The Oxfam Humanitarian Dossier

Version 4.A

Contents

Oxfam Acronyms

CoC	Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organizations (NGOs) in Disaster Relief
CP	Contingency Plan
CLT	Country Leadership Team
DRR	Disaster Risk Reduction
ED	Executive Directors
EFSVL	Emergency Food Security and Vulnerable Livelihoods
EHC	Extended Humanitarian Consortium
EMN	Emergency Managers' Network
EU	European Union
GT	Global Team
GIE	Gender in Emergencies
HAP	Humanitarian Accountability Partnership
HCT	Humanitarian Country Team
HD	Humanitarian Dossier
HC	Humanitarian Consortium
HL	Humanitarian Lead
HCGG	Humanitarian Consortium Governance Group
IA	Implementing Affiliate
IASC	Inter-Agency Standing Committee
INGOs	International Non-Governmental Organizations
JCAS	Joint Country Analysis and Strategy
MA	Managing Affiliate
MDGs	Millennium Development Goals
L&SCM	Logistics and Supply Chain Management
LRRD	Linking Relief, Rehabilitation and Development
MEAL	Monitoring, Evaluation, Accountability and Learning
NGO	Non-Governmental Organization

OCHA	Office for the Coordination of Humanitarian Affaires
ODA	Official Development Assistance
OI	Oxfam International
PDG	Program Development Group
PGG	Program Governance Group
PPISK	Partnership Policy Implementation Support Kit
PRSP	Poverty Reduction Strategy Paper
PSEA	Prevention of Sexual Exploitation and Abuse
RiCCMT	Rights in Crisis Campaign Management Team
RiCCM	Rights in Crisis Campaign Manager
RTE	Real Time Evaluation
SCHR	Steering Committee for Humanitarian Response
Sitrep	Situation Report
SMS	Single Management Structure
UN	United Nations
WASH	Water, Sanitation and Hygiene
WTO	World Trade Organization

1. Introduction to the Dossier

Welcome to the newly revised Humanitarian Dossier!

The Dossier is a reference document for all Oxfam Humanitarian responses.

The Humanitarian Dossier aims to assist Oxfam field staff, country managers, regional and head-quarters based staff in implementing and supporting joint humanitarian programs and to inform the way that Oxfams work together.

It is also highly recommended that the document is read and the content understood before a disaster, in order to be as prepared as possible.

The revised Dossier is made up of five main parts: 1) Introduction 2) Oxfam's humanitarian principles 3) Oxfam architecture, roles and responsibilities 4) Oxfam minimum standards and 5) Oxfam tools for emergency response.

Any questions or feedback that you have to the Humanitarian Dossier should be addressed to Catherine Dennis, Humanitarian Quality and Processes Officer at the Oxfam International Secretariat. Catherine.dennis@oxfaminternational.org

The revised version of the Humanitarian Dossier can be read alongside the SMS primer. All terminology used is SMS consistent and those countries which have not yet gone live should read the Dossier within this context.[1]

The guiding principle as ever is the basic agreement of Oxfam Responses: that all humanitarian responses are Oxfam responses, regardless of which affiliate/s manages or implements an emergency programme. They are responding on behalf of all. This means that the response should be carried out according to Oxfam principles, and all affiliates should work to coordinate their efforts according to OI mechanisms.

This version of the Humanitarian Dossier was signed off on 28th October 2011

A further revision of the Dossier will follow in 2012.

1 E.g. The revised Dossier consistently refers to the Country Leadership Team in the place of the Humanitarian Country Team, the Managing Affiliate/Humanitarian Lead instead of the Lead Agency, Implementing Affiliates instead of Led affiliates, etc.

2. Humanitarian Principles underpinning Oxfam's work

2.1. Introduction to the Humanitarian Principles underpinning Oxfam's work

This section tells you about the PRINCIPLES underlying all of Oxfam's work: here we describe the guiding principles which form the basis for all Oxfam humanitarian programs. This includes principles described in Oxfam's own internal policies, as well as and the external codes and standards Oxfam humanitarian programs must comply with.

The objectives of any Oxfam humanitarian program are to minimize and relieve the suffering of people affected by humanitarian crises, to save lives, and increase community resilience for future disasters. This applies to natural disasters and to those caused by human action; and to chronic as well as rapid-onset crises.

Oxfam works with others to ensure that basic human needs are met and that the rights of people affected by disasters and conflict are respected. Whenever possible we support national governments and hold them to account in this respect.

The principles and standards underpinning Oxfam's humanitarian activities are outlined in this section.

Oxfam's official internal policy regarding humanitarian response

- Oxfam Working Principles
- Oxfam Contract for Humanitarian Action

Oxfam specific position papers relevant to humanitarian work

- Oxfam's Distinctive Role in Humanitarian Work
- Oxfam's position on the neutrality principle
- Oxfam's policy on Working with Partners in Humanitarian Response
- Oxfam Humanitarian Compendium Notes

Oxfam Internal Codes and Standards:

- Code of conduct against Sexual Exploitation and Abuse

Oxfam's humanitarian quality framework – the external codes and charters we subscribe to

- The Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organizations (NGOs) in Disaster Relief
- Humanitarian Charter and Minimum Standards in Disaster Response (Sphere)
- The Humanitarian Accountability Partnership (HAP) principles
- The People in Aid Code of Good Practice

You may also want to see the **Oxfam Strategic Plan 2007-2012**. All Oxfam programs fall within the Oxfam Strategic Plan. During 2011 there will be a review of the Strategic Plan and the new Strategic Plan will be developed.

You can find the plan here: https://sumus.oxfam.org/planning/documents/oisp-full-strategic-plan-english

2.2. Working Principles

These are the principles which apply to ALL Oxfam programs, including Humanitarian. They are included in Oxfam International Rules of Procedure (article 52)[2]

These working principles set common standards which all Oxfam programs should aim to achieve.

1 The Oxfams at all times work through local and accountable organizations and/or towards strengthening or facilitating the establishment of such organizations or structures.

2 Exceptionally, where and when local capacity is insufficient, the Oxfams will help people directly, through consultants (often from the South), field staff, emergency workers and /or co-operants or other support people recruited for their professional capacity. These staff or support people will be brought in (only when local capacity is insufficient or inappropriate) preferable from Southern countries, but also from the North and can where necessary be involved in operational tasks. They will work simultaneously on strengthening local capacity, which means they will be accountable, facilitate local ownership, and work with a short or long term withdrawal strategy.

3 The categories of volunteers who are brought in for their own learning experience are accountable to the local organization who has agreed to “adopt” them for specific tasks during a specific time-span.

4 Oxfams and organizations/structures supported by the Oxfams will organize planning, management, implementation and evaluation of projects in such a way that people from participating groups or communities can (optimally) run or (minimally) significantly influence that project at different levels. Oxfams will base their partnership on a relationship where they support partners to achieve their aims; where partners themselves propose, conceive, plan, manage implement and co-evaluate the projects in a direct way. Explicit procedures should be in place to ensure that women and, where relevant, other marginalized people can significantly influence the projects. This includes systems to encourage diversity and to allow for and resolve disagreements, complaints or conflicts.

5 Gender and diversity issues (such as issues around class, ethnicity, ability, language, age, etc.) are explicit parts of any level of strategic planning, management, implementation, evaluation or withdrawal strategies, whether this be done by local organizations/structures, or by the Oxfams themselves.

6 The constant search for better practice is developed as part of the organizational culture of the Oxfams and is facilitated in local organizations/structures. This involves using and developing participatory processes and instruments at different levels: strategic renewal, planning, monitoring, (self) audit of organizations, programs and projects, (self-) evaluation, external evaluations and impact assessment. Linking and learning across projects, organizations and countries should be stimulated.

2 The Rules of Procedure are being revised at the moment, a new version should be available during 2011

2.3. Oxfam Contract for Humanitarian Action

The Oxfam Contract for Humanitarian Action is the expression of the commitment of all Oxfam affiliates to the fulfilment of the humanitarian mandate through a set of standards and principles to be applied to ensure an effective joint humanitarian response. This brings rigor and discipline to our work.

As part of our mission to fight poverty and related injustice around the world, Oxfam commits itself to developing a comprehensive framework around emergency[3] prevention and response. In order to distinguish ourselves as a leading international rights-based development and humanitarian actor we subscribe to the following:

1 Oxfam affiliates subscribe to a rights-based approach to emergencies that acknowledges the universal applicability of Human Rights Law and International Humanitarian Law. We agree to abide by the Oxfam International Working Principles, to be held accountable to the Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organizations (NGOs) in Disaster Relief, and aspire to deliver aid in compliance with the Sphere Minimum Standards.

2 Within the framework of a rights-based approach, which guides all our work, in situations of extreme humanitarian crisis we will prioritize the right to life with dignity (as defined in the Sphere standards). At the same time we will actively strive to reduce beneficiary vulnerability to future disasters, to help men, women and children to again become active agents in their own lives, and help create sustainable livelihoods.

3 Oxfam recognizes its own diversity as a resource that should be nurtured and managed in ways that optimize impact to the benefit of affected populations. This will be done through the appropriate use of advocacy, media exposure and program intervention and by making use of its comparative advantages.

4 Oxfam acknowledges the need to gather information, views and analysis from diverse sources including partners, beneficiaries, civil society, the state, colleague human rights and humanitarian organizations and official representatives from the international community, in order to provide early warning and to inform its response activities. The diverse views of men, women and children should be sought in information gathering, emergency preparedness and humanitarian response.

5 Oxfam commits to developing an integral comprehensive emergency preparedness and response capacity as part of the overall harmonization process. This will encompass advocacy, media and program interventions, which will range from partner-led initiatives, to working through and supporting other actors, to Oxfam-managed interventions. Oxfam will whenever possible work with and through local and accountable organizations in its humanitarian work, including prevention, mitigation and preparedness work, although it is recognized that this is not always or at each stage possible or appropriate. All interventions will be assessed against the ability to deliver against Sphere minimum standards, with special attention paid to issues of diversity and gender, and we commit to help to build local capacity to reach this.

6 Oxfam commits to work in a timely, efficient and effective manner to respond to needs to the extent of our capacity, while recognizing the importance of other actors and urging them also to uphold their obligations.

3 Oxfam defines as emergencies situations of conflict, ongoing insecurity and natural disaster where there is exceptional and wide-spread threat to life, health and basic subsistence, which is beyond the coping capacity of individuals and the community.

7 Oxfam commits to develop speedy and flexible decision-making mechanisms to guide emergency response employing our key strengths (through joint fundraising, media, advocacy and programming) that optimize additionality and effectiveness.

8 Oxfam commits to building systems of information collection and dissemination that can respond to the needs of all affiliates to demonstrate accountability to donors, public, partners and beneficiaries.

9 Oxfam, using its membership of the Steering Committee for Humanitarian Response (SCHR) and other strategic alliances with humanitarian actors, will strive to improve and enrich international humanitarian response. Oxfam commits itself to maintaining active contact with other key players working in emergencies, e.g. the UN, in order to further coordination of humanitarian effort and to influence the policies and practices of others.

10 All Oxfam affiliates commit to a process of continuous learning throughout their agencies from their own and each other's experience and on international humanitarian law, principles and issues. They will also ensure that all staff and board members will have knowledge of and commitment to this contract as reflected in individual agency policies.

2.4. Oxfam's distinctive role in humanitarian work

Oxfam is a key player in the global humanitarian system, working alongside other international agencies as well as with local organizations and affected communities. As a major non-governmental organization, Oxfam:

- Responds to relieve human suffering in humanitarian crises, whatever their cause.
- Delivers vital assistance in the form of safe water, sanitation, emergency food security and vulnerable livelihoods support, and shelter to reduce the incidence of death and disease.
- Follows internationally-recognized principles and standards for emergencies, including the Code Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief, the Humanitarian Charter and Minimum Standards in Disaster Response and the HAP Principles of Accountability.
- Helps to prevent loss of life in future emergencies through reducing risk and increasing preparedness for disasters as part of its development work

However, given the confluence of activities, priorities and values, Oxfam's humanitarian work has a unique profile that adds value to the work of the humanitarian system as a whole.

Within the Humanitarian Sector we have specific commitments:

- Maintain and consolidate our position as the leading International Non-Governmental Organization in Water, Sanitation and Hygiene Promotion
- Assert ourselves as a leading INGO in Food Security and Vulnerable Livelihoods
- Work, whenever possible, with partners and build on local capacities
- Mainstream Disaster Risk Reduction
- Cross cutting issues such as gender and accountability to beneficiaries are non-negotiables and must be addressed in all programs.

What makes Oxfam's humanitarian work distinctive?

A rights-based approach

Underpinning all of Oxfam's humanitarian work is the belief that all people have the right to life and security. This means that all women and men affected by natural disasters or conflict will have access to the protection and assistance they need, regardless of who they are. In all of its work, Oxfam seeks to promote the full range of rights in its work: the right to a decent livelihood, to essential services, a voice in decision-making and an identity free from discrimination.

Expertise

Recognizing that other organizations are better placed to deliver certain services, Oxfam has built up considerable institutional knowledge and capacity to deliver in specific areas of emergency response: water, sanitation and hygiene promotion, emergency food security and vulnerable livelihoods. Oxfam's public health programs are renowned for the speed and efficiency with which they can provide water supplies and essential sanitation facilities on a large scale in the most difficult circumstances, while training partner organizations and communities in how to maintain these facilities. Oxfam has developed the now widely-used public health promotion approach. Oxfam also influences others to improve their own performance in emergency responses. Oxfam has also developed expertise in livelihoods programming, especially in cash programs.

An integrated approach

Oxfam integrates humanitarian, development and campaign work to maximize its impact. It believes the right to life, while taking precedence in an emergency, must be linked to other rights if people are to take control of their lives and raise themselves out of poverty. For this reason Oxfam's humanitarian work often incorporates programs to rebuild livelihoods or to empower people to speak out, organize and have a voice in changing their situation.

A risk reduction approach

Oxfam aims to reduce the future vulnerability of communities to disasters by integrating risk reduction strategies into its long-term development work. This may include conflict prevention programs; initiatives that build communities' resilience, including giving them a say in decisions that affect them and training them to be emergency responders; and disaster preparedness work, such as planting trees to reduce the risk of flooding and landslides, or building cyclone shelters. Oxfam seeks where possible to address the underlying causes of vulnerability from the outset of an emergency response and so inform the design of rehabilitation and development work. Oxfam's work to tackle poverty is also aimed at combating one of the root causes of disaster.

Working with others

With local people usually the first to respond to a crisis, it is a fundamental principle for Oxfam to work with local partner organizations and affected communities wherever possible. It seeks not only to build their capacity to respond to future disasters and so promote sustainable development, but also to learn from communities and partners that have adapted to challenges such as climate change, and disseminate these lessons.

Gender equality

Emergencies exacerbate existing power relationships in families and in communities. During humanitarian crises, there are more female-headed households, and women and girls are more likely to be the target of violence. Oxfam works to promote gender equality in emergencies by strengthening women's role in planning and implementing humanitarian response programs and ensuring women have direct access to assistance and equal control over essential resources. Every effort is made to ensure Oxfam's interventions do not increase risks related to gender-based violence and abuse.

Protection

Oxfam believes that all civilians affected by conflict and disasters should be protected from the threat of violence, coercion and deliberate deprivation, and that they have the right to receive the humanitarian assistance they need. Civilians are increasingly targeted in armed conflicts, and women and children are particularly vulnerable. Oxfam advocates for governments and armed groups to ensure that civilians' rights are protected in emergency situations, whilst seeking to reduce vulnerability and reinforce the capacity of civilians.

Learning

Oxfam is committed to improving its own performance to deliver better quality humanitarian assistance and protection. Based upon this Oxfam will have the credibility and evidence base to influence the performance of the international humanitarian system to deliver more and better protection and assistance.

Accountability

Oxfam strongly believes that being accountable to the affected communities, as well as donors, makes its work more effective, as well as giving beneficiaries ownership of the projects that affect them. This entails involving disaster-affected people in the design, implementation and evaluation of programs, consulting them on decisions that affect them and providing complaints mechanisms.

Influencing others

In line with its overall goal to work towards a just world without poverty, a key element of Oxfam's work in the humanitarian field is to influence the performance of others, including national governments and the UN system, to provide greater assistance and better protection for people affected by natural disasters and conflict. This advocacy is based on thorough research, decades of experience and our belief in the rights-based approach. We also try to mobilize the public to bring about change, for example lobbying donor governments to fulfill their aid pledges, calling for a halt to the global trade in small arms, or pressing governments of disaster-affected countries to ensure that women's rights are respected.

External relationships:

Oxfam is an active member of the global humanitarian community. We play a leading role within the UN Cluster system, particularly the WASH Cluster. Oxfam is expected to fulfil a leadership role in the WASH cluster, both in global coordination processes and on the spot operations, regardless of which Oxfam is in charge of responding to a particular emergency. We also act as constructive members of UN Humanitarian Country Teams and other consortia which aim to improve the collective quality and quantity of humanitarian assistance. We often act as chair or lead members of such groups.

Oxfam believes in supporting national capacity to respond to humanitarian crises. Wherever possible, Oxfam works with national and local government in preparedness and response. Oxfam is supportive of local and national civil society groups and works through partners wherever possible.

Oxfam is also a key member of the Steering Committee for Humanitarian Response, as well as the most relevant national based funding mechanisms in the home Oxfam countries (including Disaster Emergencies Committee – DEC, SCO and the Canadian Humanitarian Coalition).

Oxfam participates in these groups and others at the global level. During an emergency, Oxfam will coordinate efforts within these groups as far as needed. Oxfam plays a leading role in the Inter Agency Steering Committee (IASC).

2.5. Oxfam's Policy on Working with Partners in Humanitarian Response.

Introduction

Oxfam recognizes as a fundamental principle that wherever possible we should work with partners. This applies to all kinds of programs, including humanitarian ones. This is clearly reflected in key Oxfam documents, particularly the Oxfam Partnership Principles.

For the purpose of this paper we will consider an Oxfam partner "being a likeminded autonomous organization that share core values with Oxfam, that co-work in common areas of interest and that do have an agreement with Oxfam affiliates that ties accountability and performance to the existing relationship".

Working with partners in humanitarian responses implies a deliberate act of investing and promoting the capacity of those partners that are able and willing to work within the Oxfam humanitarian framework. This paper offers a policy framework, which will help to develop a strategy to ensure that progress is made[4].

Humanitarian ethos and its implementation

Oxfam is a signatory organization of the Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organizations (NGOs) in Disaster Relief

Oxfam will not compromise the fulfilment of the Code of Conduct, either when it works with partners or directly. In all circumstances Oxfam remains accountable to its constituencies; to the people we work for (beneficiaries), and to the donors, for all these principles and can not transfer its ethical responsibilities to third parties.

No exceptions can be made, and Oxfam will ensure that active measures are taken to ensure that all principles are respected equally. This is particularly relevant to the principles of independence and impartiality, as it is common that local organizations are engaged in their local realities and have legitimate interests that may compromise their ability to operate in an impartial and independent way.

Full respect and fulfilment of the Oxfam Code of Conduct is not negotiable, and should be clearly stated in our contract and agreements with partners

Quality response

Oxfam aspires to deliver humanitarian aid in compliance with the Sphere Minimum Standards; this applies equally to Oxfam partners. Oxfam is aware of the debate that surrounds the feasibility of

4 See the PPISK

worldwide implementation of the Sphere standards, and therefore the implementing guiding principles that the Sphere project provides to cope with these dilemmas, should be applicable to Oxfam partners too.

All Oxfam partners working on humanitarian responses should have been trained in Sphere Standards and be part of a wider process of building long term relationships with Oxfam within the framework of Contingency Planning.

Accountability

Oxfam receives its funds to support its humanitarian action from different sources: private donors, general public appeals, government and official institutions, corporations, UN and multilateral agencies and intergovernmental bodies. In all cases, and whatever the funding management agreements are, Oxfam remains fully accountable, (morally and legally) to its legal bodies, to the people we work for, its donors and supporters, and therefore all the good practice principles should be applied also when working with partners (i.e.: independent auditing, evaluations, etc.)

Strategy of engagement and withdrawal

Every humanitarian response with and through partners implies additional support to existing local capacities, that will end overtime. Oxfam should have a defined, documented and responsible strategy of engagement and withdrawal in humanitarian responses, so that the process of humanitarian partnership is empowering local capacities and not generate further problems to programs or the partner itself.

Promoting partners work

Working with partners in humanitarian responses implies a deliberate act of investing and promoting the capacity of those partners that are able and willing to work within the Oxfam humanitarian framework. In order to do so, Oxfams will invest in terms of time, funds, skills, awareness and adequate training and capacity building of those partners. This training/capacity building should be based on an open use of our own and other agencies expertise and resources.

The contingency plans should be the starting point for the definition of these investments.

Implementation strategy:

In order to implement these policy principles, a partnership toolkit (PPISK) and other resources have been developed through the Emergency Managers' Network. This toolkit contains the resources for CLTs to organize collective workshops to think through their partnership strategies.

2.6. Oxfam's position on the neutrality principle

Oxfam defines neutrality principle as follows[5]:

Neutrality means not taking sides in any sphere of competition or conflict of a political, racial, religious or ideological nature.

This principle is different, but very much interconnected with two other principles: Independence and impartiality, defined as:

5 Reference document: Oxfam Interpretation of the neutrality principle and the Do no Harm approach.

Independence means not acting in support of the political objectives or actions of States or parties in conflict.

Impartiality means not discriminating with regard to nationality, race, religious belief, class or political opinions, and not taking into account people's social, political, ethnic, religious etc affiliations in assessing whether they have needs that should be met, and therefore giving priority to the most urgent cases of distress.

Oxfam is a signatory of the Red Cross and NGOs in Disaster Relief Operations Code of Conduct. This Code does endorse the independence and impartiality principles but not the one on neutrality, which the IFRC (International Federation of Red Cross) subscribes to. Oxfam does not subscribe to the neutrality principle.

Why Oxfam is not neutral?

Oxfam cannot claim to be neutral as our action is a rights based approach, which implies that people have the right to defend the basic human rights they are entitled to, and that Oxfam is an actor in defending and proactively promoting the implementation of these rights.

The pre-assumption that most of the not fulfilled rights are due to injustice or exclusion, brings a dimension of conflict of interests in the work we do and in the realities we are part of.

Therefore being non-neutral means having a position on the causes of the conflict or the disaster. This position should guide our action in a wise way, not in a blind one by ignoring other principles and realities of which we should be aware of.

Oxfam assumes that defending and promoting rights could be the basis of many conflicts. Oxfam does take its own stand in the analysis of the conflicts that provoke disempowerment of people's rights and takes position on it. This position is not translated into partisan action which would work against our independence and impartiality principle, but guide the best strategy to apply at each moment.

2.7. Oxfam Humanitarian Policy Compendium Notes

Oxfam Humanitarian Policy Compendium Notes are short statements of Oxfam position on a range of issues. They are produced to:

1 Underpin Oxfam campaigning. The compendium provides material for:

- The development of increasingly SMART campaign objectives
- The proposed campaign report

2 Set out Oxfam policies on some issues that are not campaign objectives – but that Oxfam recognizes are important parts of the solution, prioritized by other NGOs, to the world's conflicts and 'natural' disasters. In this sense, it helps give Oxfam the space to robustly focus its campaign effort without being criticized for ignoring wider concerns.

3 Provide 'off-the-shelf' guidance to:

- Policy leads drawing up new policy on specific crises
- All members of staff proactively or reactively dealing with external contacts – for example, government officials in program and affiliate countries. The notes are self-explanatory for Oxfam field staff and are not written in policy jargon.

4 Present Oxfam policies to all interested external users – through Oxfam and affiliates' web sites.

The Notes have a standard format:

- 5 or fewer policy recommendations.
- Description of the issue. Wherever possible, this is divided up according to the different policy recommendations. It refers to Oxfam's relevant experience, and clearly shows how Oxfam analysis of each issue leads to the policy recommendations. It includes powerful facts to back up the argument.
- Where relevant, Oxfam behaviour on the issue: e.g. how Oxfam is ensuring humanitarian quality.

Oxfam Humanitarian Policy Compendium Notes are posted on SUMUS and translated into French and Spanish.

Examples of Humanitarian Policy Compendium Notes available are: Gender issues in conflict and humanitarian crisis; EU's role in protecting civilians; protecting refugees; IDPs and asylum seekers; private sector and humanitarian relief; humanitarian funding; provision of aid by military forces; international criminal court; UN peace-building commission; Food Aid; Humanitarian accountability; etc

2.8. Internal Codes and Standards

Code of conduct against Sexual Exploitation and Abuse

Humanitarian agencies have a duty of care to beneficiaries and a responsibility to ensure that beneficiaries are treated with dignity and respect and that certain minimum standards of behaviour are observed. Oxfam affiliates should incorporate the principles of the Code of Conduct against Sexual Exploitation and Abuse into their codes of conduct, and ensure that individual staff members sign these.

With SMS it is expected that all staff operating within a country, irrespective of affiliate, must sign the shared Oxfam Code of Conduct prior to Go Live. For more information on the Oxfam Code of Conduct recently developed, please consult the SMS toolkit (version 2.1).

2.9. External Codes and Standards Subscribed to by Oxfam

Whilst Oxfam has its' own internal guiding principles and codes, Oxfam has also signed up to and aims to comply with a number of international codes and standards across all programs, in order to ensure quality programming, to protect beneficiaries and staff..

The table of signature of affiliates to the different codes is available here:
https://sumus.oxfam.org/humanitarian-consortium-management-group/documents/humanitarian-framework-codes-standards
Here we provide just a quick overview, but you will find more information by clicking on the links.

2.9.1. The Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organizations (NGOs) in Disaster Relief

Purpose

This Code of Conduct seeks to guard our standards of behavior. It is not about operational details, like how to calculate food rations or set up a refugee camp. Rather, it seeks to maintain the high standards of independence, effectiveness and impact to which disaster response NGOs and the International Red Cross and Red Crescent Movement aspires. It is a voluntary code, enforced by the will of the organization accepting it to maintain the standards laid down in the Code.

In the event of armed conflict, the present Code of Conduct will be interpreted and applied in conformity with international humanitarian law.

The Code of Conduct is presented first. Attached to it are three annexes, describing the working environment that we would like to see created by Host Governments, Donor Governments and Inter-Governmental Organizations in order to facilitate the effective delivery of humanitarian assistance.

Click here to see the Code of Conduct and its annexes.

2.9.2. Humanitarian Charter and Minimum Standards in Disaster Response (Sphere)

The Sphere Project was launched in 1997 by a group of humanitarian NGOs and the Red Cross and Red Crescent movement. Sphere is based on two core beliefs: first, that all possible steps should be taken to alleviate human suffering arising out of calamity and conflict, and second, that those affected by disaster have a right to life with dignity and therefore a right to assistance. Sphere is three things: a handbook, a broad process of collaboration and an expression of commitment to quality and accountability. The project has developed several tools, the key one being the handbook.

The handbook was updated in 2011, and Oxfam was part of the updating process.

The main changes included a strong Protection focus, inclusion of cash transfers, civil-military relations and early recovery. There is a stress on humanitarian coordination (in light of the reform process) and a strengthening of sections around cross-cutting issues (including children, elderly, gender, HIV/AIDS, people with disabilities, protection, psycho-social, climate change, DRR and the environment). The Sphere Handbook is organised as follows:

The Humanitarian Charter

The cornerstone of the handbook is the Humanitarian Charter, which expresses agencies' commitment to fundamental humanitarian principles.

This commitment is based on agencies' appreciation of their own ethical obligations, and reflects the rights and duties enshrined in international law including the:

- Universal Declaration of Human Rights
- Geneva Conventions / International Humanitarian Law
- Refugee Law

Agencies recognize that their fundamental commitment must be to those they seek to serve.

Reaffirming the primacy of the humanitarian imperative, the Humanitarian Charter spells out three overarching principles, which are based on both legal and moral/ethical considerations:

- The right to life with dignity;
- The right to protection and security;

- The right to receive humanitarian assistance

Core Minimum Standards

These are the overall expected Minimum Standards for all programs. The focus is on:

1. People centered humanitarian response
2. Coordination and collaboration
3. Assessment
4. Analysis and design
5. Performance, transparency and learning
6. Aid Worker Performance

Sector Specific Minimum Standards:

They specify the minimum levels to be attained in overall programming by each sector. (The sectors covered by Sphere are: Water Supply, Sanitation and Hygiene Promotion; Food Security, Nutrition and Food Aid; Shelter, Settlement and Non-Food Items; Health Services)

Key actions

Key actions are necessary activities and inputs to be taken in order to meet the minimum standards

Key indicators

They are signals that show whether the standard has been attained.

Guidance notes

They are specific points to consider when applying the standard in different situations, guidance on tackling difficulties and advice on priority issues

The Sphere Standards should be considered in assessment, program design, and throughout the project cycle, including monitoring and evaluation.

For more information click here: www.sphereproject.org

2.9.3. The Humanitarian Accountability Partnership (HAP)

The Humanitarian Accountability Partnership (HAP) International was established in 2003 to promote accountability to people affected by humanitarian crises and to acknowledge those organisations that meet the HAP Principles of Accountability. The HAP Standard was updated in 2010.

The HAP Standard helps organisations that assist or act on behalf of people affected by or prone to disasters, conflict, poverty or other crises to design, implement, assess, improve and recognise accountable programmes. It describes how to establish a commitment to accountability and the processes that will deliver quality programmes for the people who experience them first hand.

Organisations sign up and are commit to being accountable to the following standard commitments:

Recognising that the essence of accountability is to respect the needs, concerns, capacities and situation of the people they aim to assist, and to be answerable for their actions and decisions to these people and other stakeholders;

Respecting international humanitarian law, international refugee law, human rights law, and other relevant international treaties and national laws;

Reaffirming the primary responsibility of states for all persons on their territories and their duty to provide assistance and protection to people in need;

Upholding the right of people in need to receive assistance and protection on the basis of their informed consent, and everyone's right to offer assistance appropriate to people's needs;

Acknowledging the duty of care shared by all those involved in humanitarian action for the well-being of the people they aim to assist; and

Recognising also that the responses to the humanitarian imperative can take different forms, and may be affected by external constraints,

Click here for more information on the HAP Standards and the 6 HAP Benchmarks: Establishing and delivering on commitments; Staff competency; Sharing information; Participation; Handling complaints; and Learning and continual improvement.

Click here for more information on HAP-I http://www.hapinternational.org/

2.9.4. The People in Aid Code of Good Practice

The People in Aid Code of Good Practice is an internationally recognized management tool that helps agencies enhance the quality of their human resources management. The Code provides a comprehensive and sector specific framework relevant to organizations of any shape or size.

The guiding principle: People are central to the achievement of our mission

Our approach to the people who work for us is fundamental to the achievement of our mission. We recognize that the people who work for us merit respect and proper management, and that the effectiveness and success of our operations depend on the contributions of all salaried and contract staff, and volunteers.

Click here to see the 7 People in Aid key principles

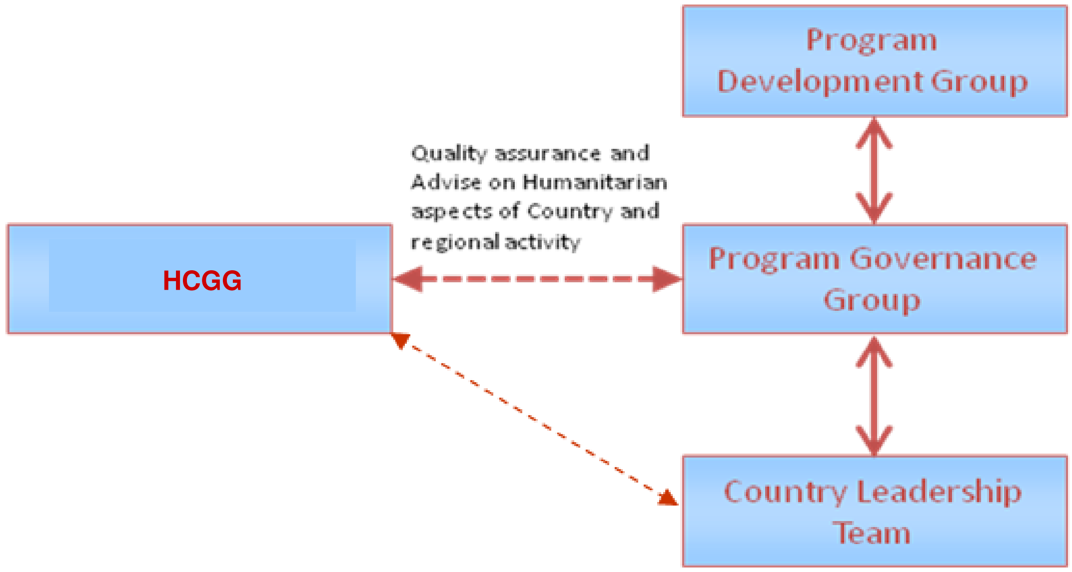
Click here for more information on People in Aid: http://www.peopleinaid.org

3. Oxfam's Architecture: Decision-Making and Guidelines

3.1. Introduction to Oxfam's Architecture

This section explains **HOW** Oxfam works in humanitarian emergencies, how decisions are made and gives a guide to the roles and mandates of different groups within Oxfam, which are involved in a humanitarian response.

The overarching principle of any response is that: All humanitarian responses carried out by any Oxfam are joint Oxfam responses. All humanitarian responses must follow the principles and steps as described in the Humanitarian Dossier.



3.2. Oxfam architecture: international level – Roles and Responsibilities

3.2.1. The Humanitarian Consortium (HC) and the Humanitarian Consortium Governance Group (HCGG)

The Oxfam Humanitarian Consortium (HC) is a limited number of Oxfams working together on behalf of all Oxfams to provide steer and support to Oxfam humanitarian work, agreed in the Oxfam International Strategic Plan and Rights in Crisis Operational Plan. This includes all ranges of activities within Aim 3 (e.g. prevention, preparedness, program response, conflict reduction, etc). Membership to the Humanitarian Consortium is assessed every three years through a peer process that evaluates the technical capacity, the professional experience and the resources (human and financial) that affiliates can devote to humanitarian work.

Current members of the HC are: Oxfam America, Oxfam Australia, Intermon Oxfam, Oxfam Great Britain and Oxfam Novib.

The Humanitarian Consortium is led by the Humanitarian Consortium Governance Group (HCGG).

Oxfam's humanitarian responses are steered and supported by members of the HCGG. The HCGG is responsible for assuring the quality of Oxfam's response through advice and dispute resolution.

The HCGG supports development of and liaises with the Programme Governance Groups (PGG) through agreed liaison persons. It advises the PGG during sign-off of Humanitarian Investment Plans (priority 1 countries), Contingency Plans and JCAS. The HCGG can be called on for dispute resolution during a response directly by a Managing Affiliate, Country Leadership Team or Programme Governance Group.[6]

HCGG has a specific role of assuring quality within the humanitarian program, ensuring the performance of the PGG and CLT delivery of their role in humanitarian response. It will report any concerns around country capacity to the Humanitarian Lead and the Managing Affiliate and if necessary escalate to the PGG. It will also advise the PDG about any concerns about PGGs.[7] HCGG plays a governance role for Category 1 and 2 emergencies, whilst it is expected that Category 3 emergencies are governed by the PGG. The HCGG may have a direct governance/accountability line to the CLT where necessary.

The Humanitarian Consortium Governance Group is accountable to Oxfam's Executive Directors.

The HCGG members:

- A senior manager/member of staff of each member affiliate (e.g. the Humanitarian Director or any other senior staff member appointed by the affiliate, who is able to take top level decisions and commit the affiliate)
- Oxfam International Humanitarian Director
- Oxfam International Rights in Crisis Campaign Manager

HCGG regular invitees:

- On an ad hoc basis, the Oxfam International Humanitarian Policy Advisor based in Geneva and Oxfam International Head of the New York Office.
- On an ad hoc basis, the Oxfam International Policy Advisors of Addis Ababa, Brussels and Cairo offices can be also invited.

For more information on the specific roles and responsibilities of the HCGG pre-crisis and during response, please see the TOR of the HCGG: https://sumus.oxfam.org/humanitarian-consortium-governance-group/documents/humanitarian-consortium-governance-group-tors

3.2.2. The Extended Humanitarian Consortium (EHC)

The Extended Humanitarian Consortium (EHC) was agreed in November 2009. The EDs approved to create a second level of associated members to the consortium, to ensure a common approach to humanitarian work across the confederation.

6 Taken from the Humanitarian Roles and Responsibilities Document, SMS Tool-Kit

7 As above, taken from the Humanitarian Roles and Responsibilities Document, SMS Tool-kit

This is made up of the HCGG plus other Oxfam Affiliates not currently in the HCGG but working towards Humanitarian programming and achieving quality programming.

The membership criteria for being an EHC member is: having the capacity to fulfil the responsibilities and duties, and having an investment plan for it, as well as:

1. Being a 'national' responding Oxfam, aiming to lead humanitarian responses in the next two years. Or…

2. Being an Oxfam humanitarian lead in some country.

Currently candidates for the EHC are: Oxfam in Belgium, Oxfam Canada, Oxfam India and Oxfam Hong Kong

3.2.3. Oxfam International Humanitarian Director (HD) and the OI Secretariat

The Oxfam International Humanitarian Director chairs and coordinates the Humanitarian Consortium Governance Group and provides strategic leadership, trouble-shooting, resolving disputes and decision making when necessary. He/she works within the Oxfam International Secretariat and is directly accountable to the Oxfam International Executive Director (OI ED). He/she is responsible to lead the development of the Humanitarian Consortium in order to ensure a quality humanitarian response. The OI HD along with the HCGG is responsible for oversight of humanitarian program quality at country level. The HD ensures coherence and integration between Oxfam's humanitarian advocacy work (rights in crisis) and emergency response work.

The Oxfam International Humanitarian Director is supported by a Humanitarian team, currently made up of two Humanitarian Officers, the Humanitarian Quality and Processes Officer and the Humanitarian Information Administrator.

The OI Humanitarian team provides support to governance, operations, process and information across the Confederation. The Secretariat supports through: involvement in evaluations and RTEs (especially Cat 1 and 2); deployment to humanitarian crises to support co-ordination; support in preparedness in the pre-emergency phase. The OI Humanitarian team also coordinates and provides strategic orientation to the Emergency Managers Network (see section 3.2.6), and supports information sharing (through Sumus, humanitarian newsletters & updates etc).

It was reaffirmed in February 2011 by the EDs that:

- The OI Humanitarian Director leads the HCGG.
- The OI Humanitarian Director has 'visiting rights' with the expectation of support in Cat 1 & 2 emergencies.
- OI Humanitarian Officers will be deployed as necessary by the Humanitarian Director for Cat 1 & 2 emergencies, including RTEs, in consultation with the MA/LA to support Oxfam processes, etc.
- OI ED arbitrates where requested by HCGG.

3.2.4. The Rights in Crisis Campaign Management Team (RiCCMT)

The Rights in Crisis Campaign Management Team (CMT) is responsible for the development, implementation and day to day coordination of Oxfam International humanitarian campaigning and advocacy.

The CMT is made up of advocacy and campaign managers in affiliates, particularly those affiliates that are members of the Humanitarian Consortium, as well representatives from OI offices and is chaired by the Rights in Crisis campaign lead. Membership is periodically reviewed.

More specifically the role of the Campaign Management Team is to:

1. Develop and direct the Rights in Crisis campaign strategy

   The RiC CMT is responsible for devising, implementing and evaluating the overall OI Rights in Crisis campaign operational plan. Part of this responsibility is developing appropriate architecture, sub groups and ensuring quality of our policy analysis and identifying and addressing research gaps.

2. Provide reactive leadership

   In new emergencies, or in response to emerging opportunities at an international level, the RiC CMT will ensure a timely, appropriate and impactful response.

3. Provide direction to country teams and affiliates

   The RiC CMT provides strategic direction and advice to country teams and affiliates engaged in humanitarian campaigns and advocacy

4. Ensure accountability

   The RiC CMT ensures that country and thematic strategies related to humanitarian campaigning and advocacy are adhered to, that RiC sub groups are functioning according to their ToR.

5. Direct OI RIC resources

   The RiC CMT is responsible for allocating the resources of RiC staff who work in international offices, managing competing demands

3.2.5. The Rights in Crisis Campaign Lead (RICCL)

The RiC Campaign Lead chairs and coordinates the Rights in Crisis Campaign Management Team and provides strategic leadership, vision and direction to the various elements of Oxfam International humanitarian campaigning. The RiCCL sits on the Campaign Sub Group (CSG) and the HCGG. He/she works within the Oxfam International Secretariat and reports to the Oxfam International Deputy Advocacy and Campaign Director.

3.2.6. The Emergency Managers' Network (EMN)

The Emergency Managers' Network is a supportive virtual community of practitioners that reports to the Humanitarian Consortium Governance Group to prepare Oxfam for an efficient emergency response, considering disaster risk reduction, based on learning from practical experience, developing suitable tools and providing appropriate capacity support to Country Leadership Teams and local actors.

The Emergency Managers Network is made up of specialist humanitarian practitioners from all the affiliates, with a lead representative from each affiliate who acts as a primary contact within that affiliate through the EMN on humanitarian matters.

EMN gives support to affiliates, regions and countries by promoting:

1. Shared practices and learning,

2. Internal dissemination of lessons, standards, tools and procedures adopted within Oxfam (including the Humanitarian Dossier)

3. Development, implementation and delivery of Oxfam core humanitarian competencies in Water, Sanitation and Hygiene (WASH) and Emergency Food Security and Vulnerable Livelihoods (EFSVL).

And by giving support to the HCGG in its quality control role across the Oxfam confederation.

As well as the core EMN group (working on overall quality of response issues, contingency planning etc), there are a number of sub-groups of the EMN working on specific technical areas, including:

- Water, Sanitation and Hygiene (WASH)
- Emergency Food Security and Vulnerable Livelihoods (EFSVL)
- Monitoring, Evaluation, Accountability and Learning (MEAL)
- Gender in Emergencies[8]
- Disaster Risk Reduction
- Logistics and Supply Chain Management (L&SCM)
- Human Resources
- Partnership[9]

3.3. Country and Regional Level Oxfam Architecture – Roles and Responsibilities

3.3.1. Managing Affiliate/Humanitarian Lead

The Managing Affiliate (MA) is responsible for ensuring that that humanitarian preparedness and response work is appropriately led and is delivered by the various affiliates active in country. It also ensures that this is done within the expected standards, as set out in the Humanitarian Dossier.

The preferred option is when the Managing Affiliate and the Humanitarian Lead are the same, especially in Priority 1 Countries, but this is not always the case.

The Managing Affiliate must make sure that the roles and responsibilities of MA/Humanitarian Lead are clear[10] and that there is the right level of capacity to respond.

Humanitarian response should be led by a pre-designated Humanitarian Consortium member in Priority 1 countries (unless otherwise agreed by the Executive Directors) and is usually led by (Extended) Humanitarian Consortium Members in Priority 2 and 3 countries.[11]

This document indicates the Humanitarian Leads, which in most cases are the Managing Affiliates. The step aside process remains unchanged: Oxfam GB leads in all category 1 and 2 emergencies. If any affiliate retains leadership in the country, it is indicated in the table.

3.3.2. Role of the Managing Affiliate

The Managing Affiliate is responsible for:

8 Gender in Emergencies Group is due to be merged into the EMN Core Group by March 2012

9 Partnership group is due to be merged into the EMN Core Group by March 2012

10 These should be clearly specified in the Country Operating Model

11 Taken from Humanitarian Roles and Responsibilities Document, SMS Toolkit Version 2.1

- Leading the development of the Country Transition plan[12]
- Developing and assuring the quality of the Oxfam Contingency Plan (Priority 1 and 2 countries)[13] and Advocacy and Media strategies
- Humanitarian Investment Plan (Priority 1 countries)
- Sign-off of the Oxfam Strategy Documents[14], Advocacy and Media Strategies and any other country level products.
- Making sure that the humanitarian preparedness and response work is led and delivered by the affiliates as described in the Country Operating Model and according to the Humanitarian Dossier

3.3.3. Role of the Humanitarian Lead

As designated by the Managing Affiliate, the Humanitarian lead is responsible for:

1. Delivery of humanitarian programs

   The Humanitarian Lead must have key capacity to deliver humanitarian response (directly or through partners) in line with expected Humanitarian Standards as explained within the Dossier (including according to the WASH and EFSVL, Supply and Logistics, MEAL and GIE Minimum Standards).

   This means having the resources which are either in-country or deployable within 48 hours: key humanitarian staff, including technical, managerial and support staff. Scale up: significant access to additional rapidly deployable humanitarian staff.

2. Leadership of Oxfam joint response.

In summary, the Humanitarian Lead has capacity to:

3. Provide humanitarian steer to the Country Leadership team, document decisions, share information
4. Make sure that there is a quality Oxfam Contingency Plan in place, and capacity building of Oxfam and partners
5. Declare and classify the category of the emergency, monitor the situation, write and post situation reports.
6. Oxfam joint action plan/response strategy including all implementing affiliates, needs assessments.
7. Make sure overall quality and coherence of Oxfam joint response, humanitarian MEL capacity
8. Leadership to advocacy and campaigning
9. External representation
10. Funding coordination of implementing and funding affiliates.

12 See the SMS Toolkit version 2.0, section 1, A01 (Country Implementation) and A02 (The Preparation Stage) for more details on what the development of the Country Transition plan entails.

13 On agreement the process may be managed by the Humanitarian Lead, but the Managing Affiliate is ultimately responsible.

14 Previously the Oxfam International Action Plan

The operating model may describe how these services are provided to the Humanitarian Lead by other affiliates in country.

The responsibilities of the Humanitarian Lead are explained in more detail here below in the table: Minimum Requirements of a Humanitarian Lead.

Roles and Responsibilities of the Humanitarian Lead Table:

Humanitarian Lead agency roles	**CRITERIA**	**Min. Investment Needed**	**Min. Staff needed in HQ**
Providing Humanitarian leadership within the Country Leadership Team	Humanitarian leadership capacity at country Level, able to lead the Country Leadership Team — or subgroup like HCT — in an efficient way and according to the procedures of the HD; regular meetings dedicated to humanitarian roles and Oxfam commitments take place and members know what is expected. Support in coordination can be given by the OI Secretariat Humanitarian team. Costs for OI visits to be included in the response budgets by the Humanitarian Lead	AT least 1 Humanitarian professional present in country pre-crisis (Humanitarian Coordinator [HC]) who works with partners and affiliates to develop contingency plan with clear management plan).	
Assuring quality of the contingency plan	Practical Oxfam contingency plan on Sumus, including clearly defined leadership/coordination roles within and between affiliates and staff assigned to the roles and partners. Capacity building is organized where gaps are identified.	Same as above.	Humanitarian team to assure quality of plan. Program Governance Group approves. HCGG quality assurance.
Ongoing monitoring humanitarian situation	Senior staff available and deployable. Information management: regular sit-reps on SUMUS. Field presence and authorization from local government to operate in the country.	Humanitarian Coordinator (HC same as above). Communications officer. *All available pre-crisis.*	Staff ready to deploy.
Declaration and classifying category of emergency	Senior staff on the ground; with capacity for timely (within 24 hours) declaration of emergency.	Humanitarian Coordinator; same as above.	Backstop and accountability.
Timely delivery of Oxfam Humanitarian Strategy	Senior staff available to write and adjust an Oxfam Strategy Document presented to Country Leadership Team (formerly HCT) within 48 hours.	Same as above plus significant access to additional rapidly deployable staff including those with technical expertise.	Resourcing to identify additional staff, leadership and advice (technical and management)

Providing leadership in the operational phase of the emergency (timely needs assessment, timely response, proportionate response)	Assessment of needs capacity to get it done in less than 72 hours; Oxfam Strategy Document based on needs assessments fed by staff from various affiliates, partners and others and is proportional to Oxfam capacities and reputation. This includes WASH. EFSLVL and Supply and Logistics.	Humanitarian staff with agreed, recognised managerial and technical experience, working with the above mentioned leadership to do assessment, planning and implementing available in country or within a maximum of 48 hrs.	
Providing leadership to advocacy and campaigning messages	Media capacity on the ground: press releases management and sign-off process management. Policy and advocacy capacity: producing Oxfam briefing papers and advocacy messages with well grounded power analysis, capacity to deliver Oxfam messaging.	1 full time policy/advocacy lead. 1 media lead both I country pre-crisis	Full time Media person dedicated to support Full time Advocacy person dedicated to response
Funding coordination	Able to provide high professional finance global management involving many donors and complex financial portfolio. Able to activate fundraising mechanisms at a large scale level and coordinate them efficiently Capable Staff available to produce and update Oxfam funding grids that back the strategy document; funding grid produced within 48 hrs.	1 dedicated funding coordinator	Dedicated support to the financial advisor
Documentation of decisions	Information management: capacity to deliver quickly, availability of reliable communications systems to be used in the first phase of the emergency, use of Oxfam systems and tools (e.g. Sumus).	Communications (as above)	Support from HQ with postings etc.
Represent Oxfam externally	Networking capacity with global actors (UN, INGOs, donors, etc.). Networking capacity with local, regional actors.	1 Senior manager (already mentioned above)	
Capacity to Deliver	The lead agency is able to deliver humanitarian response (directly or through partners) in a fast, efficient, accountable and reliable manner. Lead agency is able to deliver humanitarian aid according to the Humanitarian Code of Conduct and Sphere Standards. Supply chain Management capacity that is responsive, effective and can mobilize, coordinate, manage and	1 additional staff, depending on scale/number & quality of partners; this can be technical staff Supply chain management capacity (self or partners)	

	control the movement of resources to meet project needed in a timely manner.		
Provide leadership in M&E (RTEs)	Resources to monitor quality of humanitarian programs, provide a M&E framework and organize a RTE. Resources for RTEs to be included in budgets of responses by Humanitarian Lead	1 M&E advisor	Back-up from M&E unit

Field Staff needed in country at time of emergency:

Senior Staff Manager; Humanitarian Coordinator; Humanitarian Staff; Country Logistics Manager (or equivalent) Technical leads; Policy Advocates; Press officers.

Numbers depend on scale and nature of emergency

3.3.4. Complementary Roles of the Implementing Affiliates

The Humanitarian Lead has the responsibility to lead the Oxfam humanitarian response to ensure that such response is coherent and carried out according to the agreed quality standards.

The responsibilities of the Implementing Affiliates match and complement those of the Humanitarian Lead, imply acceptance of the leadership and thus empower the Humanitarian Lead to perform its role.

1. Sharing relevant information with the Managing Affiliate/Humanitarian Lead

The Implementing Affiliates ensure that the Managing Affiliate/Humanitarian Lead receives all the information related to their program, capacity and resources together with relevant details of current and potential partners.

2. Sharing assessments, documents, reports and plans with the Country Leadership Team

The led agencies circulate assessments documents, reports and plans with the Country Leadership Team.

3. Actively participating in the activities of the Country Leadership Team

The Implementing Affiliates actively engage in the work of the Country Leadership Team and ensure that decisions taken are shared to all those concerned within the respective affiliate. Each Implementing Affiliate appoints a key contact person at an appropriate level who ensures that communication between affiliates can be maintained.

4. Agree to respond in line with the agreed Joint Strategy

The Implementing Affiliates responses are within the framework of the Joint Strategy agreed within the Country Leadership Team. Any changes to the framework should be brought to the attention of the Managing Affiliate/Humanitarian Lead and discussed within the context of the Country Leadership Team.

5. Actively participating in the monitoring and evaluation activities

The Implementing Affiliates actively contribute to all the aspects of the evaluation process, from defining terms of reference and methodology to team identification and evaluation activities.

3.3.5. Humanitarian Role of the Country Leadership Team (CLT)

The Country Leadership Team is a group of senior staff including the Country Director. It supports the Country Director in their Oxfam-wide leadership role.

The CLT is responsible for developing program coherence and quality and ensures that Oxfam Standards are being applied in all Oxfam work. The Country Leadership Team will work collaboratively, and where possible by consensus, but the Country Director is the leader of the team and has the ultimate authority ensuring that the Country Leadership Team delivers the Country Strategy.[15]

At minimum, this Country Leadership Team is made up of the Country Director plus the Heads of Implementing Affiliate for that country. Where appropriate it will be expanded by the Country Director to create a multi-disciplinary Country Leadership team.

For priority 1 countries it is recommended to have a formal Humanitarian Country Team (HCT) and in all countries the JCAS and operational model needs to clarify which structure/group is dealing with humanitarian preparedness and response.

In the case of a dispute the Country Director provides dispute resolution. The Country Leadership Team will advise the Managing Affiliate and provide clarification.

It is the overall responsibility of the Managing Affiliate, through the Country Director, to manage issues such as security and health and safety and opportunities for shared capacity building.

CLTs may decide to create a sub-group of the CLT to manage the humanitarian responsibilities, but the CLT will be ultimately responsible.

It is expected that the CLT in priority 1 and 2 countries has at least one member with humanitarian expertise.

Humanitarian Tasks of the CLT

The CLT is a forum where affiliates:

- Share information regarding their joint/affiliate humanitarian programs in the country
- Coordinate their activities and develop proposals, ensuring a proper link at the different levels: program, media and communications, advocacy, campaign and marketing
- Analyze and discuss the humanitarian situation in the country
- Take decisions on country strategy for preparedness and humanitarian response.

Leadership and decision making process

The Country Leadership Team works under the leadership of the Managing Affiliate, ultimately responsible for the response.

Within the Country Leadership Team, the Managing Affiliate is in charge of:

15 SMS TOR for the CLT, SMS toolkit Version 2.1

- Defining the ways of working of the Country Leadership Team
- Convening regular meetings and (if not possible) regular teleconferences
- Chairing meetings and teleconferences
- Ensuring that the decision making process is timely, informed and in line with Humanitarian Dossier procedures.

Whilst the MA is ultimately responsible, the Implementing affiliates are not passive recipients, but have a proactive role in sharing information and being involved in the activities of the Country Leadership Team on humanitarian issues.

3.3.6. Role of the Program Governance Group (PGG):

The Program Governance Group provides oversight and holds the Managing Affiliate accountable for delivery of the strategy, performance and funding of all programs, including humanitarian preparedness and response.

The Program Governance Group's role is to govern on behalf of all affiliates. It must respect the management role of each country's Managing Affiliate.

The Program Governance Group is accountable to the Program Development Group for the fulfillment of its Mandate.[16]

In preparation for a response, the PGG makes sure that the CLT has the right expertise (including for Humanitarian). This includes capacity to sign off the Humanitarian Investment Plan, Contingency Plan and the JCAS and JRAS.

During category 3 responses, the PGG will hold the MA accountable for delivering a response which meets Oxfam's' commitments and expectations.

Over time, the PGG should develop the capacity, skills and experience to fulfill a governance role in small category 2 responses. It is expected though that in the early stages of SMS most PGGs do not yet have this capacity and a transition over time will be managed with support and oversight from the HCGG. For large category 2 and 3 responses HCGG is expected to step aside the PGG and ascertain global governance of these responses. In case of such a step aside, the PGG remains informed and continues to advice CLTs on business continuity (mainly of development programmes) and transition from humanitarian to development programmes.

The PGG will manage dispute resolution, which cannot be worked out at the CLT level. Issues which cannot be resolved by the PGG will be escalated to HCGG (including on issues such as categorization, step aside etc).

Each PGG should have at least one member with humanitarian expertise. The PGG should appoint one Humanitarian Liaison person who communicates with a link person within the HCGG.

3.3.7. Role of the Program Development Group (PDG)

The Program Development Group is responsible for oversight of the Program Governance Groups, dispute resolution (related to planning and preparedness) and integration through the Global Team. The HCGG has one representative on the PDG.

The Program Development Group is a confederation governance body. It is a non-representational group that expected to be able to think and act in the interest of Oxfam.

16 Taken from the TOR for PGG in the SMS Toolkit, Version 2.1

The PDG has a role to play in ensuring coordination across multiple regions and globally.[17]

3.3.8. The Oxfam Response: basic guidelines and principles

Having identified roles and responsibilities of the different actors involved in Oxfam humanitarian work, below are some key points of interactions between Oxfams together with a logic sequence of events that could be considered as the basic framework of Oxfam coordination in an emergency.

Contingency plans and Preparedness

In countries that have been identified as priority 1 and 2, the Managing Affiliate ensures that a Contingency Plan is developed. The Contingency Plan should include:

- Risk mapping in the country and identification of likely emergency scenarios
- Identification of capacity and resources existing in the country (capacity of the country to cope with the emergency and availability of resources external to Oxfam)
- Mapping of capacity and resources within Oxfam and its partners (with explicit mention of the engagement of the different Oxfams, particularly those that are members of the Humanitarian Consortium).

The Contingency Plan is the basis of Oxfam preparedness.

When a disaster happens

When an emergency occurs, the Managing Affiliate convenes the Country Leadership Team for the purpose of:

- activating the Contingency Plan
- doing a preliminary analysis of the situation (external)
- doing a preliminary analysis of available skills and resources (internal and external)
- leading a first assessment and sketch what could be done by the Oxfams at program, advocacy and media levels
- on these basis, developing a Joint Strategy .

The response

An Oxfam humanitarian response will be carried out according to the Contingency Plan (for those prioritized countries) and under the leadership of the nominated Managing Affiliate (or Humanitarian Lead as designated in the Country Operating Model, where these differ). The Managing Affiliate/Humanitarian Lead ensures that:

1. The ongoing situation is constantly monitored in order to be able to detect, at an early stage, a looming humanitarian crisis. The analysis and relevant information are widely shared with other Oxfams, partners and other stakeholders through Situation Reports.
2. In the case of a (major) quick or slow onset crisis, a formal momentum is created within the Country Leadership Team to consider the decision of Oxfam to intervene in the crisis. This will include:

17 For more information see the SMS Document RG01 Governing Regions, in the SMS Toolkit Vs.2.1

- an analysis of the situation (external)
- an analysis of the resources and skills available (internal and external)
- an analysis of what can be done by the Oxfam.

The analysis should be in such a format that enables decisions to be made about whether to respond and what kind and level of response is needed.

- Develop a Joint Strategy, covering program response, advocacy and media (framed within the existing Contingency Plan)
- a proposal for a time frame for the activities in the Joint Strategy.

The analysis, the Joint Strategy and other relevant information should be posted on Sumus by the Managing Affiliate/Humanitarian Lead without delay.

In a quick onset emergency, the Managing Affiliate/Humanitarian Lead is responsible to ensure that the Joint Strategy are produced within 48 hours and posted without delay on Sumus. This functions as an early indicator to the Oxfam that there is an emergency situation and provides the impetus for other activities in support of the proposed emergency intervention to begin (media, fundraising, advocacy, etc.)

Categorization of the Emergency

It is the responsibility of the Humanitarian Lead (in consultation with the Country Leadership Team) to declare and categorize the emergency. This should be done using the Classification Toolkit (see Section 5.5 of the Humanitarian Dossier). The emergency must be declared according to the following categories:

- Category 1 – high level
- Category 2 – moderate level
- Category 3 – low level
- Non-Category – no response is required or possible

More details are given on the criteria for categorizing an emergency in the Classification Toolkit.

Each category implies specific procedures to follow in terms of the actors involved, decision-making power, mobilization of resources. Categorization is a management judgment based on specific critical factors, as detailed in the Classification toolkit.

The Managing Affiliate/Humanitarian Lead is responsible to inform the HCGG and the Oxfam International Humanitarian Director and to ask their support if needed.

Scale and Speed

Oxfam has the capacity to respond to emergencies on a large scale and is expected to do so by governments and non-government actors. As a rough guide, the capabilities described in the Operating model should enable us to assist between 250,000 and 500,000 people in a large-scale public health program for example.

Oxfam should aim to respond to all Category 1 emergencies around the world and in all Category 2 emergencies (for priority 1 and 2 countries), and in most Category 3 emergencies (for priority 1 and 2 countries).

People must receive the help that they require as soon as possible. If emergency preparedness has been undertaken, Oxfam should be able to undertake initial assessments on the first day after a disaster and start to deliver assistance within three days Oxfam should be pro-active in response but should coordinate closely with others. An emergency program can be scaled down, but a late start can never be remedied.[18]

The speed and effectiveness of response are often compromised by poor information management. At any stage of a response, staff must use the best information that is available to inform their decisions. This does not mean that urgent responses are delayed whilst in-depth assessments are undertaken; at the start of an operation, decisions are largely based on assumptions and the experience of staff and partners. Early assumptions must be continuously modified using more accurate information that becomes available as the operation unfolds. Assessment is an ongoing process, and should lead to flexible programs that can be adjusted rapidly as circumstances, and our understanding changes. In rapid-onset emergencies urgent and immediate responses must go along and in parallel with assessments.

In slow-onset emergencies, such as droughts and some political crises, the imperative for scale and timeliness are as important as in rapid-onset emergencies. Close situational monitoring is required in order to identify triggers that ordain action.

Slow-onset crises often affect a broader area and more people than rapid-onset emergencies. Therefore the proportion of the affected people that Oxfam is able to help may be less in the former case (Between 10% and 25% of the population as a target could be a reference range for slow to rapid-onset emergencies respectively).[19]

Coordination and deployment of Oxfam International staff

In all emergency responses, the Oxfam International Humanitarian Director is responsible for ensuring that Oxfam International humanitarian staff is adequately involved to provide support; this is done in agreement with the Managing Affiliate. Oxfam International humanitarian staff (e.g. Oxfam International Humanitarian Officer, Oxfam International Media Officer) can be deployed to the field to work with the Managing Affiliate/Humanitarian Lead to facilitate a coordinated and integrated response in the different sectors of programming, communications and advocacy.

Design and implementation of programs

Affiliates are responsible for designing and implementing their own programs, within the framework of the Contingency Plan and according to the parameters identified in the Joint Strategy.

Combining programmatic, communications and advocacy response

Oxfam emergency responses, when appropriate, involve a well-defined combination of field program, advocacy and communications elements.

Oxfam strives as early as possible to agree media and advocacy messages. In order to help this to happen, the Oxfam International Media Officer liaises with affiliate media departments to:

- Ensure that their separate and joint communication needs can be met

18 Taken from the Oxfam Humanitarian Commitments document in the SMS toolkit (Version 2.1)

19 Taken from the Oxfam Humanitarian Commitments document in the SMS toolkit (Version 2.1)

- Facilitate media visits with the Humanitarian Lead.

Media work is guided by the Oxfam Guide to Media in Emergencies.

Advocacy strategies related to humanitarian responses are managed by the Rights in Crisis Campaign Management Team.

The following principles represent the assumed basis of all Oxfam humanitarian responses:

The basic principles of Oxfam humanitarian response

1. Oxfam aims to deliver an appropriate, timely and effective humanitarian response, incorporating the efforts and contributions of all interested Oxfam affiliates.
2. The Oxfam response aims to meet the standards set out in the Code of Conduct and Sphere.
3. Oxfam works, where possible and appropriate, with local partners. Such partners' contribution towards the Oxfam International Aims and Change Goals is incorporated into the longer-term strategy.
4. The Oxfam response has a well-defined combination of advocacy, communications and field program elements (what we say and what we do).
5. Staff welfare and security is a priority concern.
6. A leadership role in the country is assigned to one agency by the Humanitarian Consortium.
7. Oxfam aims to access maximum available funds where this increases program impact.
8. The Managing Affiliate/Humanitarian Lead coordinates with the Oxfam International advocacy bodies on critical advocacy messages.
9. Media staff develops its work in coordination with the Humanitarian Lead, field staff and Oxfam International advocacy staff. In the case of any disagreements over media messages or strategy, media reports are signed off by the Oxfam International Executive Director.
10. Progress against agreed objectives is reviewed after an agreed period and the Joint Strategy revised accordingly.
11. All Oxfams involved in a particular response agree to participate in evaluations. Evaluations are agreed by the Humanitarian Consortium Governance Group, including the follow-up to recommendations.
12. The leadership and the management arrangements for the humanitarian response are constantly monitored by the Oxfam Humanitarian Consortium Governance Group. Leadership and management arrangements are reviewed at regular intervals.

3.3.9. Prioritization

Oxfam humanitarian work prioritizes countries from priority level 1 to level 3, for planning purposes and in order to decide on investments and allocate resources efficiently. The prioritization takes into account a number of factors, both external and internal, including:

- Current humanitarian situation
- Likelihood of a crisis to happen

- National capacity/local resilience to cope with local crises
- Appropriateness/need of Oxfam response

Countries are prioritized under three different categories:

- Priority 1: countries of highest priority, selected for Contingency Plan with investments in the Country Leadership Team and in building the capacity of partners.
- Priority 2: countries of medium priority, having Contingency Plans.
- Priority 3: countries of low priority, there is no requirement for a Contingency Plan, responses are provided in a reactive way.

The list of priority countries is revised and priorities reassessed every two years by the Humanitarian Consortium Governance Group. The last update was done in November 2010
For the list of priority countries, as well as the background to the decision-making see https://sumus.oxfam.org/humanitarian-consortium-governance-group/documents/country-prioritisation-list-criteria-november

3.3.10. Step aside Process

When a Category one or two emergency is called there may be a Step-Aside changing the roles of the Humanitarian Lead. Until Program Governance Groups are ready, the HCGG will take on direct governance of the emergency in coordination with the PGG until the category of the emergency changes. For Category 1 and some Category 2 responses OGB will be declared lead of the response (final decisions will be reached by the HCGG).

When a Humanitarian Lead is underperforming in a category 3, the HCGG can call for a change of the lead role during the response. Dispute resolution under a step-aside arrangement for humanitarian programs is handled by the HCGG. The PGG and CLT meanwhile keep their roles related to the non-emergency aspects of the country operation.

Where the Managing Affiliate is not the Humanitarian Lead the Managing Affiliate steps aside for humanitarian response only. The Humanitarian Lead will still be responsible for calling an emergency and its categorization. The Humanitarian Lead, in consultation with the Country Leadership Team, will also suggest the date to step-back.

The Country Operating Models are an opportunity to clearly spell out how roles and responsibilities will change during category 1 and category 2 emergencies. This should inform the arrangements agreed in the Oxfam Contingency Plan so that operating model and contingency plans are consistent.

When step-aside is called, it is only the humanitarian aspects of the country activity that are affected. All other aspects of the Oxfam country program will carry on under the existing roles and responsibilities as described in the operating model.

Once an emergency is called it is the responsibility of the MA to think through the long-term impact the emergency may have on the JCAS and the Country Operating model. These should be revised by the MA to describe the new state of roles and responsibilities which will come into effect upon step-back.

Even within the lead Oxfam, if country/regional managers are not experienced in humanitarian work an “internal staff step-aside” may be practiced.[20]

For more details see the Step Aside Policy below.

20 Taken from the Humanitarian Commitments document, SMS tool-kit Version 2.1

Step aside in practice.

Guidelines to implement the Step aside Policy

1. The Step aside Policy

In May 2008 EDs agreed on the Humanitarian step aside leadership Policy, which means that: "All Category 1 and 2 emergencies[21] will be led by OGB unless another affiliate successfully makes the case to the HCGG to take the lead[22] in a particular country".

The following exceptions were agreed by HCGG[23]:

- OAU retains leadership for category 2 emergencies in Papua-New Guinea, Solomon Islands and East Timor
- OES retains leadership for category 2 emergencies in Ecuador, Dominican Republic, Nicaragua and Mozambique, Chad
- OUS retains leadership for category 2 emergencies in El Salvador, Peru and Guinea-Bissau
- ONL retains leadership for category 2 emergencies in OPT and Somalia, Niger and Afghanistan.

OGB will step in if there is category 1 emergency in all the above mentioned countries.

Oxfam is committed to address this challenge professionally, going beyond internal politics and focusing on people's needs affected by humanitarian crisis. This is the key driver in the implementation of the step aside Principle.

2. How is the step aside rule applied?

1. When should it be applied:
   - The "step aside" process should be done only for category 1 and category 2 emergencies (excluding the exceptions on category 2 agreed as above).
   - Once the emergency has been categorized by the CLT as 1 or 2 (with the exceptions already mentioned) and signed-off by HCGG, the step aside will enter into effect.
   - Any new exception on the step aside rule for category 2 emergencies should be done under an objective assessment. This assessment should be done as required and with a maximum frequency of once a year[24].
   - The HCGG, will review the categorization done and reconfirm this, or if necessary asks for a revision of this according to the categorization process as described in the Humanitarian Dossier section 3.2.
   - If the decision on step aside cannot be taken by agreement between the affiliates involved in the CLT, it should then be escalated to the HCGG. If HCGG doesn't come to an agreement either, the OI Humanitarian Director is mandated and authorized to make a final decision on this.

21 Classification of Humanitarian Crises Toolkit can be found in the Humanitarian Dossier (Section 5.5.):

22 For the updated list on country leadership, please, see Annex L:

23 Original agreement in July 2008, exceptions agreed during 2009. Following a standard process to assess affiliates capacities in each country

24 This started in July 2008. The OI Secretariat will help on this assessment process.

2. How should it be communicated:
   - The decision will be shared and signed off by HCGG.
   - The OI HD will inform the OI Executive Director who will inform the affected Oxfam EDs on the decision made. The latter could revert this decision, if the EDs involved in the step aside process get agreement on this.
   - The decision will also be communicated by the OI Humanitarian Director to all relevant Oxfam fora, affected by this decision (HCGG, PDG, PGG, RICCMT, EMN).

3. What does the step aside implies:
   - A “step aside” process means the temporary handing over of the role of lead agency from one Oxfam to another, (generally OGB), in order to maximize the efficiency of Oxfam humanitarian response.
   - The step aside applies only to this specific emergency in all its aspects: program, media, advocacy, security etc.
   - The national long term duties of the humanitarian lead agency will remain unchanged unless there is a specific agreement on this. (e.g.: updating the medium term Contingency Plan, long term strategy with humanitarian partners, etc). Nevertheless as this may depend on the context of each country, it should be made explicit in the step aside process if it goes beyond the specific emergency that triggered the step aside.
   - The stepping in Oxfam has the duty to assess, together with the implementing affiliates, the evolution of the emergency and as soon as the emergency scale down to an agreed category 3[25] emergency, this should be communicated to the HCGG and PGG. According to circumstances a date of handing back leadership should be fixed.
   - As a general rule, the step aside process will be agreed at least for a period of 12 months[26] after which a review should be conducted by the CLT as part of the annual review process to reconsider if it is appropriate or not to bring the leadership back to the original lead and a specific timeframe for this.
   - All Oxfam’ staff in country should be aware of the step aside principle and its implementation rules in advance. Moreover, any other key organizations Oxfam is in coordination with in the response have to be aware of this process so that it does not impact negatively on the reputation of the affiliate which might be stepped aside.
   - The stepping in lead agency needs to perform with excellence and pay particular attention to internal communications, use of Sumus, and interactions with the CLT.
   - The stepping-in Oxfam needs to ensure that staffs deployed are aware of all the relevant Oxfam procedures and have a high degree of political sense and diplomacy.

4. Additional considerations:
   - A Category 1 emergency by definition usually relates to two or more countries and might involve more than one lead agency. In this case the leadership will be handed-over to Oxfam GB unless there is clear evidence that another Oxfam (HC affiliate) has the capacity to take over.

25 If the step aside has been done from a category 2 to 1, the handing over back may happen when categorisation of emergencies goes back to 2, if there is agreement among the two Oxfams.

26 This is a basic recommended first minimal period, but revisions will be managed according to the reality of the crisis and phases of the response.

- A regional Category 1 may be declared, with countries keeping national categorization. We have seen this recently in the Horn of Africa drought response crisis, where the region has been categorized as Cat 1, but no step aside has been applied in Somalia since it remains a national Cat 2 (Kenya and Ethiopia are also Cat 2's, and led by OGB). See the Horn Crisis governance framework for more details.

- For Category 3 emergencies, a step aside process is not foreseen, as all lead agencies are expected to cope with Category 3 emergencies. But this will be checked in the regular assessment of the capacity of the lead agency. If this is required, a more structured debate should take place on the overall capacity of the identified lead. In any case if there is a real risk of non fulfillment of adequate Oxfam humanitarian standards during a humanitarian response, due to the lack of capacity of the lead agency the HCGG under the initiative of any of its members or the OI Humanitarian Director, could trigger the step aside process in a category 3 emergency.

3.3.11. Dispute Resolution

The Country Director will represent the collective interest and will be encouraged to resolve problems within the Country Leadership Team and escalate as required. If a Head of Implementing Affiliate disagrees and requires an escalation, they can escalate the dispute to the Program Governance Group.

In cases where immediate action is needed, the Country Director is empowered to make a decision and move forward, with the dissenting affiliate having the right to send a complaint to the Program Governance Group within two weeks. The Country Leadership Team should convene to resolve issues within 10 days. If it cannot be resolved here, it will be escalated to the Program Governance Group, which must convene within 30 days to resolve or escalate further.

In case of a dispute between the Country Director and any Head of Implementing Affiliate(s) on the Country Leadership Team, which cannot be resolved in country, they must be escalated by the Country Director to the Program Governance Group Chair (or HCGG in relation to a humanitarian response) or if required through a fast-track mechanism to the OI Secretariat to minimize risk.

Any irreconcilable differences within the PGG must be escalated through the Dispute Resolution process as follows:

- to the Program Development Group (for planning and preparedness issues) or to the HCGG (for Response issues) which will offer a mediator from the Program Development Group, HCGG or the OI Secretariat, then

- to the OI Executive Director as per Code of Conduct,

- then to the EDs if unresolved[27].

27 All information taken from the SMS Toolkit, SMS TORs (Governance section)

4. Oxfam's Minimum Standards

4.1. Introduction to Oxfam Minimum Standards

Oxfam Minimum Standards complement the external codes and standards that Oxfam is signed up to (including Sphere Standards). There is a need for Oxfam specific standards to make sure that we have the organizational capacity in place to maintain quality programming.

This section includes the latest version of Oxfam Minimum Standards in:

- Water, Sanitation and Hygiene Promotion (WASH)
- Emergency Food Security and Vulnerable Livelihoods (EFSVL)
- Gender in Emergencies (GiE)
- Monitoring, Evaluation and Learning (MEL) and
- Logistics & Supply Chain Management (L&SCM)

4.1.1. Core Competencies

In 2009, Oxfam formalized the commitment to WASH and EFSVL as core competencies across the Oxfam confederation. These areas will be developed to the highest standards across Oxfam affiliates through investment and growth. Core Competencies are those required to be met by all affiliates under the humanitarian mandate.

As with all Oxfam Minimum Standards, these were developed by the Emergency Managers Network, and the role out is the responsibility of all affiliates, with support from the EMN and the Oxfam International Secretariat.

4.1.2. Cross-cutting and Operational Minimum Standards

As well as technical Minimum Standards in the two areas of Core Competencies, Minimum Standards have been developed for Gender in Emergencies and Monitoring, Evaluation and Learning. Recently the Minimum Standards for Logistics and Supply Chain Management have been signed off.

The EMN are working on initiatives to make the Minimum Standards better known, understood and put into practice by Oxfam staff (and where applicable partners). This is partly supported by the Emergency Managers Network, is ultimately a responsibility of the Humanitarian Consortium Governance Group, to promote the standards within their own line-management structure within their own affiliates.

4.2. Oxfam WASH Minimum Standards

4.2.1. Background

In November 2009 ED's workshop has approved the prioritization of humanitarian core competencies across Oxfam in WASH[28] (first priority) and Vulnerable Livelihoods, with affiliate specific additional competency areas such as approaches of gender and DRR integrated. These competency areas are to be developed to the highest standards across the confederation through focused investment and sustained growth by all affiliates in line with Oxfam's humanitarian mandate. To contribute to the development of Oxfam's capacity in these areas, two EMN groups have been established, one for each core competency - WASH and Vulnerable Livelihood. The EMN WASH group is working on WASH issues across preparedness (DRR, contingency planning, building Oxfam and partner internal capacities) and emergency response (relief, rehabilitation/reconstruction) as well as on the linkage to long term development work. In light of the One Program Approach, the group will also integrate aspects of advocacy, media and communications related to WASH through collaboration with colleagues in these areas.

This discussion paper on Oxfam WASH capacity is produced by the EMN WASH group for Oxfam HCGG. As an action point from the Barcelona EMN WASH group meeting[29], the group is attempting to establish what the minimums capacity and indicators should be for each affiliate that demonstrates that they are meeting the commitment to invest in and grow Oxfam WASH competency to respond to preparation, relief, rehabilitation and recovery phases of a WASH Program.

One of the underlying principles in this respect is that we would aim for working primarily with partners. In addition we also aim to have in-house expertise in order to fulfil our leadership roles in the country and globally. For implementation, there is latitude in the way that this can be done. Where specifics are mentioned they often refer to the role of the Managing/Humanitarian Lead affiliate in the country. Other principles that will be maintained will be of having a rights based approach and ensuring that gender and DRR incorporated in all the work.

It is recognized that we need to develop WASH strategies for each of our organizations and common one as well. This paper would accompany those and aims to set minimums upon which such strategies can be built.

4.2.2. Other Relevant reference documents

In this paper, two agreed Oxfam documents are used as reference points - Oxfam Commitments and Expectations and, the Minimum Presence Required. A relevant excerpt of the latter is pasted below in footnote '3'.

The Minimum Standards now form a core part of the Humanitarian Dossier

4.2.3. Objective/Purpose of the paper:

To form the basis for affiliate WASH capacity development and develop the Oxfam affiliates to minimum competency level for WASH focused emergency responses

4.2.4. Technical capacity obligations (Derived from meeting notes)

In a discussion around what was important for all HC affiliates to have in their organizations, the following minimums were agreed (not in order of priority):

4.1 Minimum awareness in WASH for generalists (Media, managers etc)

28 WASH refers to Emergency Water, Sanitation and Hygiene

29 June 14-16, 2010

4.2 Minimums indicators of program quality

4.3 Strong WASH partners

4.4 HQ/regional and country specialists

4.5 Surge capacity in WASH

4.6 WASH components in individual contingency plans

4.7 Ability to map WASH capacity in the country

4.8 Access to WASH equipment (stock for XX families?)

4.9 Appropriate support functions in logistics, finance, HR etc.

4.10 WASH Capacity building/training component

4.2.5. Definition of capacity (Derived from discussions at meeting):

In order to be clear about how we are describing capacity the following definitions are proposed:

International level WASH specialist: Someone who could do an equally good job no matter which country they are based and/or from where they are (dependent on language). They can assess and develop a proposal suitable for major donors such as ECHO, DFID and AusAid, and can develop an Oxfam technical response strategy. They would be based in the country prior to any emergency (i.e. on a long term basis).

Technical partners: A country partner who does WASH program as a routine in humanitarian responses, whose capacity has been evaluated by the corresponding Oxfam affiliate prior the emergency for which they are required to participate, and meeting Sphere and/or international donor levels of quality and quantity standards.

Standing technical national staff: national staff who are experienced at carrying out WASH work and currently working for an Oxfam affiliate in the country.

Regional or HQ international technical capacity: Senior technical staff who are not based in the country but have a designated responsibility to support that country.

Registers: Technical staff who could be available to the affiliate or partners in the event of an emergency but not currently on contract.

Surge capacity: this refers to staff contracted for the organisation that can be moved around to arrive in a country quickly when required.

4.2.6. Commitments for all affiliates at various levels

At the country level (applying to priority countries only)[30]:

30 The obligations of the Humanitarian Lead (and therefore in many cases the Managing affiliate)(excerpt from Minimum Presence required document):

Providing leadership in the operational phase of the emergency (timely needs assessment, timely response, proportionate response)	Assessment of needs capacity to get it done in less than 72 hours; action plan based on needs assessments from staff, partners and others and is proportional to OI capacities and reputation.	Humanitarian staff with agreed, recognised experience, working with the above mentioned leadership to do assessment, planning and implementing

In terms of WASH, all Managing Affiliates/Humanitarian Leads need to have the following:

- An International level WASH specialist. (minimum 4.4)
- A strong WASH Partner (minimum 4.3) or (if not possible) strong national WASH team.
- WASH component in contingency plan (Minimum 4.6)
- Emergency WASH items accessible either through contingency stocks or assured supply chains. (minimum 4.8)
- A capacity map of the accessible WASH capacity in the country. (minimum 4.7)
- Country capacity of Oxfam team and partners in logistics finance and HR etc. (Minimum 4.9)

It was agreed that this needs to be in the country as a matter of course and not just in response to the emergency. These would have to be provided by the Managing affiliate/Humanitarian Lead. It is not necessary that implementing affiliates have the above resources in the country.

Furthermore, WASH would need to be reflected in the JCAS (full form?). In addition, it would be desirable that there would be an overview of the deployable WASH capacity in the region.

At the Global level:

Outside of the country, there needs to be a support structure in place to make sure that the country capacity is adequately supported, and quality standards and global relationships are maintained.

- A register(s) of WASH professionals that can be called upon in emergencies to supplement existing surge capacity. This would be capacity that normally lives outside the affiliate but through a managed process can be called up. (linked to minimum 4.5)
- Regional/HQ technical capacity at senior level. These would give guidance on WASH strategies to countries. (minimum 4.4)
- Surge capacity in WASH technical support. This is in-house capacity (staff) that can be brought to the response. (minimum 4.5)
- Training and outreach programs for non-technical staff to understand WASH (eg managers and policy/ media staff). (minimum 4.1)
- Training and capacity building program to improve country, region and HQ WASH capacity. (minimum 4.10)

EMN WASH group and OI Secretariat:

A role for the EMN WASH group is mainly around monitoring progress in meeting these minimums and facilitating agreements around standards.

- Agreed minimums in the quality of WASH programs; Quality would be measured in terms of what would feature in an RTE i.e. comprehensive nature of response; size of response; speed of response etc; adherence to Sphere Standards (minimum 4.2).
- Overall monitoring of the above minimums by each affiliate. (minimum 4.2)

- Maintain a spreadsheet of countries around the world to ensure that each of the country level minimums is met (Mainly by OI secretariat.).

4.2.7. Time Scale

A timetable will be agreed by for all Humanitarian Leads/Managing affiliates to meet these guidelines in priority 1 countries. This timetable will be agreed by HCGG members.

4.3. Oxfam EFSVL Minimum Standards

4.3.1. Background

In November 2009 the ED's approved the prioritization of humanitarian core competencies across Oxfam in WASH[31] (first priority) and Vulnerable Livelihoods. Affiliates will also still have the option of having specific additional competency areas. These competency areas are to be developed to the highest standards across the confederation through focused investment and sustained growth in capacity by all affiliates in line with Oxfam's humanitarian mandate.

Core competencies are common to all affiliates under the humanitarian mandate. All affiliates will develop a critical mass of capacity in the core competencies, through a significant investment within program budgets.

Responsibilities:

1. Oversight responsibilities of the development of these core competencies will sit with the HCGG.
2. Implementation will be coordinated through two Oxfam platforms (the EMN WASH group and the EMN Emergency Food Security and Vulnerable Livelihoods group).
3. Other EMN groups will act as the focus for coordination between affiliates on common approaches like DRR, Gender and MEL and will support the two areas or core competency as needed.
4. The process of competency development will be coordinated and supported by the OI Secretariat Humanitarian Department.[32]

To contribute to the development of Oxfam's capacity in these areas, two EMN groups have been established, one for each core competency: WASH and Emergency Food Security and Vulnerable Livelihoods (EFSVL). The EMN EFSVL group is working on EFS-VL issues across preparedness (DRR, contingency planning, building Oxfam and partner internal capacities) and emergency response (relief, rehabilitation/reconstruction) as well as building linkages to long-term development work.

The ToR for the EMN EFSVL group establishes humanitarian core competencies as holistic (incorporating media and advocacy/campaigning) under Oxfam's One Program Approach when delivering humanitarian response/assistance.

This discussion paper on Oxfam EFSVL capacity is produced by the EMN EFSVL group for sign-off by the HCGG. As an action point from the EMN EFSVL group meeting in The Hague[33,] the group is establishing the minimum organizational EFSVL capacities (and the indicators) each affiliate should have, based on program and capacity building priorities, in relation to the HCGG Humanitarian Commitments and as a function of membership in the Oxfam Humanitarian Consortium. [34]

One of the underlying principles in this respect is that we would aim for working primarily with partners. Working with partners in humanitarian response implies a deliberate act of investing and promoting the capacity of those partners that are able to and willing to work within the Oxfam humanitarian framework. Oxfam will invest in preparation for EFSVL response with key partners in vulnerable areas. Other principles that will be maintained will be of having a rights based approach and ensuring that gender and DRR incorporated in all the work.

31 WASH refers to Emergency Water, Sanitation and Hygiene

32 As set out in 'Core competencies development Outline' paper, November 2009.

33 July 4-6, 2010, affiliates represented were: Oxfam America, Oxfam-in-Belgium, Oxfam Canada, Oxfam Great Britain, Oxfam India, Oxfam Novib and Intermon Oxfam.

34 As set forward in the "Oxfam International Humanitarian Commitments and Expectations" paper, approved by the HCGG on 26th February, 2010.

In addition, in regard with the humanitarian imperative, we also aim to have in-house expertise in order to fulfill our leadership roles in the country and globally. For implementation, there is latitude in the way that this can be done. Where specifics are mentioned in this document they often refer to the role of the Humanitarian lead.

It is recognized that Oxfam as a confederation needs to develop a common Oxfam EFSVL strategy and based on this, each of the affiliates who do emergency response work must develop one as well. The definition of EFSVL Minimum organizational capacities standards (and indicators) for emergency response will set the limits and basic orientation needed to start building a common Oxfam EFSVL strategy.

4.3.2. Other relevant reference documents

In this paper, two agreed Oxfam documents are used as reference points - Oxfam Commitments and Expectations and, the Minimum Presence Required. A relevant excerpt of the latter is pasted below in footnote ‘3’.

The Minimum Standards now form a core part of the Humanitarian Dossier

The group will also be guided by Oxfam documents (compendia, policy notes, EMN tools) that have been developed previously, to ensure that Oxfam’s EFSVL response is in line with our advocacy messages.[35]

4.3.3. Objective/Purpose of the paper

To define the minimum organizational capacities standards (and indicators) for EFSVL emergency response for affiliates, focusing on HL in Oxfam Priority 1 countries.

4.3.4. Thematic and capacity priorities for Oxfam (Derived from meeting notes)

What does it mean for Oxfam to have a core competency in EFSVL?

In a discussion around what was important for affiliates (whether HL or not) to have as priorities for program investment & policy development under EFSVL, the following was agreed in order of priority:

- Cash programming (capacity is obligatory for all affiliates): cash grants as income support, vouchers and cash for work. This programming strategy has highest preference because of Oxfam’s experience, capacity and therefore added value. It requires a clear understanding and analysis of the market to be identified as an appropriate response option. Cash responses always have preference over in kind/food responses whenever appropriate

- Agricultural, fisheries and livestock support (capacity is obligatory for HC members, optional for others). This includes both production support, technical assistance and activities that are aimed at agriculture and livestock markets.

- In kind food Aid (capacity is obligatory for HC members, optional for others): General food distribution or food for work.

- Nutrition (optional for all affiliates).

In a discussion around the capacity priorities important for affiliates to have in order to implement the program priorities, the following minimum standards were agreed:

35 OI Humanitarian Policy Compendium Note on Food Aid, September 2008; OI Policy Compendium Note on Social Protection, September 2009; PPISK support kit; Credibility Crunch: Food, Poverty and Climate Change – an agenda for rich country leaders, November 2008; A Billion Hungry People, January 2009, OI Policy Compendium note on DRR, OI Policy Compendium note on gender, and OI Framework for Gender in Emergencies.

Minimum Standards for country capacity (not in order of priority) All priority 1 countries required to have:[36]
One EFSVL specialist at country-level
Two strong EFSVL partners per country
EFSVL preparedness measures in place in-country
EFSVL component in the JCAS
Country capacity through Oxfam and partners in Logistics, Finance and HR
Capacity assessments conducted regularly to assess and monitor key EFSVL partners' capacity
Minimum Indicators for EFSVL program quality met
DRR, gender, advocacy, LRRD and MEL approach integrated into EFSVL programming.
Support to country provided by Oxfam HQ/regional specialists

The EFSVL group have developed indicators to accompany these standards as part of the EFSVL Capacity Mapping tool, which will be used to map affiliates' current baseline capacity (both at country and at global level), inform affiliates' humanitarian investment strategies, and thereafter to monitor capacity development on a regular basis.

The core approaches used throughout Oxfam's EFSVL work are:

- Advocacy around EFSVL (obligatory for all affiliates). The group stresses the importance of advocacy/campaigning at the national and international levels and of ensuring integration between advocacy and program work, linking Aim 3 Rights in Crisis also with Aim 1 Economic Justice. It was strongly recommended that this integration takes place in the forthcoming campaign "Food Justice in a resource constrained world".
- DRR;
- Gender;
- M&E;
- LRRD;
- sustainable livelihoods and
- a partnership approach are all integrated in all our EFSVL work.

4.3.5. Definition of capacity:

In order to be clear about how we are describing capacity the following definitions are proposed:

36 Please note that these Minimum Standards have been adjusted, following the EFSVL face to face meeting in The Hague in June 2011, and in line with the newly developed EFSVL capacity mapping tool.

Country level:

- EFSVL country specialist: Someone who could do an equally good job no matter which country they are based and/or from where they are (dependent on language). They can assess and develop a proposal suitable for major donors and can develop an Oxfam technical response strategy. They would be based in the country prior to any emergency (i.e. on a long-term basis). Some countries will only have a 'focal point' who will get support from HQ or region if needed e.g. during big crises.

- EFSVL partners: A country partner who does EFSVL programming routinely in humanitarian responses, whose capacity has been evaluated by the corresponding Oxfam affiliate prior to the emergency for which they are required to participate and who meets Sphere and/or international donor levels of quality and quantity standards. Preferably a long-term working relationship.

Global/affiliate level:

- Regional or HQ international technical specialists/advisors: Senior technical staff who are not based in the country but have a designated responsibility to support that country.

- Registers: Technical staff who could be available to the affiliate or partners in the event of an emergency but are not currently on contract.

- Surge capacity: This refers to staff already under contract and other resources for the organization that can be moved around to arrive in a country quickly as and when required.

4.3.6. EMN EFSVL group

The Oxfam EMN EFSVL group will:

- Act as the platform for cross-affiliate coordination and collaboration on issues of EFS-VL. Collaborate in the use of existing tools and guidelines, do a full over view if EFS-VL tools and develop/identify and disseminate new tools and guidance. Examples include:
    - The Household Economic Assessment (HEA) approach
    - The Integrated Food Security Phase Classification (IPC)
    - Reviewing the EMMA methodology and determining whether market assessment and analysis needs in emergencies are currently met throughout the toolkit.
    - Guidelines for contingency planning to support EFSVL preparedness.

- Identify and implement key strategies to facilitate further growth in EFSVL.
    - Proactively coordinate the sharing of skills, expertise and knowledge across affiliates
    - Develop common joint strategies and approaches in EFSVL
    - Adopt/develop standards and best practice relating to core competencies
    - Develop recommendations for minimum organizational capacity in priority areas
    - Overall monitoring of the above minimums by each affiliate

- Map and monitor global Oxfam EFSVL capacity in relation to the defined minimum organizational capacity, starting in priority 1 countries.

- Ensure that each of the country level minimums is met by the different affiliates in all countries where Oxfam is present, under guidance of HL.
- Carry out learning reviews of EFSVL programs, joint evaluations, secondment of staff, joint training initiatives to stimulate cross-affiliate learning.
- Maintain a knowledge overview of affiliate assessment and growth and investment in EFSVL across affiliates. [37]

The EFSVL group identified technical areas that will need greater coordination and support between affiliates in the future[38]:

- training in EFSVL for general staff, including development of materials
- advocacy support
- urban livelihoods
- research capacity
- camp situations
- gender aspects
- social protection
- market assessment and analysis

The WASH and EFSVL EMN core subgroups will work closely with the other EMN groups to be able to benefit from their thematic inputs, as well as develop common joint strategies and approaches between WASH and EFSVL and work together on issues of overlap.

4.3.7. Time Scale

A timetable and investment plan will be agreed by for all Humanitarian Leads/Managing Affiliates to meet these minimum standards in priority 1 countries. This timetable and plan will be agreed by HCGG members.

37 EMN EFS-VL ToR, approved by HCGG, October 2010

38 Each affiliate is expected to define their minimum investment in both core competencies with corresponding budget and timeline.

4.4. Monitoring, Evaluation, Accountability and Learning (MEAL) Minimum Standards in Oxfam Humanitarian Programs

4.4.1. Introduction

It has been agreed among the Oxfam members of the EMN MEAL group that there is a need for minimum standards for monitoring, evaluation, accountability and learning in humanitarian programs[39], to form part of the MEL framework under the Guiding Principles. This is also in line with Appendix 1 of the 2009 paper "Program Standards at Oxfam: Working towards an agreed set of standards across Oxfam", the Program Standards in the SMS toolkit, and the WASH and EFSVL Minimum Standards

These standards are proposed for program[40] level but need to be implemented at project[41] level and consolidated at program level. MEL (and accountability) is considered to an integral part of program/project planning and needs to be factored in from the design stage.

These standards apply in general for both rapid and slow onset emergencies. When the application of the standards varies according to the type of emergency, a clear reference is included in the text. If no additional comment is made then the standard applies to all types of emergency. The actual methodology applied will vary from affiliate-led programming to partner-led programming. In accordance with Oxfam working principles and recognizing that capacity may not always be adequate, Oxfam and partners will commit themselves to invest in building the necessary skills to meet these minimum standards.

4.4.2. Assessment and start-up

Rapid assessment

For rapid onset emergencies this should take place within the first 48 hours[42] after the disaster onset

For slow onset emergencies this should take place one week after receiving the alarm from early warning[43] systems or from other reliable sources[44] on the situation

The rapid assessment may be carried out by Oxfam, partners or a combination (depending on who is available)

The assessment must include:

- Beneficiary consultation unless security or access prevents this
- A rapid gender assessment of impact of emergency on both men and women.

Disaggregated data (sex and age being the most important) should be obtained as soon as possible (within the first month) – this data should be comparable between affiliates

The assessment team should be gender balanced with clear terms of reference.

The results should be shared amongst Oxfam (all affiliates) and partners. These results will determine geographical working areas and needs priorities.

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39 Some of these standards are also simply good practice but by including them here, quality can be ensured across all programs.

40 Program - a set of strategically aligned, mutually reinforcing interventions – by Oxfam and others – that contributes to sustained, positive impact on the lives of the affected populations.

41 Project – a subset of interventions under a program – this may be geographically or thematically.

42 In line with the Humanitarian Dossier

43 The contingency plans should include information related to the early warning systems existing in the area

44 In line with the Humanitarian Dossier

Best practice

The assessment team should ideally include all Oxfam affiliates and/or partners.
Partner's use of local language should not prevent their participation, as translation should be factored into the process.

In-depth assessment

This should take place as soon as possible after the rapid assessment to provide more in-depth information and to verify disaggregated data (within the first month). For slow onset emergencies the in-depth assessment will be carried out only if the rapid assessment concludes that the situation deserves a response.[45]

The assessment team will consist of different actors depending on the context (Oxfam staff, partners, other INGOs, government representatives). It should be a joint affiliate assessment wherever there is more than one Oxfam present in-country.

Participation of representatives of all community groups is essential in order to understand their needs, views and contextually specific issues.

Results should be shared across Oxfam teams (through the Country Leadership Team) and with other actors (UN clusters, coordination forums).

A LogFrame or planning framework with SMART indicators[46] should be agreed upon after the assessment – this is not a tool used by all affiliates and/or partners but at least some basic indicators should be developed in order to monitor and evaluate.

Where there is an OI MEAL coordinator, a global LogFrame and monitoring plan will be compiled.

The assessment should also explore with the affected population how they wish to receive information (and what kind) and how they wish to provide feedback or submit complaints.

Best practice

The assessment team would consist of different actors depending on the context (Oxfam staff, partners, other INGOs, government representatives).[47] It should be a joint affiliate assessment where there is more than one Oxfam present in-country.

For similar activities with similar outputs and outcomes, affiliates may choose to have the same indicators. This would encourage cross-affiliate monitoring and could also be used in peer reviews.

Baseline

Baselines[48] should be carried out if a) it is a category 1 or large category 2 response or b) the program is likely to be of over six months duration or c) quantitative impact measurement is required or d) the budget is over 500,000 US$[49].

45 If it is felt to be appropriate, the findings could be fed back to the community. This should not prevent a timely intervention

46 Special attention should be paid to the definition of outcome and impact indicators in order to allow good quality MEAL processes.

47 There may be established government or other agency joint assessments, in which case Oxfam will join these

48 Baselines are different to assessments as they are designed to provide data that are comparable with end of program data in order to measure impact. An in-depth assessment may or may not use calculated sample sizes and quantitative data analysis.

49 Some affiliates already have standard benchmarks for when to do a baseline.

Expertise in sampling, quantitative data collection and analysis should be ensured before a baseline is attempted (this expertise can also be via a consultant although expense versus usefulness must be considered).

Baselines should be carried out within the first two months of a response.

Both quantitative (using a calculated sample size) and qualitative data should be used and disaggregated by sex and age.

The results should be shared among all in-country affiliates and partners in a format that is user-friendly to all.

Best practice

The baseline data collection should ideally be a joint exercise involving both Humanitarian Lead and implementing affiliates.

Feedback to community mobilisers and community volunteers is essential for their work – feedback to the wider community is desirable if there is added value and this does not delay implementation.

4.4.3. Implementation

Data collection

The indicators may have to be refined once the situation becomes more stable.

The documentation of activities and number of beneficiaries for each activity is essential. A monitoring framework should be developed within the first month specifying when, how, who will be collecting data – the amount and frequency will be context specific. Monitoring information should be available for sharing between affiliates and partners, or consolidated if there is an OI MEAL Coordinator in post.

Monitoring tools should be prepared and disseminated with training as required.

Monitoring should also capture changing situations in order to adjust the program in a timely manner.

Information will also feed into other networks such as the clusters, OCHA and other consortia taking in to account security and protection issues.

Accountability mechanisms

Accountability mechanisms with the affected population should be established to promote transparency and community involvement[50]. As a minimum a complaints/feedback (from affected population) system should be set up as well as a system for providing information on selection criteria and expected activities[51].

A feedback system for partners to Oxfam should also be established

Training on accountability should be required for all program staff and partners where appropriate

Regular community meetings (for example monthly) need to be held for information exchange and for community feedback on programming. The frequency will depend on access, security and of course, the priorities of the affected community.

[50] Discussions with the community about preferred feedback methods should form part of the baseline or in-depth assessment to avoid multiple community visits
[51] The system should be contextually appropriate

Best practice

Oxfam affiliates should agree on a common system for counting beneficiaries.

Verify disaggregated data.

Templates should be shared across affiliates for similar affiliate activities.

Training should also be joint Oxfam training (involving all affiliates).

Weekly team meetings to discuss and respond to monitoring data (including analysis of feedback/complaints received) should be held in the early stages of a response. However, the frequency is context specific as is the question whether to hold these meetings within each Oxfam affiliate and their respective partners.

Feedback from the affected population should feed into program planning and any changes made due to feedback should be documented.

Community members such as mobilisers and other designated volunteers should be involved in data collection

Phasing into recovery/rehabilitation

All emergency programs either move to a recovery phase (usually after two to three months), rehabilitation (longer term) or a phase-out depending on the funding agreements and the context.

If recovery, the monitoring framework/s should be adjusted to this phase. Lessons learnt from the first phase should be factored into the program plan for the next phase.

A learning event held during planning for the recovery/rehabilitation phase stage will assist affiliates in appropriate programming.

Community consultation (using a sample) should form part of a recovery phase planning.

A clear exit strategy (for all affiliates/partners)[52] for phase-out needs to be drawn up with lessons learnt being documented and disseminated (for example posted on Sumus). This is part of the JCAS.

Best practice

The affected population also needs to be made aware of Oxfam's plans and should be consulted about sustaining certain activities as appropriate.

Having indicators for a good exit strategy means that this can also be evaluated**.**

Real Time evaluations

All rapid onset emergencies (category 1 and 2) should carry out an RTE at around six to eight weeks mark after the onset of the disaster. Large slow onset emergencies (category 1 and 2) should carry out an RTE at around ten to twelve weeks mark after the beginning of the response.

The RTE TOR should be signed off by the Humanitarian Lead after review by the Country Leadership Team after a maximum consultation period (10 days).

52 The OI Partnership Policy Implementation Support Kit, found on SUMUS can be used to guide this process.

Team members should be considered from all or selected affiliates (depending on number in country) with active programming, although evaluator expertise and competence should take precedence over affiliate representation. (See RTE guidelines for selection of teams).

The maximum number of team members should be four.

The commissioning manager should be from the Humanitarian Lead agency[53].

Unless security does not allow, there must be consultation with the affected population.

A management plan written with names against activities and a CLT mechanism to ensure that this happens should be the outcome of the Day of Reflection.

All RTE reports should be posted on Sumus within six weeks of completion and sign-off.

Best practice

For category 3 – an RTE-lite[54] or an RTE with selected benchmarks should be carried out by (external to program) staff at about six weeks with a management plan as an outcome.

Mid-term review (for interventions of 12 month duration)

At least once during the first year, the indicators should be reviewed and adjusted.

A learning event such as a monitoring review[55] or a review day should be held to assess progress and to discuss changes. Community members should be included but this will depend on the context and issues to be discussed. If not included, community feedback should form part of the discussion in order to feed into planning.

If this is conducted per affiliate, the results should be shared.

Best practice

If the indicators are the same for all Oxfam affiliates/partners, the midterm review should be joint.

Learning events should be held on a six-monthly basis and could be a joint affiliate/partner or per affiliate.

Results from affiliate learning reviews can be shared at a common learning day if access and resources allow.

4.4.4. Final/impact/outcome Evaluation

If there are no donor requirements[56], then programs under a year should carry out a self-evaluated after action review (either joint or per affiliate). This should be in the last two months of the program.

If there are no donor requirements, then programs over a year should carry out an outcome/impact[57] evaluation (preferably as a joint exercise or per affiliate) that is more in-depth than the after action review. In these longer-term programs (especially if two years or over) a mid-term evaluation at the

53 The Humanitarian Lead Agency is responsible to lead and organize an evaluation of the emergency response both during the response phase (as a Real Time Evaluation) and as a final impact evaluation. Evaluations can be also carried out through a peer process with the involvement of other affiliates (Humanitarian Dossier).

54 For example, see OGB definition and guidelines being written based on work done by Southern Africa regional office.

55 For example, following OGB guidelines a learning event held every six months when progress is discussed and feedback from the affected population is incorporated into planning.

56 Different affiliate donors will have different evaluation policies, which should be adhered to.

57 Impact - a sustained, significant, positive change in both the material condition and social position of affected populations.

end of the first year should be followed by a final evaluation during the last two months before the program ends in order to utilize the learning.

All Oxfam evaluation reports in full or edited form are expected to be posted on Sumus.

The opinions of the affected population and partners must be included in all reviews and evaluations, preferably using participatory methods for data collection.

Best practice

A learning day for all affiliates/partners should be held in country after the evaluation.

Feedback to communities on relevant findings should be done wherever possible.

4.4.5. Learning

A bi-yearly Oxfam-wide RTE Evaluation synthesis should be posted on Sumus and disseminated among Oxfam staff (and partners)[58].

Country Leadership Teams are to share the lessons learned and recommendations from all evaluations amongst themselves and with partners and communities.

58 By the relevant affiliate.

Appendix 1: Definition and Dimensions of Accountability

Definition of Accountability[59]

Oxfam believes that accountability must mean:

The commitment to respond to, and balance the needs of, different stakeholder groups in its decision making processes and activities, and delivery against this commitment (One World Trust). Specifically, in regard to intended beneficiaries, this means making sure that women, men and children who are the target of our interventions are involved in planning, implementing and judging the effectiveness of projects

The means by which power is used responsibility. The Humanitarian Accountability Partnership International's (HAP) definition of accountability involves taking account of the needs, concerns, capacities, and disposition of affected parties, and explaining the meaning of, and reasons for, actions, non-actions and decisions. Accountability is therefore about the right to be heard, and the duty to respond

Five Dimensions of Accountability

1. Transparency and Information Sharing

Oxfam will provide stakeholders with the information they require to make informed decisions and choices. In this way transparency is more than just a one-way flow of information; it is an ongoing dialogue between an organization and its stakeholders over information provision[60]. Specifically, Oxfam and its partner organizations shall make the following information publicly available to specified stakeholders through the more adapted means, channels and of course considering the most suitable language:

Organizational background, vision and mission

Project plan – objectives and timing of the projects, expected results, beneficiary selection criteria

Contact details for each project

Dates and locations of key events open to community participation

Basic reports on project progress including basic financial information (e.g. the price of units) - to be made available at agreed intervals

2. Beneficiary Participation

Oxfam and its partner organizations shall promote beneficiaries participation in program decisions and seek their informed consent and feedback. Specific attention should be paid to gender, age, disability and other vulnerability in order to ensure the definition of specific processes enabling a complete participation.

3. Complaints/feedback handling

Oxfam shall establish and implement feedback complaints-handling procedures that are effective, accessible and safe for intended beneficiaries and communities, agency staff, project partners and other specified bodies

[59] taken from the OI policy compendium note on humanitarian accountability (December 2006)
[60] Taken from ECB definition

4. Staff Competencies and International Standards

Oxfam shall determine the competencies, attitudes and development needs of staff required to ensure quality and fulfillment of commitments and international standards[61]

5. Commitment to Continual Improvement

Oxfam makes its commitment to accountability explicit, as evidenced in country strategies, program proposals, staff inductions, partnership agreements; program implementation, monitoring and evaluation. MEAL strategies and plans will ensure Oxfam capacity to be accountable (evidence collection) and at the same time the former 4 dimensions should be embedded in the MEAL strategies and plans

[61] Including the Red Cross Code of Conduct

4.5. Oxfam Gender in Emergencies Minimum Standards

4.5.1. Purpose of the Minimum Standards:

These standards have been developed in consultation, collaboration, input and agreement with representatives from all Oxfam affiliates.

They are to be used as a tool for Oxfam humanitarian program practitioners and have been developed to ensure a consistent

Oxfam approach to promoting gender equality in humanitarian programming.

These standards should be referred to during Contingency Planning processes, at the onset of an emergency and throughout the project

cycle. They are accompanied by a handbook that will guide users on the practical application of these standards.

CATEGORY	SUGGESTED MINIMUM STANDARDS FOR OXFAM	INTERNATIONAL STANDARDS ON GENDER IN HUMANITARIAN ACTION
Using gender analysis to inform program design, and implementation and Monitoring, Evaluation and Learning	1.Ensure equal access and meaningful participation by specific gender groups in humanitarian activities throughout the project cycle including 1.1 Preparedness 1.2 Program Design 1.3 Program Implementation 1.4 Monitoring, Evaluation and Learning 1.1 Preparedness 1.1.1 Gender analysis to be included in Contingency Plans which will incorporate and consult with existing gender focused development programs. 1.1.2 All staff and partners to receive gender training 1.2 Program Design 1.2.1 In consultation with other stakeholders, collect, analyze and report on gender differences using sex and age disaggregated data (and other factors where possible/relevant) starting from onset and throughout the project cycle	Analyze and report on gender differences. Design services to meet needs of all Collect, analyze and report sex- and age-disaggregated data

	taking into account issues of safety and accessibility 1.2.2 In consultation with women, men, boys and girls, design culturally appropriate gender sensitive programs that address the needs and safety requirements of the most vulnerable and redress gender-specific injustices. The program design should incorporate a gender strategy, policy and advocacy elements. 1.3 Program implementation 1.3.1 MEL frameworks are in place to monitor the integration of gender considerations based on gender analysis 1.3.2 Both technical and social interventions are set together and are complimentary 1.3.3 Programming is intertwined with sustainable development objectives for the country including DRR 1.4 Monitoring, Evaluation and Learning 1.4.1 Monitoring to commence at onset of emergency. 1.4.2 Monitoring to integrate indicators sensitive to gender 1.4.3 Monitoring to include gender disaggregated data 1.4.4 Evaluation to assess the impact and effectiveness of gender considerations and analysis throughout all aspects of program and implementation and measures are taken to correct any negative results. 1.4.5 Establish effective mechanisms for feedback from all beneficiaries taking into account access and safety issues as well as anonymity 1.4.6 Lessons learned are documented and shared with partners, staff and communities.	
Ensuring Participation, Dignity, Empowerment and	2. Ensure equal access, safe and meaningful participation by specific gender groups in humanitarian sectorial program activities (i.e. Water, Sanitation and Hygiene – WASH and Emergency Food Security and Livelihoods - EFSVL), throughout the project cycle, including	Access for women, men, girls and boys. Train women and men equally.

Accountability	distributions, training and livelihood opportunities. 3. In consultation with women, men, girls and boys, actively promote women's and girl's dignity and empowerment in program design and implementation 4. Develop programs that ensure women's and girl's rights are being redressed in emergencies and ensure men's and boys' support (not just consultation) making them allies 5. Establish safe and gender sensitive effective feedback mechanisms from beneficiaries about programs (to re-dress programs shortcomings), including gender issues, by Oxfam and partners staff. This is to include a targeted consultation of women.	Target actions based on a gender analysis. Coordinate actions with other humanitarian actors.
Promoting gender equality through internal practices	8. Advance and promote gender equality through internal practices including: allocation of appropriate financial and human resources partner selection criteria gender-balance among staff inclusion of gender objectives in performance management. 9. Ensure workplace policies and procedures are in place and socialized amongst staff and partners to ensure gender equality in the workplace. These are to include anti sexual harassment HR policies 10. Staff and Partners to sign to Codes of Conduct to ensure protection of staff and beneficiaries 11. Emphasize accountability of senior management for promoting gender equality 12. Develop staff, partner and senior management capacity through inductions, trainings and reflections 13. Develop a gender sensitive organizational culture	Not applicable
Prevention of Sexual	14. Protect beneficiaries from sexual exploitation	

Exploitation and Abuse (PSEA)	by staff and partners Staff and Partners have read and have been inducted on any PSEA policies in place Complaints mechanisms for staff, partners and beneficiaries are in place and have been communicated	

4.6. Oxfam Minimum Standards for Supply and Logistics Capacity in Emergency Preparedness and Response

4.6.1. Introduction

Providing people in crisis with urgent material assistance and emergency services involves rapid and often extensive physical mobilisation. Supply and Logistics is therefore an essential part of effective humanitarian programs and critical in meeting minimum standards for emergencies set out by the Oxfam Humanitarian Dossier.

By creating this document, the Oxfam Logistics and Supply Chain Management Network aims to provide the minimum standards of organisation for the supply and logistics function to achieve Oxfam operational objectives in emergency response. These standards apply to situations where Oxfam delivers directly as well as where programs are implemented by partner organisations.

Figure 1: Diagram taken from Logistics Cluster; *Logistics Operational Guide*, illustrating the elements that make up the Humanitarian Supply Chain. This highlights the Supply and Logistics responsibilities within Oxfam and Partners.

4.6.2. Relevant reference documents

This paper has been guided by The Humanitarian Dossier, and the Primer on the Single Management Structure (SMS).

Under SMS a toolkit is provided that outlines some considerations that affect the functionality of supply and logistics within an Emergencies context (ie. Shared services policy, Shared service guidelines and Designing shared services). The toolkit guides facultative development and opens up an opportunity to think in more detail about how shared services can work in practice.

These minimum standards, however, provide the key and minimum requirements for supply and logistics to meet our Humanitarian program objectives. The standards therefore inform the way services (shared or non-shared) and programs are set-up.

4.6.3. Objective/purpose of this paper

These standards are to help aid Management Teams in country to set a baseline for logistics practice and to ensure that Oxfam operational objectives can be met. They will also support efforts towards meeting SMS measures of success in “impact”, “cost effectiveness” and “consistency”.

4.6.4. Human Resource capacity priorities

Supply and Logistics aims to meet the material requirements and implementation schedules set out by Oxfam affiliates and partners in their project plans. This includes key elements in the Humanitarian Supply Chain (ie: supply planning; stock tracking; warehousing and delivery to project site or beneficiaries) as summarised in Figure 1.

The following are the minimum Supply and Logistics Human Resource requirements for the overall network of affiliates and partners involved in meeting our Humanitarian commitments as an organisation. These minimums are not in order of priority and should all be considered of equal importance. [62]

- A Country Logistics Manager (or equivalent skilled role) should be in post for priority 1 countries and a Logistics Focal Point with technical expertise for supply and logistics activities in all other countries.
- Appropriate number of logistics staff (inclusive of Oxfam and partner staff) to support mobilisation of substantial resources (proportioned to needs) in a short period of time[63].
- HR surge capacity (HQ and/or regional) to respond to urgent needs of a country in an emergency.
- All Managing Affiliates or Humanitarian Lead affiliates in priority one countries should have a Logistics Specialist at Head Office or Regional Level. Lower priority countries should have a focal point with technical expertise.

The Managing Affiliate is responsible for ensuring that these minimum requirements are in place for the country programme. These positions may exist within partner organisations if the Managing Affiliate can ensure that they are recognised and connected at an appropriate level in the country organisational structure. Managing Affiliates must make sure that adequate competencies are held by staff in these roles and that they have the mandate and support required to fulfil their role.

Technical capacity priorities

Capacity priorities have been grouped into Emergency Preparedness, Response and Post-Emergency/Exit. The minimum standards under each heading are not in order of priority and should all be considered of equal importance

Emergency Preparedness

Contingency and preparedness planning for emergencies, carried out in countries where Oxfam and/or Oxfam partners are operational in preparation for disaster or conflict response.

62 Tools and guidance on how to implement the standards a/o including short reference Job Profiles will be provided through the SMS toolkit (Supply and Logistics Health Check and Resourcing Tool and Sample OI Country Logistics Manager Job Profile)

63 As indicated by Minimum Presence Requirements of Lead during Humanitarian Response (approved by HCMG in March 2009)

- Ensure that Oxfam is registered under the correct registration type with MoU in country, legally able to operate and eligible for appropriate tax exemptions. Essential requirement for Humanitarian Lead.
- Establish Supply & Logistics Policies and Procedures in country.
- Assess what infrastructure and resources are required and available to support programme contingency plans. Maintain/ update this in line with regular contingency plan reviews
- Identify gaps and set a system in place for scale up of existing infrastructure (ie office, accommodation, transport, storage etc).so as to ensure that full capacity is in place to meet requirements of all programme contingency and preparedness plans.
- Conduct a market survey to establish key sources for procurement – disasters or conflict resulting in the emergency response will often disrupt markets, therefore plans should be in place to maintain this information in the response stage.
- Identify key air/sea ports and transport means and prepare alternate routes.
- Consider logistics capacity and technical knowledge within the Country Leadership Team and Partners, and put plans in place to address obvious gaps.
- For high risk/potential high risk areas, set up a system to assess security situations and have a plan in place to report and disseminate security information in order to manage security risks appropriately.
- Advanced agreement of shared services in Emergencies between affiliates and partners.
- Agreed adjusted minimum requirements to Supply and Logistics processes to enable quick response during emergency phase[64].

Emergency Response

Immediate response to a sudden or slow on-set emergency.

- In country capacity to coordinate supply and logistics preparedness plans, re-plan and scale up to mobilize substantial resources (proportioned to needs) in a short period of time[65].
- Capacity and systems to monitor the external environment for impacts to preparedness plans being executed (markets, transport routes, security etc). Update plans appropriately, and deliver in accordance to changes.
- Collaborate with external humanitarian actors in coordination with all Oxfam Affiliates, (ie single Oxfam representation at UN Cluster meetings).
- Ensure supply and logistics scale-up requirements are included in budgets.
- Maintain and archive supply and Logistics documentation, ensuring indication of compliance to agreed process standards (Oxfam, Donors and host Government).

64 Example of minimum requirements adjusted for emergencies in Oxfam GB Policy, Minimum Requirements for First-Phase Humanitarian Programme Responses

65 As indicated by Minimum Presence Requirements of Lead during Humanitarian Response

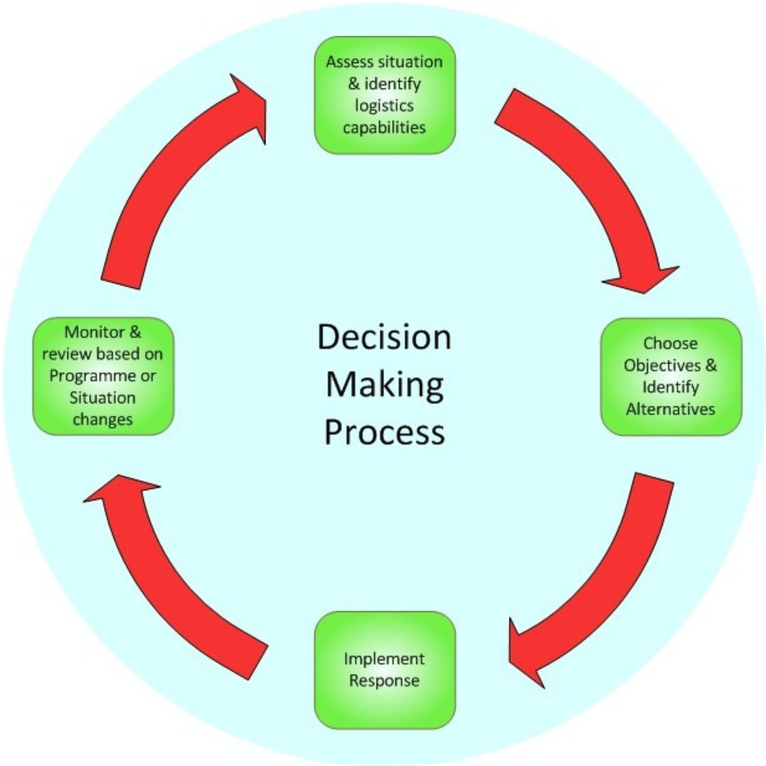


Figure 2: Diagram taken from Logistics Cluster, Logistics Operational Guide, illustrating continual assessment and decision-making process required during emergency response.

Post-Emergency/Exit

Scale down or closure of projects.

- Use on-going assessments in line with programme demands, to decide when to scale down
- Appropriate disposal of equipment and stock in accordance with relevant Oxfam and Donor policies

4.6.5. Commitments for all Affiliates

Each Affiliate as part of the SCM-EMN Group agrees to, inform countries of Minimum Standards, perform self-assessments against the Minimum Standards and report back to the SCM-EMN Group for follow-up.

5. Guidance and Tools

5.1. Introduction

This final section of the Humanitarian Dossier addresses the HOW TO of Oxfam humanitarian work, giving the guidance and tools needed for Oxfam responses. This gives you all the tools you need to follow section 1 “what to do in an emergency”.

Below are the guidance notes and tools you will need (MUST use within an emergency) and those additional tools which will be useful in certain situations.

5.2. Index of Guidance and Tools

5.3. Oxfam International Security Protocol (SMS)

5.3.1. Vision Statement

Oxfam Affiliates recognize that working in complex environments may entail staff being present in insecure and violent contexts. Affiliates undertake to reduce the risk of operating in such environments by effective security management.

Under SMS, close collaboration of Affiliates in the management of security will lead to effective and efficient program delivery, ensuring the safety and security of staff and assets. This document outlines the architecture by which this vision will be realized through provision of standards and guidance.

Aspirations: we envision a complete harmonization of security policies and practices, frameworks and tools within five years.

5.3.2. Standards

1. Affiliates must have a Global Security Policy and a Crisis Management Plan in place.

2. Staff safety and security is a higher priority than the protection of material assets, the preservation of programs or the expression of advocacy objectives.

3. The Managing Affiliate is responsible for ensuring an appropriate security management system is in place, which includes a countrywide security management plan that applies to everyone working in country and includes visitors. Certain tasks may be delegated to an Implementing Affiliate with greater security management skills or capacity, but the responsibility cannot be delegated. All Country Offices must have a security management plan.

4. Each Affiliate is responsible for staff that they manage as a matter of duty of care and is responsible for ensuring that staff and visitors comply with the security management system.

5. Affiliates share responsibility to feed into the security management system, including joint context analysis, risk assessment and risk mitigation measures.

6. Affiliates recognize the impact that their staff behavior, actions and programs may have on Oxfam's overall reputation and brand, and hold each other accountable.

7. Affiliates must meet the minimum standards outlined in this document. Where Affiliates global security policy imposes other standards on specific issues, these may be met in addition to the minimum standards.

8. The right of Affiliates and staff to withdraw from insecure or dangerous situations is supported by all Affiliates.

9. Affiliates work according to the principles laid down in the Code of Conduct for The International Red Cross and Red Crescent Movement and NGOs in Disaster Relief.

10. Affiliates agree not to use armed guards[66] and that staff will not carry or take up arms.

11. Affiliates agree not to make statements or undertake activities that could compromise Oxfam's standing as an impartial party.

12. If agreement on security matters cannot be reached at a country level, the matter will be referred to the Program Governance Group.

66 Unless authorised by the Executive Director of the Managing Affiliate, following a collective risk analysis and decision by all Affiliates present. The ED will advise other Affiliate EDs present of the specific circumstances of the authorisation.

13. Affiliates will respect the confidentiality of what has been shared with them.

5.3.3. Guidance to meet standards

14. The Global Security Policy should be proportionate to the Affiliates mandate, program and mode of operation. It should clearly articulate the expectations the Affiliate has of its employees and the responsibility the Affiliate assumes on behalf of its employees.

15. The Crisis Management Plan establishes arrangements and resources required to manage a critical security incident that is so complex or acute (such as kidnap) it cannot be managed adequately within the normal scale of operations. The plan provides a framework for necessary steps during such a crisis and its immediate aftermath.

Country-wide security management system

16. Roles and responsibilities for security management must be defined and assigned to named individuals. A clear explanation of the relationship between the Program Governance Group, MA, and IA's must be documented and agreed upon.

17. Context analysis and risk assessment must be undertaken jointly, and must be a collaborative, consultative effort.

18. The choice of security approaches (for example, acceptance, deterrence and protection) is based on joint context analysis and risk assessment.

19. Information is shared between Affiliates, and mechanisms to do so are institutionalized. The MA ensures that information is gathered from, and shared with, other actors (such as INGOs, UN, partners, local authorities and other stakeholders) and is crosschecked and analyzed.

20. The MA oversees security learning and development needs, and coordinates efforts to provide joint training initiatives.

21. Security management should be on the agenda of Affiliate meetings at all levels (including Program Governance Group) and should be discussed on a regular basis.

22. Resources for managing security, including provision for training, should be budgeted for.

23. Incident reporting and analysis – in addition to meeting line management reporting requirements; all security incidents must be shared with all Affiliates as soon as possible.

24. The MA is responsible for ensuring the development of a current, agreed Welcome pack (suggested format in Annex A)

25. Each Affiliate is responsible for ensuring security briefings are conducted and for monitoring the security of all their staff and visitors regardless of their Affiliate of origin. The MA should be notified of all visitors and new staff.

26. Partners are responsible for managing their own security and Affiliates need to ensure that staff and Partners are clear about their specific roles and responsibilities regarding security management.

27. The MA is responsible for ensuring the definition of security levels based on the "five levels system" and for outlining country specific indicators and actions (according to the generic example in Annex B). The MA (in consultation with IA's) sets the appropriate security level, and the MA's decision, once made, for example on evacuation, is final.

The Security Management Plan

28. The MA is responsible for ensuring the development and maintenance of a countrywide security management plan. Location specific plans must also be developed. The Affiliate concerned with the particular location is responsible for the development and maintenance of location specific security plans. The MA ensures quality and consistency with the overarching countrywide security management plan.

29. Although a security management plan is considered to be a key tool for managing staff security, security management is more than just a document or plan. The existence of the document does not guarantee staff security; it is only valuable if activities are managed in accordance with it; it forms part of a comprehensive security management system and staff understand and accept its authority. The creation and maintenance of the security management plan is a consultative, participatory and collaborative effort to ensure ownership and compliance. A suggested template is in Annex C.

5.4. Oxfam Contingency Planning and Contingency Plan Guidelines

5.4.1. Contingency Planning in Oxfam

What is it?

Contingency Planning in Oxfam is a process culminating in a Contingency Plan. This plan should state how Oxfam affiliates will respond to an emergency through a joint strategy, organizational arrangements and will make use of their collective resources to assist people who will most likely be affected by humanitarian crises.

The Contingency Plan (CP) is just a part of a wider strategy of Preparedness. It can be defined as the activities and measures taken in advance to ensure effective response to the impact the disaster, including the issuance of timely and effective early warnings, evacuation plans or capacity building to enhance the response capacity[67].

Each Oxfam affiliate includes preparedness, disaster risk reduction and capacity building as a part of its overall humanitarian mandate, while taking into account the different approaches and strategies on country and global levels. These different approaches should be coordinated through the Oxfam Joint Country Analysis and Strategy, and through Operational Planning both within the RiC Change Objective and/or as part of any existing Regional Operational Plan (coordinated by the PGG). Therefore, aim of the CP is to coordinate the strategy and the responsibilities for specific reactive responses in a specific country but does not encompass an overall preparedness strategy.

Why do we do it?

Oxfam undertakes joint contingency planning to enable the Country Leadership Team (CLT) to respond quickly and effectively, in a coordinated manner. The contingency plan should be the first reference point for responses and responsibilities.

This is based in the Basic Agreement of Oxfam Humanitarian Response:

All humanitarian responses carried out by any Oxfam are joint Oxfam responses. Oxfam affiliates will work on humanitarian responses under a common Joint Strategy, according to the Contingency Plans and within the Humanitarian Consortium parameters.

Who does it?

Contingency planning is carried out under the leadership of the Managing Affiliate. On agreement the process can be managed by the Humanitarian Lead, where this differs, in coordination with the CLT. Quality is overseen by the Program Governance Group and the Humanitarian Consortium Governance Group (HCGG) oversees the whole process of Contingency planning. Ultimate accountability is with the Managing Affiliate through their management structure. Evaluation and updating of the plan is done in the same way.

The Contingency Plan will need to be signed-off by:

30. The Country Leadership Team

31. The Program Governance Group (PGG)

67 Definition based on UNIDR at “Living with risk: A global review of disaster reduction initiatives”

32. The management line at Regional Office and/or HQ of the Managing Affiliate and Humanitarian Lead (if different) in the Country.

Plans should be the result of a collaborative process between Oxfam affiliates and appropriate partners who will respond to humanitarian crises. Active engagement with the process by all stakeholders which have the responsibility and/or the will to respond is critical for success.

Who will use the CP?

The CP is a document primarily for all staff that will be involved in the response. It is important to understand that most probably this will include staff other than those that have been involved on the conception or updating of the plan, since humanitarian responses generally need extra support. Therefore, clarity, concision and to be user friendly are key elements of the CP. There should be clear instruction across affiliates to include the CP in new staff inductions and ownership by management should be encouraged. It also needs to be easily accessible to affiliate deployable staff (Humanitarian Support Personnel, Register Members etc.) and included as part of their deployment pack so that they have read it on arrival to a crisis.

Where will we develop Contingency Plans?

Priority 1 and Priority 2 countries must have updated Contingency Plans. An updated list of the countries categories can be found within the Dossier.

The CP has to be developed under the hypothesis of all categories of disasters that may realistically happen in the country. It has to take into account that for Category 1 emergencies Oxfam GB will be the Humanitarian Lead Agency in every case (see Step Aside rules in section 3.3.9.) and therefore OGB will always take an active part on the agreements around the CP. The CPs will, as well, also make the needed specification for change on roles and responsibilities for category 1 emergencies.

How to incorporate Oxfam experience of Contingency Planning?

Oxfam incorporated Contingency Planning as part of its humanitarian strategy in 2001. Over the years the quality and usefulness of the CP have been reviewed through various processes both by quality check prior to disaster and post disaster use of plans through Real Time Evaluations. Key findings include:

- It is accepted that the Contingency Planning is a very valuable process to build country level cohesion among Oxfam affiliates and partners around humanitarian preparedness.
- But the effectiveness of the Plan as a coordination tool has to be generally improved.

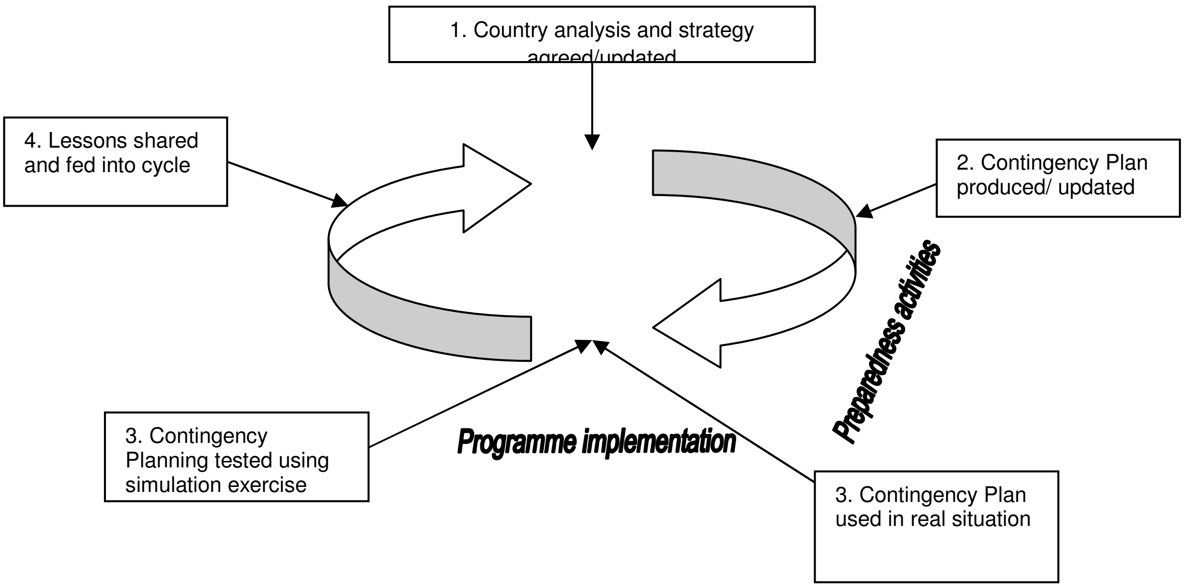
The most common weakness detected over the years on the CP and action proposal to overcome them are indicated in the table below:

Detected weaknesses	Actions to overcome the weaknesses
The CP is long, unfriendly to use and not practical	The CPs has to follow the Guidelines on the limitation of total pages (10) and pages per section. A third person(s) (that did not participate in the CP elaboration and preferably a potential user) has to read the plan and judge its understanding. Since Oxfam CPs are multi hazard and often covering wide areas, long scenario planning has to be avoided. Few scenarios of different degrees

	are useful to anticipate possible reactions but all the combinations are impossible to forecast.
The CP does not have reliable information	This may happen due to initial unreliable information or dated information due to lack of revision. To avoid the first a double check of info quality has to be done before the plan is released. For the second a CP manager has to be appointed in the Oxfam lead and the CP updating cycle has to be respected
There is low ownership of the CP	The CP is generally wrongly understood as a top-down process from global level to country level. The CP is a coordination plan of the collective responsibility to respond on country level. Affiliates are accountable to each other based on the Oxfam principle of confederation.
There is not clear strategy definition and/or strategies are not aligned with the affiliates ones	Strategy definition is key for the usefulness of CP. Before defining how we want to respond we need to define what are we going to do and what will not be doing. It is basic that all affiliates bring to the table all the strategic needs taking into account their different stakeholders. A coordinated Oxfam Strategy to respond has to be discussed, agreed and reflected in the CP which provides focus (sectorial, geographic, etc).
Management lines are not clear	The CP is a coordination agreement among affiliates to respond. Successful coordination requires experience, leadership and participation. Although management lines in Oxfam go along affiliates the coordination of the different management structures has to be agreed beforehand.
The CP is unfocused	The CP tries very often to include excessive information as well as to go above its area of duty from contingency to preparedness including things such as capacity building. This should be avoided. The CP has to include strategies and actions on programming, advocacy and communications.
The CP is not recognized as the first reference point of response	Lack of recognition can be overcome by assuring that experienced staff are writing the plan in the first place and updating it, by support and dissemination through the management lines, by showing accountability against the CP and by appropriate monitoring and evaluation of it. Inclusion of the CP in induction of new staff, both in the country and desk staff in affiliate home offices will also ensure familiarity and recognition.

The Contingency Planning Cycle

Contingency planning is managed as a cycle, with phases for production, implementation, learning and revision, as shown below.



On the graphic, steps 1 to 4 are taken jointly by all the Oxfams in country led by the Oxfam Managing Affiliate (or Humanitarian Lead). The subsequent “Preparedness Activities” taken after step 2 are not part of the CP but should be implemented by affiliates to improve future responses. It is highly recommended that the Preparedness activities are in line with the CP and coordinated among Oxfam in country willing to do them. Similarly, the Program implementation is affiliate-based humanitarian response coordinated under Managing Affiliate/Humanitarian Lead.

CP are kept ‘live’ and relevant by testing them in a simulation exercise if they have not been put to use in a real emergency situation (Step 3). Critically, the lessons learnt during either the real response or the simulation exercise must be used immediately to reassess and update the plan.

The Managing Affiliate is also responsible for this process. The whole cycle (steps 1 to 4 and back to 1) normally should not take longer than 24 months.

5.4.2. Oxfam Contingency Plan Guidelines

General Guidelines

- Keep main text to 10 pages. The CP is a concise coordination tool.
- Preparatory material for the content and process can be attached as annexes

- Two languages: as the CP will be used locally and internationally, it is important to write Contingency Plans in a main local working language and in English.

Below are the eight sections described for the Oxfam Contingency Plan format with the guidance notes for each section:

Section 1, 5 and 6 are the core sections of the CP and its clarity and concision on the elaboration as well as a responsible agreement around the decisions reported here, will be the pillars for and effective and efficient Oxfam response.

Section 1: Responsibilities (1st page. 1 page maximum)

Based on the responsibilities defined on Basic Agreement of Oxfam Humanitarian Response includes the following information:

- Clear description of the role and coordination of the different affiliates for humanitarian response.
- Name and contact details of senior managers (most preferably a Country Leadership Team member) who will directly coordinate response for each affiliate as well the name of the person that will replace him/her if absent. Also names and back-up names of all CLT members.
- Model in place for media and communication channeling. Who takes responsibility on what attending to the responsibilities defined in the humanitarian dossiers.
- Fund raising management model
- Model in place with focal point for updating and sharing information around the disaster and the response.

Section 2: General information (max 1 page)

Include the following information:

- Date of production/updating
- Version number
- Name of the Humanitarian Lead Oxfam affiliate and Managing Affiliate if different.
- Name and contact of the person from the Managing Affiliate/Humanitarian Lead Oxfam responsible for updating the CP. If the Humanitarian Lead is not OGB, include also OGB name and contact person to be leading a Category 1 emergency. If OGB is leading but planning a different lead person for Category 1 makes it explicit.

Section 3: External Context (max 1 page)

Include the following information:

- Country profile: Key demographic, political, and socio-economic data (population, density of population by areas, rural/urban, access basic services, livelihoods groups, security situation, governance. Much of this information can be presented in graphs, maps or tables to reduce text.
- Identify other important actors (National and International) that might be involved in a humanitarian response and rough assessment of their capacity and Oxfam niche (general impression of government capacity, sectors with strong presence of other INGOs/UN, etc. which can inform Oxfam's niche)

- □ Brief description of major disasters in the last 10 years

Section 4: Oxfam Program (2 pages maximum)

Include the following information. All the information can be set in a map and include it in Annex 2:

- □ Existing Oxfam affiliates program (humanitarian and non humanitarian)
- □ Insert list of Oxfam program coverage, offices and partner location
- □ List relevant co-ordination mechanism, cluster meetings, etc. Oxfam is represented in and by whom
- □ List of partners (existing or potential) with capacity to respond in case of a Disaster (the capacity has to be responsibly assessed and agreed by Oxfam CLT). See Capacity Appraisal Tool (Annex G) and Oxfam Policy on Working with Partners in Humanitarian Response (Annex I)
- □ List relevant Real Time Evaluations and other evaluations that have taken place in the country that can inform future response (and reference where documents can be found).

Partner Contact List:

Partner organization	**Partner affiliate (Oxfam)**	**Contact details**	**What they can do in response? (Based on a realistic capacity analysis and experience)**	**Modes of operation: assessment, response capacity (programs, media, advocacy), thematic expertise (WASH, EFSVL, etc.)**
Possible future partners				

Section 5: Scenarios (max 1 page)

Scenario setting is an exercise to think about the possible responses (internal and external) and to discuss and agree on our strategies on different scale. Based on potential emergency scenarios that are foreseeable in the country (with different scale of damage, include at least one of each Oxfam category 1, 2 or 3) agree in a single most probable scenario that might be happening in the country.

The following table is suggested for setting out scenarios:

<u>Scenario X</u>

Hazard type

Historical frequency, future frequency (if changing)
Likely geographic area of impact (historical and future, if changing)
Potential impact (life loss, health, livelihoods, housing, infrastructure, access)
Potentially vulnerable groups specific to this context
Coping strategies/capacities (gov, community, household)

Section 6: Response strategy and resources (4 pages maximum).

Agreement on the response strategy based on realistic scenarios is basic for the usefulness of the plan. All Oxfam affiliates participating on the CPing have to be able to integrate their own strategy (shaped by its own constituency and its own stakeholders) with a joint Oxfam response strategy. The following table is suggested to outline and agree the response.

Outline an intervention hypothesis for each of the 4 scenarios identified. Be as specific as possible. Since each of the scenarios will be of different scale, most probably the interventions will vary.

Define the Scenario (from section 5)
Assessment/start-up plan: which staff members (national and regional) and which partners will start the response and how.
Which is the most likely response of Oxfam (on scale, geographical coverage, partner/direct, sectors, cost, etc)? Include Advocacy and Media at national and international levels
Human Resources, managed by Oxfam affiliates or key staff from partners, to be included in the response (staff in country/region to be seconded, partner, likely need to recruit externally)
Logistics: Including equipment, emphasis on transport means (vehicles/boats/flights) existing, available locally and likely need to import (add separate table if necessary see below). Specify agreements with partners to use their logistical arrangements. Include if it exists contingency stock (if yes describe more details in a separate table see bellow). Identification of local storage capacity is also useful.
Funding need for the different phases: (assessment, start-up costs, first phase response).

Coordination with government, UN, other INGOs. Plans should also reflect basic coordination agreements with other relevant actors (principally government, other relief agencies and the UN, private sector)
Other important elements to be take into account for the response strategy such as specific laws or restrictions (e.g. visa or work permit requirements).

Once the response strategy is defined and agreed a compilation of resources must be included in the contingency planning. This compilation has to be done in a brief and dynamic manner in order to facilitate updating and reliability.

Three tables of resources with the following information must be included (if these are very long to make section 6 longer than 4 pages, send them to Annex 4).

- Oxfam affiliates and partners (which have expressed a firm interest to work with Oxfam in case of response) equipment and logistics geographically placed. Key equipment as water tanks, tents, blankets, other Non-Food Items and logistical items as vehicles, boats and communication equipment can be identified in this table. For partners this is a more specific table that the one in section 4 where only general information is provided.
- List of possible external suppliers on logistics and equipment that can provide Oxfam affiliates or partners associated to the response. Include contact details and reliability of supply in case of a crisis.
- Human resources already working in humanitarian (program/advocacy/ and media) and/or other deployable in case of a crisis. Include contact details.

Section 7: Financial resources and constraints (1 page maximum)

Determine how much and how quickly we can get response funds in place. It is important to mention any contingency funding that may be in place:

- Funds allocated to humanitarian response, noting special needs of affiliates with their back-donors
- Funds that can be disbursed immediately (flexible or discretionary funds, decentralized contingency funds, catastrophe funds, etc)
- Other potential funding.
- Affiliates responsible for relationships with which donors

Section 8: Annexes (include them all)

- Annex 1: Security guidelines of each of affiliates in the country
- Annex 2: Maps
- Annex 3: List of relevant contacts (internal and external)
- Annex 4: List of resources (if not included in section 5)
- Annex 5: Brief explanation of the Contingency Planning process.

5.5. Internal and External Communications

Oxfam is tackling the huge challenges facing the world by working more strategically and effectively as 'One Oxfam'. This means for communications we are more and more speaking with one voice, as One Oxfam, with strong, coherent branding and communications important for building this collective identity. We are making changes to our global network for delivering media and communications and amending our media signoff and other protocols and guidelines accordingly. Under the global identity project we will have a common branding to build upon.

Against this background of working more closely as one Oxfam, and with global communications channels being even more important, in times of emergency response, communications between the Oxfams during both the preparedness and the response phase to an emergency represent a pivotal element of good coordination and enhance Oxfam capacity of making the most of our collective work. This document gives some guidance on how to meet the information and communications needs and interests of different staff in all of the affiliates Oxfams at all stages of an emergency, covering both internal communications and external communications needs.

5.5.1. Internal Communications

The need to communicate effectively between Oxfams at the time of an emergency is both very pressing and very difficult to accomplish to everyone's satisfaction (it can be too much, too little, too late, of the wrong sort or just badly organized). Below are some guidelines that are intended to help meet the needs and interests of different staff in all of the affiliates.

Those who will or may need information are not only program planners and program managers, but also staff concerned with media communications, advocacy, fundraising and internal communications. Much of what each of them will need is the same, although the amount of detail they need will vary. Crucially, they will also need information with different degrees of urgency and regularity. Program staff, from whom most of the information will originally come, may need to be reminded that their information is needed by all of these other colleagues with their own responsibilities. It is many of these same people who will turn the information they receive into communications for others, be the press, potential donors, or advocacy targets, for example. To do this, they will need to re-use information that is coming from the field, as well as from other sources both within and outside Oxfam. In order to facilitate this, it is essential that responsibilities for producing, collating and disseminating information are clearly agreed and fulfilled.

Responsibility for communicating and the communications network

Within a humanitarian response, Oxfams should try to see the responsibility for informing the Oxfam confederation as a combined responsibility and not just reporting through each of the respective affiliates' management lines.

The Humanitarian Lead is responsible to gather, collate, file and circulate information on the whole Oxfam program and the led agencies should play a proactive role in feeding all necessary information to the Humanitarian Lead in a timely manner and within the deadlines set. It has proved useful in several cases for the Humanitarian Lead to appoint someone dedicated to this task (e.g. an information officer), especially during the first phase of an emergency[68]. The Oxfam International Secretariat also plays a key role in facilitating, sharing and storing information needed by people involved with the particular response through Sumus.

68 Apart from the on-going value of this post, it can also serve as a great help during the evaluation process.

The Humanitarian Lead should then appoint a person to take up the role of communications coordinator for the emergency. The post holder, then, has responsibility for communicating program information to all affiliates on a regular basis, through Sumus and directly as appropriate.

Where does the information come from and go to

The Humanitarian Lead receives reports from the field program. These will form the basis for Situation Reports and Emergency Updates, which could be compiled by the communications coordinator or the Information Officer of the Humanitarian Lead.

Designated contacts should try to ensure that information passed to the communications coordinator includes (where appropriate):

- summary of activities planned and being carried out in response to the emergency (e.g. assessment mission, grant for immediate assistance, contact with other agencies, etc)
- indication of whether the affiliates' response is being carried out through another Oxfam, a non-Oxfam organization or directly (including through partners)
- identification of partners and a brief summary of partner organizations' background
- account of the context of the member's response (including information which could not normally be obtained from the general media)
- information on appeals under way or planned by the affiliate in their country, including the amounts raised.

The designated contact in each affiliate is then responsible for dissemination within their organization. It is of course understood that each affiliate maintains its own internal communications in addition to the communications that pass between Oxfams. It is very helpful to think about what information, ideas and discussions that go on within an affiliate will be useful or important to also share with other affiliates. Nevertheless, all staff involved is responsible for accessing the SUMUS to get the most updated up to date information on each crisis.

What we communicate

The information that needs to be shared amongst Oxfams' staff in the field and at management level is:

- Information on the emergency context and how it changes, including background information
- Situation analysis
- Program information (planned and current), including all Information on partners
- Analysis and messages for media and advocacy purposes
- Information about funds (both already raised and looked for and also how they are allocated and spent)

One of the key lessons from previous emergencies has been the need to document meetings, agreements, etc and dissemination of those documents. It is vital that this is done. They must be distributed amongst the field staff of affiliates who are actively involved in the program, of course, but also to affiliate headquarters and Oxfam International. Time and resources need to be allocated to these tasks.

How to present information

In general, when presenting information, the following rules should be followed:

- Include a date and the name of who has produced the document
- Give a title to the document. This should be specific and, if there is a series of documents (e.g. Situation Reports and Emergency Updates), they should be numbered. In the case of e-mail messages, follow the same rules for the subject of the message.
- Indicate, especially with e-mail messages, whether they are for information, for action, if they need a reply and when, and how urgent they are.
- If the information you are providing is confidential for any reason, say so at the beginning of the message

During an emergency the Humanitarian Lead is responsible to prepare and circulate:

- Situation Reports

These are designed to respond to the need for useful information from the field and to provide updates on the situation and on the programme status in any given location. They are documents internal to Oxfam (confidential) and cannot be shared externally.

- Emergency Updates

These are designed to capture information on a given emergency (situation and program status) that can be shared externally (signed off for external use).

The Humanitarian Lead is requested to use the standard Oxfam templates included in the Humanitarian Dossier.

When information should be circulated

The Humanitarian Lead collects all the information from each Oxfam affiliate present in the country at the time of an emergency.

Within the first week, the Humanitarian Lead should inform all Oxfam affiliates of the time schedule on which Situation Reports and Emergency Updates will be circulated (through Sumus) and consequently the time by which they need to receive information from led agencies for inclusion in these updates.

How often information is needed will vary according to the circumstances. As a general rule it will be needed as often as daily at first, reducing to maybe a monthly schedule after a few months, when, for example, the emergency phase of the response ends or interest or the need for information has reduced considerably. What is important is to make good judgments about who needs what information and how often as the situation develops.

At certain moments and in response to certain demands, often from outside, information and communications will be needed for particular purposes. It is also at these points that having a working communications network will be both most effective and very important.

How to use information

Look at where information you have received comes from, and think about whether it should be used for the purpose that you want to or whether it can be forwarded to the people you want to inform. If in any doubt – or if you are passing information outside a known circle of contacts who you can be sure will be sensitive to any of the implications of what you are sending them – check with the source of the communication that you have received before using it.

5.5.2. External communications

Our two priority external communications channels, Media and Digital Communications, will continue to be the focus for our approach, as they remain the areas where all affiliates have activities, with the potential to work more effectively together, in such fast moving communications environments. We use these channels to communicate with all our key audiences, from informing our supporters to our advocacy work with decision makers and each of the channels is developing specific guidelines for humanitarian response communications in line with the need to communicate effectively and coherently, particularly in the early stages of an humanitarian response.

Media. Oxfam's ability to raise funds for its emergency work and advocate for change during humanitarian crisis is dependent to a great extent on the level of media coverage we achieve. In the early stage of humanitarian emergencies, particularly fast onset crises like earthquakes and floods, there is often significant news coverage. But this media attention is short-lived and fleeting, so it's important that we communicate about our program or advocacy aims as quickly as possible. The emergency can disappear from our TV screens as quickly as it arrived.

The Media Guide for Humanitarian Emergencies aims to equip media officers deployed to rapid onset emergencies with the tools they need to gain publicity for Oxfam's programs and advocacy in the initial stages of the emergency. The guide outlines what will have been happening in the first days of the emergency before deployment and what roles media officers outside the emergency zone play. It also gives advice on how to keep the story going when the interest starts to dip.

For information on external communications see Media Guide for Humanitarian Emergencies: https://sumus.oxfam.org/media/wiki/media-guide-emergencies

Digital communications: Currently in development the digital communications group are developing a humanitarian protocol for digital and social networks. This should be read in conjunction with the Media Guide, as these are closely interlinked.

5.5.3. The Oxfam International Intranet: Sumus

"Sumus is a digital work space created to empower us to share knowledge and collaborate between Oxfam staff regardless of geographic location, affiliate or division"

To access Sumus you need a user name and a password, if you don't already have these go to https://sumus.oxfam.org and request a new account

Humanitarian in Sumus

All humanitarian content in Sumus can be reached through the main "Humanitarian" section on the top green navigation bar. Through this section you will be able to access direct links to all humanitarian teams (HCGG, EMN groups) and related groups, all humanitarian responses and the "humanitarian response portal", emergencies updates, the Humanitarian Dossier and all humanitarian documents and tools.

Finding humanitarian responses content in Sumus

Humanitarian responses are listed on the Humanitarian Response Portal which you can get to through the homepage and humanitarian section.

Each response group has a documents section where all documents related to the response can be accessed from: Situation Reports, Joint Oxfam Strategies, Oxfam Funding Grids, advocacy policies and media material. Contingency plans, JCAS, etc are also accessible from there. Don't forget to "follow" responses to keep you updated with the latest added content.

Uploading humanitarian responses content in Sumus

To allow easy and quick work-flow of information during a humanitarian response crisis all humanitarian responses groups in Sumus are open, which means that users can immediately join the response group to upload or create content. Also, new humanitarian responses can be created by all users from the Response Portal.

Sumus support

We have several support materials for humanitarian staff in Sumus, all of them are accessible from the Response Portal and All about Sumus section.

5.6. Oxfam Classification of Humanitarian Crises Toolkit

Oxfam humanitarian work is planned taking into consideration country priorities as established by the Humanitarian Consortium Management Group, following the criteria described in the Humanitarian Dossier. Notwithstanding the priority level of a country, when a specific humanitarian crisis breaks out such event – together with our existing capacity and strategies in the specific context – is assessed and categorized in order to decide how Oxfam has to respond[69.]

Humanitarian crisis are sorted as:

- Category 1 – high level
- Category 2 – moderate level
- Category 3 – low level

- Non-Category – no response is required or possible

Categorization is a management judgment based on specific critical factors. Therefore, though assessment is carried out (also) through numerical indicators, the outcome should not be a mechanical result but rather an evaluation.

A) Why classification is done:

The classification system exists primarily so that we can have clarity on the level of priority a particular crisis should have within affiliates and across the confederation as a whole and so that we can manage the response to it efficiently and effectively.

Classification should be seen as a practical management tool and not a political statement. Category 1 means that we are saying that nothing anyone in any affiliate is doing is more important than responding to this crisis. Category 2 means that response takes priority over most things but that we keep going with other business. Category 3 says that we should be able to manage this response without significant impact on the rest of our work.

The category of response is also linked to the Commitments and Expectations of Oxfam's humanitarian response in that it helps to guide what the level and nature of the Oxfam total response should be.

B. Who is classification for?

The classification system is of use to those who are managing any aspect of the response, whether it is implementing the response on the ground, policy and advocacy work, recruitment, fundraising or any other aspect of the programme. It may be that the crisis looks to have a different priority from different points of view, eg what is very significant in policy terms may not be particularly challenging in terms of fundraising. All affiliates and groups of staff need to be aware of this potential for different views and respect the various perspectives.

C) How to categorize a humanitarian crisis

69 The Priority rating of a country and the Category of an emergency (as above defined) differ from the Security Phase of that specific country or any of its zones. The Security Phase of a country indicates the level of security of a country (or a zone) in a particular moment. It is assessed on the basis of parameters (e.g. 1-5, 5 being the highest alert level) and serves the purpose of establishing the stage of minimum security arrangements to enhance staff security and reduce risk in field operations

Each humanitarian crisis is categorized during its very early stage and then re-assessed whenever the general situation monitored by indicators gives signs of a change (up-grading or down-grading).

When a humanitarian crisis occurs, the general factors set out in the table below should be assessed, quantified and qualified and measured against the specific indicators. On the basis of the outcome of this assessment, the Humanitarian Lead (in close coordination with the Country Leadership Team) calls the Category the emergency belongs to. This exercise is conducted as soon as it is possible to collect basic information relevant to measure the factors identified. The Category so defined might be subject to change, especially in the early stages of an emergency, as the situation is likely to evolve and/or more detailed information that will guide to a better analysis might be gathered.

It is very unlikely that a particular crisis will display all the characteristics of a single category in equal measure however, all criteria need to be taken into account This means that it is unlikely that one criterion alone decides the categorisation, eg if there are major issues associated with policy or public interest but access and government capacity are relatively straight forward then the access and government elements would temper the others and vice versa.

The most important guideline for assigning a category to a crisis is the level of complexity which a crisis represents and so the levels of risk that will be involved in managing the response, eg will there be critical issues around our impartiality, the branding of policy and media work, how we represent ourselves to government and various public stakeholders? The lead agency is responsible for setting the category and they are clearly best placed to do so as they will be holding all the different threads of the response together.

FACTORS	INDICATORS
CATEGORY 1	
Nature and scale of the crisis	Regional or cross-country crisis Very high impact on population Circa > 2,000,000 people affected Circa >50% of people affected are vulnerable groups >35% of infrastructure affected (specifically e.g. roads, hospitals, government focal buildings and structures) Likelihood for the crisis to get worst because of imminent further natural disasters expected or deterioration due to man-made intervention (e.g. conflict) Expected massive movement of population with potential to destabilize equilibrium in the area
Capacity and willingness of the Government/local authorities concerned to face/address the	Very low or non-existent response capacity at Government/national authorities level Strong appeal of the Government to external assistance to cope with emergency Undue delay of the Government to declare the state of emergency due to

crisis	political reasons or underestimation of the crisis
Accessibility to areas affected (security & logistics)	Security phase 4 or 5 (UN) Serious movement restrictions due to security implications or bad/non-existent road connections Local market is collapsed Unavailability of basic commodities
Public impact of the crisis	Crisis is highly politically sensitive and is likely to trigger geo-political implications Crisis is linked to Oxfam International advocacy priorities Strong media and public attention Availability of funds and strong donor attention to the crisis
CATEGORY 2	
Nature and scale of the crisis	Single country crisis (or fairly limited geographical area affected) High/moderate impact on population <35% of infrastructure affected (specifically e.g. roads, hospitals, government focal buildings and structures) The situation is almost stable after the crisis (no worsening elements are foreseen) Movement of population are expected, but of manageable entity Circa 200,000-2,000,000 people affected Vulnerable groups are affected (e.g. 35% of affected population)
Capacity and willingness of the Government/local authorities concerned to face/address the crisis	The Government/national authorities are facing the crisis (probably not in a timely fashion) and have limited/moderate capacity to cope with it The Government is however calling for additional support
Accessibility to areas affected (security & logistics)	Limited restrictions on movement due to consequences of the crisis (e.g. some road connections are not functioning) Local market exists but supplies are still a concern (import from abroad is still required to handle response)
Public impact of the crisis	There are advocacy aspects to be considered There is media and public attention to the crisis

	Donors are following the crisis and funds are expected
CATEGORY 3	
Nature and scale of the crisis	Small, localized crisis Circa <200,000 are affected
Capacity and willingness of the Government/local authorities concerned to face/address the crisis	Capacity of the Government/national authorities to respond and coordinate response of other agencies involved
Accessibility to areas affected (security & logistics)	No major security or logistic hiccups Supplies are available at country level
Public impact of the crisis	No major advocacy aspects are to be considered No strong media or public attention to the crisis Low interest of donors
NON-CATEGORY	
All factors	Very low scale crisis It is a Priority 3 country There is local capacity to cope with the crisis

The checklist in Annex 1 is designed to provide a quick support in this process.

5.6.1. How to assess and call the Category

Within 24 hours of the outbreak of a crisis (in the event of a major quick onset humanitarian crisis) or as soon as possible (in case of major slow onset crisis), the Managing Affiliate (or Humanitarian Lead where these differ), together with the Country Leadership Team begins to assess the situation on the ground., on the basis of the factors identified above. Within 48 hours the Country Leadership Team will define to which Category (1, 2, 3 or non-Category) the crisis belongs to. The Managing Affiliate is responsible to inform without delay:

- All Country Leadership Team members
- OI Humanitarian Director and Humanitarian Officer
- Program Governance Group

Once a Category is identified, this information is mentioned in the Situation Reports and Emergency Updates and posted on SUMUS.

If the Category identified by the Country Leadership Team is controversial or if the definition of the specific Category is unduly delayed, the matter should be brought to the attention of the Oxfam International Humanitarian Director, who will set a process within the HCGG to solve the matter as appropriate. In any event, the HCGG can override a decision taken by the Country Leadership Team in this respect.

Emergencies should be re-assessed by the Country Leadership Team (or Humanitarian Consortium Governance Group) whenever the general situation monitored by indicators gives signs of a change (up-grading or down-grading). The Managing Affiliate/Humanitarian Lead, in close coordination with Country Leadership Team, should constantly monitor actual or potential risks. The HCGG should monitor the process and ensure that each humanitarian crisis is properly assessed and evaluated.

As a guiding principle each emergency should be assessed and reassessed at regular intervals (suggested at 48 hours, 1 week, 2 weeks, 1 month, 2 months, 4 months etc). The Category should be confirmed or modified following the reassessment.

5.6.2. How to manage each Category and actors involved

Each Category of emergency triggers some specific actions that have to be put in place without delays.

Category 1

Once an emergency is declared as Category 1, the Oxfam International Humanitarian Director, after discussion with the Managing Affiliate/Humanitarian Lead, informs and as necessary convenes the Humanitarian Consortium Governance Group within 48 hours from the outbreak, to:

- Analyze the humanitarian situation and agree on Oxfam overall approach to the emergency
- Share assessment of the capacity of the Humanitarian Lead to coordinate Oxfam Humanitarian Response for a Category 1 emergency
- Decide (if necessary) handover of leadership to another Humanitarian Consortium affiliate or declare the Step-aside Process[70]
- Inform of the decision to deploy the Oxfam International Humanitarian Officer[71]
- Discuss and as appropriate decide on any other issues as deemed necessary (including specific arrangements on future meetings/calls)

Affiliates key Humanitarian staff (e.g. PGG Members, Regional Humanitarian Program Manager) may be invited to join the relevant calls of the Humanitarian Consortium Governance Group if it is decided that this will add value.

The Oxfam International Humanitarian Director debriefs without delay the Oxfam Executive Directors (through the Oxfam International Executive Director).

The Humanitarian Director maintains a constant communication line with the Humanitarian Lead.

70 This process will be carried out making use of the procedures agreed by the Humanitarian Consortium Governance Group as detailed early in the Dossier, Section 3.3.9.

71 Humanitarian Officer may be deployed on the decision of the OI Humanitarian Director to assist with coordination, understanding of governance structures, following of the Humanitarian Dossier etc.

Category 2

Once an emergency is declared as Category 2, the Oxfam International Humanitarian Director analyses the situation and decides whether to convene the Humanitarian Consortium Governance Group or to maintain appropriate e-mail information channel. In any event, any members of the Humanitarian Consortium Governance Group could request a meeting/teleconference to be convened for the purpose. Once the Humanitarian Consortium Governance Group is convened, the same can also discuss and agree on all the issues identified above for Category 1.

The Humanitarian Director maintains a constant line of communication with the Managing Affiliate/Humanitarian Lead. The MA/HL is responsible to ensure that the Oxfam response is carried out according to the agreed principles and standards. The OI Humanitarian Director can intervene as deemed appropriate should the Managing Affiliate/Humanitarian Lead fail to perform this role.

In principle, Category 2 emergencies are led by the Managing Affiliate (Humanitarian Lead where this differs) and co-managed by the Country Leadership Team.

Deployment of the Oxfam International Humanitarian Officer might be requested. The OI Humanitarian Director supervises and monitors the process and provides guidance and support as requested/necessary.

Category 3

Category 3 emergencies are led by the Managing Affiliate/Humanitarian Lead and managed by the Country Leadership Team. Deployment of the Oxfam International Humanitarian Officer can be requested. The OI Humanitarian Director supervises and monitors the process and provides guidance and support as requested.

Non-Category

If an emergency is declared as a Non-Category, no Oxfam response is either necessary or possible. The Managing Affiliate/Humanitarian Lead continues to monitor the situation in coordination with the Country Leadership Team.

5.7. Oxfam Organizational Capacity Appraisal Tool

This tool is designed to help Oxfam staff from different affiliates with humanitarian capacity mapping.

The objective of this tool is:

- To provide a common framework of criteria and of approaches. It is expected that this will lead to a meaningful sharing and understanding of resources and capacities, which will ultimately contribute to more trust in each other's work.
- To enable staff – from all Oxfams and regardless of region or title – to engage with partner organizations in a supportive, accountable, transparent and predictable manner.
- To facilitate the documentation of experience in order to support a culture of learning and reflection.

The tool contains a number of key criteria, which should be common within the different appraisal methodologies used by the different affiliates. Affiliates may have other additional criteria, but the core criteria in this tool should be part of each affiliate's methodology and instruments.

The tool is not designed to appraise or assess the quality of concrete humanitarian programs or projects! The tool is designed to assess the capacities of an organization to "run" or execute humanitarian programs, at this moment or in the (near) future. The emphasis is on the specific capacities that are required in humanitarian programming, but also some general capacity criteria are mentioned. The tool doesn't have the intention to be complete: it provides only criteria considered as key.

This tool builds on previous work done within Oxfam on program standards and on instruments/tools developed within some Oxfam affiliates (e.g. Oxfam GB's counterpart appraisal template and Oxfam Novib's tools such as humanitarian partner capacity assessment tools). The tool mentions the key criteria and provides leading questions, intended to help staff to appraise the capacity of the partner organization in relation to the specific criterion. The tool does not provide indicators or standards.

5.7.1. Capacity in Humanitarian Programming

Humanitarian Programs are defined in a broad way and include (response) programs on the ground, advocacy and campaigning work in response to a disaster, in preparation for response to a disaster (early warning, disaster preparedness, etc.) or in recovery and rehabilitation of people affected by a disaster.

5.7.2. Humanitarian Program Capacity Appraisal Tool

Data:
Name of the organization:
Key resource person(s) in the organizations:
Address:
Phones:
Email:
Date of the appraisal:

Oxfam/name(s) of person(s) responsible for the appraisal:

General advice! The questions for appraisal of organizational capacity need to be interpreted in relation to the nature of the organization and the context in which it is operating.

A General capacity appraisal

A-1: Legal status

- □ Is the organization registered under local or national law?

A-2: Management & financial systems

- □ Are internal management structures in place and are these adequate?
- □ Are vital financial systems in place and are these adequate?
- □ Does the organization have clear procedures?
- □ Does the organization have systems for monitoring, evaluation and learning?

A-3: Human resources

- □ Does the organization have clear human resources policies, including policies for gender?

A-4: Accountability

- □ How is the organization accountable to various stakeholders, such as its constituency, donors and others?
- □ How does the organization relate to/is the organization accountable to its intended beneficiaries/rights holders?

A-5: Experience

- □ What are the main sectors/areas of specialization of the organization? (e.g. water, health, agriculture, education, etc.)
- □ Which geographical areas does the organization normally work in? (e.g. states, provinces, districts, etc.)
- □ Does the organization have a satisfactory record in implementing programs?
- □ How many years of general program experience does the organization have? (for experience in humanitarian programs, see below)

A-6: Supply and Logistics:

- □ Does the organization have clear supply and logistics procedures, monitoring and management in place?
- □ Has the organization assessed itself agains the Supply and Logistics Minimum Standards?

B- Checklist for humanitarian program capacity

Leading questions for appraisal of capacity for humanitarian programs:

B-1: Track record:

- What and how long are the experiences and achievements with/in humanitarian programs?
- What is the specific technical or sector specific experience relevant to humanitarian programs?
- What is the learning capacity around humanitarian programs?

B-2: Policy/ approach:

- Has the organization agreed to humanitarian principles? (e.g. "the NGO Code of Conduct of the Red Cross/Crescent and NGOs working in disaster relief").
- Is staff aware of these principles?
- Are humanitarian principles reflected in the mandate and core policy documents of the organization?
- Does the organization adhere to quality standards on humanitarian response? (e.g. Sphere Standards? Other standards?)
- Is staff trained in quality standards? How are quality standards practiced?

B-3: Organizational structure and systems:

- Does the organization have a management system that allows flexible, quick decision-making and response?
- Is there a separate emergency management structure? If not, how are humanitarian programs managed?
- How are relationships with communities managed? (e.g. volunteer and village groups, their outreach, skills and experience; systems of information collection and dissemination/accountability)
- What linkages exist with relevant (humanitarian) networks and co-ordination mechanisms? Is the organization actively involved in humanitarian co-ordination, advocacy and learning?
- What kind of humanitarian planning, monitoring & evaluation systems exists?

B-4: Resources:

- How many staff in total and with what kind of skills? What is the gender balance in the staff?
- Which part of the total staff can potentially be involved in humanitarian programs?
- The number of staff (by gender) with expertise in humanitarian work: (a) in the field of needs assessment, beneficiary selection, program implementation; (b) in advocacy (c) in information, media and campaigning related to crisis)
- What is the knowledge within the organization of the local context relevant for humanitarian programming? (e.g. knowledge of local leadership, culture, language, norms and values, …)
- What is the physical infrastructure and what are the locations? (e.g. offices, warehouses, supplies or access to local suppliers at short notice)?
- What is the communication and transport infrastructure and how is it functioning? (phones, radio, (access to) cars, trucks, etc.)

- ☐ What are the financial resources? Does the organization have (reserve) funds for quick response? Is there a budget for advocacy/ media work?

5.8. Oxfam Funding Management Guidelines

In the event of a sudden onset emergency or significant scale-up of an ongoing emergency, the Humanitarian Lead contacts the Oxfam Institutional Fundraisers' Group[72] (for institutional funding), and the Humanitarian Fundraising for Appeals Notification elist (for public appeals)[73] to obtain the names and contact details of funding leads in each affiliate This should take place within 24 hours of the Humanitarian Lead being appointed. Thereafter, contact names will be updated on the Oxfam International Funding Grid by the Humanitarian Lead (see below).

The funding role of the Humanitarian Lead (as mandated by the Managing Affiliate, where this differs) in emergencies

The responsibility of the Humanitarian Lead is to collate, disseminate and coordinate information on funding for Oxfam humanitarian responses.

More specifically, the role of the Humanitarian Lead in funding is to:

- ensure that duplication of efforts between Oxfam affiliates working on funding for the same emergency is avoided
- Help prevent affiliates approaching the same donor agencies for the same purposes in the same areas
- Produce, maintain and share funding grids in a timely fashion
- Keep an overview of the funding needs, in order to help guide affiliates with potential funding to be allocated.
- To record which affiliates are launching public appeals, the date of the launch and the target amount
- To provide information via the Funding Grid to affiliates for decision making about closing public appeals and to record the date of appeal closure

In exceptional circumstances a governance framework will be signed off by the HCGG laying out clearly how appeal funds are to be allocated (e.g. category 1 and large category 2 emergencies).

The responsibility of the implementing and contributing (funding) affiliates is to provide appropriate, regular and timely information to the Humanitarian Lead on:

- Name and contact details of person coordinating institutional funding and public appeals information
- Outline of planned project(s) (affiliate project reference/title, start/end dates, partner(s), budget), whether or not they are seeking funding
- Secure and likely funding for their project(s)
- Funding gaps
- Approaches to donors (name of donor, status of concept/proposal, feedback from donor, etc.)

72 Institutional Fundraising Group instfundgroup@oxfaminternational.org

73 Humanitarian Fundraising for Appeals elist humappeals@oxfaminternational.org

- Status of any appeals they are launching or part of.

Principles:

- Humanitarian Leads are not mandated to control fundraising initiatives of implementing affiliates.
- Minimization of transaction costs between affiliates is key to ensuring our energies are focused on effective response on the ground.
- More than one affiliate may put in an application to the same donor for the same emergency if the approaches are coordinated, there is no overlap between what is being proposed, and if acceptable to the donor.
- The responsibility for providing information lies with all the implementing affiliates, not just the Humanitarian Lead.
- Oxfam structures such as the Country Leadership Teams and Program Governance Groups should be respected and utilized.
- For resolution of any funding disagreements between affiliates, see section 3 of the Humanitarian Dossier.
- Potential donors and joint affiliate funding approaches should be considered in contingency planning.

In specific cases, when a joint Oxfam funding proposal to a particular donor is agreed as appropriate and feasible, the Humanitarian Lead would coordinate this on behalf of the affiliates (although not necessarily lead the approach to the donor).

Funding grids

The Oxfam International Funding Grid shows the planned program response and budget for each affiliate operating in an emergency, their secure and likely funding (both institutional and public appeals income), funding gaps, and other approaches to donors.

The Funding Grid supports the Humanitarian Response Strategy[74], and projects in the funding grid are those detailed in the Strategy documents.

The Humanitarian Lead has the responsibility for establishing and maintaining Oxfam International Funding Grids, and posting them on Sumus.

Implementing and contributing (funding) affiliates have the responsibility for supplying accurate and timely information to the Humanitarian Lead on their funding needs and gaps, and potential funding.

- The funding grid template, guidelines and an example are in Annex 1. The purpose of the grid is to monitor funding needs and gaps and to help with the allocation of funds between different implementing affiliates. It is not a management or implementation tool.
- The Humanitarian Lead should set up an Oxfam International Funding Grid and upload it on Sumus, ideally within 3 days and no more than 7 days, of an emergency. Even if the funding grid is not set up it doesn't stop appeals information being shared by affiliates however.

74 Strategy templates replace the Action Plan, see template in the Humanitarian Dossier

- The Humanitarian Lead should update and upload the Oxfam International Funding Grid as new information comes in, at most daily, for the first 3 weeks. Thereafter, frequency of maintaining and uploading the grid is weekly by default, but can be more often if the situation is changing fast. The Funding Grid should be maintained for at least the first 2 months of the response, and thereafter if funding needs still exist.

- The latest version of the Funding Grid should always be on Sumus, dated, and previous versions deleted. The person leading on the Funding Grid should be named on the grid (plus contact details), and they are the only person responsible for uploading the grid onto Sumus.

- Funding grids should only contain programs that have been internally approved within the affiliate. Information on affiliate programs under development can be stated as a narrative note below the Funding Grid.

Funding from back donors

All affiliates should respect Oxfam sovereignty protocols.[75] These protocols are outlined clearly in the OI Code of Conduct. Affiliates are also encouraged to share back donor information on Sumus

Humanitarian Appeals

The Fundraising/Marketing Directors of affiliates will notify each other when decisions to launch and close appeals are made through the Humanitarian Fundraising for Appeals notification elist. Fundraising Directors have the responsibility to make sure the appeals information supplied for the Funding Grid is accurate and timely.

- Best practice is for Fundraising Directors to share the language and content of public appeals in order to ensure consistent brand messages, by sending marketing material to the Confederation Development Team in the OI Secretariat for posting on Sumus.

- Fundraising Directors are responsible for ensuring that overlaps in sovereignty relating to public appeals – such as in Canada (where there are two affiliates – Oxfam Canada and Oxfam Quebec) or in Northern Ireland (which falls within the media markets of Oxfam Ireland and Oxfam GB) are managed appropriately and efficiently through good regular communication.

- Fundraising Directors are responsible for ensuring that public appeals are structured in such a way as to maximize tax efficiencies for both donors and recipient organizations.

The Institutional Fundraising Group is responsible for ensuring standard conditions in funding agreements.

The Humanitarian Lead is responsible for ensuring appropriate program spend allocation.

Inter-affiliate funding

Most Oxfam humanitarian responses involve exchanges of funding between affiliates. In order to minimize transaction costs between affiliates, at the same time as acknowledging the valuable contributions from affiliates in emergencies, the following guidelines are strongly recommended.

Flexibility of funding

75 See Sovereignty clauses 2.d and 2.e in the Code of Conduct: 2.d Affiliates will not fundraise in the territory of another Affiliate without specific prior written approval from that Affiliate.

2.e No Affiliate will apply for or use funds from the government of a country in which another Affiliate is based without the prior written approval of that Affiliate.

When there is no back donor or when back donor requirements allow, donor affiliates are encouraged to provide funding of any amount as a contribution to the overall humanitarian program of the recipient affiliate, rather than allocating to specific budget lines.

Fund transfer

- When there is no back donor, affiliates are encouraged to transfer amounts of less than US$100,000 directly to the public appeal or other specified fund of the recipient agency, with minimum paperwork (we now have the shortened Humanitarian Inter-Oxfam Funding Agreement which is on Sumus here: https://sumus.oxfam.org/legal/documents/oxfam-funding-agreement-template-humanitarian). A legal commitment might be necessary for some affiliates. Recipient affiliates should ensure that such funding is allocated to the particular emergency for which it was raised.

- For amounts of over US$100,000, or when there is a back donor involved, affiliates should use the standard Inter-Oxfam Funding Agreement when transferring or re-granting funds from one affiliate to another https://sumus.oxfam.org/institutional-fundraisers-group/wiki/inter-oxfam-funding-agreements-0 . This uses standard language and conditions to help reduce the amount of time spent negotiating contracts in rapid onset emergencies, as well as allowing for inclusion of additional specific back donor requirements or unique affiliate conditions.

Management fees in funding agreements

In funding agreements where there is a government or other institutional back donor, the Supporting Affiliate will aim to include the maximum permissible allocation for Management and Administration Costs. Unless otherwise agreed by the parties in writing, such Management and Administration Costs will then be split equally between the parties.

Reporting

As a default, recipient affiliates will provide donor affiliates with generic final narrative and financial reports on their overall humanitarian response, stating the donor affiliate's contribution. Any additional reporting requirements, e.g. from a back donor, should be clearly stated in the funding agreement. A standard reporting format is available for use by recipient affiliates when another format has not been predetermined (by a back donor or a co-financing donor).

Initiatives under development

The Centers of Excellence Shared Services project is being developed by the SMS income taskforce supported by the wider IFG and program funding departments in affiliates. The SMS Income Taskforce is making progress on the Centers of Excellence Shared Services Project. This includes a process of establishing Oxfam minimum standards for donor care so that growth can be increased for the whole confederation, and brand risk is reduced. Donor Leads will be encouraged to share learning on donor relationship/contract management to build capacity in affiliates. This SMS project will encourage affiliate Donor Leads to develop Oxfam strategies for maximizing funding from donors in their territory which could be spent on their own and other affiliates programs.

5.9. Partnership Policy Implementation Support Kit

Please refer to Annex K for the Partnership Policy Implementation Support Kit.

5.10. Advocacy Agenda and Joint Strategies for Humanitarian Response

5.10.1. Rights in Crisis Campaign Guidance on working with countries in crisis and new emergencies

Since 2007 Oxfam has focused its international campaign actions on a more limited number of countries in order to enhance its impact. Since 2009 the Rights in Crisis Campaign largely operates on the basis of a tiered system, with 2 global focus crises and 4 priority countries. In late 2011, the RIC Campaign looks to shift towards a regionally focused model, where country engagement will be built around regional themes and messaging. Oxfam advocacy work on specific country crisis will be maintained, with work prioritised based upon wider, regional prioritisation. The following information has not been adapted to reflect this shift in focus. An update to guidance notes and ways of working will be shared in early 2012.

This note offers guidance on how the RIC campaign – and the Campaign Management Team specifically - works with:

1. Non-focus countries in crisis: including when the situation deteriorates and demands international action.
2. New emergencies.

Note: Rights in Crisis Campaign focus countries are the 'proactive' part of the Oxfam humanitarian advocacy. New emergencies that require global advocacy – all Category 1 and often Category 2 emergencies - will also immediately, though only temporarily, assume equal weight.

First, some of the challenges facing the campaign's country work:

- Prioritisation: It has been agreed that Oxfam resources and activities should be focused for wider impact; therefore the RICCMT needs to ensure that all affiliates' capacity and resources are aligned to decisions.
- Oxfam's credibility: RiC Campaign colleagues are rolling out high quality work on non-focus countries (e.g. Cote d'Ivoire, Haiti, which means that Oxfam offices and smaller affiliates do need to keep a watching brief on many non-focus crises).
- Worsening crises e.g. Egypt: What happens to our prioritisation when a non-focus country or region experiences a worsening crisis? How/ when do we decide to roll out international work? What criteria should RICCMT use to take a decision to re-prioritise? And what do we do about the impact on our focus countries?
- New conflict/ emergency e.g. Libya: How and when do we decide to roll out international work on a new emergency? What criteria should RICCMT use to take this decision? What do we do about the impact on our focus countries? How do we work with the lead affiliate, country and regional teams?

- RiC Campaign Focus countries: Subsequent to the EDs decision re-confirming the global focus crises, affiliates should ensure that their resources (financial, partners, advocacy, media, research and campaigns capacity) are aligned to these priorities, and to delivering global strategies. All work on non-focus countries should be undertaken once these work-plans are resourced. Where this is not the case CMT can decide to take this up with the affiliate concerned. Each focus crisis has a Campaign Lead, a Policy Lead and a CMT liaison; the Campaign Leads take overall responsibility for managing the delivery of the strategy, playing a ‘project manager’ role to compliment the ‘expert practitioner’ role played by the policy lead.

The exception to this rule is where country strategies do not prioritise an affiliates Government e.g. the Spanish Government on the DRC so that it does not add value working in that context on a particular crisis.

The Emergency Campaign Lead is primarily responsible for:

Developing and updating the campaign strategy:

- Lead strategy development and facilitate input of Oxfam staff & external experts.
- Provide direction and proposals to the Rights in Crisis Campaign Management Team through the liaison person.
- Be a reference point for Oxfam affiliates and CLT for advice on the campaign strategy implementation.

Coordinating implementation:

- Chairing regular Crisis Campaign Groups teleconferences
- Coordinate the delivery of a 6-monthly action plan as per RIC Campaign 2-year strategic objectives (January - June/ July - December)
- On behalf of the lead agency, ensure that the strategy, products and activities are signed off in line with agreements
- Ensure transparency in terms of decision-making, resourcing, consultation on products and activities, sign-off and implementation of activities and actions.
- Allocate tasks and agree timelines amongst the group
- Ensure that relevant colleagues in the CLT and within affiliates have been consulted and are in agreement with proposed actions or products
- To seek to engage affiliates and Oxfam International offices in implementation of the strategy, and contribute to mobilise the necessary resources for implementation
- Build consensus and contribute to solve differences among members of the Crisis Group or affiliates, and, where necessary, taking these issues to the RiC Campaign Lead or RiC CMT
- Play a representational/lobbying role where necessary
- Produce a budget, funded primarily at a national level.

Ensuring Monitoring, Evaluation and Learning as part of the strategy

- Ensure monitoring and evaluate progress against objectives, (and to share any lessons learnt across Oxfam).
- The CMT liaison is responsible for ensuring regular reporting to CMT on key developments and priority actions, including resourcing and overall strategy.

The CMT Liaison Role tasks are:

- To support the policy or campaign lead and/or crisis campaign groups in the development of strategy, monitoring, evaluation and planning
- To provide structured feedback from RIC CMT to the policy lead and the Country Crisis Campaign Group/ Humanitarian Country Team and vice-versa
- To support the campaign lead in ensuring adequate global resourcing and engagement across affiliates and country offices
- To ensure that roles and responsibilities are clear between CLTs and global Oxfam International offices.

How does the RIC Campaign work on non-focus countries in crisis?

For non-focus countries advocacy will, of course, continue at the national and regional level as agreed by operational or interested affiliates. It is also possible to draw on Oxfam's global capacity for specific activities at key moments through the CMT. If it is decided to pursue advocacy at the international level, the Managing Affiliate is responsible to:

1. Produce an advocacy strategy/ campaign action plan, as part of the overall response strategy and action plan, in consultation with other members of the CLT
2. Appoint a staff member responsible for the delivery of that plan
3. Convene, chair and provide steer to the OI Crisis Campaign Group to coordinate delivery of that plan
4. Inform the OI Rights in Crisis Campaign Manager of the above and establishing an arrangement for liaison with the RIC CMT

The Managing Affiliate is also responsible to establish the required relationship between the Campaign Crisis Group or Country Leadership Team.

The RIC CMT advises that all Crisis Campaign Groups have:

- A dedicated email list maintained by Oxfam International
- A dedicated area on Sumus (Oxfam's intranet) regularly updated with relevant documents
- Regular teleconferences as necessary: these should include agenda items on updates from key capitals and the country programme, agreeing priority actions and activities and new products as needed
- Regular input and reporting into the PGG teleconferences and meetings and RIC CMT teleconferences and meetings.

The Campaign Management Team will appoint a liaison to ensure that:

- Wherever possible we share a common approach across all RIC Campaign focus and non-focus countries
- When appropriate the CLT shares an update on national developments or activities via the RIC Campaign email updates
- Once the Country Leadership Team has developed an advocacy or campaign strategy it comes to RICCMT for comment (e.g. on policy consistency & coherence and on requests for significant support from the Oxfam network e.g. targeting the EU or a peak of global activity around a planned donor conference) and final sign-off
- RICCMT liaison contacts will update CMT on a monthly basis on the roll out country strategies, any issues arising and the priorities for next month
- In the event of any deterioration - or escalation - of the crisis the CLT contact their RICCMT liaison to update CMT on the developing crisis and – if required - to request global support for international action by the Oxfam network (see more below).

Additional notes on sign off:

- Oxfam International RiC Head of Campaign should sign-off on all content if it is branded Oxfam (as apposed to Oxfam affiliate branding)
- The OPT/I team shares draft strategies with CMT for information and comment but not sign-off. OPT/ I strategies are signed off by the RST and Oxfam International Executive Director, and by the IPAP if necessary.
- For more detailed on Oxfam Sign-off for public policy products, press releases, Q&A etc see Sumus here.

How does the RIC Campaign work on new emergencies?

New emergencies that require global advocacy - all Category 1 and often Category 2 emergencies - will immediately, though only temporarily, assume equal weight to the RIC Campaign focus countries. It is the responsibility of the Managing Affiliate- in consultation with other affiliates present in the country – to decide how to pursue advocacy on a given crisis and this should be integrated in the overall response strategy and action plan for the crisis.

Note: global work is scaled down in line with the steer from the policy lead, and country/ humanitarian campaign team. This tends to be when remaining influencing opportunities are predominantly national e.g. donors in country and national authorities.

All national and regional advocacy should be coordinated and delivered either through the OI Country Team or the Country Leadership Team (CLT). Relevant documents should be posted on Sumus, to ensure information is available and accessible to affiliates. For Category 1 and 2 emergencies where global advocacy is necessary the lead agency is responsible to:

1. Ensure that a media officer is on the ground within 48 hours (in case of Category 2 emergency)
2. Establish within 48 hours a policy lead for the RIC Campaign response
3. Establish contact within week 1 with the RiCCMT. RICCMT in turn will appoint a liaison to the CLT

4. Within week 1 ensure that a short summary note (for more details see below) on the humanitarian context and Oxfam's advocacy & media plans is sent to RICCMT, and thereafter provide monthly updates to CMT until the country team returns to national or regional advocacy and media

5. Produce an advocacy strategy & campaign action plan, in consultation with other members of the CLT, including media

6. If appropriate form an ad-hoc Oxfam Crisis Campaign Group (ideally within the CLT or connected to it) to coordinate the delivery of that plan

7. Ensure adequate research/ policy/ media resources from affiliates - and act as provider of last resort

8. Ensure that key materials (e.g. pictures, Q&A, policy updates etc) are disseminated via Sumus.

Update for RICCMT – update should cover:

1. A summary of the humanitarian issue (s) and what the forecast is

2. The main advocacy issue (s) e.g. access to humanitarian aid, avoidance of civilian casualties, fair treatment of IDPs

3. Which Oxfam's are operational in/ on country, who is the Managing Affiliate, who is policy lead, who is media lead, and their contact details

4. What advocacy is being done with what targets in-country, and with what allies e.g. interagency lobby of diplomatic missions and UN

5. What media work is planned e.g. regularly updated reactive lines, inter-agency press releases on humanitarian situation

6. What are the security constraints

7. What international advocacy might be in the pipeline which might require affiliates' attention in capitals or Oxfam International offices (e.g. Brussels/NY) e.g. inter-agency letters to the UNSG Ban Ki Moon.

How will CMT decide on requests for global action on non-focus countries or new emergencies?

The decision to roll out global action on a non-focus country is made by the RIC Management Team on the basis of an explicit ask. For relatively limited one-off actions this decision can be taken by the RiC Campaign Manager with the RICCMT liaison. This decision will be taken on the following criteria:

1. The scale of avoidable suffering

2. What we know about the crisis and possible solutions

3. What and where global action is required

4. What would be the supporting national and regional advocacy

5. What chance of success exists

6. If is there acceptable security risk

7. Does the crisis sets any precedents

8. What impact a reprioritization of global resources will have on our focus countries.

If there is a potential conflict between work on the ground and speaking out, RICCMT will apply the procedures spelled out in: “Operational and Campaigning work in Humanitarian crises: Judging the relative impact”.

New emergencies follow a similar process but Category 1 & usually Category 2 emergencies will immediately, though only temporarily, assume equal weight to the RiC Campaign focus countries.

The Arms Campaign and thematic work

RIC Campaign work on the ATT and other thematic issues (e.g. R2P or humanitarian access), is not explicitly covered in the note although clearly can have a significant impact on affiliate capacity.

As Oxfam develops clearer work plans on crosscutting themes (e.g. the effectiveness of international peace support operations in the protection of civilians or the food crisis), RICCMT should be able to deliver advocacy on a number of crisis at any one time.

5.10.2. Operational and Campaigning work in humanitarian crises: Judging their relative impact

Guideline and procedure for Oxfam staff

Background and Purpose

Towards its mission of fighting poverty and related injustice around the world, Oxfam works to both humanitarian and long-term development mandates. As a confederation with a humanitarian mandate, Oxfam is a signatory to the NGO/ Red Cross Code of Conduct whose first objective sets out the humanitarian imperative:

‘The right to receive humanitarian assistance, and to offer it, is a fundamental humanitarian principle which should be enjoyed by all citizens of all countries. As members of the international community, we recognise our obligation to provide humanitarian assistance wherever it is needed. Hence the need for unimpeded access to affected populations is of fundamental importance in exercising that responsibility. The prime motivation of our response to disaster is to alleviate human suffering amongst those least able to withstand the stress caused by disaster. When we give humanitarian aid it is not a partisan or political act and should not be viewed as such.’

The humanitarian mandate and its principles are fundamental to Oxfam and all its member affiliates. Our actions, our support to partners, and our speaking out, must be designed to have the maximum humanitarian impact in terms of the upholding the right to life and security*.

Oxfam is committed to a rights-based approach and under our Aims and SCO framework the particularly relevant aim is to ensure that people can achieve their right to assistance and their right to life and security. It is also recognized, that many humanitarian crises arise because of (or exacerbated by) human rights crises that have wide-ranging political causes and dynamics. Even in natural disasters, the broader politics in a country will have an impact on the quality and scale of delivery (e.g. Tsunami response in Sri Lanka.)

Much of Oxfam’s added value in humanitarian crises is that we combine world-leading operational work, support with and through partners and authoritative campaigning. In most cases this is a multiple-track approach which provides complementarity and synergy. However there are times when we have to balance one part of our work with another. For example, there are occasions when speaking out publicly can risk our ability to continue to work on the ground or the security of our staff and partners.

Conversely it is possible that under certain circumstances our work on the ground could become an obstacle to speaking out against the structural causes of injustice and poverty;. It may even be the case that Oxfam's continued presence may legitimise or lend inadvertent support to an oppressive regime.

In these circumstances the obligation to provide, and the right of those in need to receive, humanitarian assistance is in no way diminished. However the form and modality of that assistance must provide the greatest impact in the particular context. For example, in many instances, Oxfam has partners on the ground who may obviate the need for operational presence to meet our humanitarian imperative. It may be that in some situations, speaking out will have more impact, (for example in failed states where a ground response is almost impossible) and that role is also part of our obligation to respond.

In all cases our response will reflect our aspiration to act as a leading humanitarian actor but with clarity about the most effective way to achieve impact. We need to respond, or support others (partners, allies other NGOs) to respond, at scale and ensure that assistance is provided commensurate to need, and of high quality as measured by sectoral standards.

It is essential that a proper analysis be undertaken of these considerations and that this analysis informs decision-making regarding the optimal combination of assistance and campaigning to achieve the greatest humanitarian impact.

This paper seeks to help staff think beyond the polarised trade-offs of 'staying and keeping silent' , or 'leaving and speaking out', and to provide guidance in making more effective and nuanced judgements.

It must be understood that 'speaking out', or public voice, is only one method in the menu of approaches in our campaigning work. We have a strong track record of effective private lobbying on sensitive humanitarian issues and we are increasingly working in alliances in ways which do not necessarily require Oxfam branding. A humanitarian mandate and focus should not preclude a political analysis and approach, but it will inform tactics and our approach to security.

Nevertheless there are times when we face dilemmas and this guideline is to help managers make the judgements in particular situations and to understand the procedures in place.

Oxfam's mandate

Oxfam always seeks to be authoritative in order to have impact and to retain its reputation in the short and the long term. It is very important that this is taken very seriously otherwise we can suffer brand risk. We can be authoritative by:

1. Thorough knowledge of a situation on the ground and how it is affecting vulnerable people. In general we have found that our advocacy is more effective when we bring local knowledge. This is one reason why we often seek to remain in a country (e.g. advocacy in Iraq has proved very difficult but not impossible, because we have very limited programming on the ground).

2. But we also have more generic knowledge. We are able to speak out from our global intelligence and from previous history. For example, in Iraq we were able to say that if power stations were bombed this would lead to enormous suffering and risk to people from the lack of water and

sanitation, which proved to be correct. We know this from our experience in this sector, but also because we saw it happen in the early 1990s in the first Iraq war.

Our knowledge comes from our humanitarian and development work and from the mandate to bring an end to poverty and injustice. However Oxfam does not try to be expert on all related humanitarian issues but rather focuses on our core competencies. For example, while talking about military interventions, we can comment on the effects of specific courses of action on vulnerable people but we may not be equipped to comment on specific military tactics. If aiming to advocate for political solutions to some conflicts or issues, we need to ensure that we have all the necessary knowledge, legitimacy and background to do so, though that does not mean we cannot advocate at all on particular issues. Being a Rights based approach organisation does not make us specialists in all human rights issues, so, our practical knowledge and mandate gives us special ability and responsibility to advocate on matters central to our mandate, much more care has to be taken when we go beyond that.

Clearly, when speaking out puts at risk our ability to continue a programme or intervention, these will, by definition, be in politically controversial situations; otherwise the risk would not arise. When we speak out it may be possible to be public in areas of our mandate (e.g. humanitarian issues) while at the same time conducting underlying advocacy behind the scenes on some of the more political elements.

Campaigning Work in Humanitarian Crises

It is important to be clear what we want to achieve by campaigning. There is one main objective but there are subsidiary ones too.

The primary aim is to have impact on the lives of the people concerned. This may mean campaigning at the international level, (for example, to put pressure on the government in question) and/or at the local level, supporting local demands for accountability. Judgements should be based on the potential for impact, whether that is a choice about continuing to work on the ground, versus speaking out, or a more detailed choice about the methods of campaigning, and the views (and security) of partners wherever possible should be taken into account, as per the Southern Advocacy Guidelines.

The subsidiary objectives, especially in dilemmas about speaking out, include the need to support local partners by showing solidarity with them and bring the voices of those who are not able to speak out; and/or to encourage the affiliates local supporters and national public and other legitimate stakeholders (e.g.: in some cases, could be the Diaspora), to show their solidarity with the affected people, in other words affiliates taking a leadership role on an issue in their own countries. When consulting partners we have to take especial care in not privileging one group over another or missing the views of the wider population. We also need to be aware of expectations of supporters, the media and the general public. Too often choices are polarised into continuing work on the ground versus speaking out publicly when in fact there are a variety of methods to apply in campaigning:

- Direct, attributable public advocacy on the entire range of Oxfam concerns
- Direct, attributable public advocacy on a sub-set of concerns more often then the humanitarian component
- Behind the scenes advocacy, which often requires judgement about the trustworthiness of the target in deciding how far to go
- Support to partners or coalitions for public advocacy and behind the scenes advocacy. This can both be in country or at global level

- Un-attributable information provision to the media (which can be at significant levels and not just one-off stories) or to specific agencies who are able to go public (e.g. human rights organisations)
- Occasionally popular mobilisation of the public and supporters to engage in letter writing, demonstrations etc.

If campaigning is to have impact it is unlikely that one single act will achieve the purpose, in all cases a strategy is needed about which methods should be used.

This revised guideline is designed to provide:

1. A framework to analyse the critical information to help make judgements. The Humanitarian Managing Affiliate on the particular crisis is responsible for gathering the required information, and making the judgement. The Managing Affiliate will decide upon its member of staff to do that.
2. A framework to explain the judgement within Oxfam and, as necessary, outside. The Humanitarian Managing Affiliate on the particular crisis is responsible for doing this.

In each relevant crisis, the guideline aims to enable Oxfam to answer the question: what balance of operational, campaigning and other work will best achieve Oxfam's aims? It is important to take into account that the balance judged here is the context of humanitarian crises and therefore are analysed in a short-medium term (3-6 months) context.

Ultimately, given the complex ethical, political, communications and operational issues at play in these situations, a great deal rests on staff in leadership roles, exercising good judgement. However the frameworks suggested here, along with the guidelines proposed below, are intended to make that judgement easier.

This revised guideline and procedure has been agreed by Oxfam (Executive Directors, with HCGG and RIC CMT).

When to use the guideline and procedure

This guideline can be used in any situation, but is most relevant when Oxfam is working in a conflict-based context or failed or unaccountable states, where:

1. We need to mobilise public opinion through public campaigning – including media work – to achieve our objectives; but
2. That public campaigning would appear to pose risks to our/partners security – and/or the effectiveness of our programme (including direct operational work and/or the work of our partners)

Note that this is an ethical issue, and should not be viewed somehow as a struggle between campaigning and work on the ground.

The process can be triggered by:

1. The Oxfam Managing Affiliate for the particular crisis; or
2. Any Oxfam affiliate that believes that it is losing impact because of the current decision on the relative balance of operational, campaigning and other OI work (e.g. the choice between outspoken public campaigning or low-profile lobbying).
3. Any Oxfam affiliate that does not have a programme in the country concerned would need to trigger the process through either an affiliate with a program or through the OI Humanitarian Director.

The process must be speedy and should scale up as soon as blockages are identified. It should not slow the urgent need to develop a programme response which should continue in parallel, but may be altered by the final decision.

The Guideline

TASK ONE:

In each relevant crisis, the first step is to answer the following 3 questions. The answers to each of them will point to a possible course of action for Oxfam.

- What can Oxfam operational and partner-led assistance achieve to preserve life with dignity in the next 3 - 6 months?
- What can Oxfam campaigning achieve to preserve life with dignity in the next 3 – 6 months? and
- What kind of long-term environment would allow Oxfam to achieve its programme and campaign aims in the recovery phase? What can Oxfam development programmes do to achieve that?

Balancing the questions

In some cases, there will be no tension between the courses of action that follows from each. In others, there will be – either between speaking out and field programming in the short-term, or between achieving impact in the short and long-term.

Sometimes, there may be clear evidence that we can preserve a substantial number of lives in the next 3 - 6 months (Questions 1 and 2) – while it is less clear that we could have even greater impact in the long-term (Question 3).

Often in chronic crises, our humanitarian assistance, whether direct or through partners, will have to continue for long periods. In these instances, our strategy must be to design the most effective combination of assistance and speaking out publically that will help tackle the underlying causes without compromising the scale and quality of assistance necessary.

Answering the questions

In each case, we should show the likely impact of Oxfam's work. We should support that by showing evidence of the current situation and what Oxfam could do to change it. If it is difficult to know what our 'likely' impact really will be, we should acknowledge this and, if possible, set out the most likely outcomes.

The headings below show some of the evidence that may be relevant. We should show critical information, vital to help inform the judgement, not everything we know. The key thing is to base our comments on evidence wherever possible – and to do this equally when looking at our likely campaigning and operational impact. More than anything else, that is the key to being transparent in making these judgements.

What can Oxfam assistance achieve to preserve life?

- Identified Oxfam role: What scale and form of assistance can Oxfam and/or our partners provide to maximise upholding the right to life and security urgently, and in the medium term commensurate to the needs and numbers of beneficiaries
- Alternatives to Oxfam: who else could achieve this impact?

- Risks to subsidiary objectives including brand risk and Oxfam's legitimacy
- Risks to security of staff or partners

To answer these, our analysis should include:

- Current and likely future situation: e.g. morbidity and mortality, access to water and sanitation etc
- Analysis of local capacity – including Oxfam partners – and international humanitarian response
- Broader political analysis that may affect operational programmes (e.g. around access, military intervention.)

What can Oxfam campaigning achieve to preserve life?

- Identified Oxfam role: what can Oxfam do to maximise the protection and assistance of people living affected by the crisis. How can we combine our voice with our assistance programme to maximise impact?
- How can we optimise the humanitarian protection and assistance of the primary duty bearers: governments, donors and UN?
- How can we support civil, political, economic and social rights alongside the right to life and security, as well as support action to tackle the underlying causes of abuse or denial of rights and consequent suffering?
- Alternatives to Oxfam: who else could achieve this impact?
- Alternative methods to achieve impact without public messaging (private lobby, feeding other organisations our information, etc)
- Risks to subsidiary objectives including brand risk and Oxfam's legitimacy
- Risks to security of staff or partners

To answer these, our analysis should include:

- Current and likely future situation: deaths from causes that aid effort cannot respond to
- Power analysis of targets that could reduce those deaths: What could make them change? Would 'putting the crisis on the agenda' change them?
- Broader political analysis that may affect operational programmes

What long-term environment would allow Oxfam to achieve its programme and campaign aims in the recovery period? What can Oxfam development programmes do to achieve that?

- How can we ensure that the design of our humanitarian response enhances, rather than undermines the prospects for recovery and long term development when the worst of the crisis is over?
- Identified Oxfam development role: in-country, region and/or globally
- Alternatives to Oxfam: who else could achieve this impact?
- Risks to programme – or security of staff or partners

To answer these, our analysis should look at the prospects and means towards a long-term solution to the conflict.

Process

There is no single way to answer these questions – or how long it should take. In an ongoing crisis, with effective operational and advocacy/policy resources in the country, it should be very quick. It is expected that in no more than three days after the process has been triggered there would be a judgement proposal made by the lead agency. In a sudden-onset crisis, particularly where Oxfam is not used to working, it will be a new and urgent task.

The Oxfam Managing Affiliate on the particular crisis will task one person to collate the information from different members of the Oxfam Country Leadership Team and advocacy/media team (and/or international RiC staff where relevant.) based on their functional expertise. The power analysis will be based on inputs from affiliates based in key target countries, whether or not they are represented in the Oxfam CLT.

This stage is about producing an evidence base, presented in as objective a way as possible, to inform later judgements. It is not the place for arguing what those judgements should be.

TASK TWO:

In answering those questions, the first step has identified possible courses of Oxfam action. It should be clear whether or not there are tensions between them. And it should be clear whether there are risks attached to them.

The second step is therefore to identify these tensions – and judge what combination of approaches (forms of assistance and forms of speaking out) will provide the greatest impact on the right to life and security of those affected by the crisis, and within a 3-6 month period.

The Oxfam Managing Affiliate on the particular crisis will make that judgement after consultation with other members of the Oxfam country advocacy group, and the Country Leadership Team (CLT) as appropriate, representing different affiliates, and relevant operational humanitarian staff. Members of the Advocacy Group will represent the views of their respective affiliates.

Most of the time, the judgement will not be simply for or against public influencing, but identifying what types of public campaigning have the greatest likely impact and acceptable risks. When we have to limit Oxfam public campaigning, we have a responsibility to seek out creative alternatives (which might include passing information to other NGOs, funding other public campaigning, and proactive non-attributable media work as set out above). The presence of other competent humanitarian actors (partners, other NGOs) may also be a factor in our judgement of the scale of assistance necessary or the possibility in extreme situations, of a decision to withdraw.

The ethical dimension to this is important. Making a judgement in this context is not just about choosing an approach; it includes considering short-term versus long term impact and taking decisions that effect the lives of others,. Given this complexity, it is essential that disagreements are escalated when staff cannot resolve them.

Thus, where there are major differences between affiliates, the OI Lead Regional Manager will be asked to mediate and facilitate the final judgement. In the event that this fails, the Oxfam Humanitarian Consortium Governance Group (HCGG) will assume the responsibility to swiftly review the process and decision, and mediate as necessary. In this, the HCGG will take into account the needs of all aspects of Oxfam programming in the particular country, including development, campaigning and humanitarian. If there is a difference between HCGG and other affiliate members then the matter should be escalated to OI Executive Directors immediately.

If that fails to resolve the matter, the OI Executive Directors will be the final arbiters.

TASK THREE:

We should present the outcome:

- The decision on the balance of our programming
- The judgement behind it – including summarising the answers to the 3 questions
- The date at which we will review this decision

The Oxfam Managing Affiliate for the particular crisis is responsible for communicating these outcomes, in confidence if necessary, to:

In Oxfam, all relevant staff and partners within the relevant country programme; the HCGG; and others, including affiliates' Executive Directors, as appropriate

In some countries they may exist ad-hoc Oxfam country advocacy groups, with a limited mandate to help in the development and implementation of RIC campaigning activities. Otherwise the reference group is the Country Leadership Team.

5.11. Oxfam Real Time Evaluation guidance note

5.11.1. What is a Real Time Evaluation (RTE)[76]?

A real-time evaluation is an internal rapid review carried out early on in the response (usually between six weeks to two months after the onset of the emergency[77]) in order to gauge effectiveness, and to adjust or correct the manner in which the response is being carried out. It should be seen as "a snap-shot in time" or a time to "step back and reflect." Real time evaluation is closer to monitoring, getting quick feedback on operational performance, and identifying systemic issues. The RTEs can be conducted by a single affiliate or jointly as Oxfam.

An RTE is:	An RTE is not:
A rapid appraisal of program performance	An in-dept or impact assessment
A "fresh look" by outsiders	Scientifically sound research
A mechanism to provide rapid and timely feedback	A formal technical review
Qualitative in nature	A tool to produce detailed statistics
	A primary data collection exercise

5.11.2. Characteristics

Is a learning exercise and should be seen as such.

Carried out early on in a response so that timely adjustments can be made to the program.

Carried out by internal evaluators who are not involved with the program or external persons who are conversant with the affiliates (this can include partners not directly involved in the response, but who are part of the contingency planning process).

Can/should address all staff involved in the response both at head office and the field and with implementing partners.

It is interactive and flexible.

Uses standard benchmarks that can be modified to suit the situation.

Uses traditional evaluation tools such as interviews, focus groups & observation.

Rarely exceeds two weeks in duration – usually around eight to ten days.

Findings are shared with staff before leaving the field, preferably during a "day of reflection" workshop.

Has more emphasis on lessons identified and action points instead of the traditional recommendations with a heavy emphasis on how these will be taken forward.

There are opportunities for checking whether lessons identified in previous RTEs (from other countries but similar context) have been noted and appropriate action taken.

76 This draws on a UNICEF desk study (Peta Sandison), UNHCR documents and Oxfam GB's own experience with the RTE exercises in 2007.

77 This will depend very much on the scale of the response.

Looks at usefulness/effectiveness of risk reduction and preparedness strategies – Oxfam contingency plans.

Looks at performance of the Humanitarian Lead affiliate and the Managing Affiliate (if these differ)[78] as well as coordination between the Oxfams in the country.

Engages participating Oxfams and partners and is seen as a cooperative exercise.

It is not a replacement for an impact evaluation or a technical review that is usually held at a midpoint in the program life or before closure.

5.11.3. Benefits

For the program being evaluated:

The timing maximizes the opportunities for early corrective action to shape the program.

The evaluation normally capitalizes on the presence of the core team of staff that designed and set up the program before too many of these leave.

The evaluators are able to bring perspective and objectivity at a time when, typically, there is significant pressure on the team for service delivery.

It is an opportunity for field staff working under pressure to voice their opinions and to feed into a process of change and decision making for the next phase.

Examples of good practice can be captured at a time when they might otherwise have gone unnoticed.

It can help team-building, boost morale, and at times resolve tensions including between head office and the field.

It encourages accountability to the affected population and other stakeholders.

It evaluates the contingency planning process/or it assesses the relevance of the contingency plans and the preparedness measures in the country.

For Oxfam as a whole

Learning from the onset of an emergency response is captured and shared among affiliates and partners.

Mitigation of the impact of lost learning that can occur through high staff turnover in emergency programs.

Lessons identified can be tracked from one response to another so that it becomes a dynamic process rather than a series of one-off events. It is an opportunity to evaluate the organization’s capacity for adaptation and responsiveness to often unpredictable developments and changes that are happening; an opportunity to inform annual RTE summing-up evaluations to know whether affiliates apply lessons from past experiences or keep repeating same mistakes.

It is an opportunity to examine the different approaches of Oxfam affiliates and partners and to capture learning around what works and what does not.

78 In many countries the Managing Affiliate under SMS will not be the Humanitarian Lead for some years.

It encourages affiliate cooperation and coordination and can reinforce the roles of the managing affiliate, humanitarian lead (if these differ) and the Country Leadership team (CLT).

It is an opportunity to evaluate the practicalities of contingency plans.

It looks at the affiliates' internal as well as external relationships.

Risks

Due to the short timeframe, there is a danger of missing important information, or of documenting a biased view, or of over reliance by the evaluator on the strong views held by a few people.

An inexperienced evaluation team may not be able to quickly assess what are the most salient points to highlight. The right choice of team leader and thoughtful drafting of the ToR is therefore, a crucial component of the process.

Lack of secondary data may give a more limited picture of the situation and triangulation may not always be possible.

The evaluation will take staff and other resources away from the actual response and if the added value is not apparent and the process carefully managed, resentment may be a result

A delay in carrying out an RTE may mean that lessons identified can no longer influence programming.

A delay in responding to RTE recommendations can quickly lead to these becoming irrelevant or difficult to implement.

If not managed well, an RTE can damage relationships with partners or the affected population as well as affect staff morale.

The goal is to identify and address the main issues arising for Oxfam, and care should be taken not to get bogged down in fine detail.

There could be a tendency for the managing affiliate or humanitarian lead to bias the process and to look at its own performance rather than the overall response.

If poorly managed it could lead to tensions between affiliates in-country. However, the entire process of a RTE is highlighted as a 'learning exercise' and should be viewed very much in the spirit of learning. Any tension based on a RTE will defeat the purpose of this exercise.

5.11.4. Objectives

- To contribute to learning within the participating Oxfams
- To review the response and to recommend immediate changes
- To identify good practices
- To identify persistent weaknesses for organizational learning
- To review coordination processes between the affiliates
- To promote cross-affiliate learning and to identify enablers and constraints for good affiliate cooperation

5.11.5. How to do it

The RTE is usually commissioned by the Country Leadership Team. The Managing Affiliate/Humanitarian Lead is responsible for ensuring that this takes place. Other affiliates contributing to the response should participate actively.

It is not compulsory but is up to the discretion of the management as to whether it would add value to the response or not.

The length of time spent on an RTE is again dependent on the nature of the response, the scale and the needs of the commissioning managers. Experience has shown that a week in the field and a couple of days in country offices making a total of up to 12 days is the usual maximum.

It is useful for the commissioning manager and the program manager/s to have a teleconference with the evaluation team leader at an early stage to clarify points and agree on the process. Having a preliminary workshop in country is not always feasible for logistical reasons but can be considered.

Review of program plans, contingency plan, telecon notes and other correspondence

Review of other RTEs noting trends and persistent problems so that these can be compared across programs.

Interviews with key staff from all participating Oxfams before going to the field – these could be at headquarter, region (where applicable) or country office level.

Semi-structured interviews with program staff, representatives of the affected population, partner organizations involved in the program and other stakeholders such as NGOs, UN agencies, coordination bodies, and local authorities.

Consultation with the affected population should always take place, as it is impossible to judge appropriateness and timeliness without their feedback. A variety of participatory methods such as focus groups can be used.

If possible, it is good if one or two persons (a skilled communications person, a national team member or another affiliate staff member or partner) can spend time in the community talking to people and getting their opinions[79]. This leaves the other RTE members free to concentrate on interviews with staff, partners, local government and other agencies. All too often evaluation teams spend a token amount of time with the affected population; by having dedicated team members it is possible to get a more representative, and greatly enriched, view. The use of a modified Most Significant Change methodology through story collection is a useful tool.

All traditional methods for data collection[80] can be used bearing in mind the reduced timeframe and the need to look at process rather than impact

Using timelines with the affected population and tracking when the different items or services were made available is a good way of judging the timeliness and suitability of the response

The number of people interviewed among the affected population, their gender, and their position in the community needs to be stated in order to assess the degree of general application of the views held.

Tracking decision making: it may be difficult for a visiting team to see why decisions were made at certain times, and a month on some of these can appear hard to understand. Discussing with

79 Gender and language considerations are also important here

80 Focus groups, timelines, mapping, ranking as well as in-depth interviews and personal stories

informants what information and assumptions they were working on at particular times is useful to more fully understand what constraints staff members were facing.

Some factual analysis (for instance number of staff, number of vacant posts, spend rates over time) is also helpful to illustrate enabling and constraining factors.

If there are contentious issues or varying opinions, using actual anonymous quotes (but stating whether it was senior management, field staff, partners or representatives of the affected population) with a summary of what appears to be the problem, is a good way of presenting the different views without making too many assumptions. Be clear from the outset about how information will be used and respect confidentiality.

Having a rolling debrief with field staff and partners (an hour at the end of the day for example) is useful for those people who will not attend the day of reflection.

Program managers at all levels will be responsible for the implementation of the action points, recommendations and lessons learned within their own affiliates.

5.11.6. Setting Benchmarks

Seven broad benchmarks[81] should be used to judge the effectiveness of the response. These need to be finalized with the commissioning affiliate or CLT and partners. The following are those most frequently used to date:

1. The speed and timeliness of the response will be good relative to other actors, with consideration of emergency preparedness measures in place

2. Relief provided is of a quality and scale appropriate to the context that would be expected of Oxfam's capacity, and is valued by the affected population

3. An effective management structure is in place, that provides clarity and well-communicated decision-making and direction (including partners) and is appropriately accountable to the affected population

4. Key support functions are sufficiently resourced and being effectively run. Risks that are being taken are being calculated and documented

5. Our internal Oxfam relationships are productive and well coordinated, under the leadership of the Managing Affiliate/Humanitarian Lead, and we are having a positive influence on other actors. Oxfam inter-affiliates agreements are in line with the procedures of the Humanitarian Dossier

6. The program has considered the longer term implications and has taken connectedness into consideration

7. Campaigning: Advocacy, media and popular communications, or a combination of these tools, are appropriate for the context, are well executed and effective

These are seen as the minimum standards but the commissioning affiliate or CLT is encouraged to add sub-headings and questions that are more context-specific. A particular area of enquiry that will meet their learning priorities can be focused on (for example logs & finance in a high spend/short time frame program or the effect of the media have been chosen in previous exercises). The benchmarks above should, however, be the main points considered in every RTE in order to build a consistent base of learning and to enable cross-program comparisons.

81 Some affiliates prefer the use of the word "criteria". Although "benchmarks" are used here, the word can be interchanged or translated.

5.11.7. The day of reflection workshop

Any evaluation exercise can bring up differences of opinion on particular findings, and an RTE takes place over a short timeframe and in the hectic early stages of an emergency. The workshop to present the findings should be the critical test of the exercise. It will probably be the first time a large number of the team/s are able to have the breathing space to take a collective step back and assess the whole picture. An effective outing of the key issues and constructive discussions on ways forward should mean that the draft report contains no surprises and does not need lengthy exchanges for signing off.

Involving participants in developing action points, recommendations and lessons learnt/identified is helpful for encouraging ownership. The workshop also provides a useful opportunity to fill critical gaps and check facts – for instance getting the team/s to construct a day-by-day timeline of key internal and external events is a useful reminder for all.

Timeline exercises can also highlight positive aspects of the intervention. It is easy to concentrate solely on the things that went wrong whereas, for staff morale, it is also important that there is due acknowledgement of achievements and successes are highlighted.

Workshop participants should include a good cross section of the various Oxfam affiliates senior representation and field teams. Involvement of senior management helps ensure an objective oversight role, and strengthens the likelihood of management action on key learning points and any prioritized recommendations.

5.11.8. The report and use of lessons identified/learnt

It is important that the exercise is undertaken very much in a spirit of learning. Management, the program teams and other supporting teams (such as global advisers) need to remain open to critical feedback that arises.

The exercise will likely highlight several lessons learnt/identified covering a wide range of issues and a long list can make it hard for recipients to know where to start. The RTE team should identify and place emphasis on a small number of key, actionable lessons and recommendations that should be prioritized by management. The report can also helpfully acknowledge areas that are already being worked on to make improvements.

The RTE team need to be able to present findings clearly and with as much of a base of evidence as is possible. It can be useful to use quotes to illustrate findings. If uncertain, or where there is not a clear consensus, the appropriate language should be used such as “it would appear” or “the majority of informants felt.”

Key lessons identified/learnt should be compared with previous RTEs in order to track whether lessons really have been learnt. If the same mistake is continuously being made, this needs to be highlighted and a way found to bring it to everyone’s attention. Putting names to action points is one way of ensuring follow-up.

As noted above, the workshop should be used to resolve differing opinions on the findings in the report, but if disagreement remains on a significant issue this should not stall the process. It may be useful to consider a brief annex to the report setting out respondents’ views but this should be regarded as an exception rather than the norm.

An RTE is not the forum for protracted disagreements on findings but should be considered a tool for improvement and learning: if this is perceived to be a potential problem, an agreement needs to be drawn up between the evaluators and the commissioner before the process takes place clearly stating what is expected and how the differences will be managed.

In judging success against the benchmarks, the critical enablers and barriers (internally and externally) that contributed to these should be identified and analyzed - “seeking the explanations.”

The draft report should ideally be completed within a week of the workshop and sent for comments and factual corrections to the commissioning manager. Feedback by other affiliates and partners involved in the response should be given within a week. The final report, signed off by the commissioning affiliate, should be shared with Humanitarian Consortium Governance Group (HCGG), circulated as soon as possible and posted on SUMUS (confidentiality level should be specified).

Specific lessons learned and issues relevant only to a specific affiliate can be included in a separate document if needs be.

Oxfam is committed to sharing learning with the wider sector, principally through ALNAP. Issues of particular sensitivity may arise that may not be appropriate for inclusion in a publicly accessible document; the commissioning affiliate is the final decision maker on this.

The report should be minimum 15 pages with appendices (see Appendix 5).

5.11.9. Desired lead evaluator profile

An understanding of Oxfam programming and humanitarian response work – at least two years field experience is desirable, with at least one recent rapid onset emergency response

Ability to lead a team

Good proven analytical skills

Excellent communication, listening and interpersonal skills

Presentation and writing skills

Tact and sensitivity to difficult situations

Ability to inspire trust

Flexibility

See Appendix 2 for suggested team profiles

5.11.10. Further information and support

Key Oxfam contacts:

- Oxfam International Emergency Managers’ Network (MEAL - subgroup responsible for Monitoring, Evaluation, Accountability & Learning) - meal@oxfaminternational.org
- Oxfam International Humanitarian Director
- Oxfam International Humanitarian Officer
- Oxfam International Humanitarian Quality and Processes Officer

5.11.11. Appendices to the RTE Guidance Note

Appendix	Title

1	Terms of Reference Template
2	Suggested profiles for evaluation teams
3	Some example questions for each benchmark
4	Methodology
5	Reporting Format
6	Suggested format for the Day of Reflection
7	Format for tracking consistency and lessons learnt

Appendix 1: TOR template

Terms of Reference

Real time evaluation of the Oxfam response to ……

1. Introduction

Two or three paragraphs on the emergency and the response, giving affected population numbers and which Oxfams are involved.

3. Purpose of the Real Time Evaluation

Oxfam is committed to assessing and improving the quality of its humanitarian programs. As a contribution to meet this commitment, and create space for humanitarian teams to “step back” from their work, the organization has begun to make use of “real time evaluations” (RTE). These reviews are usually completed at an early stage of an operation, and lead to the production of succinct reports with recommendations for action and/or lessons identified.

The overall objective of this RTE is to review progress to date, and capture emerging lessons both for the country program as well as being of relevance to other operations responding to similar emergencies, and where possible draw on learning from previous RTEs. Taking place in the first phase of a response requires a very flexible approach from the RTE team to fit in with the demands and challenges facing the country team/s, partners and affected population.

3. Objectives

- To review the response against established benchmarks and to recommend immediate changes
- To identify good practices
- To identify persistent weaknesses for organizational learning
- To promote a learning approach within the participating Oxfams
- To promote cross-affiliate learning and to identify enablers and constraints for good affiliate cooperation

4. Methodology

The assignment will be undertaken by a team of two or more with an experienced team leader responsible for assessing a range of program performance and management and production of the report. She/he will be supported by one or more colleagues who bring a particular field of expertise. These fields will depend on the response. All affiliates may wish to be represented but this should not mean that the team includes persons simply because of fair representation. The team leader should be selected by experience rather than affiliation.

The team should carry out the exercise as follows:

An initial discussion with the commissioning affiliate and the country team to ensure that all are clear on expectations and outcomes

If logistically possible, a short planning meeting that involves the RTE team and a small group of relevant managers/staff that looks at the program logic (how activities link up to expected outcomes), identifies resources, stakeholders and data sources and finalizes evaluation questions

The team should draw on existing reports to maximize incremental learning from RTEs across the organization

Use the five (with the option of sixth and seventh) benchmarks with sub-headings set out below

Discussions with Oxfam staff, partners and other stakeholders to reach conclusions against these benchmarks

Ensure that the affected population is consulted and that participatory tools are used as far as possible

Assess the critical enablers and barriers (internally and externally) that contributed to the program implementation, "seeking the explanations." If agreement between informants on "explanations" cannot be achieved, then the differing opinions will be separately recorded

Submit lessons identified for Oxfam, partners and other stakeholders

Present to the team/s, partner staff (if appropriate) and management in a workshop before departure to discuss findings and give opportunities for the team/s to agree on action points, learning and recommendations

While seeking to obtain an understanding of the complex challenges facing Oxfam in this operation, the RTE will seek to focus on the following areas of enquiry:

The benchmarks with sub-headings or questions that need to be addressed – see Appendix 2). These questions should be broad and not go into too much detail.

If a particular area of interest should be looked at in more detail, it should be included here with reasons for why the area has been chosen.

5. Presentation and documentation of findings and recommendations

The RTE team will debrief with the field teams and senior representatives of the affiliates on its main findings at a Day of Reflection workshop, and complete a draft report for comments upon return to their base. A final report should be produced ideally within the following week.

The report should be brief, around 15 pages plus some short annexes containing the Terms of Reference and a timeline. The final report will be posted on Sumus. Each affiliate will be responsible for taking forward the action points and recommendations. Affiliates may also wish to hold debriefing meetings in regional centers or headquarters to share learning.

6. Ownership, resourcing and timing

The RTE commissioning affiliate is the senior management of the country Humanitarian Lead or the Managing Affiliate.

Administrative and logistical support will be provided by the country office/s and should be discussed among in-country affiliates before the arrival of the team.

Assumptions and requirements

- Evaluators will have access to all documentation and can take part in relevant meetings and field trips
- Evaluators will have access to key staff in all responding affiliates for conducting interviews
- Evaluators will have access to members of the affected population for conducting interviews
- Evaluators will take into consideration confidentiality and objectivity during the process

Appendix 2: Suggested profiles for evaluation teams

1. The team leader

- An understanding of Oxfam programming and humanitarian response work – at least two years field experience is desirable, with at least one recent rapid onset emergency response
- Management experience is an advantage
- Strong group facilitation skills
- Good proven analytical skills
- Excellent communication, listening and interpersonal skills
- Presentation and writing skills
- Tact and sensitivity to difficult situations
- Ability to inspire trust
- Flexibility

The team leader is responsible for the report writing and for facilitating the Day of Reflection.

2. Other team members

The minimum number of team members is two

Other members will depend on the nature of the response and the special areas of chosen by the commissioning manager to evaluate – this could be livelihoods, public health, advocacy, shelter or communications. A mix of skills and experience is recommended but may not always be feasible.

The second person should have proven humanitarian experience within their area of expertise even if it is from only one or two countries. A good gender mix is recommended but not always feasible if the pool of potential candidates is small.

Having national staff or partner staff on the team is desirable but not always feasible. Having a staff member shadow the evaluation team is a good way of building up expertise in the region. Oxfam has a database of potential evaluators who can be contacted (under development).

Having team members specifically for collecting information from the affected population can be considered if there are security issues for expatriates or if time is limited and as many people as possible need to be consulted. Using a specially-trained communications person to collect stories using Most Significant Change (adapted) was successfully tried in Lebanon 2006.

Appendix 3: some example questions for each benchmark

Questions will always be context specific. These are examples of what can be asked. It is impossible to ask all of them during one evaluation. It is necessary to choose a selection.

1. The speed and timeliness of the response will be good relative to other actors, with consideration of emergency preparedness measures in place

- □ What were the critical factors affecting the speed and appropriateness of our response at country level (and with respect to partners, and other affiliates)?
- □ How is Oxfam response relative to other actors responding to the emergency?
- □ Could we have done something different in terms of response?
- □ What were the organizational expectations (at various levels) versus the actual response?
- □ How flexible was the response to changing situations and phases of the response?
- □ Was there a contingency plan and how was this utilized?
- □ How significant were preparedness measures in place?
- □ How did these preparedness measures ameliorate the impact of the emergency?
- □ How did learning from previous in-country emergencies feed into this response?
- □ What was the role of the media and/or political pressure within the affiliate headquarters in prompting this response?
- □ Were there security issues and if so, how did this affect the response?
- □ How were the different affiliates' security guidelines?

2. Relief provided is appropriate to the context, of a quality and scale that would be expected of Oxfam's capacity, and valued by affected population

- □ What is the scale of the response in comparison to the size of the disaster?
- □ Were the communities in disaster prone areas involved in the management of emergency response? What strategies were employed to coordinate and mobilize the community resources to deals with emergency situation? Were there any challenges and constraints faced during mobilization of the community in question?
- □ Is the program performing satisfactorily in terms of established standards – need, targeting, non-discrimination, working with and building local capacity and accountable to the affected population?
- □ Who was targeted and were the targeting methods effective and accurate?
- □ Was the technical aspect relevant to the situation (taking culture and socio-economic factors into consideration)?
- □ Did the technical aspects take into account the special needs of vulnerable groups such as the disabled?
- □ What particular challenges have arisen in these areas?

- Was gender taken into consideration and are there good examples of innovative thinking?
- Is there evidence of women being consulted and their needs being met?
- Is there evidence of men being consulted and their needs being met?
- How have safety issues for women, men, girls and boys been addressed?
- Is there evidence of adverse effects of the response on the different groups (women, men, children, disabled, HIV affected) within the population?
- What proportion of financial and non-financial resources have been allocated and utilized to address the specific gender issues /needs identified?
- What evidence is there of affected population consultation and satisfaction with services/goods supplied?
- Was post-distribution monitoring conducted?
- Is there a monitoring system in place and how effective is it?
- Is there an accountability system and are all staff aware of accountability issues?
- How has the flow of information been to the affected population?
- Is there a complaints system in place?

3. An effective management structure is in place, and providing clarity and well-communicated decision-making and direction

- Any evidence of affected population feedback influencing decision-making?
- How was the assessment carried out and were decisions based on the findings?
- How were decisions made regarding targeting, number of affected population and the areas for response?
- What assumptions were made regarding the response by different affiliates?
- Who made the decision about the categorization of response and was this justified?
- How do other players view the response in terms of scale?
- How are decision-making results disseminated down to field staff?
- How are decisions made by the lead agency disseminated to other affiliates?
- How would you rate the level of decision-making in terms of the appropriateness of the response?
- If there were telecons with regional or headquarters were these cost-effective with added value?

4. Key support functions are sufficiently resourced, and being effectively run. Risks that are being taken are being calculated and documented

- □ Have the essential program support functions (including finance, HR, logistics, media and communications) been quickly and effectively set up and resourced, and performing to an appropriate standard?
- □ How efficient were procurement procedures and what could have been done better?
- □ How did funding mechanisms to partners function?
- □ How quickly were staff deployed and how were procedures such as inductions carried out?
- □ How was the issue of funding handled among the different affiliates?
- □ Is there a security plan in place? In an insecure environment, how aware are staff regarding security issues?
- □ Are risks being adequately assessed and documented?

5. Our relationships, under the leadership of the Managing Affiliate/Humanitarian Lead, are productive and well coordinated and we are having a positive influence on other actors

- □ How was the coordination between the humanitarian lead, managing affiliate (if the differ) and the implementing and or funding affiliates both in country and at higher levels (for example headquarters)?
- □ How effective has the co-ordination effort been with other NGOs, coordination bodies such as the clusters and Government authorities?
- □ How effective and coherent has management, leadership and decision-making been between the humanitarian lead and the managing affiliate (if they differ) and the affiliates?
- □ If there are new partners for any affiliates, how has this worked?
- □ Is the analysis of risk and management measures put in place sufficient?
- □ Are the plans for the next phase robust enough? What needs to change? What should been done beyond the initial timeframe? (If only using five benchmarks)
- □ How do the affiliates' plans fit with other NGOs or government plans?
- □ Have any of the affiliates been able to influence what other NGOs or government agencies are doing or will do?

6. (Optional) Connectedness: The response is aligned with DRR or longer-term programming

- □ What evidence is there of /communities consultation for their longer term needs?
- □ Will there be rehabilitation or recovery programs to link emergency response to the longer-term solutions?
- □ Are the plans for the next phase robust enough? What needs to change? What should been done beyond the initial timeframe?

7. (Optional) Campaigning, advocacy, media and popular communications, or a combination of these tools, are appropriate for the context, are well executed, and are effective

Strategy, data, and expertise

- Was there an influencing strategy in place for the country? Was it developed in consultation with and agreed by all concerned affiliates? Was it up to date at the time of the crisis? Was there a separate strategy for the crisis?
- To what extent were partners consulted in the development of the influencing strategy?
- To what extent was the data and analysis provided for advocacy and media work accessible, credible, and up-to-date?
- Did staff take advantage of existing Oxfam expertise and experiences in the context/country?
- Were staff in the country – and partners - able to influence and contribute to the messages, examples and advocacy, being used locally and globally?

Timeliness and Outcomes

- Was the campaign response timely? What were the critical factors affecting the speed and appropriateness of the media, advocacy & public communications response to the crisis – nationally and internationally?
- Was the campaign response appropriately led, resourced and managed (including arriving at common policy positions)? Why/why not? Was this different between the function – advocacy/policy, media, popular campaigning? If so, why?
- Did Oxfam's policy lines and public messaging successfully-
    - reflect the primary objectives of achieving humanitarian access, assistance, and address the underlying causes of the crisis?
    - communicate pertinent gender issues?
    - target -and reach - different audiences (public, media, and policy makers in different locations/levels).
- Are there specific examples of where our work made a difference? If not, why not?
- To what extent were traditional and new media, as well as mediatools and equipment, used effectively to increase the reach and outcomes of Oxfam's influence on the crisis?
- What were the unintended or unexpected impacts (positive and negative) of Oxfam's advocacy and media work (for example: in terms of profile, fundraising, new contacts)?

Synergy between program and campaigns

- Did the campaign response complement and work well with the programmatic component of the response? If not, why not? How could it be improved?
- Were program teams and partner organizations aware of messages? How did they react to what Oxfam was advocating and saying in the media?

- What information provided by the program team was particularly useful? Why? What was not useful? How could it have been improved?

Overall Assessment

- What factors determined that a campaign response would (or would not) be part of the humanitarian response?
- Did the use of the campaign strategy represent an effective allocation of Oxfam's limited resources?

Appendix 4: Methodology

It is hard to give concrete examples of how to carry out a real time evaluation. It will depend very much on the scale of the program, the accessibility, the security, timing and the persons involved. The team leader for the evaluation should be experienced enough to be able to carry out the exercise without explicit guidelines. These guidelines are not meant as a tool for those who have no experience in data collection and analysis.

The following are examples used in previous RTEs with advantages and disadvantages.

Method	Advantage	Disadvantage
Focus group discussions with affected populations	Getting views from separate groups such as men and women More in-depth information than using surveys Useful for triangulating data	In certain situations can be difficult to set up groups Groups may not be representative Not everyone talks and with poor facilitation, only a few voices may be heard
In-depth interviews	Gives a good picture of the effect of the response for one person or family	Gives only a limited perspective Time consuming
Observation	Good for triangulation of other data Necessary for evaluators to understand the situations and some of the constraints	Time consuming especially if access is difficult Can be manipulated if staff only want to show positive results
Timelines with affected population	Good for understanding rapid response and timeliness	Time consuming Maybe difficult or traumatic for people to recall the early days post-disaster
Mapping	Is participatory Shows where facilities such as water-points are Good for understanding the extent of the damage	Takes time Not appropriate if people are housed in small areas such as schools Better as a tool for assessments May be traumatic for people to

		recall the emergency
Most Significant Change	Is participatory Gives in-depth qualitative information Shows impact	Needs careful consideration when posing questions Needs experienced enumerators Takes time
SWOT analysis	Good especially for field staff Very participatory A good way for staff for venting frustrations and voicing concerns	Takes time There needs to be a clear idea how the information should be taken forward
Questionnaires	Getting a large amount of data that can be generalizable	Takes time to set up Needs training of enumerators Need a properly calculated sample size Needs analysis Is not appropriate for an RTE

Frequently asked questions?

1. How many affected people should we talk to?

   There is no answer to this. The number will depend on accessibility, time allocation and the scale of the emergency. However, a simple rule could be for every unit (camp, village, IDP center) visited two focus groups (one with men and one with women) should be the minimum.

2. Do we need a sample size?

   Surveys with carefully calculated sample sizes are not recommended for real time evaluations. An RTE is not an impact assessment but a snapshot in time. Surveys can be carried out either as a baseline or as an impact assessment. It is generally accepted in good academic practice that qualitative data collection does not need a calculated sample, as it is not generalizable.

3. How many methods should be used?

   There is no correct answer to this. It depends on the situation. However, it is good to triangulate data as much as possible. Triangulation does not always have to be three different sources; this is a process evaluation not a piece of research. Work within the context!

Appendix 5: Reporting Format

The report should be succinct and should not exceed 15 pages excluding appendices. Unlike an impact report there does not need to be a great deal of background material or too many details on methodology and the people interviewed. A brief summary will suffice.

These headings are only a guide as different formats have been used in different reports. There must be room for some flexibility depending on the context.

1. **Executive summary**

   This should be one page with the salient points and key action points, learning points and recommendations.

2. **Background**

   A paragraph or two on the general problem with affected population and response figures and a short description of the actual response should suffice.

3. **Status of program in the week of the RTE**

   In some programs this is useful if the activities have been completed already, there has been a new emergency or if the situation is vastly different to the immediate aftermath.

4. **General findings**

   A paragraph on general impressions of the response could be useful in some instances.

5. **The benchmarks**

   Use each benchmark as a heading to discuss the findings and to present the facts. There will be sub-headings for each benchmark.

6. **Methodology**

   A brief explanation of the methodology with the number of people interviewed, who they were (not names but more general terms such as village leaders, government officials or women affected by the emergency). The number of focus group participants (with gender and position in the community) should be noted so that the reader can decide how widespread the opinions voiced are. Timelines, seasonal calendars and other PRA tools used with the affected population can be summarized and put in appendices.

   If there are very contentious issues, actual quotes speak for themselves but confidentiality is vital. (See the Lebanon OGB RTE 2007 on the dashboard for an example of this qualitative reporting format).

7. **Day of Reflection**

A summary of the key issues that came out of the day will suffice. There will have been a great deal of discussion that should have been useful to the country teams but that may not necessarily be of interest to a wider audience. If a PowerPoint presentation was used, this could be included as handouts in an appendix.

8 Appendices

8.1 Terms of reference

8.2 Itinerary

8.3 Timelines

8.4 Case study from one in-depth interview with a family or individual.

This can be added, especially if using the Most Significant Change methodology. It is not a mandatory part of the report but can add to the overall understanding of the response.

Some key points for report writing

Avoid sweeping statements – use examples to back up statements

If there are particular sensitive issues for one affiliate, maybe consider a separate page especially for that affiliate

If there are contentious issues, use direct anonymous quotes so that the readers can draw their own conclusions

Appendix 6: Suggested format for the Day of Reflection

Key points:

- Make sure the decision makers are present – if it is only field staff, no decisions will be taken
- Make good use of the time – this is a day out from the emergency response
- Make sure comments and recommendations are reported
- Key issues should have a name attached for action and follow-up
- No naming and shaming

Suggested methods

1. Timelines

Start with a timeline exercise – get everyone to write up activities on sheets for paper around the room for the first couple of weeks of the response. Important moments need to be noted such as concept notes written, accepted and approved; funding received or committed; procurement requests submitted and goods received; arrival of key staff; assessment dates; scale-up and media releases. It is also useful to note external events such as the government declaring the emergency and their response.

Get people to put in how they felt around each event, maybe with cards with smiling/non smiling faces. Alternatively, draw a line along the events and get them to plot in how they felt their intervention went with good above the line and bad below.

Get people to discuss what went well and where there were constraints. This is not a blaming opportunity but a time to look at why there were delays and how these could be avoided in the future.

2. Presentation around the benchmarks

One way to do it is to present the findings under each benchmark and then have a list of questions for groups to discuss.

Another way is to put up two flip charts – one with the team findings and one with what the field staff think. The groups can then discuss the differences and the reasons behind this.

3. Group-work

Groups can be formed according to technical specialty, affiliation or geographical area. The important thing is that the group is able to discuss the findings and decide on a way forward.

4. Conclusions

The day must end with action points for immediate attention and with names attached. Recommendations or learning points for future programming must be flagged and taken forward by each affiliate senior manager to share with the regional office (if applicable) and head offices (through a telecon or e-mails as appropriate).

The Day of Reflection notes need not be included in the report unless deemed suitable. Very often, a summary as well as the key learning or action points should suffice.

Appendix 7: Format for tracking consistency and lessons learnt

(To be completed by RTE team with input from the Country Leadership Team)

Program being evaluated:

Date of RTE:

Name of RTE team leader:

Other team members:

Was the most recent RTE report consulted? If so, which one?

What key lessons were identified in this previous RTE?

1.

2.

3.

4.

5.

Has there been noticeable progress against the above lessons in this current RTE?

If not, what was the reason for this?

Was a day of reflection workshop held?

☐ Yes ☐ No

What were the key learning points and recommendations that arose from the workshop (3-5)?

1.

2.

3.

4.

5.

What is the plan for taking these forward?

Were there any contentious points raised by the program or regional staff?

Have these been resolved, if so how?

Have all parties agreed to the final report?

Format filed on Sumus:

Date: Name of file:

6. Dossier Annexes

Annexes	Title
A	Welcome Pack
B	Security Levels
C	Security Management Plan
D	Oxfam Emergency Strategy Templates
E	Oxfam Situation Report Standard Format (Sitreps)
F	Oxfam Emergency Update Standard Format
G	Classification of Emergencies Checklist (updated Jul 2010)
H	Oxfam International Funding Grid (see separate Excel file)
I	Partnership Policy Implementation Support Kit (PPISK)
J	Country Leadership Table (see separate Excel file)

Annex A – Welcome Pack

Suggestions for inclusion

Front Page: Title, Date, Author and Review date

Summary of country profile

- Office address, contact details and out of hours contact information
- Appropriate behaviour and cultural norms
- What you need to carry (identification)
- Transport (use of taxis, buses, hire cars, driving, etc.)
- Use of credit cards and foreign exchange
- Communications (phones, internet, electricity sockets)
- Hotels, guesthouses
- Health services

Annex B – Security Levels

Security Levels

Level 1 Normal: Security Guidelines/ Standard Operating Procedures apply

Level 2 Precautionary: additional actions required

Level 3 Restricted Movement: restricted program activities

Level 4 Partial Evacuation/ Hibernation: relocation or hibernation, program suspended

Level 5 Program and office closed: full evacuation or hibernation

Level	Indicators	Actions
1	**Normal:** □ Situation calm. □ Low level of crime.	□ All staff aware of current security management plan □ General precautions against crime □ Emergency supplies in place (see evacuation plan) □ Evacuation plan in place.
2	**Precautionary:** □ Situation less stable, higher risk of sporadic violence, possible threats against staff. High level of crime. □ Increased military presence □ Increased demonstrations	□ Evacuation plan updated, staff aware of hibernation and evacuation sites. □ Emergency supplies checked. □ Higher security awareness by staff.
3	**Restricted Movement/Restricted Program:** □ Increase in tension. □ Increased demonstrations, with violence and anarchy. □ Indications that military/belligerents are mobilizing. □ Threats/demonstrations directed at International organizations. □ Violence in project areas.	□ Security Updates every 2 days. □ Staff movements restricted □ Program activities may be partially suspended. □ Hibernation/evacuation points may be agreed with other INGOs. □ Curfew □ All incidents reported immediately. □ No additional staff to travel into the country. □ Eligible dependents may be evacuated.
4	**Partial Evacuation/Hibernation:** □ Increased tensions and violence, including in locations near offices.	□ Security updates daily/or more often. □ Essential/low risk staff only to report to work.

	□ Increased violence in project areas. □ Harassment/violence directed at International organizations. □ Lootings □ Security forces unable to maintain law and order	□ Initiate evacuation/hibernation plan. □ High-risk &/or non-essential international staff to evacuate. □ Daily contact with line management. □ Program activities likely to be suspended.
5	**Office Closure and Suspension of activities:** □ Unacceptable level of risk. □ Direct threats/attacks on International organizations/staff and or property. Inability of Oxfam to continue programs. □ Large-scale mobilization of belligerents. □ Indiscriminate violence, looting and destruction	□ Closure of office. See evacuation Plan. □ Closure of all program activities.

Annex C – Security Management Plan

Template: Security Management Plan

Front page: title, date, author and review date

Chapter:

1. Introduction: purpose and scope of the document and its relation to other documents. First principles such as right to withdraw, duty to contribute to security etc).

2. Context Analysis (summary)

   - Internal Analysis. An overview of the joint Oxfam program, including partner activities.

   - External Analysis. General analysis (history, gender, religion, culture, infrastructure, demographics etc) conflict analysis, crime analysis, actor mapping, incident mapping.

3. Risk Assessment; threat identification and analysis, vulnerability analysis, threshold of acceptable risk.

4. Security approaches: the balance between acceptance, protection and deterrence and an explanation of implementation methodology.

5. Roles and responsibilities.

6. Standard Operating Procedures (may include vehicle and travel, communications, personal behavior, conflict survival, site protection etc)

7. Contingency Plans (may include hostage taking, sexual assault, gunfire, carjacking etc).

8. Evacuation Plan

9. Incident reporting and analysis. (Definition of security incident, reporting structure, explanation of how lessons will be learned)

10. Security levels: built on the generic system of levels (Annex B), a context specific overview describing the security levels, and related indicators and actions.

11. Annexes (contact numbers, maps, medical evacuation procedures, etc).

    - The countrywide Security Management Plan (excluding annexes) does not exceed 20 – 25 pages.

    - It is to be reviewed every six months or more frequently as the situation dictates.

Annex D –Oxfam Emergency Strategy Templates

Oxfam Strategy Template for Category 1 and Category 2 Emergencies (to be completed within 48 hours of onset and updated at 7-10 days and 3-4 weeks)

The following framework is to be used by the Country Leadership Team (CLT) in a Category 1 and Category 2 emergency for a clear and rapid articulation of strategy to facilitate fast decision making, funding allocations, and sharing of Oxfam's key core competency response.

The first version of this document should be ready and approved for circulation (by the CLT) within 48 hours of the crisis onset in case of rapid-onset, using section A of the template below. In the case of a slow-onset emergency, this document should be filled in within 48 hours of the decision to categorise the response as a Cat 1 or 2 where possible. The document should be updated at regular periods – within 7-10 days and once again within 3 to 4 weeks.

The Strategy Template replaces the Action Plan but not Sit Reps, which should continue to be produced regularly as the situation changes.

At 48 hours: only section A must be completed. The timeframe for this document covers the first 90 days of the response. This document communicates Oxfam's decision to respond to the emergency and appeals for assistance, giving an initial indication of the nature of Oxfam's response.

At 7-10 days: sections A and B of this format must be completed/updated. The timeframe should cover the first 12 months of the response and outline the anticipated phasing of activities. Activities for later phases may be indicative only, but the emergency response phase activities should be well developed. At this stage the document should provide assessment data, analysis of potential scenarios and set the strategic direction for Oxfam's response, including goals, objectives and key activities.

At 3-4 weeks: sections A, B & C of this format must be completed/updated. The timeframe covered by this document is 1-3 years and should indicate the anticipated phasing of activities (relief, rehabilitation etc).

Instructions for use:

- □ Prepare and distribute this document initially within 48 hours of the emergency alert. The first step is to refer to the Contingency Plan, from which relevant information may be extracted.
- □ Revise the document (using all sections) within 7-10 days of the emergency, and later within 3-4 weeks
- □ The document refers to Oxfam response and should be completed by the CLT as a reference for ALL Oxfam affiliates working within the response area (managing and implementing affiliates).
- □ Once completed, this document should be shared with the Humanitarian Consortium Governance Group (HCGG) and the OI Secretariat and posted in Sumus
- □ Note that as the situation changes it is advisable that this document is updated as often as necessary/feasible. Additions should be noted in a different font, and the details updated in a footer.
- □ As the document becomes more detailed (i.e. at the 3-4 weeks stage), it is advised that this document is accompanied by annexes, documenting operational plans.

Joint Oxfam Response Strategy

XXXX Emergency:

Date Created/Updated:

Author:

Fundraising Target = XXXXX

Implementing Oxfams: XXXXXXXX

[Insert Map or picture]

<u>Section A: to be completed within 48 Hours of onset of Emergency</u>

A. Initial Assessment of the disaster

Outline what is known about the disaster and provide any available assessment. Include basic information on the geographical area and affected population. Any significant population movements. Key risk analysis of the natural hazard/conflict/disaster.

A.1. Background:

May include:

- □ Basic geographical, political, economic, social information necessary to understand the crisis;
- □ Most affected geographical areas and vulnerable communities;
- □ Population, population movements –including refugee camps and IDPs; (disaggregated data if possible)
- □ Outline history of the Oxfams and partners in the affected country/area, including previous emergency preparedness or response activities etc)

A.2. Immediate & Medium-term Needs:

- □ Refer to assessment reports wherever available, as well as additional information sources. Where possible include disaggregated data

A.3 Response to date

Outline what the response to date has been from the Government, communities, local NGOs and the international community

- By Government
- Any major UN initiatives
- By Oxfam and other NGOs, local partners

A.4 Oxfam capacity

Describe Oxfam and partners capacity in relation to the emergency and initial response (this can include staffing capacity, funding, logistics and supply capacity, contextual knowledge, existing programmes etc). Make reference to the existing Oxfam Contingency Plan where possible/relevant.

As well as Oxfam's own capacity, here it is useful to add some brief analysis around existing capacities in country (including suppliers, governance structures in place). As well as operational staff, include Communications, Finance, HR, MEAL, Gender specialists etc.

A.5 Oxfam proposed response

Outline Oxfam initial response plans including assessment plans, likely sectors of interventions, geographic focus and any other available plans.

A.6 Security Issues

Give a brief outline of the security situation and any particular concerns/points of interest that must be taken into account in planning the response.

A.7 Other critical issues

(Including Advocacy issues, protection and access, government restrictions, identified weaknesses, information needs, coordination issues etc)

A.8 Contact details

Provide the contact details for the Oxfam Country Director or Emergency Coordinator as well as alternative contact details for key country staff (CLT members) – Refer to Oxfam Contingency Plan and update as relevant

Section B: To be filled in (and section A above updated) after 7-10 days

B.1 Medium and longer term needs:

- □ Refer to assessment reports wherever available, as well as additional information sources. Where possible include disaggregated data

B.2 Likely Scenarios

Develop scenarios for possible developments that may affect the response (including risk analysis, analysis of communities affected and vulnerability, external influencing actors analysis, possible reactions to the situation (geo-political, weather, outbreak of diseases), protection needs etc)

Scenario 1 (best case):

Scenario 2 (most probable):

Scenario 3 (worst case):

B. 3 Oxfam and partner capacity

(Include brief listing of existing partners and areas of focus, and if relevant developing relationships with new partners).

- □ Should include analysis of the potential resources (material, human, financial) of the different Oxfams (managing, implementing, contributing).
- □ If extra financial, material or human resources for coordination once all local organizational resources are exhausted, this should be stated here.

B.4 Oxfam Response Strategy

B.4.1 Key principles of the response

B.4.2 Goal and Objectives of the response

B.4.3 Geographic focus and target beneficiaries

B.4.4 Phasing and budgeting

Phase	Duration	Time scale	Focus	Budget[82]
Phase I				
Phase II				
Phase III				

82 In line with the budget in the most recent funding grid

B.4.5 Key interventions

Key sector[83]	Phase I Emergency Relief Activities
Key sector	**Phase II Recovery Activities**
Key sector	**Phase III Rehabilitation Activities**

(Annex specific sector strategies for key interventions)

Please include Media, advocacy & campaigns activities as part of the response.

B.5 Coordination and Partnership Issues

Describe here any relational issues which may affect the response, particularly around internal and external coordination

B.6 Exit and transition strategy

(It is expected that an exit and/or transition strategy is developed alongside the response plan)

B.7 Cross Cutting Issues and Approaches

- **Gender**[84]
- **Environment**
- **Protection**
- **Participation**
- **HIV/AIDS**
- **Conflict sensitivity**
- **Disaster Risk Reduction**
- **Monitoring, Evaluation, Accountability and Learning Strategy**

(This may include information on existing or planned systems in place, resources in place and support needs, plan for OI MEAL posts, RTE/evaluations, MEAL Strategy etc)

Outline measures to comply with Oxfam MEL Minimum Standards.

83 Note that Oxfam's core competencies are Water, Sanitation and Hygiene Promotion (WASH) and Emergency Food Security and Vulnerable Livelihoods (EFSVL), as detailed in Oxfam Minimum Standards

84 For more guidance it may be helpful here to see the Oxfam Gender in Emergencies Minimum Standards

B.8 Advocacy issues and approaches

B.9 Budget[85] & Funding

Budget Line	Indicative Amount
Phase I Emergency Relief	
1. XXXX (Key sector)	$XXXX
2. XXXX (Key Sector)	$XXXX
3. XXXX (key sector)	$XXXX
4. XXXX (key sector)	$XXXX
5. XXXX (other)	$XXXX
Total Phase I	**$XXXX**
Phase II	**$XXXX**
1. XXXX (Key sector)	$XXXX
2. XXXX (Key Sector)	$XXXX
3. XXXX (key sector)	$XXXX
4. XXXX (key sector)	$XXXX
5. XXXX (other)	$XXXX
Total Phase II	**$XXXX**
Phase III	**$XXXX**
1. XXXX (Key sector)	$XXXX
2. XXXX (Key Sector)	$XXXX
3. XXXX (key sector)	$XXXX
4. XXXX (key sector)	$XXXX
5. XXXX (other)	$XXXX
Total Phase III	**$XXXX**
Total	**$XXXX**

Give details of corresponding funding plans – you may refer to fundraising strategies, donor mapping etc.

- ***Note Phase II and Phase III budget may be filled out as outline only at 7-10 days stage, but should be filled out in full at 3-4 weeks revision of the strategy template ****

85 It may be helpful to indicate resources needs by affiliate as well as overall, to assist with allocations of budget later on

Section C: To be filled in (and sections A & B above updated) after 3-4 weeks

C.1 Operational planning and management issues

Attach operational plans for the following areas outlined below (ensure that phasing and allocation of resources are clearly marked), and below briefly highlight any key issues for each:

- □ Staffing and human resources management
- □ Logistics
- □ Project Supply Plan(s)
- □ Finance
- □ Funding
- □ Administration
- □ Telecommunications
- □ Safety and security management
- □ Information management
- □ Media

Annex E – Oxfam Situation Report

Oxfam Situation Report Standard Format (Sitreps)

Key Concept:

Situation reports are designed to respond to the need for useful information from the field and to provide updates on the situation and on the program status in any given location. They are used to:

- give a broad picture of the country context and an analysis of the regional perspective; including general humanitarian and political situation,
- measure progress against objectives and activities;
- see what shortfalls are occurring so that they may either be remedied or closely monitored;
- Keep an accurate historical record of the program that will help in donor reporting and increased accountability.
- give a security update
- give an overview of advocacy and communications work

Time & frequency

Sitreps are part of an ongoing process from project start-up until its conclusion. Frequency will depend on the situation. This will be decided by the Country Leadership Team and may vary from (bi-) daily in situations that are changing very rapidly, to weekly during the first months of a response, to bi-weekly or monthly in situations that are relatively stable.

Responsibility

The Humanitarian Lead (on behalf of the Managing Affiliate, where these differ) is responsible for ensuring that sitreps are produced at the required intervals. The Humanitarian Lead is responsible for leading the process and drafting the report. The Implementing Affiliates should be proactive in feeding the Humanitarian Lead with information regarding their work, and they must meet the deadlines set by the Humanitarian Lead. The Humanitarian Lead will be held accountable for including their inputs.

Quick guidelines:

- Number and date the sitreps
- Please fill in the sections as appropriate. The template is designed to include all possible sections but not all emergencies do require all sections to be filled in. If there is noting to report on one section, please leave it blank or mention “nothing to report”.
- Abbreviations used (except obvious Oxfam abbreviations) and special terms should be explained.
- A list of abbreviations and acronyms should be included in all sitreps.
- When referring to a person, include his or her title.
- Use the active voice (“Oxfam delivered water…”) rather than the passive voice (“Water was delivered…”) to ensure clarity about who carried out which activities (Oxfam? An Oxfam partner? Another NGO?)
- Each sitrep needs to build on information from the previous one

- Include sources of key pieces of information ("According to OCHA, Oxfam etc)
- Clearly state the key decisions made by the Humanitarian Lead, the Country Leadership Team and Implementing Affiliates in each respective section
- Include map or photos as possible as illustration

Typical audience

- Country teams
- Regional teams in affiliates and Oxfam International
- Humanitarian Departments in affiliates and Oxfam International
- Communications Teams in affiliates and Oxfam International
- Advocacy and Communication Teams

Oxfam Situation Report

Number:

Date:

Prepared by:

Summary information

COMMON NAME OF EMERGENCY (e.g., frequently used name)	
DATE (external/internal break-out)	
DURATION	
COUNTRY	
CATEGORY (1, 2, 3 – for more information see the section 3.2)	
MAIN CLASSIFICATION (Natural Disaster, Conflict, Health/Medical, Incident, Other)	
FURTHER EXPLANATION OF CLASSIFICATION (if any)	
ESTIMATED NUMBER OF PEOPLE AFFECTED	
HUMANITARIAN LEAD	
IMPLEMENTING OXFAMs PART OF THE CLT	
CONTRIBUTING OXFAMs (FUNDING AFFILIATES)	
Contact information of humanitarian lead Oxfam re. the Sitrep	
BUDGET (USD)	
PARTNERS	
DURATION OF RESPONSE	
COMMENTS	

1. Key Issues

Important events that have occurred – both internal and external to Oxfam - since the last situation report. This summary could also include unresolved and outstanding issues from the last situation report. Some people will read only this section, so all the most important headlines should be included.

Please include the impact of the emergency on the livelihoods of the people affected with an indication of the long term problems. Please include gender disaggregated information/data.

2. Security

Update on general security situation since the last situation report. Rather than simply report security incidents here, include analysis[86] where possible.

Any security incidents relating to Oxfams, any changes in security level, and any changes/updates to the security guidelines/evacuation plans should be noted here.

3. General Humanitarian Situation

- Humanitarian situation in the country and in the program area
- Analysis of the situation (see footnote 1)
- How might this affect the implementation of the program (the need for further scale-up, for example)?
- Gaps in the program response
- Indicate the key decisions made at the lead affiliate level or at the Oxfam International level for response regarding program activities

4. General Political Relations/Context

(Please be concise and precise)

- What is the general political context in the country? (Include external and internal actors.)
- How are relations with the government, and what is the government response
- Analysis of the situation (see footnote 1)

5. General Context

- The work of the UN and bilateral and multilateral organizations, and Oxfam's relationship with them.
- The work of other INGOs and local NGOs, and Oxfam's relationship with them
- Analysis of the situation (see footnote 1)

6. Sexual Exploitation and Abuse (if relevant)

- Incidents of sexual exploitation within humanitarian operations
- Measures taken to prevent/address those incidents

86 Always indicate when a fact is stated or when it is analysis or interpretation of events- Indicate the source of information

7. Program Activities - Progress against Objectives

a. Program with partners:

- Program activities by partners need to be reported as progress against objectives and activities. This can be done in a number of ways. Whichever format is chosen, the progress against objectives and activities needs to be clearly stated, and any constraints to achieving the objectives need to be clearly spelled out. The options are:
  - Using the Logical Framework Analysis (Log Frame) and updating the progress against this with each situation report (This is the best and most efficient way to measure progress against objectives.)
  - Using the Project Timeline (Gantt Diagram) to measure progress against the timeframe of the project. This is also an efficient way but will need to be accompanied by a descriptive narrative about areas where the project is not meeting its objectives.
  - Using a Full Narrative Description of progress against objectives and activities. This could also be done in Excel in a way that shows progress over time towards the objectives, using figures instead of full narrative. Again, shortfalls in progress would require a narrative description.
- Mention the names of the partners in relation to the program activities
- Ensure that particular reference is made to obstacles and constraints to implementation of planned activities.
- Estimate % of intervention fulfilling Sphere standards.
- This section should also report on cross-cutting issues and program activities that are within the public health programs, such as gender, protection, and HIV/AIDS, if they do not have a stand-alone project to report against.
- A reflection on the impact disaster response activities are having on ongoing development work
- Mention the capacity/experience of partners and the kind of capacity-building still needed;

b. Program directly implemented by Oxfam affiliates:

- Program activities, executed by Oxfam affiliates, need to be reported as progress against objectives and activities. This can be done in a number of ways. Whichever format is chosen, the progress against objectives and activities needs to be clearly stated, and any constraints to achieving the objectives need to be clearly spelled out. The options are:
  - Using the Logical Framework Analysis (Log Frame) and updating the progress against this with each situation report (This is the best and most efficient way to measure progress against objectives.)
  - Using the Project Timeline (Gantt Diagram) to measure progress against the timeframe of the project. This is also an efficient way but will need to be accompanied by a descriptive narrative about areas where the project is not meeting its objectives.

  - Using a Full Narrative Description of progress against objectives and activities. This could also be done in Excel in a way that shows progress over time towards the objectives, using figures instead of full narrative. Again, shortfalls in progress would require a narrative description.

- Ensure that particular reference is made to obstacles and constraints to implementation of planned activities.
- Estimate % of intervention fulfilling Sphere standards.
- This section should also report on cross-cutting issues and program activities that are within the public health programs, such as gender, protection, and HIV/AIDS, if they do not have a stand-alone project to report against.
- A reflection on the impact disaster response activities are having on ongoing development work

8. Advocacy and Lobbying

- What in-country, regional, or HQ-based advocating, campaigning, or policy work is underway or planned?
- What needs to take place in advocating, campaigning, or policy work that is not yet occurring?
- What are the actions for advocacy at the UN level?
- What proactive work is planned?
- What are the talking points for advocacy?
- What joint activities with partners regarding lobby and advocacy are planned/taking place.

9. Beneficiary numbers

It is important to keep an ongoing record of whom the program is reaching and with what. There is a template spreadsheet available, and the following principles should be considered:

- Beneficiaries must be counted as individuals, not as households (household numbers vary widely).
- Where possible, beneficiaries should be disaggregated into men, women, and children.
- In a large, complex program, different beneficiaries will be receiving different types of aid. It is important to record total numbers of people benefiting from each type of activity (e.g., 20,000 people getting non-food items, and 35,000 getting clean water). We recognize that some of these people will be the same, and this calculation does not assume that 55,000 people are benefiting in total! We will use the highest number (in this case 35,000) as the total number for any external communications etc. Estimate the total cumulative number of beneficiaries, making all reasonable efforts to avoid double-counting.

10. New Interventions Planned/Assessment

- New interventions or assessments (program with partners and program directly implemented by Oxfam) planned in the coming reporting period

- Recommendations for assessments over the reporting period
- Status of planned proposals or donor submissions
- Status of assessment reports and when they will be submitted

11. Logistics

a. Program with partners:

- Logistics issues/problems faced by partners

b. Program directly implemented by Oxfam:

- Status of procurements and any expected delays
- Issues with vehicles, contracts, tenders, staff, communication, and security
- Logistics issues or need for support from HQ
- Provide any cost associated to operations if possible

12. Communications

- What internal and external communication work is being done?
- Media messaging
- Outstanding issues, gaps which need addressing, etc
- Include highlights from local media

13. Fundraising

- Institutional donors – status of proposals being submitted, any problems, etc.
- Donor reporting issues
- Status of Oxfam Funding Grid

14. Human Resources

- Arrivals and departures of staff
- Staff shortfalls or needs (recruitment strategy)
- Training/induction requirements

15. Finance and Administration (when appropriate and relevant to Oxfam International)

- Status of budget monitoring, spend updates, etc.
- Registration, contract, cash transfers, banking issues, funding, and donor issues
- Accounting issues or need for support from regions or HQ

16. Oxfam Coordination

- □ Any specific issue related to Oxfam coordination in the response that needs to be addressed (e.g. Country Leadership Team meetings, Oxfam Joint Strategy updates)

17. Sitrep Annexes:

Annex 1 – Oxfam Humanitarian Response Program Activities

Affiliate	Partner	Area	Interventions / Activities	Amount

Annex F – Oxfam Emergency Update

Oxfam Emergency Update Standard Format

Responsibility:

The Humanitarian Lead (as mandated by the Managing Affiliate, where these differ) is responsible to lead the process and draft the report. The implementing affiliates should be proactive in feeding the Humanitarian Lead with information regarding their work and meet the deadlines set by the Humanitarian Lead.

Quick guidelines:

- Abbreviations used (except common Oxfam abbreviations) and special terms should be explained
- A list of abbreviations and acronyms should be contained in the first update.

Country/Location:

Title/Name of emergency:

Update number:

Date:

Period covered by this update:

Section 1 – signed off for external use

Key headline facts (bullet points): (please mention the source of information).

- Type of disaster or crisis
- Which are the affected areas? Provide a map to locate the affected areas.
- Death toll
- Numbers of people affected. (gender disaggregated data if possible)
- Affected infrastructures including houses, schools, buildings etc.
- Need of the people
- Where Oxfam and its supported partners are working. Provide a map
- How many people the program is planning to reach by sector
- How many people Oxfam and its partners have reached so far
- Cumulative totals of relief materials distributed.

Notable accomplishments to date. These could include achievements like the number of people we reached in the first week, successful efforts to reach vulnerable or underserved populations, our most impressive figures on aid distributed to date, successes in helping survivors uphold their rights, etc.

Both qualitative and quantitative information is valuable to fund-raisers and communicators. Think about what we are most proud of and what is evidence of our effectiveness and our priorities. For example, two weeks into an emergency response, this section could read:

- Oxfam partners were distributing food, water, and relief supplies within 48 hours of the disaster. [this demonstrates the speed of our initial response]
- Within the first week, Oxfam and partners had delivered clean water to XXXXXXX people. [this shows the impressive scale of our work]
- As of April 7, Oxfam had distributed shelter materials to XXXXXX people – protection from nightly downpours [this shows that we are meeting pressing needs]
- April 12: Oxfam partners are now working to deliver aid to communities in the hard-hit X district, where so far little assistance has reached those in need. [this demonstrates our commitment to reaching vulnerable or underserved communities.]
- April 16: total beneficiaries to date: XXXXXXX [each sitrep should include a total, cumulative beneficiary number. If there's no time to recalculate it for a given sitrep, just provide the most recent number, along with the date it was valid: "As of April 12, Oxfam had reached XXXXXXX people with aid."]

- Key accomplishments by Oxfam (to communicate externally)
- As this is for the external use we may provide information about Government response, other organizations response also.

Oxfam's response to date (narrative)

- This could be described per affiliate, district by district, or sector by sector depending on how information is coming through from field offices (related to the project proposal and log frame in terms of activities and results). The numbers used (such as liters of water or non-food relief items) should always be cumulative, as week-to-week figures are not useful for communications or fund-raising purposes. This should be a fairly comprehensive summary of what we are doing and what we plan to do.
- Information on the general situation – is it improving/deteriorating etc – what are the issues facing affected people and our program staff at the moment

New resources available

- Stories, photos, videos, press releases, interviews etc, and where to find them (e.g. on the website, via Words & Pictures, on SUMUS etc)
- Resources in the pipeline that people can expect to see shortly (e.g. a story gathering trip in the area now)

Section 2: Additional information for internal use only

Advocacy

- What are the major advocacy issues that Oxfam needs to engage with to give our program greater impact
- What is being done by advocacy teams at HQ level and in country to pre-empt or react to political or media events coming up

Funding

- Link to Oxfam Funding Grid.

- □ Status of a public appeal to date if relevant
- □ Status of DEC funding if relevant (or other donors such as SHO)
- □ Proposals being submitted to, or contracts signed by major institutional donors
- □ Any significant donations from individuals or trusts worth mentioning
- □ What does all this mean for our program? Is more money needed?
- □ Plan for submitting proposal to other donor

Promotion of the Update:

1. On Sumus
2. Link emailed to all affiliates
3. Link emailed internally within affiliates.
4. Link to Reuters and relief web.

Annex G – Classification of Emergencies Checklist

Classification of Emergencies Checklist (updated Jul 2010):

FACTORS	INDICATORS		
	Category 1	**Category 2**	**Category 3**
Nature and scale of the crisis	May affect one or more countries and acquire a regional dimension. > 2 million people affected The level of infrastructure destruction infrastructure affects heavily the quality and speed of response Complex humanitarian context (instability of political context, failed state, presence of internal conflict, etc) which may lead to a worsening situation (including likelihood of massive displacement of people)	May affect one country and may acquire a regional dimension. Between 250.000 – 2 million people affected of which The level of infrastructure destruction moderately affects the quality and speed of response. Existing internal security situation challenging, political instability (including likelihood of important displacement of people)	Single country and or localised crisis with no regional dimension. Less than 250.000 people affected The level of destruction of infrastructure does not affect the quality and speed of response. Political and security context allows to undertake response (including likelihood of displacement of people)
Capacity and willingness of Government/local authorities and partners concerned to face/address the crisis	Very low existing capacity or willingness to respond at Governmental level resulting in a. delay in the declaration of the emergency, b. humanitarian coordination is lead by UN c. difficulties in free access to population d. constraints in working on the advocacy and policy strategy	Government/national authorities have limited/ moderate capacity or willingness to cope a. with it resulting in: b. delay of declaration of the emergency c. weak coordination of humanitarian actors d. advocacy and policy strategy and	Government show interest and and/or capacity to respond and coordinate the response of other agencies resulting in: a. good coordination of the humanitarian response b. government and civil society are participating in the response c. advocacy and policy strategy are easily worked out and lessons learned

	e. civil society work is hampered and civil society may be threatened. f. Government is not cooperating in easing import and visa procedures g. They maybe limitation in nationalities and profiles allowed to access and work in the country	message have to be treated with a moderate level of caution e. civil society is not fully empowered f. Entry Visa or migration procedures are eased up by government authorities in the emergency phase	interiorized. d. Immigration and import formalities are not an issue and Government put in place special procedures during the emergency phase
Accessibility to areas affected (security & logistics)	Security Phase 4 or 5 Serious movement restrictions due to security or logistics implications. Logistics and security are requiring a high level of resources and dedicated people. Humanitarian goods have to be imported and delivery to affected population has to be done in difficult security and logistics conditions.	Security Phase 3-4 Moderate movement restrictions due to security or logistics implications. . Logistics and security are requiring a moderate level of resources and dedicated people. Humanitarian goods have partly to be imported and delivery to affected population has to be done in moderately difficult security and logistics conditions	No security limitations There is no movement restrictions due to security implications. Humanitarian goods can be acquired locally and delivery to affected population is not a major constraint.
Management requirements considerations	Humanitarian response requires heavy deployment of extra humanitarian staff (> 50 people). OI rooster is required. Unavailability of basic commodities High number of Oxfam affiliates involved (> 3 implementing and > 3 contributing)	Humanitarian response requires moderate (<50 people) deployment of extra humanitarian staff form region and HQ. OI rooster may be required. Response requires a good level of coordination with different local NGO. Moderate number of Oxfam affiliates involved (<3 implementing and < 3 contributing)	Humanitarian response can be delivered by national NGO, OI humanitarian staff already present in country and does not require deployment of extra humanitarian staff from HQ. Low number of Oxfam affiliate involved (MA and implementing already in country)

Public impact of the crisis	Crisis is highly politically sensitive and is likely to trigger geo-political implications Extra media at country, cross- cutting and regional level are needed and must be resourced; signed off process maybe is multi-country and multi-affiliate. It is a forgotten crisis, difficult to raise public interest which will require a lot of energies on the communication level. It is a highly mediatised crisis which will require energy and a good level of bottom-up efforts. It is highly mediatised crises with high level of inter affiliate and external accountability on accomplishment of standards and financial requirements. Humanitarian response require a high volume of financial resources and joint Oxfam efforts are needed (> 20.000.000 USD) in the first 6 months Humanitarian response requires a high volume of funds available and spendable in the first weeks.	Crisis is politically sensitive and may trigger geo-political implications Extra media at country, cross- cutting and regional level are needed and must be resourced. It is a forgotten crisis, difficult to raise public interest which will require a lot of energies on the communication level It is a highly mediatised crisis which will require energy and a good level of bottom-up efforts. It is highly mediatised crises with medium level of inter affiliate and external accountability on accomplishment of standards and financial requirements. Humanitarian response require a medium volume of financial resources and joint Oxfam efforts are needed.(< 20.000.000 USD) Humanitarian response requires a medium volume of funds available and spendable in the first weeks.	Communication lines on the crisis do not represent a politically sensitive matter. Media activities may be dealt by the country office by existing personnel It may be a forgotten crisis where it may be difficult to raise public interest It is not a mediatised externally crisis which does not require exceptional level of inter affiliate accountability. Humanitarian response financial need in the first weeks can be managed regionally or in country and were foreseen in the Oxfam contingency plan and MA affiliate cat fund.

Annex H – Oxfam International Funding Grid

Oxfam International Funding Grid

Please note that a new Funding Grid Format is being developed by the Institutional Funders Group. It has recently been tested in the Horn crisis, and it is expected that it will be included in the next updated version of the Humanitarian Dossier.

[See excel spread sheet attached]

Annex I – Partnership Policy Implementation Support Kit

Working with Partners in Humanitarian Response

Aim

To recognize diversity in partnerships and exchange approaches. To agree on ways of managing partnerships in Oxfam's humanitarian work (relationships, accountability, both to partners and to each other) while remaining collectively responsible for Oxfam's reputation, quality and standards.

Process

Humanitarian Consortium Management Group (HCGG) adopted the Policy for Working with Partners in Humanitarian Response (the Partnership Policy). Country Leadership Teams (CLTs) lead on policy implementation through a series of conversations in which they will define how best to implement the Partnership Policy in their context.

This will be a 'rolling process' (i.e. CLTs individually and Oxfam collectively will learn from each response and revise its partnership strategies based on lessons learned from practice). Implementation of Partnership Policy through country partnership strategies is a part of Contingency Planning process, not a separate process.

CONTENTS

Do not force engagement

Decision to work with partners = shared and institutional decision

Critical point 2: Engagement and withdrawal strategies

Relationship preparedness is key

Get to know each other

Communication and respect for basic partnership principles

Systems for communication and accountability

Withdrawal

Multiple Oxfam relationships

Critical Point 3: Assessment of capacity and identification of gaps

Recognize existing capacity

Identify transferable soft skills for different roles

Be aware of dilemmas for development partners

Identify operational response capacity

'Do no harm' in partner relationships

Humanitarian programming with the 'big P'

Oxfam capacity to deal with partners in response

Critical Point 4: Build humanitarian capacity

Funding

Learning by doing

Training

Accompaniment, mentoring & monitoring

Secondments

Build specialist technical skills

Developing consortiums for advocacy and learning

Engaging and developing local capacity building resource

Oxfam budget for humanitarian capacity building and set targets

Critical Point 5: Environment and Contextual Understanding

Type and Scale of Emergency; impact on methods of working

Security

The amount of funding available: preparedness for high profile emergencies

Protecting human resources

Partners have more relations

Oxfam Understanding the context is key

Critical Point 6: Promoting the role of the partner within Oxfam and externally?

Promote partners' ideas

Documentation

Contingency Planning

Co-Branding

Cross program learning

Critical point 7: Learning loops / learning about partnerships

Support to Partner Evaluations

Real Time Evaluations (RTEs)

Review of Oxfam partners and partnership work

Partner satisfaction survey

Peer review of partnership in crisis-related interventions

Oxfam learning from each response as a 'Rolling Process'

Section 4: Annotated Bibliography of Tools

Annexes

Annex 1 Oxfam Policy on Working with Partners in Humanitarian Responses

Annex 2 Articles 1 and 2 of the OI Working Principles

Annex 3 Article V of the Contract for OI Humanitarian Action

Annex 4 Article 6 of Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief

Annex 5 List of Abbreviations

Oxfam has a great deal of experience working with partners in both its development work and humanitarian responses and is committed to working with partners in both these areas. A policy framework has been developed and formalized in the *OI Policy on Working with Partners in Humanitarian Response*[87] (Partnership Policy).

[87] Annex 1, and in Humanitarian Dossier Section 1.8.

Following the adoption of the Partnership Policy, the Emergency Managers Network (EMN) was mandated with the development of a plan for implementation of the policy. After a period of consultation with Country Leadership Teams (CLTs) and the field, the EMN has determined that humanitarian partnerships are highly contextual and that implementation of the Partnership Policy should be housed and lead by the CLTs. In order to support them in doing so EMN developed this Partnership Policy Implementation Support Kit (PPISK).

PPISK is a series of examples, tools, guides and other resources which should assist CLTs in developing country specific strategies for implementation of the Partnership Policy. In any Oxfam's humanitarian response there is a range of partnerships operating in unison. The elements of the PPISK reflect the variety of humanitarian partnership models and approaches between the affiliates and countries. This diversity is an asset that Oxfam wants to build on.

Although PPISK was designed with CLTs in mind, working with partners requires the commitment and support from all sections of the affiliates. The Oxfam Partnership Policy is mandatory and will have to be applied in Oxfam's humanitarian work globally — it is hoped that the PPISK will support the implementation and adaptation of the partnership policy. PPISK is based on current practice on the ground and builds on and refers to examples and cases from Oxfam's experience — not as 'the best practice' but as illustrations of practice — collected from within and outside Oxfam. [88]

PPISK is organized into four sections. Section 1 is an introduction that lays out the policy principles and definitions that are common to Oxfam; it provides an overview of different types of partnership relations within Oxfam and explains the link with the Oxfam Contingency Planning process.

Section 2 is a Process Guide. It explains what stages/steps the CLT would/could follow in developing a country strategy for the implementation of the Partnership Policy and provides suggestion on how each of these steps could be undertaken. It includes a number of tips for those facilitating the process.

Section 3 is the longest section. It is divided into seven subsections, each one dealing with one of the seven critical points in the humanitarian partnerships. These seven areas have a fundamental impact on the direction the relationship will take from a given point and influence whether and how successfully a partnership in humanitarian response develops. The seven critical points were identified in the analysis of current Oxfam practices, but are not exclusive and CLTs are invited to add to it if there is a gap around a specific context. Critical points are not listed in order of importance and are not in chronological order.

Section 4 is a list of tools that are currently used by different Oxfams in their partnerships in the field. It does not contain tools themselves; rather an annotated list that should help people in the field to find the right tool for their context/situation. The tools offered are suggestions and are linked to critical points from Section 3 for easy reference.

Section 1: Introduction

This section lays out the policy principles and definitions that are common to Oxfam; it provides an overview of different types of partnership relations within Oxfam and explains the link with the Oxfam Contingency Planning process.

Oxfam's Commitment to Working with Partners

[88] Through questionnaires with partners and Oxfam staff and review of lessons for practice and discussions with all affiliates. References for all resource materials/products are in Annex 6.

Working with partners in humanitarian responses starts with an organizational commitment and ways of working that facilitate partnerships while keeping the immediate and long-term humanitarian mandate in focus:[89]

Oxfam is a signatory of the ICRC and NGO Code of Conduct as well as other codes and standards and "Oxfam will not compromise the fulfillment of these codes, either when it works with partners or directly[90]" and Oxfam is still accountable to the people it works for and its donors. Any changes made when working with partners must still remain informed by these principles.

Oxfam recognizes as a fundamental principle that wherever possible it should work with partners. This applies to all kinds of programs, including humanitarian ones. Despite this commitment of working with partners, Oxfam is still not responding adequately to humanitarian crises with partners. Working with partners in humanitarian response implies a deliberate act of investing and promoting the capacity of those partners that are able and willing to work within the Oxfam humanitarian framework.

(OI Policy on Working with Partners in Humanitarian Response)

Definition of a Partner

In any response Oxfam affiliates can work with a variety of partners: from small local organizations to United Nations organizations and large national organizations with greater resources than the Oxfam affiliate has. Partnerships with local governments or private sector organizations also exist. For the purpose of this paper an Oxfam partner are *likeminded autonomous organizations that share core values with Oxfam that co-work in common areas of interest and that have an agreement with Oxfam affiliates that ties accountability and performance to the existing relationship91.* Most of the examples and tools in this document refer to partnerships with local NGOs and community based organizations (CBOs).

Diversity in Approaches between Oxfam Affiliates

OI Working Principles, Contract for OI Humanitarian Action and OI Partnership Policy all clearly state that Oxfam will *"whenever possible work with and through local and accountable organizations"*. Oxfam also says that *"All humanitarian responses carried out by any Oxfam are joint Oxfam responses"*[92] and outlines the ways of coordination and collaboration between Oxfam affiliates in the Humanitarian Dossier. At the same time as these collective commitments are made, Oxfam recognizes that different affiliates have their own history, priorities and approaches. This includes different approaches to partnerships ranging from being fully operational to fully partner-led.

Differences in approaches to partnership have lead to frequent debates between affiliates. These debates have two sides or driving forces: on one side an argument for agencies being operational and promoting the 'humanitarian imperative', to provide the best services and save lives quickly by using expert and international staff. On the other side an argument for more strategic investment in core partners, promoting longer term capacity building, slowing down and letting partners lead responses, with support. In many cases local organizations are also best placed to save lives in the

[89] From: Oxfam International Working Principle nr. 1: "Oxfam at all times works through local and accountable organizations and/or towards strengthening or facilitating the establishment of such organizations or structures", Humanitarian Dossier Section 1.2
[90] From: OI policy for working with partners in humanitarian response, 2007
[91] Ibid
[92] Basic Agreement on Oxfam Humanitarian Response, Humanitarian Dossier

early stages of the emergency. Both sides of the debate are valid and important and need to be discussed.

Tool 1.1: Forcefield Analysis

Diversity in Humanitarian Partnerships

In any one humanitarian response, there may be a variety of partnership working models. Broadly, partnerships could be divided into the following categories:

- Partner-driven model wherein the affiliate programs are determined by the partner based on proposals submitted by them.
- Consultative driven model wherein the affiliate consults the partner through which proposals are formulated.
- Sub-contract driven model wherein the Oxfam formulates the project and identifies a suitable partner for implementation.

However, there are various ways of organizing and capturing differences in modes of operation most common to different Oxfam affiliates. Articulating the different levels of engagement of affiliates in partnership, and clarifying the language used to communicate these, is a basic but ***essential step to Oxfam co-ordination***.

Tools 1.2 and 1.3 present different ways of organizing and capturing these different models. More exist or can be developed.

Government and Private Sector Partnerships

Box 1 above refers to Oxfam partnerships with national NGOs but Oxfam also engages with local, regional and national governments, private sector, and multilateral donors such as UN agencies. The Oxfam confederation also promotes and is continuously developing these relationships. *"Ultimately, developing a broader base of potential humanitarian actors relieves less-enthusiastic development partners but also focuses attention on the western model of national, sustainable humanitarian response: the central role of government, military, police, emergency services and private sector sub-contractors — not of NGOs — to respond in an emergency",* (OI review of Humanitarian Partnership). These partnerships include:

Private partnerships

In many ways these partnerships have the same requirements, such as a two-way dialogue, establishment of Memorandum of Understanding (MoU) prior to an emergency and not just when an emergency occurs; having an exit strategy for sustainability of projects, skills, markets etc that the partnership has impacted on; accountable to all stakeholders and beneficiaries; coordination, etc. There are a number of different mechanisms such as secondments, work on appropriate technology and joint (pilot) project implementation.

Examples:

- During the Tsunami OGB was offered services such as free charters, and goods such as bottled water in response to the disaster.
- ON engaged with Interpolis, who has been working on micro-insurance programs in India and who have also funded reconstruction work.
- Oxfam and other NGOs use *pro bono* services

(OI Policy Compendium Note, November 2007)

Government partnerships

Government is already a core partner of many Oxfam country programs, and in some programs a strategic partner for capacity development. National governmental systems may be a better long term home for emergency preparedness and response capacity. More should be done to assess the capacity of local and national government to respond, and to assess the potential to work with them in organizational strengthening: everything from early warning systems to links to the military and police response capacity.

Partnerships with multilateral organizations, i.e. UN agencies

Oxfam has worked in partnership with UN agencies in the humanitarian context for many years and will continue to do so, playing an ever stronger role such as representation in the UN cluster system and being a pivotal link between CBOs, and good aid provision.

It is important to note that although the above partnerships are important and need to be presented; the main focus of this support kit is NGOs and CBOs.

Link to the Oxfam Contingency Planning Process

While inclusion of partners into preparedness, response and withdrawal strategies of the affiliates needs to be shaped by the affiliates, this should be coordinated and reflected in the Oxfam Contingency Plan, the Oxfam Strategy documents, the Situation Reports, monitoring and evaluation activities, etc.

The Oxfam contingency planning process is a good entry point for CLTs in the development of country partnership strategies. It already includes analysis of (necessary) capacities of the Oxfams in country, existing partners and (potential) ones. Furthermore Contingency plans define how to enhance capacities as a preparedness measure of Oxfam and its partners. The contingency planning process provides opportunities to define roles, responsibilities, withdrawal strategy, etc. Following the Contingency Planning Cycle (regular updates and simulations)[93] new partnerships can be identified as risk and vulnerability analysis changes. Therefore, development of an Oxfam partner strategy should ideally be ***closely linked to Oxfam Contingency Plans*** and broader in-country preparedness strategies.

Section 2: Process Guide

This process guide explains what stages/steps an CLT should follow in developing the country strategy for implementation of the Partnership Policy. It is meant to help CLTs think through the stages/steps and it provides suggestion on how each of these steps could be undertaken in implementing the policy. It is assumed that the CLT have worked with the humanitarian dossier and have a clear understanding of Oxfam ways of working.

Country Leadership Teams (CLT) will lead on policy implementation through a series of conversations in which they will define how best to implement the Partnership Policy in their context. These conversations and the process through which CLT will go through are very important: they represent opportunities for CLTs to discuss and agree how they want to implement the policy to be appropriate and sensitive to the context in which they operate, all the while respecting the OI agreements and policies.

The process of developing country partnership strategies and implementing the partnership policy will be a ‘rolling process’. CLTs individually and Oxfam collectively will learn from each response

[93] Oxfam Contingency Planning Guidelines, Humanitarian Dossier Section 5.4.

and revise its partnership strategies based on lessons learned from practice and consultations with partners.

Implementation of Partnership Policy through country partnership strategies is a part of Contingency Planning process, not a separate process. Even when partnership discussions are undertaken separate from the CP process, they will build on CP process and supplement it.

Results

A joint Oxfam country partnership strategy which will help guide Oxfams in the country in improving preparedness and response of both Oxfam and partners, strengthening the relationships with and accountability to partners and to each other while remaining collectively responsible for Oxfam reputation, quality and standards. This includes:

- Overview of current and potential humanitarian partners according to the mode of operation; their sector and geographical coverage; humanitarian capacity (scale), experience, strengths as well as the areas that need building up. This information should ideally already be available from the Oxfam Contingency Plan.
- Shared awareness and understanding of diverse partnership approaches existing across CLT affiliates in the country context. Including philosophy behind each of the approaches (why?), advantages and disadvantages of each approach.
- Shared awareness of current practice in the country among affiliates, including which affiliate manages which partner; modes of operation (see Section 1), relevant humanitarian agreements made with partners, etc. and how these relate to the context.
- Shared understanding of ways in which affiliates' partnership approaches and practices can be complementary to each other in the context of Oxfam humanitarian Programming (with a big P).
- Agreed ways of implementing the Oxfam partnership policy in the country, respecting diversity but ensuring collective responsibility for Oxfam policy implementation.

Steps

1. Socializing the policy in the CLT and developing common understanding of the Oxfam Partnership Policy and its implications for the affiliates and partners in their context.
2. Committing to the policy and defining an implementation process.
3. Defining how best CLT collectively and the affiliates individually can implement/contribute to the implementation of the Partnership Policy in their context.
4. Agreeing on a strategy and a process for implementation of the policy. The agreed strategy becomes a part of the Oxfam Contingency Plan.
5. Strategy is implemented and ongoing reviews are undertaken to adjust the strategy if needed. The reviews can be undertaken at the time of the regular Contingency Plan reviews.

How

1. Socializing the policy in the CLT and developing common understanding of the Oxfam Partnership Policy and its implications for the affiliates and partners in their context.

Set aside an initial discussion period to socialize the policy. Setting aside time and determining the right time to have this discussion is important. In some countries initial discussion of Partnership Policy can be fully synchronized with the CP process (or CP review). In others cases, CLT may decide to separate the two processes (because the CP has already been completed, or because it is easier to organize shorter meeting, etc). Having a partnership discussion is an essential part of a preparedness process. *Section 1 of the PPISK can be used for this, next to the policy itself.*

2. Committing to the policy and defining an implementation process.

CLT meets to commit to the Oxfam policy on working with partners in humanitarian response. Although it is recognized that working with partners requires the commitment and support from all sections of the affiliates the CLT is central in making this work in their own specific context. The policy is mandatory and will have to be applied in Oxfam's humanitarian work globally. CLT should hold a process planning meeting to define an implementation process — following the initial discussion about the policy and its implications — to define how much time is needed, who will be involved, support etc. and/or request support from the EMN to clarify policy, support kits and tools either through advice or facilitated workshop.

3. Defining how best CLT collectively and the affiliates individually can implement/contribute to the implementation of the Partnership Policy in their context.

CLT holds (a series of) conversations in which CLT members define how best to implement the Partnership Policy in their context. This could include:

- Discussion on current situation and agreement on what forms of humanitarian partnership currently exist in their country (using information available in the Contingency plan).
- Review of experiences and results (as far as these are not collectively known).
- Working out the details of the country partnership strategy, including defining objectives, timelines, investments needed, etc., either as a separate document or as part of the Contingency Plan.

Sticking to the plan as defined in the process planning meeting is critical. Section 3 of the PPISK can be used for this: going over the "Critical points in partnerships" will help develop a country specific partnership strategy.

4. Agreeing on a strategy and a process for the implementation of the policy. The agreed strategy becomes a part of the Oxfam Contingency Plan

Once a common understanding of the different approaches to partnership is reached, combined with the understanding of capacities and commitments, the CLT collectively and each Oxfam individually in the country should come up with the broad agreement on implementing the partnership policy should be reached.

5. Strategy is implemented and ongoing reviews are undertaken to adjust the strategy if needed. The reviews can be undertaken at the time of the regular Contingency Plan reviews.

The CLT is collectively responsible for implementing the strategy. Progress should be monitored and reviewed on a regular basis. Adjustments to the strategy should be done based on those reviews annually.

Facilitation Tips

Suggestions for socializing the policy discussion:

A two hour workshop (as a two hour slot at the CLT meeting or a separate two hour meeting) in which the policy will be discussed and understood. The policy should be shared in advance of the meeting and through presentation or brainstorming at the beginning of the meeting. The CLT could be divided into smaller groups for discussion around how the policy fits the specific CLT and what its implications for its work are. Small groups can report back for a plenary discussion from which agreement and common understanding of the policy and its implications are reached.

Tool 2.1: Partnership Policy Discussion PowerPoint Presentation

Suggestions for understanding diversity in approaches and types of partnerships

A two hour workshop. Share examples of approaches (see introduction) and discuss in small groups to bring out experiences from each of the affiliates and members. This exercise is not to judge the examples of approaches but to provide ideas of types and categories of humanitarian partnerships and develop shared understanding.

Suggestions for conversations in which the CLT will define how best to implement the Partnership Policy in their context using critical points: Allocate separate time for serious discussion on each critical point, in some cases an external facilitator could be useful. Some discussions on critical points could include partners but before this is undertaken the CLT should review the points internally. Articulated clearly at the end of discussions about each of the Critical Points would be points of agreement, points of disagreement and action points.

Suggestions for discussing ways of managing partnerships in Oxfam humanitarian work

On the basis of the two steps above (common understanding of partner approaches and types of partnerships, and exchange of views, tools and methods used in managing partnerships) it should be possible to agree on ways of implementing the Oxfam policy, respecting diversity but ensuring collective responsibility for Oxfam policy implementation.

If using external facilitators they should be acquainted with Oxfam International dynamics and humanitarian action. It would also be recommended that facilitators communicate with at least one of the members of the EMN Core Group.

As stated earlier, this is expected to be a ‘rolling process’. In order for CLTs individually and Oxfam collectively to learn and improve its partnership strategies and humanitarian work in general, CLTs are asked to provide feedback on the PPISK, the process, individual tools and their work with partners. For that a Feedback Form has been developed and is included here as one of the tools.

Tool 2.2: PPISK Feedback Form

Section 3: Critical Points

Critical Point 1: Decision to work with partners in humanitarian response

The starting point for working with partners in humanitarian responses requires an organizational commitment and ways of working that facilitate partnerships while keeping immediate and long-term humanitarian mandates in focus.

Identify potential humanitarian partners

Identification of partners who have the potential to be strong humanitarian actors in the most vulnerable regions of the world is a critical first step. Most affiliates work with the existing partner network (often linked to CP) but partnerships are also started during a response. Partnerships and alliances with local partners are developed:

- Through development partnerships

- At different stages of the cycle (in contingency planning, early warning, in Disaster and Risk Reduction (DRR), preparedness, response, rehabilitation, M&E, etc.)
- For different purposes within the Oxfam humanitarian program (including information, program, media and advocacy)
- To bring in expertise and capacity in various areas (e.g. women leadership, refugees, children, accountability, food security, IHL, etc.)

Recognize risk and opportunities

There were different ways in which affiliates developed partnerships at the time of the Tsunami:

- using existing development partners (with or without reassessment)
- transferring partnerships from one country to another, using large scale partners such as BRAC that have been Oxfam partners in a different country
- adopting partners from another exiting affiliate (see below for comments on complications caused by the lack of harmonization between affiliates)
- assessing and selecting new partners in country.

(Tsunami Partners and Partnership Evaluation, 2008.)

Considering the potential role partners can play now and in the future requires understanding opportunities, resources and risks and finding ways to maximize the opportunities and manage the risks. Some of the skills and capacities can turn out to be both risks as well as opportunities in emergency response. Below are some examples from the Oxfam Partnership Survey:

Opportunities

- presence in area before, during and after
- partners know the area, culture, language and have strong links with communities and local authorities in place
- development partners have ‘transferable skills’ which are key to humanitarian response as well
- partners can be flexible enough to shift gears to a humanitarian response
- access to areas difficult to reach for international staff.

(Oxfam Survey, 2007)

Risks

- development partners not always operating in risk areas
- commitment to constituency/membership can compromise impartiality
- general weaknesses (e.g. financial management) will impact emergency operation
- partners have little experience with humanitarian standards and operations
- partners put their own staff at risk in insecure areas
- lack of appreciation of urgency / may not have ability to adjust ways of working between perfect participatory approach and need for speed, even if not perfect. This is also a problem within Oxfam.

Tool 1.1: Forcefield analysis

Tool 3.1.1: Appraising risks and opportunities

Shared commitment to the humanitarian quality framework

Oxfam aspires to deliver humanitarian response according to humanitarian standards and this applies equally to its partners[94]. By using external standards such as the code of conduct both Oxfam and the partner have a mutual benchmark to adhere to. This can remove the perception that Oxfam is imposing its own needs. Some partners have signed up to the Code of Conduct (see IFRC signatories list), others promote Sphere standards themselves.

Accountability to beneficiaries is one of the keys to a good humanitarian program for Oxfam. In most cases partners that have deep rooted and long established relationships with communities by their nature, and often exhibit a high degree of accountability.

Oxfam in Zimbabwe requires partners to sign a contract not only with Oxfam but also with representatives of the beneficiary groups, in addition to usual contract conditions such as partners having to be legally registered according to the countries legal system and frameworks. *(Oxfam Survey, 2007)*
It was noted by partners in the Tsunami response in India that risk assessment of individual partners is highly inconsistent across affiliates and is not conducted on a regular basis and "needs to be standardized". "…yet another Oxfam affiliate in India went about forging the maximum number of partnerships and then, as viewed by partners, abruptly withdrew by handing over these partners to other Oxfam affiliates. Since accountability procedures largely vary from affiliate to affiliate, some of these partnerships were terminated ostensibly for lack of accountability. Ironically, some of these were the very same partners prominently profiled in various Oxfam Tsunami reports as successful livelihood stories! Risk assessments in Oxfam appear to be not carried out or needs to be strengthened; and above all standardized." *(Tsunami Livelihoods Evaluation Report, 2008)*

Working with such organizations can be a key deciding factor for quality of delivery, impact and sustainability and a partner whose structures facilitate communities' rights to information can improve accountability of Oxfam's humanitarian programs. Partners' value systems and ways of working are crucial for accountability assurance and it is advisable to design and implement accountability assessments every two years or so.

Tool 3.1.2: Using quality standards in tools and procedures

Tool 3.1.3: MANGO Accountability to Beneficiaries Practical Checklist

For Oxfam, ensuring that gender is mainstreamed throughout an emergency response is essential to the quality of a humanitarian program. While Oxfam has systems in place to ensure the selection criteria of partners includes gender issues, due to staff capacity, available partners and the pressure to implement programs, such criteria are not always adhered to.

Tool 3.1.4: Oxfam Non-negotiable Standards for gender in emergencies

[94] Oxfam Humanitarian Framework (Codes & Standards): Red Cross Code of Conduct, HAP-I, Sphere, People in Aid, Code Against Sexual Exploitation, Humanitarian Dossier, Section 1.4.

Do not force engagement

Partners should feel free to make autonomous decisions on their engagement (or not) in emergency response. Fundamentally it's important to ensure that the partner is not being forced to work with Oxfam in a humanitarian response. Partners may feel morally obliged to work with Oxfam, because Oxfam has funded them in development work. They may feel that they will not gain future funding if they do not help the emergency response. Some partners want to 'please the donor' and say "yes" to all requests, perhaps because of cultural norms.

Forced contracts create an immediate hierarchical relationship and can be detrimental to the capacity and ability of the organization. Open discussions with the partner during the initial engagement phase about their fears, concerns and expectations are crucial and more should be done to help partners clarify and communicate their preferred terms of engagement, if any, during preparedness and contingency planning. This would best be done prior to an emergency if possible, please see critical point two to further expand on this.

Tool 3.1.5: Four steps to consultative contracting

Decision to work with partners = a shared and institutional decision

It is necessary to develop a shared definition, goals and a strategy for working with partners in humanitarian response for the whole organization. When a separate unit is created to deal with partnerships and the organization as a whole does not feel involved or does not feel it needs to be responsible, there is a breakdown and it cannot work. Also in shared responsibility; affiliates need to let partners know that they consider this to be a *partnership* and Oxfam also has a responsibility and ownership of the process and outcomes and is not just a donor.

> When a new Oxfam partner in Bihar, India were asked to respond to the 2007 floods they agreed. They did it out of a sense of obligation and thinking that this was a prerequisite for receiving subsequent funding for a long term program as opposed to a genuine commitment and/or competence in this area of work.
>
> *(OI Partnership Review, 2008)*

Critical Point 2: Engagement and withdrawal strategies

The initial engagement between Oxfam and partners with regard to humanitarian work could define the rest of the working relationship and thus it is crucial for both parties to be clear about expectations, capacity, ways of working and other aspects that define both organizations and how they operate. It is important to consider certain engagement strategies that may eliminate tensions, misunderstanding and false expectations later in the partnership. A clearly defined exit strategy

> "There was a lack of appreciation on the value of partnerships during the humanitarian operations from some sectors within Oxfam. All this was further aggravated by the rapid turnover of staff which did not help in the process of building trust, confidence and relationship with partners and in the process of advocating for the value of partnership within Oxfam."
>
> *(Oxfam Survey, 2007)*

should also be discussed from the outset.

Relationship preparedness is key

Clarity of expectations and procedures, as well as roles, responsibilities and decision-making structures are keys. Ultimately, making a partnership work in an emergency is about preparing for all these issues during preparedness and contingency planning with partners. Such as:

- Analysis with current development partners on how needs, relationships and contracts might change in a crisis response.
- Must consider back donor requirements which can be more demanding in humanitarian response.
- Must consider accountability, M&E and reporting requirements
- If new partners are identified specifically for emergency work, ways of working should also be discussed in the preparation stage.

In the actual haste of an emergency there is often no time for complex and lengthy discussions. These discussions could also from the basis of understanding where partners may have more or less capacity and where they would require additional support. (See critical point 3, Assessment of partner's capacity.)

Get to know each other

Both Oxfam and the partner need to take some time in learning about the others ways of working to develop a mutual understanding and respect from the beginning of the relationship. This can include open discussions on mandates and mission, experience and management styles, expectations of each other and expectation others have on the partner (communities, authorities) and others have on Oxfam (back donor reporting, public information).

> The value of pre-established relationships and investment in preparedness is self evident. In the Pakistan earthquake response Oxfam implemented through partners as a fundamental feature of its overall strategy for engagement in Pakistan. The evaluation team formed a view that the success of partnerships in emergency response is a function of the quality of prior engagement. It is also plausible that the start-up of an emergency operation may be more efficient when partners have previously established modes of operation. Oxfam Novib had worked with local partners for many years prior to the earthquake.
>
> *(Caer Cluster evaluation, 2006)*

Attendance by the partner to Oxfam meetings and vice versa, visiting each other's projects can be part of this process. To make this a two way interaction partners could also offer initial training for Oxfam staff in areas of cultural awareness and local knowledge especially in regional or area-specific disaster preparedness work and practices of the communities where the partner works. (Oxfam should not make the assumption that they will know more than the partner).

It is also very important that there is trust and relationships built between partners (peer to peer) rather than just vertically to Oxfam if the idea of a partner led approach and capacity building for in-country response is going to be successful.

Tools 3.2.1, 3.2.2 and 3.2.3: Affiliate partner appraisal forms examples

Tool 3.2.4: Oxfam Capacity Appraisal Tool

Communication and respect for basic partnership principles

Respectful, two-way communication and support is a key issue, maybe more so in the haste of an emergency. The interface between the Oxfam staff and partner staff is very important: how are people approached, what perceptions inform this, what intentions you have, etc.

Having a clear focal point, regular contact, little bureaucracy, clear procedures and "minimal paternalistic tendencies" are mentioned by partners as important aspects in the Oxfam Partnership Survey.

Systems for communication and accountability

From the outset, putting in place formal and inform mechanisms and systems for resolving issues, complaints and accountability will help deal with problems further down the line. If this is done jointly and early on then cultural and other issues that can occur during a crisis may be reduced.

Withdrawal

At the agreement phase of the program Oxfam should clearly define its procedures for closing down the operation and how they will end the contact with the partner. Oxfam can present a variety of scenarios such as ongoing partnership, intermittent commitment and total exit but should give no illusions that the partner will work with Oxfam. There needs to be certainty that the partner understands this and is comfortable with this before entering into the working agreement.

Where partners are involved in both humanitarian and development work, linking relief, rehabilitation and development should be easier but should be made more consciously.

> The establishment of a short term partner liaison position after the Jogya earthquake was very successful in defusing tensions and deciphering cultural perspectives from both parties amongst other important roles.
>
> *(Lessons for Practice, p.25)*

Multiple Oxfam relationships

Various partners work with more than one Oxfam at the same time and various Oxfam affiliates play different roles in this relationship. This can be confusing for partners as well as affiliates. It is important to be aware of the different approaches between affiliates and ensure clear communication towards the partner under a coordinated Oxfam framework (CP and Strategy Document[95] — see Humanitarian Dossier).

Tool 3.2.5: Oxfam coordination agreement

> Pre-implementation workshops with partners have been very successful in conveying how Oxfam operates and what closure and disengagement between Oxfam and the partners could look like.
>
> *(Oxfam Survey, 2007)*

[95] Oxfam Strategy Templates, Annex D to the Humanitarian Dossier.

Example 1: "We had no withdrawal strategy which caused problems at closure (people wanted to take items like baths from the camp). "Unannounced early pull-out of Oxfam created huge problems for the partners for years to come: accountability to beneficiaries, salary commitment, contracts with suppliers, etc., until long after Oxfam had left. "In the project design it was foreseen that other actors would engage these communities in livelihood activities and continue after withdrawal of the project. This faced challenges". **Example 2**: "We support our partner to respond, but also to address food security problems in communities in a sustainable way through the regular program". *(OI Partnership Review, 2008)*
A big Oxfam development partner in Niger used to submit a proposal according to their own criteria, and then manage the money and the response directly with a final evaluation and an audit (for various donors). During an emergency response the partner worked with another Oxfam who used a more hands-on approach. Starting from a joint assessment Oxfam developed a program. The partner quotes: "This brought in valuable learning but also tension as we felt Oxfam saw us as a small service provider — providing volunteers to them — and we could not retain anything at the strategic level as just the volunteers benefitted. This did not reinforce the local organization nor help to change the idea that humanitarian interventions are just something handled by Northern agencies and local organizations are just a support. This is not giving a good impression of local civil society". *(Oxfam Partnership Review, 2008)*
Affiliates use different criteria and standards for selecting partners. There may be some value in undertaking a review and developing a 'recommended set of criteria' for each type of partnership as well as size of partners (e.g. small CBOs vs. international NGOs) that can be used as reference by affiliates. *(Tsunami evaluation Partner and Partnerships Review, 2008)*

Critical Point 3: Assessment of capacity and identification of gaps

In the Oxfam partners' network there is a huge variety in size, outreach, mandate and capacity of partners.

Recognize existing capacity

The first step would be to monitor measure and evaluate the resources already existing in the partner and what has been invested in different types of capacity building. Many examples of tools to assess this exist and have been used throughout Oxfam.

> The purpose of Oxfam's contingency plans is to agree on co-ordination mechanisms for a quick, effective and appropriate Oxfam response during humanitarian crisis. However, the Contingency Planning (CP) process is also at the heart of planning and building relationships with partners, identifying roles and implications for capacity.
>
> (*Oxfam Humanitarian Dossier)*

Transparency and clarity about assessments and observations is a key principle of partnership. Oxfam has done this through: joint assessment (Oxfam and partner); self-assessment by partners, discussing the conclusions; peer reviewing and learning; and engaging consultants. The Contingency Planning process current main process involves partners in capacity assessments.

Identify transferable soft skills for different roles

Different partners will have different levels of interest and experience. For example, an advocacy partner may not want or have the capacity to deliver food or NFI in an emergency response but could, however, play a vital role in early warning, monitoring the situation and information gathering and dissemination. Other partners have engaged in DRR programs.

Contingency planning should help identify where there are transferable soft skills, and how these can be used in different stages of an emergency response. These transferable skills provide a foundation for humanitarian capacity building and can help provide valuable 'readiness' and early capacity in a disaster response. These skills can be mainstreamed in DRR programs and basic organizational development for all Oxfam development partners.

> A women's organization in Guatemala had formed 'female brigades' as part of a mitigation program. These women were active in collecting information, co-ordination of food and non-food items and recovery.
>
> *(OI Partnership Review, 2008)*

Be aware of dilemmas for development partners

The majority of Oxfam partners are also implementing development programs. Similarly for Oxfam itself, the shift from development to humanitarian modes, principles and standards can be a challenge. This requires special attention in the partnership relations.

Identify operational response capacity

Speed, quality, and scale-up capacity are key to humanitarian response and to humanitarian capacity assessment. This requires a capacity for scale-up, logistics and hands-on emergency management skills according to humanitarian standards, or a capacity to access these through pre-established contracts, networks, 'personnel registers', and organizational contingency plans.

Tool 3.3.1: Different capacity assessment tools: look at Tools 3.2.1a, 3.2.1b, 3.2.1c and 3.2.1d

Tool 3.3.2: Partners Financial Standards

In the Oxfam survey partners mention some dilemmas with the Red Cross and NGO Code of Conduct (CoC):

- CoC is applicable to disasters, but when does that phase stop exactly? What does it do to rehabilitation and livelihood programs?
- CoC can be a challenge for membership organizations, they have to deal with going beyond members (sometimes around them) to reach most vulnerable. Adoption of the CoC requires full processes at all levels when decision-making is decentralized.
- CoC in practice on the ground: e.g. around engagement of the partner with the army in the relief phase.

(Oxfam Survey, 2007)

Tool 3.3.3: Partners Financial Health Check

'Do no harm' in partner relationships

During large scale emergencies and responses a fundamental problem is "how to spend money without overburdening local partners". In those cases local partners are expected to massively increase their capacities and the volume of funding they are expected to utilize. Ultimately this results in profound organizational pressures that small local partners cannot cope with and issues of financial mismanagement, corruption, poor program planning and staffing tensions increase.

Humanitarian programming with a 'big P'

Advocacy is an important part of Oxfam programming. Partners play an important role as citizens of their country to keep the government — mandated to protect and assist their citizens —accountable. Capacity to collect information, develop an advocacy strategy and voice concerns at the time of an emergency is a challenge for partners too. Promotion of advocacy skills and scale-up capacity is also an area of attention for partners.

Examples of partner involvement in advocacy:

- Various partners actively call for certain goods and delivery of programs. Through interagency coordination, disseminate best practices.
- Some partners have a strong advocacy role on behalf of a certain group or sector (e.g. pastoralists).
- Partners work together on raising awareness and skills of the government to develop Disaster Management (DM) policy and increase their skills and resources.
- Partners are also active on the advocacy front by sharing information with Oxfam (to push issues to a wider level).
- Partner's advocacy is not always part of the contractual relationship with Oxfam.

(Oxfam Survey, 2007)

Oxfam capacity to deal with partners in response

Moving towards a stronger partnership approach is not only about building a potential partnership. It also requires Oxfam to 'create the space' for partners and adopt its ways of working to it. This includes ways of working during rapid scale-up in response.

Much of the general (development and humanitarian) partnership literature calls on agencies to become less 'transactional' and more 'transformational' in their relationships with partners. A partnership should be more about growing empowering relationships than about transferring funds.

Two suggestions from the Oxfam review:

- Improve the interface with partners (briefing short term staff, engage culturally sensitive staff, ensure background on context and partnerships, etc.)
- National staff know the existing partner network which is an important basis and starting point for humanitarian experts that might be flown in.

(Oxfam Partnership Review, 2008)

During the Tsunami response, pressure on partners to increase their capacities and the volume of funding utilized was extreme. The concept of 'do no harm' in partner relationships had been most thoughtfully applied where scale up involved a realistic appraisal of the extent to which capacity can be increased, the support needed and the ability of the affiliate to satisfy these needs, and limits on the level of increased investment.

(Tsunami Livelihoods Evaluation Report, 2008)

Critical Point 4: Build humanitarian capacity

Working with partners in humanitarian responses implies a deliberate act of investing and promoting the capacity of those partners that are able and willing to work within the Oxfam humanitarian framework.

Most common areas in capacity building programs:

- Organizational/institutional capacity: project management, finances, human resources, etc.
- Emergency specific capacity: managing a humanitarian response, understanding humanitarian programming, codes, standards, accountability in emergencies, etc.
- Technical capacity: logistics, public health, shelter, cash relief, etc.
- Essential cross-cutting issues: gender in emergencies, HIV/AIDS, sexual exploitations, environmental issues, etc.
- Networking, communications and advocacy.
- Understanding Oxfam, its values, ideas and beliefs.

Capacity building is shaped by what Oxfam wants to achieve with the process. Depending on the partnering mode — and partners' existing capacity — different choices will be made from pure skills training to implement an Oxfam managed program, to trajectories aiming at developing autonomous preparedness and response capacity. The types of capacity that need building will depend on assessments and need to be tailor-made. Different Oxfam affiliates working with the same partners should coordinate training in order to avoid duplication.

Tool 3.4.1: Examples of Oxfam's experiences

Tool 3.4.2: IO Capacity Development Plan

Tool 3.4.3: OC Capacity Building Needs Assessment Tool

Humanitarian small grant programs provided an excellent opportunity for partners to learn by doing in Aceh. The relatively small amount of money and the involvement in non-critical (and non-operational) Oxfam areas means that monitoring and accountability pressures were much reduced. This provided a much healthier dynamic for partners to learn 'on-the-job' with minimal interference.

On the flip side it can also put Oxfam's name to poor quality projects when there are experienced engineers working close by.

(Oxfam Partnership Review, 2008)

Funding

Implementing emergency response and rehabilitation projects within itself build the capacity of partners. If continuous monitoring, feed-back and coaching is linked to implementation this will enhance the potential to build partners' capacity. Budgeting for this is important. This may require acceptance on Oxfam's part on the need to cover costs and resources (such as time). Humanitarian back donors are unlikely to accept more than a nominal capacity building component.

Learning by doing

There is an agreement among affiliates and partners that partnership is more about growing empowering relationships than about transferring funds. However, the importance of funding in time of emergencies cannot be underestimated. Everything related to funds is important: availability of funding, clarity of budgets, speed of transfers, accountability and financial management, expectations and reporting requirements, timelines — all can enhance or have negative influence on partnership.[96]

In one instance in India, the partner budget was prepared in third week of August. They received the money in second week of September. Technical staff had a small float of 5,000 Rps, but had to use their private money to buy diesel for the hired vehicle. The PO had to have Oxfam funds deposited into his private account; this placed the individual in a difficult position and may have caused tax issues. The partner described the situation as "damaging to the team spirit."

In Bangladesh capacity building of finance staff at partner level and placement of finance monitors with partners paid off — reports were on time, well prepared, supporting document available. The partner felt that skills which were learned benefited the organization at large.

(Oxfam Partnership Review, 2008)

Training

Training can act to raise initial awareness and to transfer classroom content. Debates, case studies and scenarios in training settings can also help explore issues. But Oxfam also realizes that capacity building means much more than simply training. As with any professional practice, real life experience will always be a premium. Different Oxfam affiliates working with the same partners should coordinate trainings in order to avoid duplications.

Oxfam requires that all Oxfam partners working on humanitarian responses be trained in Sphere Standards. Sphere standards training sessions that have been organized by Oxfam are frequently cited and valued examples by local staff and partners. In some cases the training is taken a step further: after receiving training DHAN in India decided to translate a summary of the Sphere Standards in Tamil and shared it with all its field offices. This was done in a number of countries.

Note: It is important that the training concentrates on the principles and approach part of Sphere and not just the indicators.

Accompaniment, mentoring and monitoring

Accompaniment as a concept has been part of the Oxfam's approach for many decades. It builds on the model of supportive mentoring rather than directive management. As humanitarian staff increasingly see their role to develop, support and facilitate that role becomes one of accompanier rather than director.

"Oxfam does not order, it challenges, keeps us on our toes, and encourages new ideas. It opens your eyes to new ways and you can decide to take them on board or not; it is like a mother–daughter relationship; it shows you the right way. It is a shepherd rather than a sheepdog trainer."

(Sidreh case study, Israel)

[96] This is particularly true for small partners who do not have organisational funds to cover start-up costs/ ON is used to working with partner who have sufficient funds to cover the first few months of a response. Where a bank transfer in Europe should take 3 working days, transfers to remote countries and remote banks take between 10 to 14 days, and in a Muslim country it may take even longer as they check it on hold to ensure terrorists are not being funded.

Oxfam is committed to paying special attention to gender and sees gender mainstreaming as essential to quality of its response. During the Tsunami response, the capacity of Oxfam's partners to mainstreaming gender was variable. Oxfam showed commitment to support their development and provided support in a range of ways. Gender training was held as standalone training, or included in broader partner training sessions in Sri Lanka, India, Aceh and Thailand. Specific gender forums were held with partners in India, Aceh and Sri Lanka, where learning and on-going strategies were developed. Feedback from both staff and partners was that gender training can't be isolated; it needs to be followed up with close mentoring and support.

(Tsunami Gender Evaluation, 2008)

Secondments

The Oxfam staff member, rather than visiting and supporting, becomes a member of staff in the partner organization, an additional resource able to informally transfer skills and attitudes that helps develop humanitarian capacity. Although this approach involves considerable risks (autonomy partner, ownership and long term impact) it has worked well.

Secondments can also work in reverse with partners' staff seconded to Oxfam. A secondment gives partner staff a hands-on experience of managing a major emergency among professionals from all around the world.

Tool 3.4.4: OI Secondment Guidelines

Build specialist technical skills

It is unlikely to be practical for local CSOs to develop specialist technical humanitarian skills unless disaster has become a regular occurrence. For some national organizations these kinds of capacities will be of interest. Options that have been used:

- Organizations receive basic technical training that enables them to work alongside and support more specialist technical staff brought in from elsewhere (specialist partners, Oxfam affiliates, registers linked to CP, other CP partners).
- Bigger organizations develop their own expertise in priority areas and sectors — partners should be discouraged from trying to become experts in all fields and geographical areas, which is a tendency, but encouraged to concentrate on core strengths.
- At country level Oxfam + partners can link up national partners as well as Oxfam resources together to develop into a network with trained staff, a register, etc. as part of the Oxfam Contingency Plan.
- Oxfam can link up to resources at regional and global level that can be brought in to work with or support partners in response.

In Pakistan the Oxfam Contingency Planning process included a series of trainings organized and hosted by the Oxfam partners building capacity and building a network of Oxfam CP partners. During the earthquake in 2005 all partners sent staff, and some also cars and stocks, to the earthquake response partner. Oxfam and partners are in the process of developing a register, joint advocacy strategies around district DM plans.

(Oxfam Survey, 2007)

Developing consortiums for advocacy and learning

Humanitarian learning groups provide an ideal opportunity for peer-to-peer networking and provide an 'action learning set' type mechanism for sharing real-life experiences. They also help develop a wider organization-to-organization network that can build the capacity and resilience of its members.

In El Salvador Oxfam affiliates took strong steps to build a network or partners and communities and involve them in awareness raising and joint advocacy in the aftermath of Hurricane Stan.

(Oxfam Survey, 2007)

In areas with very weak civil society, or where civil society has temporarily collapsed, this approach has been central to organizational development and has demonstrated the importance of focusing on individual talent as well as on organizations.

In East Timor key staff from crumbling NGOs were brought into the Oxfam office on short term contracts, supported and incubated, and eventually regrouped to form a new organization.

During Tsunami response, between January and July 2007, Oxfam seconded a staff member to the Badan Reintegrasi dan Rekonstruksi or the Reconstruction and Rehabilitation Agency for Aceh and Nias (BRR) to follow up on Oxfam's recommendations from the policy papers on *'Renters and Squatters in Tsunami-Affected Aceh, Indonesia.'*

The advantages of secondments for host organizations such as BRR included:

- Access to new expertise that may not otherwise be affordable;
- Provides the organization with extra labor;
- External perspective on the organization (new ideas and no preconceptions).

The advantages to the secondee, and therefore the affiliate were:

- Valuable experience for an individual which is not available from the employer;
- Opportunities for the employee to become more knowledgeable;
- Gaining information about the culture, methods and knowledge of other organizations.

Engaging and developing local capacity building resource

There is a large variety between countries in terms of available local capacities for training, consultancies and technical support that can be hired by partners or by Oxfam affiliates in support of partners' emergency response programs. In some countries this is readily available (India), in other it is very hard to find (Niger). Promotion of capacity for local consultants, support personnel and research is part of promoting local capacity.

Oxfam budget for humanitarian capacity building and set targets

Approval in budgets or separate budgets

Agree on basic principles/ indicators, for example:

- Set targets: % of funding going to partners in humanitarian response
- Include learning on partnership in ongoing processes and projects
- % of budget.

It is important to remember for many back-donors the reason they will fund an INGO rather than a local partner directly is generally because they expect to see greater monitoring and accountability, therefore budgets must also reflect sufficient Oxfam staff to be more than a clearing house for external funds.

Critical Point 5: Environment and contextual understanding

Contextual factors that could affect the partnership have to be taken into consideration from the beginning of the working relationship. The following issues were identified by Oxfam and its partners as potentially having a positive or negative influence on partnerships. This is not an exhaustive list; CLTs are encouraged to add on.

Type and Scale of Emergency: impact on method of working

Different types of emergencies may require a different type of response, different partnership relations and are likely to have different influences and impacts on partnership.

Whether an emergency is quick or slow onset, natural disaster or complex emergency, small or large scale has to be thought through and discussed with partners.

Security

Insecure and inaccessible areas of security concern are particularly challenging and require alternative ways of operating, monitoring and engaging. Oxfam affiliates often have more stringent security guidelines than the partners. This has an influence on the project but also on partners' staff.

Tool 3.5.1: Assessing conflict sensitivity of partners.

Tool 3.5.2: Guidelines for Monitoring and Evaluation in Limited Access Humanitarian Programs.

> Measure and grow spending on capacity building. Monitoring, measuring and evaluating the resources already invested in different types of capacity building are key.
>
> What we measure, we value, so advocacy to increase this proportion needs to begin with a clear method for understanding Oxfam and donor spend. It also needs to include a clear message to donors and the public about how future capacities can be ensured. Some have suggested that a proportion (20%?) of every emergency fund should be invested in building future resilience and partner capacity. This might act a good joint campaign to donors across the Oxfam family.
>
> *(Oxfam Partnership Review, 2008)*

Three members of Oxfam are currently engaged in Somalia: Novib, OGB and OC. All three are non-operational and work with a range of partners on the ground. The three decided in 2007 to have a joint implementation strategy, which uses a consortium approach of four to six partners. Capacity building of these partners has to be undertaken at a distance. Due to limited access of the Oxfam members, effective field support and monitoring was difficult therefore Oxfam encouraged the partners to participate in peer reviews and witness the delivery process of humanitarian work and give feedback. This feedback was also shared with Oxfam Novib. In addition, independent Somali monitors were contracted. This gave partners the space to maximize its capacities (or weaknesses). *(Oxfam Survey, 2007)*
The guidelines for M&E in limited access humanitarian programmes give suggestions how this can be done. This includes: decide on what minimum information is necessary; identify channels for communication; carry out risk analysis; work through existing traditional structures where necessary; decide with the partners and affected community; provide training; adapt existing tools, indicators etc. to the environment with partners and monitors; decide on feedback mechanisms; inform about and implement security guidelines (and compensation); factor in means for triangulation and cross-checking (Guidelines for M&E in Limited Access Humanitarian Programmes).

The amount of funding available; preparedness for high profile emergencies

High profile emergencies create particular challenges. The particular feature of high profile emergencies is the rapid increase in the number of international organizations in search of partners and staff. Even agencies not working with partners on a regular basis may start looking for partners. Partners have to deal with poaching their staff, ‘dumping’ money on weak organizations and start/stop contracting with little accountability measures in place.

This creates opportunities (diversify donor base, enlarge scale of program, reach more beneficiaries) but can also put the partners at risk (heavy reporting, complex management) and even put the Oxfam supported program at risk. Also well known partners can get overloaded and often do not scale up their organizational and support component to match program expansion.

High profile emergencies also create opportunities for collaboration around capacity building: Affiliates can take advantage of its global partnerships with INGOs and work with them on building capacity of local organizations. Pulling resources to pay for or organize joint training, simulation exercises, etc.

Protecting human resources

Poaching of the best staff during humanitarian crises is one of the greatest complaints of local organizations during large-scale emergencies. The influx of money and agencies, with the requirements for operational and management staff can lead to direct 'poaching' of staff which then

Bringing in specialist emergency staff into a highly sensitive environment without good understanding of context can cause all sorts of problems. Some suggested ways that can help reduce relationship risks and support capacity building:

- Partners and staff following the Lebanon crisis in July 2007 suggested that it would have been better if external team with knowledge of context and Arabic language was recruited to train local staff to support the intervention rather than manage the response.
- Partnership study conducted by Oxfam EMN in 2008 suggested that short generic briefing on working with partners in a particular context be produced and given to all external staff being deployed.
- Following tensions between Oxfam and partners in Indonesia during the Jogya earthquake response Partnership Bridging Unit was formed to help with some of the cultural differences between temporary emergency staff and local staff and partners.
- A similar experiment was the creation of the Partnership Liaison Unit in Aceh, Indonesia.

An AusAid assessment of four INGOs' responses to the Pakistan earthquake recognized Oxfam's greater investment in partners compared to other agencies, and the good returns to this approach.

As a prominent local NGO, SDF became a sought-after partner with INGOs. While SDF partnered with several, they acknowledged the need to exercise caution with developing too many linkages.

In addition, the massive influx of INGOs posed a risk in terms of staff retention. During the first week of Nov 2005, 10 key SDF staff resigned to go work for INGOs at three to four times the pay. In response, Oxfam took the remarkable step of supplementing the SDF payroll for six months to help stabilize the organization's human resource base.

(Oxfam Partnership Review, 2008)

has a detrimental effect on capacity of the partner organizations.

Partners have more relations

It is difficult to ensure that multi-donor partners differentiate what they are doing with which funding, creating problems in reporting. Strong self-aware partners not always keen to participate in Oxfam coordination and learning.

Oxfam's understanding the context is key

It is absolutely critical that Oxfam's staff understand and respect the context and culture of the environments they are working in. There have been countless cases where lack of understanding of context has had a negative impact on relationship with a partner and on Oxfam's ability to respond to the needs of affected populations. CLT should always consider how to reduce relationship risks and strengthen opportunities for capacity building.

It should not be assumed that only international staff lack cultural and contextual awareness. Staff from other parts of the affected country may also lack cultural sensitivity to the areas they are being deployed. Such instances have been noted in various responses.

Critical Point 6: Promoting the role of the partner within Oxfam and externally?

Promoting partners both within Oxfam and to the greater community is an important part of Oxfam's work as it strengthens the partner's legitimacy; opening greater funding opportunities, sustainability and knowledge sharing. By promoting partners' work Oxfam demonstrates its ideological commitment to working with and through partners. This can be done in a variety of ways.

Promote partners' ideas

Allow space and support for partners' program ideas which may involve taking risks but respect for the partners' contextual knowledge should be allowed. Many of Oxfam's successes in humanitarian work have involved new and innovative ideas and partners can be well placed to provide these.

Documentation

Successful innovations should be documented and promoted both inside Oxfam and externally. This increases legitimacy of partner in the eyes of Oxfam and other international agencies. Oxfam can support this through risk assessment, risk management and ongoing documentation of methodology and results.

Contingency Planning[97]

By including partners in the contingency planning process Oxfam will not only gain important knowledge but it could also be an important relationship building and capacity building exercise.

Co-Branding

On media releases during an emergency the partner should be mentioned (if safe to do so) and their logo should appear next to Oxfam's when possible; on internal Oxfam communication (in Sit Reps, on SUMUS) and reports; and on promotional materials such as t-shirts, logos of both Oxfam and partners should be displayed, if practical (i.e. if there are funds and time to do so).

In Somalia partners found participation in the Contingency Planning an important learning process, where they were working alongside multiple Oxfam affiliates. This helped build up relationships and trust in a country where Oxfam could not work directly.

(Oxfam Survey, 2007)

In Somalia during the 2006 drought Oxfam and partners undertook a highly successful cash transfer program in a very risky environment. External evaluations were published in international journals.

(Oxfam Survey, 2007)

Cross program learning

[97] For Oxfam CP cycle & guidelines: see Humanitarian Dossier, Section 5.4.

Providing the opportunity for partners to visit other programs related to what they are doing or expected to do. This would be particularly useful for partners with no or limited experience in Disaster Management as it would enable them to gain a realistic perspective and learn from each other.

Relative training (or secondments) in other regions or countries will also strengthen partner alliances as well as building knowledge.

Critical point 7: Learning loops / learning about partnerships

Oxfam International is committed to working with partners in humanitarian response and much of the experience around the various critical points has been gained across the affiliates. Although many lessons are learnt which could improve future practice these are often not captured in the monitoring and evaluation processes that, understandably, focus on results at the beneficiary level. There are, however, good examples of learning around the 'what and how' of partnerships which requires explicit attention to learning as well as creating space for partners to engage and bring their perspective to the fore.

Support to Partner Evaluations

Partners should have the opportunity to evaluate their own capacity and be self reflective post response. This includes reflection and feedback on the strength and weaknesses of Oxfam's response interaction with the partner. The evaluation of the partnership relationship will ensure that both partners and Oxfam are learning from the engagement and that it feeds into the Contingency Planning and preparedness actives to improve responses.

> Recently Oxfam Australia supported a visit by one of its partners from Mozambique to East Timor. The partners used the trip to share some of the experiences such as working with Oxfam and programmatic issues such as drought mitigation. It was very successful in that the East Timorese partners gained useful connections for their work and both parties gained a greater perspective of the Oxfam's partner work.
>
> *(Oxfam Survey, 2007)*

Real Time Evaluations (RTEs)

These are now seen as one of the most important tools for assessing and readdressing humanitarian programs in the initial phases of a response. The inclusion of partners involved with the response throughout the RTE process can be an excellent way to engage with partners to ensure that the partnership is strong and to address any arising issues, especially when the partnership with Oxfam is also explicitly reflected upon.

Tool 3.7.1: Oxfam RTE Guidelines

Tool 3.7.2: OGB RTE Guidelines

Tool 3.7.3: Examples of RTE reports

Including partners in the interview stage of the RTE promotes transparency between the affiliate and the partner as well as providing a greater sense of inclusion and accountability towards partners to comment on how the affiliate is responding to the crisis.

One of the stages of the RTE is the day of reflection where findings are presented and Oxfam can reflect on what the next course of action should be. Including partners in this phase can also be very constructive as the partners will be engaged in a plan of action for the next phase of the response and are included in discussions around the issues bought up during the evaluation.

During the RTE for the Cholera response in Zimbabwe, Oxfam's partners were participants in the interviews and at the day of reflection where they were very much added to the discussion. There were some issues with how Oxfam and partners were working but both were keen to resolve these and engaged very positively with each other. The RTE gave an opportunity to identify and resolve these issues early in the response and also provided partners an opportunity to have input into the next phase of the response by contributing to the action plan on the day of reflection.

(Zimbabwe Cholera Response RTE, 2009)

Review of Oxfam partners and partnership work

An explicit evaluation or review of the relation between Oxfam affiliates and partners is another form of learning and accountability. Although this does not happen frequently there has been much Oxfam learning around the Tsunami response.

Tool 3.7.4: Humanitarian MEL Guiding Principles

Oxfam's tsunami response supported over 170 partners to deliver programs in all countries of operation. Their work forms an important component of Oxfam's work and impact. The Tsunami evaluation included various evaluations that explicitly addressed the relation between Oxfam and Partners and the results of these. In addition a separate *Partners and Partnership review* was undertaken to document the management and programmatic approaches to partners, and to identify processes, practice, lessons which have scope for influencing practice and policy of Oxfam and other humanitarian organizations in humanitarian responses. *(Tsunami Evaluation, 2008)*

Partner satisfaction survey

Regular feed-back requests from partners about their relation with Oxfam affiliates can be a valuable source of learning and reflection. While this is part of systems of communication and accountability between the Oxfam and partner (see critical point 2) regular surveys can provide important input.

Peer review of partnership in crisis-related interventions

Apart from learning between the partner and the Oxfam there is much to gain from peer reviews. A peer review between five organizations with an interest in partnership issues looked at four central questions:

- What are the mutual expectations that 'northern' and 'southern' partners have of the partnership? How does the agenda setting and (mutual) accountability take place and what are areas of improvement?
- What is, and could be, the role of capacity building in crisis-related interventions?

- How to address specific challenges related to emergency response such as the need to act fast, security concerns, information limitation and opportunities and the impact of crisis and crisis interventions on civil society?
- What does partnership mean for the effectiveness of the aid chain as a whole and how could this impact be strengthened?

Partners in Crisis: Peer reviews of partnerships in crisis-related interventions.PSO2009 (www.pso.nl)

Oxfam learning from each response as a Rolling Process

The development and revision of country partnership strategies, for which this PPISK provides input and guidance, is meant to be a rolling process. This means that CLTs individually and Oxfam collectively will learn from each response and revise its partnership strategies based on lessons learned from practice. The above examples provide suggestions to ensure that lessons are learnt. It is up to affiliates to use the lessons for future humanitarian programming.

Section 4: Annotated Bibliography of Tools

This section presents tools that are currently used by different Oxfam affiliates in their partnerships in the field and which can assist in implementing partnership policy on country level. It does not contain tools themselves; rather an annotated list of tools, guidelines and formats which are relative to humanitarian partnerships. Not all items will be relevant to every situation and a short description of each tool should help people in the field to find the right tool for their context/situation. The tools offered are linked to critical points from Section 3 for easy reference.

Section 4 tools have all been uploaded to SUMUS: https://sumus.oxfam.org/partnership-policy-implementation-support-kit/wiki/partnership-policy-implementation-support-kit-1

Tool 1.1: Forcefield Analysis. This is a tool for exploring and debating the arguments for and against partnership in different local contexts. It looks at forces that are either driving movement toward partnership with local organizations blocking that movement at particular point in time. It can be helpful when there are differing opinions between Oxfam affiliates in an CLT.

Tool 1.2: Start's way of categorizing these partnerships. In a situation where there are a number of partner organizations and different partnerships in a country, it may be useful to agree on common ways of capturing these different models. Once Oxfam agrees on this and on criteria for when different forms of partnership are most appropriate, decision making on which partners can/should be included in emergency response, what kind of capacity may need to be built and for what kind of activities different partnerships may be the most appropriate becomes easier.

Tool 1.3: IO example of organizing /capturing different models. Same as above, just a different way of organizing different models. One of them may be more applicable than others depending on the context. More ways to categorize partnerships exist or can be developed.

Tool 2.1: Partnership Policy Discussion. A very short PowerPoint presentation to help present Oxfam humanitarian partnership policy and structure discussion about the Oxfam humanitarian partnership policy.

Tool 2.2: PPISK Feedback Form. Feedback form to be used by CLTs to provide feedback on the PPISK, the process and individual tools, as well as new tools. The purpose is to help Oxfam to learn and improve its partnership strategies and humanitarian work in general.

Tool 3.1.1: Appraising risks and opportunities. This tool helps in assessing the opportunities and the risks of a specific humanitarian intervention/project. Factors that influence the decision are the strategy the partner chooses to address the problem; the capacity the partner has to successfully implement this strategy; and the capacity Oxfam and the partner have to mitigate or manage the (internal and external) risks to successfully implement the strategy.

The same tool can be used once CLT has agreed on ways of organizing/capturing different models. It should be used to assess risks and opportunities of working with partners in each of the different models present in the country.

Tool 3.1.2: Using quality standards in tools and procedure. This is a tool to help assess if potential partners adheres to the quality standards. In practice, humanitarian organisations vary in their degree to which they comply with these guideposts. This tool can help facilitate your dialogue with the counterpart on importance and implementation of humanitarian standards.

Tool 3.1.3: MANGO Accountability to Beneficiaries Practical Checklist. This is a self-assessment checklist, to help NGO staff gauge how accountable they are to their beneficiaries. It is made up of just over 30 practical action points which describe good practice in this area. It can be a useful starting point for discussion with partner organisation about the type of accountability that is most appropriate for the different situation.

Tool 3.1.4: Oxfam Non-negotiable Standards for Gender in Emergencies. This is a set of Oxfam agreed standards on gender in emergencies. The non-negotiable standards are based on the affiliate resources, IASC and other international guidelines and will help the discussion on importance of gender in emergencies with partners as well as to assess partner's commitment to gender justice.

Tool 3.1.5: Four steps to consultative contracting. This document outlines the four essential steps which should help Oxfam affiliates support weaker partners in having stronger influence and voice in more task-oriented contracts.

Tool 3.2.1, 3.2.2 and 3.2.3: Affiliate partner appraisal form examples. A number of partner appraisal forms different affiliates use. ON tool (3.2.1) requires information of a more qualitative nature rather than scoring. IO tool (3.2.2) has specific sections on WASH and Food Security Experience. OC tool (3.2.3) is primarily meant to assess partners from a long term development perspective, but has a section that can be helpful in determining partners' position and capacity regarding gender. Tools are available at:
3.2.1: is available here

3.2.2: is available here

3.2.3: is available here.

Tool 3.2.4: Oxfam Capacity Appraisal Tool. This is an agreed Oxfam humanitarian capacity appraisal tool. It has come out of negotiations and represents the agreement between the affiliates on what the essential capacities a partner Oxfam engages in humanitarian programs with should have.

Tool 3.2.5: Oxfam coordination agreement. Covers document covers basics of OI Humanitarian Architecture, roles and responsibilities and procedures. It is a part of the Humanitarian Dossier and can be useful in explaining the differences in approaches and procedures to partners when they are dealing with more than one Oxfam and are being asked to use different forms, follow different guidelines, etc.

Tool 3.3.1: Different capacity assessment tools. 3.3.1a is available here

3.3.1b is available here

3.3.1c is available here, and

3.3.1d is available here.

Tool 3.3.2: Partners Financial Standards. This manual is to be used by partners as a reference for good practice. The standards set out the main principles, documentation requirements and minimum controls that Oxfam Australia would expect are evident within the finance system of our partners or that our partners are working to achieve.

Tool 3.3.3: Partners Financial Health Check. This tool will help gauge how healthy the financial management is in the partner organization and whether we need to provide financial technical support. It involves answering a simple set of questions which cover all the key areas of financial management.

Tool 3.4.1: Examples of Oxfam's experiences from Oxfam review of Humanitarian Partnership. The study was conducted in late 2007. Its purpose was to review partnerships affiliates have. It can be useful as it outlines a number of positive and negative partnership experiences.

Tool 3.4.2: IO Capacity Development Plan. This is an example of an affiliate planning tool for investing in partner's capacity. Template for the plan is basic, but reminds affiliates and requires them to come up with clear timelines and a plan to commit resources.

Tool 3.4.3: OC Capacity Building Needs Assessment Tool. The tool outlines a number of steps through which partners and Oxfam Canada mutually assess existing capacities, as well as capacity weaknesses and gaps. From this, appropriate capacity building strategies are designed with each partner. In most cases, the capacity building strategies will include a mix of three distinct but interrelated components of Oxfam Canada's approach to capacity building for humanitarian work.

Tool 3.4.4: OI Secondment Guidelines. These are Oxfam guidelines for inter-Oxfam secondments, but could be used as example to be modified and adjusted if secondment opportunities arise between Oxfam affiliates and their partner organizations.

Tool 3.5.1: Assessing conflict sensitivity of partners. ON uses this tool to better understand the counterpart's sensitivity and positioning in relation to violent conflict, which in turn can support you in your appraisal of the project.

Tool 3.5.2: Guidelines for Monitoring and Evaluation in Limited Access Humanitarian Programmes. OGB Workshop report where the question of monitoring partner's work without operational presence or access on regular basis is discussed.

Tool 3.7.1 Oxfam RTE Guidelines and 3.7.2: OGB RTE Guidelines. These Real Time Evaluation guidelines are used increasingly often during the initial phase of an emergency. Even if the formal RTE is not organized from headquarters, the CLT may initiate one or use the guidelines to assess the response at the stage when it can still be adjusted.

Tool 3.7.3: Examples of RTEs. A number of OI RTE reports are available here plus OGB RTEs and OAus RTEs are available here.

Tool 3.7.4: Oxfam Humanitarian MEL Guiding Principles. These are the Oxfam agreed principles for monitoring and evaluation in humanitarian situations. These apply to all Oxfam humanitarian work, including where Oxfam works with partners. Guiding Principles will be a part of the Oxfam Humanitarian MEL Framework that's currently being developed and will be available as soon as approved by HCGG.

Annex 1: Oxfam Policy on Working with Partners in Humanitarian Responses

Oxfam recognizes as a fundamental principle that wherever possible we should work with partners. This applies to all kind of programs, including humanitarian ones. This is clearly reflected in several key Oxfam documents.[98]

For the purpose of this paper we will consider an Oxfam partner “being a likeminded autonomous organization that share core values with Oxfam, that co-work in common areas of interest and that do have an agreement with Oxfam affiliates that ties accountability and performance to the existing relationship”.

Despite this commitment of working with partners, Oxfam is still not responding adequately to humanitarian crises with partners. This is affected by different factors, and Oxfam is committed to overcome the existing gaps and fulfilling its commitment to the basic principle. Working with partners in humanitarian responses implies a deliberate act of investing and promoting the capacity of those partners that are able and willing to work within the Oxfam humanitarian framework. This paper offers a policy framework that will help to develop a strategy to ensuring progress is made[99].

Humanitarian Ethos and its Implementation

Oxfam is a signatory organization of the Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organizations (NGOs) in Disaster Relief, as well as several others codes and standards[100] that the HC has been harmonizing during the last three years.

Oxfam will not compromise the fulfillment of these codes, either when it works with partners or directly. In all circumstances Oxfam remains accountable to its constituencies; to the people we work for, and to the donors, for all these principles and cannot transfer its ethical responsibilities to third parties.

No exceptions can be made, and Oxfam will ensure that active measures are taken to ensure that all principles are respected equally. This is particularly relevant to the principles of independence and impartiality, as it is common that local organizations are engaged in their local realities and have legitimate interests that may compromise their ability to operate in an impartial and independent way.

Full respect and fulfillment of the Code of Conduct is not negotiable, and should be clearly stated in our contract and agreements with partners

Oxfam is committed to respecting all the codes and principles that have been subscribed to collectively as Oxfam, but Oxfam will never compromise the humanitarian mandate for any other principle.

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[98] Articles 1 and 2 of the Oxfam International Working Principles (art. 52 of OI Rules of Procedures), Article V of the Contract for Oxfam International Humanitarian Action (HD 1.2), and Article 6 of Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organizations (NGOs) in Disaster Relief.

[99] It is work to mention that there are already several tools developed by OI to help on this; such as:

1. Research led by OA on the applicability of the Code of Conduct, to our partners
2. Partners' appraisal tool developed by ON, and approved as an OI document (HD 4.1a)
3. Contingency Planning Process including specific reference to partners' involvement
4. Assessment of OI experience of working with partners highlighting uneven approaches and results (Ethiopia, India, etc.)

[100] Humanitarian Framework (Codes & Standards) include: Red Cross Code of Conduct, HAP-I, Sphere, People in Aid and Code Against Sexual Exploitation

Quality Response

Oxfam aspires to deliver humanitarian aid in compliance with the Sphere Minimum Standards; this applies equally to Oxfam partners. Oxfam is aware of the debate that surrounds the feasibility of worldwide implementation of the Sphere standards, and therefore the implementing guiding principles that the Sphere project provides to cope with these dilemmas, should be applicable to Oxfam partners too.

All Oxfam partners working on Humanitarian responses should have been trained in Sphere Standards and be part of a wider process of building long term relationships with Oxfam within the framework of the Contingency Plans.

Accountability

Oxfam receives its funds to support its humanitarian action from different sources: private donors, general public appeals, government and official institutions, corporations, UN and multilateral agencies and intergovernmental bodies. In all cases, and whatever the funding management agreements are, Oxfam remains fully accountable, (morally and legally) to its legal bodies, to the people we work for, its donors and supporters, and therefore all the good practice principles should be applied also when working with partners (i.e., independent auditing, evaluations, etc.).

Strategy of Engagement and Withdrawal

Every humanitarian response with and through partners implies additional support to existing local capacities, that will end overtime. Oxfam should have a defined, documented and responsible strategy of engagement and withdrawal in humanitarian responses, so that the process of humanitarian partnership is empowering local capacities and not generate further problems to programs or the partner itself.

Promoting Partners' Work

Working with partners in humanitarian responses implies a deliberate act of investing and promoting the capacity of those partners that are able and willing to work within the Oxfam humanitarian framework. In order to do so, Oxfam will invest in terms of time, funds, skills, awareness and adequate training and capacity building of those partners. This training/capacity building should be based on an open use of our own and other agencies expertise and resources.

The contingency plans should be the starting point for the definition of these investments.

Implementation Strategy

In order to implement these policy principles, a specific strategy will be developed and updated overtime, under the management of the EMN.

Annex 2: Articles 1 and 2 of the OI Working Principles

(Art. 52 of OI Rules of Procedure)

"1. The Oxfams at all times work through local and accountable organizations and /or towards strengthening or facilitating the establishment of such organizations or structures.

2. Exceptionally, where and when local capacity is insufficient, the Oxfams will help people directly, through consultants (often from the South), field staff, emergency workers and /or co-operants or

other support people recruited for their professional capacity. These staff or support people will be brought in (only when local capacity is insufficient or inappropriate) preferable from Southern countries, but also from the North and can where necessary be involved in operational tasks. They will work simultaneously on strengthening local capacity, which means they will be accountable, facilitate local ownership, and work with a short or long term withdrawal strategy."

Annex 3: Article V of the Contract for Oxfam Humanitarian Action

(Humanitarian Dossier 2.3)

"V. Oxfam commits to developing an integral comprehensive emergency preparedness and response capacity as part of the overall harmonization process. This will encompass advocacy, media and program interventions, which will range from partner led initiatives, to working through and supporting other actors, to Oxfam-managed interventions.

Oxfam will whenever possible work with and through local and accountable organizations in its humanitarian work, including prevention, mitigation and preparedness work, although it is recognized that this is not always or at each stage possible or appropriate. All interventions will be assessed against the ability to deliver against Sphere minimum standards, with special attention paid to issues of diversity and gender, and *we commit to help to build local capacity to reach this.*"

Annex 4: Article 6 of Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief

"6. We shall attempt to build disaster response on local capacities.

All people and communities — even in disaster — possess capacities as well as vulnerabilities. Where possible, we will strengthen these capacities by employing local staff, purchasing local materials and trading with local companies. *Where possible, we will work through local NGHAs as partners* in planning and implementation, and co-operate with local government structures where appropriate."

Annex 5: List of Abbreviations

BRR = Badan Reintegrasi dan Rekonstruksi (Reconstruction and Rehabilitation Agency) for Aceh and Nias.

CBO = Community-Based Organization

CoC = Code of Contact

CP = Contingency Plan

CSO = Civil Society Organization

DM = Disaster Management

DRR = Disaster Risk Reduction

EMN = Emergency Managers Network

HCGG = Humanitarian Consortium Management Group

CLT = Humanitarian Country Team

ICRC = International Committee of the Red Cross

IFRC = International Federation of the Red Cross

IHL = International Humanitarian Law

INGO = International Non-Governmental Organization

IO = Intermón Oxfam

M&E = Monitoring and evaluation

MoU = Memorandum of Understanding

NGO = Non-Governmental Organization

OC = Oxfam Canada

OGB = Oxfam Great Britain

ON = Oxfam Novib

OI = Oxfam International

PO = Program Officer

PPISK = Partnership Policy Implementation Support Kit

RTE = Real Time Evaluation

SitRep = Situation Report

UN = United Nations

Annex J – Humanitarian Response Leadership under SMS - October 2011[101]

Humanitarian Response Leadership under SMS - October 2011

This document indicates the Humanitarian Leads, which in most cases are the Managing Affiliates. The step aside process remains unchanged: OGB leads in all category 1 and 2 emergencies. If any affiliate retains leadership in the country, it is indicated in the cell.	PRIORITY	Managing Affiliate (after go live)	Oxfam GB	Intermon Oxfam	Oxfam Novib	Oxfam America	Oxfam Australia	OBE	OCA	OHK	Oindia	ONZ	Oireland	Ogermany	OQ	OF	Oxfam Mexico	Oxfam Italy
Archipelago																		
Indonesia	1	OAU	x															
Korea, Democratic People's Republic of	1	OHK	x															
Malaysia	3																	
Mongolia	3		x															
Philippines	1	OHK	x															
Timor-Leste	1	OAU					x + cat. 2											
Regional level			x															
Central America, Mexico and the Caribbean																		
Antigua and Barbuda	2																	
Bahamas	2																	
Belize	2																	
Costa Rica	3																	
Cuba	3	OCA						x										
Dominican Republic	2	OES		x + cat. 2														
El Salvador	1	OUS				x + cat. 2												
Guatemala	2	OGB	x															
Haiti	1	OGB	x															
Honduras	2	OGB	x															
Mexico	2		x															
Nicaragua	2	OES		x + cat. 2														
Panama	2																	
Regional level			x															
East & Central Africa																		
Burundi	2	OES			x													
Congo			x															
Congo, The Democratic Republic of The	1	OGB	x															
Kenya	2	OGB	x															
Rwanda	2	OGB	x															
Tanzania, United Republic of	3	OIE	x															
Uganda	2	ONL	x															
Regional level			x															
Eastern Europe & Former Soviet Union																		
Albania	3																	
Armenia	3	OGB																
Azerbaijan	3	OGB	x															
Bosnia and Herzegovina	3																	
Bulgaria	3																	
Croatia	3																	
Georgia	3	OGB	x															
Kazakhstan	3																	
Kyrgyzstan	2	ONL			x													
Macedonia, The Former Yugoslav Republic of	3																	
Moldova, Republic of	3																	
Montenegro	3																	
Romania	3																	
Russian Federation	3	OGB	x															
Serbia	3																	
Tajikistan	2	OGB	x															
Turkey	3		x															
Ukraine	3		x															
Uzbekistan	3	ONL																
Regional level			x															
Horn of Africa																		
Djibouti	2		Default															
Eritrea	1	OGB	x															
Ethiopia	1	OGB	x															
Somalia	1	ONL			x + cat. 2													
Sudan (North)	1	OUS				x												
Sudan (South)	1	OGB	x															
Regional level			x															
Maghreb & Middle East																		
Algeria	3	ONL	Default															
Egypt	3	ONL	Default															
Iraq	2	OGB	x															
Iran, Islamic Republic of	3		x															
Israel	3	ONL	x															

[101] For reference see Excel file at: https://sumus.oxfam.org/humanitarian-consortium-governance-group/documents/leadership-country-sms-updated-october-2011

Humanitarian Response Leadership under SMS - October 2011

This document indicates the Humanitarian Leads, which in most cases are the Managing Affiliates. The step aside process remains unchanged: OGB leads in all category 1 and 2 emergencies. If any affiliate retains leadership in the country, it is indicated in the cell.	PRIORITY	Managing Affiliate (after go live)	Oxfam GB	Intermon Oxfam	Oxfam Novib	Oxfam America	Oxfam Australia	OBE	OCA	OHK	OIndia	ONZ	OIreland	OGermany	OQ	OF	Oxfam Mexico	Oxfam Italy
Jordan	3	OQC	x															
Lebanon	2	OQC	x															
Libyan Arab Jamahiriya	3	ONL																
Morocco	3	ONL		x														
Palestinian Territory, Occupied	1	ONL			x + cat. 2													
Syrian Arab Republic	3		x															
Tunisia	3	ONL	Default															
Western Sahara	2	ONL						x										
Yemen	2	OGB	x															
Regional level			x															
Mekong																		
Cambodia	1	ONL	x															
China	2		Support							x								
Lao People's Democratic Republic	2	OBE					x											
Myanmar	1	OGB	x															
Thailand	3	OGB	x															
Viet Nam	2	ONL	x															
Regional level			x															
Pacific																		
Cook Islands	3	ONZ																
Fiji	3	ONZ					x											
Kiribati	3	ONZ																
Marshall Islands	3																	
Micronesia, Federated States of	3																	
Nauru	3																	
Niue	3	ONZ																
Palau	3																	
Papua New Guinea	1	ONZ					x + cat. 2											
Samoa	3	ONZ										x						
Solomon Islands	3	ONZ					x + cat. 2											
Tokelau	3																	
Tonga	3	ONZ										x						
Tuvalu	3	ONZ																
Vanuatu	3	ONZ					x											
Regional level							x											
South America																		
Argentina	3		x															
Bolivia	2	OES	x															
Brazil	3	OGB	x															
Chile	3		x															
Colombia	1	OGB	x															
Ecuador	2	OES		x + cat. 2														
Paraguay	2	OES		x														
Peru	2	OUS				x + cat. 2												
Suriname	3				Default													
Uruguay	3		x															
Venezuela	2		Default															
Regional level			x															
South Asia																		
Afghanistan	1	ONL			x + cat. 2													
Bangladesh	1	OGB	x															
Bhutan	3																	
India	2										x							
Maldives	3																	
Nepal	1	OGB	x															
Pakistan	1	OGB			x													
Sri Lanka	1	OAU	x															
Regional level					x													
Southern Africa																		
Angola	2	ONL	x															
Botswana	3																	
Lesotho	2																	
Madagascar	1																	
Malawi	2	OGB	x															
Mauritius	3																	
Mozambique	1	ONL		x + cat. 2														
Namibia	3		Default															
South Africa	3	OAU	x															
Swaziland	3																	
Zambia	2	OGB	x															

Humanitarian Response Leadership under SMS - October 2011

This document indicates the Humanitarian Leads, which in most cases are the Managing Affiliates. The step aside process remains unchanged: OGB leads in all category 1 and 2 emergencies. If any affiliate retains leadership in the country, it is indicated in the cell.	PRIORITY	Managing Affiliate (after go live)	Oxfam GB	Intermon Oxfam	Oxfam Novib	Oxfam America	Oxfam Australia	OBE	OCA	OHK	Oindia	ONZ	Oireland	Ogermany	OQ	OF	Oxfam Mexico	Oxfam Italy
Zimbabwe	1	OGB	x															
Regional level			x															
West Africa																		
Benin	3	OQC	Default															
Burkina Faso	2	OES		x														
Cameroon	2		Default															
Cape Verde	3		Default															
Central African Republic	1		Default															
Chad	1	OES		x														
Côte D'ivoire	3		x															
Equatorial Guinea	?			Default														
Gabon	3		Default															
Gambia	2	OUS				x												
Ghana	3	OGB	x															
Guinea	1		x															
Guinea-Bissau	2	OUS				x + cat. 2												
Liberia	2	OGB	x															
Mali	2	OGB	x															
Mauritania	2	OES		x														
Niger	1	ONL			x + cat. 2													
Nigeria	2	ONL	Default															
Sao Tome and Principe	3		x															
Senegal	2	OUS				x												
Sierra Leone	2	OGB	x															
Togo	3		Default															
Regional level			x															

Annex K – Mechanism for Appeal Allocation

Proposal for allocation of appeal and unallocated backdonor funds for Cat 1 and 2 crises (single- or multi-country emergencies with several implementing affiliates)

Objective:

The aim of this standardised allocation mechanism for Cat 1 and Cat 2 emergencies is to achieve fairness in the allocation of funding to affiliates, based on a joint Oxfam strategy and attached budget (guided by good analysis of needs in the country and the capacity of implementing affiliates and their respective partners).

PROPOSED MECHANISM

1. Creation of Oxfam 'RESPONSE NAME' Funding Group made up of one representative from each implementing affiliate and led/chaired by the humanitarian lead affiliate with support from the OI Secretariat if required. The Funding Group will ensure that the Proposed Mechanism is followed. The Funding Group will report to the Humanitarian Consortium Governance Group (HCGG) via the humanitarian lead agency representative. The Funding Group can be set up at regional or country level, depending on the response, and should include experienced funding representatives from all implementing affiliates. A standard TOR is available, which can be adapted.

2. **Definition:** "Unallocated Pot" - includes **all unallocated** restricted and unrestricted funding, and is made up of :
   - Contributing affiliate appeal funds, which are all unrestricted
   - Backdonor funds from implementing affiliates such as Government/ DEC/ SHO / Canada Coalition, which are listed as restricted. Implementing affiliates will have the preference on allocation of their own back donor funds, but will make a considered decision based on the existing needs of all affiliates. All other back donor funds (from contributing affiliates and from countries where there is no Oxfam affiliate) will be listed as restricted.
   - Implementing affiliate appeal funds are listed as restricted. (If any implementing affiliate has more appeal funds than their budget these can be relisted as 'unrestricted'. As this is a virtual fund, this can simply be a matter of re-listing the excess in the Oxfam Humanitarian Funding Grid from being restricted to unrestricted[102].) The Humanitarian Funding Grid will clearly reflect this

3. **Division of unrestricted funds:** Provisional percentage allocations should be proposed by the Funding Group (agreed with the Humanitarian Country Team, HCT) in week 4-6, and sent to HCGG for sign-off on the basis of:

   3.1 Division by Country (if multi-country response): (see Table 1),
   - Shortfall (budget minus secure and likely funding), to be reviewed regularly.
   - It is the responsibility of the country lead to submit a joint Oxfam budget that combines the budgets of each implementing affiliate in that country and on which there is agreement by the implementing affiliates. Budgets should be based on a joint Oxfam strategy and reflect the capacity of affiliates/ complete need / quality issues. It is part if the role of the Country Leadership Team (CLT) to review affiliates' capacity against the strategy.
   - To enable appropriate allocations, there is a need for affiliates to be very clear on their use of the terms 'secure, likely and possible' when listing funding. Definitions are provided in the Humanitarian Funding Grid as well as the Humanitarian Dossier[103].
   - Any special considerations for countries likely to face a lack of funding opportunity. Special considerations are listed in the comments sections of Tables 1 & 2.

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[102] Once funds are physically distributed they are then considered as 'secure' in the relevant country/affiliate in the grid and thus removed from the Unallocated Pot. This money is still traceable as appeal money due to the way it is listed in the grid.

[103] Secure = only where contract is signed / allocated appeal funds, Likely = only where very strong indication of funding from donor, Possible = other potential funding calls / ad hoc applications, etc.

- In order to take fair and well-founded decisions, affiliates should send updated information on budgets and available funding of their operations to the humanitarian lead as often as agreed upon by the Funding Group.

3.2 Division by affiliate by country: (see Table 2),

- Same as above, but the allocation is first put as a proposition to the HCTs for their sign off. However, if the HCT members have a consensus decision on a different allocation (given within the timeframe) then their decision takes precedence.
- HCGG to give final sign off.

3.3 Once the above is decided, there will be a **review of allocations on a regular basis and at least once a month**) where, in light of any significant changes to the overall budgets, shortfalls, income and spending rate, the Oxfam Funding Group will propose appropriate adjustments to the allocations (based on same criteria as above) for the HCGG to sign off. The humanitarian lead affiliate will employ an Oxfam Finance Manager who will ensure accurate reporting on 'burning rates' to the Funding Group to review allocation decisions.

4. **Restricted fund allocations:**

Implementing affiliates will have the *preference* on allocation of their own backdonor funds (such as those of DEC, SHO and the Canadian Coalition as well as their own governments[104]), but will make a considered decision based on the existing needs of all affiliates.

Restricted backdonor funds of contributing affiliates (e.g. Government funding from Hong Kong, Japan, etc.) and others are to be allocated on a case-by-case basis. At the current time this is the only methodology available due to the fact that we do not in advance know which back donors are likely to fund, what there restrictions /preferences are.
Mechanism for proposing how contributing affiliate restricted funds will be allocated:

a. On notification of **available backdonor funding,** the Funding Group **chair (from humanitarian lead affiliate)** will email the Funding Group with a proposition based on a) conditions of the donor, b) funding needs as expressed in the Humanitarian Funding Grid (and where possible in line with the unrestricted appeal allocation percentage, c) absorption capacity of the implementing affiliate, d) other backdonors (previous/potential). Funding Group members will be given a time frame for objections.
b. If objections are stated by members of the Funding Group, which cannot be easily resolved within the group, issues will be taken up to the HCGG.
c. All effort will be made to keep complicated restricted funds allocated 100% to a particular implementing affiliate.

5. **Administration and physical allocation of funds:**

- The chair of the Funding Group will make the linkages between appealing affiliates and the implementing affiliate in need of funds, making every attempt to allocate 100% of one appeal fund to one implementing affiliate.
- Once any country/affiliate is fully funded the excess is put back into the pot and the situation reviewed
- Formats for quarterly reporting are to be proposed by the OI Secretariat and approved by the HCT/Oxfam Funding Group
- All contracts will follow the INTER-OXFAM FUNDING AGREEMENT (please include link to SUMUS). All contracts will be signed within 30 days of the allocation of funds. In case of delay, the OI Secretariat will support this process.
- Funds will be physically transferred within one month of the signing of the inter-affiliate funding agreement.

Note: *Funds in the Humanitarian Funding Grid are listed in USD by default. Every attempt will be made to ensure that funds listed are as accurate as possible (there is a mechanism for this built into the grid) but some allowance will have to be made for unavoidable exchange rate variances.*

[104] For example; DFID, CIDA, Dutch Government, AusAid, Spanish Government and OFDA)

6. Financial Monitoring and Tracking of Expenditure

- There is a need for an individual/ body to monitor the expenditure of affiliates in order to better inform any review of allocations and advise on financial reporting, exchange rate variances, and other related financial issues. This is not the role of the Funding Group.
- The Oxfam Finance Manager will work closely with the Funding Group, ensuring that they are fed the correct information in order to better inform decision making for allocations, as well as with their affiliate counterparts.

Proposed Allocations

PLEASE NOTE:

1. The "Appeal Mechanism" tab in the OI funding grid contains the tables below. However the tables below show the set allocations (see footnotes).
2. There will be no changes to the percentages in these tables unless the review process as outlined above has been undertaken. In such a case this document will be updated. THE BELOW WILL AUTOMATICALLY BE REVIEWED AFTER 1 MONTH, but can also be reviewed earlier should the budget & funding situation alter dramatically.
3. Physical $$ amounts listed represent the unallocated unrestricted appeal funds (after proposed regional budget has been removed). These are constantly updated

Table 1: DIVISION BY COUNTRY

	# of operational affiliates	OI Budget to date	% funded to date (secure/ Likely)	Shortfall to date	Current % shortfall of total response (Grid auto calculates)	% split of Appeal funds	Appeal allocation set and agreed by HCGG as at 8 August 2011[105]	Justification
								Based on mathematical formula (rounded)
								Based on mathematical formula (rounded)
								Based on mathematical formula (rounded)
			Total shortfall					

[105] This allocation is set and affiliates are guaranteed this income. Any future review and change of percentages/ will be based on new income. Efforts will be made as far as possible to allocate 100% funding of a contributing affiliate to an implementing affiliate.

Table 2: DIVISION BY AFFILIATE / COUNTRY								
Country	**Affiliate**	**OI Budget to date**	**% funded to date (secure/ likely)**	**Shortfall to date**	**Current % shortfall of total response (Grid auto calculates)**	**% split of Appeal funds (decided @ [*insert date*] for deadline for HCGG)**	**Appeal allocation set and agreed by HCGG as at [*insert* date][106]**	**Justification / comments**
								Based on mathematical formula (rounded)
								Based on mathematical formula (rounded)
								Based on mathematical formula (rounded)
			Total shortfall					

[106] This allocation is set and affiliates are guaranteed this income. Any future review and change of percentages/ will be based on new income. Efforts will be made as far as possible to allocate 100% funding of a contributing affiliate to an implementing affiliate.