected people.

The mechanism to facilitate coordination with military forces could take varying forms, depending on the operational environment. It could be established as a physical entity, either as an integral part of the OSOCC or otherwise. It should support the broader humanitarian coordination mechanism and reinforce operational coordination. UN-CMCoord officers have established various platforms to better interact among the civil-military constituency.

The UNDAC team, in a peacetime environment, may decide to use the Humanitarian-Military Operational Coordination Concept (HuMOCC) to produce key services such as:

- Information sharing, task division and coordinated operational planning.
- Establishing common situational awareness.
- Appropriately using domestic and foreign military assets.
- Supporting humanitarian priorities determined by humanitarians.
- Establishing a request for assistance (RFA) mechanism.
- Documenting and reporting.

The HuMOCC is in all practical senses an OSOCC coordination cell but may have different names depending on the situation and context. In peacekeeping, peace enforcement and combat settings, civil-military constituents have made use of UN-CMCoord Cells, a UN-CMCoord Working Group, Civil-Military Advisory Group, or a UN-CMCoord Forum. They all produce key services such as:

- Sharing information for common situational awareness on humanitarian activities and safety, security, access, logistics and communication.
- Establishing humanitarian notification systems for deconfliction.
- Using military assets coherently, including from UN missions, in support of humanitarian action.
- Holding training events, workshops, briefings and other humanitarian sensitization activities.
- Contributing to other critical areas of coordination like protection of civilians.
- Documenting and reporting.

In all circumstances, close collaboration with the Logistics Cluster is essential for coordinating the use of military logistics assets during emergencies. See also Chapter P. Disaster Logistics.

#### N.4.2 UN-CMCoord assessment

Humanitarian civil-military coordination work starts with an assessment and definition of the operational environment. If OCHA is present in-country, the assessment should be available. If there is no UN-CMCoord assessment available, the activity starts at pre-deployment with the establishment of contacts at global level and analysis of secondary data.

Each of the steps is equally important. Whereas a common operational picture and the operating environment might exist, other elements must be analysed to determine the most appropriate liaison strategy. The five steps include assessing the:

- Operating environment.

- Actors, including their mission and mandates.
- Relationships, approaches and perceptions.
- Existing coordination mechanisms.
- Available military assets in support of humanitarian action.

The following list of issues and questions may be of use in compiling an inventory of key and supporting actors, existing civil-military coordination mechanisms, if any, and potential modes of interface between international humanitarian actors and national and international military actors.

### **Actors and roles in disaster response operations**

Possible domestic military and paramilitary actors:

- National armed forces.
- National, regional and local police.
- Paramilitary structures such as border and customs forces.
- Other indigenous military or paramilitary forces.

Possible international military actors:

- International forces stationed in the country or region.
- UN peacekeeping missions in the country or region.
- Countries with military attaches in the country.
- Regional alliance members.
- Nations with bilateral military assistance agreements/bilaterally-deployed military forces.

Obtain an indication of their roles in the disaster response operations and conduct a quick analysis to ascertain if these actors will/should have interaction with the international humanitarian community.

### **Interfaces**

The following questions are designed to identify the critical interfaces between civilian and military entities (including domestic and international elements of each), expose the important coordination structures and assist in identifying any potential issues that might impact humanitarian civil-military coordination.

Domestic military and international military interface:

- What is the status of the international military forces?
- Are international military forces co-located with domestic military forces?
- Do they share installations or bases?
- Does the international military force have freedom of movement?
- Are these relations part of a regional alliance system?
- Do military forces have any arrest or detention authority?
- Are military forces involved in combat operations?
- To whom do the international military forces report?

Domestic civilian and national military interface:

- Is the military involved as a belligerent in internal or international conflict or counter-insurgency?
- Does the military have a legal or constitutional role in disaster response, relief and reconstruction?
- What is the relationship between regional military commanders and governors/local chief executives?
- Who provides the national/local coordination or operations centres?

- Is the military the exclusive provider of key resources such as land, sea and air assets?
- What is the relationship between the military and police?
- What is the relationship between the military and civil defence/civil protection units?
- Do active or retired military officers lead key civilian ministries or agencies?
- Are there areas of the country under direct military control or martial law?
- Is the military responsible for aircraft or maritime search and rescue operations?
- Does the military manage any medical facilities?
- Does the military have specially trained search and rescue teams?
- Is the military dominated by a particular ethnic group?
- Are there groups opposed to, or frightened by, the military/police?
- Is there a relationship between the military and any civilian service providers?

Domestic military and international civilian interface:

- Can the domestic military and police forces provide adequate security?
- Are these forces responsible for the security of any beneficiaries?
- Does the military control any facilities needed by international relief organizations?
- Does the military control access to areas that may hold beneficiaries?
- How does the military control access to restricted areas?
- Can and will the military assist international civilian organizations?
- Is the military involved in any direct distribution of relief?
- What is the process for addressing any issues with military commanders?
- What is the military's attitude regarding women and female international staff?
- Are there valid human rights concerns about the domestic military?
- Are there child soldiers in any of the indigenous military forces?

International military and domestic civilian interface:

- Is there an international military force permanently based in the country?
- Does the international military force have authority to assist civilians?
- Which international military forces have responded to past disasters?
- Does the international military force have direct contact with the population?
- How does the local population view international military forces?
- Is the international military force involved in a campaign to gain acceptance of the local population?
- Are international military forces involved in direct assistance projects?

International military and international civilians interface:

- Are civilian aid organizations associated with any of the military forces?
- What is the relationship between non-governmental organizations (NGOs) and military from the same country?
- Have military commanders and staff worked with the United Nations or international NGOs before?
- Does the military force have a doctrine for relating with civilian actors?
- Does the force have explicit orders to support or protect humanitarians?

After these questions are considered, answered and assumptions clarified, it should be possible to determine where the main emphasis for humanitarian civil-military coordination lies.

### **Longer-term UN-CMCoord activities**

In establishing and developing the UN-CMCoord function, an UNDAC deployment must be cognizant of longer-term roles and responsibilities of UN-CMCoord staff to ensure the correct foundations are laid and activities passed on to follow-on staff. Any longer-term UN-

CMCoord function will support the RC/HC, under the direction of the OCHA head of office, and in consultation with the HCT.

N.4.3 Military customs and courtesies

Military customs and courtesies have a long tradition. They have generally evolved as a result of the need for order, a sense of loyalty and honour that is fostered among military colleagues. They go beyond basic politeness and are an intricate part of the discipline, morale, esprit de corps and mission effectiveness. As a civilian interacting with the military, basic knowledge of some customs and courtesies will be helpful:

- Expect to be escorted wherever you go in a military installation.
- Be on time. Military meetings start on schedule (most of the time). Be at least 10 minutes early at the meeting location. Allow additional time for in-processing through security.
- When a senior military officer enters the room, i.e., if s/he outranks any other officer already present, the room will be called to attention. You are expected to stand until the officer is seated or says, ‘as you were’ or ‘please be seated’.
- In a meeting, military officers will give you their full attention. They expect yours. Turn off phones and do not be tempted to answer calls or look at texts while a meeting is going on. It is discourteous and will be taken at best as a sign of disinterest and at worst as an insult.
- All military personnel are addressed by their rank or title. A military member may introduce themselves by their given and surname, but in the presence of others they are always addressed by rank and surname.
- When introduced to a senior officer, you should address them by rank and surname, rank only or sir or ma’am, whichever is appropriate.
- The senior officer will be first to leave a room and generally last to enter a room.
- When walking, the senior officer will generally be on the right.
- If you are present when the military host's national anthem is played, it is courteous to stand quietly until the music stops. The same principle applies if the host's national flag is being carried by or posted (raised or taken down).

N.4.4 UN-CMCoord references

In the event of an UNDAC deployment to an emergency where interaction with military forces is imminent, a UN-CMCoord hotline will be provided on the VOSOCC for real-time advice.

Guidelines

There are several sets of global guidelines, some general, others specific to certain operational environments:

OCHA (2007) *Guidelines on the Use of Foreign Military and Civil Defence Assets in Disaster Relief - Oslo Guidelines* <https://docs.google.com/file/d/0B7LQYninIE81LWJEUTFsM1RzOFF/edit>.

OCHA (2014) *Civil-Military Guidelines and Reference for Complex Emergencies* <https://drive.google.com/file/d/0B2Pp2VYEZjexDtBT3BVSVFGTnc/view>.

UN-CMCoord Handbooks

*Humanitarian Civil-Military Coordination Field Handbook* (under revision as at November 2017) <https://drive.google.com/file/d/0B3Tw3Nb3g845d1ZMcmZkMEVGZmM/view>.

*Humanitarian Civil-Military Coordination - A Guide for the Military* <https://docs.google.com/file/d/0B5N9hwXc04gnQUpNMHduZnE2RWs/edit>.

*Open source reference, training and learning material* [www.dialoguing.org](http://www.dialoguing.org).

O. REGIONAL APPROACHES

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0.1 Africa

OCHA supports several disaster management initiatives in Africa and encourages close cooperation with regional emergency response mechanisms during UNDAC missions.

0.1.1 Regional emergency response mechanisms

The Economic Community of West African States (ECOWAS) is made up of 15 member states located in the Western Africa region. ECOWAS has an Emergency Response Team (EERT) roster with about 110 persons from diverse backgrounds from ECOWAS member states. Coordination of the EERT roster is through the Directorate for Social and Humanitarian Affairs of the ECOWAS Commission.

However, this mechanism is not yet fully operational and lacks the financial capacity to deploy on short notice. The roster has Terms of Reference (ToR) and a handbook in a draft form. OCHA has had a broad Memorandum of Understanding (MOU) with ECOWAS since 2006 and is supporting the operationalization of EERT and the complementarity with the UNDAC team.

The West Africa Health Organization (WAHO) is setting up a public health emergencies roster and OCHA is closely following up through the regional health group and the Global Outbreak Alert and Response Network (GOARN).

The Economic Community of Central African States (ECCAS) is also working towards a regional roster mechanism. A database has been prepared but is still in draft mode. An MOU between OCHA and ECCAS was signed in 2012. In 2016, OCHA supported training of potential roster members from ECCAS countries, focusing on UNDAC methodology.

0.1.2 Regional arrangements

Some ECOWAS countries have Standard Operating Procedures (SOPs) between their national disaster management structure and armed forces to quickly mobilize military resources

(engineering, navy, air force), including Ghana, Benin, and Nigeria. OCHA is working with ECOWAS in a working group on civil-military coordination for disaster response with the aim of developing guidance (together with African Union guidance) for the ECOWAS region.

## 0.2 Americas

In the Americas, OCHA has close cooperation with regional organizations and individual member states on all matters relating to disaster management and humanitarian coordination. The relationships are managed by the OCHA Regional Office for Latin America and the Caribbean (ROLAC), located in Panama, which should be consulted if any questions arise during an emergency in the region.

### 0.2.1 Regional emergency response mechanisms

#### • *Risk Emergency and Disaster Network for Latin America and the Caribbean (REDLAC)*

Established in 2003 and based in Panama, REDLAC is the most important humanitarian platform for the exchange of information, reflection and humanitarian action in Latin America and the Caribbean. It has a coordinating role of humanitarian actors, governments and vulnerable populations, and is the regional adaptation of the Inter-Agency Standing Committee (IASC). REDLAC promotes inter-agency and inter-sectoral preparedness and response measures from the regional to the country level and promotes IASC guidance.

REDLAC members are regional or subregional humanitarian organizations present in Panama and the region. These include UN agencies, international organizations, non-governmental organizations (NGOs) and the Red Cross/Red Crescent Movement. Special guests, e.g., private sector, donors, regional or subregional organizations, may participate when required.

When disasters occur, REDLAC provides support to the emergency teams in the field and ensures inter-agency collaboration. Through information sharing, REDLAC members identify key challenges at national level (coordination, gaps in the response, etc.) and develop advocacy strategies to address them. The group also shares regional logistics support information during the emergency, particularly with regard to cargo and charter flights from Panama to the affected country.

Sectoral leaders at the regional level facilitate the response at the country level and support the mobilization of technical, material and financial resources, mainly from Panama where the majority of organizations have installed their regional offices and logistical capacities. The regional leaders facilitate the implementation of policies and structures, the use of tools and support in the required language of the affected country.

#### • *Caribbean Disaster Emergency Management Agency (CDEMA)*

CDEMA is a regional inter-governmental agency for disaster management in the Caribbean Community (CARICOM), which consists of 18 participating states.

The agency was established in 1991 as CDEMA (Caribbean Disaster Emergency Response Agency) with primary responsibility for the coordination of emergency response and relief efforts to participating states requiring such assistance. It transitioned to CDEMA in 2009, focusing on a comprehensive disaster management approach, which is an integrated and proactive approach to disaster management and seeks to reduce the risk and loss associated with natural and technological hazards and the effects of climate change to enhance regional sustainable development.

CDEMA offers the following support mechanisms to its participating states through its Regional Response Mechanism (RRM):

- **Rapid Needs Assessment Team (RNAT)** – Intended to support the affected Government with a rapid assessment of damage and impact. The initial RNAT assessments are to be completed within 72 hours from deployment, providing an analysis of the early emergency phase of the humanitarian situation. The RNAT comprises six to eight people drawn from a pool of experts throughout the

participating states. The team is led by CDEMA and provides Damage Assessment and Needs Analysis (DANA) reports.

- **CARICOM Damage Assessment Coordination (CDAC)** – Intended to increase the national capacity of an affected state to undertake Damage Assessment and Needs Analysis (DANA). The premise is similar to the UNDAC methodology. However, the CDAC approach is specifically designed to suit the Caribbean context.
- **CARICOM Operational Support Team (COST)** – Intended to provide surge capacity to directly support the National Emergency Operations Centres (NEOC) in coordination of response efforts. The concept of the COST is firmly grounded in the context of strengthening existing national capacity to coordinate response.
- **CARICOM Disaster Relief Unit (CDRU)** – The CDRU comprises military, fire and police assets drawn from the 18 CDEMA participating states. The Unit is deployed to provide humanitarian assistance in direct support to the civil authorities of any CDEMA participating state. The CDRU is activated, mobilized and deployed by the Regional Security System's Central Headquarters (RSS HQ) in consultation with and on behalf of CDEMA. The CDRU's mission is to conduct disaster response and relief operations on behalf of CDEMA in support of any CDEMA participating state stricken by natural or technological hazards. Its main tasks include the management of relief supplies, emergency telecommunications and the provision of appropriate personnel for repairing critical lifeline facilities. The CDRU works for the national authority and does not take control of any operations unless directed to do so by the designated national authority.
- **Regional Search and Rescue Team (RSART)** – These can conduct urban light-level search operations in teams of six persons to support local search and rescue teams of the affected state. The RSART can be accessed by any CARICOM Member State and is available to support humanitarian response and relief operations following a disaster impact.

Other important CDEMA coordinating bodies/mechanisms:

- **The Regional Coordination Centre (RCC)** – This is the central focal point within the CDEMA response system for the coordination and management of any declared emergency or disaster event in an impacted member state. The RCC is located within the CDEMA Coordinating Unit in Barbados and is responsible for coordinating all aspects of the response operations when the Regional Response Mechanism is activated.
- **Regional Security System (RSS)** – This is an integral part of the Regional Response Mechanism. The RSS provides an important link between the disciplined forces and CDEMA. It is responsible for activating the CDRU when requested by the CDEMA Coordinating Unit or the Regional Coordinating Centre, if it is activated.
- **The Eastern Caribbean Partner Donor Group/Disaster Management (ECPDG/DM)** – Established to provide a forum for information sharing among donors and development partners and to make strategic decisions regarding programme development and coordination. It also facilitates the coordination of external emergency assistance to the countries of the Eastern Caribbean following a major natural or technological disaster.

### 0.2.2 SOPs between the United Nations (OCHA/UNDAC) and CDEMA

OCHA and CDEMA have been working to enhance interoperability between regional and international coordination mechanisms, tools and services. During emergencies, UNDAC is deployed to support CDEMA and provide surge capacity where needed. As some CDEMA members are also UNDAC members, OCHA prioritizes a spot in global UNDAC Induction Courses for CDEMA members each year.

OCHA/ROLAC has been working closely with CDEMA in recent years and has deployed jointly on several emergency missions in the region. In November 2017, they signed an MOU to legitimize joint activities and to be able to work together in a more structured way. SOPs between OCHA and CDEMA are under development.

### 0.3 Asia

In Asia, OCHA has close cooperation with regional organizations and individual member states on all matters relating to disaster management and humanitarian coordination. The relationships are managed by the OCHA Regional Office for Asia and the Pacific (ROAP) located in Bangkok, Thailand, which should be consulted if any questions arise during an emergency in the region.

Since there are considerable differences in disaster management approaches between Asia and the Pacific, these regions are described in separate sections. See Section 0.5 for arrangements in the Pacific.

#### 0.3.1 Regional emergency response mechanisms

The Association of Southeast Asian Nations (ASEAN) Agreement on Disaster Management and Emergency Response (AADMER) is a legally-binding regional multi-hazard and policy framework for cooperation, coordination, technical assistance and resource mobilization in disaster management in the 10 ASEAN member states, i.e., Brunei Darussalam, Cambodia, Indonesia, Lao People's Democratic Republic, Malaysia, Myanmar, Philippines, Singapore, Thailand, and Viet Nam.

The objective of AADMER is to provide an effective mechanism to jointly respond to emergencies through concerted national efforts, intensified regional cooperation, and more structured engagement with international partners. Through its SOPs for Regional Standby Arrangements and Coordination of Joint Disaster Relief and Emergency Response Operations (SASOP), the AADMER enables ASEAN member states to mobilize and deploy resources for emergency response.

The ASEAN Coordinating Centre for Humanitarian Assistance on disaster management (AHA Centre), established in November 2011, was mandated by the AADMER to facilitate coordination and cooperation among ASEAN member states and is responsible for operational coordination. The AHA Centre thus facilitates cooperation and coordination among the ASEAN member states, and with relevant UN entities and other international organizations, to promote regional collaboration.

The AHA Centre is the primary ASEAN regional coordinating agency on disaster management and emergency response and the ASEAN Emergency Response and Assessment Team (ERAT) is the official resource of ASEAN under AADMER. ASEAN ERAT is a pool of trained and rapidly deployable experts on emergency management able to support NDMOs in responding to disasters in ASEAN countries. The purpose of the ASEAN ERAT is to assist NDMOs in the earliest phase of an emergency in a variety of areas including (a) conducting rapid assessments; (b) estimating the scale, severity and impact of the disaster through a damage assessment and needs analysis; (c) gathering information and reporting on the immediate needs of affected people; and (d) coordinating with the AHA Centre for the mobilization, response and deployment of regional disaster management assets, capacities and humanitarian goods and assistance to the disaster-affected areas. As of end 2017 there are approximately 200 ERAT members, including staff of NDMOs, related ministry staff, private sector and civil society organizations.

ASEAN ERAT uses guidelines modelled on those of UNDAC, outlining the roles, responsibilities, and detailed mission phases. Like UNDAC, ERAT members must be available to be rapidly

mobilized (within eight hours) and be prepared to be deployed for approximately two weeks. An ERAT team is deployed upon request of, or if the offer of assistance is accepted by, the affected member state. ERAT members are required to undergo induction training, following which members become deployable at the national level; regional deployment is contingent on a member undertaking additional and specialized skills-based training.

ERAT, when deployed, will establish a Joint Operations and Coordination Centre of ASEAN (JOCCA). The JOCCA is essentially a place for all ASEAN member state response entities to converge and coordinate. Similar to the relationship between UNDAC and ERAT, the JOCCA is modelled on the UN's On-Site Operations Coordination Centre (OSOCC). Both coordinating platforms provide direct support to the NDMO in coordinating regional and international assistance (see figure below).

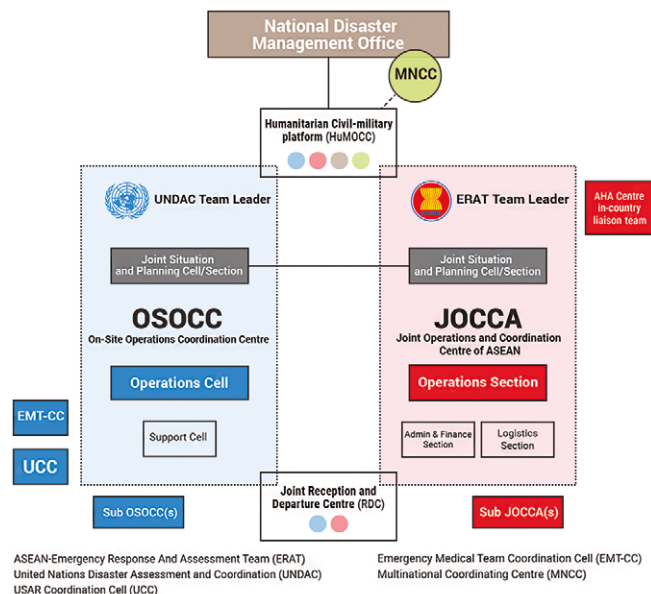


Figure 0.1 UNDAC/ERAT interoperability

#### 0.3.2 SOPs between the United Nations (OCHA/UNDAC) and the AHA Centre/ERAT teams

The OCHA and the AHA Centre are working closely to enhance interoperability between regional and international coordination mechanisms, tools and services. UNDAC and ERAT regularly jointly participate in simulation exercises and training to test their interoperability in terms of coordination, assessment, information sharing and planning. Many ERAT members are also UNDAC members. UNDAC training is a pre-requisite for progression to the ERAT Team Leader cadre and OCHA prioritizes several spots in global UNDAC Induction Courses for ERAT members each year. OCHA regularly supports the AHA Centre in the conduct of ERAT training and simulation exercises.



### 0.3.3 Regional arrangements

In Asia-Pacific, OCHA has piloted the co-training of selected DHL Disaster Response Team (DRT) members on management of the RDC. Appropriately trained DRT members may therefore be deployed to support an RDC where required.

*Disaster Response in Asia and the Pacific, A Guide to International Tools and Services* (<http://interactive.unocha.org/publication/asiadisasterresponse/index.html>) provides an overview of all regional and international arrangements in emergency response in the Asia and Pacific region. It is designed to help disaster managers in national governments as well as other responders to gain basic knowledge of how to use regional and international architecture, tools and services. The guide is not prescriptive and is currently being updated to reflect increasing regional capacity and new tools and services that have been developed in recent years.

### 0.4 Europe

OCHA has a significant relationship with European Union (EU) mechanisms regarding humanitarian assistance and coordination. Even if there have been few UNDAC missions within Europe, the Directorate-General for European Civil Protection and Humanitarian Aid Operations (ECHO), headquartered in Brussels, Belgium, is a regular preparedness and response partner during deployments to other regions.

#### 0.4.1 Regional emergency response mechanisms

The Emergency Response Coordination Centre (ERCC), operating within ECHO, was set up to support a coordinated and faster response to disasters both inside and outside Europe using resources from the countries participating in the EU Civil Protection (EUCP) Mechanism. The ERCC is operational 24/7 and serves as the European focal point for information management, offers of assistance and the coordination of deployed assets. With a capacity to deal with several simultaneous emergencies in different time zones around-the-clock, the ERCC is a coordination hub facilitating a coherent European response during emergencies, helping to cut unnecessary and expensive duplication of efforts.

The main goal of the EUCP Mechanism is to facilitate cooperation in civil protection assistance interventions in the event of major emergencies. In addition to the EU member states, the former Yugoslav Republic of Macedonia, Iceland, Montenegro, Norway, Serbia and Turkey participate in the EUCP Mechanism.

As part of the EU response mechanism, ECHO has established a reserve of resources referred to as the Voluntary Pool. These assets are kept on standby and made available as soon as needed for EU civil protection missions all over the world. These include modules of heavy pumping equipment, forest fire-fighting modules, USAR modules, mobile laboratories, etc.

#### 0.4.2 SOPs between the United Nations (OCHA/UNDAC) and ECHO

The collaboration between the UNDAC system and ECHO, and the ERCC in particular, is strong. Building on a 2004 Exchange of Letters between OCHA and the European Commission, an Administrative Arrangement 'to enhance operational cooperation and coordination between the European Commission, Directorate-General for Humanitarian Aid and Civil Protection (ECHO) and OCHA' was signed in 2015. The document clarifies the relationship with regards to:

- Early warning and rapid alerts.
- Joint preparedness activities.
- Real-time information exchange.
- Joint deployment of experts.
- Operational coordination and liaison.

The essential clarification provided in the document states that 'in emergency response operations outside the European Union, the Union coordination shall be fully integrated with the overall coordination provided by OCHA and shall respect its leading role'. Conversely, it is understood that within the European Union, the ERCC mechanism will lead the international response to the affected EU member state. Within the framework of the Administrative

Arrangement and in a collaborative spirit, both entities ensure there are ongoing open communication channels. This includes an agreement to 'regularly exchange information on operational issues, to develop, without prejudice to any independent analysis, a common situational awareness in case of major disasters, and to facilitate the real-time exchange of non-sensitive information'.

During emergencies, the support of the ERCC can be requested by UNDAC. Upon request, the ERCC makes available technical experts who join the UNDAC team as embedded members. Such expertise can include structural engineers, dam engineers, environmental experts, volcanologists, etc. As embedded members, EUCP team members join the UNDAC team under their own administrative arrangements. When deployed at the request of UNDAC, EUCP team members are fully part of the UNDAC team and report to the UNDAC Team Leader.

EUCP teams also deploy in humanitarian operations to support the bilateral response of the European Union to the affected Government. In such cases, the EUCP team will deploy with their own support (Technical Assistance Support Team (TAST)), equivalent to the support provided to the UNDAC team by the International Humanitarian Partnership (IHP), the Americas Support Team (AST), and other UNDAC partners. In such cases, it is likely that the UNDAC team and the EUCP team will work in the same environment and both team leaders should endeavour to establish a liaison mechanism to exchange information. In the spirit of the Administrative Arrangements, both teams should work in close cooperation. If and when clarification might be required, the UNDAC team should refer to OCHA Geneva for guidance.

### 0.5 Pacific

Disaster management relationships in the Pacific are managed by the OCHA Pacific Office in Fiji. Currently OCHA is developing an UNDAC strategy for the Pacific that will see the involvement of more Pacific Islanders in emergency response in the region.

#### 0.5.1 Regional emergency response mechanisms

The Pacific Humanitarian Team (PHT) is a network of humanitarian organizations working in the Pacific with the expertise and resources to support disaster preparedness and response in the region. PHT members include UN agencies, NGOs, the Red Cross/Red Crescent Movement, and other humanitarian agencies with the necessary capacity to respond in disasters. The PHT is supported by OCHA Pacific and coordinates its work through the following structures:

- **Heads of Organizations Group (or PHT Principals)** – This group is made up of the heads of organization from key PHT members, including UN agencies, the International Federation of Red Cross and Red Crescent Societies (IFRC) and NGO representatives, and is co-chaired by the UN Resident Coordinators and OCHA. Representatives from organizations in the wider PHT network may also be invited to participate in meetings. The Heads of Organization Group focuses on discussion of strategic issues and high-level engagement with governments and other key stakeholders.
- **Regional Inter-Cluster Group** – This group is made up of the regional coordinators from nine Cluster Support Teams and NGO representatives and is chaired by OCHA. The Regional Inter-Cluster Group focuses on operational issues and providing support to national disaster preparedness and response systems.
- **Cluster Support Teams** – The PHT has nine Cluster Support Teams working in different sectors, each with a designated lead agency and a number of members or supporting agencies. The primary function of the regional Cluster Support Teams is to support national clusters or sectoral working groups where they exist. Where they do not, the Cluster Support Teams are still able to provide coordination and technical support related to their sector, as needed and under national leadership. Several Pacific countries have now established their own national clusters or working groups that are responsible for coordinating disaster preparedness and response in their sector. The PHT fully recognizes and supports these national structures.



5.2 SOPs between the United Nations (OCHA/UNDAC) and the PHT

In the first phase of a response the following actions should be taken:

Action	Responsible	Timeframe
<ul style="list-style-type: none"> <li>• Contact national government:</li> <li>• Determine priority sectors or areas of activity for the emergency</li> <li>• Offer deployment</li> <li>• Discuss plans for a preliminary situation overview (aerial reconnaissance, etc.)</li> <li>• Contact UN Joint Presence Office (JPO)</li> </ul>	OCHA and cluster leads	Immediately
Brief UN RC on information available from NDMO, PHT partners, JPO etc.	OCHA	Immediately
Email update to PHT Heads of Organization (HoO) with available information	OCHA	Update sent: ASAP, within 2 hours
Brief UN RC on safety and security of UN staff	UNDSS	ASAP
Convene a meeting of the PHT HoO. The designated sector/cluster leads, or nominees should be present at the meeting. Agencies will have an opportunity to share and receive the most up-to-date information about the situation on the ground in the affected country(ies). Decisions will be taken as to: <ul style="list-style-type: none"> <li>• Assessment(s)</li> <li>• Regional or global activation of clusters</li> <li>• Coordination structures, including operations centre (in capital city or in affected area(s))</li> <li>• UNDAC deployment</li> <li>• Triggering of relevant funding mechanisms</li> <li>• Identification of potential humanitarian protection and/or violence issues</li> <li>• Broad agreement on gender situation analysis and issues</li> </ul>	UN RC/ OCHA/with inputs from Clusters	Meeting held: OCHA, within 12 hours
Contact relevant national government ministries/agencies or non-governmental counterparts, detailing the type of immediate support that the PHT can provide: <ul style="list-style-type: none"> <li>• Liaise with government to ensure request for assistance is communicated to humanitarian community</li> </ul>	OCHA, responding organizations and/or cluster leads	Contact made: Immediately after meeting

5.3 Regional arrangements

When disasters occur, domestic and foreign militaries are increasingly being called upon by Small Island Developing States in the Pacific when events overwhelm national capacity and to reach affected areas over vast ocean distances. Militaries play a valuable role in contributing to humanitarian action as they have unique assets and specialist expertise which can be used to conduct aerial and sea surveillance and assist in the transportation and distribution of relief items. A key partnership in the Pacific is the France Australia and New Zealand (FRANZ) Agreement, signed in 1992 as a response mechanism to natural disasters in the region. It commits the three countries to coordinate, share information and ensure the best use of assets when responding to natural disasters in Pacific Island countries. FRANZ has been used to respond to a number of disasters.

The three countries meet annually to discuss their disaster response mechanisms and to practice FRANZ coordination. A key component of FRANZ is resource provision, including civil, commercial and military personnel.

P. DISASTER LOGISTICS

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P.1 Introduction

UNDAC deployments in response to sudden-onset disasters will require, by definition, to operate in an environment where critical infrastructure has been damaged and the communications network is seriously limited or even non-existent. This will affect the population, local responders, international relief organizations and in-country businesses, making 'logistics' the most likely number one challenge to the humanitarian response. Few relief operations will succeed without an adequate logistics programme in place. The ability to deliver the appropriate supplies, in the appropriate amounts, in optimal condition, to where and when they are needed, is a prerequisite for an effective emergency operation. This chapter gives an overview of what 'logistics' means in the context of humanitarian operations, who are the key actors and general information on planning a logistics programme, and presents the role of UNDAC and the Logistics Cluster.

For further information on disaster logistics, including tools and templates, see the Logistics Cluster's Logistics Operational Guide (LOG) at <http://dlca.logcluster.org/display/public/LOG/Introduction>.

As UNDAC typically arrives in-country soon after the onset of a disaster, or even before it if pre-positioned, team members are often called upon to either initiate logistics arrangements or to provide advice on the planning and implementation of basic logistics programmes.

P.2 Overview

'Logistics' is a diverse and dynamic concept that lacks a single agreed-upon definition. The LOG uses the definition that describe logistics as: *the process of planning, implementing and controlling the efficient, cost-effective flow and storage of goods and materials as well as related information, from the point of origin to the point of consumption for the purpose of meeting the end beneficiary's requirements*.

In approaching logistics in a disaster, it is important to distinguish between normal commercial systems and those in place during disasters or in the broader humanitarian context. The LOG notes that, while commercial supply chains can forecast demand and utilize advanced mathematical models to predict needs, humanitarian supply chains are unpredictable, e.g., unknown timings, commodities and geography, are put in place on short lead times, have high stakes, e.g., saving lives, media scrutiny, donor accountability, and often lack the initial resources required for successful implementation in the early stages of a disaster. Given these constraints, the LOG recommends approaching disaster logistics as a 'systems exercise' requiring:

- Delivery of the appropriate supplies in good condition, when and where they are needed.
- A wide range of transport, often improvised at the local level.
- Limited, rapid and specific deliveries from outside the area.
- A system of prioritizing various relief inputs.
- Storing, staging and moving bulk commodities.
- Moving people.
- Coordination and prioritization of the use of limited and shared transport assets.
- Possible military involvement in logistics support (especially in cases of civil conflict).

The ability to implement any logistics programme will be affected by four main factors:

- Capacity of the infrastructure.
- Availability and quantity of transport assets in the country.
- Politics of the situation.
- Civil conflict in the area of operations.

To be effective, any disaster logistics system must be based on both implementation and operations plans developed in the context of an overall logistics programme.

### P.3 Logistics roles and responsibilities

International involvement in logistics operations varies greatly from situation to situation. Organizations commonly involved in logistics operations include:

- World Food Programme (WFP)
- United Nations Development Programme (UNDP)
- United Nations High Commissioner for Refugees (UNHCR)
- United Nations Children's Fund (UNICEF)
- World Health Organization (WHO)
- International Federation of Red Cross/ Red Crescent Societies (IFRC) and their Emergency Response Units (ERU)
- Non-governmental organizations (NGOs)
- UN peacekeeping missions
- Armed forces
- Private sector entities
- National authorities

The following sections outline high-level roles and responsibilities related to the United Nations and national government authorities.

#### P.3.1 The United Nations

Even in the early stages of an emergency, members of the Humanitarian Country Team (HCT) may already have established, or be establishing, a logistics coordination body. This will normally be led by WFP as the global lead for the Logistics Cluster. In this role, WFP's mission will usually be to assist the humanitarian community in their logistics efforts and to be a focal point for any areas of logistical coordination that require the host Government's support. The Logistics Cluster, if and when activated, will offer a series of services to the humanitarian community. Depending on the situation, these include logistics information sharing, transport services and warehousing.

The United Nations Humanitarian Air Service (UNHAS), managed by WFP, might also be activated. Both the Logistics Cluster and UNHAS will require some time to be fully operational. The UNDAC team will mainly be involved in logistics and operational considerations at three different levels:

- 1) Logistics support to the UNDAC team itself. This will be taken care of within the Support Function of the OSOCC and relates to the administration of the team, including transport, field mission preparation, office set-up and maintenance, etc.
- 2) Logistics support to emergency response teams coordinated within the OSOCC concept, e.g., USAR, EMT, etc. Such activity includes orienting incoming teams with regards to availability of accommodation, logistics providers, etc.
- 3) General logistics support to the wider community as part of UNDAC's general situational awareness and information management role. In very rare situations, UNDAC logistics activities might include some operational activities, upon the request of the RC/HC, e.g., arranging to use an OCHA Emergency Cash Grant to secure a contract for potable

water deliveries after a storm or arranging for local roads to be cleared of debris by a bulldozer. In more complex situations, UNDAC may be called upon to support national authorities or members of the United Nations system in planning and implementing more complex logistics programmes, particularly in situations where the Logistics Cluster has not yet been activated.

#### P.3.2 National authorities

Knowledge of the in-country logistics and supply chain resides with the national and local actors, including private sector. As in other areas of relief work, it is vital that there is a close relationship with the national authorities when carrying out logistical operations. The following have proved to be central in the relationship with governments and the effectiveness of logistical operations:

- Agreement over the form and content of the logistics plan.
- Agreement over the use of logistics assets (civil protection, military and other government entities).
- Agreement on authorities to control commodity movement and distribution.
- Agreement on setting up telecommunications networks, e.g., radio and satellite-communications.
- Arrangements for travel to and in restricted areas.
- Duty-free/taxation exempt status for all equipment and consumables.
- Timely and efficient customs procedures for emergency relief items, both aid for beneficiaries and support items for United Nations operational usage.
- Early agreement on the strategy for phase-out and hand-over of the operation to national authorities.

#### P.4 Planning a logistics programme

As noted above, in situations where the Logistics Cluster is not activated, the UNDAC team may be required to support the early collection of supply chain and logistics-related information as well as the development, in consultation with other actors (Government, humanitarian organizations, local NGOs, etc.) of a logistics concept of operations. This section provides general guidance to allow team members to create basic logistics plans. Tools to assist with managing logistics information are outlined below in Section P.4.5.

##### P.4.1 The planning process

Planning and anticipation are the cornerstones of good logistics and must be based on knowledge of various aspects of the situation, e.g., geological, technical, political and physical. In addition, it must be remembered that logistics is part of an on-going relief operation and any logistics planning must be coordinated with the plans of other sectors of the relief operation. As logistics operations underpin and support the goals of the humanitarian community, it is important to take into account that there may be breakdowns for various reasons. Plans should consider this and be as flexible as possible. See below for a logistics planning cycle as outlined in the LOG.

While it is important to implement the full cycle, an initial logistics planning checklist in an emergency setting could be as simple as:

- Set objectives.
- Develop policies (or adopt existing ones to cover procurement).
- Warehousing.
- Disposal/reverse logistics.
- Resources required, e.g., vehicles, radios, computers, office space, storage space and staffing.

When considering the initial concept of operations and collecting essential information on the in-country infrastructure, it is recommended to consider the following elements:

Possible source of information:

- Existing contingency plans from Government, United Nations, etc.
- Local Chamber of Commerce.

- Logistics Capacity Assessments (called LCAs and available through the Logistics Cluster website <https://logcluster.org>).
  - Private sector initiatives such as the Connecting Business initiative (CBI) (see also Section L.3.2).
- Type of information:
- Stocks and movements:
    - Movement schedule to meet programme requirements.
    - Pre-positioning of material and operational stock requirements.
    - Warehouse planning: table showing location of storage facilities, capacities, planned throughput, planned stock levels.
    - Warehouse facilities and management.
  - Transport information:
    - Port operations, including handling equipment/operations.
    - Airport operations, including handling equipment/operations.
    - Table showing routes, modes, travel time, capacity, planned throughput, notes (actions to reduce bottlenecks and improve efficiency).
    - Road transport: use and management of commercial, government and other relief fleets.
    - Water transport.
    - Fuel and maintenance for transport units.
  - Distribution, monitoring and evaluation:
    - Plan and resources for implementation of distribution.
    - Plan and resources for implementing monitoring of supply chain performance.
    - Plan and resources for evaluation of supply chain.
  - Security arrangements.

Supply chain components:

- Points of origin (producing or donor countries).
- Port of entry, e.g., land, sea, air.
- Primary warehouse (near the port of entry).
- Forward warehouses (for holding).
- Terminal storage points (from which relief goods are transferred to distribution points).

Generally speaking, the transportation modes required get smaller as one moves through the supply chain, i.e., the chain will usually start with ships, trains or aircraft and then progress through big trucks with trailers or semi-trailers to smaller trucks or even four-by-four vehicles.

For a large-scale logistics operation, the following may also be needed:

- Offices and administrative equipment.
- Fleets of trucks.
- Warehouses at various levels.
- Special vehicles such as cranes, tankers and cargo-handling machines.
- Fuel and spares stores.
- Communications equipment.
- Workshops.
- Accommodations.
- Vehicle parking.
- Hazardous waste disposal facility (for engine oil, tyres, batteries, etc.).
- Vehicles for management staff.

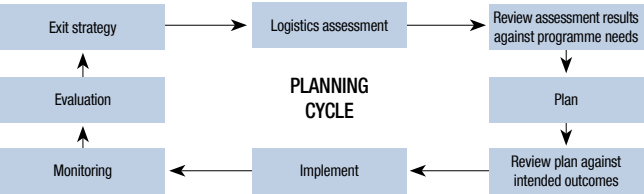


Figure P.1 Logistics planning cycle

When required, the concept of operations should include transit hubs, staging areas and other forward logistics hubs to support the distribution of relief goods. As a start, a simple map will go a long way in informing the responders on the overall plans.

Sections T.2, T.3, and T.4 provides an overview of aircraft/helicopter characteristics and aircraft loading and offloading methods.

### P.5 The Logistics Cluster

When activated, the Logistics Cluster is responsible for coordination in the logistics sector during emergency response operations, including information management and where necessary, service provision. To achieve this goal, the Logistics Cluster fills gaps in logistics capacity, meets the need for logistics coordination services and, where necessary, acts as 'provider of last resort'. Globally, the activities of the Logistics Cluster are driven by the Global Logistics Cluster Support Cell based in WFP headquarters in Rome.

The Logistics Cluster provides a unique opportunity for the humanitarian logistics community to exploit shared assets, aptitudes and competencies of the Logistics Cluster lead agency, the participating organizations and entities working within the cluster system. The Global Logistics Cluster lead's role is to facilitate these joint ventures, both at the global and field level, to ensure system-wide preparedness and technical capacity to respond to humanitarian emergencies.

When activated in emergencies, Logistics Cluster operations vary in scale from information sharing and coordination (such as infrastructure assessment, port and corridor coordination, transporters and rates, customs, equipment supplier information) to those involving common air, ocean and overland transport, storage, etc.

#### Activation

The decision to activate the Global Logistics Cluster lies primarily in the needs of the field operation.

The RC/HC, in close consultation with the HCT, is responsible for securing agreement on the establishment of appropriate sectors/clusters and sectoral groups, and for the designation of sector/cluster leads. This should be based on a clear assessment of needs and gaps, and on a mapping of response capacities, including those of the host Government, local authorities, local civil society, international humanitarian organizations and other actors, as appropriate.

When it is determined that global cluster activation is needed:

- The RC/HC informs the Emergency Relief Coordinator (ERC).
- The Global Logistics Cluster lead determines the nature of the response required.
- Country-level clusters are established with activities according to the scale/nature of need.

If activation of the Logistics Cluster is foreseen, a Logistics Response Team (LRT) might be sent to the field to assess the situation, determine whether activation of a Logistics Cluster is needed and/or what logistics support might be needed in-country. If activated, the LRT usually initiates Logistics Cluster operations. Whenever possible, the LRT and UNDAC will join forces and support each other in establishing a common picture of the situation.

The LRT can be comprised of members from different organizations, including staff from the Global Logistics Cluster Support Cell in Rome. It is important for field logisticians (and possibly UNDAC) to contact the members of the LRT, as their inputs count particularly at this stage. Sometimes, the assessment might conclude that there is no need for Logistics Cluster activities, in which case this is reported back to the RC/HC and no country level cluster is established.

UNDAC missions are dependent on sufficient support in the form of technical equipment and facilities in which to work and live.

It is equally important to know how to take care of oneself, both physically and mentally, and how to cope with the various climatic conditions which may be encountered on an UNDAC mission. This theme covers:

#### Q. ICT and technical equipment

This chapter introduces the Information and Communications Technology (ICT) and other technical equipment used during UNDAC missions, with a special emphasis on communications equipment and Global Positioning System (GPS).

#### R. Facilities

This chapter provides tips and hints for designing an OSOCC and/or a basecamp.

#### S. Personal health

This chapter includes advice on how to stay healthy on mission, procedures to follow if a medical emergency should occur, and specific considerations relating to different climates.

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A sufficient and reliable telecommunications and IT system is an important part of any UNDAC deployment, enhancing information management and of critical importance for team safety and security. In some operations, minimum standards in telecommunications must be implemented to comply with the safe operating procedures of the UN Department of Safety and Security (UNDSS).

It is, therefore, important that UNDAC members are familiar with the technical equipment available through UNDAC operational support partners' service packages (see Section B.5). Regular hands-on training and practice is also recommended.

#### Q.1 Phones and data

##### Q.1.1 Handheld satellite telephones

There are several systems for voice and data communication through satellite. The main operators are Iridium, Thuraya and Inmarsat. While there is no standard model of satellite phone used within the UN, models provided in the service packages are generally easy to use, provided some basic limitations are understood:

- Indoor coverage cannot be provided without an external antenna.
- Not all systems have full global coverage.
- It can take several minutes to connect to a network.
- There is very limited data capability.
- Bandwidth congestion is possible in large-scale emergencies.
- Use is generally expensive (at least US\$1 per minute).

##### Q.1.2 Satellite data terminals

Access to e-mail and online tools is crucial to the UNDAC team. When telecommunications infrastructure in the field is damaged or has low capacity, the use of satellite data terminals might be the only option. In the first phase of an emergency, the BGAN (Broadband Global Area Network) is widely used. This system offers both data and telephone capability. There are several models of BGAN terminals but they all operate in a similar way. Some basic knowledge is necessary to get a stable and efficient connection. It is most important to ensure that the terminal's antenna points directly towards the satellite.

### SATELLITE PHONE: STEP BY STEP



#### STEP 1:

Extend the antenna, avoid tall buildings, steep valleys and dense forests.



#### STEP 2:

Turn on the phone, if any PIN code is in use the code must be well known within the team. For Iridium, the default PIN is 1111.



#### STEP 3:

Wait for the network connection to be established. Network indicator or message will show in the display.



#### STEP 4:

Dial the number. The country code should always be included when using a satellite telephone.

Figure Q.1 Use of satellite phones

#### Procedure for operating a BGAN

The following procedure to the most common terminals – the Thrane & Thrane/Cobham Explorer models:

- 1) Connect the power and network cables (the internal battery will last for some hours but electricity must be available for charging).
- 2) Determine which direction to point the antenna, using the map below. The antenna should be pointed towards the centre of the applicable coloured circle representing the region in which the terminal is located.

In pointing the antenna, it is very important to have a clear line of sight towards the satellite. The inclination of the antenna will vary with the terminal's distance from the equator. This means that the further from the equatorial meridian the terminal is, the more difficult it

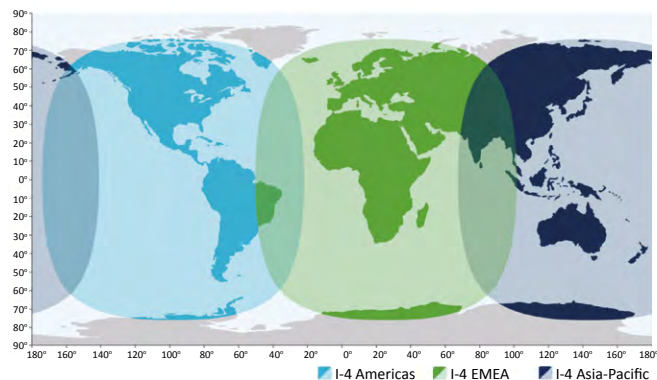


Figure Q.2 ©BGAN Satellite Coverage Inmarsat

will be to avoid obstacles like buildings and hills. This is a factor that must be taken into consideration when choosing a location for a field office or an OSOCC.

- 3) Turn the terminal on.
- 4) Fine-tune the antenna's direction/inclination using the terminal's signal-strength meter and/or pilot tone (the signal strength will ideally be above 50 dB-Hz). Confirm the signal by pressing the 'OK' button.
- 5) Securely fix the terminal/antenna in position.

The terminal will be most efficient when used outdoors but can be used indoors close to windows in some buildings. It will normally work in most tents. If the security situation permits, the terminal can be placed outdoors, e.g., on a rooftop, and cables can be run into the work place. When placed outdoors for extended periods, the terminal should be protected from dust and weather with a plastic bag or similar.

**Caution** – A safe distance of at least one (1) metre must be maintained around the front of any satellite data terminal antenna. These antennas emit radio frequency energy that might have negative health effects.

#### Capacity and bandwidth

The BGAN has a bandwidth (speed) of up to 0.5 megabits per second (Mbps). This is far less than most home or office internet connections. This bandwidth is shared among all users who are connected to the terminal. In addition, all users in the same geographical area will share the same 'spot-beam' from the satellite. These factors, along with costs of up to US\$6 per megabyte of data and up to US\$16 per minute of streaming, make it very important to adapt everyday computer working habits to save bandwidth. For example, one should not watch video, download large e-mail attachments, or use social media feeds or Skype unless it is strictly necessary to do so. Users should also turn off their computers' automatic update functions. This becomes especially important in large-scale emergencies where many actors share the same limited satellite capacity.

#### Other data connectivity options

Despite its many advantages, such as being lightweight and fairly easy to use, BGAN systems have limitations, e.g., capacity, high cost and difficulties with indoor use. Where possible, it is often better to connect to existing infrastructure, after considering stability and/or capacity. Local authorities and telecommunications providers can often assist. If deployed to a country with ongoing UN operations, UN telecommunications staff should be contacted to discuss possible solutions.

If the existing infrastructure is damaged or overloaded and it is apparent that the mission will expand, consideration should be given to requesting a VSAT (very small aperture terminal). A VSAT is a satellite data terminal intended for (semi-)permanent installation and has much higher capacity than a BGAN. The equipment is much larger than the BGAN and specially trained technical personnel are needed for installation. If needed, a VSAT should be requested from partners like the International Humanitarian Partnership (IHP) or Télécoms Sans Frontières (TSF) as early as possible.

#### Q.1.3 Personal laptops

UNDAC members commonly bring their personal computers/laptops on mission. A few things should be taken into consideration when doing so:

- Computers with English language features and keyboards are more easily accessed by mission support staff and can be used by colleagues.

- Members should have full administrator privileges on any computer they bring. Many company computers have security solutions that require passwords or software to change settings or install software. Members should ask their employer to provide local administrative access to any computer brought on mission.
- Power outages can be common in the field. Mission computers should have a healthy battery, preferably of a high-capacity type. Remember to also bring socket adaptors and ensure that the computer's power supply can handle both 110v/60Hz and 230v/50Hz voltage.
- To reduce the network load, automatic updates, e.g., Windows, antivirus software, etc., should be disabled. To keep the computer protected from harmful software, check for and install latest updates prior to leaving for the field.
- USB memory sticks are frequently used on mission. They are a common source of viruses and antivirus software should have the ability to automatically check these when inserted.

### Q.1.4 Mobile phones

Most countries have a mobile telephone infrastructure operating on the GSM standard (Global System for Mobile communications). Even within the same standard there are variations, so one should be aware that a telephone from country X might not necessarily be functional in country Y. Phones might also be locked to one operator or to a geographic area. This should be taken into consideration when bringing your mobile phone to the field.

Using a GSM subscription from your home country while abroad might be associated with very high roaming costs. This especially applies to the use of mobile data. Support staff will assist in providing local SIM cards and can also provide phones if necessary. Using a local GSM provider/SIM card will significantly reduce cost and will ease communication with local partners.

Local providers might also offer 3/4G data capability. When using smartphones on local 3/4G networks or the OSOCC WLAN (Wireless Local Area Network), it is advisable to disable automatic application updates and push notifications. This will limit data consumption and bandwidth load.

## Q.2 Radios

Radio communication systems can operate anywhere and are not dependent on existing infrastructure. They are generally used on UNDAC missions when:

- There is no functioning mobile telephone network.
- Their use is required by safety and security regulations.
- There is a desire to reach multiple users simultaneously.

### Q.2.1 Radio systems

The radios used by UNDAC, UN agencies and partners/NGOs are mostly VHF radios (Very High Frequency) with a limited range, i.e., a few kilometres. The range may be extended by the use of repeaters. Special equipment and trained staff are needed to install and maintain such a system. In some areas, HF (High Frequency) radios are used for long-range, low-cost voice communications. During an UNDAC mission, the use of HF radios is rare and satellite telephones, or other methods of telecommunication, are preferred.

### Q.2.2 General radio procedures

The following is an overview of best practices for radio communication that minimize radio time, make it more effective and reduce misinterpretation of radio messages. The UNDAC team should always follow these practices. It is important that all users of the radio system practice strict radio discipline at all times.

- Decide on the message before transmitting.
- Be clear and brief.
- Make sure no-one else is speaking before transmitting.
- Divide messages into sensible phrases with pauses where appropriate.
- Speak in a natural rhythm.
- Avoid excessive and unofficial transmissions.
- When ready to transmit, push the transmission key and wait a second before speaking. When finished transmitting wait before releasing the key.
- Use standard pronunciation and emphasize vowels. Avoid extremes of high pitch and speak in a moderately strong voice (do not shout).
- Keep a distance of about 5 cm between the microphone and your lips. Shield your microphone from background noise.
- Remember: think – push – speak.

### Q.2.3 Radio terminology

To ease common understanding and avoid errors, generally accepted terminology is used across most of the humanitarian community. For example, the International Phonetic Alphabet (Alpha, Bravo, Charlie, etc.) is used as the basis for call signs and any time that complex spellings or information must be transmitted. It is advisable that all UNDAC members are familiar with the phonetic alphabet.

When using radio communications, call signs are used instead of names. These call signs reflect the function and not the individual that you want to reach. The UN has developed a system for the allocation of call signs that is applicable worldwide. It requires minimum administration, is easy to use and uniquely defines stations and users. The system is applicable to both UN agencies and other humanitarian partners.

In addition to the phonetic alphabet and standard UN call signs, other standard procedural words (prowords) are generally used. An overview of the phonetic alphabet, the UN call sign structure, and the most common prowords and their meanings can be found in Section T.6.

## Q.3 Global Positioning System (GPS)

Obtaining correct coordinates is fundamental to the success of various UNDAC activities, including the communication of operational locations, e.g., the OSOCC, rescue sites, etc., and the collection of assessment data, e.g., camp locations, road obstructions, physical infrastructure, etc. Their coordinates can be located using devices such as a handheld GPS unit, a smartphone or a tablet/ computer with GPS capability. Some models of satellite phone can also provide GPS coordinates.

When collecting GPS information in the field, handheld GPS units are ideal because they have a long battery life and are usually more robust than other electronics. Whatever device is used, UNDAC members must be familiar with their use and should be able to display coordinates and record waypoints in the device memory. Bear in mind that smartphones may need a specialized application to be able to display, store and export coordinates. Regular mapping applications may not be suitable for this function.

GPS devices should be 'warmed up' before setting out. This will ensure an accurate satellite fix, especially in situations where the device may have been moved hundreds of kilometres since its last use. This can take several minutes, dependent on location. It will take even longer in built-up areas, valleys, etc. Such models of GPS receiver will record your position to an accuracy of around 10m, this should be noted in areas where very dense observations are being conducted.



Q.3.1 Coordinates and datums

Dedicated GPS units can display many different geographical coordinate systems, but the most common and useful ones are lat/long (latitude/longitude) and UTM (Universal Transverse Mercator).

Lat/long is the most widely understood coordinate system. Within the system, coordinates can be displayed in three different ways:

- Degrees, minutes, seconds (DMS), e.g., “31:15:30 S” (S = South)
- Decimal degrees (DD), e.g., “-31.255”
- Decimal minutes (DM), e.g., “31:15.5 S”

Note carefully that all the above latitude examples are actually the same. There are 60 minutes in a degree, so 15 minutes equals 0.25 degrees. It is also important to note that latitudes south of the equator, and longitudes west of the Greenwich (zero) meridian, usually have a minus sign when written in decimal degrees (as shown above in the second example).

UTM coordinates are used less often. They consist of X and Y components, in that order, and are sometimes preceded by the three-character UTM zone. Note that the X and Y values may be recorded as unequal numbers of digits. For example: ‘30N 154227 1845499’. The first part is the UTM zone, then the X coordinate, and finally the Y coordinate. UTM zones vary with longitude. It is essential to use the appropriate one for your location.

Geodetic systems are used to translate satellite navigation positions within the device to actual positions on the Earth. Datums are sets of values used to define a specific geodetic system. Datums can seem confusing, but in almost all cases GPS devices can be safely set to the global WGS 84 datum which is used by most smartphones and programs such as Google Earth. When exchanging data, it is key to note what datum the data was collected in to ensure it is properly handled.

Both GPS and satellite phones work best outside with an unobstructed view of the sky.

Q.3.2 Waypoints and tracks

A waypoint (or just point) is a single place recorded in the GPS device, either before the trip (for navigation) or to capture the coordinates of places during the trip, e.g., a bridge, water-well or camp. When recording waypoints into a GPS device, be sure to record a textual record of the information related to the waypoint. For example, ‘WP24 - temporary warehouse’ or ‘WP25 - road washout – passable by 4x4 vehicles’. Recording the waypoint details on paper is usually more practical than trying to input text into an electronic device in the field.

Some GPS devices allow a tracklog, or just track, to be recorded in the background as you move. The track file can then be downloaded onto a computer and displayed on a map using Google Earth or GIS (Geospatial Information Services) software. If using track logging, work out how to switch the tracking on and off before going on a trip. Some GPS units have tracks permanently on, with the oldest track points being continually over-written.

When back from a trip, download and save the waypoints and track coordinate files from the GPS so that the device can be used again on another task. Pass the files, together with the associated paper records (i.e., the waypoint details) to the GIS team who can map the data to build up the operational picture for all.

R. FACILITIES

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R.1 Designing an OSOCC facility

The location of the OSOCC will, to some extent, depend on the situation. In an earthquake, the OSOCC is best situated close to the site of the disaster, but in a widespread flood situation it might be best to find an easily accessible location just outside the affected area.

If a building is chosen for an OSOCC, it should be structurally sound and not damaged during the emergency. Ideally, there will be several separate rooms to use as offices. There should be a general area for receiving and registering visitors, preferably providing a welcoming ambience, e.g., a coffee area/machine. There should also be a general situation room with tables and chairs sufficient for meetings of 12-15 people (larger, if possible). There should be some private offices where confidential discussions may take place. The building should be large enough to accommodate the co-location of staff from the Government and other agencies that wish to operate within the OSOCC structure. Communications equipment should be in a secure communications room. Office equipment, e.g., photocopiers, printers, should be accessible but not in general meeting space areas.

Constructing the OSOCC using several tents is often the best solution. Designing the OSOCC to maximize its purpose as a service provider requires that tents are set up in a way that considers both crowd management and proximity of functions and OSOCC cells.

- The OSOCC Reception Area should be located so it is easily visible from a distance, clearly marked with flags. Furthermore, it should be designed to serve a large number of people without coming into conflict with other OSOCC cells.
- Components of the IM (Information Management) Cell may often want to be close to, or co-located with, the Reception Area and its clients, e.g., MapAction may want to be in a position where they can easily serve clients with map requests.
- Meeting areas/tents may be located in the vicinity of the OSOCC Reception Area but outside of the OSOCC. This may facilitate both external and internal meetings, e.g., cluster and team meetings.
- OSOCC Management may want to be centrally located to easily attend to all cells throughout the working-day.
- Analysis and reporting functions may prefer to be in a more private area to facilitate the focus needed for this kind of work.
- Administrative and internal logistical functions rarely need to be in close contact with OSOCC clients.

- If the OSOCC also includes accommodation areas for its staff, these tents should be secluded and not accessible to the public.

In large-scale emergencies it is important to think big from the start. The OSOCC may need to provide office space and service areas for a large number of people as OCHA surge capacity and other international organizations needing space in the OSOCC start to deploy. It is usually better to plan for more space than originally thought and not end up with just a limited area at your disposal.

The base camp checklists below may also be used when designing an OSOCC as many of the considerations are applicable for both types of tented environments.

## **R.2 Base camp**

In large-scale emergencies, a camp for accommodation and offices for UN agencies may be requested. These camps provide facilities such as sleeping area, offices, kitchen, showers, etc., and the infrastructure needed for running such a camp.

To establish a large base camp is challenging in terms of logistics and is resource-demanding. When the need for a basecamp is decided, the request should be sent as soon as possible to enable the provider to start preparations. Providers, such as the International Humanitarian Partnership (IHP), will always try to send a reconnaissance/liaison team to prepare for the basecamp.

The UNDAC team may be tasked with finding and selecting the site for such a camp and several considerations must be taken into account before making the final decision. Once the decision has been made, a contract for the use of the site should be secured before the camp module arrives.

### **R.2.1 Site selection checklist**

The first two questions to ask are:

- How many people will need office space?
- How many people will need accommodation and meals?

### **Area requirements**

A minimum 1000 m<sup>2</sup> is required for the core of the camp. This area will later be used for common facilities. To that one adds 15 m<sup>2</sup> per accommodated person, 10 m<sup>2</sup> per office space, and 15 m<sup>2</sup> per vehicle. For example, a camp for 25 persons, with office space for 10 and parking for 10 vehicles will need 1575 m<sup>2</sup>.

### **Surface**

The flatter the better. Well-drained with the possibility to dig trenches.

- **Gravel** – When building the camp on grass or sand/soil, the tents will need a base of gravel underneath to prevent decomposition of the soil and a foul smell in the camp. Locate a place nearby where gravel can be procured and transported to the camp site.
- **Hard stand** – The team will come with several vehicles; other UN agencies will also have vehicles. Ideally a hard stand for 30 vehicles should be provided within the compound.

## **Security**

The area should be easily secured to keep out unwanted visitors. Hazards within the compound should also be considered and the basecamp should be compliant with the standards defined by the UN Department for Safety and Security (UNDSS).

## **Telecommunications**

Avoid tall buildings and steep hills, especially in the direction(s) needed for satellite communications. Consult ICT staff and assess the possibility of connecting to any existing landline (copper/fibreoptic).

## **Traffic flow**

Consider how vehicles will enter and exit the compound. Minimize turning areas and allow for heavy trucks (especially during set-up).

## **Crowd management**

Apart from the people living in the compound, consider who else will be visiting. Try and design the layout to allow visitors access to the office/work areas of the compound without having to go through the accommodation areas.

## **Electricity**

Large generators will be brought to the site. Position these as far away as possible from sleeping and working areas but allow for easy refuelling. Assess the possibility of connecting to any existing electricity grid.

## **Toilets**

Temporary or chemical toilets may be used. Assess the possibility of connecting the camp to any existing sewage system. Disposal of waste should be considered.

## **Water supply**

Does the site have access to a water source? A small water treatment facility comes with a standard IHP service package. Allow for truck access to top-up the water supply if no other source is available.

## **Helipad**

If possible, provide for a helipad with clear access and egress, both on the ground and for take-off and landing.

## **Normality**

Consider how the space may be used when things start returning to normal and if it will serve another purpose, e.g., school grounds, sports arena, public park, etc. Try to have minimal impact to enable a speedy return to normal conditions.

## **R.2.2 Camp construction**

The reconnaissance/liaison team will take account of the various considerations and make adaptations to best suit the equipment and site chosen. Establish a point of contact, preferably with the Support Team Leader, and liaise with this person on a regular basis.

## **Time**

Camps are not erected overnight and a camp for 80-90 staff will take up to two weeks to be fully operational. Parts of the camp may be used before fully operational.

**Unloading**

In total, approximately seven truckloads of equipment will be delivered and unloaded. Ideally, these should be unloaded on to hard stand immediately adjacent to the construction area. A forklift will be used and, if on grass, it can very quickly turn to mud and become quite rutted. Allow approximately 180m2 for the unloaded equipment prior to camp construction, not including vehicles. The hard stand may be used for vehicle parking once camp construction is completed if this meets with security requirements.

**Food**

This will be delivered in bulk and will easily fill a standard garage (over and above the space required for unloading). Ideally, there should be a lock-up area to secure food and water, preferably the size of a two-car garage.

**Other considerations**

- Daily coordination meetings may have up to 100 people present for each meeting.
- Consider temperature and rain – 30 people on the floor of a hot tent in the pouring rain is not recommended.
- The compound may have guards who will require shelter from the sun and rain.
- Consider the evacuation plan for the compound. Under what conditions will it be activated and by who?
- Map the site and share the address and GPS coordinates with the agencies that need to know.

**S. PERSONAL HEALTH**

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**S.1 Staying healthy on mission**

UNDAC missions may be both physically and emotionally challenging. Operating on mission often entails long workdays with minimal opportunities for sleep and rest. The situation changes constantly, and the mind has to work at full speed to keep on top of things. There may be few, if any, sanitary facilities and team members may not have regular access to toilets or showers. Accommodation may be a small tent on the ground and food may come in the form of field rations. Altogether, the conditions may be demanding for the mind and body. Team members must be prepared for hardship and know how to cope.

When deploying to an emergency, one is more exposed to communicable diseases due to the sudden change in climate, food and workload. The body's natural defence mechanisms may not cope with this change and this may make one more vulnerable to diseases. Minor infections that are easily curable may have more dire consequences and even the smallest symptom of sickness should be taken seriously.

**S.1.1 Pre-deployment**

UNDAC members should be in good physical shape and fit to meet any challenge one may encounter on an emergency response mission. They should have regular health screenings/ check-ups to ensure that they remain in the best of health. Such screenings enable the early detection of medical problems which can then be managed effectively. The health screenings should include, but not be limited to:

- General medical examination, with blood and urine tests.
- Chest X-ray and electrocardiogram (ECG/EKG).
- Dental exam.
- Eye exam.
- Breast examination and Pap test, as applicable.
- Ensuring all vaccinations are up-to-date (see Section C.2.1).

Having proper clothing is also important to keeping healthy on mission. This includes carrying waterproof gear (consider applying commercially available waterproofing coatings) and footwear suited to the climate. As UNDAC mission conditions can change quickly and unexpectedly, be sure to pack all kit, even if initially deployed to a hotel. Items such as

mosquito nets, water purification equipment and a warm sleeping bag can prevent a variety of health issues. See also Section S.5 for what to consider in different climatic zones.

### **S.1.2 During the mission**

During the first days in a different country, the newcomer – unused to the conditions of life and climate – is likely to have a lower resistance to disease and illness. Measures as simple as getting rest, maintaining a healthy diet, avoiding contaminated water, following proper hygiene guidelines and monitoring one's environment for hazards, can help ensure good health while on mission.

#### **Rest**

Even though on most UNDAC missions there is rarely enough time for rest, it is important that one take as much time as possible to sleep and relax on a regular basis, even if it is just for a couple of hours. Remember that a sick team member is a liability and not an asset.

#### **Diet**

This should be well balanced. Heavy meals should be avoided and alcoholic drinks either excluded or consumed in moderate quantities, only in the evenings. Plenty of liquid should be consumed to compensate for perspiration losses and it may be necessary to increase salt intake in the case of profuse sweating. Amoebic dysentery and other enteric infections, often widespread in tropical regions, are transmitted by foods eaten raw or contaminated by dirty hands or unclean water. This causes acute or chronic digestive troubles which may be prevented by taking simple hygiene precautions.

#### **Hygiene**

During a mission there are several measures that should be taken to avoid exposure to possible infections. The most common way of contracting disease comes from poor sanitation and hygiene. Therefore, one should be extremely cautious and conduct regular hand-washing, particularly before meals. Water used for oral and dental hygiene should be purified or boiled beforehand.

Unless provided with reliable assurances that water is safe, swimming or bathing in lakes, rivers, etc., should be avoided at all times as it may lead to a variety of undesirable consequences, such as Schistosomiasis (also known as Bilharziosis or snail fever) which is one of many parasitic diseases found in contaminated water in many parts of the world.

#### **Protection against insects**

Certain insects, and particularly certain mosquitoes, may transmit infections such as malaria. When mosquitoes are numerous in an area where malaria is endemic, all exposed areas of the skin should be treated with mosquito repellent to prevent bites which, besides being painful, are also dangerous. In addition, it is useful to wear clothing that covers the arms and legs in the evening.

It should be remembered that mosquito nets only provide protection under certain conditions: material sufficiently finely meshed, folded correctly during the day and the net properly closed at night so that insects cannot get in. Inside buildings, insects should be destroyed by spraying with an insecticide. Sprays made from products with a pyrethrum base destroy rapidly but their action is short-lived.

#### **Hazardous materials (Hazmat)**

Environmental emergencies can be potentially dangerous and must be handled by trained experts. Hazmat incidents, in particular, should be treated very carefully and the following guidance complied with:

- Leave the area immediately.
- Do not walk into or touch spilled materials.

- Stay away from fumes, smoke and vapour. Remain upwind even if there is no smell.
- Be aware of changing weather conditions and changing wind directions. Note the wind speed, direction, type of precipitation, temperature and cloud cover.
- Do not operate radios, mobile phones or other electronic devices within a distance of 500 metres.
- Notify local emergency officials or community leaders of the situation so that they may isolate the scene.

When faced with a potential hazmat situation, consider the following information related to weather:

- On a warm day, chemical substances will tend to evaporate more quickly than on a cold day.
- High winds will disperse gases, vapours and powders.
- Precipitation may be problematic if a weather-reactive substance is released. On the other hand, precipitation may be a benefit as it may slow down the dispersion of airborne materials and reduce the area of impact.

Remember, the role of UNDAC team members without environmental expertise is to identify whether there is an existing or potential acute environmental risk and to inform local and/or international authorities. Attempts to solve the problem without appropriate technical knowledge and protective measures can put yourself and/or the entire UNDAC team at risk. Depending on the situation and urgency, additional expertise can be requested through the UN Environment/OCHA Joint Unit.

### **S.1.3 After the mission**

UNDAC members should seek medical consultation and treatment promptly if they have signs of any illness or injury following the mission. Of particular concern is persistent fever, cough or abdominal upset with diarrhoea, as these may be due to a disease contracted during the deployment.

Any medications started prior to or during the mission should be continued until the prescription is complete or as indicated by the manufacturer of the medication. This information may be found in the packaging of the medication and applies especially to anti-malarial drugs.

Members should update their individual health records if they develop any illness following deployment with UNDAC. They should also advise OCHA which may then alert other UNDAC members to be aware of a potential health threat in the deployment location or the local health authorities at the deployment site.

## **S.2 Food and water**

One of the main reasons for travellers becoming ill is eating and drinking without taking into consideration some simple rules. The risk of contamination from foodborne and waterborne illnesses is often even greater following a disaster. Following the advice in the sections below may spare UNDAC members a considerable amount of short-term annoyance and could prevent serious long-term diseases.

### **S.2.1 Food**

The following recommendations for avoiding foodborne illness apply to all situations, from street vendors to the finest hotel restaurants:

- Cooked food that has been held at room temperature for several hours constitutes one of the greatest risks of foodborne illness. Make sure your food has been thoroughly cooked and is still hot when served.

- Avoid any uncooked food, apart from fruits and vegetables that can be peeled or shelled (but avoid fruits with damaged skin). Remember; 'cook it, peel it or leave it'.
- Ice cream from unreliable sources is frequently contaminated and may cause illness. If in doubt, avoid it.
- In some countries, certain species of fish and shellfish may contain poisonous bio-toxins even when they are well cooked. Local people can advise you about this.

### S.2.2 Water

When travelling - if you have any doubt - all water should be perceived as being contaminated. Again, as in the case of food, it is vital to follow some simple rules to prevent diseases caused by unclean water:

- When the safety of drinking water is doubtful, boil it or disinfect it with reliable, slow-release, disinfectant tablets. These are generally available in pharmacies.
- Avoid ice unless you are sure that it is made from safe water. Be aware that ice from apparently clean sources, e.g., hotel ice machines, is not always safe.
- Beverages, such as hot tea or coffee, wine, beer, and carbonated soft drinks or fruit juices which are either bottled or otherwise packaged, are usually safe to drink.
- Unpasteurized milk should be boiled before consumption.
- It is possible to buy bottled clean water in most places. It is recommended that water be purchased and used whenever possible, even for brushing teeth.
- Remember that water filters designed for household use may not remove all contaminants that can cause illness. Boiling may still be required if using such a filter.

### S.2.3 Managing diarrhoea

Diarrhoea is the most common health problem encountered during field missions. To avoid diarrhoea, ensure that hand washing and hygiene is given attention, and that the source of water consumed is safe. Most diarrhoeal attacks are viral in origin, are self-limiting and clear up in a few days. It is important to avoid becoming dehydrated. As soon as diarrhoea starts, drink more fluids, such as bottled, boiled or treated water, or weak tea. Fruit juice (diluted with safe water) or soup may also be taken. Dairy products should be avoided as they can sometimes aggravate diarrhoea.

When diarrhoea is severe, the body loses water, salts (especially sodium and potassium), water-soluble vitamins and other important trace minerals. To replenish some of these losses, as well as restore energy, the following mix has proven successful in UNDAC missions:

- Water.
- ORS (oral rehydration salts/solution) in the correct dilution.
- High doses of effervescent Vitamin C, i.e., a minimum 1000 mg, provided there is no history of gastritis, and multivitamins with B-Complex.
- Calcium (600-1000 mg).

One should try to drink as much of this mix as possible during the duration of the diarrhoea. It is recommended that at least three litres of liquid be consumed within the first three hours after the onset of diarrhoea. Fluids should then continue until symptoms are relieved. At all times, regular diet should continue. When using ORS, adults may generally consume an unlimited amount and it is advised to begin use if diarrhoea continues for more than one day.

The best indicator that the fluid intake in a diarrhoeal state is sufficient is when there is adequate diuresis, i.e., good amounts of urine are produced at an average of 60 ml per hour. Watch out for signs of severe dehydration and electrolyte (salt and water) imbalance, such as poor urinary output, cramps in legs, and dizziness/fainting spells.

Activated charcoal tablets may be consumed to reduce irritation and absorb some of the possible toxins in the gastrointestinal tract. Anti-diarrhoeals should not be used routinely and medical assessment is recommended in severe diarrhoea, but fluid intake must be adequate.

Seek medical help if there are any blood diarrheal stools or accompanying fever and vomiting. Diarrhoea that lasts for more than three days also requires medical attention. When there is no medical help available and there is blood in the stool, a five-day course of Cotrimoxazole may be taken. Metronidazole (Flagyl) is also a useful drug to be taken over five to seven days to treat possible parasitic infection. Do not consume alcohol when on antibiotics as this may cause complications and/or reactions.

### S.3 Managing mission stress

Working in emergency relief environments will expose UNDAC members to a number of situations and conditions that create stress and may lead to a stress reaction. Situations that are found to be stressful for one individual might not be stressful for another. In addition, the type of reaction can vary significantly from one person to another.

Not all stress is bad. The pressures in the disaster environment can be helpful as they tend to focus attention, increase concentration, mobilize energy and consolidate the will to achieve. However, failure to cope effectively with stress may cause a decline in capacity, a decrease in productivity and can prove detrimental to team functioning. Therefore, it is important that the team acknowledge, and are prepared to deal with, stress and its consequences from the very beginning of the mission.

There are two types of stress one should be aware of when working in disasters:

- **Cumulative stress** – Stress that is built up over time by the normal conditions of a disaster mission and which, if not dealt with, can gradually lead an individual to perform less effectively. Some form of stress while on mission is inevitable and failure to address cumulative stress may lead to burn-out.
- **Critical incident stress** – Stress caused by experiencing one or more traumatic incidents. This type of stress may lead to mental and physical health problems that cannot be dealt with at the mission level.

#### S.3.1 Cumulative stress

This type of stress develops in the complex, unnatural and often exhausting situation of a mission. It is important to know the causes, recognize the signs and apply coping strategies to avoid more serious health implications associated with stress.

#### *Possible causes of cumulative stress*

The following are potential causes of cumulative stress:

- Problems associated with meeting basic human needs, e.g., housing discomforts, lack of privacy, a lack of quality food or little variety, water shortages, etc.
- Travel delays.
- Lack of safety and security/health hazards.
- Immobility, inactivity, lack of exercise.
- Problems at home or missing family and friends.
- Witnessing violence/tragedy/trauma.
- Inability to make a difference/no progress/apathy amongst responders or survivors.
- Noisy/chaotic environment.
- Malfunctioning equipment.
- Insufficient rest/relaxation periods.
- Unclear/constantly shifting tasks, unrealistic expectations (self or others).

- Media attention.
- Non-recognition of work/hostility to efforts.
- Pressure to achieve.
- Unsupportive or difficult colleagues, superiors.
- Anxiety about the mission, accomplishments, responsibilities, knowledge and skills.
- Lack of resources, limited control of situation.
- Cultural/language differences.
- Murphy's Law, i.e., 'anything that can go wrong, will go wrong'.
- Perfectionist attitude, i.e., not being able to accept a 'good-enough' solution or outcome but striving for perfection in an environment/context where flawless achievements are highly unlikely and/or unattainable.

**Indicators of cumulative stress**

It is important to know about, and therefore be able to recognize, indicators of cumulative stress that might occur. It is not only vital to recognize them within yourself, but also in your colleagues.

The indicators may include some of the following:

- Inability to make decisions and seemingly paralyzed by choice.
- Narrowing of attention/impaired judgment/loss of perspective.
- Disorientation, forgetfulness.
- Impatience or verbal aggression/overly-critical.
- Anger/rage.
- Inappropriate, purposeless, or even destructive behaviour.
- Over-activity.
- Sleep disorders.
- Susceptibility to viruses/psychosomatic complaints.
- Hyper-emotions, e.g., grief, elation, mood swings.
- Physical tension, headaches.
- Substance abuse.
- Eating disorders, e.g., lack of appetite, eating too much.
- Diarrhoea.
- Lack of energy, interest, enthusiasm, feeling fatigued.
- Withdrawal/depression/loss of sense of humour.
- Inability to perform.
- Questioning basic beliefs/values/cynicism.

**Coping with cumulative stress**

Experience has shown that knowledge (especially through training) about cumulative stress, awareness of the early-onset indicators, and prompt action to establish coping systems has a positive effect on reducing cumulative stress and in avoiding burnout. It is normal to experience cumulative stress during a disaster operation and most reactions to stress are considered normal behaviours. Cumulative stress can be identified and managed.

The following are some ways to minimize cumulative stress during a disaster operation:

- Know your limitations, manage your expectations and accept the situation.
- Get rest, relaxation, sleep and exercise.
- Eat regularly.
- Change tasks and roles.
- Identify and act on the source of stress.

- Take time off.
- Keep calm and carry on.
- Create personal semi-private space.
- Control substance abuse.
- Talk/laugh/cry with your colleagues.
- Practice prayer, meditation or progressive relaxation.
- Pamper yourself: read, sing, dance, write, listen to or play music, work on a hobby, cook a meal, etc.
- Participate in social activities unrelated to the mission.

**S.3.2 Critical incident stress**

Critical incident stress is caused by sudden traumatic incidents outside the range of normal experiences. These might include:

- Witnessing casualties and destruction.
- Serious injury to self or injury/death of a relative, co-worker or friend.
- Experiencing events that are life threatening.
- Experiencing events that cause extreme physical or emotional loss.

**Indicators of critical incident stress**

Indicators of critical incident stress may be separated into immediate and delayed reactions.

The following list is not conclusive, but presents some of the most common symptoms:

Immediate	Delayed
<ul style="list-style-type: none"><li>• Nausea, sweating/chills</li><li>• Dizziness</li><li>• Hyperventilation</li><li>• Confusion</li><li>• Decision-making/problem-solving difficulty</li><li>• Memory loss</li><li>• Fear/anxiety/anger</li><li>• Irritability/guilt/grief/hopelessness</li><li>• Lack of perception</li><li>• Irrational activities</li></ul>	<ul style="list-style-type: none"><li>• Fatigue</li><li>• Jumpiness</li><li>• Substance abuse</li><li>• Sleep disorders</li><li>• Decreased attention</li><li>• Difficulty concentrating</li><li>• Memory problems</li><li>• Flashbacks</li><li>• Depression/withdrawal</li><li>• Resentment/numbness</li></ul>

**Coping with critical incident stress**

In the case of a traumatic event, two main types of intervention (Defusing and Psychological First Aid) can be applied by non-mental health professionals and utilized to help people express emotions and normalize their stress responses.

**Defusing**

Defusing is aimed at assisting staff members who have been exposed to a traumatic event as a group and who are currently in control of their emotions. No one should be forced to talk about an event that has just occurred and up to a few hours post-incident. Goals for the discussion should be:

- To provide information about the incident.
- To share perceptions and stress reactions.
- To reinforce mutual support and dispel feelings of uniqueness.
- To determine colleagues in need of follow-up services.



Defusing has three main parts which are linked to each other in the form of a 'free-flowing conversation' regarding the traumatic event.

- **Introduction phase** – Usually takes 5 to 10 minutes and allows for the intervention team members to be introduced, the process to be explained and expectations of the session to be established.
- **Exploration phase** – Usually takes 10 to 30 minutes and is a time which allows for the traumatic experiences to be discussed. This will happen through the participants' disclosure of the facts of the incident, sharing their cognitive and emotional reactions to the event. It is also important in the exploration phase for the affected parties to identify any symptoms that they have experienced since the traumatic event.
- **Information phase** – Should take 5 to 15 minutes and seeks to cognitively educate the participants about traumatic stress.

The steps in a defusing do not necessarily need to follow one another in the sequence described above. Rather, the flow needs to be natural and meet the needs of the staff members.




Please note that the term 'defusing' should not be confused with 'psychological debriefing'. Psychological debriefing is done by mental health professionals, although there are dissenting views amongst psychologists regarding its effectiveness.

### Psychological First Aid

Psychological First Aid is humane, supportive and practical assistance provided to fellow human beings who have recently suffered exposure to serious stressors. It involves:

- Non-intrusive, practical care and support.
- Assessing needs and concerns.
- Helping people to address basic needs (food, water).
- Listening, but not pressuring people to talk.
- Comforting people and helping them to feel calm.
- Helping people connect to information, services and social supports.
- Protecting people from further harm.

It is not something only professionals can do, and it should not be considered professional counselling. The action principles of Psychological First Aid are:

<b>Prepare</b>	<ul style="list-style-type: none"> <li>• Learn about the crisis event</li> <li>• Learn about available services and support</li> <li>• Learn about safety and security concerns</li> </ul>
<b>Look</b> 	<ul style="list-style-type: none"> <li>• Be observant of safety concerns</li> <li>• Be observant of people with obvious and urgent needs</li> <li>• Be observant of people with serious distress reactions</li> </ul>
<b>Listen</b> 	<ul style="list-style-type: none"> <li>• Make contact with people who may need support</li> <li>• Ask about people's needs and concerns</li> <li>• Listen to people and help them feel calm</li> </ul>
<b>Link</b> 	<ul style="list-style-type: none"> <li>• Help people address basic needs and access services</li> <li>• Help people cope with problems</li> <li>• Give information</li> <li>• Connect people with loved ones and social support</li> </ul>

Note that members of the team exposed to a serious traumatic event and facing challenges to cope should be referred to a mental health specialist.

### S.4 Medical emergencies and first aid

This section contains very basic information on medical emergencies and first aid. Most field medical situations encountered are not immediately life-threatening. The few that are can generally be addressed by anyone with basic first aid skills and a rational approach that includes a calm and thoughtful manner. Panic may cause or contribute to a 'shock' response in the patient and cause others to act irrationally as well. When confronted by a medical emergency, the first step is to determine whether assistance can be safely and effectively provided. Do not move the patient unless essential – either for your safety or that of the patient.

The instructions below are not intended to be a replacement for first aid training. All UNDAC members are encouraged to obtain and maintain certification in first aid and cardiopulmonary resuscitation (CPR). Take steps, known as 'standard precautions', to protect yourself before attempting to treat the patient. Use surgical gloves if available. It is also strongly advised to use a barrier device for CPR if giving mouth-to-mouth resuscitation. More information on standard precautions is available from the World Health Organization (WHO) website: [http://www.who.int/csr/resources/publications/EPR\\_AM2\\_E7.pdf?ua=1](http://www.who.int/csr/resources/publications/EPR_AM2_E7.pdf?ua=1).

#### The initial ABCs of medical emergencies/first aid

The basic steps in assessing the patient and initiating treatment are as follows:

- **Airways** – Open and maintain an adequate airway.
- **Breathing** – Check for breathing by listening at the mouth and watching the rise of the chest.
- **Circulation** – Check for circulation by feeling for a pulse at the wrist, ankle or throat.

#### Choking and cardiopulmonary resuscitation (CPR)

The patient will be unable to speak or breathe effectively if their airway is obstructed. If they are coughing or gasping strongly for air, leave them alone. If they are unable to speak, trying to clear their throat or coughing weakly, stay with them and carefully monitor their breathing. If the patient is unable to speak and puts their hands around their throat, act promptly as this is the universal sign for choking. In a fully unconscious person, if professional help is not available, the airway can be cleared using a 'finger sweep' by reaching into the back of the throat to remove a visible object, being careful not to push the object in further. If unable to clear the blockage but the patient has not resumed breathing, perform CPR as follows:

- 1) **Position the patient** – Lay the patient on their back. Kneel and position yourself at a right angle to the patient's body, with your knees perpendicular to the patient's neck and shoulders.
- 2) **Head tilt/chin lift** – Position your palm on the person's forehead and gently push backward, placing the second and third fingers of your other hand along the side of their jaw, tilting the head and lifting the chin forward to open the airway.
- 3) **Modified jaw thrust** – If you suspect a neck injury, a modified jaw thrust (without the head tilt) may be used. This is done by placing your hands on each side of the patient's face, your thumbs on the cheekbones (but not pushing) and pulling the jaw forward with your index fingers. Again, examine the mouth for foreign objects.
- 4) **Check for breathing again** – Put your ear directly over the patient's mouth to listen and feel for air being exhaled. Look at the patient's chest to see if it is rising or falling.
- 5) **Mouth-to-mouth resuscitation** – Position yourself at a right angle to the patient's shoulder. Use the head tilt/chin lift manoeuvre and pinch the patient's nose closed

using your thumb and forefinger. Open your mouth wide and place it tightly over the patient's mouth. Exhale into the patient just enough to see the chest rise.

- 6) **Check for a pulse** – After you have delivered two breaths into the patient, check for a pulse using two fingers just to the side of the throat. If the patient has a pulse, but is not breathing, continue mouth-to-mouth resuscitation, using the same technique of big breaths every five seconds (12 times per minute). Remove your mouth between breaths. Continue to check for signs of breathing and watch for chest movement.
- 7) **Continue breathing for the patient** – You must continue to give the patient oxygen through mouth-to-mouth resuscitation. Give two breaths. Repeat with 30 new chest compressions.
- 8) **Alternate pumping and breathing** – Pump the patient's chest 30 times and then breathe for them twice. Count aloud to establish rhythm. Check the pulse and breathing after four cycles. Continue until help arrives, if possible.
- 9) **Performing CPR on a child** – The procedure is essentially the same, but you use only one hand for chest compressions and pump the child's chest five times. You then breathe for the child once, more gently than you breathe for an adult.
- 10) **Two-person CPR** – One person provides breathing assistance while the other pumps the heart. Pump the heart at a rate of 80 to 100 beats per minute. After each 30 compressions, a pause in pumping is allowed for 2 breaths to be given by the other person.

### **Shock**

The most commonly encountered form of shock in the field is traumatic shock, induced by injury. If left untreated, it may result in death. Always monitor for signs of shock and routinely treat for it in cases of severe injury. In this case, cover them with a blanket or other thermal cover and monitor their ABCs. In case there is bleeding, it is very important to use sterile gauze and apply pressure directly over the wound. When the bleeding stops, tape or otherwise secure the gauze in place. Immediately removing the gauze may cause the bleeding to restart. If unable to control the bleeding in any other way and professional help is many hours away, apply a tourniquet to the affected extremity. There is a substantial risk of losing the extremity, particularly if professional attention is not immediately available. This is a last resort.

### **Burns**

Burns may be of three basic types: chemical, electrical, and thermal. The treatment for each is different, but in every case treatment for traumatic shock should be part of the approach.

#### **Chemical burns**

These may arise from inadvertent spills when handling chemicals, coming into contact with improperly disposed of chemicals and chemical waste, or from chemical warfare agents. To decrease risk of exposure, responders should have access to information on industrial facilities in the area, be observant of their surroundings (containers, tanks, fuel stations, storage) and associated risks, know the location of nearby hospitals and treatment facilities, have access to personal protective equipment and not hesitate to request advice from local authorities or health service providers.

Do not approach damaged facilities or touch unknown chemicals without the appropriate expertise and personal protective equipment (gloves, suits, boots, mask, etc.). Always request advice from fire or health services on different types of protective equipment and how to use it.

If exposed to chemicals, take the following steps:

- Remove contaminated clothing and isolate by placing in a closable container, e.g., a large plastic bag. Avoid pulling clothing over your head – cut the clothes off if necessary.

- Wash yourself with soap (preferably liquid soap) and tepid water, or with water alone. Rinse skin with copious amounts of water for at least 20 minutes.
- Rinse eyes with water.
- Seek medical attention if needed, i.e., in case of large burns, poisoning symptoms (being sick, drowsiness, headaches, fever, seizures) or contact with an unknown chemical.
- In case of ingestion, do not induce vomiting. Call a poison centre and/or seek medical assistance.

If a chemical release is suspected, take the following steps:

- If inside a building or a closed space, find clean air quickly by exiting the building without passing through the contaminated area or by breaking a window.
- If outdoors, avoid any obvious plume or vapour cloud. Cover your mouth and nose and, if possible, any exposed skin, i.e., roll down sleeves, button up coat/jacket. Move away from the source the fastest way possible, preferably by moving crosswind or upwind. Contact the authorities and your team immediately to report the incident and receive additional instructions.

Nuclear and radiological emergencies range from power plant accidents to small incidents with radiological materials. For these, the operators of these facilities, together with local and national authorities, have the primary responsibility for emergency response. Possible international assistance in the case of such incidents is coordinated through the International Atomic Energy Agency (IAEA).

#### **Electrical burns**

These usually stem from electrical shock. Before approaching the patient, be certain that no further risk of injury is present. If the patient is still in contact with the electrical source and you know it is low voltage, you may move the wire or the patient to a safe position with a dry pole or rope. If the wire is of unknown or high voltage, seek professional help to shut off the power or move the wire. Attempting to move wires yourself is dangerous and should not be done.

- As soon as it is safe to do so, check the patient's ABCs and continue to monitor them. Patients with electrical burns often suffer cardiac or respiratory arrest.
- If there are evident burns, cover them loosely with sterile dressings.
- Seek professional help in treating the burns. Do not apply burn creams or ointments.

#### **Thermal burns**

These range from mild sunburn to the severe burns associated with open flames, heated metal and scalding water. Thermal burns are categorized by degree; first, second and third-degree burn.

- First degree burns are superficial and can typically be treated without seeking professional help, by applying cool running water or wet compresses as soon as possible until the pain subsides on the minor injury.
- Second degree burns, also referred to as partial thickness burns, are more serious than superficial burns because a deeper layer of skin is burned. Apply sterile water for 15-30 minutes and cover with a dry, sterile bandage. Treat the patient for traumatic shock seek professional help.
- Third degree burns, also known as full thickness burns, have a dense white, waxy or even charred appearance. Treat for traumatic shock and cover the burned area with a sterile non-adhesive dressing. Elevate the burned area and seek professional help immediately.

**Fractures (broken bones)**

Usually the patient will know if they have broken a bone. The symptoms are bruising around the fracture site, localized pain, deformity and swelling. In treating a fracture, the objective is immobilization of the ends of the broken bone. Immobilize any fracture before moving the patient. This is especially important in the case of known or suspected spinal injury. When splinting a fracture, immobilize the adjacent joints as well as the fracture site. After splinting is completed and on a continuing basis until professionally treated, check circulation in the affected extremities. In the case of an open fracture (when the bone breaks the surface of the skin), the bleeding will most likely need to be controlled using pressure points instead of applying direct pressure. Treat for shock routinely in fractures of major bones and open fractures, while continuing to monitor for the onset of traumatic shock symptoms. Open (compound) fractures require immediate medical attention.

**Frostbite**

Frostbitten tissue will feel cold to the touch and be either numb or painful to the patient. An early sign will be whitening of the skin which may be treated by holding a warm part of the body on the cold part. In extreme cases, the tissue will turn white and harden. To treat, gently warm the affected areas in a heated space, using lukewarm water where it is possible to immerse the affected area. Give the patient warm fluids and be alert to signs of shock. Re-warming the tissue too rapid will cause circulatory problems and possibly worsen the tissue damage. Prevent injured fingers, toes, etc., from rubbing against each other by placing gauze pads between them. Seek medical attention for all but mild cases, as there is risk of septicaemia and gangrene in more severe cases.

**Hypothermia**

The patient will shiver in the early stages of hypothermia, but once the body core temperature goes below about 32°C (90°F), shivering may stop. The patient will be uncoordinated and may demonstrate mental confusion, slurred speech and irrational behaviour. Merely bringing the patient into a warm space will not reverse severe cases. Remove any wet or constricting clothing, place the patient in a pre-warmed bed or sleeping bag and add water bottles of warm (not hot) water around the torso. If warm water is not available, use one or more warm, dry people in the sleeping bag or bed together with the patient to provide heat. If the patient is sufficiently conscious to protect their airway, give them warm (38-45°C/100-115°F) fluids such as lemonade. This provides readily absorbed fuel (sugar) and a means to provide heat to the body core.

**Heat exhaustion**

The patient usually sweats profusely, feels clammy to the touch, may complain of a headache or nausea and may be disoriented and feel weak. If you suspect heat exhaustion but the patient is not sweating, see heat stroke (below). Get the patient out of the direct sun and cool them down by applying cold compresses and fanning. If they are conscious, give oral rehydrating solution and water, or plain water. If recovery is not fairly immediate upon treatment, seek medical attention.

**Heat stroke**

The patient will have hot, dry skin and a temperature well above normal. This situation is life-threatening and must be treated immediately and aggressively. In more advanced cases, the patient will lose consciousness and may convulse. Get the patient out of the sun and into a cool space.

Remove their clothing and immerse them in cold (not icy) water until the onset of shivering. Seek medical attention. You must immediately lower the body temperature or the patient may die.

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## T.1 Conversion tables (imperial and metric)

Metric to Imperial		Imperial to Metric	
Length		Length	
1 cm	= 0.394 inches	1 inch	= 2.54 cm
1 m	= 39.4 inches	1 foot	= 30.5 cm
1 m	= 3.28 feet	1 foot	= 0.305 m
1 m	= 1.09 yards	1 yard	= 0.914 m
1 km	= 0.621 miles	1 mile	= 1.609 km
Weight		Weight	
1 g	= 0.035 ounces	1 ounce	= 28.3 g
1 kg	= 2.2 pounds	1 pound	= 454 g
1 ton	= 2200 pounds	1 pound	= 0.454 kg
1 ton	= 0.984 tons (US)	1 ton (US)	= 1.02 tons
Surface		Surface	
1 cm <sup>2</sup>	= 0.155 sq in	1 sq inch	= 6.45 cm <sup>2</sup>
1 m <sup>2</sup>	= 10.76 sq ft	1 sq foot	= 929 cm <sup>2</sup>
1 m <sup>2</sup>	= 1.2 sq yd	1 sq foot	= 0.093 m <sup>2</sup>
1 ha	= 2.47 acres	1 sq yard	= 0.836 m <sup>2</sup>
1 km <sup>2</sup>	= 247 acres	1 acre	= 0.405 ha
1 km <sup>2</sup>	= 0.386 sq miles	1 sq mile	= 2.59 km <sup>2</sup>
Volume		Volume	
1 cm <sup>3</sup>	= 0.061 cu in	1 cu inch	= 16.4 cm <sup>3</sup>
1 m <sup>3</sup>	= 35.3 cu ft	1 cu foot	= 0.028 m <sup>3</sup>
1 m <sup>3</sup>	= 1.31 cu yd	1 cu yard	= 0.765 m <sup>3</sup>
1 ml	= 0.035 fl. oz	1 fl ounce	= 28.4 ml
1 l	= 1.76 pints	1 pint	= 0.568 l
1 l	= 0.22 UK gal.	1 UK gal.	= 4.55 l
1 US gal.	= 0.833 UK gal.	1 UK gal.	= 1.2 US gal.

## Temperature

(Celsius x 1.8) + 32 = Fahrenheit

(Fahrenheit - 32) x 0.555 = Celsius

## T.2 Characteristics of aircraft commonly used during emergencies

Aircraft type	Cruising speed (knots)	Maximum cargo weight metric tons (2,200 lb)	Cargo hold size L x W x H (cm)	Door size W x H (cm)	Usable cargo volume (m <sup>3</sup> )	Pallet qty. 224 x 318 (cm)	Desired runway length (ft)
AN-12		15	1,300 x 350 x 250	310 x 240	100	n/a	n/a
AN-22		60	3,300 x 440 x 440	300 x 390	630	n/a	n/a
AN-26		5.5	1,060 x 230 x 170	200 x 160	50	n/a	n/a
AN-32		6.7	1,000 x 250 x 110	240 x 120	30	n/a	n/a
AN-72/74		10	1,000 x 210 x 220	240 x 150	45	n/a	n/a
AN-124	450	120	3,300 x 640 x 440	600 x 740	850	n/a	10,000
A300F4-100		40	3,300 x 450 x 250	360 x 260	320	20	8,200
A300F4-200		42	3,300 x 450 x 250	360 x 260	320	20	8,200
A310-200F		38	2,600 x 450 x 250	360 x 260	260	16	6,700
A310-300F		39	2,600 x 450 x 250	360 x 260	260	16	6,700
B727-100F		16	2,000 x 350 x 210	340 x 220	112	9	7,000
B737-200F		12	1,800 x 330 x 190	350 x 210	90	7	7,000
B737-300F		16	1,800 x 330 x 210	350 x 230	90	8	7,000
B747-100F		99	5,100 x 500 x 300	340 x 310	525	37	9,000
B747-200F	490	109	5,100 x 500 x 300	340 x 310	525	37	10,700
B747-400F		113	5,100 x 500 x 300	340 x 310	535	37	n/a
B757-200F		39	3,400 x 330 x 210	340 x 220	190	15	5,800
B767-300F		55	3,900 x 330 x 240	340 x 260	300	17	6,500
DC-10-10F		56	4,100 x 450 x 250	350 x 260	380	23	8,000
DC-10-30F		70	4,100 x 450 x 250	350 x 260	380	23	8,000
IL-76	430	40	2,500 x 330 x 340	330 x 550	180	n/a	2,800
L-100	275	22	1,780 x 310 x 260	300 x 280	120	6	n/a
L-100-20	275	20	1,780 x 310 x 260	300 x 280	120	6	n/a
L-100-30	280	23	1,780 x 310 x 260	300 x 280	120	6	n/a
MD-11F		90	3,800 x 500 x 250	350 x 260	365	26	n/a

**Note:** The cargo capacities and cruise speeds listed in the table are averages. Actual capacities will vary based on the altitude, ambient air temperature and actual fuel on board.

### T.3 Characteristics of helicopters commonly used during emergencies

Helicopter type	Fuel type	Cruising speed (knots)	Typical allowable payload for hovering in ground effect (kg/lb) <sup>1</sup>	Typical allowable payload for hovering out of ground effect (kg/lb) <sup>2</sup>	Number of passenger seats
Aerospatiale SA 315B Lama	Jet	80	420/925	420/925	4
Aerospatiale SA 316B Alouette III	Jet	80	526/1,160	479/1,055	6
Aerospatiale SA 318C Alouette II	Jet	95	420/926	258/564	4
Aerospatiale AS-332L Super Puma	Jet	120	2,177/4,800	1,769/3,900	26
Bell 204B	Jet	120	599/1,20	417/920	11
Bell 206B-3 Jet Ranger	Jet	97	429/945	324/715	4
Bell 206L Long Ranger	Jet	110	522/1,150	431/950	6
Bell 412 Huey	Jet	110	862/1,900	862/1,900	13
Bell G-47	Aviation Gas	66	272/600	227/500	1
Bell 47 Soby	Jet	75	354/780	318/700	2
Boeing H 47 Chinook	Jet	130	12,210/26,918	12,210/26,918	33
Eurocopter (MBB) BO-105 CB	Jet	110	635/1,400	445/980	4
Eurocopter BK-117A-4	Jet	120	599/1,320	417/920	11
MI-8	Jet	110	3,000/6,6139	3,000/6,6139	20-30
Sikorsky S-58T	Jet	90	1,486/3,275	1,168/2,575	12-18
Sikorsky S-61N	Jet	120	2,005/4,420	2,005/4,420	n/a
Sikorsky S-64 Skyraane	Jet	80	7,439/16,400	7,439/16,400	n/a
Sikorsky S-70 (UH-60) Black Hawk	Jet	145	2,404/5,300	1,814/4,000	14-17

<sup>1</sup> Use when takeoff and landing areas are relatively flat and load is non-jettisonable. Actual payload will vary based on elevation and temperature, amount of fuel and other factors.

<sup>2</sup> Use for sling load missions (cargo is placed in a net or suspended from a line and picked up and moved by the helicopter using a belly hook), and adverse terrain (landing areas on top of steep ridges or adjacent to cliffs) or weather. Actual payload will vary based on elevation and temperature, amount of fuel and other factors.

### T.4 Aircraft loading and offloading methods

Aircraft may be loaded in four ways:

**Bulk loaded** – Cargo is loaded on the floor and held in place by nets, straps or ropes. This may increase the usable cargo space on an aircraft; however, securing cargo in place may be more difficult. Bulk loading also slows loading, offloading, sorting, distribution and customs processing.

- **Palletized** – Cargo is preloaded onto wood or metal pallets and held in place by nets, straps or ropes. This method is commonly used to store and ship humanitarian supplies. Military pallets, officially called HCU-6/E or 463L pallets (nicknamed "cookie sheets"), measure 224 cm wide and 274 cm long (213 x 264 of usable space). They are made of wood with a thin aluminum coating and weigh 160 kg (with netting). The loaded pallets can be as heavy as 4500 kg. These pallets are reusable and must be returned. They are commonly used on aircraft such as the C-5, C-17, C-141 and C-130. Some commercial aircraft also use them. For logistical planning purposes, when building pallets, limit the height of a stack to 243 cm (96 inches) for these aircraft unless authorized to stack higher by the crew chief. The size of commercial pallets varies greatly depending on the country or region and the intended use. They are generally wood but may also be metal or plastic. They are used on aircraft such as the DC-8, B727, DC-10 and B747. These pallets are also reusable. It is possible to stack pallets on an aircraft, but it is more difficult and very time-consuming. Remember, flight crew duty time is ticking!
- **Containerized** – Cargo is preloaded into closed containers and then loaded onto the aircraft. This method is used to load large commercial aircraft such as B747s and DC-10s. Cargo containers come in a great variety of shapes and sizes and their maximum loaded weights range from less than 450 kg to over 11 tons. Each type is designed to be loaded and offloaded with cargo in place using a mechanized loading system or a forklift. Containerizing is very difficult and time-consuming, and sometimes it is impossible to hand-load or unload containers once they are on the aircraft. If a forklift will be used to load or offload containers or pallets, make sure that the forklift can carry the largest pallet, has tines long enough to counterbalance the weight and that the highest point of the forklift is lower than that portion of the aircraft (wing, tail or door in open position) where it must move to retrieve the container or pallet.
- **External (helicopters only)** – Cargo is placed in a net or suspended from a line and picked up and moved by the helicopter using a belly hook. Helicopters normally lift and move more cargo externally (slinging) than internally. The external cargo is loaded into specially made nets that are connected to a cargo hook on the belly of the helicopter. Cargo may also be suspended on cables (lead lines). Make sure lead lines and nets are approved for slinging cargo.

Pallets, containers, nets and lead lines are reusable. They may also need to be returned quickly to their point of origin, so they can be used for loading more cargo. Always think in terms of 'back hauling' cargo equipment for reuse or when it is no longer needed.

## T.5 Acronyms

The following table lists some of the most commonly used acronyms associated with UNDAC missions.

Acronym	Full name
A&A	Assessment and Analysis
AAR	After Action Review
ACAPS	Assessment Capacities Project
AHA	ASEAN Coordinating Centre for Humanitarian Assistance
ASC	Area Security Coordinator (UNDSS)
ASEAN	Association of Southeast Asian Nations
AST	Americas Support Team
AWG	Assessment Working Group
CADRI	Capacity for Disaster Reduction Initiative
CAP	Consolidated Appeals Process
CARICOM	Caribbean Community
CBi	Connecting Business initiative
CCCM	Camp Coordination and Camp Management
CDEMA	Caribbean Disaster Emergency Management Agency
CERF	Central Emergency Response Fund
CHAP	Common Humanitarian Action Plan
CHS	Core Humanitarian Standards on Quality and Accountability
CLA	Cluster Lead Agency
CMCoord	Civil Military Coordination
CMOC	Civil-Military Operations Centre
CODs	Common Operational Datasets
CRD	Coordination and Response Division (OCHA)
CSA/SA	Chief Security Advisor/Security Advisor (UNDSS)
CTP	Cash Transfer Programmes/Programming
DART	Disaster Assistance Response Team (USA)
DEMA	Danish Emergency Management Agency (Denmark)
DFID	Department for International Development (United Kingdom)
DHN	Digital Humanitarian Network
DHS	Demographic and Health Surveys
DO	Designated Official (for United Nations security in-country)
DSA	Daily Subsistence Allowance
DSB	Directorate for Civil Protection (Norway)
DVI	Disaster Victim Identification
ECCAS	Economic Community of Central African States
ECHO	Directorate-General for European Civil Protection and Humanitarian Aid Operations
ECOWAS	Economic Community of West African States

Acronym	Full name
EE	Environmental Emergencies
EER	(UN Environment/OCHA) Environmental Emergencies Roster
EMT/I-EMT	Emergency Medical Team/International Emergency Medical Team
ERAT	(ASEAN) Emergency Response and Assessment Team
ERC	United Nations Emergency Relief Coordinator
ERCC	Emergency Response Coordination Centre (ECHO)
ERR	OCHA Emergency Response Roster
ERSB	(OCHA) Emergency Response Support Branch
ERU	Emergency Response Unit (IFRC)
ETC	Emergency Telecommunications Cluster
EU	European Union
EUCP	European Union Civil Protection (Mechanism/Team) (ECHO)
FA	Flash Appeal
FACT	Field Assessment and Coordination Team (IFRC)
FAO	Food and Agricultural Organisation (UN)
FEAT	Flash Environmental Assessment Tool
FIS	(OCHA) Field Information Section
FMA	Foreign Military Assets
FRF	Fuel Relief Fund
FSC	Food Security Cluster
FSCO	Field Security Coordination Officer (UNDSS)
GA	United Nations General Assembly
GBV	Gender-based violence
GCER	Global Cluster for Early Recovery
GDACS	Global Disaster Alert and Coordination System
GIS	Geospatial Information Services
GPS	Global Positioning System
HAZMAT	Hazardous materials
HCT	Humanitarian Country Team
HDX	Humanitarian Data Exchange
HEAT	Hostile Environment Awareness Training
HEOC	Health Emergency Operations Centre
HI	Humanity & Inclusion (previously Handicap International)
HID	Humanitarian ID
HPC	Humanitarian Programme Cycle
HR.info	www.humanitarianresponse.info
HRP	Humanitarian Response Plan
HuMOCC	Humanitarian-Military Operational Coordination Concept
IASC	Inter-Agency Standing Committee
ICC(G)	Inter-Cluster Coordination (Group)
ICRC	International Committee of the Red Cross



Acronym	Full name
ICT	Information and Communications Technology
ICVA	International Council of Voluntary Agencies
IDP	Internally Displaced Person
IEC/IER	INSARAG External Classification/Reclassification
IFRC	International Federation of Red Cross and Red Crescent Societies
IHP	International Humanitarian Partnership
IM	Information Management
IMO	(OCHA) Information Management Officer
IMWG	Information Management Working Group
IMF	International Monetary Fund
INSARAG	International Search and Rescue Advisory Group
IOM	International Organization for Migration
JEU	UN Environment/OCHA Joint Unit
LCA	Logistics Capacity Assessment (Logistics Cluster)
LEMA	Local Emergency Management Authority
LOG	Logistics Operational Guide (Logistics Cluster)
LRT	(WFP) Logistics Response Team
MCDA	Military Civil Defence Assets
MDS	EMT Minimum Dataset
MICS	Multiple Indicator Cluster Surveys
MIRA	Multi-Cluster/Sector Initial Rapid Assessment
MoH	Ministry of Health
MOU	Memorandum of Understanding
MSB	Swedish Civil Contingencies Agency
MSF	Médecins Sans Frontières
NAAS	(OCHA) Needs Assessment and Analysis Section
NDMA	National Disaster Management Authority
NFI	Non-food items
NGO	Non-Governmental Organization
OCHA	United Nations Office for the Coordination of Humanitarian Affairs
OFDA	Office of Foreign Disaster Assistance (USA)
OHCHR	United Nations High Commissioner for Human Rights
OISS	OSOCC Information Support Staff
OSOCC	On-Site Operations Coordination Centre
P-codes	Place-codes
PHT	Pacific Humanitarian Team
PIO	(OCHA) Public Information Officer
PoA	Plan of Action
RC/HC	United Nations Resident Coordinator/Humanitarian Coordinator
REDLAC	Risk, Emergency and Disaster Network for Latin America and the Caribbean
RFA	Request for Assistance (CMCoord)

Acronym	Full name
ROAP	(OCHA) Regional Office for Asia and the Pacific
ROLAC	(OCHA) Regional Office for Latin American and the Caribbean
SA	see CSA
SADD	Sex-, Age- and Disability-disaggregated Data
SAARC	South Asian Association for Regional Cooperation
SADC	South African Development Community
SDR	Secondary Data Review
SMCS	(GDACS) Satellite Mapping and Coordination System
SMT	Security Management Team (United Nations in-country)
SOPs	Standard Operating Procedures
(UN) SPM	(UN) Security Policy Manual (UNDSS)
SRSG	Special Representative of the Secretary-General
SSAFE	Safe and Secure Approaches in Field Environment (training course)
ToR	Terms of Reference
TSF	Télécoms Sans Frontières
UMS	UNDAC Mission Software
UNDMT	United Nations Disaster Management Team
UNDSS	United Nations Department of Safety and Security
UNCT	United Nations Country Team
UNDAC	United Nations Disaster Assessment and Coordination (OCHA)
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFPA	United Nations Population Fund
UNHAS	United Nations Humanitarian Air Service
UNHCR	Office of the United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNITAR	United Nations Institute for Training and Research
UNOG	United Nations Office in Geneva
UNOSAT	UNITAR's Operational Satellite Applications Programme
USAID	United States Agency for International Development
USAR	Urban Search and Rescue
USG	Under Secretary General
VOSOCC	Virtual OSOCC
3W	Who is doing What and Where (information product)
WASH	Water, Sanitation and Hygiene
WFP	World Food Programme
WHO	World Health Organization

Note that acronyms which are specific to a particular organization (e.g., regional organizations) or field (e.g., first aid, telecommunications) and which appear only once or twice in the same section are not included in the acronym list and/or are spelled out in full each time in the text.

## T.6 Phonetic alphabet, standard UN call signs and radio prowords

Letter	Pronunciation	Letter	Pronunciation	Letter	Pronunciation
A	ALPHA	J	JULIET	S	SIERRA
B	BRAVO	K	KILO	T	TANGO
C	CHARLIE	L	LIMA	U	UNIFORM
D	DELTA	M	MIKE	V	VICTOR
E	ECHO	N	NOVEMBER	W	WHISKY
F	FOXTROT	O	OSCAR	X	X-RAY
G	GOLF	P	PAPA	Y	YANKEE
H	HOTEL	Q	QUEBEC	Z	ZULU
I	INDIA	R	ROMEO		

Within the UN call sign system, the first letter indicates the location of the network. The first letter of the location name is usually designated. If this letter is already in use by another network within the country, the last letter is used. This continues until an available letter is found in the location name. For example, a network operating in Pakistan would use Mike for Multan, Delta for Muzaffarabad, and November for Manshera.

The second letter of a call-sign indicates the agency:

Letter	Organization	Letter	Organization
Alpha	FAO	November	UNFPA
Bravo	World Bank/IMF	Oscar	OCHA/UNDAC
Charlie	UNICEF	Papa	UNOPS
Delta	UNDP	Quebec	UNDPKO
Echo	UNESCO	Romeo	UNHCR
Foxtrot	WFP	Sierra	UNDSS
Golf		Tango	UNHABITAT
Hotel	WHO	Uniform	UN Secretariat
India		Victor	
Juliet		Whisky	
Kilo		X-ray	Reserved for NGOs
Lima	UNJLC	Yankee	Reserved for NGOs
Mike	IOM	Zulu	Reserved for NGOs

The first digit of the call sign indicates the position within the agency:

Digit	Department
1	Management and miscellaneous senior staff
2	Finance / Administration
3	Logistics
4	Programme
5	Staff security / guards
6	Agency-specific
7	Drivers
8	Technical support staff, e.g. Telecom, IT, etc.
9	Visitors / Agency-specific

The last one or two digits indicate the different individuals in the department. For example, the UNDAC Team Leader in Muzaffarabad would be Delta-Oscar-1; the UNDAC Deputy Team Leader would be Delta-Oscar-1-1.

Proword	Meaning
ACKNOWLEDGE	Confirm that you have received my message and will comply.
AFFIRMATIVE – NEGATIVE	Yes/Correct - No/Incorrect.
ALL AFTER or ALL BEFORE	Everything that you (I) transmitted after... (Keyword). Everything that you (I) transmitted before... (Keyword).
CORRECT (THAT IS CORRECT)	What you have transmitted is correct.
CORRECTION	An error has been made in this transmission. It will continue with the last word (group) correctly transmitted.  An error has been made in this transmission. Correct version is...  That which follows is a correct version in answer to your request for verification.
WRONG	Your last transmission was incorrect. The correct version is...
SILENCE – SILENCE – SILENCE	Cease all transmissions on this net immediately. Will be maintained until lifted.
SILENCE LIFTED	Silence is lifted. The net is free for traffic.
END OF MESSAGE – OVER (OUT)	This concludes the message just transmitted (and the message instructions pertaining to a formal message).

Proword	Meaning
FIGURES	Numerals or numbers will follow. In general, numbers are transmitted digit by digit except that exact multiples of hundreds and thousands are spoken as such.
OVER	This is the end of my turn of transmitting. A message is expected. Go ahead.
THROUGH ME	I am in contact with the station you are calling; I can act as a relay station.
MESSAGE PASSED TO	Your message has been passed to...
ROGER	I have received your last transmission satisfactorily.
ROGER SO FAR?	Have you received this part of my message satisfactorily?
WILCO	I have received your message, understand it, and will comply. (To be used only by the addressee.)  ROGER and WILCO are never used together.
UNKNOWN STATION	The identity of the station calling or with whom I am attempting to establish communication is unknown.
WAIT (WAIT-WAIT)	I must pause for a few seconds.
WAIT – OUT	I must pause longer than some seconds and will call you again when ready.
OUT	This is the end of my transmission to you.  No answer or acknowledgement is expected.
OUT TO YOU	Do not answer; I have nothing more for you.  I shall now call another station on the net.
READ BACK	Repeat the entire following transmission back to me exactly as received.
I READ BACK	The following is my reply to your request to read back.
SAY AGAIN	Repeat all of your last transmission.  Followed by ALL AFTER, ALL BEFORE, WORD AFTER, WORD BEFORE etc. means: Repeat... (portion indicated).
I SAY AGAIN	I am repeating my transmission or portion indicated.
SEND	Go ahead with your transmission.
SEND YOUR MESSAGE	Go ahead, transmit; I am ready to copy.
SPEAK SLOWER	Reduce the speed of your transmission.
I SPELL	I shall spell the next word, group or equivalent phonetically. (Not used when transmitting coded groups only.)

## T.7 Sources of secondary data

### General Information / Country Profiles

#### Databases / Indicators

UNFPA (demographic data)	<a href="http://www.unfpa.org">www.unfpa.org</a>
UN Statistics Service/Database	<a href="http://unstats.un.org/unsd/databases.htm">unstats.un.org/unsd/databases.htm</a>
International Disaster Database	<a href="http://www.emdat.be/country-profile">www.emdat.be/country-profile</a>
World Health Organization	<a href="http://www.who.int">www.who.int</a>
UNICEF (statistics)	<a href="http://www.unicef.org/statistics/index.html">www.unicef.org/statistics/index.html</a>
World Bank (indicators)	<a href="http://data.worldbank.org/indicator">data.worldbank.org/indicator</a>
Human Development Reports	<a href="http://hdr.undp.org/en">hdr.undp.org/en</a>
ELDIS Country Profiles	<a href="http://www.eldis.org/go/country-profiles">www.eldis.org/go/country-profiles</a>

#### Disaster Risk Reduction / Preparedness

ISDR Country Profiles	<a href="http://www.eird.org/country-profiles/">www.eird.org/country-profiles/</a>
Global Disaster Alert and Coord. System	<a href="http://www.gdacs.org">www.gdacs.org</a>
Food Early Warning System	<a href="http://www.fews.net">www.fews.net</a>
Maplecroft (global risk index)	<a href="http://maplecroft.com/portfolio/">maplecroft.com/portfolio/</a>
Prevention (disaster risk reduction)	<a href="http://www.preventionweb.net">www.preventionweb.net</a>

### Useful Websites

Virtual OSOCC	<a href="http://vosocc.unocha.org/">vosocc.unocha.org/</a>
Humanitarian Response	<a href="http://www.humanitarianresponse.info">www.humanitarianresponse.info</a>
ReliefWeb	<a href="http://www.reliefweb.int">www.reliefweb.int</a>
CIA Factbook	<a href="http://www.cia.gov/library/publications/the-world-factbook/index.html">www.cia.gov/library/publications/the-world-factbook/index.html</a>
Global Hazards Atlas (Pacific Disaster Centre)	<a href="http://atlas.pdc.org/atlas/">atlas.pdc.org/atlas/</a>
<i>Red Cross and Red Crescent Movement</i>	
Int'l Fed. of Red Cross & Red Crescent	<a href="http://www.ifrc.org">www.ifrc.org</a>
Int'l Committee of the Red Cross	<a href="http://www.icrc.org">www.icrc.org</a>
<i>Media</i>	
Reuters Foundation	<a href="http://news.trust.org/humanitarian/">http://news.trust.org/humanitarian/</a>
CNN	<a href="http://www.cnn.com">www.cnn.com</a>
BBC	<a href="http://www.bbc.com">www.bbc.com</a>
<i>Donors</i>	
ECHO	<a href="http://www.ec.europa.eu/echo/index">www.ec.europa.eu/echo/index</a>
USAID	<a href="http://www.usaid.gov">www.usaid.gov</a>

### By Disaster Type

#### Hurricane/Cyclone/Typhoon

National Hurricane Center	<a href="http://www.nhc.noaa.gov">www.nhc.noaa.gov</a>
Weather.com	<a href="http://www.weather.com">www.weather.com</a>
Tropical Weather	<a href="http://www.wunderground.com/tropical">www.wunderground.com/tropical</a>
Hurricane Watch Net	<a href="http://hwn.org/">hwn.org/</a>

28Storms	28storms.com/
Joint Typhoon Warning Centre	www.usno.navy.mil/JTWC/
<i>Earthquake</i>	
US Geological Survey - earthquake	https://earthquake.usgs.gov/
Earthquake News	www.earthquakenews.com
<i>Landslide</i>	
US Geological Survey - landslides	landslides.usgs.gov/
<i>Floods</i>	
Dartmouth Flood Observatory	floodobservatory.colorado.edu/
<i>Complex Emergencies</i>	
International Displacement Monitoring	www.internal-displacement.org/
<i>Environmental Emergencies</i>	
Environmental Emergencies Centre	www.eecentre.org

## By Sector

### *Food Security*

Global Food Security Index	foodsecurityindex.eiu.com/Country
WFP Assessment Bank	www.wfp.org/food-security/assessment-bank
Global Hunger Index	www.ifpri.org/publication/2012-global-hunger-index
FAO Statistics – FAOSTAT	www.fao.org/faostat/en/#data
FEWSNet - Livelihoods	www.fews.net/sectors/livelihoods
Int'l Food Policy and Research	www.ifpri.org
IFAD	www.ruralpovertyportal.org

### *Health*

WHO GHO	www.who.int/gho/database/en
WHO Global Health Atlas	www.who.int/globalatlas/
Demographic Health Surveys	dhsprogram.com/
DFID Malaria Country Profiles	www.dfid.gov.uk/
AIDS Alliance	www.aidsalliance.org
WHO Trends in Maternal Mortality	www.who.int/healthinfo/statistics/indmaternalmortality/en
WHO International Travel and Health	http://www.who.int/ith/en/

### *Shelter*

IFRC	www.ifrc.org
UNHCR	www.unhcr.org
IDMC	www.internal-displacement.org
Shelter Centre Library	http://sheltercentre.org/consensus/#humanitarian-library

### *Nutrition*

WHO Nutrition Country Profile	www.who.int/nutrition/
UNICEF	www.unicef.org/nutrition

### *Protection*

Human Rights Watch	www.hrw.org
Amnesty International	www.amnesty.org
Minority Rights Group	www.minorityrights.org
UNHCR	www.unhcr.org
OHCHR	www.ohchr.org
World Economic Forum	www.weforum.org
UN Mine Action	www.mineaction.org
Humanity & Inclusion	http://www.hi-us.org/
HelpAge	www.helpage.org

### *Logistics*

Logistics Cluster	www.logcluster.org
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### *WASH*

UN Water	www.unwater.org
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### *Lessons Identified*

ALNAP	www.alnap.org
Disaster Summary Sheets	www.acaps.org

### *Other Types*

Geospatial Images	www.eurimage.com
Satellite images	www.ssd.noaa.gov

## T.8 Protection mainstreaming activities by sector

The following list of activities considers several areas of protection in the context of disaster response: evacuations; children; women and girls; persons with disabilities; older persons; mental disorders and psychosocial stress; the rule of law; and housing, land and property. They have been written to help national and international protection workers to:

- Improve their understanding of the rights and vulnerabilities of different groups affected by disasters.
- Identify and respond to common protection threats.
- Support protection-sensitive approaches to post-disaster recovery and rehabilitation.

Small changes in the management and delivery of assistance can sharply reduce protection violations. In addition, mainstreaming protection improves the overall effectiveness and efficiency of all sectors, because it ensures that assistance reaches every disaster-affected person.



Area / Sector	Activities
Evacuations	<ul style="list-style-type: none"> <li>• Ensure that evacuation plans address the needs of people who are hard to reach (who are housebound, in hospitals, orphanages or prisons, older or with disabilities). Assist them to reach evacuation sites, pack their belongings, and board transport. Map their location for emergency response teams.</li> <li>• Establish protocols to prevent family separation during evacuations (register each family member, provide name tags for babies, ensure families travel together, etc.).</li> <li>• Enable people to make informed choices about their evacuation. Provide information on the services available at emergency shelter sites and measures in place to protect land and property left behind, etc.</li> <li>• Organize information campaigns. Target (1) groups that are difficult to reach, using (2) a variety of media, in (3) all relevant local languages. Make door-to-door calls, and employ media used by those with impaired hearing and sight. Target institutions or semi-autonomous living spaces.</li> <li>• Make clear that forced evacuations must be justified, based on law, and implemented without discrimination.</li> <li>• During evacuations, prioritize (1) sites where people face the greatest physical risk; and (2) inside those sites, people who require assistance (such as older and disabled persons, unaccompanied women and children, female or child-headed households, minorities, etc.).</li> <li>• Establish protocols to avoid and manage conflicts over property and theft. Encourage property owners to list their assets before evacuation or on arrival at an emergency shelter.</li> <li>• Discourage attempts to return to areas of high risk by establishing cordons, warning signs, patrols, etc.</li> <li>• Once it is safe to return to affected areas, support 'go and see' visits and disseminate regular information on safety, available options, livelihoods assistance programmes, etc.</li> </ul>
Contingency planning and disaster preparedness	<ul style="list-style-type: none"> <li>• Assess potential emergency shelter sites for physical and social risk, employing multi-sectoral teams. Pick sites on grounds of safety, proximity to the disaster site and access to livelihoods.</li> <li>• Ensure that legislation adequately covers all the issues that may arise after a natural disaster.</li> <li>• Safeguard birth registration data and housing, land and property records (e.g., integrate local data in a central database, update and back up records).</li> </ul>
Coordination	<ul style="list-style-type: none"> <li>• During needs assessments, collect disaggregated data on gender, age and health status.</li> <li>• To reduce stress, coordinate needs assessments, data collection and monitoring. Ensure individuals are not interviewed repeatedly. Train interviewers in psychosocial care principles.</li> <li>• Common Humanitarian Action Plans (CHAP), sector response plans, and situation reports should include and report regularly on the protection activities outlined in this matrix.</li> <li>• Civil-military coordination activities must preserve the humanitarian space.</li> </ul>
CCCM	<ul style="list-style-type: none"> <li>• Prioritize allocation of shelters to families with vulnerable members.</li> </ul>

Area / Sector	Activities
CCCM	<ul style="list-style-type: none"> <li>• Make sure that older persons, persons with disabilities, single women, and unaccompanied children and youth: (1) are housed in appropriate shelter, close to toilets, bathing facilities and aid distribution points; (2) are placed with appropriate groups (relatives, other vulnerable persons, etc.) and, at the minimum, are accommodated separately from unrelated males; (3) receive priority access to food and NFIs, and that the latter are culturally appropriate.</li> <li>• Provide shelters that can accommodate families of different size. Allocate one family per shelter. Provide separate accommodation for pregnant women and breastfeeding mothers.</li> <li>• Adapt facilities to reflect the needs of older and disabled persons (hand rails, wheelchair access).</li> <li>• Prioritize frail older, disabled or injured people for relocation to more suitable locations.</li> <li>• Make sanitary facilities safer, as well as food and water collection points and child-friendly spaces, by means of floodlighting and patrols.</li> <li>• Provide child-friendly spaces, youth clubs, and schools.</li> <li>• Preserve the humanitarian character of camps and evacuation sites. Camps and sites set up by military forces or armed groups must be transferred to civilian management as soon as possible; the role of police and security forces should be limited to provision of security.</li> <li>• Where required and appropriate, place national or international police in shelter sites.</li> <li>• Monitor security, and promote community arrangements for monitoring, prevention and responding to security risks. Make sure that plans for the closure of camps or evacuation sites include shelter and protection strategies that promote durable solutions.</li> </ul>
Early Recovery	<ul style="list-style-type: none"> <li>• Develop vocational training and micro-credit programmes that target female-headed households and persons with disabilities; facilitate their self-sufficiency and employment.</li> <li>• Ensure that livelihood and support programmes (cash- and food-for-work, etc.) include women, persons with disabilities and older persons and address their constraints (by providing part-time, flexible and home-based work, etc.).</li> <li>• Address the causes of child labour (such as poverty and unemployment), for example by offering return-to-school incentives, reducing family indebtedness, or promoting employment of adult family members, providing building skills, etc.</li> </ul>
Education	<ul style="list-style-type: none"> <li>• To avoid child labour and promote schooling, link education strategies to livelihood initiatives.</li> <li>• Ensure children can attend schools, at evacuation sites, at return, and if relocated.</li> </ul>
Food Security and Nutrition	<ul style="list-style-type: none"> <li>• Ensure that distribution mechanisms: (1) respect local customs; (2) provide food in quantities that can be carried easily; and (3) facilitate direct delivery to people with limited mobility (such as older and disabled persons).</li> <li>• Introduce strategies that facilitate food distribution to individuals who lack documents and to IDPs living in urban areas or with host families, etc.</li> </ul>

Area / Sector	Activities
Food Security and Nutrition	<ul style="list-style-type: none"> <li>Ensure that food meets the nutritional needs of children, pregnant and lactating women, and older persons. (For example, food supplies should be easy to open, chew and digest).</li> </ul>
Health and Psychosocial	<ul style="list-style-type: none"> <li>Provide health services and medicines that address disaster-related injuries and rehabilitation; provide care in regard to obstetrics, chronic diseases, midwifery, and paediatrics.</li> <li>Ensure that individuals who have limited mobility (older and disabled persons, women restricted for cultural reasons, etc.), as well as IDPs who lack documentation or who live in urban areas or with host families, have access to health services (home visits, mobile clinics, transport services etc.).</li> <li>Develop programmes that address the psychosocial needs of children, widows, older persons, and disabled people. (Consider counselling services and 'hotlines'; support and self-help groups; community-based networks: religious or customary events and rituals; community and sports activities).</li> </ul>
Protection	<p><b>Prevention of exploitation and abuse</b></p> <ul style="list-style-type: none"> <li>Regularly assess the vulnerability of children, women, and older and disabled individuals who are in emergency shelters or being cared for in temporary or alternative institutions.</li> <li>Establish simple, accessible, safe, confidential mechanisms (including legal aid and advisory services) to monitor and report incidents of violence or exploitation.</li> <li>Provide advocacy and training for police, border guards, judges and other protection workers, on the risks of gender-based violence, trafficking and child labour; the rights and needs of survivors; and how to receive and investigate complaints.</li> <li>Establish programmes that address the risks and causes of trafficking, exploitation, child labour, forced labour, domestic violence, recruitment into armed forces, and exclusion from education.</li> <li>Establish codes of conduct that prohibit staff (and staff of partner agencies) from engaging in, promoting or facilitating any form of sexual exploitation or abuse, and apply strict monitoring, reporting, investigation and sanction rules. Train all staff and volunteers working in camps on the code of conduct and ensure staff can be clearly identified.</li> <li>Establish victim rehabilitation and support programmes (counselling, skills-acquisition, return-to-school incentives, etc.).</li> <li>Support the establishment of formal Best Interests Determination processes for unaccompanied and separated children and other children at risk.</li> </ul> <p><b>Personal documentation</b></p> <ul style="list-style-type: none"> <li>Establish programmes to assist individuals to obtain, recover or replace personal documents at low or no cost.</li> <li>Establish safeguards, and monitor, to ensure that individuals who have lost personal documents are not detained arbitrarily or prevented from accessing humanitarian aid or housing programmes.</li> <li>Advocate for flexible evidence requirements on proof of identity when documents are lost, and interim solutions (for example, community-based approaches).</li> <li>Ensure that women and unaccompanied or orphaned children are issued personal documents in their names.</li> </ul>

Area / Sector	Activities
	<p><b>Monitoring</b></p> <ul style="list-style-type: none"> <li>Establish an inter-agency mechanism to coordinate monitoring and analyze the full range of protection risks to vulnerable groups. Ensure the mechanism is safe, confidential and respects privacy, and it is shared (as appropriate) across sectors.</li> <li>Raise awareness in the community about protection risks and, where it can be done safely; establish community-based mechanisms to support monitoring, prevention and response.</li> <li>Develop referral mechanisms (support services and information management systems) to facilitate case management.</li> </ul> <p><b>Family separation and reunification</b></p> <ul style="list-style-type: none"> <li>Establish protocols to prevent family separation during evacuation and secondary population movements. Tag babies; ensure that families travel together, etc.</li> <li>Establish procedures for identifying and registering separated children; set up family-tracing and reunification programmes. Adopt a coordinated approach (use shared registration forms, house the identification database in one agency).</li> <li>Include older persons, persons with disabilities and unaccompanied women in family tracing and reunification programmes.</li> </ul> <p><b>Rule of Law</b></p> <ul style="list-style-type: none"> <li>Support local authorities to restore law and order swiftly and prevent criminality. For example, conduct patrols; facilitate the repair or relocation of courts, police stations and correctional facilities; replace justice sector staff. If necessary, temporarily assign staff from unaffected locations.</li> <li>Train newly appointed judicial staff in disaster-related issues (guardianship appointments, housing, land and property issues, etc.).</li> <li>Decentralize legal services (via mobile legal aid clinics, or informal and customary leaders) in order to provide legal information and assist people to access humanitarian aid or compensation programmes.</li> <li>Provide technical assistance to develop and monitor specifically established legal or administrative fora.</li> <li>Disseminate information on legal issues (replacement of personal documents, land law policy, inheritance and guardianship laws, etc.).</li> <li>Provide technical assistance to guide the drafting of emergency laws and decrees that may be required.</li> <li>Disseminate widely emergency laws and decrees that regulate freedom of movement (no-go zones, curfews, etc.), in formats and languages that make them accessible and understandable to all, particularly those in emergency shelters.</li> <li>Advocate for minimum standards in detention facilities, particularly timely case processing and the separation of children from adult male detainees. Monitor their situation frequently.</li> </ul> <p><b>Shelter/NFI</b></p> <ul style="list-style-type: none"> <li>Ensure vulnerable groups: (1) receive separate and appropriate shelter; (2) are helped with shelter construction; (3) receive shelter that is lockable and opaque.</li> <li>Include sanitary supplies for women and portable light sources in NFI packages.</li> </ul>



Area / Sector	Activities
Shelter/NFI	<ul style="list-style-type: none"> <li>• Ensure that distribution mechanisms: (1) respect local customs; (2) supply materials in easily carried packages; (3) facilitate access by people with limited mobility (by direct delivery, separate distribution points, mobile services); and (4) promote dignity (for example, prevent excessive queuing and overcrowding).</li> <li>• Ensure that shelter programmes are accessible to and include individuals who lack documents and IDPs living in urban areas or with host families, etc.</li> <li>• When distributing humanitarian aid, include mental health institutions, hospitals, orphanages, etc.</li> <li>• Make sure information strategies on the relief process target: (1) groups that are difficult to reach, using (2) a variety of media, in (3) all relevant local languages. Make door-to-door calls and employ media used by those with impaired hearing and sight.</li> </ul>
WASH	<ul style="list-style-type: none"> <li>• Bathing, toilet and water collection facilities should be: (1) separated by gender; (2) lockable; (3) well-lit; (4) close to vulnerable groups' shelters; and (5) include handrails or other measures to facilitate access by older and disabled persons.</li> </ul>
Housing, Land and Property	<ul style="list-style-type: none"> <li>• Give older persons, persons with disabilities, child-headed households and vulnerable women prioritized access to permanent housing and appropriate support for re-building.</li> <li>• Protect vulnerable groups' assets, by means of: asset registrars; monitoring; registering inherited land or property in the owner's name (not that of a guardian or deceased relative); joint registration of matrimonial property, etc.).</li> <li>• Set up legal aid and information programmes for women, children and other vulnerable groups (focusing on inheritance law, guardianship appointments, housing and restitution programmes, etc.).</li> <li>• Combat practices (such as widow chasing and ritual cleansing) which deny women property rights.</li> <li>• Support efforts to locate and secure land records (by digitization or using freeze-dry techniques, etc.).</li> <li>• Support the (free) replacement of housing, land and property and other identity documents and expedite procedures for issuing death certificates so that individuals can receive inheritances, access social services, etc.</li> <li>• Advocate for flexibility in evidence requirements for the purposes of house reconstruction and livelihood assistance. For example, allow community-based approaches to proving personal identity (in lieu of documentary evidence).</li> <li>• Relax legal or evidence requirements to ensure that women who inherit or are married under customary law are not denied inheritance or excluded from restitution or housing programmes.</li> <li>• Support community-based approaches to documenting agreements on land rights and locations, and statements of pre-disaster land holdings.</li> <li>• Advocate for the inclusion of people who do not own property (renters, squatters and the landless) in restitution, reconstruction and re-housing programmes.</li> <li>• Support revival of rental/ tenancy agreements, at the same rates and conditions.</li> <li>• Establish transparent and non-discriminatory housing, land and property dispute resolution mechanisms.</li> <li>• Ensure that infrastructure plans facilitate the access of older and disabled persons to public transport and services (wheelchair access, facilities for impaired sight and hearing, wide access toilets, handicap parking, etc.).</li> </ul>