

**Ethiopian Red Cross Society (ERCS)**

**Humanitarian Action**

**Standard Operating Procedures**

**(WORKING DRAFT)**

**Acronyms**

|  |  |
| --- | --- |
| BDRT | Branch Disaster Response Team |
| CTP | Cash Transfer Programming |
| DREF | Disaster Relief Emergency Fund |
| DPRD | Disaster Preparedness and Response Department |
| DRM | Disaster Risk Management |
| DRR | Disaster Risk Reduction |
| EA | Emergency Appeal |
| EF | Emergency Fund |
| EOC | Emergency Operations Centre |
| EPOA | Emergency Plan of Action |
| ERCS | Ethiopian Red Cross Society |
| ETF | Emergency Task Force |
| FBA | Forecast Based Action |
| HH | Household |
| HQ | National Headquarters |
| HR | Human Resources |
| HRDP | Humanitarian and Disaster Resilience Plan |
| ICRC | International Committee of Red Cross |
| IFRC | International Federation of Red Cross and Red Crescent Societies |
| MOU | Memorandum of Understanding |
| NDRMC | National Disaster Risk Management Commission |
| NDRT | National Disaster Response Team |
| NFI | Non-Food Item |
| NS | National Society |
| PNS | Partner National Society |
| RB | Regional Branch |
| RCRC | Red Cross and Red Crescent |
| RDRT | Regional Disaster Response Team |
| RFL | Restoring Family Links |
| SAF | Safer Access Framework |
| SOP | Standard Operating Procedure |
| WB | Woreda Branch |
| WASH | Water, Sanitation & Hygiene |
| ZB | Zonal Branch |

1. **Introduction**

* An Emergency Operations Centre (EOC) has been established with the purpose of maximising the use of information and communication technology to provide ERCS with access to disaster related information that would support operational decision making, communications and resource mobilization at all levels. The EOC establishment has been aligned with the improved DRM process for service delivery.

1. **Performance principles**

The principles for the ERCS SOP are:

* **Cycle time:** It is expected that there should be a humanitarian action taken based on the trigger protocol: 1) within 48/24 hours for rapid onset disasters; 2) within one month for slow onset disaster situations.
* **Quantity:** It is expected that the caseload taken, # of people/HHs proportion to the total population affected by a disaster situation should not be below 10%.
* **Quality:** It is expected that any activities taken (by the NS) are in accordance with the recognized international and national principles, standards commitments for humanitarian action. This includes the RCRC Principles and Rules for Disaster Relief; and the seven Fund Principles.
* **Value for money:** It is expected that funding must be utilized as efficiently as possible, so that the impact on the population affected by a disaster situation can be maximized. This includes ensuring that decision-making on the allocation of capacities and resources is informed by an analysis of disaster related data (is evidence based).

1. **Categorization of disaster situations**

**Table 1: Categorization of disaster situations**

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| **Category** | **Description** |
| **YELLOW** | Responds to a disaster situation that impacts on limited geographical area; and affect a limited number of HHs in the population. It is expected that a “YELLOW” category disaster situation will be within the capacity of the ZB to manage with their own resources, with deployment of BDRT and volunteers. |
| **ORANGE** | Responds to a disaster situation that impacts on a larger geographical area; and affects an increased number of HHs in the population (compared to “YELLOW”). It is expected that a “ORANGE” category disaster situation will be within the capacity of the ZB(s) manage, with deployment of BDRT and volunteers. However additional but support may be required from the RB and/or HQ. This could include a request for the release of funding and stocks. |
| **RED** | Responds to a disaster situation that impacts on a geographical area in more than one region and/or in many zones of a region; and affects an increased number of HHs in the population, with other risk factors also now elevated.  A “RED” category disaster situation will result in a call for assistance from the Regional and/or Zonal government authority. It is expected that a “RED” category disaster situation will be within the capacity of RB and ZB to manage, with the deployment of BDRT and volunteers. However additional support will be required from the HQ. This could include a request for funding, deployment of NDRT, and engagement of management/technical support from HQ. Additional requests for resources (DREF) from movement partners may be required. Activation of an ETF (Level 1) will be carried out. |
| **DARK RED** | Responds to a disaster situation that impacts on an extended geographical area – covering many regions’ and affects an increased number of HHs in the population, as well as a level of risk or complexity that makes it a priority at all levels of the NS. A “DARK RED” category disaster situation will result in the declaration of a disaster by the Federal Government and a call for international assistance. It is expected that a “DARK RED” disaster situation will be managed by the HQ; but support required from movement partners. This would include a request for resources (DREF, Appeal etc.) and/or the deployment of international surge support. Activation of an ETF (Level 2) will be carried out. |

**Table 2: Criterion for the definition of disaster category**

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| --- | --- | --- | --- | --- |
| **Criteria** | **Yellow** | **Orange** | **Red** | **Dark Red** |
| Number of HHs affected /at risk | < 200 | < 500 | < 2,000 | > 2,000 |
| Extent of geographical area affected | Localized  Limited to a zone | Moderate  Limited to a region but now covering multiple zones | Moderate to large  Multiple regions; and/ormultiple zones in a region | Large  Multiple regions with cross border impact between regions and/or countries |
| Extent to which other risk factors are elevated or spread | Low | Medium | High | Very High |
| Level of media attention | Local | Local  National (Moderate) | National (Major)  International (Moderate) | International (Major) |
| Level of disaster declaration by Government | No disaster declaration  Request for assistance from woreda administration | No disaster declaration  Request for assistance from zonal or regional administration | Disaster declaration made  Request for assistance from zonal or regional administration – possible international assistance request from Federal Govt. | Disaster declaration made  Request for international assistance requested (HDRP) from Federal Govt. |
| Engagement of other humanitarian actors | Local | Local  Regional | Local  Regional  International  Cluster may be activated | Local  Regional  International  Cluster may be activated |

**Table 3: Criteria for humanitarian action (by category)**

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| --- | --- | --- | --- | --- |
| **Criteria** | **Yellow** | **Orange** | **Red** | **Dark Red** |
| Number of HHs affected | < 200 | < 500 | < 2,000 | > 2,000 |
| Funding strategy required | Emergency Fund Reserve\*  Domestic resource mobilization | Emergency Fund Reserve\*  Domestic resource mobilization | DREF  Bilateral consortia,  Domestic resource mobilization | Emergency Appeal/DREF,  Bilateral consortia,  Domestic resource mobilization |
| Human resources required | BDRT, woreda and zonal staff, and volunteers | BDRT, NDRT and regional staff | National coordinator, and international ops support delegate | International surge support |
| Pre-positioned stocks | Woreda: 100 NFI/ES  Zonal: 200 NFI/ES | Regional: 500 NFI/ES | HQ: 4,000 NFI/ES (with replenishment threshold of 2,000) | - |
| Emergency Task Force activated | Zonal | Zonal  Regional (if required) | Level 1 | Level 2 |
| Aligned with Mandate and role (National Charter) | Yes | Yes | Yes | Yes |

1. **Emergency Task Force**

In the event of a disaster situation; an ETF will be activated which will be responsible for the decision making on the operational strategy based on the criteria for humanitarian action (Table 3). ALL ETF should be activated within 72 hours of a disaster situation (and/or anticipated risk of a disaster situation) and then meetings held every 24 hours until decision making on the operations strategy, roles/responsibilities and scale of the humanitarian action required is confirmed. ETF for “Dark Red” (Level 2) and “Red” (Level 1) meetings will be convened in the location of the HQ EOC; with virtual connection made to ZB and RBs.

It is intended that the ETF model will support improved coordination between departments and levels of the NS; as well as with other movement and non-movement partners.

**Table 4: Emergency Task Force activation protocols**

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| **Category** | **Activated by** | **Chair** | **Representatives** |
| **DARK RED (Level 2)** | Secretary General  (on recommendation of DSG) | Secretary General | * ZB and RB. * HQ (DRM, Finance, HR, Logistics and RM/Comms). * Movement partner representative(s) |
| **RED (Level 1)** | DSG (on recommendation of Head of DPR) | DSG | * ZB and RB (including BDRT). * HQ (DRM, Finance, HR, Logistics, Monitoring and RM/Comms). * Movement partner representative(s) |
| **ORANGE** | RB | Regional Head and DRM Head | * Not prescribed and dependent on the available HR in the respective ZB or RB; however, should include staff level of authority for operational decision making. * It could include: DRM Head, Finance, Logistics and RM; as well as BDRT. |
| **YELLOW** | ZB | Zonal Head |

1. **Key roles and responsibilities**

**Responsibility and assignment matrix (RACI)**

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| **Activities** | **HQ** | **RB** | **ZB** | **WB** |
| **Before a disaster situation** | | | | |
| Collect early warning and disaster related information for analysis and decision making | A/R | A/R | R | R |
| Develop capacity of staff and volunteers in preparedness and response | A/R | A/R | A/R | C |
| Procure and pre-position equipment for staff and volunteers | A/R | R | R | C |
| Develop NS surge capacity systems and personnel (BDRT and NDRT) | A/R | R | R | C |
| Develop emergency needs assessment, data collection and monitoring tools | A/R | C | C | C |
| Pre-position stocks and equipment in strategic locations | A/R | A/R | A/R | I |
| Conduct tests and simulations of the response system | A/R | C | C | C |
| Trigger early warning early action protocols | A/R | I | R | R |
| **During a disaster situation** | | | | |
| Conduct emergency needs assessments | C/I | A/R | A/R | C |
| Conduct security risk assessment | A/R | R | R | R |
| Collect disaster related information for analysis and decision making (EOC) | A/R | C | R | R |
| Submit field reports to EOC | A | C/I | R | C |
| Activation of ETF | A/R | A/R | A/R | C |
| Develop EPOA and budget | A/R | A/R | R | C |
| Deploy and coordinate BDRT | I | I | A/R | C |
| Deploy and coordinate NDRT and technical staff | A/R | C | C | I |
| Procure and transport stocks from strategic locations | A/R | R | R | I |
| Conduct monitoring (post distribution/beneficiary satisfaction) and real-time evaluation) | A/R | R | R | C |
| Request international surge support | A/R | C | I | I |

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| **RESPONSIBLE** | **R** |
| **ACCOUNTABLE** | **A** |
| **CONSULTED** | **C** |
| **INFORMED** | **I** |

1. **Standard Operating Procedure**

**Response Process**

It is assumed that humanitarian actions taken by the NS are triggered by the following alerts; which then activate the SOP:

* Alert based on the anticipated risk of a disaster situation following analysis of selected forecast triggers (early action protocol).
* Alert from a community affected by a disaster situation (through CBDRM volunteers if exists), which has exceeded their own capacity and resources to manage.
* Alert from the government administration following a disaster situation, in accordance with their mandate and role as an auxiliary.
* Alert based on the issue of the HRDP by government.

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| **Within 24 hours (of a disaster situation)** | | |
| **Action to be taken** | **Lead** | **When** |
| Coordination with community members and government administration on a disaster situation that has exceeded capacity and resources to respond; and submit request for support to ZB. | Woreda DRM focal point |  |
| Assess security situation in the site of the disaster situation; and submit “green light” for deployment | Woreda DRM focal point |  |
| Issue mission trigger submitted to active zonal level BDRT for deployment. | Zonal DRM Head |  |
| Conduct mission briefing with BDRTs to be deployed. This should include as minimum: Type of disaster; mission objectives, security information. | Zonal DRM Head |  |
| Issue basic equipment to BDRTs to be deployed. This should include as minimum: emergency needs assessment and data collection tools, visibility and protective materials | Zonal DRM Head |  |
| Deployment of BDRTs to site of disaster situation; and conduct emergency assessment and data collection | BDRTs |  |
| Coordination with government administration and other humanitarian actors for verification of disaster situation. | Zonal DRM Head |  |
| Confirm inventory of pre-positioned stocks and equipment available at zonal and regional levels | Zonal and Regional DRM Head |  |
| Confirm EF reserve balance at zonal and regional levels. Contact board members for possible activation for decision making on allocation | Zonal and Regional DRM Head |  |

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| **Within 48 hours** | | |
| **Action to be taken** | **Lead** | **When** |
| Debriefing of BDRTs on findings from emergency needs assessment and analysis data collection of disaster related data. | Zonal DRM with BDRT |  |
| Establish immediate response options and beneficiary selection criteria | Zonal DRM with BDRT |  |
| Convening of board members for decision making on allocation from EF reserve at zonal and regional level | Zonal and Regional DRM and board members |  |
| Mobilization of locally pre-positioned stocks and/or procurement of stocks to address immediate response needs | Zonal and Regional DRM |  |
| Implementation of immediate response actions (cash and in kind) based on locally available stocks | Zonal DRM, BDRTs and volunteers |  |
| Preparation of field report; and submission to EOC | Zonal with Regional DRM |  |
| Analysis of field report and triangulation with other data sets for verification of disaster situation. Submission of alert to DPRD | EOC Coordinator |  |
| Activation of ETF meeting for decision making on operational strategy based on the criteria for humanitarian action. | Based on ETF level |  |
| Verification of the request based on the disaster category criteria, capacity and resources at zonal and regional levels. | EPR Manager and EOC Coordinator |  |
| Disseminate memo to national level partners on the operational strategy; and anticipated need for resources (RED and DARK RED) | DRM Head and EPR Manager |  |
| Mobilization of pre-positioned at strategic locations; and/or procurement of stocks to address immediate response needs. This should be based on the decision on the disaster category - and exceeding of thresholds set (RED and DARK RED) | EPR Manager and Logistics Head  DRM head |  |
| Disseminate memo to suppliers of goods and services for possible activation of framework agreements. This should be based on the decision on the disaster category – and exceeding of the thresholds set (RED and DARK RED) | Logistics Head/DRM head |  |
| Preparation of field report; and submission to IFRC Go Platform (RED and DARK RED), for anticipated request for international assistance (DREF or Appeal). | DRM Head and EPR Manager |  |

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| **Within 72 hours** | | |
| **Action to be taken** | **Lead** | **When** |
| Develop initial EPOA and budget (RED and DARK RED); and disseminate to national and international level partners | DSG, DRM Head and EPR Manager |  |
| Transportation of pre-positioned stocks and equipment from strategic locations to site of disaster situation | DRM Head and Logistics Head |  |
| Conduct beneficiary targeting and distribution | Zonal and Regional DRM |  |
| Consultation with affected population and activation of appropriate CEA mechanisms | CEA coordinator and Zonal DRM |  |
| HQ fund transfer made to branch account (RED and DARK RED) | EPR Manager and Finance Head |  |

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| **Slow onset (HRDP)** | | |
| **Action to be taken** | **Lead** | **When** |
| Identify geographical and sectoral targeting criteria based on HRDP | DRM Head and EPR Manager |  |
| Conduct detailed needs assessment in target geographical areas; and submit to EOC. | BDRT, NDRT and EPR Manager |  |
| Analysis of detailed needs assessment report and triangulation with other data sets for verification of disaster situation. | EOC coordinator and EPR Manager |  |
| Develop EPOA and budgets | Zonal and Regional DRM Heads |  |
| Develop National Response Plan – containing consolidated EPOA and budget. | EPR Manager |  |
| Disseminate National Response Plan to national and international partners | DSG, DRM Head and EPR Manager |  |
| Finalize EPOA and budgets for Emergency Appeal and bilateral support | DSG, DRM Head and EPR Manager |  |
| Develop domestic resource mobilization and communication plan; and begin implementation | RM Head |  |

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| **Anticipated risk (of a disaster situation)** | | |
| **Action to be taken** | **Lead** | **When** |
| Early warning data collection and analysis from data sources. This can include metrological, scientific, and sectoral institutions; as well as humanitarian data sets (IOM, Fewsnet etc.) | EOC Coordinator and DRR Manager |  |
| Early warning data collection from communities at risk of disaster situations | CBDRM volunteers and BDRTs |  |
| Identification of forecast based actions required in communities at risk of disaster situation | EOC Coordinator and Early Action Team |  |
| Identification and monitoring of forecast based triggers for early action protocol | EOC Coordinator and Early Action Team |  |
| Activation of early action protocol and implementation of forecast based actions (cash or in kind) | DSG, DRM Head and concerned sectoral offices |  |
| Conduct monitoring of implementation of forecast based actions; and decision making on additional support required. | PMER Head and EPR Manager |  |

**Response Flow Charts**

**Within 24 hours (of a disaster situation)**

**Affected population mobilizes of community capacity and resources”**

* Immediate response actions taken by CBDRM (if exist) – based on disaster response plan.
* Request for support submitted to WB/ZB if the capacity and resources of the affected population has been exceeded.

**Mobilization of capacity and resources for response actions by ZB**:

* Contact government and other humanitarian actors for disaster situation verification, and security assessment.
* Contact board members for alert on disaster situation and possible decision making.
* Issue mission trigger for BDRT.
* Conduct briefing and equipping of BDRTs.
* Review inventory of local stocks, equipment and EF balance

**Deliverables:**

* Deployment of BDRTs.
* Inventory of stocks and equipment
* EF Reserve Balance.

**Within 48 hours**

**Analysis of disaster situation and planning for response conducted by ZB/RB:**

* Conduct debriefing of BDRTs on findings of emergency needs assessment.
* Establish response actions required and beneficiary selection.
* Convene board members for decision making on EF reserve allocation.
* Mobilize local stocks and equipment.
* Submission of Field Report to EOC

**Decision making on operational strategy and resource allocation by HQ:**

* Activation of ETF
* Mobilize stocks and equipment from strategic locations
* Disseminate memo to partners and suppliers on anticipated need for resources and activation of agreements (RED and DARK RED)
* Submission of Field Report to IFRC Go Platform for anticipated DREF or Appeal (RED and DARK RED).

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**Analysis of disaster situation and planning for response conducted by EOC:**

* Analysis of field report and data collection by EOC.
* Verification of request based on disaster category criteria, capacity and resources available at ZB and RB levels.
* Alert sent by EOC to DPRD on disaster situation.

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**Deliverables:**

* Emergency Needs Assessment .
* Field Reports (EOC and GO)
* ETF minutes.
* Approval of operational strategy.
* Approval to release EF reserve, stocks and equipment.

**Within 72 hours**

**Deliverables:**

* Draft EPOA and budget.
* Beneficiary selection criteria and registration list.
* Stocks and equipment in place at site of disaster situation.
* Funding balance available for implementation of response actions.
* CEA strategy agreed.

**Implementation of operational strategy by ZB/RB:**

* Draft EPOA and budget (RED and DARK RED) Confirm beneficiary selection and registration.
* Consult with affected population on CEA mechanism to be used.

**Support implementation operational strategy**

**by HQ:**

* Transport strategic stocks and equipment to site of disaster situation (RED and DARK RED).
* Fund transfer from HQ to ZB/RB account for implementation of response actions (RED and DARK RED).

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**Within 1 week**

**Deliverables:**

* Finalized EPOA and budget (DREF or bilateral support)
* Deployment of NDRT.
* Contact lists.
* Response reports.
* Market assessment report.
* RFL strategy agreed.

**Implementation of operational strategy by ZB/RB:**

* Establish RFL mechanisms.
* Conduct market assessment for CTP feasibility; and agree strategy.
* Submit response report to EOC.

**Support implementation operational strategy from HQ:**

* Finalize EPOA and budget for DREF or bilateral support.
* Initiative deployment of additional HR initiated incl. NDRT and international surge.
* Establish contact lists, communications lines; and participate in coordination mechanisms.
* Establish RFL mechanisms.
* Activate framework agreements with suppliers.
* Develop domestic RM and communications plans.

**Within 2 weeks**

**Support implementation operational strategy from HQ**

* Finalize EPOA and budget for Emergency Appeal.
* Deployment of international surge.
* Establish CTP mechanism.
* Establish MOU and agreements with national and international partners contributing to response.
* Conduct post distribution monitoring exercise incl. beneficiary satisfaction.

**Implementation of operational strategy by ZB/RB**

* Establish CTP mechanism
* Submit response report to EOC.
* Conduct post distribution monitoring exercise incl. beneficiary satisfaction.

**Deliverables:**

* Finalized EPOA and budget (Emergency Appeal)
* Deployment of international surge.
* CTP mechanism in place.
* Response reports.
* MOU and agreements.
* Post distribution monitoring reports.

**Following weeks (in addition to those above)**

**Support implementation operational strategy from HQ**

* Conduct real time evaluation exercise.
* Solicit funds for recovery and rehabilitation project plans.
* Establish MOU and agreements with partners contributing to recovery and rehabilitation projects.
* Fund transfer from HQ to ZB/RB account for implementation of recovery and rehabilitation projects.
* Finalize reporting for response actions; and submit to partners.

**Implementation of operational strategy by ZB/RB**

* Conduct recovery and rehabilitation needs assessment.
* Draft recovery and rehabilitation project plan.
* Draft reporting for response actions.
* Establish service agreement with HQ for recovery and rehabilitation projects

**Deliverables:**

* Recovery and rehabilitation assessment and project plans
* Services agreements.
* Final narrative and financial reporting.

**Slow onset**

**Analysis of disaster situation and planning for response conducted by HQ and EOC:**

* Identify geographical and sectoral targeting.
* Analysis of needs assessment report and data collection by EOC.
* Finalize National Response Plan (incl. EPOA and budget) for bilateral and Emergency Appeals.
* Disseminate National Response Plan to national and international partners.
* Develop domestic RM and communications plans.

**Analysis of slow onset disaster situation, planning and implementation of response conducted by ZB/RB and BDRTs.**

Conduct needs assessment in targeted areas.

* Submit needs assessment report to EOC.
* Develop EPOA and budget.

**Deliverables:**

* Needs assessment reports
* National Response Plan.
* Finalized EPOA and budget.

**Anticipated risk (of a disater situation)**

**Analysis of anticipated risk of disaster situation by HQ (Early Action Team) and EOC:**

* Conduct early warning data collection from scientific, metrological and humanitarian sources.
* Identification of forecast based triggers and necessary actions.
* Conduct monitoring of forecast based triggers.
* Activation of early action protocol.

**Analysis of anticipated risk of disaster situation by ZB and BDRTs; and implementation of response:**

* Conduct early warning data collection from at risk communities.
* Conduct monitoring of forecast based triggers in at risk communities.
* Submit early warning report to EOC.
* Implementation of actions required under early action protocol.

**Deliverables:**

* Early action protocol for selected at risk communities.
* Approved triggers.
* Pre-agreed operational strategy and resource allocation.