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List of Abbreviations

CBO  Community-Based Organisation
CHW  Community Health Worker
CPM  Country Programme Manager
EFSL  Emergency Food Security and Livelihoods
HCMG  Humanitarian Consortium Management Group
HD  Humanitarian Department
HDD  Humanitarian Department Directorate
HDO  Humanitarian Desk Officer
HSP  Humanitarian Support Personnel
ICRC  International Committee of the Red Cross
INGO  International Non-Governmental Organisation
MCH  Mother-and-Child Health
MOH  Ministry of Health
NGO  Non-Governmental Organisation
OI  Oxfam International
PHE  Public Health Engineering
PHP  Public Health Promotion
PM  Programme Manager
PRA  Participatory Rural Appraisal
RC  Regional Centre
RD  Regional Director
RFSM  Regional Finance and Systems Manager
RHC  Regional Humanitarian Co-ordinator
TBA  Traditional Birth Assistant
Introduction

In line with its core mission to alleviate poverty and suffering, Oxfam is committed to providing humanitarian assistance to men, women and children whose lives, health and basic subsistence are threatened as a result of natural disasters or armed conflicts. This handbook aims to assist Oxfam field practitioners in designing and implementing humanitarian programmes. It reaffirms mandatory organisational policies and presents guidelines to help Oxfam staff initiate an effective emergency response. These are contained in the main text of the handbook.

A compilation of tools – such as checklists, templates and formats – and good programming examples can be found on the CD in the back of the handbook. The CD also offers links to further relevant materials on Oxfam’s intranet; to activate those links you will need access to an Internet connection.

This handbook is designed to be a helpful tool and will regularly be updated; all comments for improvement of future editions will be welcome.

1 Address for feedback: hhcomments@oxfam.org.uk
Oxfam’s Humanitarian Programme Approach

Oxfam works with others to overcome poverty and suffering. To achieve the greatest impact on people’s lives, Oxfam works on three inter-linking fronts:

- humanitarian programming: saving lives by responding swiftly to provide assistance and promote protection during emergencies;
- programmes that empower people to lift themselves out of poverty;
- campaigning to achieve lasting change.

**Humanitarian Programming in Oxfam**

Oxfam believes that all people – women, men and children – have a right to life with dignity and, therefore, a right to protection and assistance in the event of a humanitarian crisis.

Oxfam’s commitment to responding to humanitarian suffering – the most extreme form of poverty – sits right at the core of our values as an organisation committed to taking a rights-based approach to poverty alleviation.

**Oxfam’s Humanitarian Focus**

Oxfam aims to maintain and consolidate our position as the leading INGO in Public Health (Watsan Engineering and Health Promotion) and to capitalise on the investment (and experience) of recent years to assert ourselves as a leading NGO in Emergency Food Security and Livelihoods, with sector leadership on Alternatives to Food Aid.

We concentrate our efforts on these areas of expertise, while also considering the following issues when designing and delivering any emergency programme:

- gender analysis in assessments and response (equity and promotion of women’s rights);
- accountability to the people affected by a crisis – in our work and that of others;
- people’s need for personal safety and security (see also Section 3.9.2);
- the specific effects of HIV and AIDS on different members of the community affected by the crisis.

**Humanitarian Principles**

As an organisation, Oxfam has a commitment to the following in all humanitarian programming:

- The Code of Conduct for the International Red Cross Movement and NGOs in Disaster Relief, which commits us to the core principles of independence (We shall endeavour not to act as instruments of government foreign policy: formulate our own policies and implementation strategies; should not be driven by the need to dispose of donor commodity surpluses, nor by the political interest of any particular donor; avoid dependence upon a single funding source) and impartiality (not discriminating with regard to nationality, race, religious beliefs, class, or political opinions, and not taking into account the social, political, ethnic, religious etc affiliations of any group of persons when assessing whether they have needs that should be addressed)

- The SPHERE Humanitarian Charter and Minimum Standards (asserting the right to life with dignity, and a comprehensive set of standards and indicators not only for technical sectors (what), but also a set of Common Standards for programme delivery approaches and management (how), and conduct)

- The Human Accountability Partnership (HAP) Principles of Accountability (making humanitarian action accountable to beneficiaries)

- Guiding Principles for Working with Internally Displaced Persons (OCHA), which address the specific needs of internally displaced persons worldwide. They identify rights and guarantees relevant to the protection of persons from forced displacement and to their protection and assistance during displacement as well as during return or resettlement and reintegration.

Although we have no absolute commitment to neutrality, in conflict situations we need to behave in a neutral way (i.e. not taking sides in hostilities). Being seen to be neutral is one of the effective ways to ensure staff security from the outset. It can thus be as important as actually being neutral, in that what we say and how we behave are as important as what we do.
How we work

Oxfam programmes try to reduce the risks of future disasters and, when they can, mitigate the impact of disasters when they do happen. In anticipation of future disaster scenarios, Oxfam uses a range of activities and approaches to prepare ourselves and others to provide the best possible assistance when needed in a crisis.

Oxfam is committed to advocate and campaign to influence the actions that create suffering and the response of national authorities and the international community to the devastation caused by conflict and natural disasters.

Who do we work with?

Oxfam's work involves a commitment to:

• co-ordinating with responsible authorities, local and international NGOs and the communities affected by crises;
• supporting national and international NGO partners to carry out relief activities with or without an operational response; and
• building the capacity of affected populations and civil society (local partners) to cope with present or future crises and to have increased power to influence the events and decisions that affect their lives.

Categorisation of Emergencies

Oxfam GB applies an internal system of categorising emergencies which aims to improve our readiness and ability to respond to large-scale humanitarian crises. It is used when Oxfam GB is designated as the lead agency within Oxfam International for responding to an emergency; it may also be a useful reference tool for other members of Oxfam International. We are in the process of agreeing categorisation of emergencies within Oxfam International.

The system enables us to:

• assist decision-making about the appropriate size and scope of Oxfam's response;
• clarify responsibilities for direction and management of the programme;
• identify the internal procedures which need to take place; and thereby
• facilitate internal and external communications about Oxfam's actions.

A number of factors are considered when categorising a particular emergency:

• Scale of the crisis – the number of people affected and the severity of the crisis
• Nature and extent of the crisis – geographically, geopolitically or speed of onset
• Response levels and capacities of other actors – national or local authorities, agencies, and local partner and community organisations

However, It is management judgment and not a mechanical assessment of these factors that determines the categorisation of an emergency and, by implication, how Oxfam responds.
Introduction and Overview of Minimum Requirements in First-phase Humanitarian Response

To enable Oxfam to deliver a fast and effective emergency response, it has developed a set of Minimum Requirements to replace normal procedures for the initial phase of a humanitarian programme. They are normally to be used for two to three months and apply to all emergencies.

The minimum requirements are simple, short documents that concentrate on the outputs expected – not the various different ways by which these outputs can be achieved. Managers are encouraged to exceed the ‘minimum’, in terms of levels of control of resources, but not to the detriment of overall programme effectiveness.

The minimum requirements aim to:

• help balance the need to deliver fast and effective humanitarian assistance with an appropriate level of ‘control’ of the resources used (e.g. money, people, equipment etc);

• provide clarity to all staff about the minimum that is expected of them; and

• enable effective emergency response programmes within the overall context of Oxfam’s long-term presence in countries and the normal procedures in place.

Who are they for?

The minimum requirements are for all managers involved in, or responsible for, humanitarian response programmes, including specialist support staff/managers in Finance, Human Resources, Logistics and Supply.

They are primarily for use by managers/staff working at field or country level. In addition, anyone with responsibility for humanitarian response programmes or support to these programmes will need to be aware of them and support the work to achieve them.

The responsibility for meeting all the minimum requirements rests with the manager in charge of the humanitarian response in location, and is shared by whoever he/she delegates authority to in the different functional areas.

How should they be used, and for how long?

The minimum requirements are normally for use in the first two to three months of an emergency – for the first two months in all cases and for up to three months or longer if appropriate (see below). Within the first two months the exact duration of their use needs to be agreed and communicated to all levels of management.

The period of use for all or for particular minimum requirements can be extended beyond three months with the agreement of the Regional Director, or the International Director if the Regional Director is the PIP Manager for the humanitarian programme.

If one or more minimum requirements cannot be met on an ongoing basis, the Regional Director needs to be informed and must give his/her agreement or determine an alternative approach.

For some sector-related minimum requirements, specific approval is required; these are described in detail in the relevant document.

The overview below displays the time-related minimum requirements only, i.e. those for which specific target times have been identified. The full description of the minimum requirements is contained in four individual documents in this handbook, related to the following four work sectors:

• Programme and Overall Management (see section 3.5)
• Human Resources, Legality and Office Management (4.2)
• Finance (4.3)
• Logistics and Supply (4.4)
• Information and Communications Technology (4.5).
Overview of Time-related Minimum Requirements (only²):

<table>
<thead>
<tr>
<th>HR – recruitment, induction, management of staff</th>
<th>Finance</th>
<th>Logistics and Supply</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-deployment/Commencing Assignment</td>
<td>Staff needs</td>
<td>Identify/deploy Staff needs</td>
</tr>
<tr>
<td>Assignment</td>
<td>Identify/allocate Identify/allocate Finance staff Finance staff within one day.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Authorisation Authorisation Transactions</td>
<td>Identify/deploy Identify/deploy Logistics co-ordinator Logistics co-ordinator and programme logistician (plus local assistant) within one day.</td>
</tr>
<tr>
<td></td>
<td>Transactions – Initial budget Initial budget codes</td>
<td>Identify/deploy Identify/deploy one procurement person, one logistician and welfare logistics capacity per base within one week.</td>
</tr>
<tr>
<td></td>
<td>codes</td>
<td>From day one set up ‘procurement system’ From day one set up ‘procurement system’ and vendor/supplier list.</td>
</tr>
<tr>
<td>Pre-deployment/Commencing Assignment</td>
<td>Delegating/Authorisation Delegating/Authorisation</td>
<td>Within two days identify freight-forwarding agent.</td>
</tr>
<tr>
<td>Assignment</td>
<td>Signing Signing authorities</td>
<td>Infrastructure set-up:</td>
</tr>
<tr>
<td>National staff should present a fit-for-work certificate preferably on their first day of work, or at least within their first two weeks of their employment.</td>
<td>A table/list of delegated authorities needs to be in place and communicated as soon as possible – and by the end of week one.</td>
<td>Rent secure/safe vehicles/cars Rent secure/safe vehicles/cars - within one or two days</td>
</tr>
<tr>
<td>Medical examination</td>
<td>OPAP PIP manager authorises OPAP PIP manager authorises the list.</td>
<td>Office/staff accommodation</td>
</tr>
<tr>
<td>International employees should have a briefing with Staff Health by phone or face to face to identify and arrange for any vaccinations required, and obtain a fit-for-work certificate before travel to the field is confirmed.</td>
<td>To be set up by week one</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Communications Communications system set-up</td>
<td>Radios, satellite phones, mobile phone contracts (including international communications); email and internet</td>
</tr>
<tr>
<td></td>
<td>set-up</td>
<td>to be set up within one week.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Stock/warehouse - premises to be set up within first week</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Warehousing and transport ‘paper flow system’</td>
</tr>
<tr>
<td></td>
<td></td>
<td>to be set up within one week</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Stock reports (Oxfam standard) Stock reports (Oxfam standard) – must be produced weekly.</td>
</tr>
</tbody>
</table>

² Time-related minimum requirements only are shown in this table i.e. those with target times e.g. within one week of emergency onset. For a statement of all the minimum requirements refer to the four minimum requirements documents – Programme and Overall Management; Finance; Logistics and Supply; Human Resources.

First few days to end of week one:

**Human resources, Legality and Office Management**

- **HR Staff needs**
  - Identify/deploy HR staff within one day

**Human Resources needs**

- As soon as we know there will be a response, the sourcing of people begins immediately from a variety of sources/locations concurrently. From the first rapid appraisal, a list or organogram of people/role requirements will be communicated to management and to HR.

**Financial Management – Delegating/Signing authorities**

- Identify/deploy Finance assistant) within one day.

**Delegating**

- Identify/deploy one procurement person, one logistician and welfare logistics capacity per base within one week.

**Signing**

- Authorisation

**authorities**

- To be set up by week one

**Infrastructures set-up:**

- Rent secure/safe vehicles/cars
  - within one or two days

**Office/staff accommodation**

- To be set up by week one

**Communications**

- Equipment set-up

- Radio comms, satellite phones per base

**Finance**

- Stock/warehouse – premises to be set up within first week

**Warehousing and transport**

- ‘Paper flow system’ to be set up within one week

**Stock reports (Oxfam standard)**

- Stock reports (Oxfam standard) – must be produced weekly.

**Programme and Overall Management**

- **Staff needs** - Identify/deploy Programme/Project(s) Management and technical staff within one day

**Project Design - A concept note**

- (the basis of rapid onset PIP/ project(s)) needs to be produced following a rapid information appraisal, within 48 hours of the emergency onset, to inform Oxfam and potential donors of the intention to respond.

**The Rapid Onset PIP and project(s)**

- Must be authorised in OPAL through the management line within three working days of the onset of the crisis.

**Security**

- Where there is no pre-existing Security Management Plan, content points 1, 4, 5, and 7 of the standard format Security Management Plan need to be written and communicated within the first week of the emergency response.

**Financial Management – Delegating/Signing authorities**

- A table/list of delegated authorities needs to be in place and communicated as soon as possible – and by the end of week one, authorised by the OPAL PIP Manager. Further information is contained in the Finance minimum requirements section (section 3.5).

**Internal and External Communications – Information requirements**

- From the outset, establish regular **Situation Reports** (sitreps) and data-gathering using the standard templates. Written sitreps will be produced normally once a week unless exceptions are agreed.

- From the outset, establish regular management telephone conferences involving the management team, Regional Centre and Oxford as appropriate.

**External co-ordination**

- From the outset, establish regular liaison and communication with relevant government, national/international NGOs, local groups, donors etc and document key decisions.

² Initial budget codes – this is reliant on each region having PIP/Project templates available for unplanned humanitarian response (as part of their emergency preparedness work).
### Overview of Time-related Minimum Requirements (only):

<table>
<thead>
<tr>
<th>From end of week two to end of month one</th>
<th>From end of week two to end of month one</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>HR – recruitment, induction, management of staff</strong></td>
<td><strong>Programme and Overall Management</strong></td>
</tr>
<tr>
<td><strong>Performance Management of Individuals</strong> - Within two weeks of starting work, incoming staff members must have a meeting with their supervisor to document brief, specific, time-limited objectives.</td>
<td><strong>Project Implementation and Monitoring</strong></td>
</tr>
<tr>
<td><strong>Induction</strong> - All staff must have an induction to Oxfam and the field programme, either in person or by phone within the first month of their employment.</td>
<td>An organogram must be in place and maintained from the second week of the response.</td>
</tr>
<tr>
<td><strong>Performance management</strong> - Managers must meet individually with each of their staff at least monthly to hear feedback, monitor progress against objectives, and discuss well-being. Document any concerns raised.</td>
<td><strong>Entitlements</strong> - HR will set policies on R&amp;R, leave, food, transport and accommodation within the first two weeks.</td>
</tr>
<tr>
<td><strong>Finance</strong></td>
<td><strong>Office Management</strong></td>
</tr>
<tr>
<td><strong>Stock reports</strong> (Oxfam standard) – must be produced weekly. By end of month 1 - Set up a tracking system for programme distributions.</td>
<td>An organogram must be in place and maintained from the second week of the response.</td>
</tr>
<tr>
<td><strong>Logistics and Supply</strong></td>
<td><strong>Entitlements</strong> - HR will set policies on R&amp;R, leave, food, transport and accommodation within the first two weeks.</td>
</tr>
<tr>
<td><strong>Bank Security/Accounts</strong> - Banking facilities (in accordance with Oxfam’s Banking/ Emergency Banking procedures) should be set-up/adapted very quickly for each programme location if/as required - within 2 weeks of the onset of the emergency</td>
<td><strong>Office/Staff Housing - Responsibilities</strong> must be clarified and documented within the first two weeks.</td>
</tr>
<tr>
<td><strong>Where emergency bank account(s) set up</strong> international office, via RFSM to advise the Finance Director and International Finance Director within one month of opening the account.</td>
<td><strong>Legality</strong> - Within the first 4 weeks, Oxfam must take steps to regularise our legal position with the relevant government Departments.</td>
</tr>
</tbody>
</table>

### Time

<table>
<thead>
<tr>
<th>Human resources, Legality and Office Management</th>
<th>Programme and Overall Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>An organogram must be in place and maintained from the second week of the response.</td>
<td><strong>Project Implementation and Monitoring</strong></td>
</tr>
<tr>
<td><strong>Entitlements</strong> - HR will set policies on R&amp;R, leave, food, transport and accommodation within the first two weeks.</td>
<td>An organogram must be in place and maintained from the second week of the response.</td>
</tr>
<tr>
<td><strong>Office/Staff Housing - Responsibilities</strong> must be clarified and documented within the first two weeks.</td>
<td>Establish, maintain and document regular management and programme meetings involving managers of all programme and support teams. Management and programme meeting schedules should be posted (drawn up and communicated) within the first 2 weeks of the response.</td>
</tr>
<tr>
<td><strong>Legality</strong> - Within the first 4 weeks, Oxfam must take steps to regularise our legal position with the relevant government Departments.</td>
<td>Ensure each programme and support team has established and documented their internal monitoring and progress reporting systems within the first 2 weeks in order to feed into the Situation Reports. Team workplans with timelines and milestones should be developed, posted, and updated from the outset.</td>
</tr>
<tr>
<td>Within the first 4 weeks, HR should register Oxfam with the national authorities for employment; pay tax and social security for all national staff; and explore the requirements for non-national staff.</td>
<td><strong>Project design - Assessment</strong> – Within the first month of a rapid onset emergency a review/analysis/assessment must be undertaken and documented to guide the future direction of the programme.</td>
</tr>
</tbody>
</table>
Overview of Time-related Minimum Requirements (only):

<table>
<thead>
<tr>
<th>Finance</th>
<th>Logistics and Supply</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>General Ledger (Peoplesoft)</strong></td>
<td>Stock reports (Oxfam standard) – must be produced weekly</td>
</tr>
<tr>
<td>With effect from the beginning of the full calendar month 3 of an emergency, at the latest:</td>
<td>Warehousing and Transport - Stock reconciliation - Within two months you must do at least one stock reconciliation (Oxfam standard) and follow up discrepancies.</td>
</tr>
<tr>
<td>(i) all transactions need to be uploaded on Peoplesoft</td>
<td>(ii) reconciliations are required between Peoplesoft and actual bank and cash balances held</td>
</tr>
<tr>
<td>(ii) reconciliations are required between Peoplesoft and actual bank and cash balances held</td>
<td>(iii) management accounting reports complete with variance reports are required</td>
</tr>
<tr>
<td>Where emergency bank account(s) are in use – RFSM/Finance Manager regularise the bank mandate within 3 months.</td>
<td></td>
</tr>
<tr>
<td>Authorising transactions – Longer term budget codes need to be set up and communicated within 3 months of the onset of the emergency (in line with OPAL business rules for reversioning rapid onset PIP/project(s), and designed to take account of institutional donor reporting requirements).</td>
<td></td>
</tr>
</tbody>
</table>

Month two and three

<table>
<thead>
<tr>
<th>Human resources, Legality and Office Management</th>
<th>Programme and Overall Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>Use of Oxfam HR database system (HRMIS) – With effect from the beginning of calendar month 3 of an emergency at the latest:</td>
<td>Project Planning</td>
</tr>
<tr>
<td>(i) - core HR data to be entered on HRMIS</td>
<td>Initial programme plan - Within 2 weeks of the assessment (i.e. within first 6 weeks for rapid onset emergency, first 10 weeks for slower onset) draw up a written programme plan and logframe for the next 3 - 6 months. Finance and Funding staff should be asked to provide advice on budget coding structure.</td>
</tr>
<tr>
<td>(ii) reconciliations are required between the HR database employee list (and their pay details) and the employee list being used by Finance/Payroll for pay purposes.</td>
<td>Security - All insecure locations where Oxfam works must draw up, or update (to take account of new conditions), a Security Management Plan (&quot;Security Guidelines&quot;) setting out basic security rules and procedures within the first two months. The Security Management Plan will covers a full contents list points 1-7 (see minimum requirements document)</td>
</tr>
<tr>
<td>Legality - The Regional Director should confirm to CMT within three months whether the operation meets full legal requirements, and if not what exceptions there are, and what action is being taken to address them.</td>
<td>Project Design - Assessment (slow onset) – Within the first 2 months of a slow onset emergency, a review/analysis/assessment must be undertaken and documented to guide the future direction of the programme.</td>
</tr>
<tr>
<td>Project Planning - Creation of Standard PIP/Projects (&quot;reversioning&quot;) - The initial programme plan is used to create the Standard PIP and Project(s) which must replace the Rapid Onset PIP within the first three months.</td>
<td></td>
</tr>
</tbody>
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Management of Security

Oxfam often delivers humanitarian assistance in areas where staff or Oxfam assets can be exposed to threats of intentional violence. In recognition of this fact, Oxfam’s Security Policy has been drawn up to guide staff to minimise and manage risks and safeguard staff security.

The Security Policy:
• asserts the priority of personal security over protection of assets;
• clarifies roles and responsibilities for security management; and
• provides guidelines for particular types of security incidents.

The main text of the Security Policy is provided in the following section, and the full version (with annexes) is available on the accompanying CD. The CD also contains all the main elements of Oxfam’s Security Toolkit:
• additional relevant policies and protocols
• guides and formats to assist in various aspects of security management
• advice notes on particular security issues or threats
• further relevant materials, including those from other organisations.

Oxfam Security Policy
Approved by CMT\(^4\), March 2007

Introduction
We recognise that many areas in which there is great poverty and suffering are associated with insecurity. In our efforts to relieve poverty and suffering we often find ourselves working in insecure environments. It is inevitable that our work will expose staff to greater personal risk.

Oxfam’s Security Culture
As a responsible employer we strive at all times to minimise and manage security risks. The security, good health and safety of our staff are a prime responsibility\(^5\). Our approach to managing security is one of risk management rather than risk aversion. We need a good understanding of our working environment and good security management processes to help us decide whether the risks are tolerable and manageable. This is a high priority for all managers. Although security tasks may be delegated, responsibility may not. Oxfam may accept an increased level of risk where the humanitarian imperative demands a higher than usual tolerance of insecurity; in such situations an even greater emphasis on good security management is essential.

Purpose
This document sets out the policy for security of staff by:
• defining basic security principles that apply to all staff and programmes, at all times;
• presenting a summary of our approach to managing security; and
• establishing a framework for developing and managing location specific security systems (see attached annex).

The policy covers security issues, defined as threats to staff and assets from intentional violence. It does not cover safety issues or accidental hazards such as car accidents or medical risks.

Detailed guidance on security management and planning is contained in the Security Tool Kit 3, available on the Intranet. Hyperlinks will take you directly to the referenced documents if you are on-line or using the Intranet CR-ROM.

Principles
1. Priority
Personal security is of higher priority than the protection of assets, including vehicles, office equipment or programme materials.

2. Responsibility
Individual: each member of staff is responsible for:
• their own security and the security of staff they manage; actively participating in and contributing to maintenance of security measures; and abiding by all policies and procedures;
• ensuring that behaviour is in keeping with our beliefs and values and the Code of Conduct; and

\(^4\) Corporate Management Team
\(^5\) Oxfam is a signatory of the People in Aid Code of Best Practice
• reporting actions or behaviour that breach policy or guidelines or jeopardise team security. Breaches may be considered a disciplinary matter, to be dealt with by the appropriate line manager.

Right to Withdraw: irrespective of our judgement of risks in a particular situation, any staff member may decline to take up work in an insecure area and may withdraw, having informed their manager. If the risks are constant, or personal withdrawal is likely to be frequent or long term, employment will be reviewed, in line with organisational procedure.

Management: each manager is responsible for the security of the staff they manage, and is under the responsibility of their line manager. This responsibility follows the line management structure; so the ultimate responsibility for staff security lies with the trustees.

The Country Programme Manager (CPM) is responsible for managing staff security, including: delegating security management tasks; ensuring an appropriate security management system and plan is developed; inducting/briefing all new staff and visitors on the security situation and security measures. Security management is demanding and adequate time and resources must be allocated to it. The Regional Humanitarian Co-ordinator and the Security Adviser support CPMs in fulfilling their security management responsibilities.

The Regional Humanitarian Co-ordinator, in their role as Regional Security Focal Point, is responsible for: reviewing and commenting on security guidelines, providing quality control; ensuring the RC has access to all country security documents; providing advice and support when a security incident occurs; dissemination of best practice and tools; discussion and review of security management with country teams; identifying learning and development needs and ensuring security management issues are considered and acted on in relevant regional forum, acting as a security champion. The Security Adviser supports RHRCs in carrying out their responsibilities.

The Regional Director is accountable for all security matters in their region, and is responsible for creating an enabling environment for security to be well managed throughout the line.

Organisation: the Humanitarian Director is responsible for developing policy, monitoring policy implementation and for advising senior management on security matters. The Security Adviser supports them in this role. Exceptions to the policy may only be authorised by the International Director or the Director. Only a similar or higher level of management can revise security decisions.

Oxfam International: the OI Security Protocol commits all affiliates to sharing analysis and co-operation in managing security in all areas of operation. This approach is mandatory during an OI humanitarian response and strongly recommended during all other times.


Up to date security management plans or welcome packs must be available in all locations where staff work. For insecure locations (defined as locations where staff safety is jeopardised regularly or where there is a dangerous working environment due to crime and/or conflict) a security management plan is required. For secure locations (defined as locations where staff safety is not jeopardised regularly and where the working environment is generally safe, although minor crime may be common) a welcome pack is required, containing general guidance for staff and visitors on staying safe. Formats are outlined in the attached Annex. The Regional Centre designates which countries need security management plans and which need welcome packs.

As far as practical, staff should be involved in the development of plans and packs. At a minimum, all staff must be made aware of the contents, practical application and authority of all plans and packs, which should be translated into the appropriate working language. The RHC may advise on plans and the line manager must approve them.

4. Security Levels

Five security levels are used in all programmes, ensuring consistency throughout the organisation. Security management plans must include an outline of security levels, detailing indicators, adapted to the context, and additional actions required at each level.

Level 1, Normal: Security Guidelines/ Standard Operation procedures apply
Level 2, Precautionary: additional actions required
Level 3, Restricted Movement: restricted programme activities
Level 4, Partial Evacuation: relocation or hibernation, programme suspended
Level 5, Programme and office closed

5. Incident Reporting and Analysis

All security incidents must be reported immediately to the line manager, who is required to report serious incidents to their line manager and so on to the Regional Director, International Director, Head of International HR, the Humanitarian Director and the Security Adviser. All security incidents must be reported to the Security Adviser for record keeping and trend analysis. After the immediate event has been dealt with, the manager must analyse the incident to identify lessons learned and to better minimise or manage risks. Security incidents must be reported as soon as possible, using the Security Incident Report Format and should also be reported in the Monthly and Quarterly Management Reports.

6. Serious Security Incidents

Depending on the nature and severity of the incident, the International Director will decide whether to use the Security Crisis Management Plan and set up an Incident Management Team (IMT), which will be responsible for co-ordination, decision making and delegation of responsibilities.

a) Kidnap/Abduction: If a member of staff is kidnapped or abducted, the International Director (ID) will assume overall control, treat it as their top priority and decide whether to set up an IMT. Every effort will be made to engage with the kidnappers and particular emphasis will be placed on the use of an appropriate mediator. We will not pay any ransom requested to obtain the release of a member of staff. We will support dependent relatives and pay a staff member’s salary while they are abducted. We will make funds available to relatives to travel to appropriate foreign ministries etc, if such action might assist in the release process.

b) Sexual Assault: Sexual violence is a potential risk in many situations, especially for women. It has extremely serious consequences for the victim’s physical and psychological integrity and appropriate response and management are critical. To be prepared to manage such an incident, staff must read the paper ‘Guidance regarding staff who have been subject to sexual assault or rape’.

c) Mines and Unexploded Ordinance: All staff working in or visiting potentially mined areas must attend mandatory mines risk education or awareness training. This can often be sourced locally from the UN, de-mining agencies or other specialist NGOs. Although basic awareness may be enough for most staff, relevant staff should attend comprehensive training. General mine awareness should be included in all security inductions for new staff, and in security briefings for visitors. Guidance on supporting staff through critical or shocking incidents is available in the Oxfam leaflet ‘Stress and Distress’, Appendix III.

7. Gender and Security

Men and women may perceive risk differently and may face different risks. Both men and women’s concerns about security must be listened to and taken seriously. These differences must be thoroughly investigated and accounted for during the vulnerability analysis (see attached annex).

8. Involvement with Arms

Oxfam staff must not carry or take up arms under any circumstance and must not use or hire armed personnel either directly or indirectly. Arms and armed personnel must not be allowed in Oxfam premises or vehicles, except if staff are threatened or coerced; such incidents should be reported as a security incident. Exceptions to this principle may only be authorised by the Director on a case-by-case basis.

9. Involvement with Armed Forces and Groups

In situations of armed conflict, Oxfam should only consider the use of military means (logistics, security etc) as a last resort in extreme situations. Guidance must be sought from the Regional Humanitarian Co-ordinator, who may consult with the Humanitarian Director and others if there are implications for Oxfam’s identity. We are guided on this issue by the SCHR position paper ‘Humanitarian-Military Relations in the Provision of Humanitarian Assistance’. Involvement with armed groups may be required in pursuit of Oxfam’s security and access for programmes. A decision to meet an armed group must only be taken following a thorough analysis of the potential consequences. Such a decision is always context specific.
10. Evacuation

Planning and preparation for evacuation is an integral part of a security plan. Preparation should also be made for ‘hibernation’ – a situation when it is safer to stay in a location than to attempt to move or when an evacuation is not being considered.

In an evacuation Oxfam’s aim is to return staff to their home base, or place of safety. Notwithstanding legal obligations, Oxfam would endeavour to move all staff to a place of safety, if they are at risk directly as a consequence of their job with Oxfam, their nationality, their ethnic origin or are subject to a particularly serious or targeted threat. All staff must be made aware of their own and Oxfam’s responsibilities in advance.

Authorisation to withdraw from an area, to suspend operations or to temporarily close an office for security reasons, can be given by the Programme Manager with immediate effect and is binding on all staff. Upwards consultation with management is desirable, time permitting. Senior management may direct a team to withdraw, suspend or close an office and may override a Programme Manager’s decision to stay, to continue the programme or for an office to remain open. Senior management cannot override a decision to leave, suspend or temporarily close. The CPM (or delegate) will define in writing the specific programme, office, location or staff affected. Staff have no right to remain in a location, if they have been directed to withdraw by management.

Authorisation to return to an area after evacuation, withdrawal (partial or full) or suspension can only be given by the International Director. A systematic security review must be undertaken by the relevant manager and a written report, including recommendations, submitted by the Regional Director to the International Director for decision-making. The systematic security review should re-consider and revise the existing context and risk analysis and the appropriateness of security approaches and security management plans. Particular emphasis should be placed on how the situation may have changed, how Oxfam security measures will reflect the new situation and on how security will be managed. Reference must be made to advice sought from the Security Adviser. In complex, dynamic environments, the International Director may delegate authorisation to return to a Regional Director for specific locations or countries.

11. Collaboration

In insecure locations staff should collaborate with other members of the humanitarian and development community to improve our common security interests.

12. Medical Emergencies

In all locations where Oxfam staff work, the manager must formulate a Staff Health Protocol, which includes a procedure for medical emergencies. It should reference key contacts and numbers for locally available medical resources and the international medical evacuation procedure.
Oxfam International Co-ordination

Oxfam GB is one affiliate of Oxfam International (OI), the confederation of thirteen independent aid and development organisations working together to fight poverty and related injustice globally.

While each Oxfam is independent of each other and retains its own governance structures and practices, various agreements and protocols have been developed to facilitate relationships and joint work between the members of the OI network.

All humanitarian responses implemented by Oxfam affiliates are OI responses and, as such, are implemented within the framework of OI principles, standards and co-operation mechanisms. These are described in detail in the Oxfam International Humanitarian Dossier.

The dossier includes:

- the Basic Agreement on Oxfam International Humanitarian Response, which lays out the responsibilities of the different Oxfam organisations to ensure that affiliates respond together to humanitarian emergencies;
- an explanation of the OI structure and decision-making process in humanitarian response; and
- an outline of the role and mandate of the different OI groups that are involved in humanitarian response.

Section 2 of the dossier (Decision-Making) is available in full on the CD that accompanies this handbook. The text provided in the following section is designed as a quick guide – an abridged version of the full text with abbreviated and summarised passages of relevant components for field staff. For precise guidance, the reader is referred to the full version on the CD.

Excerpts from The Basic Agreement on Oxfam International Humanitarian Response

Principles

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

Architecture

In every country classified as a priority 1 or 2, a country humanitarian lead agency is identified.

Responsibilities of the lead agency

The lead agency is the agency with overall responsibility for the quality and the co-ordination at country level of the Oxfam International humanitarian preparedness and response. This includes:

- producing the Oxfam International Action Plan and Joint Strategy and ensuring the quality of the programmes;
- providing leadership and steer to the Humanitarian Country Team (HCT) before and during the operational phase of the response; and
- representing Oxfam International externally.

Responsibilities of the led agencies

The responsibilities of the led agencies match and complement those of the lead agency, imply acceptance of the leadership and thus empower the lead agency to perform its role. They are to share relevant information with the lead agency and actively participate in the activities of the Humanitarian Country Team.

Leadership and the decision-making process

The lead agency is ultimately responsible for the tasks assigned to the HCT. Within the HCT, the lead agency is in charge of convening regular meetings and (if not possible) regular teleconferences and ensuring that the

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6 This is a very abbreviated list. For a more extensive list please refer to the full Oxfam International dossier.
7 The Oxfam members of the Humanitarian Consortium that are active in the affected country constitute the co-ordination team at country level, the so-called Humanitarian Country Team.
decision-making process is timely, informed and in line with Humanitarian Dossier procedures. The led agencies have a proactive role in sharing information and being involved in the activities of the HCT.

**Contingency plans and preparedness**

In countries that have been identified as priority 1 or 2, the lead agency ensures that a Contingency Plan is developed.

The Contingency Plan is the basis of Oxfam International preparedness and should include:

- risk mapping in the country and identification of likely emergency scenarios;
- mapping of capacity and resources within Oxfam International and its partners; and
- identification of other external organisations’ capacity and resources in the country.

**When a disaster happens**

When an emergency occurs, the lead agency convenes the HCT for the purpose of:

- activating the Contingency Plan;
- doing a preliminary analysis of the situation (external) and available skills and resources (internal and external);
- leading a first assessment and sketch what could be done by the Oxfams at programme, advocacy and media levels; as a result of which,
- developing a Joint Strategy and an Action Plan.

The analysis, the Joint Strategy, the Action Plan and other relevant information should be posted on the Oxfam International Dashboard by the lead agency without delay, i.e. within 48 hours for a rapid-onset emergency.

**Co-ordination and deployment of Oxfam International staff**

Oxfam International secretariat staff can be employed in an emergency to help with co-ordination and media and other such activities.

**Design and implementation of programmes**

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

**Combining programmatic, communications and advocacy response**

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

**Responsibility for communicating and the communications network**

The lead agency is responsible for gathering, collating, filing and circulating information on the whole Oxfam International programme, and the led agencies should play a proactive role in supporting this process. The appointment of a communications co-ordinator is advised, as is use of the Oxfam International secretariat and Dashboard.

One of the key lessons from previous emergencies has been the need to document and distribute the outcomes of meetings, agreements, etc.

**What we communicate**

Commonly, this information will come in sitreps, which are internal to Oxfam International. It is the responsibility of the lead agency to produce these. They contain much of the same information as for an Oxfam GB sitrep but include information for all relevant affiliates.

Emergency Updates are designed to capture information on a given emergency (situation and programme status) and can be shared externally (signed-off for external use).

The lead agency is requested to use the standard Oxfam International templates included in this Humanitarian Dossier and co-ordinate with other affiliates the timing and content.

Generally, these will be daily at first, with their frequency reducing to maybe a monthly schedule after a few months. It is important to make good judgements about who needs what information and how often as the situation develops.

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4 This is for both rapid- and slow-onset crises. It will help create clarity around the start of a slow-onset response.
Basic principles

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

**The basic principles of Oxfam International humanitarian response**

1. Oxfam International aims to deliver an appropriate, timely and effective humanitarian response, incorporating the efforts and contributions of all interested Oxfams.
2. The Oxfam International response aims to meet the standards set out in the Code of Conduct and SPHERE.
3. Oxfam International works, where possible and appropriate, with local partners. These partners' contribution towards the Oxfam International Aims and Change Goals is incorporated into the longer-term strategy.
4. The Oxfam International response has a well-defined combination of advocacy, communications and field programme 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 International aims to access maximum available funds where this increases programme impact.
8. The lead agency co-ordinates with the Oxfam International advocacy bodies on critical advocacy messages.
9. Media staff develop its work in co-ordination with the lead agency, 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. Progresses against agreed objectives are reviewed after an agreed period and the Action Plan 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 Management Group, including the follow-up to recommendations.
12. The leadership and the management arrangements for the humanitarian response are constantly monitored by the Oxfam International Humanitarian Co-ordination Manager and the Oxfam International Humanitarian Consortium Management Group. Leadership and management arrangements are reviewed at regular intervals.

Humanitarian Advocacy and Media Work

Oxfam aims to achieve the greatest impact by working on three levels to address poverty and suffering:

- in emergencies, we respond by providing assistance and support;
- in our long-term development work, we assist communities in finding solutions to address poverty; and
- through campaigning, we work to achieve lasting change to the conditions which perpetuate poverty.

In humanitarian crisis situations, we can often achieve a greater impact on the situation of those affected if our delivery of assistance is also accompanied by advocacy work with governments, donors and other actors. The section below provides an introduction to Oxfam’s concept of advocacy work.

**What is advocacy?**

In a humanitarian crisis, we invariably seek to influence the behaviour of others, at local, national and international level. Examples of this type of activity include:

- persuading UNICEF to lobby government authorities over the premature closure of camps for earthquake victims;
- lobbying WFP over inappropriate food distribution;
- funding and supporting partners who seek greater equity in a government’s allocation of reconstruction aid;
- pressing international donors, via the media, to increase financial support for a particular country; or
- lobbying governments to press one particular country over humanitarian access.

The actions we take range from a programme manager in the field voicing an opinion in a co-ordination meeting with UN officials, through to a major global media effort and lobbying in capitals to influence Northern governments.

This is all ‘advocacy’, and it is something many staff, including operational, programme and management staff, do, or could do. It is not the preserve of
policy advisers. Advocacy is always done in a crisis, as is media work. The challenge is to make this coherent and effective in changing what others do. The tools and guidance provided on the accompanying CD are designed to help staff, particularly those in the field, handle this challenge.

Increasingly, we want to link our crisis-specific advocacy to our global humanitarian reform agenda, both because what we say around the crisis can reinforce our broader reform messages (e.g. the need for the international community to take greater responsibility for civilian protection) and because we may have institutional expertise that we can apply to issues arising in the crisis. For example, in the case of the Pakistan earthquake in October 2005, we advocated for greater contributions from official donors and linked the demand to the need for a better UN rapid response fund (the CERF), which was a system reform we were backing.

In Oxfam GB jargon, ‘advocacy’ normally refers to our direct contact with decision-makers, whether face to face, in seminars and public meetings, through correspondence or through our publications.

This contact is usually complemented by media work, and sometimes by ‘popular mobilisation’, which put indirect pressure on decision-makers or which influence broader public opinion and behaviour. In Oxfam GB terms, advocacy, media and popular mobilisation constitute the three core elements of ‘campaigning’. Note, however, that in Oxfam International, ‘advocacy’ is often used in a broader sense to mean campaigning. To ensure the credibility and legitimacy of the advocacy/media work, our case must be grounded in sound programme evidence, research and analysis, for which programme staff participation is essential.
Humanitarian Programmes Project Cycle

Oxfam has developed a number of guidelines and formats to assist with planning and implementing humanitarian programmes throughout the project cycle. The basic project cycle elements, which are often implemented concurrently rather than consecutively, are:

- Rapid Appraisal
- Assessment (for more details see Section 3.2)
- Project Proposal and Funding (for more details see Chapter 6)
- Implementation of Programme Activities
- Monitoring and Evaluation and Reporting (for more details see Sections 3.10 and 3.12)
- Programme Exit.

All programmes must be reassessed at regular periods to ensure that programme activities and direction are still appropriate. For example, after the first two to three months (even less in some cases) of an emergency response to an earthquake, activities must begin to change from life-saving to recovery and reconstruction, so managers and key programme staff must take time out to plan strategically for the next phase of the programme.

Rapid Appraisal

The purpose of the rapid appraisal is to gather sufficient information for Oxfam to decide whether there is a need to respond. It is not intended as an in-depth assessment and often will not even involve personnel leaving the office. Information should be gathered from the following sources:

- local and national media (TV, radio, newspapers, etc.);
- networking with other agencies (NGOs, partners, government officials, UN agencies, etc.); and
- individual key contacts.

The kind of information required should help provide answers to questions such as:

- How and when did the disaster occur?
- What is the nature and extent of the destruction (including the geographical area and the number of people affected)?
- Are local structures/resources available and sufficient to deal with the disaster?
- Does the disaster represent a widespread threat to life, and if so, in what way?
- Are other agencies (local, national and/or international) able to intervene? If so, how?
- What is the security situation like?

Once the rapid appraisal has been conducted, a concept note should be written. This serves as an early indicator that an emergency situation exists, and provides the information and recommendations that will help key personnel understand the scale of the emergency and its implications for response. This feeds into the process of Calling and Managing an Emergency (see Section 2.2). For a helpful checklist of issues to consider in the concept note, please refer to the table ‘Should Oxfam start an emergency response’ on the accompanying CD.

Assessment

Along with the rapid appraisal, a field assessment should be launched. Normally this would go hand in hand with the implementation of immediate life-saving interventions, where there is a clear and obvious need and where resources, personnel and funds can be mobilised rapidly. Often this means that the same team that does the assessment also starts operations. For more details, please refer to the Minimum Requirements for Programme Management and the associated timeline in Section 3.5.

For the assessment it is important for the following to be put in place:

- Terms of Reference for the assessment and start-up/response
- Budget and funding for the assessment
- Completion of OPAL PIP/Project
- Recruitment and deployment of assessment team
- Implementation of the assessment.
3.1 Programme Implementation

Project Proposal and Funding

The assessment produces two types of outputs. More commonly a project proposal would be produced. At this point Regional and Oxford funding coordinators would be involved (see Chapter 6).

An alternative (or additional) output would be an assessment report and recommendations. This would then either lead to project proposals or to the decision not to intervene. The presumption will always be that Oxfam will intervene in a crisis – unless it is argued otherwise.

Implementation of Programme Activities

Oxfam will always choose to undertake a public health response in an emergency, unless it is clear that it is not the right option. Other options of work involve food security/livelihoods or shelter activities (for more details on these options, please refer to Sections 3.7 and 3.8).

Oxfam's programme priorities will be balanced with the findings of the assessment. Working through national partners is the preferred way of working, but Oxfam GB retains considerable operational capacity to be able to mount its own response.

The Oxfam Minimum Requirements (see Sections 3.5, 4.2, 4.3, 4.4 and 4.5) give guidance on what is an 'absolute must' to allow for rapid decision-making and programme implementation. A Management Checklist for Programme Implementation (see the accompanying CD) has also been produced to give managers an overview of issues to check, once a programme has been started, to ensure all requirements have been met.

What is a phased approach?9

Humanitarian programmes will often transition from an initial emphasis on fast, life-saving responses to a broader, development-focused, more situation-dependent response as the situation evolves. This requires distinct phasing of programme response, and the guidelines below are the HD's first attempt at providing some steer for programme planning and changes in structures, approach and management culture that might be required to fit the programme focus.

Oxfam has recognised that:

- Especially within the early stages of a rapid response, speed is crucial. However, trade-offs may need to be made between speed of response and quality or appropriateness, and the essentials of each phase of programming will need to be defined.
- Assessment efforts should always attempt to provide as full and holistic an analysis as is possible in the limited time and circumstances, to be refined and improved as time goes on.
- There needs to be encouragement for changing the course or nature of our response as fresh intelligence arises, particularly feedback from affected communities.
- Considering longer-term issues may improve decisions and actions taken in the earlier phases.

The following table is the HD’s first attempt to summarise characteristics and priorities for the phases of a humanitarian programme response. Phases can vary considerably, but in many sizeable emergencies governments and other actors regard the first three-month period as the first phase. Slow onset emergencies allow a greater lead-time for assessment and action. The table applies to all emergencies, not just for large-scale responses.

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9As part of preparedness work in-country in anticipation of an emergency, Oxfam would gather information on potential disaster risks and provide advice on likely programme responses; assess and invest in staff and partner capacity-building; establish relevant contingency stock levels; and ensure co-operation mechanisms with other actors. For more details, see Chapter 5.
What are the Programme Manager’s priorities in each phase?

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<th>Characteristics of Phase</th>
<th>Emergency Phase</th>
<th>Stabilisation Phase</th>
<th>Transition Phase</th>
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<td>Recent widespread threat to lives, health or basic subsistence beyond coping capacity of affected population and local structures. Significant population flows. There does not have to be exceptional mortality before intervention.</td>
<td>Immediate risks to life are alleviated. Population movement has stabilised. Communities are more able to play an active role. Our understanding of context and vulnerabilities is much better informed.</td>
<td>Main impact of crisis passes. Conditions begin to ‘normalise’. Reconstruction efforts. Refugee or IDP groups returning or settling.</td>
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Top 3 Programme Priorities

- Default starting point: aim for SPHERE standards by end of phase 1. Water and sanitation 2. Food needs met – cash or kind 3. Other essential NFIs
- 1. Water and sanitation (continued), if appropriate 2. Livelihoods 3. Consider appropriateness of other programme options
- 1. Livelihoods 2. Linking into Development Programme 3. Back to DRR

Analysis and Decision-Making

- Delivery takes precedence: ensure ‘doing’ at the same time as assessing needs. Set targeting for programme based on analysis of vulnerability and threats.
- Review progress from previous phase and focus on quality improvements. Continue delivery of goods and services if necessary. Re-establishment of livelihoods. Review analysis and targeting. Consider value-adding investment in particular cross-cutting aspects.

Accountability

- Initial consultation with affected communities
- Deepen and embed accountability processes and mechanisms
- Summative learning processes with beneficiary groups

Co-ordination

- Co-ordination with other actors
- Co-ordination with other actors
- Co-ordination with other actors

Integration

- Sectoral work should be with the same population and locations.
- Look for added value for sectors complementing each other.
- Emphasis on DRR programming

Use of Partners

- Ensure delivery by most competent actors.
- Skills- and asset-building for local partners, structures and communities
- Resource local institutions. Hand over to credible actors.

Staffing

- Consider specialist skills and recruit.
- Stabilise staffing, further skills-building
- Assess potential options for staff and assets as programme scales back.

Programme Learning

- Develop basic M&E system.
- Refine M&E and commission further learning processes
- Summative evaluation processes

Advocacy

- Define advocacy message and targets.
- Check and refine advocacy messaging
- Refine advocacy messaging.

Exit

- Develop medium- and longer-term strategy. Exit strategy is defined.
- Ensure responsible exit.

A note on programme scale

Based on recent large-scale experiences, Oxfam has identified benchmarks for its ability to provide effective humanitarian programme assistance. In any given crisis, Oxfam can address the public health needs of up to 500,000 affected people and the food security/livelihoods needs of around 100,000 people.

This can serve as a rule of thumb but, of course, Oxfam’s capacity at any given time, its position relative to others, the gross numbers of people affected, access and support available are key considerations for senior managers in assessing the feasibility and time needed to realise programmes of this size.

Monitoring and Evaluation and Reporting

For more details on monitoring and evaluation and reporting, please refer to Sections 3.10 and 3.12.

It is now common to conduct a Real-Time Evaluation (RTE) during the early stages of an emergency programme. It is important that this is agreed and implemented at as early a stage as possible for the ongoing response to get the full benefit.

Programme Exit

Humanitarian programmes – unlike development programmes – do not always strive for long-term sustainability; instead, the programme might be expected to close once the emergency needs have been met. For the duration of the programme, the focus might, therefore, be on building the capacity of staff and communities to respond to emergencies that may arise in the future. It needs to be clear from the start of the programme whether or not one of its goals is long-term sustainability, and a strategy for exiting must be considered from this point.

There are three potential types of exit from a humanitarian programme:

- Closure: a gradual reduction of programme activities resulting in a complete close-out and exit from programme and programme support activities
- Handover: a transfer of programme activities to a local partner, international partner, community or government agency, whose capacity is developed during the programme implementation period
**What does an exit strategy look like?**

Essentially, an exit strategy should be a combination of the programme plan and specific procedural plans aimed at minimising the risks of exiting.

The programme plan could itself constitute the exit strategy – when a clear date for exiting has been set from the outset – or an exit strategy can be incorporated into the programme plan. In either case, these are the measures required when determining the exit strategy:

- Establish clarity on expected outputs and the end-point of the programme
- Set an explicit timeframe and deadline for programme closure activities, handover or transition
- Ensure a mutually agreed division of roles and responsibilities which defines relationships with donors, potential partners and government organisations
- Identify secured funds, funding gaps and possible funding requirements
- Agree management arrangements throughout the project cycle

Procedural plans include detailed plans for closing, handing over or transitioning the key programme support functions of HR, Logistics, Finance and Communications. They should be drawn up a few months before the exit, based on the procedural and system-based non-negotiables for exiting the programme or project. Associated tools for these can be found on the accompanying CD.

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**Humanitarian Needs Assessment**

The following section presents the complete overview of Oxfam's Assessment Tool with detailed checklists for a contextual analysis as well as for the sectors of public health, food security and livelihoods, shelter and logistics.

Additional resources and references materials are listed on the accompanying CD, which also includes Terms of Reference for a Humanitarian Needs Assessment and the template format for an Assessment Report.

**Oxfam Assessment Tool including checklists**

**Time:** As part of the emergency assessment

**Responsibility:** Assessment Team with support from Country Office

This generic Assessment Tool has been developed to aid programme staff to undertake integrated Public Health and Emergency Food Security and Livelihood (EFSL) Assessments. It aims to reduce the time between initial assessments and response to emergencies by improving the quality of our assessments.

It incorporates SPHERE minimum standards and principles and adds to them where necessary. It is hoped that programme officers as well as technical staff can use the tool. Different members of an assessment team can use different sections, to allow the workload to be shared among them. Information will need to be collected from as many sources as possible to allow verification.

Areas of Oxfam's specific competence are highlighted; however, the tool provides a comprehensive public health overview, which is required to determine priorities for response. It is possible to use the checklists independently, depending on the particular sector you are assessing, or together to gain an overview.

It should be noted that some aspects of assessments require technical support from Health, Food Security and Livelihood, Nutrition or Public Health Engineering professionals. These can be accessed regionally or in-country and centrally through the Humanitarian Department of Oxfam GB.
Unfortunately, it is not always possible to include logistics and finance staff as part of the technical team brought in to do an assessment. However, logistics and finance will be the basic foundation for any response undertaken. Adequate time and care should be taken to investigate the logistical and finance components of any proposed action. Prior to a proposal and budget being written it should be thoroughly reviewed by in-country logistics, finance and HR staff and by the RC and HD.

The principle underpinning all humanitarian needs assessments is to ensure consultation with the people affected by the crisis.

**Before You Start...**

Consider the Assessment Steps:

1. Gather Secondary Data
2. Decide on Need for Assessment
3. ToR for Assessment
4. Ensure Funding for Assessment
5. Recruit/Deploy Assessment Team
6. Assess Using Checklist
7. Analyse Information Collected
8. Place in Assessment Report Format/Proposal and Respond

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**Before You Finish...**

Please complete the assessment report format or write the proposal by answering the following questions in your Executive Summary:

- Why should/shouldn’t we respond?
- If a response is necessary, why is this the way to do it?
- What extra value does Oxfam add to a response in comparison to other organisations?
- Does the response benefit poor people?
- What are the policy and practice changes that need to be in place and/or will be achieved?
- Can beneficial linkages be made to ongoing development programmes?

**Contextual Analysis Checklist**

**WHAT?** The disaster that has led to this emergency assessment. Identify the other disasters or shocks that have affected the population and any relevant information about previous response initiatives. Describe the sequence of events leading up to the current crisis.

**WHO?** The population affected by the emergency. Are they urban or rural, and what was their normal way of life (e.g. farmers, pastoralists, traders)? Have people moved or been displaced or are people likely to move? Is it likely that they will be denied access to key services? What are the ethnic and social divisions within the population? Are there groups who have historically been marginalised? What is the community’s perception of need? What community representatives can assist in decision-making and project implementation?

**HOW MANY?** The number of people affected and their demographic characteristics. Numbers affected by the disaster and a breakdown of the population by age and sex. If available, include numbers of pregnant and lactating women.
3.2 Humanitarian Needs Assessment

**WHY?**  The underlying vulnerabilities and threats facing the affected population. Information on poverty levels, chronic food insecurity, prevalence of HIV/AIDS, state of the country’s economy, international relations, etc. Determine how this will affect the severity of crisis resulting from a particular disaster (e.g. drought, floods, acute conflict) and people’s ability to recover. Identify also the potential effects of the emergency on HIV rates, such as coercion and rape in armed conflict, vulnerability of women and potential for sex for subsistence. Who is most vulnerable to disaster (e.g. due to religion, ethnicity, livelihood group, gender)?

**The political context and governance.** This includes information on the accountability of local institutions, government services and the rule of law. Include an analysis of the political commitment and resources to address the situation, both at national and local level. Resources should include government and non-government. Is there political openness about the HIV epidemic and what is the government attitude to condom use and availability of treatment?

**WHERE?**  The geographical areas affected by the emergency and environmental conditions. What are the expected seasonal weather conditions (including temperature) in the area, region, nationally, now and for the rest of the year? What is the current temperature, and do people have adequate clothing, shelter and fuel? Describe the physical environment, the accessibility of the area by rail, road, sea and air, and how this will influence access for a relief operation.

**HOW?**  The security context. Are there any security constraints or man-made dangers (e.g. war, mines, UXO, militias)? How does the security situation affect access for relief personnel and transportation of relief commodities?

**External response to the emergency to date.** What other local and international agencies or organisations are in the area – what have they been doing and what are they likely to do in response to the situation? How has normal government infrastructure been affected? Are key ministries still functioning and effective? Which other NGOs will include HIV mainstreaming?

**Oxfam’s capacity to respond.** Which other Oxfams, if any, or their counterparts, are working in the country or in the affected area? Which Oxfam is the lead agency for emergencies in the country? What action, if any, are they taking? What experience does Oxfam have of emergency response in this country? In which sectors and in which area? Does Oxfam have partners with emergency experience? Does the country office have an emergency preparedness plan? What human resources are available in the country and in the RC to respond to this crisis? What extra human and physical resources would the country office or programme require to initiate a response? What other resources are available for HIV mainstreaming, both in-country and regionally? What are the potential funding sources for an emergency response?

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**Information sources**

**Key informants include:**
- Women and men, local leaders, community members
- Representatives of government, (Ministries of Health, Water and Sanitation, the Environment, gender focal point, etc.), local and international NGOs UN representatives; Oxfam International

**Secondary information sources:**
- Census reports, population estimates
- Newspaper reports, radio, etc.
- Observation
Needs Assessment Checklists for Rapid Assessments in Emergencies

These questions are primarily to assess needs, identify indigenous resources and describe local conditions. They do not include questions to determine external resources needed in addition to those immediately and locally available. Checklists should be used in conjunction with the contextual analysis checklist and other sector checklists.

Public Health

Oxfam Checklist for Rapid Assessment in Emergencies

These tools are for use in assessing some of the threats to life, health and dignity facing people affected by public health emergencies caused by conflict or natural disasters. They comprise generic checklists divided into eight sections for ease of access. They are designed to cover a range of emergencies and may be used for rapid assessments and/or as a basis for more comprehensive assessments.

The assessment team will need to decide how best to share responsibility between them to ensure that ‘hardware’ and ‘software’ issues are effectively covered. Support from Public Health staff will be required to address some of the questions comprehensively. It is assumed that context-specific SPHERE indicators will be used to assist with assessing levels of risk.

Section I Overview of the health status of the affected population, relevant to general context analysis in all emergencies

Section II Water quantity, quality, access and use

Section III Excreta disposal options, practices and preferences

Section IV Solid waste disposal and drainage

Section V Health and hygiene practices

Section VI Health promotion and community mobilisation

Section VII Vector control

Section VIII Malaria control

I Health status overview

1. What were the most common causes of illness (morbidity) and death (mortality) in the affected population prior to the emergency (e.g. diarrhoeal diseases, malaria, measles, respiratory infections (pneumonia), malnutrition, skin diseases, sexually transmitted infections, non-communicable diseases)?

2. Is there any epidemiological data regarding the underlying HIV prevalence, disaggregated by gender, age and risk group (often available on www.unaids.org or through Ministry of Health statistics)?

3. What illnesses are people suffering from now?

4. Who is most affected by these illnesses?

5. Are people likely to suffer from ill health in the future due to:
   • Seasonal variations in disease patterns e.g. 'hungry period', seasonal peaks in respiratory diseases, diarrhoeal diseases including cholera, malaria, dengue
   • Malaria – population moving from low-transmission area to high-transmission area, change in environmental or climatic conditions leading to increase in vector breeding
   • Low immunisation coverage for measles or other childhood illnesses
   • The preparation or sale of food.

6. How useful and reliable is the information collected by the local health facilities in reflecting the impact of the emergency on the health of the affected population?

II Water quantity, quality, access and use

Water quantity and supply

1. What is the current source of water for drinking, bathing, washing clothes and other domestic use?

2. How much water is available per person per day?

3. If quantities are insufficient, what are the options for increasing the supply?

4. How reliable is the current water supply? If pumped or delivered by truck, is it regularly available?
3.2 Humanity Needs Assessment

**Programme Implementation**

3. Humanitarian Needs Assessment

5. Will the water from the source be sufficient to meet the immediate and longer-term needs of all the affected population?
6. If the supplies are likely to be inadequate, can the population be moved?

**Water quality**

1. Is the water source contaminated or at risk of microbiological, chemical or radiological contamination?
2. Is water treatment necessary (whether or not the source is contaminated) because of the health risks in the current situation?
3. If water treatment is necessary, what are the appropriate treatment options?

**Water access and use**

1. How close to tents/dwellings are the water points? How long do people have to queue for water?
2. Do all groups in the affected population have equal access to the water? Are there any groups or individuals with specific needs (e.g. elderly or chronically ill people)?
3. Do women, men and children feel safe when they collect water?
4. How did the population manage for water before the emergency? Are there any significant beliefs or practices related to water use?
5. What type and number of containers are available to each household for the collection and storage of water?

**Excreta disposal**

**Excreta disposal options**

1. What is the current defecation practice, and does it pose a threat to public health or the physical safety of women and men?
2. If there are existing excreta disposal facilities, are they sufficient? Who uses them? Are they effectively used? Who is involved in cleaning and maintaining them?
3. Are soil conditions suitable for on-site excreta disposal?
4. What local materials are available for constructing toilets?

5. Is there sufficient space for defecation fields, pit latrines, toilets etc?
6. What is the slope of the terrain and the level of the groundwater table?
7. Do current excreta disposal arrangements encourage vectors?

**Excreta disposal practices and preferences**

1. What was the usual means of excreta disposal before the emergency? Are people familiar with the construction and use of toilets?
2. Is the use of communal or shared latrines acceptable to women and men in this community?
3. Are there significant gender-related beliefs or practices related to excreta disposal? How are children’s faeces disposed of?

**IV Solid waste disposal and drainage**

**Solid waste disposal**

1. Has the emergency caused widespread destruction to the local environment? What type and quantity of waste matter has resulted, and how is it being dealt with?
2. Is household waste likely to cause a problem? What type and quantity of solid waste is produced, and how is it disposed of (compost/refuse pits, collection system, bins)?
3. Can solid waste be disposed of on-site, or does it need to be collected and disposed of off-site?
4. Are there medical facilities or market facilities producing waste? How is this being disposed of? Who is responsible for this?

**Drainage**

1. Is there a drainage problem (e.g. flooding of shelters and toilets, vector breeding sites, polluted water contaminating living areas or water supplies)?
2. Is the soil prone to water-logging?
3. Do people have the means to protect their shelters and toilets from local flooding?
V Health and hygiene practices
1. What is the current level of understanding of disease transmission and public health risks?
2. What do mothers do when their children have diarrhoea? Is ORS, or a home-made solution, used? Is there a government policy about this?
3. What level of awareness exists about hand washing practice? Are soap or other cleansing materials available?
4. Are there materials or water available for anal cleansing? How do people normally dispose of them?
5. How do women manage issues related to menstruation? Are there appropriate materials or facilities available for this?
6. Are there important practices, beliefs or gender issues which affect people’s health (e.g. breast feeding practices, delay in seeking medical attention or preference for traditional treatment for specific illnesses)?
7. Are there culturally sensitive issues or taboo subjects?

VI Public health promotion and community mobilisation
1. What is the literacy level among the affected population?
2. What health promotion media are available and accessible to the affected population (e.g. television, radio, posters, leaflets, local folk media)?
3. Are any health promotion initiatives or activities taking place?
4. Are there any local structures with which Oxfam could collaborate in health promotion and community mobilisation activities (e.g. local community groups or NGOs, Ministry of Health or Environment staff, schools or youth groups, other INGOs)?
5. How does the community usually care for its more vulnerable members? Is the concept of voluntary (unpaid) work the norm among the population affected by the emergency?

VII Vector-borne disease control: general
1. What are the vector-borne disease risks usually prevalent in the area, and how serious are they (e.g. any obvious problem of flies, mosquitoes, rodents, cockroaches, fleas, lice or bedbugs)?
2. Is there any evidence of vector breeding sites (e.g. stagnant water, uncovered pit latrines, water containers, rubbish)?
3. If vector-borne risks are present, how do people protect themselves (e.g. nets, rat traps, sprays, growing or burning local plants and shrubs)?
4. Which groups of the population are most affected (e.g. children, men, women, new arrivals, old residents)?
5. Do people have any livestock? Where are they? What types? Where do the livestock defecate?
6. What changes could be made to the local environment (by drainage, excreta disposal, refuse disposal) to discourage vector breeding?
7. Is there a National Public Health or Vector Control Programme? What programmes, regulations and resources for vector control and use of chemicals are there?
8. What information and safety precautions need to be provided to households?

VIII Malaria control
1. Is there an outbreak of malaria or potential risk of an epidemic? Have non-immune people moved into an area where malaria is highly endemic? Have conditions altered to favour vector breeding or parasite development in areas where people have low immunity?
2. What is the normal mortality rate for malaria? How many cases and deaths have there been so far? Does this represent a significant increase, taking seasonal variations into account? Which people or groups are particularly at risk?
3. What are the anopheles species and their habits? Where and when do they feed and rest, and what are their preferred breeding sites and host preferences?
4. What cultural beliefs and practices may affect a potential malaria control intervention (e.g. family sleeping practices, awareness of cause and prevention of malaria)?
5. What are the national malaria control policies, treatment protocols, and availability of effective diagnosis and anti-malaria drugs in local health centres?

6. What are the capacity and plans of other agencies (including the government) to intervene?

Information sources
Observation, interviews with women and community representatives
Local authorities
Ministries responsible for sanitation, water and the environment, gender and/or women
Local and international NGOs and agencies
Hospitals, clinics and health outposts.

Emergency Food Security and Livelihoods (EFSL)

Oxfam Checklist for Rapid Assessment in Emergencies

The objective of Oxfam GB’s EFSL work is to assist people who are prone to, or affected by, humanitarian crisis:

- to prevent acute malnutrition by helping them to meet their immediate, minimum food needs, and
- to protect, diversify and recover their livelihoods.

The EFSL team has a livelihoods approach to its assessments. Therefore, in assessments, the severity of food insecurity is gauged at two levels:

- its impact on nutrition in the short term (risks to lives), and
- its impact on livelihoods in the longer term.

Therefore, the aim of food security and livelihood assessments is to determine:

- whether people’s lives are at risk because they are unable to meet their food needs, and
- whether people are using strategies that will put their livelihoods at risk in the longer term.

At the end of your assessment you should know how each livelihood group has been affected by the disaster, and which one is the worst affected. We do this by assessing how the food and income sources of different livelihood groups have changed as a result of the disaster. We also assess those groups’ specific responses to food insecurity – coping strategies – and nutritional status (as a proxy for ability to meet food needs).

Oxfam’s guidelines identify nine key components of a food security assessment:

1. The general emergency context
2. Food availability (and market impact)
3. Defining livelihood groups/zones
4. Changes in food security for different livelihood groups
   a. Baseline: food security before the disaster
   b. Food security during the disaster
5. Ability of each livelihood group to cope
6. Nutritional status
7. Future changes in food security
8. External response so far
9. Oxfam’s internal capacity to respond.

Your assessment should enable you to answer the following key questions:

- What is the geographic area most in need of assistance?
- Who are those who are most in need of assistance? (Categorise by livelihood group.)
- How many people are in need of assistance?
- What type of assistance do the different livelihood groups require?
- How much assistance do they require?
- For how long should assistance be provided? Consider the seasonal activities of the different livelihood groups.
The checklist below is a combination of the SPHERE Food Security Assessment Checklist and Oxfam’s guidelines. The food security checklist and the questions must be adapted to suit the local context and the specific objectives of the assessment. In a rapid assessment, many of the questions can be answered using secondary information and key informants.

More detailed checklists and more shock-specific guidance is available from the Situation Analysis Knowledge Map on Oxfam’s EFSL intranet site. Information is also provided on different methods for collecting information, analysing the findings, reporting format, and advice on how to use the information collected to identify appropriate interventions.

**How have food availability and markets changed as a result of the disaster?**

1. How much food and essential non-food items (such as fuel and animal fodder) is available in the area? How much is likely to be imported into and exported out of the area?
2. How much food does the government have in store for the affected population? Are subsidised foods available? If so, how are they accessed and at whom are they targeted?
3. How accessible is the nearest market for obtaining basic goods? (Consider distance, security, transportation and gender (cultural) aspects.)
4. How has the disaster affected access to essential markets (e.g. labour, food and non-food)?
5. How has the disaster affected the availability of essential food and non-food items in markets, their prices and the source of those goods? What impact does this have on different livelihood groups and their ability to access essential food and non-food items?
6. Prior to the disaster what were the average terms of trade between key items sold and bought (e.g. how many bags of grain can be bought with the sale of a goat)? How does this change with the time of year?
7. What has been the impact of the shock on other services that are essential for households (e.g. credit systems, information, animal vaccinations, etc.)?

**What are the different livelihood groups in the affected population (i.e. groups of people with similar food and income sources who are subject to similar risks)?**

8. Are there groups in the community who share the same livelihood strategies, and how can these be categorised according to their main sources of food or income?
9. How have the productive activities (e.g. harvests, casual labour, pasture, livestock, fisheries, trading) changed for the different livelihood groups as a result of the disaster?

**Livelihood Groups**

Those with the same livelihoods will respond in similar ways to particular shocks (e.g. drought, flood, conflict, etc.), and will benefit from the same interventions to promote food security and protect their livelihoods. Livelihoods are characterised by their main source of food and income (e.g. farmers, pastoralists, fishermen, traders, civil servants, etc.) and their assets (e.g. land, livestock, draught power). Groups may also be divided according to their vulnerability to the risks resulting from nationality, social or political group and refugee status or other risks. Livelihood groups may coincide with a geographical area or zone, or several groups may be found within the same geographical area.

**How did the different livelihood groups access food before the disaster? (Baseline)**

10. How did the different livelihood groups acquire food or income before the disaster? (For a ‘normal’ year in the recent past, what were their sources of food and income?)
11. How did these different sources of food and income vary between seasons in a normal year? (Tip: constructing seasonal and agricultural, livestock and fishing calendars may be useful.)

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**Sources**

- A ‘normal’ year is defined as one that occurs most often in the last 10 years.
12. What kind of assets, savings or other reserves do the different livelihood groups own (e.g. food stocks, cash savings, livestock holdings, investments, credit, claims, unclaimed debt etc)?

How have food and income sources changed as a result of the disaster?

13. How has the disaster affected the different sources of food and income for each of the livelihood groups compared to what is normal for the time of year? Which food sources are the same, which are reduced, which increased, and which are new?

What is the ability of each livelihood group to cope?

14. What other coping strategies are different livelihood groups using in response to food insecurity? What are the risks associated with these strategies in terms of their livelihoods, health, general well-being, and dignity?

15. Which livelihood group or other population group (e.g. type of displaced, ethnic group) is the most vulnerable to food insecurity as a result of the disaster?14

16. What are the short- and medium-term effects of coping strategies on the people’s financial and other assets? Have any assets been sold, lost or destroyed that are vital for food security and livelihoods, such as cooking equipment, food or seed stores, tools for agriculture, draught power? If so, how are they going to be replaced?

17. How does HIV/AIDS affect people’s ability to cope?

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### Coping Strategies15

<table>
<thead>
<tr>
<th>Severity of food insecurity and risk of mortality</th>
<th>Insurance strategies</th>
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<tbody>
<tr>
<td>Vulnerability</td>
<td>Strategies in anticipation of environmental uncertainty.</td>
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<table>
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<tr>
<th>Reversible strategies</th>
<th>Reversible strategies which are not damaging to livelihoods.</th>
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<tbody>
<tr>
<td>Irreversible strategies and risky survival strategies</td>
<td>Strategies which are damaging to livelihoods and/or dignity in the longer term and are irreversible. Strategies become focused on survival.</td>
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<table>
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<tr>
<th>Food crisis</th>
<th>Strategies exhausted</th>
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</thead>
<tbody>
<tr>
<td>People unable to meet food needs through survival strategies or are displaced in camp environments. There are high rates of mortality.</td>
<td></td>
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</tbody>
</table>

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### Nutritional Status

18. Is there any recent information on the prevalence of acute malnutrition in the affected population? Is there a national nutrition surveillance or growth monitoring system in place?

19. What are the normal seasonal patterns for the prevalence of malnutrition? If prevalence of malnutrition is unusually high for the time of year, what are thought to be the main causes (e.g. lack of food, disease, food insecurity, poor public health, social and behavioural factors)?

20. Is the prevalence of acute malnutrition expected to rise, and why?16

21. Are there any government health structures or church-based organisations in place to support malnourished children (e.g. MCH clinics, Therapeutic Feeding Centres (TFCs), Supplementary Feeding Centres (SFCs), etc.)?

22. Are there any national or local vaccination programmes, vitamin distribution or de-worming programmes in place (especially Vitamin A, and measles vaccine)?

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14 The people most vulnerable to disasters are not necessarily those who are chronically vulnerable in most societies, for example, women, children, older people, disabled people, and people living with HIV/AIDS. Vulnerability needs to be determined on the basis of an analysis of the impact of the disaster on food security on different groups.

15 For further information, see Food Security Assessment Guidelines at http://intranet.oxfam.org.uk/programme/humanitarian/programme_areas/efsl/

16 Global Acute Malnutrition (GAM) is the sum of Moderate Acute Malnutrition (MAM = <-2SD) and Severe Acute Malnutrition (SAM = <-3SD). Acute malnutrition (wasting) is different from chronic malnutrition (stunting), and happens over a much shorter time period.
Shelter, Site Selection and Physical Planning

Oxfam Checklist for Rapid Assessment in Emergencies

General shelter
1. How many people are involved, and how are they affected? Where are they? Are they settled or mobile?
2. Is the site under consideration for a transit camp or a transitional settlement – what is the likely duration of the displacement?
3. Are there other alternatives to displacement, such as rapid rehabilitation of housing?
4. Would sheltering with host families be an option?
5. Who will ultimately have responsibility for site selection decisions? Are there issues of land rights?
6. What are the current or likely shelter- and site-related diseases (e.g. high incidence of respiratory tract infections, malaria, psychological illness, etc.)? What are the distribution and expected evolution of the problems?

Site selection
In all considerations for site selection, analyse the different needs of different groups, and disaggregate population data, paying particular attention to age, disability and gender.

1. Political and security issues: Has permission been obtained from the authorities for use of the site? Is the site secure enough to offer the refugees or displaced people adequate physical protection? Is the site at an acceptable distance from the border or from the area of origin of the refugees or displaced people?
2. Water source: Is there a suitable and reliable water source available in the area all year round? (See water and sanitation checklist.)
3. Site surface area: Is there enough space in the site for household plots and area necessary for roads, footpaths, firebreaks, water installations, sanitation and education facilities, burial grounds? Is there sufficient land for future expansion? (SPHERE Indicator: minimum 45m² per person)
4. **Topography and location:** Is the location away from swamps, depressions, river banks and lake shores that may have detrimental effects on the well-being of the residents? Does the topography of the site have a gentle slope?

5. **Environmental conditions:** Is the area free of major vector-borne and environmental health hazards, such as malaria, schistosomiasis, sleeping sickness, etc.? Is the area at risk from flooding, landslides or active volcanoes?

6. **Soil type:** Is the soil type of the area sandy permeable, black cotton soil, fine clay or rocky? Is it suitable for digging latrines and for wastewater infiltration?

7. **Accessibility:** Is the site accessible throughout the year? Are there all-weather roads to sources of food, fuel and shelter material?

8. **Fuel wood:** Is fuel wood for cooking and heating freely available in the vicinity of the site? Will this be adequate in the future or will alternative fuel need to be imported to the site?

9. **Construction materials:** Are construction materials, such as wood, stone and sand, readily available within the vicinity of the site?

10. **Environmental impact:** What will be the environmental effect of using the site to host refugees or displaced people? Are there ways of mitigating such effects?

11. **Vegetation:** Is the site endowed with vegetation cover which will reduce soil erosion and provide a source of shade?

12. **Social and cultural issues:** Are there social or cultural issues as to why the site was not used before by the host community? Is the host community amenable towards refugees or displaced people occupying the site or will conflicts occur?

**Physical planning**

1. **Consultation:** Has the community been consulted on camp layout? Are there other stakeholders that need to be consulted (e.g. government, UN, co-ordination bodies, other NGOs)?

2. **Layout:** Will the camp layout be in a pattern or in clusters? What social impact will the settlement layout have on the population?

3. **Facilities:** Is there provision in the planning for water and sanitation facilities, solid waste disposal points, health and feeding centres, administration and management buildings, warehousing and staff accommodation facilities? Are markets, informal social facilities, places of worship, graveyards, etc. provided? Are there established quarantine camps in isolation from general residential areas?

4. **Security:** Are social, health, water and sanitation and other essential facilities safely accessible and lit at night, particularly for women? Is there equitable access for different groups within the population? Is there a need to provide additional protection or security for vulnerable groups within the population? Is there a need to provide protection to the local population?

5. **Safety:** Is there a provision for firebreaks at least every 300 metres? Are there other hazards associated with the site (e.g. flash-flooding, landslides)?

6. **Access:** Is there a need for roads or walkways within the settlement or around the periphery? What measures will be used to reduce the accident risk of roads?

7. **Gradient:** In planning roads, drainage and water supplies, have natural contours been used to best advantage?

**Shelter**

1. **Basic needs:** Have people had to flee from their normal homes? If not, what damage has been caused to their homes? What shelter is currently available and to what proportion of the affected population?

2. **Climate:** What is the normal climate, and which is the current or oncoming season? What particular shelter needs will be associated with the coming season? Will people have access to blankets and additional clothing if necessary?

3. **Vulnerability:** Are there particularly vulnerable groups among the population with special needs? Do women-headed households suffer a disadvantage in allocation of plots? Do all groups have equitable access to building materials? Will households without male labour require additional support in construction? Are there beliefs or social practices which have a bearing on design and construction of shelters? Is there sufficient privacy and security for women?
4. **Materials**: What shelter materials are locally available? Will they need to be imported? Are quantities adequate for the needs? Do people need to pay for these materials? Will the market for these building materials be affected by additional demand?

5. **Construction expertise**: What construction methods are usually employed in the area? Do people build their own homes or are they built by construction specialists? Is the site or location suitable for conventional construction methods or are there particular problems or risks?

6. **Tents and plastic sheeting**: Will tents or plastic sheeting be distributed? Does any sheeting conform to Oxfam specification? Will tents be of adequate quality and appropriate for the use of the target families?

7. **Space**: How much space is available for family shelters? (SPHERE Indicator: at least 3.5m²)

8. **Cooking and heating**: Is fuel available for heating or cooking if required? Who collects it, and do they need to pay for it? Will supplies be adequate for the future? Are special heaters or cooking stoves required?

9. **Other non-food items**: Will the population require mattresses, cooking utensils, household water storage and filtration equipment, sanitary materials, lighting, household tools? Are there any chronically ill people who could be HIV-positive and would require home nursing with special needs?

**Information sources**

Observation, interviews with women, male and female community representatives, women’s ministries.
Local authorities, ministries responsible for site planning and the environment.
Local and international NGOs and agencies.
Hospitals, clinics and health outposts.

**Logistics**

**Oxfam Checklist for Rapid Assessment in Emergencies**

**First principles**

1. What support capacity can the existing Oxfam office provide to the affected area in terms of staff, vehicles, customs support, communications, purchasing, immigration, equipment and other infrastructure?

2. Draw up a list of people to meet (e.g. logisticians and administrators from other NGOs, ICRC, local community leaders, customs officials with regard to registration, possibly military authorities, UNHCR security officer, etc.) and obtain NGO contact names, addresses and telephone numbers.

3. Which agencies could share or loan resources and equipment, and what equipment?

4. Keep careful accounts of expenditure during the needs assessment, and keep all receipts.

5. Check with logisticians from other NGOs on local availability of goods:
   - food
   - construction materials (including technical water equipment)
   - computer and communication equipment
   - fuel for vehicles
   - fuel for cooking
   - medicines
   - car parts and maintenance – who, examples of prices and reliability.

**Security**

1. Has security changed (deteriorated or progressed) since the onset of the crisis?

2. Have any security checkpoints been set up? If so, where are they located, and is there any danger associated with the checkpoints?

3. Is there any critical documentation that needs to accompany either vehicles or people when travelling in the crisis area?

4. Are there documented/publicised danger and No-Go zones?

5. Are there any military areas or minefield hazards of which to be aware?

6. Are there current evacuation plans in place for accommodation/field/office? If yes, attach; if no, identify as need to develop.

7. Has the security focal point for the operation been determined and security plans and procedures developed? If yes, attach; if no, add as need to do.

8. What gender considerations have been incorporated into security planning?
Infrastructure

1. Is there local power supply to the areas in which Oxfam will be working? If no, are there any other alternative sources of power that can be utilised?
2. What are the general road conditions? Please include in the description any access issues and the condition of the road. Also note any weather hazards that could cause access issues not currently there.
3. Is there truck access to site (hill gradients, maximum truck size or weight at EDP bridge limitations?)
4. Are road maps available? If yes, are they current and accurate?

Accommodation and offices

1. Where and what accommodation is available (i.e. hotels, houses or offices) and at what cost?
2. Are there gender issues to consider in selecting or setting up offices or accommodation?
3. Advise on best location for Oxfam houses and offices. It is advised that Oxfam accommodation, offices and warehouses are not located in the same compound.

Availability of goods

1. What is the availability and quality of food in the area? Is cooking fuel available?
2. Are any construction materials (including technical water equipment) available? If yes, what is their condition?
3. Can computer and communication equipment be purchased locally?
4. Is there petrol for vehicles? If yes, what type is available (e.g. diesel)?
5. What medicines, if any, are available locally? What is the quality of local medicines, and from where are they supplied?
6. Are there agencies that could share or loan resources and equipment until Oxfam operations can get started?
7. What equipment is available?

Procurement and cost of living

1. What is the local availability and cost of fresh food? Are local products available through markets or from local suppliers?
2. What are the basic costs of living, i.e. the cost of a ‘bread basket’?
3. What is the location of the nearest local market?
4. What is the local availability of hardware, pipes, stationery, tools, photocopying, courier services, chemicals, furniture, etc.?
5. Is it possible to procure through international processes? Are there additional taxes, duties, customs procedures, etc.?
6. Are there additional governmental restrictions or requirements that should be noted around purchasing both locally and internationally?
7. Are there time constraints caused by restrictions and requirements that need to be factored in?

Radio communications, phones and mailing systems

1. Is there a need for satellite communications? If so, why?
2. Is there a functioning postal system?
3. Assess the need for VHF, HF communications including mobile/base station and Satfax.
4. If radio communication is allowed:
   • who are the authorities concerned, and are licences required?
   • does communications equipment need to be registered?
   • what is the cost of licences?
   • what frequencies are allowed and what distance of transmissions?
   • are there restrictions on the orientation of transmissions?
   • what is the quality of transmissions (i.e. how well do HF and VHF radios work in the area)?
   • is there a VHF repeater network in the area?

Ports of entry

1. When do the ports open?
2. What are the crossing procedures?
3. What are the requirements for taking cars across?
Transport systems

**Air**
1. Where is the closest international airport, and what is the distance from the site?
2. What local airfields are there, and what is the distance from the site?
3. What routes are available?
4. What is the maximum size of aircraft allowed?
5. What is the national airline, and what is the frequency of flights?
6. Are there any safety or reliability concerns with national airlines?
7. What are the conditions of entry and exit?

**Ground**
1. Buses, trains, taxis: scheduled services, availability for use and hire.
2. What is the state of repair of buses and trains? Will they be able to transport people or goods to field locations?
3. Trucks, pick-ups, 4WD: availability for hiring with numbers, types, reliability and cost.
4. Loan of vehicles from existing programmes or other agencies, availability for initial stage?

**Sea**
1. How far are ports from Oxfam's capital office and field sites?
2. What size of ship do the ports allow to be handled?
3. Are cargo handling and freight forwarding abilities available?

**Freight**
1. Research addresses, prices and schedules of relevant companies.
2. Determine conditions of import and export.
3. Determine customs procedures, including formalities and transit agents.

**Warehousing**
1. Determine current warehouse and storage needs, including size, location, accessibility, safety, facilities, etc.
2. Consider material handling and storage media.
3. Identify any existing Oxfam or partner warehouse and storage buildings that may be available.
4. Determine whether there are any specific donor requirements which must be adhered to in relation to Warehouse and Inventory Management.
5. Estimate future storage needs.
6. Determine if there is potential to share storage buildings with other NGOs.

**Vehicles**
1. How many vehicles are currently on the ground and in what condition?
2. Is it possible to purchase vehicles locally? Is it possible to rent vehicles?
3. If vehicles need to be purchased, how many vehicles will initially be required?
4. What are the types of vehicles in local use, and do people drive on the left or right?
5. Will vehicles need to be customised (e.g. larger fuel tanks, water accessibility, etc.)?
6. What is the availability of car parts and maintenance? Please provide examples of price and reliability if possible.
7. Advise on the type of tyres needed.
8. Where are spare parts available? Where are garages or mechanics located?
9. Advise on the type of fuel required and available.

**Insurance and regulations**
1. What are the costs involved? What mode of payment is accepted, and are there tax-free conditions?
2. What are the registration procedures and time needed to complete the process?
3. Will renewal of registration be necessary?
4. What insurance is necessary, and what are the driving licence regulations?
5. What regulations exist regarding importing vehicles?
6. What restrictions are there?
7. What vehicle and driver registration is needed?
8. Are there local safety requirements that need to be taken into consideration when ordering vehicles (e.g. seatbelts)?
9. If there is already donor funding, are there any specific donor requirements which must be adhered to in relation to transportation or distribution?

Partner assessment

Procurement
1. Do you have a written procurement procedure?
2. Is there a ceiling of expenses without asking authorisation? If yes, what is it?
3. How do you negotiate cheaper rates on purchases?
4. Who is responsible for expenditure on materials, stationery and storage? What is his/her role? Is this an independent purchasing function (to check if everybody can buy anything everywhere for their own purposes or if it is under the control of a single person)?
5. What is your process of selecting materials? Do you use a list of suppliers? Do you compare prices or quality? If yes, how?
6. Do you co-ordinate with other local NGOs for any order and/or when you face a lack of material?
7. If ever a template or form is to be used, in which language(s) does it need to be? Is English relevant and sufficient, or are other languages necessary?

Warehouse management
1. Where are your products stored?
2. What is your process of recording or registering material: from purchase point to use/consumption point?
3. What is your process of registering what material is in your storage?
4. What is your process of registering what material is out of your storage (i.e. in the field)? How do you control that the quantity of material you gave or sold has all been used for the purpose requested?

Vehicle management
What system do you use to manage your vehicles?

Model Programmes

A humanitarian emergency is any situation where there is an exceptional and widespread threat to life, health or basic subsistence which is beyond the coping capacity of individuals and the community.

Purpose of Oxfam’s humanitarian programmes
Oxfam’s humanitarian programmes aim to have the maximum impact on the health of a population affected by crisis, through the integration of Oxfam’s various sectoral activities. Underpinning such an integrated approach is an understanding of the relationship between water and sanitation, food security and health. For example, scarcity of water (drought) or excess of water (flooding) threaten all aspects of food security, while illness due to lack of adequate water and sanitation prevents the optimum usage of food consumed. Malnourished children are in turn more prone to ill health. Health promotion – as part of an integrated response – aims to mobilise the affected population to protect itself from public health risks and can help to involve the users in the provision of the services being made available to them.

An Oxfam programme is dynamic and, therefore, responsive to different emergency contexts; it may involve support and capacity-building for partner organisations in preparedness, response or operational initiatives, which are adapted to meet changing needs over time.

What analysis is required?
An Oxfam response to a humanitarian emergency will commence with a multi-sectoral assessment of humanitarian needs and risks, and of the scale and severity of the crisis. The impact of the response interventions of all participating agencies is monitored by comparing public health indicators such as morbidity, mortality and malnutrition rates, if available, with data from the pre-emergency situation. Proxy indicators and the views of the affected communities are also taken into account in measuring the specific impact of Oxfam’s programmes.
### Example of a Flood Response

Options for Oxfam Humanitarian Response to Floods (assuming people are not displaced)

<table>
<thead>
<tr>
<th>Immediate Causes</th>
<th>Improving Food Intake, Treating Malnutrition, For example:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Provision of cooked food or community kitchens for short period if people’s houses destroyed.</td>
</tr>
<tr>
<td></td>
<td>• Dry general rations as soon as people able to cook</td>
</tr>
<tr>
<td></td>
<td>• Supplementary feeding</td>
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<tr>
<td></td>
<td>• Agreement with other agency for therapeutic feeding</td>
</tr>
<tr>
<td></td>
<td>• Distribute cooking utensils</td>
</tr>
<tr>
<td></td>
<td>• Ensure availability of cooking fuel</td>
</tr>
<tr>
<td>Treating Disease</td>
<td>• Encourage early referral to clinic for e.g. severe diarrhoea, pneumonia and malaria</td>
</tr>
<tr>
<td></td>
<td>• Advocate for clinical services if necessary</td>
</tr>
<tr>
<td></td>
<td>• Provide water and sanitation for clinics if required</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Underlying Causes</th>
<th>Improving Food Security</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• General food distribution to prevent sale of remaining assets</td>
</tr>
<tr>
<td></td>
<td>• Production support: agriculture, veterinary care, restocking, fishing support</td>
</tr>
<tr>
<td></td>
<td>• Income/employment support: provision of essential assets lost in floods: e.g. potters wheels, sewing machines, CPW, FPW.</td>
</tr>
<tr>
<td></td>
<td>• Market support: rehabilitation of roads, market infrastructure through FFW/CFW.</td>
</tr>
<tr>
<td></td>
<td>• Rehabilitation of irrigation structures</td>
</tr>
<tr>
<td></td>
<td>• Also consider: Food distribution monitoring, improving the general ration, Cash or voucher distribution, Food security/nutritional surveys</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Addressing Social, Cultural and Behavioural Practices</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>• Collect and analyse: disaggregated demographic data</td>
<td></td>
</tr>
<tr>
<td>• Information on gender roles and relations, social structures and networks</td>
<td></td>
</tr>
<tr>
<td>• Health beliefs, practices and taboos, knowledge of risks.</td>
<td></td>
</tr>
<tr>
<td>• Promote: community involvement in design and location of watsan facilities, ensure individuals or groups not marginalized</td>
<td></td>
</tr>
<tr>
<td>• Community management of watsan facilities</td>
<td></td>
</tr>
<tr>
<td>• Community based approach to GFD, Food distribution to women as heads of households</td>
<td></td>
</tr>
<tr>
<td>• Ensure availability of special foods for small children</td>
<td></td>
</tr>
<tr>
<td>• Provide child care so that women can take part in CFW/FFW</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Basic causes</th>
<th>Advocacy and Capacity Building of Responsible Authorities</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>WFP: food supply, quality and quantity of rations, location of EDPs, FAO: funding for agricultural inputs</td>
</tr>
<tr>
<td></td>
<td>GOVERNMENT: government response to flood, policy and strategy for flood response (preparedness), co-ordination of relief effort.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Promoting a Healthy Environment</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>• Provide clean potable water</td>
<td></td>
</tr>
<tr>
<td>• De-sludge/de-water open wells of mud and contaminated water</td>
<td></td>
</tr>
<tr>
<td>• Chlorinate wells</td>
<td></td>
</tr>
<tr>
<td>• Establish small treatment units in small communities</td>
<td></td>
</tr>
<tr>
<td>• Distribute household water filters or chlorine or combined flocculent and disinfectant and safe water container in disbursed communities.</td>
<td></td>
</tr>
<tr>
<td>• Ensure water sources are protected with protection walls or concrete seals</td>
<td></td>
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<tr>
<td>• Repair broken pipes, existing water infrastructure and irrigation canals.</td>
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</tr>
<tr>
<td><strong>Sanitation</strong></td>
<td></td>
</tr>
<tr>
<td>• Ensure excreta is kept away from human contact</td>
<td></td>
</tr>
<tr>
<td>• Construct latrines at displaced sites on higher ground</td>
<td></td>
</tr>
<tr>
<td>• Build raised latrines</td>
<td></td>
</tr>
<tr>
<td>• Provide portable toilets (porta-loos)</td>
<td></td>
</tr>
<tr>
<td>• Desludge existing latrines and septic tanks</td>
<td></td>
</tr>
<tr>
<td>• Repair excreta disposal infrastructure</td>
<td></td>
</tr>
<tr>
<td>• Dig drainage canals</td>
<td></td>
</tr>
<tr>
<td>• Clear solid waste, rubbish and rubble</td>
<td></td>
</tr>
<tr>
<td>• Vector control</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Health/Hygiene Promotion</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Collect data on health risks for affected communities and hosts</td>
</tr>
<tr>
<td>• Agree action plans with community to reduce priority risks</td>
</tr>
<tr>
<td>• Identify/recruit outreach networks (e.g. volunteers, TBAs, CHW’s) and train them</td>
</tr>
<tr>
<td>• Develop promotional materials</td>
</tr>
<tr>
<td>• Mobilise community action and adoption of safe practices through group meetings, campaigns, use of local communication media</td>
</tr>
<tr>
<td>• Promote effective use of distributed non food items e.g. soap, Oxfam water containers, water filters, ORS, ITNs, children’s potties</td>
</tr>
<tr>
<td>• Monitor disease trends/outbreaks and respond as necessary</td>
</tr>
<tr>
<td>• Ensure women have material for use when menstruating</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Shelter</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Provide emergency shelter</td>
</tr>
<tr>
<td>• Provide non food items, e.g., blankets, clothes, sleeping mats, etc.</td>
</tr>
<tr>
<td>• Repair damaged shelters</td>
</tr>
</tbody>
</table>

| DONORS: funding for emergency response, allocation of funds to FAO |
| WHO/UNICEF: support government in co-ordination and health information systems |
| Collaboration and Co-ordination with other agencies and NGOs |
Example of a Response to Displacement into Camps
Options for Oxfam Humanitarian Response to displacement into camps

<table>
<thead>
<tr>
<th>Immediate Causes</th>
<th>Treating Disease</th>
</tr>
</thead>
<tbody>
<tr>
<td>Improving Food Intake, Treating Malnutrition</td>
<td>• Improving Food Intake, Treating Malnutrition</td>
</tr>
<tr>
<td>• e.g. General food distribution</td>
<td>• Improving Food Intake, Treating Malnutrition</td>
</tr>
<tr>
<td>• Supplementary feeding</td>
<td>• Treating Disease</td>
</tr>
<tr>
<td>• Agreement with other agency for therapeutic feeding</td>
<td>• Treating Disease</td>
</tr>
<tr>
<td>• Distribute cooking utensils</td>
<td>• Treating Disease</td>
</tr>
<tr>
<td>• Ensure availability of cooking fuel</td>
<td>• Treating Disease</td>
</tr>
<tr>
<td></td>
<td>• Improve early detection and treatment of disease (PHP)</td>
</tr>
<tr>
<td></td>
<td>• Advocate for clinical services if necessary?</td>
</tr>
<tr>
<td></td>
<td>• Provide watsan facilities for clinics</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Underlying Causes</th>
<th>Addressing Social, Cultural and Behavioural Practices</th>
</tr>
</thead>
<tbody>
<tr>
<td>Improving Food Security</td>
<td>• Collect and analyse: disaggregated demographic data</td>
</tr>
<tr>
<td>• General food distribution as UNHCR implementing partner</td>
<td>• Information on gender roles and relations, social structures and networks</td>
</tr>
<tr>
<td>• Food distribution monitoring to ensure that everyone has equal access to general food rations</td>
<td>• Data on health beliefs, practices and taboos, knowledge of health risks</td>
</tr>
<tr>
<td>• Purchasing additional food commodities to improve the quality or quantity of the general ration</td>
<td>• Promote: community involvement in design and location of watsan facilities</td>
</tr>
<tr>
<td>• Improve micro-nutrient access through vegetable gardening</td>
<td>• Community management of watsan facilities</td>
</tr>
<tr>
<td>• Food security and nutritional surveys</td>
<td>• Community based approach to GFD, food distribution to women as heads of households</td>
</tr>
<tr>
<td>Also consider: Cash or voucher distribution; Production support: agriculture, livestock, fishing</td>
<td>• Ensure availability of special foods for small children, ensure individuals or groups are not marginalized</td>
</tr>
<tr>
<td></td>
<td>• Provide child care so that women can take part in GFW/FFW</td>
</tr>
<tr>
<td></td>
<td>• Information on HIV + condoms if appropriate</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Violence + Coercion</th>
<th>Insecurity</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Supporting community strategies to avoid threats of violence and coercion</td>
<td>• Help communities to access information to manage risks and negotiate with authorities to reduce risks if forced to return</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Promoting a Healthy Environment Water</th>
<th>Health/Hygiene Promotion</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Provide safe access to clean potable water, water tankering if needed or tapping into existing sources</td>
<td>• Collect data on health risks for affected communities and host</td>
</tr>
<tr>
<td>• Pump water from rivers or wells/boreholes into tanks for treatment with chemicals where necessary</td>
<td>• Agree action plans with community to reduce priority risks</td>
</tr>
<tr>
<td>• Chlorination of all water supplied</td>
<td>• Identify/recruit outreach workers (e.g. volunteers, TBAs, CHW’s) and train them</td>
</tr>
<tr>
<td>• Provision of distribution systems/tap stands</td>
<td>• Develop promotional materials</td>
</tr>
<tr>
<td></td>
<td>• Mobilise community action and adoption of safe practices through group meetings, campaigns, use of local communication media</td>
</tr>
<tr>
<td>Sanitation</td>
<td>• Establish community-based malaria control strategies</td>
</tr>
<tr>
<td>• Secure contained area/trenches for excreta disposal until latrines are in place</td>
<td>• Promote effective use of distributed non food items e.g. soap, Oxfam water containers, water filters, ORS, ITNs</td>
</tr>
<tr>
<td>• Provide safe access to separate latrines for males and females</td>
<td>• Monitor disease trends/outbreaks and respond as necessary</td>
</tr>
<tr>
<td>• Provide hand washing facilities at latrines/defecation areas</td>
<td>• Ensure women have material for use when menstruating</td>
</tr>
<tr>
<td>• Provide men’s and women’s washing cubicles</td>
<td>• Provide condoms and HIV education if appropriate</td>
</tr>
<tr>
<td>• Provide clothes washing areas</td>
<td>Shelter</td>
</tr>
<tr>
<td>• Ensure solid and clinical waste disposal</td>
<td>• Site planning</td>
</tr>
<tr>
<td>• Dispose of dead bodies and carcasses</td>
<td>• Provide emergency shelter</td>
</tr>
<tr>
<td>• Provide drainage around water points</td>
<td>• Provide non-food items e.g. blankets, sleeping mats.</td>
</tr>
</tbody>
</table>

GOVERNMENT: address causes of displacement; access to land + water, employment legislation, location of refugee sites, freedom of movement and access to markets, voluntary return processes, security in displaced camps; justice mechanisms, provision of basic services
DONORS: funding for emergency response, allocation of funds to WFP/UNHCR.
UN: addressing root causes of displacement: restoring peace and security; prioritising work of peacekeepers
### Example of an Early Phase Drought Response

Options for Oxfam Humanitarian Response During Early Stages of Drought (assuming people are not displaced)

<table>
<thead>
<tr>
<th>Immediate Causes</th>
<th>Improving Food Intake</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Treating Malnutrition</strong></td>
<td>• Focus is on preventing malnutrition through addressing the underlying causes (i.e. food insecurity, public health and caring behaviours).</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Treating Disease</th>
<th>• Promote early detection and treatment of disease (PHP)</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Make sure other agency is treating main diseases?</td>
<td></td>
</tr>
</tbody>
</table>

| Violence + Coercion | • Support community strategies to avoid threats of violence and coercion |

<table>
<thead>
<tr>
<th>Underlying Causes</th>
<th>Improving Food Security</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Food:</strong></td>
<td>• General food distribution to protect livelihoods and prevent malnutrition</td>
</tr>
<tr>
<td></td>
<td>• Production support:</td>
</tr>
<tr>
<td></td>
<td>(a) livestock: fodder distribution, livestock off-take, veterinary care.</td>
</tr>
<tr>
<td></td>
<td>(b) agriculture: use of seed banks, loans, micro-credit established as mitigation measures</td>
</tr>
</tbody>
</table>

| • Markets: provision of subsidised foods, fair price shops. |
| • Income/employment: CFW, FFW, vouchers, livestock off-take |
| • Food security and nutritional surveillance/famine early warning systems |
| **Water:** | • Water for livestock, water for crops and water for human consumption. Ensure water conservation methods are used throughout crop production |
| | • Rainwater harvesting such as constructing ponds, (haifar dams and pans), contour bunds, subsurface dams, rock catchments |

<table>
<thead>
<tr>
<th>Addressing Social, Cultural and Behavioural Practices</th>
<th>• Improve drought preparedness at local authority and community level</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Collect and analyse: disaggregated demographic data</td>
<td></td>
</tr>
<tr>
<td>• Information on gender roles and relations, social structures and networks</td>
<td></td>
</tr>
<tr>
<td>• Promote: Community based approach to GFD, Food distribution to women as heads of households</td>
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<tr>
<td>• Ensure availability of special foods for small children</td>
<td></td>
</tr>
<tr>
<td>• Provide child care so that women can take part in CFW/FFW</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• If programme providing water for human consumption, ensure community involvement in design and location of water facilities-ensure individuals or groups not marginalized</td>
</tr>
<tr>
<td></td>
<td>• Promote community management of water facilities</td>
</tr>
</tbody>
</table>

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<thead>
<tr>
<th>Promoting a Healthy Environment Water</th>
<th>• Provide institutions and household rainwater collection systems</th>
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<td>• Repair of hand pumps</td>
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<td>• Digging/deepening hand dug wells</td>
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<td>• Ensuring existing water sources are protected</td>
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<td>• Monitor water levels and quality</td>
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<td>• Community water systems management Health</td>
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<td>• Analysing threats to health linked to drought</td>
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<tr>
<td>• Support preventive measures if appropriate</td>
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<tr>
<td>• If providing water for human consumption, mobilise community action and adoption of safe practice (as described in models for floods and conflicts)</td>
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<tr>
<td>• Recovery: prepare for disease outbreaks following return of the rains e.g. malaria</td>
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<th>Basic causes</th>
<th>Advocacy and Capacity Building of Responsible Authorities</th>
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<td><strong>WFP:</strong> food supply, quality and quantity of rations, location of EDPs, FAO: Advocate for going beyond agriculture, and for one programme approach</td>
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<td><strong>GOVERNMENT:</strong> government response to drought, policy and strategy for drought response (preparedness), co-ordination of response, joint agency assessments. Prepositioning of food reserves</td>
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<td><strong>FAO:</strong> Advocate for going beyond agriculture, and for one programme approach</td>
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<td><strong>DONORS:</strong> funding for early response rather than waiting until situation has reached crisis conditions</td>
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### Accountability to People Affected by Crises

**What is accountability?**

For the foremost actor in the field of accountability to people affected by crisis, the Humanitarian Accountability Partnership – International (HAP), an ‘evolving’ definition of what accountability ought to mean for humanitarian agencies is as follows:

‘Accountability goes beyond an exclusive focus on the process of reporting upon – or accounting for – decisions and actions. Accountability also involves taking account of the needs, concerns, capacities and dispositions of affected parties, and explaining the meaning and implications of, and the reasons for, actions and decisions. Accountability is thus a measure of the quality of the relationship between an agent (a body offering a service or product) and a principal (the person or group for whom the service or product is intended). The more powerful the agent, the greater potential there is for abuse and exploitation of the principals. Accountability is the countervailing force that confronts power and ensures that it is exercised responsibly.’

The HAP definition of accountability thus involves three dimensions:

- processes through which individuals, organisations and states make decisions that affect others;
- mechanisms through which individuals, organisations and states seek to explain their decisions and actions; and
- processes through which individuals, organisations and states raise concerns about, and seek redress or compensation for, the consequences of the decisions and actions of others.

Using this as a starting point, Oxfam GB has defined an accountable humanitarian programme as one in which the people affected by it are the most influential decision-makers throughout the lifetime of the project and the most important judges of its impact.

Why has Oxfam GB decided to promote accountability to disaster-affected populations as a way of working throughout its humanitarian programmes?

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76 77

77 The HAP definition of accountability from its website: http://www.hapinternational.org
Improved accountability will facilitate increased engagement of disaster-affected populations throughout the programmes intended to assist them. This not only further empowers these populations to manage their own recovery, but will also improve the effectiveness and legitimacy of the programmes.

**How can Oxfam GB improve its accountability within humanitarian programmes?**

**Participation:** Participation of disaster-affected populations in the programmes being undertaken to assist them is the keystone to all accountability work: this is currently interpreted in a variety of ways throughout Oxfam GB’s humanitarian programme.

**Information sharing:** In order to be accountable to disaster affected populations, the affected populations need to have access to information such as who OGB is, what OGB is doing, why, how they can be included/participate, what their rights are, what we would like them to tell us about etc. This information can be shared through various media, for example using public notice boards, ration cards, and community meetings.

**Feedback mechanisms:** Oxfam GB cannot take it for granted that feedback will flow from communities affected by disaster. There are many reasons why it wouldn’t, yet it is essential for our programming that we hear from those affected. It is essential that feedback mechanisms are a part of programme management and implementation from the outset. Complaints are an important subset of feedback. For this reason OGB introduced an organisation-wide Complaints Policy in August 2007. The Complaints Policy formally recognises the right of stakeholders to complain to OGB and receive a response. Guidelines on how to implement a complaints mechanism (and thus make the policy a reality) have been distributed throughout the International Division. Work is ongoing to make sure that all humanitarian programmes will be implementing a functional complaints mechanism by May 2009.

**Staff attitudes and behaviour:** The accountability of a programme ultimately depends on the people responsible for the programme. To promote accountability as inherent in the working practices of Oxfam GB teams, it should form an integral part of recruitment processes (e.g. specific interview questions), inductions, management and ongoing staff training.

Humanitarian programmes should concentrate on implementing effective complaints mechanisms from the outset of an emergency, and other accountability initiatives can be focused on later. However, to do so, some initial thought and resources will also have to be dedicated to looking at participation, information-sharing and staff attitudes and behaviour.

**Further information**

Oxfam GB has extensive experience of putting accountability initiatives into practice. Lessons learned, case studies, ‘how to’ guides, etc. exist and are available on the Intranet and through the Programme Learning and Support team staff.
Programme and Overall Management: Minimum Requirements for ‘First Phase’ Humanitarian Response

This document gives the minimum requirements for programme management for all managers involved in, or responsible for, humanitarian response.

There are altogether five minimum requirements documents for management of humanitarian response:

- Programme and Overall Management;
- Finance;
- Logistics and Supply;
- Human Resources, Legality and Office Management;
- Information and Communications Technologies (ICT)

in addition to the Introduction to Minimum Requirements for Humanitarian Response and the Annexe: Overview of the Time-related Minimum Requirements (only).

All minimum requirements are for use in the ‘first phase’ of humanitarian response programmes i.e. for around 2-3 months (see Introduction to Minimum Requirements).

1. Objective

The overall objective for programme management in the ‘first phase’ of an emergency response is:

“Be there fast, and deliver an effective initial response” by:

- Meeting identified immediate needs
- Establishing management and administration systems for accountable programme delivery (e.g. procurement procedures, logistics, HR and finance systems to comply with donor requirements)
- Assessing, planning and implementing an effective programme
- Ensuring programme delivery meets Oxfam and international quality and minimum standards
- Establishing direction for the subsequent 6 months, and/or
- Defining an exit strategy if appropriate

2. Key Principles

This section states some principles which inform these minimum requirements, performance expectations, and decision-making in emergencies.

Security – Staff security, safety and well being are paramount.

Risk – Responding effectively in a fast-paced emergency environment presents increased risk. Think about management of risk, and an appropriate level of risk-taking, to guide decision-making. See also Introduction to Minimum Requirements for Humanitarian Response (Section 2.3) and Minimum Requirements for ICT in Emergencies – A Guide for Managers (Section 4.5).

Roles and responsibilities – Management lines and reporting responsibilities will be determined by the country team and/or the Regional Centre and/or the International Division Directorate in consultation with the Humanitarian Department, prior to deployment of humanitarian personnel. These are dependent upon the scale of the response. Programme management has the right to expect support, response, and advice through the management line.

Programme delivery and quality – Managers of humanitarian programmes, through the management line, are responsible for overall programme delivery and quality for both direct programming and support functions. This responsibility includes taking account of advice provided by technical and support functions.

Security Management – The local programme manager for the response is the responsible security officer for the emergency programme. Any exceptions to this rule will be determined and documented by Humanitarian Department in consultation with the Regional Centre.

Team and people management are critical – Managers are responsible for ensuring performance management and accountability in their teams. Managers are also responsible for ensuring adequate local, gender and diversity knowledge and expertise in their teams to inform analysis and decisions.

Systems and Set-up – OPAL is the primary Oxfam system for management of Oxfam’s programmes and projects.
3. Minimum Requirements

This section, together with the other minimum requirements documents referred to above, gives a complete statement of the minimum requirements for management in the first 2-3 months of an emergency response. These minimum requirements are designed to achieve a reasonable level of control whilst supporting effective programme delivery. The set up of ‘basic-level’ infrastructure and controls in this period should provide a foundation on which an expanded or continued programme will be based.

Transition to normal International Division procedures (see Guide to Mandatory Procedures and Good Practice) should be anticipated and planned to occur at the end of 2-3 months, based on a full staff complement. Any exceptions should be documented and authorised through the management line.

3.1 Programme Management and technical staff capacity

- Identify/deploy Programme/Project(s) Management and technical staff within 1 day.

3.2 Security and Safety Management

**Security** -

- All insecure locations where Oxfam works must draw up, or update (to take account of new conditions), a Security Management Plan (“Security Guidelines”) setting out basic security rules and procedures within the first two months. This is the responsibility of the Country Programme Manager or their delegate. The Security Management Plan will cover:
  1. Summary of the threat and risk analysis
  2. Security strategies and how they will be pursued
  3. Roles and responsibilities
  4. First principles – general guidance of safe and secure behaviour applicable at all times
  5. Standard operating procedures – specific guidance developed in response to analysis (in 1 and 2) and covering where relevant, evacuation and issues such as conflict survival, site protection, crowds/mobs/looting, cash security, sexual aggression, travel, etc.

- Where there is no pre-existing Security Management Plan, the manager of the humanitarian programme must ensure that content points 1, 4, 5, and 7 of the standard format Security Management Plan (see above) are written and communicated to the Country Programme Manager and Regional Centre within the first week of the emergency response.

- All staff and visitors will be given this security document (i.e. either the full Security Management Plan where available or the ‘short-form’ plan (points 4,5,7)) and briefed on its content on arrival.

- Oxfam does not use or hire armed personnel either directly or indirectly, and weapons are not allowed in Oxfam premises or vehicles. Exceptions to this policy can only be authorised by the Oxfam Director.

**Vehicle Safety** - see also Vehicle management, in Logistics and Supply Minimum Requirements document (Section 4.4)

- Seatbelts and crash helmets - All staff in cars must wear seatbelts, in front and rear seats where available, and crash helmets when on Oxfam motorcycles.

- Maintain safe speeds - In populated areas, vehicle speeds must be kept to a maximum of 30mph/50kph or the national speed limit (whichever is lower), and elsewhere abide by the national limit.

- All drivers must be legally compliant with national licensing requirements.

3.3 Project cycle and overall management

**a) Project Design**

- A concept note needs to be produced following a rapid information appraisal, within 48 hours of the emergency onset, to inform Oxfam and potential donors of the intention to respond. (It may also be necessary to submit a full donor proposal within this time period.) This concept note forms the basis of a new ‘rapid onset’ Programme Implementation Plan (PIP) and/or Project in the OPAL project management system. The concept note briefly describes:-
3.5 Programme Implementation

3.5 Programme Management Minimum Requirements

3 Programme Implementation

- the extent of the crisis,
- consultations undertaken and planned,
- activities already under way by Oxfam and others,
- approximate number and description of beneficiaries,
- Oxfam’s aim and objectives along with proposed activities designed to achieve these;
- indication of initial resource requirements including any potential need for international staff, international procurement/equipment.

• The Rapid Onset\textsuperscript{18} PIP and project(s) must be authorised in OPAL through the management line within 3 working days of the onset of the crisis.

• Initial funding – All expenditure up to 10k from the Catastrophe Fund needs to be authorised by the Country Programme Manager, and up to 50k by Regional Humanitarian Co-ordinators.

• Assessment – Within the first month of a rapid onset emergency, a review/analysis/assessment must be undertaken and documented to guide the future direction of the programme. In the case of slower onset crises this process may take two months.

b) Project Planning

• Initial programme plan - Within 2 weeks of the assessment (see above) the manager of the humanitarian programme will use recommendations from the assessment as well as findings from any immediate local response work to draw up a written programme plan and logframe for the next 3 - 6 months. (Some donors require submission of a full proposal within 1 week of the disaster – please clarify relevant timeframes with the funding team.) Management should take account of any pre-existing preparedness or contingency plans. Finance and Funding staff should be asked to provide advice on budget coding structure.\textsuperscript{19} The programme plan will confirm and/or revise initial projections and information in the concept note, including:
  - Basis/rationale for the intervention
  - Provisional programme size and scope (what, where, how, £/resources)
  - A logical framework (logframe) showing how the proposed activities and outputs will meet the programme objectives
  - A proposed budget, appropriately coded, with expenditures phased by month over the project time frame
  - A monitoring plan and reporting schedule
  - Logistics and human resource requirements
  - Media and advocacy components if appropriate
  - How the programme will meet minimum and quality standards
  - A work plan/gantt chart
  - A description of the programme management structure
  - A statement on risk management – key risks and how they will be mitigated

• Creation of Standard PIP/Projects (‘reversioning’) - The programme manager is responsible for ensuring that the initial programme plan is used to create the Standard PIP and Project(s) which must replace the Rapid Onset PIP within the first three months.

c) Project Implementation, Monitoring and Overall Management

i) Team management, information sharing, internal co-ordination

• An organogram must be in place and maintained from the second week of the response (as set out in Human Resources Minimum Requirements document).

• Establish, maintain and document regular management and programme meetings involving managers of all programme and support teams. Establish and maintain a system to ensure key decisions taken at these meeting are documented and communicated appropriately to staff. Management and programme meeting schedules should be posted (drawn up and communicated) within the first 2 weeks of the response.

• Ensure each programme and support team has established and documented their internal monitoring and progress reporting systems within the first 2 weeks in order to feed into the Situation Reports. Team

\textsuperscript{18} Rapid onset PIPs and projects have less stringent documentation requirements than standard PIPs and are valid for three months

\textsuperscript{19} Budget coding structure - Finance and Funding staff should provide advice to programme management to help establish a practical design for coding expenditure (including taking into account how the projects are delivered on the ground, and how they are funded).
workplans with timelines and milestones should be developed and posted from the outset. They should be maintained and updated regularly, and revised according to situation and/or personnel changes.

- Institute systems and methods for effective communication and information sharing within the office, including e.g. (but not limited to) movement boards, notice boards, reading files, events board, shared electronic folders, meetings, social events, newsletter, as appropriate.

- Ensure there is a document describing the central electronic and paper filing systems and that it is communicated to all staff.

\textbf{ii) Performance management of individuals} - Managers are responsible for ensuring all staff are managed appropriately and held accountable for their performance. Staff well-being is a management priority and vital to an effective programme. Minimum requirements for performance management – the responsibility of all managers of staff - are set out in the Human Resources Minimum Requirements document.

\textbf{iii) Financial management} - See Finance Minimum Requirements document for all aspects of financial management. Two key minimum requirements for Project/Programme Manager action are:

- **Delegated/Signing authorities** - A table/list of delegated authorities needs to be in place and communicated as soon as possible – and by the end of week 1, authorised by the OPAL PIP Manager. Further information is contained in the Finance minimum requirements

\textbf{iv) Internal and external communications}

- **Information requirements** – From the outset, establish regular Situation Reports (sitreps) and data gathering using the standard templates. Written sitreps will be provided normally once a week unless exceptions are agreed. These exceptions would be at most 2 per week and at least once per month. Information from programme management meetings on progress against established programme objectives must be regularly reported in sitreps.

- From the outset, establish regular management telephone conferences involving the management team, Regional Centre and Oxford as appropriate.

\textbf{v) Project partner management} - The Project/Programme Manager is responsible for ensuring work carried out by partners, including NGOs, CBOs, government departments or private sector agencies is transparent and accountable. For cash grants of up to £50k, or grants of goods up to a value of £250k, minimum requirements are as follows. Above these limits normal partner management procedures apply.

- **Partner assessment** - There must be a brief written capacity assessment on file for any partner involved in the delivery of humanitarian response programmes.

- **Partner Agreement** - A standard Oxfam partner agreement must be signed by the Programme Manager and the responsible official of the partner agency prior to release of Oxfam funds or materials.

- **Code of Conduct** - Any partner or contractor associated with Oxfam must receive a copy of the Code of Conduct (non-staff) and have it explained to them. All partner agreements and contracts must contain a clause, agreed to by the partner or contractor, to abide by these rules.

- **Partner programme plan** - A brief written description of the partner programme delivery plan is also required (covering who, when, where, what, how).

- **Progress Reports** - The Partner Agreement needs to cover the reporting requirements from the partner, including dates and type of information required.

\textbf{vi) External co-ordination}

- From the outset, establish regular liaison and communication with relevant government, national and international NGOs, local groups and organisations, and donors and ensure key decisions are documented.
vi) Overall Management

- **Suspected fraud** – Any allegation or incident of potential fraud must be reported through the line and to Internal Audit Department, for support and advice on investigation and further action.

- **Sexual abuse, exploitation or any other malpractice** - Any suspected incident or allegation, of sexual abuse or exploitation by an Oxfam employee, or any other possible incident of malpractice, must be reported through the management line for support and advice on investigation and further action.

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**Public Health**

Public health interventions constitute the focus of most of Oxfam’s humanitarian programme interventions. An introduction to the key objectives, activities and modes of operation is presented in the following section, followed by an introduction to Oxfam GB’s Malaria Control Strategy.

The accompanying CD contains further practical tools for programme practitioners, including:

- malaria briefing guidelines;
- a sample budget for a camp population of 100,000 displaced people;
- an example of a public health logical framework;
- guidance on responding to psycho-social needs of people affected by crisis;
- Technical Briefs on a variety of subjects; as well as
- Mandatory Requirements for public health engineering programmes.
Oxfam GB Public Health Response in Emergencies

“Public health is the promotion of health and prevention of disease through the organised efforts of society.”

This is the definition Oxfam uses to describe public health, because it reflects the focus on working in partnership with communities affected by emergencies, which is fundamental to the way we implement our programmes.

Humanitarian emergencies often cause deterioration in public health conditions and require urgent action because of the potential size of the threat that such deterioration may cause to the health of the affected population. Therefore, public health work is considered the default opening programme for Oxfam in an emergency.\(^\text{20}\)

Active community participation in decision-making and implementation is key to ensuring that a programme makes a positive difference to women, men and children affected by emergencies.

**Oxfam’s global goal in public health**

To play the lead role internationally in delivering high-quality public health programmes to achieve maximum impact on the health and well-being of communities affected by emergencies.

**Public health – what do we do in emergencies?**

Public Health Engineers (PHEs) and Public Health Promoters (PHPs) work together and with communities to create an environment in which public health risks are reduced and the safety and dignity of emergency-affected communities is enhanced. Public health humanitarian programmes often encompass a broad range of strategies and activities, within which Oxfam’s specific focus is on:

- the provision of clean water;
- improved sanitation and vector control;
- the promotion of activities essential for promoting health and a healthy environment; and
- the distribution of items essential for health and hygiene.

** Provision of clean water**

**Finding and selecting water sources:** undertaking assessments to identify available ground or surface water sources and to select accordingly.

**Drilling boreholes:** selecting borehole well sites by carrying out a reconnaissance survey and a geophysical survey to identify water-bearing aquifer; drilling the well using an appropriate drilling rig and method; once the well is found to be productive, lining the well and installing the right submersible pump to abstract the water; quality-testing the water; and distributing it to beneficiaries.

**Digging and rehabilitating hand-dug wells:** in situations where the water table level is shallow, digging hand-dug wells, appropriately lined and provided with cover slab; installing hand pumps or providing appropriate hand-operated water-lifting mechanisms such as a windlass or rope and bucket system; making sure water quality is acceptable for drinking; and making it accessible to beneficiaries.

**Water treatment:** can be done in situations where there is surface water from rivers, small streams or shallow surface ponds. Water treatment comprises: storing water for initial settlement; if turbidity remains high, undertake flocculation and coagulation using chemicals such as aluminium sulphate to reduce the turbidity, then disinfecting the clarified water with chlorine before distribution.

**Water handling and storage:** providing containers or household water filters with appropriate information to encourage safe practices.

**Setting up water distribution systems, including tanks, tap stands, pumps:** water from a water treatment system or from boreholes is pumped into water storage tanks. From the storage tanks, a water distribution system provides different sized pipes and tap stands from which the beneficiaries can...
collect water for consumption. Water distribution from storage tanks can use either gravity or pumps, depending on the topography.

**Water testing:** whatever the source of the water, before allowing it to be used by beneficiaries, its quality is tested for any biological and chemical contamination. Bacteriological water quality testing is carried out with the Oxfam Delagua water testing kit, and for chemical contamination the code FCWT/1 test kit is used.

**Water for livestock and agriculture:** water harvested from surface run-off or roofs is used to provide water for livestock as well as for agricultural purposes. In arid and semi-arid areas, where nomadic pastoralist/livestock-herding communities live, boreholes fitted with motorised pumps and water from hand-dug wells are also used.

**Improved sanitation and vector control**

**Waste water drainage (e.g. around water points, bathing facilities):** Water distribution points and bathing facilities are provided with proper waste water drainage channels and soak-away pits, so that there is no risk of standing waste water around the water points. Drainage for flood water and domestic waste water is also provided.

**Provision of bathing and laundry facilities:** It is especially important to provide these facilities in camps and centres for displaced people to promote privacy and personal hygiene for men, women and children. These facilities should be constructed with as much consultation as possible with the beneficiary population.

**Vector control:** This includes indoor residual spraying, the distribution of insecticide-impregnated mosquito nets (see Section 3.6.2 OGB Malaria Control Strategy) and the provision of advice and support on other vectors, such as flies and rats, and vector-borne diseases, such as dengue fever.

**Excreta disposal – latrines, prefab toilets:** safe excreta disposal, designed to control indiscriminate open defecation and the spread of health risks to individuals, is carried out by providing latrine facilities which are easy to use, to clean and maintain. Latrines should be appropriately sited for privacy and security, especially for women and children. Pit latrines are dug and lined in such a way that they will not collapse, and preferably used with plastic slabs or concrete, which are easy to clean.

**Solid waste disposal:** For an environment free from solid waste contamination, disposal of solid waste should be managed right from the start of the intervention, through the provision of waste disposal bins and communally used solid waste disposal pits. Inappropriate disposal of solid waste can increase the spread of disease, the proliferation of rodents such as rats and mice, and breeding of insects, such as mosquitoes. This should be appropriately tackled through solid waste disposal and management interventions.

**The promotion of activities essential for promoting health and a healthy environment**

Raising awareness of public health risks and preventive practices through effective and culturally appropriate communication media: street theatre, radio broadcasts, puppet shows, story telling, songs composed by local musicians, discussion groups, videos, flash cards, and posters are some of the means used in previous Oxfam programmes.

Health data monitoring: morbidity and mortality data collected from available health centres or NGOs working in the area are important for monitoring disease trends. Monitoring access to and use of the water and sanitation facilities is vital for understanding the effect of the programme and making timely adjustments when required.

Community mobilisation helps to ensure that target populations are enabled to make and implement decisions relating to their health and well-being. Local stakeholders are encouraged to be involved in identifying problems and solutions, the needs of vulnerable groups and individuals, and mechanisms for ensuring access to and use and maintenance of water and sanitation facilities.

**Distribution of items essential for health and hygiene**

Non-Food Items (NFI) include those essential for the maintenance of health, such as blankets, clothes, soap, and water containers. The provision of culturally appropriate material for women to use for menstrual protection and facilities to enable hand washing at key times are important considerations.

Other items may be included in accordance with available resources and community priorities.
Other aspects of a public health response to consider

- The impact of an emergency public health programme can be maximised if the response is also supported by effective advocacy and communication.
- Oxfam adheres firmly to the Minimum Standards set out in the SPHERE charter.
- To ensure maximum impact of our and others’ humanitarian programmes, we promote co-ordination and collaboration with other national and international, governmental and non-governmental humanitarian agencies.
- Oxfam would always aim to co-ordinate its public health activities with other parts of the programme – such as food security and livelihoods – especially when good co-ordination would result in an even better health environment.
- Oxfam would also want to be involved in site planning, as this would be important for creating a healthy environment and aid the distribution of water. This would not necessarily just be part of an emergency shelter programme (see Section 3.8.).
- Oxfam has a firm commitment to ensuring that the public health assessment is conducted and analysed in the context of existing gender roles and social relations, and their relevance to current risk, vulnerability and mitigation of disaster effects.
- Prevention and care work is integrated into programmes targeting communities at risk from HIV and AIDS.

**How do we do it?**

Through a combination of direct implementation and support for partners to:

- assess public health risks and the capacity of key stakeholders to respond;
- find out about local norms and practices and identify appropriate technical options;
- develop communication strategies to raise awareness of public health risks and solutions;
- consult communities on the siting, design and management of facilities, and explore appropriate ways for them to be involved in implementing and monitoring the intervention;
- recruit, train and support local staff, and explore options to create partnerships through which to deliver the programme;
- establish two-way communication with beneficiaries, and modify programme activities according to feedback; and
- establish a mechanism for monitoring the technical quality of interventions.

**Important – what we don’t do**

Oxfam does not carry out medical interventions, though we may advocate for others to provide clinical services if a needs assessment reveals a gap in provision. We do not provide community-based post-traumatic stress counselling, though staff are supported to cope with working with stressed communities, and general psycho-social support is provided for beneficiaries through enabling opportunities for recreation and active community involvement in programme activities and decision-making.21

The construction of roads, bridges, permanent housing, urban sewage and water projects would only be considered in very exceptional circumstances – if there is a great need and no other capacity to respond.

Oxfam avoids these areas of work because of a lack of in-house technical expertise; the high demand on management capacity to ensure effective implementation; the high capital cost; and because they often require longer-term resourcing than is possible within an emergency programme time frame.

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21 Please refer to the document ‘Responding to the Psychosocial Needs of People Affected by Emergencies’ on the accompanying CD.
Oxfam GB Malaria Control Strategy

Overview

Oxfam GB’s malaria control strategy promotes an evidence-based approach to malaria control, targeting regions where malaria carries the greatest risk of mortality and morbidity. For this reason, resources will be directed at interventions in sub-Saharan Africa, but Oxfam will maintain the capacity to respond to malaria in other regions where it is deemed necessary. The strategy takes a two-pronged approach: Operational Response and Operational Research.

Rationale

Malaria is a preventable and curable disease, and yet there are an estimated 200–450 million cases of malaria and around 1 million deaths every year. Sub-Saharan Africa bears the brunt of the global malaria burden, with 90 per cent of cases occurring in this region and affecting mainly children under five years and women in their first pregnancy. Malaria is also a disease that flourishes in conditions of crisis and population displacement and is, therefore, of particular concern to those involved in addressing public health in emergencies. It is estimated that 30 per cent of all malaria deaths take place in complex emergencies. The current pandemic of HIV/AIDS is also exacerbating the malaria situation, making people more vulnerable to serious side effects and death.

Within the last five years, responses to malaria in emergencies have intensified with the growing realisation of the problem. However, agencies’ knowledge about the best methods for response in often challenging circumstances is still developing. In recent years governments have been assisted in revising their malaria strategies and have introduced new policies. This has included changing to the use of Artemisinin Combination Therapies (ACTs) and Rapid Diagnostic Tests (RDTs), as well as specific policies around Insecticide-Treated Nets (ITNs). It is crucial to ensure that all interventions are based on a sound rationale and on documented evidence of their effectiveness, which may include or lead to operational research.

Guiding Principles for Operational Response

- All assessments must include an initial assessment of malaria risk and the capacity and intention of other agencies (including the government) to intervene. This will be the responsibility of both the Public Health Engineer and the Public Health Assessor. Where no specialist staff is available the onus is on the manager of the assessment to determine the potential epidemic risk and request specialist support where necessary.
- The decision on how to intervene must be based on knowledge of the malaria profile for the area. Oxfam’s experience to date has focused on the provision of insecticide-treated nets and indoor residual spraying. Both these interventions must be accompanied by community education. The provision of mosquito nets should not be seen as the automatic choice of intervention, as they may not always be appropriate.
- Permission must be sought from the National Malaria Control Programme or Ministry of Health before an intervention is initiated, and every effort must be made to work in conjunction with existing longer-term malaria control programmes. Malaria at national levels is supported through Roll Back Malaria (RBM) as well as Millennium Development Goal 6 and the Global Fund to fight AIDS, Malaria and TB.
- All proposals must provide a detailed outline of the necessary community education required to ensure effective use of materials (treated nets, blankets, etc.) and the participation of the affected community.
- Long-lasting insecticide-treated nets (LLIN) are to be promoted wherever possible rather than re-treatable nets. Permanet and Olyset brands are both acceptable in terms of efficacy (both are approved by the WHO pesticide evaluation scheme: WHOPES), and more brands are also in the pipeline for approval.
- All insecticide purchased for use in a particular country must be licensed by that country. DDT should not be purchased using Oxfam funding (see Malaria Control Guidelines on the intranet).

The limited use of DDT for indoor residual spraying has been the subject of much controversy in recent years, and its limited use is sanctioned by WHO in particular circumstances. If there is doubt about Oxfam’s involvement in programmes where the government sanctions the use of DDT, it is advisable to seek guidance from HD.

• Indoor residual spraying should usually be confined to camp situations or well-defined geographic areas, as wider coverage may limit its effectiveness. Also training of staff must be thorough to ensure it is conducted effectively in all circumstances.

• Oxfam GB does not usually provide curative care as part of its public health programmes, but adequate access to treatment is important if malaria control is to be successful. Therefore, if access to health care or treatment is severely compromised, Oxfam will lobby for the involvement of other agencies.

• A malaria control project can be implemented as either part of a water, sanitation and hygiene project or as a stand-alone project. However, all water and sanitation projects should at least adhere to minimum standards with regard to the control of vectors through effective drainage, even if a specific malaria control element is not included.

• All malaria control interventions should be reviewed or evaluated at least once and the results documented to ensure an ongoing review and development of the Oxfam GB strategy.

Guiding Principles for Operational Research

• Operational research can be supported to ensure that Oxfam’s work remains appropriate and effective. Building networks with local, national, regional and international partners will ensure that such opportunities are identified.

• The operational research undertaken by Oxfam will endeavour to develop new technical and social approaches to better meet the needs of beneficiaries and to ensure that malaria is controlled in the most effective way possible.

• Any research undertaken will adhere to recognised international standards and will be carried out in a transparent manner with the full consent of male and female participants. The approval of national research committees in-country will also be sought where necessary.

More details on when and how to intervene can be found in the Malaria Control Guidelines on the intranet.

Emergency Food Security and Livelihoods

Introduction

Oxfam uses the SPHERE definition of food security and considers a population to be food secure when: ‘All people at all times, have physical and economic access to sufficient, safe and nutritious food for a healthy and active life.’

This food security definition captures two main aspects:

Availability – i.e. the quality and quantity of the food supply. The total availability may be affected by:

• natural factors, such as droughts, floods;
• conflict-induced displacement, which affects productions and harvests;
• reduced labour capacity due to widespread illness (such as HIV/AIDS);
• government policies, such as the sale of the national grain reserve or cuts in subsidies; and
• disruption to markets dynamics.

Accessibility – i.e. the entitlement to food through purchases, exchanges and claims. Accessibility refers to the way food is obtained; it is often disrupted in humanitarian crises because:

• purchasing power may be reduced due to rising prices or lower wages;
• community support networks change due to displacement and migration; and
• unemployment rates may rise for certain groups as others shed labour to make savings.

Household food insecurity, together with care behaviours, access to services and the health environment, is one of the underlying causes of malnutrition and death. In an emergency, Oxfam’s food security programmes aim at saving people’s lives and preventing malnutrition by ensuring access to immediate food and non-food needs.

We take a livelihood approach to food security, and we focus not only on saving lives in the short term, but on strengthening livelihoods to ensure that households are less vulnerable to food insecurity in the future. Oxfam defines livelihoods as follows:

‘A livelihood comprises the capabilities, assets and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from shocks, maintain itself over time, and provide the same or better opportunities for all, now and in the future.’

In an emergency, Oxfam GB livelihoods programmes generally aim at livelihood protection, for example assisting people in maintaining or recovering their assets or supporting their livelihood strategies.

We also recognise the importance of mainstreaming nutrition in food security and livelihood programming. Poor nutrition can seriously compromise the ability of people to regain overall livelihood security after an emergency. On the other hand, achieving improvements in livelihoods security alone will not automatically translate into good nutritional and health status.

Emphasising nutrition mainstreaming within the context of a broad-based emergency food security livelihoods approach has at least three advantages:

- It is people-focused and places emphasis on local capacity to protect nutritional well-being and address the malnutrition at the level of the individual.
- It acts as an entry point for different sectors to address the multi-causal nature of malnutrition. This can bring the contributions of nutrition, health, education, agriculture, trade and transport together in a complementary manner in support of efforts to overcome the impact of emergencies with a long-term approach.
- It can provide a coherent focus to ensure sustainability when combinations of short-term and long-term interventions are required. Thus a focus on nutrition can bring continuity between short- and long-term interventions.

What do we want to achieve?

Under the Strategic Change Objective SCO 3.1, Oxfam GB wants to change the environment in which people experience crises, achieving a significant reduction in the number of people who die, fall sick, or suffer deprivation as a result of armed conflict or natural disasters.

The Emergency Food Security and Livelihood work contributes to the achievement of this strategic objective and specifically aims to:

- assist disaster-prone and affected people to prevent acute malnutrition by helping them to meet their minimum food needs;
- assist disaster-prone and affected people to protect and recover their livelihoods;
- develop and consolidate evidence-based good practice in food security and food aid programming;
- inform on food security and nutrition as part of an integrated approach to public health in emergencies;
- build team effectiveness by developing a common understanding of Oxfam’s approach to food security in emergencies;
- support Regional Management Centres to effectively respond to an increasing number of food crises;
- develop links between livelihoods programming in relief and development situations, link programming and advocacy in Oxfam at country and global level on response to food crises, to influence states and other agencies; and
- maintain links with other agencies in the international food security and nutrition community.

Guiding Principles for Response to Food Crises

Oxfam has developed Guiding Principles for Response to Food Crises which aim to ensure:

- **consistency and coherence** in Oxfam’s response to food crises;
- **quality and accountability** in Oxfam’s food and nutrition programming;
- **alignment** of Oxfam’s advocacy and programme activities in responding to food crises; and
- **guidance** on Oxfam’s programmes.
These are the eight guiding principles:

**Principle 1:** Food crises are an acute cause of human suffering, and the severest crises lead to excess deaths. Oxfam’s humanitarian mandate makes it imperative that Oxfam responds to food crises.

**Principle 2:** Adequate food security and nutrition are of utmost importance to save lives as part of an emergency public health response.

**Principle 3:** Livelihood support is essential to help people achieve improved food security and nutrition in both emergency and development contexts, and to reduce vulnerability to food crises in the long term.

**Principle 4:** The effectiveness of response to food crises is improved by emergency preparedness.

**Principle 5:** The identification of appropriate interventions to respond to food crises should be based on an analysis of the nature and severity of food insecurity. This should include an analysis of vulnerable groups and of diversity (including gender) at all stages of food and nutrition programming.

**Principle 6:** Oxfam will focus its emergency food security and nutrition programming on non-food alternatives and general distribution of free food aid – areas in which it has a comparative strength. Where Oxfam has no comparative strength (in therapeutic feeding), it will support other agencies to respond.

**Principle 7:** There is a range of different interventions to respond to food crisis, both food aid and non-food alternatives. A combination of different types of interventions is frequently the most effective response.

**Principle 8:** Commitment on the part of states affected by food crises, donors and the UN is required to ensure that everyone’s right to adequate food is met.

**Advocacy and co-ordination**

Oxfam’s EFSL team promotes internal links and co-ordination with humanitarian specialists in other fields as well as with colleagues in policy, campaign, and fundraising functions. We also actively participate in external debates and networks, and advocate for governments, donors and UN agencies to change policies, practices and beliefs to improve humanitarian response to food crises and hunger.

### Examples of EFSL Programmes

<table>
<thead>
<tr>
<th>Nutrition</th>
<th>Nutrition survey and surveillance</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>We do not treat malnutrition through therapeutic or wet supplementary feeding programmes.</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Food aid</strong></td>
<td>General food distribution and dry supplementary feeding</td>
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<tr>
<td><strong>Income and employment</strong></td>
<td>Food for work</td>
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<td></td>
<td>Cash for work</td>
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<td></td>
<td>Cash grants</td>
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<tr>
<td><strong>Market support</strong></td>
<td>Commodity vouchers</td>
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<tr>
<td></td>
<td>Cash vouchers</td>
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<tr>
<td></td>
<td>Support to restore market infrastructures</td>
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<tr>
<td></td>
<td>De-stocking</td>
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<tr>
<td><strong>Production support</strong></td>
<td>Agricultural support: seed distribution, seed fairs, gardening</td>
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<tr>
<td></td>
<td>Livestock support: re-stocking, de-stocking, vaccinations</td>
</tr>
<tr>
<td></td>
<td>Fishing support: distribution of fishing tools (nets, boats, cages etc.)</td>
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</tbody>
</table>

### Key principles, policies, guidelines and materials

The key principles, policies, guidelines and materials which characterise Oxfam’s food security and livelihoods work are listed below and are available on Oxfam’s Intranet.

**EFSL principles, policies and practical guidelines:**

- Guiding Principles for Response to Food Crises
- Guidelines on Emergency Food Security and Livelihood Assessment and Response
- Guidelines on Emergency Market Assessment (forthcoming)
- Guidelines on Nutrition Surveys
- Guidelines on Cash Transfer Programming in Emergencies
3.7 Emergency Food Security and Livelihoods

- Food Aid Policy and Advocacy Strategy
- Policy and strategy on linkages between EFSL work and sustainable livelihoods

**EFSL capacity-building and training materials:**
- EFSL Rough Guides
- Basic EFSL Training Material
- Advanced training on Cash Transfer in Humanitarian Contexts
- Advanced training on Household Economy Approach
- EFSL coaching and mentoring strategy for EFSL team at country levels.

The following resources are provided in full on the accompanying CD:
- Oxfam's Policy on Food Aid
- Policy on use of Milk Powder in Emergencies
- Guiding Principles for Response to Food Crises
- OI Briefing Paper: Food Crises in Africa – An Overview
- Interview and questionnaire formats for assessment purposes

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**Oxfam Minimum Shelter Standards**

Standards provide essential benchmarks by which humanitarian responses can be supported, monitored and evaluated. They can also serve as a means of establishing a common language for Oxfam’s engineers, public health promoters, and programme managers when discussing technical aspects of our public health work. Although the shelter needs of people affected by a disaster or conflict vary according to a number of variables, the quality of Oxfam’s shelter interventions must remain of a consistently high quality.

The following standards have been adopted from Mandatory Requirements in Public Health Engineering.

**Shelter – general principles**

- Addressing Emergency Shelter needs of displaced populations is a legitimate humanitarian activity that falls within Oxfam’s mandate.\(^5\)
- Although meeting emergency shelter needs may or may not involve construction activities, emergency shelter expertise resides within the public health engineering team. All international PHEs employed by Oxfam should have a working knowledge of emergency shelter options typically used in humanitarian responses.
- In recent years, Oxfam has been one of the leading agencies in supporting Transitional Shelter as a more durable response to the shelter needs of affected populations. Oxfam’s 2006 Shelter Policy permits appropriate-scale transitional shelter projects based on needs, our own capacity, and funding availability. PHEs are likely to be consulted on technical designs, construction management, and watsan integration in transitional shelter projects.
- All of Oxfam’s emergency or transitional shelter interventions must abide by the six SPHERE minimum standards for shelter and settlement. These include attention to strategic and physical planning considerations; minimal covered living space areas; appropriateness of design; ease of construction; and low environmental impact.\(^6\)

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\(^5\) See Oxfam GB’s Shelter Policy, available on the Intranet.
\(^6\) See SPHERE – Chapter 4; Minimum Standards in Shelter, Settlement, and NFI's.
• Construction of permanent housing is not considered an appropriate Oxfam humanitarian intervention, although Oxfam may engage in lobbying and advocacy work on permanent housing policies and interventions of others.

Emergency shelter – materials and distribution

• Emergency shelter materials commonly distributed include tents, plastic sheeting, corrugated zinc or plastic roofing sheets, mattresses, and blankets. All shelter materials distributed by Oxfam – including those purchased in local markets – must conform to international standards for quality.

• As displaced people often live in tents longer than planned, tent designs and materials must be appropriate for long-term use over several seasons. Lightweight camping-style tents are not suitable for humanitarian responses.7

• Sufficient lengths of plastic sheeting must be distributed to meet SPHERE standards. Two pieces of 4m x 6m sheets are often more useful to displaced families than a single sheet.

• Plastic sheeting must not be distributed without some fixing or fastening method. A sufficient length of polypropylene or natural fibre rope should be included with all plastic sheeting.

• Structural supports such as bush or bamboo poles or timber must be included if no salvageable materials exist or if there is a risk of deforestation.

• Nails and hand tools should also be distributed, as indicated by assessments. Tool kits to be shared among families should not exceed one kit for every ten families.

• Two blankets per family member is the minimum requirement.

• Shelter material distributions should be organised in a manner that will enable all beneficiaries (including elderly people) to easily transport materials.

Emergency shelter – technical support

• Avoid assuming that displaced people lack the skills to erect simple emergency shelters or tents. Technical support is typically warranted only in cases where extreme weather conditions exist (heavy rains, snow or winds), or if traditional labour sources are not available within the targeted population.

• Demonstrations and group training are Oxfam’s preferred method of providing technical support. Building individual shelters for families is slow, expensive and risks creating dependency.

• To prevent or reduce standing water after rainfall and prevent water infiltration in tents, attention must be paid to proper drainage ditches around tents. When possible, tents should be elevated on earth or timber platforms.

• When plastic sheeting is distributed in areas of high winds or heavy rains, technical support may be needed to remind beneficiaries of the need for appropriate fixing methods. These include the need to spread the load, prevent the sheet from flapping, and avoid contact with friction points.

• If market and other conditions permit, cash or material vouchers may be an appropriate emergency shelter response. In these situations, the ESFL team will typically lead the response with technical support from PHEs.9

Transitional shelter

• Transitional shelters are durable shelter structures that are habitable for a number of years under all weather conditions and offer good resistance to local hazards (e.g. seismic activities, season flooding, and/or high winds). Transitional shelters are non-permanent in design and installation, and must be culturally appropriate. Local materials that can be reused in the construction of permanent housing should be used to the maximum extent possible. The installation and upgrading of transitional shelters should favour commonly available tools and reflect local skill sets.

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7 See TENTS – A Guide to the Use and Logistics of Family Tents in Humanitarian Relief, on the accompanying CD.

8 See: PLASTIC SHEETING – A Guide to the Specification and Use of Plastic Sheeting in Humanitarian Relief, on the accompanying CD.

9 See Oxfam’s Cash Transfer Programming in Emergencies on the Intranet.
• Core shelters or core houses are transitional shelter designs that permit upgrading by beneficiaries to larger and more permanent houses without compromising the structural integrity of the basic building. A typical core shelter is a one-room structure with roof built on a solid foundation with beneficiary-supplied wall materials.

• As Oxfam’s best experiences in providing transitional shelter involve small-scale, community-driven projects, avoid the temptation to design large programmes.

**Shelter and NFIs for cold climates**

• Tents are difficult to keep warm in cold climates, as they lose heat quickly. While winterised tents are available, they are only slightly more effective at reducing heat loss from wind infiltration than other double-wall tents.

• As the greatest heat loss in tents occurs as conduction to the ground, all tents distributed by Oxfam in cold climates should have an insulated platform. Small stones, sand or straw (if kept dry between layers of plastic sheeting) can be used as an insulating material.

• Even moderate snowfall can cause tents to collapse. CGI or plastic roof sheets should be considered as a required snow barrier over tents.

• To prevent fire from sparks, all wood-burning stoves in tents must be on an elevated platform of sand or small stones.

• A bucket of sand to put out small fires is an essential NFI to be distributed along with wood-burning stoves in tents or other emergency shelters.

• Additional blankets can be used as an insulation material and to reduce wind infiltration and/or heat loss in tents.

**Shelter and NFIs for hot climates**

• Tents and other emergency shelters used in hot, dry climates must provide shade from the sun and adequate ventilation. As displaced persons in hot climates typically spend daylight hours outside their shelters, additional shade materials and structural supports should be provided.

• Shade netting is often a more appropriate material for use in hot, dry climates than plastic sheeting.\(^{30}\)

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\(^{30}\) See: SHADE NETS – Use, Deployment and Procurement of Shade Net in Humanitarian Relief Environments, on the accompanying CD.

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**Water, sanitation and shelter**

• PHEs are responsible for ensuring that all of Oxfam’s emergency shelter interventions are accompanied by adequate access to and supply of water and sanitary facilities. This is especially critical in camp populations where public health outbreaks are possible.

• Oxfam can appropriately support the shelter needs of displaced populations by providing safe water supplies and sanitation facilities for other agencies involved in shelter interventions.

**Shelter planning and gender issues**

• For practical guidance on how to incorporate differing needs of men, women, girls and boys in the planning of a shelter response, please refer to the relevant document on the accompanying CD.
Gender and Protection

It is widely recognised that women and girls are exposed to particular risks in emergency situations. During conflict they often face constant and systematic threats of violence, coercion and deliberate deprivation, carried out by armed groups or other civilians, with their underlying subordinate status making them particularly vulnerable.

While the ultimate responsibility for protecting civilians belongs to the state, non-state actors providing humanitarian response, like Oxfam GB, play a role in addressing gender and protection in terms of their policies, programmes, and operations, as well as the attitudes and behaviour of their staff. Humanitarian interventions should be carried out in accordance with international law, where the realisation of equal rights for women and girls is central and an important aspect of protection.

Addressing gender and protection issues in crises should not be viewed as an extra task or added burden for humanitarian programme managers and staff. Making a conscious effort to consider the different ways in which women, girls, men and boys experience a natural disaster and/or conflict, and incorporating a gender and protection analysis into the formulation and management of a response, is about good programming. By integrating these perspectives throughout the programme management cycle, from the initial assessments to monitoring and evaluation, Oxfam GB can ensure that:

- the response is appropriate and inclusive of oppressed or marginalised groups;
- its ways of working empower communities and decrease their vulnerability, particularly among the groups most prone to attack; and
- the response does not reinforce and/or perpetuate gender inequalities which further expose individuals, groups and communities to risks.

In this section we will spell out Oxfam GB’s key policies, frameworks, approaches, and strategies to address gender and protection in humanitarian settings.

Gender in Humanitarian Programmes

Oxfam’s definition of poverty goes beyond purely economic considerations to encompass capabilities, powerlessness and inequality: people experience poverty when they are denied the right to livelihoods, water, education and health, protection and security, a voice in public life, or freedom from discrimination. Systematic discrimination against women remains a key contributory factor to their vulnerability to poverty, violence and HIV, and results in women still representing a disproportionate percentage of the poor population of the world.

Oxfam’s policy on gender equality represents our organisational commitment to gender equality; it has been written to help staff and volunteers ensure that our work improves the lives of both women and men and promotes gender equality.1

Oxfam’s Aim 3 Strategy 2007–2010 reasserts this organisational commitment for humanitarian work by stating that Oxfam prioritises gender equity and the promotion of women’s rights in all our humanitarian responses:

- because women are generally disproportionately affected by disaster;
- to ensure that women and men have equal access to the assistance and protection they need; and
- by taking into account the different social roles played by men and women, and specifically women’s (and children’s) social, domestic and community roles.

Oxfam will assess the different effects of the emergency on men and women at the initial assessment stage, and plan and carry out the programme activities accordingly, with an understanding of the consequences that prevalent gender ‘norms’ will have on the planned intervention. Our emergency responses are carried out with the longer-term goal of gender equity in mind, using opportunities available within the time span of our programme. At the very least we shall implement the corporate non-negotiables related to humanitarian programmes, which are that:

1 The full text of Oxfam’s policy on gender is provided on the accompanying CD
women will be actively involved in the design and targeting of our humanitarian programme activities (e.g. in determining the type and amount of food to be distributed; preference is that household food rations will be distributed directly to female household members; in income earning activities women should always be explicit targets); and

- issues of dignity, for women and girls in particular, will be included in all humanitarian assessments, and a culturally appropriate strategy to enhance dignity (clothing needs, menstrual protection, bathing facilities, etc.) will be implemented as soon as practically possible.

Beyond simply measuring and responding to the different material needs of women, our programmes increasingly try to take account of issues of women’s participation and leadership in humanitarian crises. This manifests itself in the special focus on women’s roles in the promotion of water and sanitation, health and food security, in the management of related resources, and a solid understanding that their household and community leadership on these issues is indispensable to making a successful impact on wider public health indicators. Oxfam aims to ensure that our assistance does not increase the vulnerability of the people we serve, in particular to sexual exploitation but also to other forms of violence and coercion.

### Oxfam and Protection

In July 2007 Oxfam agreed a new strategic approach to protection for all its humanitarian programmes. This does not mean that Oxfam will ‘do’ protection in every crisis, but that we will take a more systematic and thoughtful approach to deciding what we do in situations where people face protection threats.

#### How do we define protection?

In the late 1990s a large group of UN organisations, humanitarian agencies and specialists defined protection as follows:

> ‘All activities that are aimed at obtaining full respect of the rights of the individual in accordance with the letter and spirit of international human rights law, international humanitarian law, and refugee law.’

The definition is broad and flawed, but it represents the best consensus on protection there is within the sector. Oxfam, and some other agencies, use this definition as a basis for protection work while using a simpler, more meaningful definition in everyday work.

Within Oxfam we use a simple working definition: ‘improving the safety of civilians’.

#### What is Oxfam’s protection framework?

Our protection work is based on a risk-reduction model:

\[ \text{RISK} = \text{Threat} + \text{Vulnerability} \times \text{Time} \]

#### What are threats?

We try to improve the safety of civilians in the face of the following threats:

- **violence** – including deliberate killing, wounding, torture, cruel and inhuman and degrading treatment, sexual violence including rape, and the threat of any of the above;

- **coercion** – including forced prostitution, sexual slavery, sexual exploitation, forced or compulsory labour, forced displacement or return, forced recruitment into armed forces, and being forced to commit acts of violence against others; and
• deliberate deprivation — including deliberately destroying civilian objects such as homes, wells, crops and clinics; preventing access to land and jobs; preventing the delivery of relief supplies; deliberate discrimination in getting jobs, schooling, land, services, etc.; and demanding illegal ‘taxes’ or tolls.

We consider these to be protection threats when they take place in a widespread and systematic manner.

What makes people vulnerable?

In crisis situations people are vulnerable to these threats for a wide variety of reasons. They could be vulnerable because of their identity: ethnicity, sex, HIV status, political allegiance, race or social status, or perceptions of such.

Crisis environments also make people vulnerable, as they are often characterised by a lack of law and order, a proliferation of small arms, and a breakdown of the social structures and behaviours that protect the most vulnerable people. In general, poverty makes people more vulnerable, as they have fewer resources to draw upon to sustain and protect themselves and their families.

Certain events can also heighten vulnerability, such as being widowed or orphaned, being arrested and held in detention, displacement from homes and communities, and demobilisation and return.

Time

When people are vulnerable and face the threats outlined above, they are at risk. The longer or more frequently they encounter such threats, the higher the level of risk.

What we do

Oxfam tries to reduce the level of risk by reducing the level of threat, the level of vulnerability, and the time that people are exposed to the threat. We can categorise our actions into the following:

<table>
<thead>
<tr>
<th>To reduce the threat</th>
<th>To reduce vulnerability</th>
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</thead>
<tbody>
<tr>
<td>Advocacy: convincing those with power to protect people or getting others to put pressure on them to protect people</td>
<td>Assistance: directly providing services or goods so that people can avoid threats</td>
</tr>
<tr>
<td>Capacity-building: supporting the authorities to protect civilians</td>
<td>Voice: helping people to negotiate their own safety</td>
</tr>
<tr>
<td>Presence: using physical presence to deter attacks on civilians</td>
<td>Information: providing impartial information to help people make informed decisions about their safety</td>
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We will not necessarily take all of these actions, but ‘doing’ protection always involves doing some level of advocacy work. We work with other agencies, often through Protection Clusters – or similar co-ordination and planning structures – to maximise our impact on civilian safety.

The strategy 2007–2012

In 2007 a set of minimum requirements was agreed for all humanitarian programmes in conflict. By July 2009 all programmes must have adequate human resources, so that all humanitarian staff must have a basic knowledge of protection, adequate to enable them to meet the following three minimum requirements.

Assessments must include a basic analysis of the threats to civilians and their coping mechanisms, so that we can decide whether and how we should address protection threats in our response. This does not mean that we have to respond to protection issues, just that a decision to do so or not will be based on a good analysis and understanding of the situation.

All programmes in conflict must include ongoing monitoring of the protection situation in their monitoring tools and reports. This will enable us to track the situation and decide if we need to take any specific action, such as gearing up advocacy or setting up new activities.

All humanitarian programmes must be ‘safe programmes’. This means that we will take particular care to understand protection and conflict dynamics to make sure that our humanitarian response does not put people at further risk or
inadvertently fuel conflict or create new conflicts. This is the responsibility of all humanitarian staff.

If Oxfam does decide to respond to protection issues, there are two approaches that can be taken:

- Integrated programming – protection activities or mini-projects are integrated into a larger-scale humanitarian response and sit alongside other sectors of work, such as public health and emergency livelihoods. Protection staff work with specialists in other sectors to maximise the safety of civilians through all humanitarian activities.

- Protection programming – protection programmes are of sufficient scale and scope to be considered ‘stand-alone’. Their primary objective is to improve the safety of civilians, and to achieve this aim they include specific activities, such as advocacy and information campaigns, alongside actions that draw on Oxfam’s expertise in public health and emergency livelihoods.

Examples of successful protection programming are provided on the accompanying CD.

### Monitoring and Evaluation

#### Monitoring

Monitoring is the systematic and continuous process of collecting and using information throughout the programme cycle for the purpose of management and decision-making.

There are two types of monitoring:

- **Process monitoring**
- **Impact monitoring**.

Process monitoring looks at how the project is being developed by:

- reviewing progress and making changes if necessary;
- making sure the affected population is consulted and informed;
- assessing whether SPHERE standards are adhered to;
- identifying and solving problems;
- taking advantage of new opportunities; and
- monitoring changes in the emergency situation.

Process indicators show outputs, such as the number of hygiene kits given out, the number of wells cleaned or the number of cash grants given out. These are often SPHERE Minimum Standards.

Impact monitoring looks at whether the project is having the intended impact by assessing:

- whether the project objectives are being achieved; and
- how the project is making a difference to the affected population

Impact indicators (which are sometimes proxy indicators\(^{12}\)) show outcomes, such as the number of people being able to demonstrate a new hygiene behaviour they have adopted, or people’s perceptions of changes in their lives due to cash grants they have received.

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\(^{12}\) Proxy indicators are used when it is not possible – due to expense or time limits – to measure using a direct indicator
Good monitoring requires the use of both process and impact indicators as well as an adequately resourced system in terms of both staff and finances. Monitoring needs to be included in the initial programme proposal and logistical framework (LogFrame) as a separate activity. Without monitoring the process, it is difficult to measure its impact.

### Using the LogFrame for monitoring

All too often, the LogFrame is seen as merely a means for obtaining funding, instead of being a working tool to assist and guide both managers and staff. Using the LogFrame as a reporting format is a good way of checking progress and noting any changes or constraints. For monitoring purposes, the two most important columns are the Indicators and the Means of Verification. Indicators need to be clear and precise (SMART or SPICED). The means of verification (MoVs) is an often neglected column, but if everyone is clear from the beginning as to who, how and when information is to be collected, it is easier to actually set up a monitoring system. In recent years, programmes have included selected stories from the affected population to illustrate change and to bring in the voice of the community.

### Monitoring forms

The Public Health team and the Livelihoods team have produced various formats for monitoring activities in both rapid-onset and longer-term emergencies. They are available on the accompanying CD.

### Data collection and presentation

The two types of data that can be collected are:

- **Quantitative** – how many or how often (numbers)
- **Qualitative** – how, why (judgement).

#### Quantitative data

It is often not possible to gather data that are truly representative, so ‘good enough’ should be the goal. Simple quantitative data can be collected using participatory methods such as pocket voting or ranking. General statements, such as ‘people believe…’ or ‘people usually do this or that’, should be avoided in the baseline data report. Otherwise it is impossible to compare these statements later and assume that changes have taken place. Make sure that there is someone to analyse and record data before embarking on a survey.

### Qualitative data

The most frequently used methods for collecting qualitative data are focus groups, key interviews and PRA tools. Qualitative data are not generalisable (i.e. you cannot use them to refer to the whole population; they can only be used to provide an idea of the situation). Qualitative data do not use percentages (e.g. when referring to a focus group it is better to say ‘in a group of ten people, half the group said…’ or ‘the group members agreed that…’); using percentages gives a false impression that figures taken are from the whole population and are statistically correct.

It is always a good idea to use both qualitative and quantitative data where possible; this gives a better picture of the situation, triangulates (checks) what has been said and ensures greater participation of the affected population. Use methods appropriately: e.g. focus groups for longer discussions and pocket voting for simple yes/no answers.

### Analysis and use of data

There is little point in collecting data if they are never analysed or used. Process data should be used to guide the day-to-day management and planning, and impact data for comparison with baseline data and expected outcomes. Do not gather more information than you can use, and always plan for sufficient time and resources. The interpretation of the data and its implications for the programme is what is important.

### An example of a three-month monitoring and evaluation plan

#### Immediate activities

- Rapid assessment carried out by an integrated team using the Oxfam assessment tool (see Section 3.2)
- Use a white board or matrix in Excel to track changes and to plot in data from assessed sites

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33 SMART – specific, measurable, achievable, realistic and time-bound. SPICED – subjective, participatory, indirect, cross-checked, empowering, diverse.

34 Written for rapid-onset emergencies but can be adapted.

35 A community exercise in which participants put beans or stones in pockets according to what they think.
• Choose minimum indicators from the list or adjust to fit the cultural and socio-economic context – see PH and EFSL sections
• Set up the minimum monitoring – the ‘what’, ‘when’, ‘how’ and ‘by whom’
• Set up information flow – who needs what and how often?
• Adapt formats for current use
• Pay attention to local and international radio and television broadcasts, as journalists may identify gaps or mention areas not yet covered.

When time allows
• Carry out a baseline survey – using a pre-prepared format (adapted to context)
• Set up a database and files for qualitative data
• Ensure ongoing consultation with beneficiaries – check on their needs, involve them in distribution, give them information
• Set up a mechanism for feedback from the affected population
• Carry out a satisfaction survey for NFI distribution and for facilities provided
• Train national staff on monitoring and evaluation if this was not done in the immediate phase
• Gender-disaggregate data if not done before.

Six weeks to a month into the programme
• Prepare for a real-time evaluation
• Prepare for a technical review if appropriate

Three months into the programme
• Review indicators and the monitoring system and adjust accordingly
• Consider community monitoring and other forms of participatory monitoring
• Decide if and when an impact/thematic or self-evaluation will take place.

The Monitoring Information Flow (MIF) model

Evaluation
Impact in emergencies has been defined as change in the lives of the affected population. These changes can be positive or negative and may or may not be sustainable. They may be measurable, as in terms of income or livestock owned, but can also be subjective – people’s perceptions of change are equally as important. The ‘good enough’ approach is suggested, as it is realistic but at the same time seeks to capture what the affected population has experienced and what their views are.

The best judge of what has changed and how effective the programme has been are the affected population themselves. They should be consulted at all stages to maximise impact.

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26 A real-time evaluation is usually a ‘snapshot in time’ used as a learning tool for programme staff. The facilitators do not necessarily have a technical background. A technical review, on the other hand, is a visit by technical advisers to look in detail at technical quality issues and does not involve the whole of the emergency response team.

27 The debate is always as to whether this should be the goal in many emergency settings.
The different kinds of evaluations for emergency situations are:

- Real-time evaluation – looking at process and learning: a snapshot in time;\(^\text{36}\)
- Thematic evaluations – looking at different aspects, such as community participation, cash grants or potential sustainability;
- Participatory evaluations – self-evaluations carried out by staff to look at both the process and impact of their own programmes and identify learning; and
- Impact evaluations, which may be internal or external.

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**Policy, Media and Advocacy Work in Humanitarian Crises**

Much of Oxfam International’s added value in humanitarian crises derives from our ability and commitment to combining direct operational assistance, support to partners, and advocacy and campaigning work.

Two documents are provided in the subsequent sections which are designed to help those in charge of humanitarian programmes implement appropriate advocacy action in the context of humanitarian crises:

- Guidelines and procedures for policy/media sign-off and the production of briefing notes; and
- Guidance on how to successfully manage the interest of media in the particular emergency Oxfam is responding to.

Additional tools are to be found on the accompanying CD, including:

- For advocacy work: a policy issues checklist, basic information on likely advocacy targets, guidelines for writing an ‘advocacy strategy’ and for judging the relative impact of operational and campaigning work.
- For media work: guidelines for broadcast interviews, a media strategy format, pocket guide for media officers.

\(^{36}\) For guidelines on real-time evaluations, see the accompanying CD.
Guidelines and Summary of Procedures for Policy/Media Sign-Off and for production of Briefing Notes in Crises/Disasters

Introduction

This note summarises sign-off procedures for policy papers, lobby letters and media products, mainly for the benefit of staff working in crises/disasters. Yes, it looks like a nightmare to get through all this but it can be done, and if you do not follow the procedures, it’s worse! The rationale of the procedures is to ensure quality, consistency and coherence in what we say and how we say it, and to ensure that relevant stakeholders have been consulted. Oxfam’s reputation is one of our greatest assets, which we must safeguard.

There are also some pointers on the fast-track production of Briefing Notes, which are short (less than 700 words), standard-format Oxfam publications on policy issues.

Key points to remember on sign-off:

• OGB final sign-off on all products comes from Oxfam House.
• Products generated by OGB will require final sign-off by the OI Advocacy Director as well, unless aimed exclusively at UK targets/media. Products only go to OI for sign-off after going through whole OGB process.
• If other affiliates are ‘stakeholders’ e.g. their governments are targeted in a release or if they have programming in-country, they will also need to sign-off at a country or regional level, before the product comes to Oxford; this should be organised by whoever is generating the product in the country/region.
• Briefing Papers require the sign-off of the OI lead regional manager (LRM) as well as the OGB Regional Director (RD), and the campaign lead (Nicola Reindorp in the case of humanitarian and conflict-related papers). See below for further details, including how to fast-track.
• In most sudden-onset disasters, OGB will be the lead Oxfam but if another affiliate is in the lead, products generated by OGB will have to be agreed by that affiliate.
• Regional Directors must be consulted and in agreement with product. If you need sign-off from an RD but the time difference doesn’t allow this, you must obtain sign-off from the International Division Director or ID Deputy Director.
• RDs can give final sign-off on products that have no impact outside region and are low-risk, but this will rarely be the case in a crisis. Briefing Papers/Briefing Notes can never be signed off only in the region.
• At country-level, whoever is in charge of the emergency (Country Programme Manager or Humanitarian Programme Manager) must always be consulted on the product.
• Quotes, e.g. in press release, must have approval from the person you are quoting
• Letters must have approval of the signatory.

Sign-off powers can be delegated, so these arrangements may sometimes vary. Delegation should be explicit and confirmed in writing.

The ‘Sign-off Decision-makers’ (i.e. those with final word) are:

For Media products: Media Manager (Sam Barratt), delegated to the Deputy Media Manager in his absence, for Oxfam GB; product then goes to the Advocacy Director of Oxfam International (Bernice Romero) for OI. If a media product involves significant new policy, the Media Manager will request the sign-off of the Campaigns and Policy Division Director.

Media products include press releases, reactive lines, letters to editors, articles for publication, Q&As, journalist briefings and press strategies.

For Policy products: Campaigns and Policy Division Director (Phil Bloomer), delegated to the Head of Advocacy (Jo Leadbeater) in his absence, for OGB; product then goes to OI Advocacy Director (Bernice Romero) for OI.
Policy products include policy briefing papers, briefing notes, research reports, letters to targets, or policy submissions.

**Note:** If a subject is very sensitive and involves staff security issues, major reputation issues, etc, the final sign-off person may refer the issue up to the Director or other senior staff. If there are legal issues, the legal adviser must be consulted. Policy and media products on the Israel/Palestine conflict have a special sign-off procedure, which is not covered here.

**Briefing Papers and Briefing Notes: some key points**

**Normal production:** Briefing Papers and Briefing Notes have a normal production and sign-off schedule that runs into weeks. Both Papers and Notes require Terms of Reference, to be signed-off in advance of production of paper. ToR should be sent to Claire Harvey, Managing Editor in Publishing Team of CPD. Every Briefing Paper/Note has a commissioning manager, who should follow the helpful guidelines for CMs on the intranet.

**Fast-track:** There is a fast-track procedure for ‘Reactive’ Briefing Notes in situations where production has to be quick and where we could not have anticipated the need. This will be the case in the first phases of a sudden-onset or fast-moving humanitarian crisis.

These ‘Reactive’ Briefing Notes (as in non-urgent situations) are limited to 6 pages/2700 words, with no summary. Text should be inputted direct to standard template, available at http://homepage.oxfam.org.uk/policy/policyguide/paper_templates.htm. OGB Publishing Team will normally handle sign-off and production but this should be checked with Claire Harvey first. If they do not have the capacity to do so, the OI Advocacy Director will find a substitute.

No formal ToR are required for ‘Reactive’ Briefing Notes but brief answers to basic questions should be submitted by commissioning manager to the OI Advocacy Director, Bernice Romero. Questions are:

**What is the paper’s purpose?**

- Could same result be achieved by other means, e.g. open letter, press release, etc?
- Who is the audience?

- What is the proposition or main message?
- What are the sensitivities?
- Who, if anyone, needs to comment?

Schedule is as follows, on a four-day turnaround:

- consultation with other affiliates, if needed, can be limited to one day
- After final draft ready, 24hrs for Regional sign-off, OI LRM’s as required, and CPD Director
- 24 hrs for signoff by OI Advocacy Director (with right to require others to sign-off)
- half a day for final revisions, proof check, preparing final files.

**NB:**

- In exceptional circumstances, the timeline can be compressed to 1 or 2 days in total by agreement with the OI Advocacy Director.
- If the Briefing Note contains significant new policy or is highly sensitive, the OI Advocacy Director may have to refer it for sign-off by the OI Policy Signoff Group (Policy directors in all affiliates) in the usual way, on a 5-day turnaround at OI signoff stage, and the timeline would be increased to an 8-day minimum turnaround.

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40 See http://homepage.oxfam.org.uk/policy/policyguide/tools.htm
Managing Media Interest

Why the media are – briefly – interested in your work

For a brief period the media will be greatly interested in an emergency. They are interested in this event, not because it is important or that it is affecting a large or small number of people, but because it is news. And we can use this interest to better communicate our work and concerns to a wide and important audience.

Your role in helping the media tell the right story

The first few hours of media reporting of an emergency helps set the tone and content. Once the story breaks, the media want initial eyewitness reports of what has happened or is happening. If they cannot get eyewitnesses, they want informed views. In the first day of an emergency you or members of your team will have to act as Oxfam’s eyes and ears – and mouthpiece.

The first days

Depending on the strength of media interest, Oxfam will send someone to deal with the media. But this will not be instantaneous, and in the first few days of an emergency someone in the field will have to act as spokesperson, with help and guidance from the media unit or the regional media officer.

Information flow

Oxfam will require up-to-date information about the crisis. This needs to be done on a regular basis – daily on a fast-onset, fast-moving crisis. You will need to set up an information flow system. Besides the usual humanitarian information you will also need to supply examples of how the crisis is affecting people.

Broadcast interviews

In the first hours and days of an emergency you need to identify a spokesperson to do broadcast interviews. The media unit will help you with guidance on what to say and how best to say it, but basically you need to ‘describe and make sense’ of the crisis for an audience thousands of miles away.

Frontline aid workers’ stories

The Media Unit, and other departments, will require first-hand testimony. Frontline aid workers should collect this. As this can be time consuming and is in itself a specialised task, the Media Unit can call frontline staff, interview them and write up the interview. You will need to identify staff and ensure they are available and Oxford has their contact numbers.

Dealing with journalists

You will need to ensure that when approached by journalists you are reasonably helpful with their requests. Sometimes those requests may be unreasonable, but generally they are not. What they want from you will be access to your programme (accompanying your team), your views (a short interview) and the community you are working with (interviews with those on the sharp end of this emergency). They may not have someone to translate, so you may need to provide a member of staff to help translate what people are saying.

Contact the Media Unit immediately a journalist contacts you. They will help you deal with any request.

Facilitating media visits

It is rare for a journalist to arrive spontaneously. Usually a visit by the media will be organised by the Media Unit or the regional media officer. Depending on where the crisis is happening, you are likely to be expected to help with accommodation, transport and translation for the media. Again, a media officer will help and give you guidance on this.
### Reporting, Information and Communication

Reporting is essential for overall programme monitoring and serving to meet the organisational information needs.

Information needs to be passed regularly between the field, the Regional Centre and Oxfam House throughout the emergency programme. It is highly likely that, at the beginning of the emergency, this will need to be almost daily; in the case of a category 1 emergency, daily teleconference meetings are held to ensure effective decision-making, co-ordination and support to the programme response.\(^1\)

The kind of information that needs to be communicated will depend on the purpose for which it will be used. Oxfam usually uses three distinct formats for information and communication purposes during an emergency:

- **Sitrep**s are internal documents, containing detailed and technical information on progress against objectives and raising important issues with managers and specialists (e.g. in the Humanitarian Department, the Programme Funding Unit, and Campaigns and Policy Division). Sitreps are written by the Programme Manager once the humanitarian programme response is underway; their frequency is decided on a case-by-case basis with managers. Every Oxfam implementing a humanitarian programme should write its own sitreps, which may then be compiled into a single Oxfam International sitrep for wider circulation.

  The frequency of reporting will depend on the rapidity with which events are happening, but could be weekly, bi-weekly or monthly, etc., depending on circumstances.

- **Emergency Updates** are produced for communications purposes, containing brief, signed-off programme headlines for public use and further information on availability of stories, images, and press releases. These are the responsibility of the Communications Officer of the lead Oxfam; their frequency is agreed between Oxfam affiliates according to the scale of response, fundraising efforts, and media interest in affiliate countries.

\(^1\) Details about constitution of Category 1 teleconferences and standard agenda of those meetings are provided on the accompanying CD.
Working with Partners

The assessment of humanitarian needs, and an understanding of other organisations’ response capacity and of Oxfam’s own resources, guides the decision on how Oxfam chooses to intervene in an emergency – whether by way of:

- providing direct (operational) humanitarian assistance;
- building disaster response on local capacities;
- influencing the actions that cause the emergency and the response of others to the crisis; or
- building the capacity of civil society to influence the events and decisions that affect their lives.

Oxfam recognises that working with others is crucial to the success of our humanitarian work and that the quality of programmes is critically affected by the quality of our relationships with allies and partners. Solid relationships with communities, partners and allies enable Oxfam to design appropriate programmes and implement them in an accountable fashion.

Our partner relations are, therefore, expected to be informed and managed to a set of clear principles to which we hold ourselves accountable and which have been laid out in detail in Oxfam GB’s Partnership Policy, provided on the accompanying CD. These principles are:

- complementary purpose and added value;
- mutual respect for values and beliefs;
- clarity related to roles, responsibilities and decision-making;
- transparency and accountability; and
- commitment and flexibility.

Using these principles, the programme team on the ground will make judgements about our partnerships, based on the context, the programme in question, their own local knowledge and experience, and discussions with the partner organisation. In the case of a humanitarian response, it is essential that clarity and shared understanding of expectations are established as quickly as possible with partners.

As a preparedness measure prior to an emergency, a Humanitarian Programme Capacity Appraisal Tool, developed by Oxfam International, is available to help Oxfam affiliates assess partner capacity during the contingency planning process or new partners we engage with after the onset of an emergency. It is provided on the accompanying CD.

Oxfam GB has set the following minimum requirements for project partner management during humanitarian work, specifically for the disbursement of cash grants of up to £50,000 or grants of goods up to a value of £250,000:

- Partner assessment: There must be a brief written capacity assessment on file for any partner involved in the delivery of humanitarian response programmes.
- Partner agreement: A standard Oxfam partner agreement must be signed by the Programme Manager and the responsible official of the partner agency prior to release of Oxfam funds or materials.
- Code of conduct: Any partner or contractor associated with Oxfam must receive a copy of the code of conduct (non-staff) and have it explained to them. All partner agreements and contracts must contain a clause, agreed to by the partner or contractor, to abide by these rules.
- Partner programme plan: A brief written description of the partner programme delivery plan is also required (covering who, when, where, what, and how).
- Progress reports: The partner agreement needs to cover the reporting requirements from the partner, including dates and type of information required.

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42 See Programme Management Minimum Requirements, Section 3.5.
43 Available on the accompanying CD.
4 Programme Support Functions

Contents

4.1 OPAL Guidelines for First-phase Humanitarian Response
4.2 Human Resources
  4.2.1 First-phase Minimum Requirements
     – HR, Legality, Office Management
  4.2.2 Health and Welfare
4.3 Finance First-phase Minimum Requirements
4.4 Logistics and Supply
  First-phase Minimum Requirements
4.5 Information and Communications Technology Minimum Requirements
4.1 OPAL Guidelines for First-phase Humanitarian Response

Information about Oxfam’s programmes is held in the OPAL44 system; all new
Oxfam programmes require authorisation in OPAL before implementation starts
and funds are released.

Programmes are described within broad long-term Programme Implementation
Plans (PIPs) and, attached to these, distinct projects.

There are two types of PIPs and projects: Standard (used for the majority of
Oxfam’s work) and Rapid Onset (used when a quick release of funds is needed
to respond to an unplanned humanitarian crisis).

When creating a new PIP, the OPAL system will default to a Standard PIP. To
create a Rapid Onset PIP:

- Select Rapid Onset PIP from the drop-down list – instead of Standard – to
  change PIP type. OPAL will allow authorisation of a Rapid Onset PIP with
  the bare minimum of information. (It is up to the authoriser to judge how
  much information is appropriate in the circumstances.)

- Enter an Expiry Date for the Rapid Onset PIP. The author of the PIP is
  required to enter an expiry date that is no more than three months after the
  authorisation date, and the PIP and the budget are only valid until that date.
  Before the expiry date, the Rapid Onset PIP needs to be re-versioned and
  a full Standard Programme Plan completed and submitted for authorisation.

The equivalent procedures apply to the creation of a Rapid Onset project.

To Authorise the Project:

- Name of Project Manager
- Manager’s Email Address
- Contact Name
- Contact Email Address
- Short Description
- Start Date
- End Date
- Expiry Date for Rapid Onset
- One Budget Line.

The Rapid Onset project cannot have an end date or an expiry date after the
end date or expiry date of its PIP. The expiry date cannot be later than three
months after the authorisation date, and the project and the budget are only
valid until that date. Before the expiry date, the Rapid Onset project needs to
be closed or re-versioned as a Standard project.

To Save the Project:

- Sensitivity
- Project Title
- PIP ID
- Project Type
- Managing Office.

44 OPAL = Oxfam Programme Accountability and Learning

To Authorise the Project:

- Name of Project Manager
- Manager’s Email Address
- Contact Name
- Contact Email Address
- Short Description
- Start Date
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valid until that date. Before the expiry date, the Rapid Onset project needs to
be closed or re-versioned as a Standard project.

To Save the Project:

- Sensitivity
- Project Title
- PIP ID
- Project Type
- Managing Office.

44 OPAL = Oxfam Programme Accountability and Learning
Human Resources

Effective management of Human Resources is fundamental to any humanitarian programme response. Oxfam’s Human Resources policies and procedures, described in the Guide to Mandatory Procedures\(^\text{45}\), are designed to facilitate:

- the organisation’s compliance with legal requirements;
- Oxfam’s duty of care towards its staff; and
- effective programme and performance management.

The Minimum Requirements for Human Resources, Legality and Office Management, provided in the subsequent pages, apply for the first two to three months of an emergency. All relevant supporting forms are contained on the accompanying CD, including guidelines on how to request Humanitarian Support Personnel (HSP) from the Humanitarian Department.

The rapid pace of humanitarian programmes, as well as the contexts in which they are implemented, can pose particular risks to staff and require adequate preparedness and mitigation measures on the part of the management and staff concerned. Additional information on the CD on how to ensure staff welfare includes guidance on:

- psychological support for staff;
- recommendations for immunisation;
- the Oxfam Health and Safety Incident Report Form; and
- information on the particular illnesses of:
  - Malaria;
  - Upper Limb Disorder/Repetitive Strain Injury;
  - Dengue Fever (break-bone fever); and
  - Cholera.

\(^{45}\) [http://intranet.oxfam.org.uk/programme/pm/procedures/gmap/human](http://intranet.oxfam.org.uk/programme/pm/procedures/gmap/human)

‘First Phase’ Minimum Requirements: Human Resources, Legality and Office Management (Summary version)

For all managers and HR representatives involved in, or with responsibilities for, humanitarian response in the first 2-3 months.

**Key principles:**

- Understand the local context
- Seek advice as needed
- Think through potential risks and how they might be managed.

**Activities within the first two weeks**

1. Identify/deploy HR staff (in different locations as appropriate) to support the emergency response.
2. Establish local employment framework e.g existing country handbook or Charter B (including contract templates for national, global and national plus – fixed term, temporary and casual).
3. Work with HR to establish market rates or obtain country salary tables for national staff.
4. Develop and distribute a Capacity Planning Spreadsheet (within first week) and make agreements with RC and HD on who is responsible for which areas of recruitment.
5. HR and Programme Manager (PM) will design and update a basic organogram (within first 2 weeks).
6. Work with HR to establish: working hours, TOIL arrangements, Rest and Recuperation (R&R), arrangements for annual leave, public holidays, expenses, food, transport and accommodation, consider whether Hard To Work Allowance is needed; and whether posts to be accompanied or unaccompanied (within first 2 weeks).
7. Pay all staff by the end of the first full month of employment, with payslip.

**Recruitment - Minimum Standards**

- Complete Staff Requisition Form, HSP Request Form or Consultancy Requisition Form for each position.
• Each position must have a job profile and grade (generic can be used or ToR for consultants and HSPs). Level C and above positions should be filled with people with prior humanitarian and/or Oxfam experience during first 2 – 3 months of response.

• Agree salary range and benefits with HR before advertising.

• Look for fast, temporary cover while the recruitment process is taking place (internal secondments, internal/external headhunting – limited to 6 month contract or less).

• Interviews should be carried out by minimum of two people. Complete interview assessment form and keep on file. Generic interview questions are available and consider using tests. Candidates must be asked to declare conflict of interests and should be asked questions on gender and sexual exploitation. If headhunting, interviews should still be held.

• Offer can be made subject to confirmation of fitness to work and receipt of satisfactory reference. There must be at least one reference from most recent line manager or a deployment report (verbal will do, but keep a record). Contract cannot be issued without receipt of reference.

New starters – Minimum Standards

• A fit-for-work certificate should be obtained – either by medical examination for global/national plus staff (before travel to the field is confirmed) or Pre-Employment Medical Questionnaire for national staff.

• New starters to provide signed contract, Code of Conduct, completed personal details form with copy of ID card, passport or driving licence, bank details (where needed) and relevant visa/residency documents.

• Rapid Induction to take place – see guidelines.

• Core HR data to be entered onto HR database from the beginning of month 3 and reconciliation with payroll.

Managing Performance – guidelines for Managers

• Meet with each employee (within first 2 weeks of their employment) to agree short-term objectives based on job profile. After 3 months, review the relevance of these objectives.

• Review performance, before end of probationary period.

• Meet each employee monthly to give/receive feedback on performance against these agreed objectives and check their well-being.

• Seek advice from HR on poor performance.

End of assignment/contract

• Debrief/exit interview and end of contract clearance forms must be completed before the employee leaves

• End of deployment appraisal to be completed if duration of post is more than 6 weeks

Health and Safety

• Managers are responsible for staff wellbeing.

• First aid kits should be available in offices, guesthouses and vehicles

• All Oxfam employees are provided with mosquito net

• All employees to understand the Vehicle Policy and copy to be placed in all vehicles

• Medical evacuation procedures and local hospital arrangements should be in place

Legal matters

• Establish contact with legal representative through country programme if exists, RC or other agencies recommendation. File any necessary papers with the relevant government departments (ask the Legal Team in Oxfam House) – within first 4 weeks.

• HR will register Oxfam with the national authorities for employment, pay tax and social security for national staff (unless there is an exemption) and explore requirements for international staff, within first 4 weeks. File the registration document in the office, with a copy to the Regional Centre.

• Work with HR to obtain work permits for international staff and manage visa/permit renewals. Place documents on personnel files.

• The Regional Director should confirm to CMT whether the operation meets full legal requirements, if not, what exceptions there are and action being taken to address them – within three months.
Health and Welfare

Many of the areas where Oxfam GB works are very challenging and lead to high physical and mental demands on staff. It is, therefore, normal to feel stressed when facing demanding situations. For example: living in shared accommodation, the pressures of large workloads, insecurity, the challenge of cross-cultural communication, and unfamiliar conditions can cause stress.

People who are stressed may show some of these signs:
• Irritability or mood swings
• Problems sleeping, sudden changes in appetite
• Lack of motivation and enthusiasm

Long-term stress which is carried forward from one deployment to another can lead to cumulative stress that has more serious symptoms such as:
• Anxiety or depression
• Panic attacks
• Dramatic change in behaviour or alcohol/substance abuse

Stress and Cumulative Stress

Personal debriefing is a guided, confidential conversation focusing on the individual’s experience of the deployment.
• It is ideally NOT conducted by the line manager.
• It should be offered to staff on a routine and regular basis e.g. before R&R or at the end of deployment.
• Anyone can be trained to give a debriefing - see intranet link in resources box.

In the event of a serious incident, a supportive environment in which staff can express themselves openly is important - see Communication box below.
• Immediately after a serious incident, provide staff with support, time and space to be with family and friends.
• Some time after the incident, arrange a personal debrief with a trained debriefer and consider further intervention if necessary.

Managers can get additional support from Oxfam House - see Resources.

Communication

Managers in Oxfam GB should provide an open environment that encourages staff to:
• Ask questions and reflect on the situation
• Talk about their concerns
• Discuss how they are coping
• Proactively identify and tackle issues and concerns
• Support each other

Managers must be aware of cultural differences and never make any assumptions regarding staff’s needs - if in doubt, ask!

Resources

Staff Health Department at Oxfam House provides health and welfare support and offers personal debriefing for staff passing through.

Email: staffhealthservice@oxfam.org.uk
Tel: +44 1865 473865/50

Martin Knops is the Oxfam GB counsellor and available to discuss any concerns you have in confidence.

Email: mknops@oxfam.org.uk
Mob: +44 (0)7818 032233
Tel: +44-(0)1865 472220

For additional information see: http://intranet.oxfam.org.uk/support/hr/staff_health

Office and Staff Accommodation

HR and PMs should ensure working and living conditions are conducive to maintaining health and wellbeing of staff.

• Identify who is responsible for office and staff accommodation – within first 2 weeks.
• HR and Logistics to ensure office equipment and supplies are adequate for programme needs.
• HR, Office Manager and Programme Manager should establish office administration procedures and filing systems (ie locked cabinet for personal files).

Supporting forms:
1. Capacity Planning Spreadsheet
2. Job profiles – generic for PM, PHP, PHE, EFS and Logistics
3. Staff Requisition Form
4. Consultancy Requisition Form
5. How to Request Humanitarian Staff
6. Longlisting form
7. Shortlisting form
8. Interview Assessment form
9. Reference request form
10. Guidelines for rapid induction
11. Summary of Vehicle Policy
12. Absence record
13. Financial checklist
14. Leavers form
15. End of contract appraisal form
Finance First-phase Minimum Requirements

To facilitate the effective delivery of humanitarian programmes, it is essential to follow guidelines and procedures related to financial management. This ensures that Oxfam is able to:

- mitigate risk around fraud and corruption;
- enable programmes to be held accountable to donors; and
- ensure cost-effectiveness.

Tools and procedures

In general, all humanitarian programme activities should be implemented within procedures set down in Oxfam’s International Financial Procedures Manual. However, Oxfam has developed Finance Minimum Requirements for rapid-onset emergencies, which allow decisions to be made and implemented rapidly while ensuring that accountability is maintained.

Oxfam’s ‘Office in a box’ is a one-stop shop for all necessary templates and standard forms required for financial management. Please refer to the document named Form Template Guide to identify a particular document template. For budget monitoring (nVision reports) and PeopleSoft query advice, please refer to the International Financial Procedures Manual.

The tools described above are provided on the accompanying CD, in full or via a link.

This document gives the minimum requirements for finance (i.e. accounting and financial management) for all managers and Finance staff involved in, or with responsibilities for, humanitarian response.

1. Objective

The overall objective for Finance for the ‘first phase’ of an emergency response is to focus on the provision of money for effective programme delivery and on accounting – getting sufficient money to where it is needed, when it is needed, and being able to account for it.

Being able to account for the money means two things:

- having supporting documentation for all items of expenditure – if any supporting documentation is missing then the reason for this needs to be documented (see section below on authorising transactions); and
- monitoring the status of bank and cash – i.e. knowing the actual balances and where they are held; ‘thinking forward’ and staying informed about programme developments to ensure current and immediate future programme needs for money can be met; and reconciling statements, for example bank statement balance with Oxfam book keeping account balance.

Oxfam acknowledges that there is a ‘hierarchy’ of delivery needs – effective delivery of a programme comes before perfect reporting, i.e. meeting beneficiaries’ needs takes precedence over meeting donors’ needs. Oxfam strives to be ‘cost-effective’ in all its work but also acknowledges that, in the initial stages of an emergency, effectiveness takes precedence over cost.

2. Key Principles

Four key principles inform the minimum requirements, performance expectations, and decision-making in emergency situations:

- Risk
- Accountability and cost-effectiveness
- Roles and effectiveness in working across functions
- Setting up foundation systems/processes.

2.1 Risk

Responding effectively in a fast-paced emergency environment presents increased risk. Think about management of risk, and an appropriate level of risk-taking, to guide decision-making. See also Introduction to Minimum Requirements for Humanitarian Response.

2.2 Accountability and cost-effectiveness

All employees are responsible for safeguarding assets, such as money, equipment, stocks, and resources. They also need to be accountable, i.e. they 
need to have the ability to demonstrate how Oxfam’s assets have been used, for example by having receipts (or if receipts are not forthcoming, having a written statement saying amount spent, on what, and signed by the person who spent the money).

For expenditure to be cost-effective, staff need to consider both cost and benefit implications to choose the best option. This is not necessarily about achieving the lowest cost overall. See also Logistics Minimum Requirements, Section 4.4.

They need to be able to demonstrate that minimum requirements are being met or seek approval and document the reason why any are not being met.

### 2.3 Roles and effectiveness in working across functions

The finance function needs to support programme delivery – the key business objective – while programme management need to take the advice provided by the finance function into account; for example, when designing a programme, think about budget implications and coding structures; when changing programme implementation plans, think about financial implications.

### 2.4 Setting up foundation systems/processes

Setting up ‘basic-level’ infrastructure and controls in the first two to three months of an emergency response must provide a foundation on which an expanded or continued programme will be based. Later work should not be about reworking what happened in the first two or three months, but adding to it. Planning work must include how to transition to normal operating procedures.

### 3. Minimum requirements

This section gives a complete statement of minimum requirements for accounting and financial management for the first two to three months of an emergency response. These minimum requirements are designed to achieve a reasonable level of control while supporting effective programme delivery.

#### Summary tables of financial limits

A summary table of financial limits, for each location, needs to be established at the beginning of the emergency.

The following table provides a quick reference to limits given in the remainder of the document, and is to be used as a default, unless an alternative is established and approved as below. These value limits may be amended for periods of time if approved by the Regional Director or Humanitarian Director (with the exception of the cash-carry amount). All of these limits are also covered in specific sections that follow, usually in more detail.

For amendments to the hand-carry cash amount, whether on a one-off or longer-term basis, approval is required from the International Finance Director (Deputy International Director).

<table>
<thead>
<tr>
<th>Description/area</th>
<th>Section reference below</th>
<th>Limit (e.g. USD, GBP or currency equivalent)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash – normal maximum for storage in a safe</td>
<td>3.2</td>
<td>approx. 3 x local payroll costs</td>
</tr>
<tr>
<td>Cash – normal maximum for hand-carrying cash</td>
<td>3.2</td>
<td>USD 20,000</td>
</tr>
<tr>
<td>Float – total maximum outstanding balance for staff members</td>
<td>3.2</td>
<td>GBP 3,000</td>
</tr>
<tr>
<td>Inter-office cash transfer of funds – normal maximum</td>
<td>3.2</td>
<td>USD 20,000</td>
</tr>
<tr>
<td>International top-ups – Below GBP 50,000 require approval from Country Finance Manager and CPM Above GBP 50,000 require approval by RFSM, Deputy RFSM or HD Business Manager</td>
<td>3.3</td>
<td>&lt; GBP 50,000 &gt; GBP 50,000</td>
</tr>
</tbody>
</table>
3.1 Fraud and corruption
Fraud and corruption are always unacceptable, as set out in the staff code of conduct. Staff must always declare any possible conflict of interest and cooperate with any investigation. Any allegation or incident of potential fraud needs to be reported through the line and to the Internal Audit Department, for support and advice on investigation and further action.

3.2 Finance staff capacity
Identify and deploy Finance staff (in different locations as appropriate) to support the emergency response within one day of the onset of the emergency response.

3.3 Cash management
- All cash transactions need to be recorded in PeopleSoft cashbooks at least once a week.
- As a key control, cash counts are required to take place, and to be reconciled against cash book records, at least once a week and when responsibility for the cash is transferred between staff members. Cash counts need to be countersigned by a non-finance manager.
- Petty cash must be kept locked in a cash box and in a safe or locked cabinet overnight.
- Staff members taking a float for purchases cannot have more than a total of GBP 3,000 or equivalent in floats outstanding, i.e. not yet accounted for. Minimum requirements for purchasing including the use of floats are covered in Logistics and Supply Minimum Requirements. If funds have been passed to another staff member, this can be accounted for by evidence of ‘transfer of responsibility’, i.e. a written, dated record signed by the staff member receiving the transfer.
- Transfers of cash between locations (e.g. between sub-offices) must be documented, with signature evidence of transfer of responsibility between staff members. Cash transfers (i.e. by hand) are limited to a normal maximum of USD 20,000 or equivalent unless there is additional authorisation as set out above (see point on hand-carrying cash).

- Cash amounts for cash programming are treated, in effect, as floats to staff members. Financial limits (and requirements for approval if these limits are to be increased) are as set out above and normally limited to a maximum of GBP 3,000 per person.

Cash programming is also referred to in the Logistics and Supply Minimum Requirements. Implications for the management and control of cash programming are in many ways similar to distributions of goods, but with additional risks around security, safety and fraud/misappropriation. These risks need to be considered and action taken to mitigate them as appropriate (e.g. for cash disbursements to be made by a Finance or non-programme staff member and with more than one staff member present; segregation of duties (i.e. different staff members are responsible for different parts of the cash programming process)).

3.4 Bank security and accounts
- Set-up or adapt banking facilities as necessary – A lack of banking facilities in programme locations can be a major obstacle to effective humanitarian programme delivery (and can have security implications, for example when transferring cash between locations). Banking facilities (in accordance with Oxfam’s Banking/Emergency Banking procedures) should be set up very quickly for each programme location as required – within two weeks of the onset of the emergency.

Mandates of bank accounts in existence prior to the emergency may need to be revised, for example for new signatories. UK Accounting will process bank account set-up within 24 hours of the request, and will use urgent routes for payments when requested.


- Staff must never sign a blank cheque.
- Cheques must always have two signatures, unless a change to the standard Oxfam bank mandate is authorised (given particular circumstances) by two of the following: Oxfam Finance Director, Company Secretary, Head of UK Accounting, International Finance Director.

For further information and detailed recommendations on how to minimise risks (for Oxfam staff and beneficiaries) when transporting and distributing cash in cash programming, refer to the Oxfam Guide “Cash-Transfer Programming in Emergencies”. 
4 Programme Support Functions

4.3 Finance First-phase Minimum Requirements

- A list of bank signatories, issued by the bank or confirmed in writing by them, needs to be held and updated according to any changes. The list should be no more than one month out of date.

- RFSM must inform the Bank and Treasury Team in Oxford of any new accounts, changes to mandates or signatories, large and unusual payments or closures.

- Finance staff are expected to ensure that cash flow forecasts are prepared as necessary, with input from programme/project managers and support functions, to ensure that sufficient money is available where and when it is needed – for programme work (including taking account of any ‘cash programming’ activity) and running costs, salaries, etc.

- All first top-ups (i.e. to new bank accounts, whether by international or national transfer) must be signed by the RD, HD, CPM, RFSM or the most senior person in situ for an ‘out of area’ emergency response. This person needs to check that the account is a legitimate Oxfam account and accept the level of risk in terms of the amount of money being sent. A test top-up of a small amount is not, therefore, required in these situations. For any inter-office bank transfer within a country, the most senior manager, or the senior Finance post, at the sending location must approve the transfer.

- As a key control, staff must reconcile the bank’s balance with the balance in Oxfam’s accounts at least monthly, and take action to resolve any differences.

3.5 Authorising transactions

- Budget codes – Initial budgets for assessment and start-up or scale-up costs need to be set up within three working days of the onset of the emergency and communicated immediately by Finance. Longer-term budgets need to be set up and communicated within three months of the onset of the emergency (in line with OPAL business rules for re-versioning rapid onset PIP/Project(s), and designed to take account of institutional donor reporting requirements).

- Authorising transactions – All staff need to take responsibility for checking that the transactions and payments they carry out are properly documented and authorised. This includes:
  - checking that any transaction or payment that they sign is within their authority;
  - checking that any transaction or payment is made from an approved budget or agreed code; and
  - obtaining a receipt for all expenditure (or signature from the supplier of goods/services) or, if this is not possible, the staff member must document why not.

- Delegated/Signing authorities – Inappropriate levels of authorisation can be a major obstacle to the timely delivery of humanitarian response. An authorised table/list of delegated authorities, therefore, needs to be in place and communicated as soon as possible – and by the end of week 1 – covering budget holders and authorised signatories (including the financial limits of their authority, for expenditure and contract commitments). Finance prepares this table/list of delegated authorities for authorisation by the OPAL PIP manager.

Note that the Logistics and Supply Minimum Requirements, Section 3.1, state that the Logistician/Co-ordinator will normally be the budget holder for basic programme support items (e.g. guest house/office set-up or supplies).

3.6 Fixed assets

For assets of a value of less than GBP 1,000 or equivalent, or a lower limit if this is required by a restricted donor, a fixed asset register is required for the programme – a central written record of asset location and responsibility. This register needs to specify where the asset is and who is currently responsible.

3.7 Management accounts

- Budget coding structure – Finance and Funding staff should provide advice to programme management to help establish a practical design for coding expenditure (including taking into account how the projects are delivered on the ground, and how they are funded). This links to the creation of standard PIP/Projects (re-versioning from rapid-onset PIP/Projects) required within
the first three months of the response – see Programme and Overall Management Minimum Requirements, Section 3.5).

- General ledger (PeopleSoft) uploading, reconciliations and management accounting – With effect from the beginning of the full calendar month 3 of an emergency (e.g. by the beginning of December for an emergency that started mid/late October) at the latest, all transactions need to be uploaded to PeopleSoft according to established reporting schedules. Reconciliations are required between PeopleSoft and actual bank and cash balances held, and management accounting reports complete with variance reports are required.

### 3.8 Staff expenses and entitlements

- Floats must never be used as a ‘concealed loan’ to staff or for personal expenses. They are advanced in the expectation of expenditure on Oxfam’s business.

- Expense authorisation – Expenses must be authorised by the staff member’s manager/budget holder, except when the manager/budget holder is not working in the same location. A staff member’s expenses must not be authorised by the claimant him/herself or by anyone who reports to the claimant.

- Loans – Newly recruited staff must not be given loans within the first two months of an emergency response. Salary advances are available of up to one month of salary, subject to normal procedures in place in the region.

### 3.9 Staff leavers

Human Resources staff need to check, liaising with Finance, that any outstanding monies owed to Oxfam are returned when a staff member leaves.

### Logistics and Supply First-phase Minimum Requirements

Logistics and Supply is a key global function which ensures that the operational implementation of Oxfam GB programmes is:

- properly planned and managed by a professional logistics team;

- efficient through the timely availability of assets and a transparent supply chain, with close monitoring of the consumption and use of those assets; and

- structured through the clear definition of individual responsibilities, appropriate processes and ways of working.

Well-planned logistics is a shared responsibility, with two-way communications clearly articulating needs, constraints and delivery milestones. Delivery milestones for the supply of goods, assets and services will be achieved through:

- the availability of sufficient human resources (logisticians);

- clear ways of working and procedures with standardised tools;

- visibility of logistics information to support project management; and

- adequate inductions to logistics.

Logistics and Supply Minimum Requirements have been drawn up for first-phase humanitarian programme response and need to be taken into account by the managers and logistics staff responsible for the programme. They are described in the section below; a selection of basic tools and templates is provided on the accompanying CD. For further guidance, please refer to the Logistics Intranet site.

All minimum requirements are for use in the ‘first phase’ of humanitarian response programmes, i.e. for around two to three months (see Introduction to Minimum Requirements).

### 1. Objective

The overall objective for Logistics and Supply for the ‘first phase’ of an emergency response is to focus on delivery and keep track, i.e. to ensure sufficient equipment/supplies infrastructure and personnel are provided on time to meet the programme needs, and to ‘keep track’.

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For further guidance, please refer to the Logistics Intranet site.
‘Keeping track’ means two things:

- accounting for expenditure (e.g. by having the bag of receipts), and noting/ knowing the deployment of assets; and
- effectively monitoring the status of work (e.g. expected delivery dates, stock levels) and sharing this information with colleagues (i.e. programme staff and other functions as well as those involved in logistics).

Oxfam acknowledges that there is a ‘hierarchy’ of delivery needs: effective delivery of a programme comes before perfect reporting, i.e. meeting beneficiaries’ needs takes precedence over meeting donors’ needs. Oxfam strives to be ‘cost-effective’ in all its work but also acknowledges that, in the initial stages of an emergency, effectiveness takes precedence over cost.

2. Key principles

The following section states five key principles which inform the minimum requirements, performance expectations, and decision-making in emergency situations.

2.1 Risk

Responding effectively in a fast-paced emergency environment presents increased risk. Think about management of risk, and an appropriate level of risk-taking, to guide decision-making. See also Introduction to Minimum Requirements for Humanitarian Response.

2.2 People

Get the right people in place, and enable them to do their job. The people deployed should have the right skills, competence and experience to meet Oxfam expectations. Oxfam will give its staff the tools to meet the minimum requirements (e.g. pre-printed pads of basic forms) and expects them to use them. Oxfam will provide logistics capacity in different roles (i.e. management, operational) and will provide more than enough capacity – i.e. over-resource rather than under-resource – to allow for breaks, sickness, etc. However, this is a difficult balance to achieve, as more people means more support and management requirements.

2.3 Communications and dialogue

Effective communication and dialogue are required to meet programme needs. The logistics function must support programme delivery – the key business objective – and programme management should take the advice provided by support functions into account. Good communication and dialogue are needed to make good decisions around programme direction, plans and changes, specific timelines, whether/how equipment supply needs can be met, and how local rules and regulations are met.

2.4 Purchasing/Procurement

Speed, volume and quality are the three factors that determine effective procurement, i.e. act quickly, get the volume needed, of the right quality goods/material with due consideration of value for money. Purchase goods from the right source: normally, local supply is preferred, then national and finally regional or through Oxford (dependent on speed, volume, quality, specialist equipment, donor requirements, etc.).

- **Speed** – The requirement for speed of delivery may have particular implications, such as paying more now; operating more with cash than in normal development contexts where bank transfers or cheques may be standard; security implications (e.g. personal safety for staff carrying cash); and control mechanisms against the risk of fraud. (See also the Finance minimum requirements document.)
- **Volume** – ‘More not less’. It is better to over-supply equipment than under-supply, but this must be accompanied by effective stock control. A vital part of evaluating bids/quotations from suppliers is to ensure that the supplier has the capacity and capability to meet Oxfam’s requirements.
- **Quality** – Careful specification of the requirement is vital in any procurement process to ensure it meets the end-users’ needs. The specification needs to be clear to suppliers and forms part of the legal contract with them. Good communication is, therefore, essential – between programme and logistics staff, and between logistics staff and suppliers.

2.5 In parallel

Quickly establishing ‘basic-level’ infrastructure and controls needs to be done in parallel with initial service delivery. The set-up of basic-level infrastructure and controls in the first two to three months of an emergency must provide a foundation on which an expanded or continued programme will be based. Later work should not be about reworking what happened in the first two or three months but adding to it, so planning work must include how to transition
3. Minimum Requirements

The following section gives a complete statement of minimum requirements for logistics and supply (including purchasing) for the first two to three months of an emergency response. They are designed to allow staff to achieve a reasonable level of control while supporting effective programme delivery. Key processes are shown in boxes (e.g. for buying goods/services).

3.1 Purchasing

Money (see also Finance Minimum Requirements) – Finance staff will work to set up banking facilities as necessary within two weeks. Cash needs to be provided immediately – whether from Oxford or at regional, national or local level – or find alternative means, such as Western Union. Purchasing practices will depend on local laws, such as restrictions on importing foreign currency.

Institutional donor requirements – Institutional donors tend to have specific purchasing requirements, for example on levels (see below) or constraints on where items can be sourced. They will also usually have first-phase minimum requirements of their own which need to be understood.

If the emergency project does have institutional funding support, you must be aware of these contractual requirements, to ensure compliance with them or to seek to negotiate and agree different arrangements, such as waivers or derogations for particular circumstances. The Regional Funding Co-ordinator or Programme Funding Department (PFD) should provide a summary of constraints and implications for each donor, for example in a written memo. Keeping a close relationship with the (local) donor representative will help resolve ad hoc issues. Please be aware that some institutional donors are subject to broader national or legal regulations so cannot make exceptions to their requirements.

Order Value Table

Oxfam requirements for different levels of purchases/orders are set out in the following table. These are the default Oxfam requirements that apply to first-phase emergency situations - unless alternative arrangements are needed in order to comply with institutional donor contracts. Changes to the default ranges and requirements can be agreed for particular circumstances and time periods if authorised by the Regional Director or Humanitarian Director.

**Evaluating bids/quotations** – As stated in the principles section above, a vital part of supplier selection is to ensure you are satisfied that they have the capacity and capability to meet Oxfam’s requirements.

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**Process for buying goods/services**

There are two possible ways of buying goods/services: the full purchase process and purchases using floats.

Purchases using floats can be made up to GBP 3,000 as set out in the Order Value Table below (see first column of Order Value Table for float purchases). The full purchase process may be used for orders less than GBP 3,000 (e.g. if the order is not urgent), but must be used for purchases above GBP 3,000. Minimum requirements are as follows:

**Full purchase process**

This process applies to all purchases except when using floats (see below).

- A Requisition Form is completed, including with budget/agreed code and authorised by the budget holder. Logistics then supply from stock or initiate a purchase (in accordance with different requirements as set out in the Order Value Table below).
- A Purchase Order (PO) is completed to place the order with an external supplier. A PO does not need to be re-authorised by budget holder.
- A Goods Received Note (GRN) is issued on satisfactory receipt of goods/services i.e. signature records goods received having checked that they meet the specifications (for quantity and quality). Logistics pass PO and GRN to Finance.
- On receipt of invoice, Finance prepares and authorises a Payment Voucher (PV), checking GRN, invoice and proper authorisation. PV should be counter-signed by budget holder if the cost of the final purchase is >20 per cent more than the original supplies request.
- Tracking orders to ensure effective delivery and accountability: Documents in the purchasing paper trail need to be cross-referenced e.g. the Supplies Request form shows the numbers of POs raised, POs show the originating Requisition Form number.
- Pre-payments: if advance payments to suppliers are required, authorisation has to be in accordance with expenditure limits as set out in delegated authorities (Finance Minimum Requirements, section 4.3). For amounts greater than GBP 3,000 or equivalent, Logistics and Finance should liaise to agree pre-payment on the basis of a pro-forma invoice, asking programme management for a decision on the risk involved if necessary.

**Purchases using floats**

Use the table below (see first column of Order Value Table for float purchases) in terms of requirements for different levels of expenditure. Account for expenditure, including attaching receipts, on clearance of the float.
4.4 Logistics and Supply First-phase Minimum Requirements

4.4.1 Programme Support Functions

**Budget holders** – The Logistician/Co-ordinator will normally be the budget holder for basic programme support items (e.g. guest house/office set-up or supplies), but this is limited to a budget of GBP 5,000. The programme/project manager is the budget holder for direct programme areas (e.g. programme equipment, salaries). In practice, budget-holding responsibilities are determined by the delegated budget structure and authorities (see Delegated Authorities in Finance Minimum Requirements).

The implication, if the Logistician/Co-ordinator is a budget holder for basic programme support areas, is that the same person may do the requesting, authorising and actual purchase of items purchased against their budget – but in accordance with the above Order Value Table and purchasing minimum requirements. This is a deliberate and exceptional departure from normal practice and limited to a budget of GBP 5,000, intended to speed up the purchasing process and reduce the pressure on project or programme managers in the first phase of an emergency response.

### 3.2 Procurement/Supply

For requirements for records of assets, see Finance Minimum Requirements, Section 3.6.

Identify freight-forwarding agent within two days (e.g. start doing this on arrival at the airport). Contact details of this agent will then be listed in the master list of suppliers (see below).

From day 1, set up a ‘procurement system’ (e.g. standard Oxfam system for organising purchases on paper or spreadsheet). Focus needs to be on expected delivery dates (rather than on order dates). Delivery date information is essential for routine communications with programme and other staff and personal organisation.

From day 1, set up a vendor/supplier list – i.e. a database or spreadsheet of contacts – showing who to go to for what, prices, etc. This can be part of the ‘procurement system’ (above). Ideally this should be in place prior to the emergency, as part of emergency preparedness.

Structured communications (e.g. at daily co-ordination meetings) need to take place within the initial two-month period and should cover the orders placed, expected delivery dates, quantities, quality, new orders placed and stock levels.
3.3 Warehousing and Transport
A single person must always be designated as responsible for the stock (i.e. Warehouse Manager or Storekeeper) and for ensuring that standard Oxfam documentation is completed.

Warehousing and Transport ‘paper flow system’ (Oxfam standard) needs to be set up within one week, to ensure transfer of responsibility documentation, issue GRNs, etc.

Warehousing and Transport process minimum requirements
- ‘Transfer of responsibility’ documents must be in place and need to be signed for the movement of items. The minimum requirement is to have signed and dated ‘goods in/out’ documents that state what has been received into or released from stock.
- You must have updated stock records/bin cards.
- A Goods Received Note (GRN) must be issued for receipt of goods from external suppliers, and connects with the purchasing process (see above).
- Oxfam standard stock reports must be produced weekly.
- Within two months you must do at least one Oxfam standard stock reconciliation and follow up any discrepancies.

3.4 Programme logistics/distribution
By the end of the first month, a tracking system for distributions (Oxfam standard) must be set up and implemented in close collaboration with programme managers to ensure adequate control and record keeping and to enable reporting in programme distributions.

Programme distribution minimum requirements
Programme team:
- A clear statement of need/requirement and a recipient/beneficiary identification system needs to be in place (e.g. card, voucher, registration documents), plus a list of the goods you are starting the distribution with (e.g. through delivery notes).
- Records of the distribution need to be made, for example through ticking cards/taking vouchers and decreasing the number of items on the list of goods held.
- Count remaining items at end of distribution and prepare report/documentation for returning to stock.

Logistics function:
- A reconciliation is needed to determine whether: ‘stock out’ minus ‘stock returned’ = ‘distribution made’ plus follow-up action on any discrepancies.

3.5 Identification/deployment of logistics and procurement staff
Check the rules for foreign nationals entering the country (e.g. visas, customs procedures for importing/exporting equipment, such as laptops).

Identify a logistics co-ordinator and programme logistician5 within one day of start of emergency. For a ‘Category 1’ emergency response this would be co-ordinated centrally by the Humanitarian Department, and we would expect this in each affected country. Requirements for structures for Category 1 emergencies are set out in default organograms (see Procedures for Calling and Managing Oxfam’s Emergency Response on the CD).

Identify and deploy one procurement person plus one logistician for each base and welfare logistics capacity within one week.

Locally identify or deploy an assistant to each logistics role (above) within the first day of the emergency.

3.6 Infrastructure set-up

Vehicles/Cars – within one or two days, rent secure and safe vehicle(s) – four-wheel drive preferable. For vehicle safety guidelines, refer also to Programme and Overall Management Minimum Requirements.

Base – office and staff accommodation to be set up within one week (e.g. contracts on properties signed). Office manager (recruited/deployed locally) will then take on the management of all accommodation (e.g. recruiting/managing guards and cooks, purchasing food and bedding, etc.).

Communications equipment – this is dependent on local law. Priority is given to HF/VHF radio communications (one per base plus spare(s)), where possible, to ensure effective national/local communication.

Requirements are:
- One satellite phone per base is needed for international communication, is often important for field communications and, therefore, needs to be part of initial equipment supply.

52 Programme logistician tracks distribution and deported stock, and is close to programme people to meet immediate needs (e.g. vehicles, communications equipment, etc.).
• Mobile phone contracts/local purchase (which must include international communications facility) must be set up within one week.
• Email and Internet connections must be established within one week.
Please also refer to the ICT minimum requirements document.

Stock/Warehouse – storage premises to be set up within first week (in practice, requirement may be for much faster set-up).

Computers – international staff will take out laptops with them (one per person).

3.7 Vehicle management
See also Security and Safety Management in Programme and Overall Management Minimum Requirements.

Vehicles must be licensed and insured (normally third-party insurance only). Responsibility for vehicle maintenance needs to be defined and written down (e.g. maintenance of each vehicle is assigned to a nominated driver). Vehicle location ‘system’ needs to be in place to know the whereabouts of vehicles at all times (e.g. through a notice board in the office, regular communications contact). Rented vehicles need to be covered by a written contract with the owner, in which the driver will abide by Oxfam’s rules and regulations, and we should always aim for the same standards as in Oxfam vehicles (e.g. security, safety, maintenance, and communications).

### Overview of Time-related Minimum Requirements

<table>
<thead>
<tr>
<th>Day 1</th>
<th>HR</th>
<th>Procurement/ Supply</th>
<th>Warehousing and Transport</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identify and send initial logistics co-ordinator and logistician (with access to money); recruit/deploy local assistants</td>
<td>Set up procurement system; set up vendor/supplier list</td>
<td>Produce weekly stock reports</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>By end Day 2</th>
<th>Infrastructure</th>
<th>Purchasing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Arrange/rent safe vehicles</td>
<td>Identify freight-forwarding agent</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>By end week 1</th>
<th>HR</th>
<th>Infrastructure</th>
<th>Warehousing and Transport</th>
</tr>
</thead>
<tbody>
<tr>
<td>Separate (per base) procurement and logistics posts filled</td>
<td>Set up office and staff accommodation; set up stock/warehouse; set up communications infrastructure (radio, satphone, mobiles, email, Internet)</td>
<td>Produce weekly stock reports</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>By end week 2</th>
<th>Purchasing</th>
<th>Procurement/ Supply</th>
<th>Warehousing and Transport</th>
</tr>
</thead>
<tbody>
<tr>
<td>Set up bank account (finance); check paper flow processes are set up and working, with clear staff responsibilities</td>
<td>Check paper flow processes are set up and working, with clear staff responsibilities</td>
<td>Check paper flow processes are set up and working, with clear staff responsibilities</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>By end month 1</th>
<th>Programme distributions</th>
<th>Procurement/ Supply</th>
<th>Warehousing and Transport</th>
</tr>
</thead>
<tbody>
<tr>
<td>Check paper flow processes are set up and working, with clear staff responsibilities</td>
<td>Routine and structured communications</td>
<td>Produce weekly stock reports</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Ongoing in first 2 months</th>
<th>Procurement/ Supply</th>
<th>Warehousing and Transport</th>
</tr>
</thead>
<tbody>
<tr>
<td>Carry out a minimum of one stock reconciliation (plus action)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>By end of first 2 months</th>
<th>Warehousing and Transport</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
3. Non-negotiables and Qualifiers

The minimum requirements for ICTs can be organised in two tiers. The first tier contains three ‘non-negotiables’, while the second contains three qualifiers, which set the context and act as precursors for the non-negotiables.

3.1 Non-negotiables

- Reach-back communications: A means of communicating with the wider world must be established as a priority in the first days of a response; this must be self-contained and have its own power source.
- Security communications: If personnel are to move around the emergency area, they must be in possession of two means of communication, one of which must be the most reliable means of communication available for the area and/or the situation.
- Management responsibility: It is essential to establish a structure to allow equipment to be procured efficiently, the network to be managed properly and training gaps to be filled as required. This is best achieved through the appointment of an individual, when building the Oxfam GB response team, to the (part-time) role of ICT Manager.

3.2 Qualifications

- Standardisation: All Oxfam GB users must use standard equipment as listed in the OGB Equipment Catalogue.
- Training: Users of ICTs must be trained in their use. Comprehensive training is preferred, but it may be possible to deliver just enough training during the response to enable basic usage.
- Cost: ICT Managers should seek to reduce the cost of ICT usage as the response progresses. However, this should never be done at the expense of security or reliability.
### Chronological Overview of ICT Issues During an Emergency Response

<table>
<thead>
<tr>
<th>By end of day</th>
<th>Subject</th>
<th>Task details</th>
<th>Who's responsible</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>ICT Manager</td>
<td>Those managing the response identify the person in the initial assessment team who will perform the role of ICT Manager.</td>
<td>Programme/Project Management</td>
<td>If the ICT Manager during the response is different from that during the assessment phase, a full handover must be conducted.</td>
</tr>
<tr>
<td></td>
<td>Immediate Equipment Needs</td>
<td>ICT Manager must deploy a means of reach-back communications, to enable the passage of essential information.</td>
<td>ICT Manager</td>
<td>The choice of this ICT must be consistent with a risk assessment of the country into which the team is travelling.</td>
</tr>
<tr>
<td>¾</td>
<td>Security Communications</td>
<td>Assess the requirement for staff security communications, then identify and establish the relevant ICTs.</td>
<td>ICT Manager/Security Adviser</td>
<td>This should be done in parallel with the standard security risk assessment for the emergency.</td>
</tr>
<tr>
<td></td>
<td>Equipment Requirements</td>
<td>Assess and request the likely communications equipment required for the first weeks of the response. Where equipment is not available to ensure staff security communications, movement should be limited. Consideration should be given to the future expansion or contraction of the network.</td>
<td>ICT Manager/Logistics Co-ordinator</td>
<td>N.B. it is likely (and desirable) that some of this equipment will be included in the initial response; it is also likely, however, that more will be required. These additional requirements must be communicated as soon as possible.</td>
</tr>
<tr>
<td>7</td>
<td>ICT Assessment 1</td>
<td>Week 1 assessment report (as per standard format), passed to programme/project management.</td>
<td>ICT Manager/Programme/Project Management</td>
<td>The assessment report is likely to produce certain desired outcomes, which may require further action.</td>
</tr>
<tr>
<td>14/21/28</td>
<td></td>
<td>Further ICT assessments, equipment requests and training deficiencies communicated as appropriate by ICT Manager and/or Programme/Project Management.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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It is acknowledged that different emergencies will have different technological and chronological characteristics. The issues above should, however, be addressed whatever the local conditions. The chronological timeline, the issues raised and the personnel identified as being responsible are consistent with the ‘Overview of Time-related Minimum Requirements’ given in the Humanitarian Handbook at http://intranet.oxfam.org.uk/programme/humanitarian/managing/hope/big/minreqfirstphase
5 Emergency Preparedness

5.1 Introduction

On a global scale, it is generally accepted that natural disasters are increasing in frequency and impact, threatening the lives and livelihoods of more and more people each year. It is, therefore, appropriate to assume that more emergency responses will be demanded from Oxfam at country level than in the past.

Within Oxfam GB, the Humanitarian Vision being adopted and promoted throughout the organisation affirms that by 2010 Oxfam will have developed sufficient capacity at country and regional level to make confident, timely, proportionate and effective responses to emergencies of a scale affecting up to 200,000 people.

As a way of assisting country programmes and Regional Centres in being well prepared in advance for the possible onset of an emergency, Oxfam has developed the following tools:

- the contingency plan, which has been agreed and adopted within the Oxfam International federation as the key mechanism for affiliate emergency preparedness planning; and
- a Preparedness Assessment and Monitoring Tool for internal use by Oxfam country offices.

The Oxfam International Contingency Plan

Oxfam has developed a range of tools to assist country programmes and Regional Centres in being well prepared for the possible onset of an emergency.

Within the Oxfam International federation, contingency planning has been identified as an essential priority for ensuring high-quality humanitarian response and increased co-operation amongst the affiliates. For this purpose, Oxfam country offices are expected to undertake a contingency planning process, which brings together all the Oxfam affiliates involved and results in a country-specific contingency plan.

The standard format developed for the country contingency plan includes the following key sections:

- an analysis of the context, including country background information, an overview of current Oxfam programmes and partners, and learning from previous Oxfam humanitarian experiences in-country;
- an identification of possible emergency scenarios and related vulnerabilities foreseeable in the country;
- the description of an Oxfam response strategy for programme, media and advocacy work;
- a mapping of resources available to Oxfam and partners – Oxfam staff, partner organisations, tangible/intangible assets, and financial resources;
- the identification of roles and responsibilities for a possible humanitarian response programme; and
- areas of investment for future preparation.

The plan, maintained and regularly updated, will assist Oxfam in reacting more quickly, effectively and appropriately to a possible humanitarian crisis. Prior to any emergency situation, the plan provides the basis for identifying and further developing Oxfam’s response capacity; in case of an emergency, it will serve as the first reference point for action and decision-making. Contingency plans are systematically trialled and reviewed in simulation exercises.
The Preparedness Assessment and Monitoring Tool

This is a management tool to be used for measuring the preparedness capacity of an Oxfam country office. It can help establish a starting point (or base-line) of how prepared a country office is today, and then enable monitoring on how the level of preparedness is being improved over time.

The tool uses a range of attributes, and related indicators, to measure the state of preparedness. Specifically, the indicators help assess:

- staff knowledge of Oxfam as a humanitarian actor – including knowledge of policy and principles, procedures, standards and tools;
- status of preparedness planning and of humanitarian programme experience at country level;
- external and internal networking, collaboration and partnership relations;
- management and leadership capacity for implementing a humanitarian programme; and
- systems, resources and support functions in place.

The tool is meant to be used internally, preferably in a one-day participatory workshop, which offers all staff the opportunity for self-assessment and thereby to reach a shared understanding of the team’s current preparedness level and of measures to take for further development.

The tool and guidance notes on its application are found on the accompanying CD.
Introduction

The management of funds for large humanitarian programmes is often complex; working with the Programme Funding Department at Oxfam House and the Regional Funding Co-ordinator helps ensure that funding is strategic and as easy as possible for those responsible for the programme to manage external funds.

While applications for institutional donor funding are prepared and submitted, funds for the initial start-up of a humanitarian programme response are often made available from the Humanitarian Department’s Catastrophe Fund. Guidelines for accessing these funds are given in the section below.54

Key issues, procedures and relationships which are to be taken into account when accessing external funds are described in section 6.3. Essential requirements applicable for the main institutional donors are provided on the accompanying CD.

The Catastrophe Fund (Catfund)

The Catfund is intended primarily to fund crisis response for ‘unplanned’ emergency work and strategic sector initiatives (e.g. the Public Health Growth Framework), identified by the Humanitarian Director. It is used as a ‘rolling’ fund, to be replaced by restricted funds such as donor funding or when these are secured.

The Humanitarian Department Director manages the Catfund for Oxfam’s humanitarian programmes. The Business Manager is responsible for the overall funding position and must be consulted while seeking approval for Catfunds. The Humanitarian Desk Officers (HDOs) maintain an overview of the appropriateness of use of the Catfund, while the Humanitarian Department’s programme finance team administers and monitors allocations, expenditure and returns.

The levels of authority for approving allocations of Catfunds

<table>
<thead>
<tr>
<th>Person</th>
<th>Maximum amount</th>
<th>Note</th>
</tr>
</thead>
<tbody>
<tr>
<td>Humanitarian Director or Deputy (HDD)</td>
<td>No limit</td>
<td>In consultation with HD</td>
</tr>
<tr>
<td>Regional Director</td>
<td>£50,000</td>
<td></td>
</tr>
<tr>
<td>Regional Humanitarian Co-ordinators (RHC)</td>
<td>£50,000</td>
<td>In consultation with HD</td>
</tr>
<tr>
<td>Country Programme Managers (CPM)</td>
<td>£10,000</td>
<td>For rapid assessment and immediate response only, in consultation with RHC</td>
</tr>
</tbody>
</table>

NB. The limit for allocation of Catfunds for any one Project by the Region has been set at £50,000, irrespective of individuals’ authorisation limits.

54 For accessing other possible internal Oxfam funds (e.g. Oxfam Unwrapped), please refer to the intranet: http://intranet.oxfam.org.uk/programme/pm/funding/unwrapped/index.htm
6.2 Funding and Donor Relations

Information on donors, proposals, donor contract management, reporting and procedures can be found on the Programme Funding Intranet site (see the accompanying CD).

The Programme Funding Department’s mandate

The Programme Funding Department's mandate is to:

• raise restricted funds for Oxfam's programmes;
• ensure quality and consistency in relationships with institutional donors; and
• support programme teams and regional offices in planning and managing their funds.

The management of funds for large humanitarian programmes is often complex; working with the Programme Funding Department at Oxfam House and the Regional Funding Co-ordinator helps ensure that funding is strategic and as easy as possible for those responsible for the programme to manage external funds.

There are a number of institutional donors to which Oxfam can apply for funding, both in the UK (e.g. DfID, DEC) and internationally (e.g. the EC (ECHO), Oxfam International affiliates and their back donors, and UN agencies such as UNICEF, WFP and UNHCR). Each donor has a Donor Lead based in the Programme Funding Department in Oxford, who can advise Oxfam programmes on donor procedures and requirements. Prior to accepting funding from external sources, ensure that you are familiar with:

• the process for applying for restricted funds;
• relevant donor requirements, conditions and expectations; and
• procedures for signing authority in relation to donor contracts.

Summaries of ‘essential requirements’ applicable for key humanitarian donors are provided on the CD and are available on the Programme Funding Department’s Intranet site.

Please note:

The Humanitarian Department extends defined and limited authorisation to CPMs and RDs/RHCs subject to:

- there being sufficient money available in the Catfund; (if there is insufficient money, access will be temporarily withdrawn.)
- its use meeting the criteria above, and that the Regional Centre (RC) has made every reasonable effort to secure funds from external donors.

From May 2008, it is expected that short quarterly updates on funds spent, fundraising opportunities and project impact will be submitted by the RHCs to the Humanitarian Department for all Catfund Projects.

How to apply for use of Catfunds

Applications for Catfunds for a humanitarian programme consistent with the criteria defined above should be made to the Humanitarian Department through the HDO who will consult the Business Manager and secure approval from the Humanitarian Director or Deputy.

In practice this is done as follows:

- For assessments, provide an initial verbal and subsequent written outline of what is being assessed and what costs are involved.
- For initial or scaled-up responses, a proposal should be prepared, based on guidance from the Humanitarian Handbook.
- After this, applications should be made in writing to the relevant HDO for your region, to enable them to recommend the project to the HDD. The quality of proposals will be reviewed and commented upon by relevant staff in the Humanitarian Department and Regional Centres.

Carrying funds over into a new financial year

Catfund money needs to be spent within the financial year it is allocated. It cannot be carried over to the next financial year, for which a new application must be made through the HDO responsible for your Region.

Draft templates will be circulated by end of February 2008.
6.3 Funding and Proposals

Proposals

Every donor will have its own donor format, but the information below highlights some of the areas that you might need to include in a donor proposal. Writing proposals should come out of a joint planning process and create the following building blocks:

**LOGICAL FRAMEWORK > ACTIVITY SCHEDULE > BUDGET > PROPOSAL**

For funding applications to be successful, they need to include:

- a concise, clear proposal which is easy to evaluate;
- a clear analysis and quantifiable assessments (including baseline data and intervention data with relevant facts and figures);
- a programme plan (targeting criteria/stakeholder analysis, logistical framework, activities and work plan) which reflects a clear logic;
- quantifiable and qualitative outputs and measurable impacts;
- involvement of communities affected by the crisis;
- information on monitoring and evaluation;
- co-ordination with other actors in the field;
- analysis of sustainability and exit strategy;
- description of management structures of the implementing agency and/or partner;
- outline of resources required;
- assessment and management of any risks; and
- logistics and procurement plans (essential for some but not all donors).

Budgets

Budgets are an integral part of the proposal. They need to meet donor requirements without being too detailed. Budgets also need to reflect total programme costs and to be realistic, but they also need to consider that costs reflect a reasonable balance between programme and support costs as well as cost/beneficiary ratio. Please ensure that currencies and exchange rate issues have been considered and formulae checked. Although a donor may not require it, field teams also need to consider cash forecasts to ensure that funds can be spent within the programme period. Refer to the budget checklist on the Programme Funding Department’s Intranet.

Contract management

Once funding has been granted, it is vital to set up systems which allow for the provision of relevant management information (such as monitoring programme milestones, budget monitoring against donor grants, procurement/tendering information, asset registers and staff lists) so that the donor contract can be managed appropriately. Good communication between programme management and their support teams as well as with their fundraiser is key. Donors may request an audit, so the whole team is responsible for ensuring the relevant paper work has been collated; this also helps to ensure the programme is kept on track. Roles and responsibilities need to be allocated to respective key staff to fulfil the terms of donor requirements.

Good recording of programme information and achievements against objectives throughout the programme period is essential, especially if there is a high turnover of staff.

Contract amendments

Ideally, a project should be completed on time, but there may be circumstances in which this is not possible. You are likely to need a contract amendment if:

- there are significant variances on spend against budget lines (normally anything over 10–15 per cent);
- there is a change in objectives or programme circumstances; or
- your contract is likely to run beyond the end of the contract date (this may also have financial implications).

There is no guarantee that an amendment will be secured, as each donor has different regulations, but it is essential that a request is made via the fundraiser to the donor head office highlighting the programme rationale. This needs to happen on time – at least one month before the end of the contract. Do not make changes to the programme without discussing it with the fundraiser first. It may not be possible and will have major financial implications if it is not formally agreed with the donor.
Reporting
Different donors may have different report formats, but they are all essentially looking for the same information. The number of reports to be completed will depend on the donor contract, but it is likely that reports will need to be completed every quarter.

Reports need to show what was done, how, and key impacts against proposal objectives and indicators in the LogFrame, i.e. how our programme made a difference. It should also state the number of beneficiaries reached and their involvement in the programme. Sections that need to be covered in the report should be guided by sections covered in the proposal. Donors will need both narrative and financial reports which need to be checked for consistency. Final reports also require additional information such as staff lists, stock/asset lists, evaluation reports, etc.

Funding Grids
The Funding Grid is a tool (Excel spreadsheet) to enable field teams, managers and fundraisers in a particular emergency response to openly track funding needs and funding commitments and to help field staff to plan programmes against actual and potential funding. It also facilitates decisions by the Humanitarian Department and the International Division regarding use of Catastrophe, Appeals and Unrestricted Funds. The Funding Co-ordinator is responsible for maintaining the Funding Grid.

Oxfam systems and procedures
Critical donor information, such as income secured from donors, contract dates and reporting requirements, is recorded on the CRIMSON database, which is linked to OPAL. The systems ensure that proper sign-off procedures have been followed before funds can be spent.

The Donor reporting schedule is generated from CRIMSON and helps to ensure that we are meeting our donor reporting deadlines. There are separate handouts on sign-off levels and key information that you need to know about CRIMSON on the Programme Funding Department’s Intranet.
Example Programmes/Good ideas on CD

Chapter 1

Full text of Pocket Humanitarian Handbook

Chapter 2

2. Categorisation of Emergencies
   Call & Manage Response.doc
   Categ 1 Organogram & Mtgs.doc
   Emergency Coordin Mtg Agenda.doc

2.3 Programme Management in First Phase of Emergency
   Intro Min_Requirements 1stPhase.doc

2.4 Management of Security
   2.4.1 Security Policy and Protocols
      Crisis Mgmt Plan & Contacts.doc
      OGB_Code_of_Conduct.doc
      OGB Security Policy Mar07.doc
      OI Security Protocol Nov04.doc

   2.4.2 Guides and Formats
      1 Security Mgmt Framework.doc
      2 Context Analysis
      3a Security Risk Assessment.doc
      3b Example Risk Assessment.doc
      4 Security Strategies.doc
      5 Security Mgmt Planning.doc
      6a Writing Sec Levels Docs.doc
      6b Security Levels.doc
      7a Sec Incident Reporting.doc
      7b Form Sec Incident Report.doc

2.4.3 Advice Notes
   Abduction Kidnap.doc
   Abduction Kidnap Spanish.doc
   Armed Robbery.doc
   Arrest-Detention.doc
   Carjacking.doc
   Cash-in-Transit.doc
   Checkpoints.doc
   Convoy-Travel.doc
   Evacuation Planning.doc
   Mine and UXO Awareness.doc
   Private Security Companies.doc
   Sensitive Information.doc
   Sexual Assault.doc
   Site Security.doc
   Terrorist Bombing.doc
   Travelling.doc

2.4.4 Chemical/biological/radiological/nuclear
   Briefg Depleted Uranium.doc
   CBRN Awareness
   Preparedness.doc
   CBRN Questions & Answers.doc

2.4.5 Relations with other organisations
   Mgmt Hum Military Relations.doc
   OCHA Guide Armed Escorts.doc
   SCHR on Hum-Milit Relations.doc
   UN Saving Lives Together.doc

2.5 Oxfam International
   Co-ordination
   Agreement OI HumanitResponse.doc
   Intro OI Decision-Making.doc
   OI Humanitarian Glossary.doc
   Regional/Country Responses.doc
   Who's Who in OI Emergencies.doc

Chapter 3

3.1 The Phases of a Humanitarian Programme
   Prog Implementn Checklist.doc
   Shld Oxfam start a program.doc

3.1.2 Exit Strategies
   Comms Checklist for Exit.doc
   Exit Example Lebanon06.doc
   Exit Example Chad 2006.doc
   Finance Checklist for Exit.doc
   HR Checklist for Exit.doc
   Logs Checklist for Exit.doc
   Risk Analysis for Exit.doc

3.2 Needs Assessment
   Assessment References EFSL.doc
   Assessment References PH.doc
   Assessment Report Format.doc
   Link to EFSL Intranet.doc
   Link to PHE Intranet.doc
   TOR Humanit NeedsAssessmt.doc

3.4 Accountability to People Affected by Crises
   Accountability Matrix.doc
   Accountability Need to Know.doc
   Community Activity Log.doc
   Community Voting Notes.doc

3.5 Minimum Requirements Programme and Overall Management
   Intro Min_Requirements 1stPhase.doc

3.6 Public Health
   Briefg Paper NFI Distributions.doc
   Example PH Logframe.doc
   HIV&Aids_Mainstreaming.doc
   Howtodo_NFI_Distributions.doc
   Introduction_Hygiene_Kits.doc
   Link to PHE Intranet.doc
   Link to PHP Intranet.doc
   Mandatory_Requirements_PHE_Prog.doc
   Malaria Briefing.doc
   Responding PsychosocialNeeds.doc
   TechBrief_Disability_Sanitn.doc
   TechBrief_Drainage.doc
   TechBrief_HH_Water_Treatment.doc
   TechBrief_SolidWaste_Refugs.doc
   TechBrief_Spring Protectn.doc
   TechBrief_Water_Testing.doc
   TechBrief_Watsan_Sociocult.doc
   TechBrief_Well_Cleaning.doc
   TechBrief_Sepic_Tanks.doc

3.7 Emergency Food Security and Livelihoods
   Checklist for various groups.doc
   Guiding Principles Food Crisis.doc

Complaints Policy Guidelines.doc
Generic Complaints Message.doc
OGB Acct Framework.doc
OGB Acct Framework Annex.doc
OGB Acct Lessons Learned.doc
Staff Attitudes & Behaviour.doc
3.8 Shelter
OCHA Tent Guidelines.doc
Plastic sheeting guidelines.doc
Shade nets field booklet.doc
Shelter & Gender Briefing Note.doc
SPHERE Hdbk Chap 4.doc
Tech Brief Plastic Sheeting.doc

3.9 Gender and Protection
3.9.1 Gender/Gender-based Violence
Link Gender Materials IASC.doc
Link GBV Materials IASC.doc
Links Gender Materials OGB.doc
Links Gender Materials RHRC.doc
OGB Gender Mainstream Tool.doc
OGB Gender Workshop Manual.doc
OGB Humanit Gender Standards.doc
OGB Gender Standards Indicators.doc
OGB Policy Gender Equality.doc
O Policy Compendium Note.doc

3.9.2 Protection
Examples OGB Protection Work.doc

3.10 Monitoring and Evaluation
Guidance Notes RTE.doc
Monitorig Cash Transf Progrs.xls
Reporting Tools PH Progrs.doc

3.11 Policy, Advocacy and Media
Exple Daily Field Message.doc
Guide to Advocacy Targets.doc
Guide Broadcast Interview.doc
Humanit Advocacy Post JD.doc
Humanit Media Officer TOR.doc
Media Officer Pocket Guide.doc
Media Strategy Format.doc
Operational & campaigning.doc
Policy Issues Checklist.doc
Tough Journalist Questions.doc
Writing Advocacy Strategies.doc

3.12 Communications
Beneficiaries Numbers Form.doc
Categ 1 Organogram & Mtgs.doc
Emergency Coord Mtg Agenda.doc
Job Profile Comms Manager.doc
Job Profile Comms Officer.doc
Job Profile Info Officer.doc
OI Emergency Update Format.doc
OI Situation Report Format.doc

3.11 Working with Partners
OGB Partnership Policy.doc
OI Hum Capty Appraisal Tool.doc
OGB Code of Conduct Non Staff.doc

Chapter 4
4.2 Human Resources
4.2.1 Human Resources Tools
Capacity Spreadsheet exple.xls
Consultancy Requisition.doc
End of contract appraisal.doc
EFS L Specialist Job Profile.doc
Interview Assessment Sheet.doc
Leavers Financial Checklist.doc
Leavers Form.doc
Logistician Job Profile.doc
Longlisting Form.doc

Personal Absence Record.doc
PHE Job Profile.doc
PHP Job Profile.doc
Proj Manager Job Profile.doc
Rapid Induction Guidelines.doc
Requestg Humanit Supp Staff.doc
Shortlisting Form.doc
Staff Requisition Form.doc
Tel & Email Reference Request.doc
Vehicle Safety & Security.doc

4.2.2 Staff Health
Cholera Guidelines.doc
Dengue Fever.doc
Health & Safety Incident Rept.doc
Immunisation Recommendation.doc
Malaria Info for Staff.doc
Psychol Support for Staff.doc
Work-Rave-RSI.doc
Upper Limb Disorder-RSI.doc
Health and Welfare.xls
Immunisation Schedule.doc

4.3 Finance
Finance Min Requmts 1stPhase.doc

4.3.1 Office in a Box
1 Finance Guide
Office Procedures.doc

2 Banking
Bank Mandate RMC Account.doc
Bank Mandate non-RMC Acct.doc
Bank Mandate RMC Acct LAC.doc
Bank Mandate non-RMC LAC.doc
Authorised Signatories A&B.doc
Request to OGB to open Acc.doc
Authorisn & Approval new Acc.doc
Request to Bank open acct.doc

Change of bank signatories.doc
Info to OGB acct closure.doc
Instruct Bank to close acc.doc
Topup Form for RMC.doc
Topup Cash Flow Sheet.xls
TopUp Request to Oxfam UK.doc
Hand-carry Cash Form.doc
E-Banking tech approval.doc
E-Banking procedures & control.doc
E-Banking Security Approv.doc

3 Management Accounting
PSOft Queries Intern Users.doc

4 Finance
Cashbook.xls

5 Project Budgets
Multi-donor Budget Format.xls
OPAL Budget Format.xls

6 Fixed Assets
Fixed Assets Register A.xls
FA RegA Expl Purchase.xls
FA Register A Expl Disposal.xls
FA RegA Expl Full Deprecn.xls
Consumable Capital Register B.xls
RegistC Assets for Project.xls
RegistD Ex-Project Assets.xls

7 Staff Expenses
Expenses Transaction Form.xls
Business & Travel Float.xls
Loan Agreement.doc
Loan Monthly Repayment.xls
Salary Advance Deduction.doc
End of Contract Reserve.xls
Leavers Finance Checklist.doc
Cash Float for Travellers.doc
Request for Travel Booking.xls
Perdiem Request Form.xls
Payroll Slip.xls
### 8 Office Procedures
- Cash Count Sheet.xls
- Float Register.xls
- Petty Cash TopUp Request.xls
- Salary Sheet.xls
- Payment Request.xls
- Petty Cash Request Form.xls
- Float Register Summary.xls
- Float Liquidation Form v1.xls
- Float Liquidation Form v2.xls

### 4.4 Logistics
#### 4.4.1 Logistics Minimum Requirements
- Logs Min Reqsmts 1stPhase.doc

#### 4.4.2 Logistics Tools
- Assessmt Tool.xls
- Contracting Plan.xls
- Internal Purchase Order.xls
- Inventory Form.xls
- Logs Intranet link.doc
- Logs and Procurement Plan.xls
- Monthly Status Report.doc
- Order Status Tracking Form.xls
- Price & Supplier List Form.xls
- Purchase Order.xls
- Requisition Form.xls
- Weekly Status Report.doc

### 4.5 Information and Communications Technology
- ICT Min Reqsmts Technical.doc

### Chapter 5
- Preparedness Assessmt Tool.doc
- Guide for Preparedness Tool.doc

### Chapter 6
#### 6.1 DEC Formats
- DEC Budget Format.xls
- DEC Capital Asset List Form.xls
- DEC Essential Requirements.doc
- DEC Proposal Format.doc

#### 6.2 DfID Formats
- DfID Budget Format.doc
- DfID CHASE Essential Reqmts.doc
- DfID Logframe Format.doc
- DfID Proposal Format.doc

#### 6.3 ECHO Formats
- ECHO Activity Plan template.xls
- ECHO Budget Breakdown.xls
- ECHO Budget Summary Format.xls
- ECHO Essential Requirements.doc
- ECHO Logframe Format.doc
- ECHO Proposal Format.doc
- ECHO Procurement Format.xls

#### 6.4 FAO Essential Standards
- FAO Essential Requirements.doc

#### 6.5 OCHA Essential Standards
- OCHA Essential Requirements.doc

#### 6.6 Oxfam Policy on OFDA
- Oxfam Policy on OFDA.doc
- Mngng OFDA USAID Contracts.doc

#### 6.7 UNHCR Essential Standards
- UNHCR Essential Requirements.doc

#### 6.8 UNICEF Essential Standards
- UNICEF Essential Requirements.doc

#### 6.9 WFP Essential Standards
- WFP Essential Requirements.doc

### Chapter 7
#### 7.1 Example Progr Docs
- Assessment Report Bihar 07.doc
- Assessment Report Haiti 04.doc
- EFSL Logframe Haiti 07.doc
- Example Final Report.doc
- Example Monitoring Report.doc
- Example Monthly Report.doc
- Example Programme Budget.doc
- Example Security Guidelines.doc
- Example Security Incident.doc
- Example Sitrep.doc
- Exple Cash Distributn Plan.doc
- Exple CashDistribt Report.doc
- Exple CashDistribt Form.doc
- Exple RiskAnalysis CashProg.doc
- Prog Decision-Tracker.doc

#### 7.2 Examples of Learning
- History Darfur progr 04.doc
- Learning from Evaluations04.doc
- Papua Context Analysis.doc

#### 7.3 Useful References
- HAP Principls Accountability.doc
- Protection Laws& Standards.doc