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ACT ALLIANCE RESPONSE TO AN EMERGENCY

POLICY, GUIDELINES AND TOOLS, AND ANNEXES

Approved by ACT Governing Board
May 2012

Amended May 2014

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1. INTRODUCTION

An ACT Alliance emergency response is a cooperative effort between ACT members, forums and the secretariat to financially support and implement coordinated emergency response that meets the highest standards of quality and accountability and makes visible the work of the alliance. It includes a number of key elements:

1) **The "total ACT response" to an emergency**
   The humanitarian footprint of the ACT alliance in emergencies is substantial. Most ACT members respond through the ACT funding coordination mechanism of the ACT Appeal. In some cases members respond using bilateral funding outside of the appeal. No matter which, an ACT Alliance response includes the work of all members, and requires commitment, coordination and collaboration from all.

2) **Shared ACT understanding of what constitutes effective response**
   Members of the ACT Alliance share a common understanding of what constitutes effective and responsible emergency response. This includes shared commitments to policies, standards and procedures, cross-cutting issues, as well as best practice in preparation and implementation. It is understood that ACT members will demonstrate these commitments in all aspects of emergency response.

3) **The global coordination role of the ACT secretariat**
   The ACT secretariat in Geneva is the global hub for coordination, communication, policy development and advocacy related to ACT emergency response. This role encompasses the responses of all members to an emergency; however the secretariat holds particular responsibilities to coordinate and support an ACT emergency response appeal.

4) **The national/regional coordination role of the ACT forum**
   The role of national, and in some cases regional, forums is central to ACT emergency response. The forum has responsibility for all national emergency coordination and, communication related to the global ACT system including appeals. Forums are also responsible to ensure disaster preparedness planning, opportunities for organizational capacity development and a shared understanding of the ACT emergency response mechanism.

5) **An ACT appeal system that is clear, fast and effective**
   It is important that the ACT emergency response system connects the needs on the ground with the full resource, communication and advocacy capacity of the alliance as quickly as possible, and that those connections sustain for the full duration of the emergency. The ACT emergency response system seeks to be focused, internally coherent, fast and effective with clearly understood appeal documents and processes.

6) **Strong ACT communications**
   ACT communications in emergency response is essential to raise international attention to an emergency, to fundraise, and to report. The ACT emergency response system incorporates communications in all aspects of emergency response. It requires strong member action to produce fast, interesting and accurate articles and reports, and evocative images of all major emergencies in which ACT is engaged.

7) **Coordinated advocacy**
Many ACT members view advocacy as a critical and complementary means of ensuring effective protection for communities in emergency contexts. While recognizing the importance of context in all advocacy work, the new emergency response system includes advocacy as a key dimension of overall response, and provides ways to engage the whole of the alliance in advocacy efforts.

8) **The commitment of all members to work together and help each other**
A primary reason for the formation of the ACT Alliance is the firm belief that together ACT members can accomplish more than any one member can do alone, and that by doing so the response will be more effective. Along with this commitment is the recognition that by working together it will be possible to address and overcome inherent issues of justice and equality among and between members. For these reasons, the ACT Appeal continues to be the primary mechanism within the ACT family for emergency response. Although it serves to coordinate both funding and implementation, it also provides an important framework to allow all ACT members to respond to emergencies together: to maximize strengths, align expertise and coordinate the overall impact.

An ACT emergency response is made possible through the commitment and expertise of ACT members, together with their absolute conviction that the purpose of an ACT response is for the benefit of the people and communities most impacted by emergencies.

2. ACT DEFINITION OF AN EMERGENCY

An emergency is a disruption of the functioning of a community, population or society, causing human (including social and psychosocial), material, economic and/or environmental losses and destruction, which generally exceed the capacity of the affected persons and community to cope using its own resources. Emergencies may be categorized by scale (small, medium, large or mega) or by type (natural, complex, protracted or forgotten) [1]

Scale of emergencies

- **Small scale** (localized): Emergencies that are localized in areas where ACT is already working or where members can easily move to respond. Often related to flooding, drought, landslides, etc. they are responded to by the regular staff of members. Normally a small scale emergency does not require external funding or capacity assistance.

- **Medium scale** (localized or nationwide): Emergencies that may be localized or nationwide, and will likely have a considerable impact on the lives of people. ACT members may need to add additional capacity to respond to the emergency. An RRF or ACT appeal would likely be issued.

- **Large scale** (localized or nationwide): Emergencies that surpass the capacity of local or national ACT members to respond. Additional and specialized staff need to be hired or deployed, which may be national or international. An ACT appeal will be issued.

[1] Sources: ACT Emergency Operational Definition, 1998; UN OCHA, ReliefWeb, Glossary of Humanitarian Terms August 2008; and Inter-agency Network for Education in Emergencies.

- **Mega** (national or regional): Emergencies that surpass the capacity of most national and international humanitarian actors to respond. They will often have great impact on the local, national or regional infrastructure, which require complex mechanisms to set up emergency response. External support is essential. An ACT appeal will be issued.

Types of emergencies

- **Natural disaster**: [2]Emergencies that are brought about by natural hazards that seriously affect the society, economy and/or infrastructure of a region or country. Depending on population vulnerability and local response capacity, natural disasters will pose challenges and problems of a humanitarian nature. Natural disasters may be characterized as either **rapid onset** (triggered by an instantaneous shock, such as an earthquake), or **slow onset** (unfolding alongside and within development processes, such as a drought).[3]

- **Complex emergencies**: Emergencies that combine internal conflict with large-scale displacements of people, mass famine or food shortage, and fragile or failing economic, political, and social institutions. Complex emergencies arise from human fallibility, and may include nuclear, bio-hazard (e.g. oil spill), or climate change-related factors. Often, complex emergencies are also exacerbated by natural disasters.

- **Protracted emergencies**: Emergencies mainly related to refugees and IDPs that need humanitarian assistance until sustainable solutions are found.

- **Forgotten emergencies**: Emergencies that are not visible on the media and do not attract interest of donors to support a response. They are often related to protracted situations and displacement of people.

3. ACT RESPONSE TO AN EMERGENCY – AN OVERVIEW

An ACT Alliance emergency response is a cooperative effort between ACT members, forums and the secretariat to financially support and implement coordinated emergency response to meet the highest standards of quality and accountability and make visible the work of the alliance. All emergencies are different, and ACT will respond to the particular circumstances of any emergency in relation to ACT members, their capacity, and the capacity of the whole alliance.

3.1 Who participates in an ACT emergency response?

An ACT response will normally involve the following groups working collaboratively at the local, national and international levels:

- **Requesting ACT member**s participate in all ACT emergency response activities and are funded through the ACT Appeal
- **Non-requesting ACT members** participate in all ACT emergency response activities and are funded outside of the ACT Appeal

[2] From UN OCHA, ReliefWeb, Glossary of Humanitarian Terms, August 2008.
[3] From UN OCHA, ReliefWeb, My Humanitarian Glossary, September 2009.

- **Implementing ACT members/partners** are engaged in ACT emergency response activities under the supervision and full responsibility of a requesting or non-requesting member
- **Funding ACT members** allocate resources through the ACT Appeal and participate in other aspects of the ACT emergency response including communication, advocacy, joint monitoring and evaluation.
- **ACT secretariat** holds responsibility for policy commitments, global coordination and ACT Appeal mechanisms and processes
- **ACT forums** hold responsibility for national coordination of emergency response including appeals
- **All other ACT members** for support, communication and advocacy

3.2 ACT Tools for Emergency Response

The following tools are used in an ACT emergency response. Some are related directly to funding through the appeal process.

- **ACT Accountability Framework**
  The ACT Accountability Framework (AAF) summarises all mandatory policies and guidelines for the ACT Alliance including those specific to emergency response. These include codes of conduct as well as guidelines on cross-cutting issues, co-branding, advocacy and communications. (See www.actalliance.org)

- **ACT Alert**
  The first "official communication" sent to the ACT Alliance on a new emergency. It is a "heads-up" alert that an ACT member or members envisage an internationally-coordinated response which may require resources from either the Rapid Response Fund (RRF) or the appeal process. It is created by a forum (or member where no forum exists) and issued by the secretariat. (See Annex 1)

- **Rapid Response Fund (RRF)**
  Provides one-time financial resources to a member or members of ACT Alliance, normally in the first days following a small-scale emergency, to facilitate the member(s)' immediate response in saving lives, over a time period not to exceed three months. RRF is only available to ACT Alliance members from the global south, and The Lutheran World Federation. It is requested by a member in consultation with the forum and is approved and issued by the secretariat. (See Annex 3)

- **ACT Revolving Fund**
  The revolving fund makes immediate funding available to ACT Alliance members in the early stages of a medium to large-scale emergency operation. The revolving fund is made in conjunction with an appeal and can provide a funding advance of up to US$ 100,000, or higher on an exceptional and case-by-case basis, depending on the level of the revolving fund. The revolving fund can be used only after firm pledges are received or in cases of high profile emergencies where there is a strong indication that funding will be forthcoming. Members receiving funds replenish the funds once funds are received from an appeal. It is requested by an ACT member in consultation with the forum and approved and released by the secretariat. (See Annex 4)

- **ACT Rapid Support Team**
  Provides support and assists members of the ACT Alliance in implementing a rapid, timely, gender-sensitive and effective emergency response in the first weeks and months following an emergency. The teams are drawn from a roster of ACT member agency staff with different skills and competencies that are potentially deployable within 24 hours. The RST can also be utilized for emergency preparedness and

capacity development. It is requested by an ACT forum, ACT member in consultation with the forum, or member where a forum does not exist and is approved and released by the secretariat. (See Annex 2)

- **ACT Preliminary Appeal – 7 day deadline**
  The first substantive overview of the intended emergency response and request for funds by members who meet the criteria for participating in an appeal. It is prepared and submitted by the national ACT forum (or member where no forum exists) and includes information about all ACT forum members' response to the emergency. It is released by the secretariat no later than 7 days after onset of the emergency and is followed by a more detailed appeal by day 30. It is the basis for immediate consultation between the secretariat and funding members to anticipate probable available funds for a full appeal. (See Annex5)

- **ACT Appeal – 30 day deadline**
  The appeal is the formal request for funds by members who meet the criteria for participating in an appeal. It constitutes the main funding project document throughout the emergency response. It builds on the preliminary appeal by adding: a Log frame, more detailed population figures, more complete budget, and reporting commitments. It also includes a descriptive overview of the full ACT response by all forum members, as well as communication and advocacy plans. The appeal will be issued by the secretariat within 30 days of the emergency. In some cases an appeal will need to be revised during the course of an emergency. (See Annexes 6, 7, 9)

- **ACT Situation Reports (SitReps)**
  All ACT forum members, whether funded through an appeal or not, must provide regular and frequent situational reports (sitreps) which are essential for funding members as well as communications needs. The frequency for sitreps will be agreed with the secretariat according to the specific emergency; in a mega emergency members can expect to report more frequently (at least weekly) at the outset. Sitreps are coordinated and submitted by the forum using the ACT sitrep format. (See Annex 8)

- **Monitoring and Evaluation**
  The ACT PME Handbook is a basic PME reference guide for managing and supporting monitoring and evaluation systems in alls ACT RRFs, preliminary appeals and full appeals. The ACT evaluation policy and guidelines provide the basis for commissioning and managing effective ACT evaluations with emphasis to utilization of and learning from evaluation results. While general PME is the responsibility of requesting ACT members, ACT evaluations for appeals receiving greater than $5 million are directly led by ACT secretariat. Both the ACT PME handbook and the Evaluation policy and Guidelines are available on ACT website. (Annex 11).

3.3 Steps in an ACT emergency response

Because every emergency is different it is not possible to describe exactly the steps involved in any single ACT response. In each situation decisions will be made in light of the situation on the ground, the needs of people and the capacity of members. However, the following steps are indicative of the processes normally used in an ACT response. They include activities directly related to the ACT appeal system, but are broader in their scope so as to also include the total ACT response.

1) **Issue Alert**
Once a sudden onset emergency strikes, the ACT forum in the country (or ACT member where there is no forum) will immediately begin their needs assessments. If it is determined that external support will be needed the forum will urgently submit an alert to the ACT secretariat to be issued to the alliance. The forum will name a person to be the communications contact regarding the emergency. (Annex 1)

2) **Initiate Rapid Needs Assessment**
The forum and its members will carry out a Rapid Needs Assessment, before a preliminary appeal and detailed needs assessment to inform the writing of a full appeal while remembering the gender balance required on the assessment team. Assessment results should indicate the extent of needs and type of response to the emergency. The ACT Alliance Emergency checklist for rapid and detailed needed assessments can be found at http://www.actalliance.org/resources/.

3) **Ascertain funding support**
While the forum and members are completing the rapid needs assessment, the ACT secretariat program officer will actively canvass the ACT Alliance and its funding members to gauge funding interest to respond to this emergency, including back donor interest. On the basis of funding indications, members would decide what options to pursue, either an RRF submission, or a preliminary appeal/appeal proposal. Budgets must be realistic, and correspond to indications of funding availability. Members accessing funding outside of the ACT appeal system will ensure that information regarding their response is included as information in any proposal for ACT member funding.

4) **Request for ACT Revolving Fund**
Should immediate funding be required in a situation where it is clear that there will be an appeal and pledges have been made, or that funding for an appeal will be forthcoming, members may request a funding advance through the ACT Revolving Fund, administered by the ACT secretariat. Funds will be replenished from the appeal as funds are received. The Revolving Fund request, if made, should be reflected in the preliminary appeal proposal. (Annexes 4 and 5)

5) **Request for ACT Rapid Support Team (RST)**
RST support can also be requested if members feel they need additional specialized expertise. If an RST request is made, it should be reflected in the preliminary appeal proposal. (Annexes 2 and 5)

6) **Issue Preliminary Appeal – 7 day deadline**
Should the forum (or member where no forum exists) determine, in consultation with the secretariat regarding probable funding, to submit a preliminary appeal (maximum 10 pages), it should reach the secretariat by day 5 so as to be issued by day 7. The preliminary appeal allows funding members to seek funding for specific proposed implementation. It also includes an overview of the full ACT response by all ACT members. The forum/member should also coordinate with the UN Humanitarian Country team on linking the ACT Preliminary Appeal to a possible UN OCHA Flash Appeal. (Annex 5)

7) **Issue Appeal – 30 day deadline**
The preliminary appeal will be followed by a full ACT appeal to be sent by the forum (or member where no forum exists) by day 25 so as to be issued on day 30. The basis of the appeal document is that of the preliminary appeal with the addition of Log frame, budget and more detailed population figures. Ongoing consultation with the secretariat is important. Requirements for budgeting and reporting are precise and must be complied with. The appeal includes an overview of the full ACT response. (Annexes

6 and 7)

8) Send Regular Situation Reports (SitReps)

Sitreps are a critical piece of the emergency response because without those funding members are not able to do their work nor can communications make visible the nature of the emergency and the ACT response. In a mega emergency members can be expected to provide Sitreps at least once a week at the outset. However, in any given emergency, the most appropriate timing of Sitreps will be worked out in consultation between the secretariat, members on the ground and funding members. Sitreps are coordinated and submitted by forums and include information regarding the response of both requesting and non-requesting members. (Annex 8)

9) Meet Reporting Requirements

All members will meet reporting requirements with funders. For those funded through the appeal the ACT reporting formats are aligned with the Log frame in the appeal which provides the basis for monitoring, reporting and evaluating. Format templates are used and deadlines within the appeals will be met. The ACT secretariat is available to assist with all reporting. (Annex 10)

10) Monitoring and Evaluation

ACT members are responsible for the monitoring and evaluation of their emergency implementation work. For all ACT appeals, efforts shall be made to ensure a collaborative approach to monitoring and evaluation (e.g. shared monitoring visits) with a focus on how the monitoring and evaluation will result into shared learning. Results of monitoring and evaluation shall be shared with all relevant parties, including the ACT secretariat, to assist with lessons learned. The secretariat is available to support and advise the PME functions of ACT members. However, the ACT secretariat will directly commission evaluations for all ACT appeals worth 5 million US$ or more and evaluations will cover the work of both requesting and non-requesting ACT members in a particular emergency. (Annex 11)

11) Throughout the response

a. Essential components of an ACT response
   All ACT members are expected to incorporate agreed key components of best practice throughout the response, including complying with ACT policy commitments and incorporating cross-cutting issues (e.g. gender, security, psychosocial, protection, etc.). (See "Essential Components of an ACT Emergency Response" below)
b. Communications
   All ACT members will work throughout the emergency to ensure compelling, effective and timely communications. An ACT forum focal person will coordinate communications needs on the ground working directly with the secretariat. (See "ACT Communications in Emergency Response" below)
c. Advocacy
   All ACT members will work collaboratively to ensure that advocacy related to specific emergencies is undertaken in the most effective way possible using the resources of the global ACT system. (See "ACT Advocacy in Emergency Response" below)

12) Closing the appeal

Upon meeting all requirements, and with agreement between the secretariat and funding member, an emergency appeal will be declared closed.

ANNEX 14 'Cycle of Total ACT Response to Emergencies' depicts an ACT emergency response for a full onset emergency. For other types of emergencies the timing and sequence of response will be affected.

4. ESSENTIAL COMPONENTS OF AN ACT EMERGENCY RESPONSE

ACT members come in many shapes and sizes; they work differently and within different contexts. One thing that they share, however, is a common understanding of what constitutes effective emergency response. The following key commitments are essential components of the emergency response of all ACT members.

4.1 Policy commitments

ACT Alliance members are bound together by core values that are grounded in Christian faith and which guide ACT humanitarian, development and advocacy work. These values are expressed through ACT policies that set standards for ACT staff and members on humanitarian good practice as well as appropriate staff behaviour. The overall goal of all policies is to promote continuous improvement of the quality of services to the communities with whom we work.

The ACT Accountability Framework (AAF) summarizes these policies (www.actalliance.org). It also documents all ACT policy guidance on thematic programme areas, including: rights-based approach, gender equality, accountability, protection, climate change and security.

This framework is publicly accessible to ACT stakeholders and demonstrates ACT's intention to adhere to stated commitments and processes, and to be held accountable. It is essential that all ACT humanitarian response comply with and be informed by these shared commitments of the ACT Alliance.

The following mandatory ACT policies and commitments are particularly relevant to humanitarian response:

i. The ***ACT Membership Cooperation Agreement*** outlines the rights and responsibilities of members of the ACT Alliance, its governing bodies, and the ACT secretariat in Geneva. It is signed by all member organisations and ACT management. This agreement commits members to uphold all financial and other obligations of membership, including within emergency response.

ii. The ***Code of Good Practice for the ACT Alliance*** sets out common values, principles and commitments that shape the humanitarian, development and advocacy work of ACT members. It outlines the professional and ethical standards required by the alliance as a condition of membership.

iii. ***ACT Code of Conduct for the Prevention of Sexual Exploitation and Abuse, Fraud and Corruption and Abuse of Power***. This code outlines the key responsibilities of each ACT staff in relation to respect for the welfare and rights of the people with whom they work. It details the obligations placed upon their personal conduct, towards the prevention of the following: sexual exploitation and abuse (SEA), all forms of harassment, fraud and corruption, security breaches, and unethical business practices. The code must be signed by all ACT staff as a **condition of employment.** The ACT Code of Conduct has supporting guidelines for implementation for ACT members.

iv. ***Code of Conduct for International Red Cross and Red Crescent Movement and Non-Governmental Organisations (NGOs) in Disaster Relief.*** Based on the humanitarian imperative, this code provides ten foundational principles which undergird humanitarian response. All humanitarian response by ACT members should adhere to these principles.

v. ***The Sphere Project – Humanitarian Charter and Minimum Standards in Disaster Response.*** The ***"Sphere standards"*** are minimum standards for work in key lifesaving sectors: water supply, sanitation and hygiene, food security and nutrition and protection, settlement and nonfood items. They relate to the

Humanitarian Charter which articulates the rights based and people-centered approach to humanitarian response. All humanitarian response by ACT members should adhere to these standards.

vi. ***Anti-fraud and corruption policy for the ACT Alliance*** *(2009).* This is supported by financial guidelines for members and partners accessing ACT appeal funds.

vii. ***Policy and Guidelines for ACT National and Regional Forums*** *(2010)*, provides direction for ACT national and regional forums and outlines operating principles that should be adopted by all forums.

viii. ***Co-branding for members of the ACT Alliance*** (2010) outlines ACT's policy for member organisations on co-branding requirements which are essential in emergency response.

4.2 Cross-cutting issues

An ACT emergency response ensures that all aspects of the response incorporate commitments to a number of key priorities including rights-based approach, gender equality, accountability, protection, climate change, psychosocial support and security. Guiding principles and other tools related to these commitments are included in the ACT Accountability Framework. ACT advisory groups and communities of practice provide important support and input into the work of alliance members on these cross-cutting commitments.

4.3 Disaster risk reduction, including risk analysis

ACT views Disaster Risk Reduction (DRR) as a systematic approach to identifying, assessing and reducing the risks of disaster. It has three main dimensions: prevention, mitigation and preparedness. To effectively address the negative impact of disasters, ACT members are encouraged to adopt a Disaster Risk Reduction approach in all their work that cuts across development, disaster, emergency response, early recovery, reconstruction, and back to development.

4.4 Pre-emergency preparedness

Effective pre-emergency preparedness is a prerequisite to effective emergency response. As part of overall emergency preparedness measures, each ACT Alliance member and forum should:

- **Inventory emergency response capacity**
  A starting point for emergency preparedness is assessment[4] of the capacity of an ACT member. This provides basic baseline information to determine whether required assets are in place (human resources and physical resources) to respond to a possible emergency.
- **Updated emergency contingency plan**
  A good contingency plan is one in which scenarios and objectives are agreed, managerial and technical actions defined, preparedness measures undertaken, and response systems put in place to prevent, or better respond to, an emergency. All ACT members and forums should have current emergency contingency plans.
- **Verify readiness**
  A pre-emergency check-list is a necessary tool to verify readiness to respond to an emergency. (Annex 13)

[4] See Table 4: Disaster Preparedness and Response Capacities of the ACT Organisational Capacity Assessment Tool.

4.5 Capacity development

Many ACT members have impressive and comprehensive capacity to prepare for and respond to emergencies. At the same time, many ACT members focus primarily on development work or protracted humanitarian assistance rather than on emergency response. Thus, within the ACT system, capacities for emergency response vary among ACT members and there are situations when capacity of some ACT members will have to be increased to enable participation in emergency response and in ACT Appeals. Strengthening capacity of members in emergency response is an ongoing commitment of members and within ACT forums.

In order to participate in an ACT appeal an ACT member must meet the ACT criteria to access appeal funds including:

- demonstrate operational commitment, capacity, and competence in all aspects of humanitarian emergency work and the ACT appeal system
- maintain effective administrative and finance systems

In addition, members may have other capacity gaps which need to be addressed including lack of understanding or experience in the ACT appeal system.

The ACT "Strategy for Protecting and Building Capacities during Humanitarian Crises" rightly notes that increasing capacity during emergencies depends significantly on pre-existing capacities of the ACT members and their partners, as well as the magnitude of the emergency. Different tools are available to help ACT members to improve or strengthen their capacity, or to identify capacity needs.

In addition to tools, limited funding may be available through the ACT Capacity Development Initiative (CDI), led by the secretariat and an advisory group of members. The CDI promotes a strategic, long-term approach to capacity development, aimed at ensuring strong institutional and organizational capacity. Members begin any capacity development with an assessment, using the ACT Organizational Capacity Assessment (OCA) tool to generate an overview of their current strong and weak capacities. From the results of the assessment, ACT members and forums develop 3-5 year capacity development plans. Members/forums are encouraged to present their plan to traditional donors for support. These tools and processes support members and forums in all areas of work including emergency, development and advocacy. The CDI tools and additional information can be found on the ACT website.

4.6 Quality and accountability

High quality is essential for the ACT Alliance to achieve its vision, mission, aims and goals. ACT understands high quality as a learning and peer process, which allows its members to learn from each other and to make them accountable to each other and to communities with whom they work.

- **ACT Accountability Framework**
  The ACT Alliance is committed to demonstrating accountability in every aspect of its work. The ACT Accountability Framework (AAF) summarises standards of quality towards which the ACT governing bodies, ACT members and the ACT secretariat can be held to account by our stakeholders, and by each other. It states ACT's primary commitments and sets out an implementation plan and actions for improvement. It seeks to ensure that members have mechanisms of accountability to beneficiaries. This framework is publicly accessible to ACT primary stakeholders, so that ACT can demonstrate our ability to adhere to stated commitments and processes, and can be held accountable.

In humanitarian response, as in all of their work, ACT members are required to know the ACT Accountability Framework and to understand their roles and responsibilities in relation to each policy or guideline in the framework. ACT membership also requires partners to support the mandatory policies and procedures as well as to implement then in practice. (For ACT Accountability framework, see www.actalliance.org/resources).

- **Enabling communities to give feedback**
  ACT encourages all members to be accountable to the people with whom we work and to ensure mechanisms are in place for communities to better know who we are, what we are doing and how they can contribute to and benefit from ACT programmes.

  ACT believes that effective complaints handling mechanisms promote accountability as communities and staff colleagues are better able to report abuse. As well, effective mechanisms also help member organisations deter potential abusers. Even subjects of complaints benefit, as clear procedures are more likely to result in fair and impartial investigations. If a complaint is lodged, this requires a response.

  ACT encourages each member organisation to develop safe and effective complaints mechanisms that are accessible to all women, men, boys and girls with whom they work. The ACT Complaints Mechanism is included in the ACT Accountability Framework.

- **Strengthening programme planning, monitoring and evaluation (PME)**
  To grow as a reputable alliance, ACT members must reflect rigorously on our own effectiveness in emergency response, share our learning with others and provide clear evidence of our contribution to changes in the lives of crisis-affected populations. Functional monitoring and evaluation systems are an essential part of all emergency response design and implementation. The ACT PME Handbook and the ACT Evaluation Policy and Guidelines are intended to assist ACT members to develop effective monitoring and evaluation systems that enhance programme and organizational learning. The ACT secretariat will promote and support the integration of PME in ACT appeal processes.

  Where possible, ACT members shall incorporate impact-oriented assessment in their way of working, as well as ensuring that impact-level results are addressed through results-based management of ACT appeals and demonstrated in all ACT commissioned evaluations.

- **Promote shared learning**
  ACT believes that monitoring and evaluation processes are important sources of learning for the project or programme concerned as well as the whole alliance. ACT encourages members to collaborate in shared monitoring and evaluation and to use methodologies that enhance learning for the whole alliance. The ACT secretariat and ACT members will communicate the results of all ACT humanitarian response evaluations back to the country (ACT members – operational and policy staff – partners, donors, beneficiaries) where the project or programme was implemented and beyond, where relevant. Other ACT forums, groups and processes will gather good practice on key thematic areas that will contribute to ACT learning.

4.7 Recovery and transition to sustainable development

The key principle of linking relief, rehabilitation and development (LRRD) is to ensure continuous well-being of the affected population through emergency to recovery phases while consciously putting in place opportunities

and conditions upon which the emergency-affected population can proceed to recovery and further to long-term development.

ACT members shall promote approaches that help in linking relief, rehabilitation and development. The focus on LRRD is based on the recognition that implementation of humanitarian response should not only meet immediate humanitarian needs but do so in a manner that ensures capacity and supports general conditions for recovery and longer term development. If emergency work is sensitive to both the immediate and future needs, conditions for recovery are supported by careful selection and adaptation of approaches for emergency response. This is only possible if such approaches are considered in the design and early phases of the response. However, regular review is needed given that the priorities for recovery conditions may keep changing.

For every emergency response activity, there are factors that can be taken into consideration or developed into supplementary activities and supported as integral parts of the emergency response to ensure that the process of meeting these emergency needs also serves a future recovery simultaneously. The decisions on what approaches to be adopted or supplementary activities to be undertaken to ensure effective synergy for relief operation as well as supporting recovery depend not only on the phase of the emergency but also on the prevailing humanitarian conditions and the knowledge of existing opportunities.

It is important to note that promoting LRRD during emergency response is not just about adding a line of recovery-specific activity in the list of emergency response activities. It is more about adapting to new ways of doing work so that, while focus remains on meeting the immediate emergency needs, there is conscious effort to create secondary positive consequences for the recovery and long-term development of the affected population.

Key issues for LLRD by ACT Alliance members include:

- ***Approach:*** *How can emergency response programmes be implemented in a manner that ensures recovery without necessarily introducing recovery-specific supplementary activities? E.g. running nutrition centres vs. home-based supplementary feeding programmes, direct distribution of seeds to reduce food insecurity vs. using seed vouchers approach for seed distribution to help protect the local market systems.*

- ***Supplementary activities:*** *What specific supplementary activities can be supported with the regular implementation to ensure that an emergency response activity creates a good condition for recovery and development?*

- ***Capacity:*** *What specific capacity needs should be supported in emergency programmes to ensure effective transition to recovery through to long-term development?*

4.8 Strategic partnerships

ACT works closely with other local, national and international NGOs and UN agencies in humanitarian action to enable better sector-wide coordination and complementary of action in strategic partnerships with external agencies ACT emphases community-based approaches and enabling local and national leadership and promoting strong and accountable governance. ACT is also committed to working ecumenically.

ACT's engagement with the UN comes to the fore at country level in humanitarian crises, where ACT members work closely with the UN Office for the Coordination of Humanitarian Affairs (OCHA) and the 'cluster system'.

ACT encourages its members to participate annually in the UN Consolidated Appeals Process (CAP) at global level and in the Coordinated Humanitarian Appeals Process (CHAP) at country level. It also promotes the engagement of ACT members in the UN Global Cluster Groups.

To achieve its strategic aims to the full, ACT has created a number of long term strategic alliances with other NGOs. It is a member of:

- the International Council for Voluntary Agencies (ICVA)
- the Steering Committee for Humanitarian Response (SCHR)
- the Humanitarian Accountability Partnership (HAP)

A number of ACT members are members of the US-based NGO network, Interaction. Through its membership of SCHR, ICVA and Interaction, ACT actively participates in the Inter-Agency Standing Committee (IASC) and regularly contributes to and attends IASC Working Group and Principals meetings. ACT is regularly represented on the governing boards of ICVA, HAP, Sphere, Active Learning Network for Accountability and Performance (ALNAP), and the European network, Voluntary Organisations in Cooperation in Emergencies (VOICE).

5. COMMUNICATION IN EMERGENCIES

Introduction

A clear strategy for communicating in an emergency is an essential component of the ACT response, without which the ability to fundraise, bear witness to the experiences of people affected, advocate for humanitarian protection and resources for those in need and draw international attention to the crisis are impossible.

The strategy should address the following:

i) journalism
ii) photography
iii) online distribution of material produced and
iv) internal communication within the alliance.

For a large or mega emergency forums should:

- budget for at least one journalist and photographer for the most extreme phases
- generate fast, interesting, high-quality and accurate articles and images from the ground
- provide regular data through ACT situational reports (Sitreps) (Annex 8)
- plan for visual/ written coverage during the six months following the peak of the crisis
- work with the secretariat to disseminate content through members' and ACT websites, the ACT MediaBank and global media
- nominate a person on the ground as a communications coordinator to handle media visits and ensure continuity in the articulation of the emergency.

Members/forums are encouraged to incorporate a budget line for such a communications coordinator in their appeal budgets, to factor in the costs of ACT branded materials where necessary, and to consider requesting communications support through the RST.

Communication goals:

- **Transmit news** of a breaking emergency from the field to ACT members within six hours
- **Answer questions**: the who, what, where, when, why and how of all major emergencies
- **Supply content**: high-quality photographs, videos, eye-witness accounts, contextual information, human stories, expert interviews from affected people and ACT staff
- **Report ACT response**: the activities of members, both within and outside the appeal
- **Gain media coverage** for people in need and set the mainstream news agenda
- **Raise awareness** of the ongoing challenges people face
- **Inspire:** Communicate that there is hope

Communication values:

- **Accuracy:** all information must be accurate with the source of the information noted in the article. Names may change to protect people's safety but this must be noted.
- **Informed consent:** Always ensure a person understands that she or he is talking to a reporter from a global non-governmental humanitarian organisation and that this information could be published on the internet, which would make it widely and publicly accessible. Ensure they grant permission for their story, name and picture to be used. Survivors of sexual abuse must not be identified.
- **Humanitarian perspective:** ACT communicators must adhere to all ACT policies and codes of conduct. ACT does not publish stories or details which may jeopardise any work it undertakes, or the lives of people it assists.
- **Dignity of people affected by crisis:** communicators must listen to the stories of affected people and allow their voices to be heard through verbatim quotes, reported speech, audio podcasts and video interviews.

Co-branding and visibility materials:

- Members should co-brand their facilities, vehicles, working environment, websites, reports, staff clothing and activities with the logo and brand name ACT Alliance (e.g. signs, stickers, car magnets, t-shirts, high-visibility vests, caps, posters, leaflets) using the official ACT Alliance logo.
- A budget line for producing sufficient branded materials can be included in the appeal.
- ACT members should identify themselves in every instance (unless unwise to do so, e.g. for safety reasons) as members of ACT. They are encouraged to register with UN and government bodies as: "ACT Alliance: [member's name]" e.g. "ACT Alliance: Norwegian Church Aid" or "ACT Alliance: National Council of Churches of Kenya." Members can request digital files containing ACT logos suitable for print and web use from the secretariat at actcom@actalliance.org.
- Members' media work, communications with UN, government and civil society agencies and beneficiaries must highlight the ACT family identity, using ACT-branded materials and promoting ACT activities, policies and advocacy positions wherever possible.
- For further information, see "Co-branding for members of the ACT Alliance", June 2010 on ACT website.

COMMUNICATIONS DRILL

The following guidelines outline the roles and responsibilities of the forum on the ground, interested members elsewhere and the secretariat.

A. THE FORUM WILL:

1. **Appoint a forum media officer.** Appoint a person to coordinate all communications on the emergency (the "forum media officer") before or as soon as an emergency breaks out.

2. **Equip the forum media officer.** Ensure the forum media officer has adequate equipment (such as a cell phone or satellite phone and laptop).
3. **Supply contact details.** Give the secretariat the name and contact details of the forum media officer within a day of the emergency breaking out.

B. THE FORUM MEDIA OFFICER WILL:

1. **Compile communications contact list.** Provide the secretariat with the names and contact details of ACT communicators covering the emergency.
2. **Facilitate communications visits.** Provide information and support (e.g. on visa travel requirements) for visiting journalists, photographers and filmmakers and negotiate prompt access on their behalf to sites and people of interest.
3. **Add value to communicators' work.** Monitor stories, facilitate access to people for interviews (those affected by the emergency, field staff, RST members), handle media enquiries, and provide support to ensure good quality articles, photographs, audio and video that represent southern voices, beneficiary viewpoints, and relevance to the ACT Alliance wherever possible.
4. **Provide safety and security guidelines and orientation.** Brief visiting media personnel, whether independent of member communicators, on site-specific health and safety guidelines, local and programme protocols, culture- and gender-sensitive issues, legal requirements and the broad socio-economic and humanitarian context.
5. **Promote ACT spokespeople.** Offer a spokesperson/spokespeople for interviews to the media following agreement with forum and secretariat. For alliance-wide advocacy statements, the spokesperson is ACT Alliance general secretary unless he/she delegates this role to another person.
6. **Broker sign-off.** Ensure that sensitive public statements issued by ACT members are signed off according to the ACT Advocacy Policy and Procedures and that the secretariat is supplied with a single, forum-agreed position, statement or release.
7. **Foster communication between members.** Hold meetings between in-country communicators to generate collegiality among member organisations and share resources, itineraries and contacts.

C. ACT MEMBER COMMUNICATORS WILL:

1. **Liaise with forum media officer.** Arrange visits directly with the forum media officer and notify the secretariat of their plans in advance.
2. **Supply contact details to secretariat** including their satellite phone number.
3. **Arrange a back-up person.** Nominate a person at their headquarters to be contacted in the event that a technical malfunction makes communication with the field impossible.
4. **Produce written or photographic materials covering the ACT response**
   a. **Stories:** write timely and newsworthy articles for their member organisation's website that highlight the whole ACT response. If the story meets the criteria on the ACT website (Annex 12) the ACT website will link to the story.
   b. **Photographs:** produce or commission professional photographs captioned and credited according to guidelines available (Annex 12)
   c. **Audio-visual:** produce or commission video and/or audio interviews of people affected and/or ACT RST experts or staff attending to the emergency.
5. Provide the forum media officer with names of people willing to be interviewed remotely over Skype or telephone for recording and uploading to the ACT website, whether the affected population, ACT RST roster members or field staff.

6. Anticipate forthcoming newsworthy stories, by producing materials, sharing details with the ACT secretariat as early as possible and circulating contact details of possible interviewees with other members and secretariat communications staff.
7. Collaborate with the forum media officer and ACT secretariat to detect any possible conflicts or contradictions in advocacy positions or public statements of different ACT members.
8. Be willing to follow up on news story ideas suggested by secretariat communications staff on behalf of the alliance.

D. THE ACT SECRETARIAT WILL:

1. **Upload news links to actalliance.org.** Upload to www.actalliance.org web links to news on major emergencies posted on members' websites within 24 hours of member supplying the links (Annex 12) provided these meet the criteria for reporting on major emergencies.
2. **Upload photographs to actalliance.org and MediaBank.** Upload all professionally-produced photographs suitable for an external audience to the ACT website and MediaBank as soon as possible (Annex 12).
3. **Publicise media materials on ACT-related emergencies.** Circulate information on articles, photos, and videos related to emergencies through News You Can Use.
4. **Draft and circulate targeted press releases.** Produce ACT statements and statements from the ACT Alliance General Secretary in coordination with forum media officer, and advocacy and programme staff at the ACT Secretariat, where there is a clear and demonstrable benefit to affected people, ACT members and the alliance as a whole in doing so.
5. **Write original articles for actalliance.org**. Research and produce articles analysing underlying causes of the emergency, depicting the ACT angle, whether in terms of advocacy positions or practical response.
6. **Share contacts.** Pass on journalistic contacts to the forum media officer and field media enquiries to the communications coordinator.
7. **Generate publicity.** Work to achieve as much publicity for the crisis as possible, whether by linking to members' stories from the ACT website or by placing stories in development sites such as AlterNet and ReliefWeb, the independent news media or social media such as Facebook and Twitter.
8. **Stay ahead of the news curve.** Remain informed about the global media agenda and anticipate new developments, devising story themes and angles and proposing these to communicators in the field.
9. **Contribute to RST coordination.** Coordinate and decide on Rapid Support Team communicators for deployment.

6. ADVOCACY IN ACT EMERGENCY RESPONSE

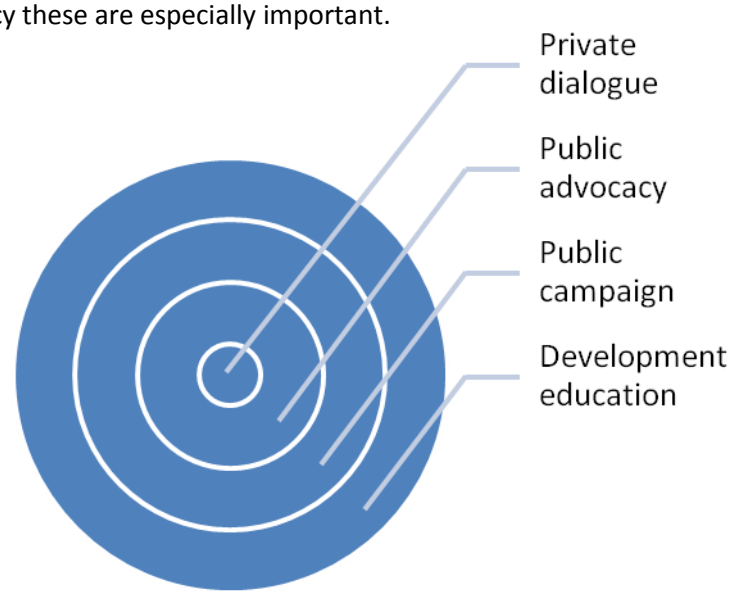
The roles and responsibilities of ACT members and forums in advocacy in emergency response are described fully in The ACT Advocacy Policy and Procedures.

Many ACT members view advocacy as a critical and complementary means of ensuring effective protection for communities in emergency contexts. ACT's humanitarian action is guided by the fundamental humanitarian principles of humanity, non-discrimination, impartiality, independence, justice, accountability [5] and participation[6] and grounded in the desire for the legitimate and effective implementation of international humanitarian, refugee and human rights law. The ACT Alliance and ACT members have endorsed the *Sphere Humanitarian Charter and Minimum Standards in Disaster Response* and adhere to the principles of the *Code of*

[5] The ACT Secretariat and a number of its members are also members of the Humanitarian Accountability Partnership (HAP) and some are undergoing HAP certification to help strengthen their accountability to affected populations.
[6] To better understand how the principles relate to protection, see Chapter 1, Professional Standards for Protection Work (ICRC 2009).

Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief which are the fundamental standards for all ACT humanitarian programmes. Therefore, ACT does not tie the promise, delivery or distribution of assistance to the embracing or acceptance of a particular political or religious creed.

ACT works in a rights based approach, supporting rights holders to address the duty bearers to fulfil their rights. ACT uses different methods and approaches to advocacy and with a variety of publicity, choosing different methods when defining its strategy to advocate. ACT may also take various roles in advocacy, including facilitating advocacy done by others rather than being the main public advocacy actor. In situations of emergency these are especially important.



As defined in ACT Alliance Advocacy Policy and Procedures (2011) advocacy is crucial to any emergency response to amplify people's voices, to ensure that responses are appropriate to people's needs and rights and to ensure that they respect humanitarian principles. It may relate to, for instance, protection, access, promoting good practice of humanitarian and development work, prevention of escalation of violence, conflict transformation and promoting nation/society-building as part of reconstruction and rehabilitation.

Respecting the commitments of ACT to balance risks and benefits, do no harm and support those at risk, ACT advocates in a proactive, structured and planned manner, searching for right methods, target groups, allies and roles and responsibilities, on a context specific case-by-case basis. In a situation of emergency, risk-benefit and context/power analyses are made at the time of making strategic choices. ACT considers, among other things, whether the emergency is politically motivated, with violence or conflict involved, natural emergency, how fragile the state is, what is the space of Civil Society Organizations (CSO) activities in the country, and whether the emergency is a rapid or slow-onset emergency, etc.

Advocacy in emergency is a means to implement the humanitarian imperative and ACT's mandate as found in its founding document.

Advocacy planning and implementation in emergency

ACT's response in an emergency is structured in two levels: ACT appeal (joint action by several members with pooled funding) and the broader ACT response (a holistic overview of ACT members' individual or joint actions related to the emergency).

In an ACT appeal ACT should:

- consider advocacy as a possible mean of implementing the appeal objectives and activities
- plan for sufficient human and financial resources
- agree on responsibilities (e.g. spokesperson)
- when need arises during the implementation of the appeal, work with ACT appeal members, the ACT forum and ACT forum members outside the country as well as the ACT Secretariat, to produce a strategy, position and plan for actions, with a risk-benefit analysis in a quick manner
- include advocacy related to protection, access, promotion of good practice and awareness raising / communication on the emergency
- involve close monitoring and adapting of strategy.

ACT response to an emergency may include advocacy:

- which is related to promotion of good practice, prevention of escalation of violence, conflict transformation and state building and possibly others
- which is based on a strategy with clearly defined objectives, target groups, allies and positions, and a position that is coordinated with members working in the country concerned (see ACT procedures for advocacy work of individual ACT members)
- which is based on risk-benefit analysis and is context specific
- implementation of which is coordinated with ACT forum, ACT forum members outside the country, and the secretariat ensuring sharing of information
- which is monitored and adapted continuously.

Excerpt from ACT Alliance Policy on Protection (see ACT Accountability Framework)

Principle 8:	Protection advocacy must be based on a careful risk-benefit analysis involving field staff and affected communities and be part of an integrated protection strategy.

The ACT Alliance has committed to "work together to influence and change the structures and systems which impoverish and marginalise people and actively engage in national/regional and international debates to advocate for positive change for poor and marginalised people on development and relief issues". [7] Approaches to advocacy across the alliance include "awareness raising, development and human rights education, popular campaigning and public events, policy research and analysis, lobbying and the production of materials to support all of these different styles of advocacy." [8]

Many ACT members view humanitarian advocacy as a critical and complementary means of ensuring effective protection. It should be considered along with other options for protective action at the earliest stages in the development of a programme protection strategy. It should not be considered a 'stand-alone' activity or an afterthought.

ACT recognises the three internationally accepted modes of action for humanitarian advocacy[9], namely, persuasion, denunciation and mobilisation, and is conscious of risks and benefits associated with each.

[7] ACT Alliance "Advocacy Policy (revised 2011), which can be found at www.actalliance.org
[8] Ibid
[9] ICRC publication 1999, "Modes of action used by humanitarian players: criteria for operational complementarity", ref. 0722 by Paul Bonard.

i) 'Persuasion,' when successful, encourages authorities and/or perpetrators to change their behavior through private negotiations or dialogue.
ii) 'Denunciation' aims to halt or deter abuses by bringing public attention and influence to bear on authorities or perpetrators of abuses (for example, by naming and shaming a state in a public forum). While denunciation does alter the cost-benefit calculations of an actor, it is usually employed as a 'last resort' after persuasion fails, as it aims to force compliance, which can make future cooperation far more difficult.
iii) 'Mobilisation' can take on many forms and may be used in conjunction with advocacy campaigns that focus on persuasion or denunciation, by building supportive community networks and humanitarian alliances, among others.

The three different modes represent levels of action in the face of any pattern of abuse: halting its occurrence, working alongside the survivors, and promoting lasting changes in the environment in order to diminish the likelihood of recurrence.

Advocacy, however, can have serious risks and may jeopardize humanitarian access, relations with authorities, life-saving assistance programmes and even the security of staff and beneficiaries. However, these risks should not be an excuse for inaction or being a 'silent witness', which inadvertently allows for the perpetuation of abuses. Rather, the potential risks should be carefully assessed and used to develop appropriate advocacy strategies and risk management procedures.

The ACT Alliance promotes the following minimum standards for protection related humanitarian advocacy, believing that effective advocacy must:

- Take every measure possible to minimise risks to the safety, security or human dignity of staff, direct beneficiaries and affected communities.
- Ensure the participation of staff and affected communities in policy development, prioritisation and advocacy strategies and, where appropriate, amplify and project the voices and concerns of affected community members.
- Ensure credible and accurate information and analysis, particularly regarding documentation of abuses and description of duty bearer responsibilities, avoiding distortion, embellishment and mischaracterizing protection problems.
- Ensure confidentiality and protect the sources of their information, including where necessary obtaining informed consent from affected individuals to use personal or identifying information.
- Maximise opportunities to develop alliances and partnerships to increase leverage.
- Be well-timed and target the right actors.[10]
- Employ a rights-based approach and focus on protection needs of the civilian population by applying international humanitarian law, human rights law and other relevant frameworks equally and impartially to all relevant actors in a given situation.
- Ideally be based on pro-active longer-term strategies and careful risk-benefit calculations (as opposed to solely being ad-hoc and reactive).
- Be subject to ongoing review, adaptation and effective risk management.
- Reflect the agency's policy and procedures governing protection advocacy.

[10] ALNAP (Active Learning Network on Accountability and Performance), "Humanitarian Protection", a Guidance Booklet, Pilot Version by Hugo Slim and Luis Enrique Eguren.

7. THE ROLE OF ACT FORUMS IN EMERGENCIES

The main objective of an ACT forum is **to increase the effectiveness and impact of the humanitarian assistance and development work being undertaken by ACT members through improved coordination.** (ACT Alliance National and Regional Forums – Policy and Guidelines),

The ACT forum is the principal coordinating mechanism for the emergency response of ACT members in a country or at the regional level. Although emergency response operational activities are carried out by individual ACT members, the ACT forum will coordinate and implement all activities which can be done jointly. This includes the activities of:

- ACT **requesting** members who receive funding through the ACT appeal mechanism, where coordinated funding is made available via the appeal for the implementation of operational activities
- ACT **non-requesting** members who do not receive funding from the ACT appeal system, where ACT members either have secured adequate financial resources or have identified likely funding for their individual responses.

The success of an ACT forum is predicated on the concept of partnership and equality among all members of the forum, and between forum members and those other ACT members who accompany and support the forum from other parts of the world. Equality means sharing of gifts and expertise among forum and ACT Alliance members /Forums should therefore work towards placing capacity development at the heart of their work, with the aim to diminish gaps in capacity between members and achieve true partnership. This is as important in emergency response as in other activities.

The activities of ACT forums specific to emergencies are:

- information sharing and coordination with the other members of the forum on potential and actual emergency situations, through meetings and other mechanisms
- issuing joint emergency alerts
- conducting joint emergency assessments
- joint design and drafting of ACT appeals through sharing of experience, information, knowledge and priorities in order to identify how best to respond to a given situation in a country
- facilitation of the work of ACT Rapid Response Teams in the country/region, including providing logistical support to any teams which are deployed
- submission of joint appeals and reports, updates and situation reports to the ACT secretariat, in accordance with ACT policies
- joint implementation, monitoring, reporting and evaluations of emergency programmes
- sharing of operational resources such as relief stocks, joint procurements, transport, funds and secondment of personnel
- sharing and development of skills, capacity and areas of competence in emergency preparedness and management, such as in proposal and report writing, needs assessments, emergency management training, and use of Sphere Standards
- monitoring that members are upholding the Code of Conduct for the International Red Cross and Red Crescent Movement in Disaster Relief, the Code of Conduct on Sexual Exploitation, Abuse of Power and Corruption, the Humanitarian Charter and Minimum Standards in Disaster Response (Sphere Standards), the UN Security Council Resolution (UNSR) 1325 with regards to the role of women in peace and security as well as protection, and other ACT Alliance policies and guidelines
- local advocacy and lobbying on emergency related issues in line with ACT policy

8. THE ROLE OF THE ACT SECRETARIAT IN THE EMERGENCY RESPONSE

The ACT secretariat is located in Geneva, Switzerland. The main role of the ACT secretariat in relation to emergencies is to coordinate and facilitate the emergency response of all members of the ACT Alliance, including funding members, those who request funds through the appeal process, and those who do not. Specific responsibilities related to the ACT Appeal are found below.

Core emergency tasks:

The core tasks of the ACT secretariat in relation to emergency preparedness and response are to:

- support members and forums to ensure understanding of and competency in all the essential components of an ACT emergency response including: policy commitments, cross-cutting issues, preparedness, capacity development, quality and accountability, and support of ACT forums
- monitor potential emergency situations around the world, responding to members' requests for support, or actively soliciting requests for emergency assistance from potential members or through their networks
- work closely with potential donors in connection with resource mobilisation for the emergency response. This includes canvassing ACT members on possible funding interest, as a basis for determining the level funding support for appeals
- comply with all responsibilities for ACT Appeals including review and issuing of alerts, RSTs, RRFs (Rapid Response Fund), and appeals, reporting, monitoring and evaluation and financial responsibilities.
- ensure ongoing collaboration and coordination with forums and all ACT members involved in the response
- support forums/members to ensure effective communications and visibility of the total ACT response
- provide coordination between members/forums and the rest of the alliance for advocacy efforts
- support forums promote joint monitoring, assessments, security systems, peer review of programmes - regardless if members are funded within or outside an appeal
- policy and guidelines development in relation to ACT appeals

9. THE ACT APPEAL SYSTEM – POLICIES AND PROCEDURES

Participation in the ACT appeal system is guided by policy commitments and agreed procedures approved by ACT governance which are mandatory for all ACT members participating in the appeal system: requesting members, implementing members/partners and funding members, as well as forums and the secretariat. Although not participating directly in an appeal, non-requesting members will share information and coordinate and collaborate with forums and all aspects of an appeal response.

9.1 ACT Emergency appeal policy and procedure documents

The policy and procedural documents related to the funding mechanisms of the ACT Appeal system are:

- ACT Rapid Support Team (Annex 2)
- ACT Rapid Response Fund (Annex 3)
- ACT Revolving Fund (Annex 4)
- ACT Preliminary Appeal (Annex 5)
- ACT Appeal (Annex 6)
- Budget preparation guide for ACT Appeals and RRFs (Annex 7)
- ACT Situation Report (Annex 8)

- ACT Guidelines for Extensions and Revisions of Appeals (Annex 9)
- ACT Appeal and RRF Reporting Guidelines (Annex 10)

Additionally, the following policy commitments are necessary for participation in the ACT Appeal system:

- Criteria for Accessing ACT Appeal Funds (9.2 below)
- Financial Aspects of ACT Appeals (9.3 below)
- Roles and Responsibilities of ACT Members and Partners in Funding and Implementing an ACT Appeal (9.4 below)
- Roles and responsibilities of the ACT secretariat in ACT Appeals (9.5 below)

9.2 Criteria for Accessing ACT Appeal Funds

All ACT members can be part of an ACT appeal and receive appeal funds **provided they "meet the ACT criteria as set by the governing board for accessing appeal funds for humanitarian assistance and related activities"** (Founding Document of the ACT Alliance)

Criteria 1 Fulfill ACT membership criteria

The ACT member must fulfill the four criteria for membership in the ACT Alliance (ACT Alliance Mission Statement and By-Laws):

Criteria for Membership in the ACT Alliance

Churches and church-related organisations that meet all of the following criteria are eligible to apply for membership in the ACT Alliance.

1. Churches and church-related organisations seeking membership in the ACT Alliance shall be either:
   (a) a member church of the World Council of Churches (WCC) or The Lutheran World Federation (LWF), or
   (b) a specialised ministry for humanitarian assistance and/or development of a member church, if it is constituted as a separate legal entity, or
   (c) an organization affiliated with at least one member church of the WCC through governance

   An exception may be made for:
   (d) an organisation which was previously part of a member organisation but has become independent (such applications must come with the endorsement of the member organization)
   (e) a church or an ecumenical organization that has had a long historical programmatic working relationship with the WCC and/or a regional ecumenical organisation, referring to the All Africa Conference of Churches, the Christian Conference of Asia, Consejo Latinoamericano de Iglesias (CLAI), the Conference of European Churches, the Conference of Caribbean Churches, the Middle East Council of Churches, the Pacific Conference of Churches
   (f) an ecumenical organization from a country where there are no member churches of either the WCC or LWF.

2. The primary mandate of church-related organisations must be to work in the area of humanitarian assistance and/or development.

3. The church or church-related organisation must have a commitment to high quality development and/or humanitarian assistance activities.

4. The church or church-related organisation should be either a national, regional or international organisation.

Criteria 2 Fulfill ACT member obligations

The ACT member must fulfill the eight obligations of members (ACT Alliance Mission Statement and By-Laws):

Obligations of Members

Members of the ACT Alliance must commit themselves to:

1. adhere to the vision, mission and commitments of the ACT Alliance, as summarised in the Founding Document

2. adhere to the policies of the ACT Alliance

3. adhere to the Code of Good Practice for the ACT Alliance (including the Code of Conduct for the Prevention of Sexual Exploitation and Abuse) and other codes which may be adopted by the Governing Board in the future. For organisations involved in humanitarian assistance, this includes adherence to The Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief, and the Humanitarian Charter and Minimum Standards in Disaster Response (Sphere Standards)

4. co-brand with the name ACT according to the co-branding policy

5. actively participate in national and regional forums where they exist and work with and strengthen other ACT members

6. pay the annual membership fee and any other financial obligation as set by the Governing Board

7. agree to submit annual audited financial and narrative reports upon request

8. meet the ACT criteria as set by the Governing Board for accessing appeal funds for humanitarian assistance and related activities

Criteria 3 Adhere to all provisions of the ACT Membership Cooperation Agreement (signed by all members)

Criteria 4 Demonstrate operational commitment, capacity, and competence in all aspects of humanitarian emergency work and the ACT appeal system

This includes:

- thorough understanding of the humanitarian emergency response cycle
- operational experience and competence in conducting humanitarian emergency activities
- ability to formulate ACT appeal proposals, and implement appeal activities based on the approved ACT appeal, according to ACT policy and guidelines and including monitoring, reporting and evaluation
- commitment to work with and through the ACT forum in the country (including preparation of a consolidated appeal submission, joint emergency assessment, and joint formulation of an overall goal for an emergency response)
- strategy and procedures in place for an emergency response (including a contingency plan, staffing plans, and staff trained in humanitarian emergency response and humanitarian policies)
- agreement to limit any appeal proposal in recognition of its capacity limits when expanding an operation for emergency response

It is recognized that some ACT members may encounter capacity gaps when confronted by a humanitarian emergency**.** ACT members will commit themselves to meeting capacity gaps of other members and of the ACT forums.

Criteria 5 Maintain effective administrative and finance systems

Responsible internal management and control systems must be in place to allow proper emergency appeal implementation. This includes commitment to zero tolerance to fraud and corruption by ACT members and their partners accessing appeal funds (as stipulated in the ACT Anti-Fraud and Corruption Policy). The ACT member must also demonstrate that there is an annual practice for the organisation's books of account to be subjected to an external financial audit. The audit firm must (a) be registered with a recognized institute of registered public auditors and be authorized to act as an auditor, according to the laws of the country in which the auditor is practicing in (b) consist of a minimum of two registered public auditors and not a sole registered public auditor and (c) normally be rotated a minimum once every 5 years. If the requesting member cannot comply with (c), prior written approval needs to be requested from the ACT secretariat, with appropriate justification.

9.3 Financial Aspects of Appeals

The appeal system is, first and foremost, a funding mechanism. In addition to meeting the criteria above of maintaining effective administrative and finance systems, all participants in an ACT appeal are required to comply with ACT finance, budgeting and reporting policies and processes as outlined in the following Annexes;

ACT Appeal and RRF budget format	Annex 6.3
Budget preparation guide for ACT Appeals and RRFs	Annex 7
Sectors in ACT appeal budgeting procedures	Annex 7.1
Procedures for implementing the International Coordination Fee	Annex 7.2
First in first out principle (FIFO)	Annex 7.3
ACT guidelines for extensions and revisions of appeals	Annex 9

ACT appeal and RRF reporting guidelines	Annex 10
ACT appeal and RRF financial report format	Annex 10.1

A. ACT appeal proposals - administrative and financial considerations

ACT members should put into place responsible internal management and control systems and **provide a concise summary on the following aspects in section 3.4 Human resources and administration of funds**, of the ACT preliminary appeal and appeal proposal format (Annex 5.1 and 6.1).

1. Financial arrangements

- A separate bank account is recommended to administer appeal funds.
- What are the mechanisms to ensure that appeal funds are not used for other purposes, to ensure cash flows are managed effectively and fair allocation of interest earned (where applicable)?
- Bank accounts should always have dual signatories. Who (positions) is authorized as a signatory to and what are the procedures related to authorisation of payments?
- When a requesting member is working through partners, what are the processes in place to ensure that the partner is fully aware of ACT policies and guidelines on appeal implementation?
- In the event funds are sent directly from one funding member to a "partner" of a requesting member to implement a specific component of the appeal, what mechanism is put in place that such information is shared between yourself and the "partner" to ensure firstly, that it is included as income to the appeal and secondly, that it is shown by the name of the funding member who has provided it?
- What are the processes that have been put in place between the finance and programme section of the requesting member to ensure that all are informed without undue delay when funds are received in the bank account, including any conditions that may be linked to some of the contributions?
- If funds are sent to the HQ bank account, what are the processes in place to ensure that money is not held there unduly long, thereby delaying implementation of activities?
- Who should receive a copy of the signed financing agreement between the funding member and the ACT secretariat / and requesting member (where applicable), and what are the mechanisms for discussing and understanding the contents of the agreement to ensure compliance to the terms stated therein? (Please note: the ACT secretariat will sign those contracts whose terms are of a standard nature and are in line with the ACT Appeal and RRF Reporting Guidelines without seeking approval/advice from the requesting member).
- Are you planning to implement specialized components of the planned activities within the appeal through one of the funding members? Briefly describe the working relationship between the two.

2. Funds received by one requesting member, in a jointly implemented appeal by the ACT forum

- Is there a clear MoU detailing (a) responsibilities and financial risks that will be carried by the requesting member into whose bank account the funds will be transferred and (b) responsibilities of the other implementing members working under the requesting member in a jointly implemented appeal.

- Has the MOU been discussed and agreed at governance level of the organizations concerned?

- Does the MoU give reference to the minutes where this was discussed and the decision? Is it signed by the authorised representative of the organisation?

- The requesting member receiving funds on behalf of other members is responsible for reporting on behalf of all the members. Consideration should be given at the beginning as to how this will be done, as there will be a need to consolidate the reports of the other members and to prepare one financial report. Furthermore, the ACT secretariat expects to receive one audit report, where the work of all the members is consolidated into one audit report, so this should be discussed in advance with the auditor of the requesting member, who is responsible for reporting on behalf of all the members in a jointly implemented appeal.

3. Financial risk management

- The ACT Alliance Anti-Fraud and Corruption Policy is one of zero tolerance. The requesting member shall make good any losses suffered as a result of negligence, fraudulent activities on the part of their staff and or partners working within the ACT appeal. Provide a brief description of financial and procurement procedures that are in place to manage appeal funds to reduce the risk of fraud (includes misuse) and corruption. In this, indicate how is the division of duties related to purchases, receipt of goods, payments of chosen suppliers and recording thereof.
- (If applicable) Cash payments made to suppliers of services and materials, why, who authorises and what is the limit for such payments. What precautions are put in place – insurance, security and safety of persons carrying large amounts of cash?

4. Asset Management

- Describe warehousing and stock control systems that have been put in place.

- If not responding to disasters for the first time in the country, what is the status of the assets that were purchased in previous appeals?

- Describe how you will ensure that assets like vehicles and computers which are to be purchased with appeal funds will be used for the purpose of the appeal and not different purposes. If these are used as for other programmes, how will those programmes be charged appropriately?

- When the appeal implementation is finished, what will be the destination of the assets (computers, printers, vehicles etc) that will be purchased using the appeal funds?

5. Management of expenditure to approved budget and available funding

Funds should be spent according to the approved budget. If budget totals / heads exceed the approved budget by more than 10%, **prior approval needs to be obtained from the ACT secretariat**. This rule is applicable only to budget totals / heads and is not to be applied on a line by line basis. Subsequently when the financial report is prepared, explanatory notes to the accounts should be included where there is an adverse variance of 10% or more.

Requesting members must not commit themselves to activities that exceed the funding available, as they will have to bare the loss of such overspending.

B. Resource mobilization

- **Earmarking of contributions to specific activities:** Earmarking of contributions to specific activities in an appeal (e.g. shelter) is not encouraged. However, where back donor funds are involved, this is sometimes inevitable. In this case, it must be ensured that a reasonable portion of the back donor contribution provides for distribution and indirect cost.

- **Allocation of un-earmarked funds:** Earmarking of contributions to specific requesting members or their partners is also not encouraged. All un-earmarked contributions are allocated to different requesting members by the ACT secretariat, taking into account where the needs are greatest and how much funding has already been received by each requesting member.

- **Financial updates:** The ACT secretariat periodically issues financial updates, on the funding levels of each active appeal. Funding consists of all outstanding pledges, funds received via the secretariat, funds received directly and unspent funds transferred with the consent of the donor from one appeal to another. If there are several requesting members in an appeal, the funding level for each requesting member is shown separately.

  The financial update is a summary document that shows overall funding levels and does not show detailed contributions by each funding member. Upon request, a detailed appeal income spreadsheet is submitted by the secretariat. Funding members will be able to track their contributions, by reviewing the appeal income spreadsheet. The financial update is an important tool that can help a funding member determine where funds are needed most. It is also an important tool to the requesting member, as it helps gage how much funding will be received for appeal implementation.

9.4 Roles and Responsibilities of ACT Members and Partners in Funding and Implementing an ACT Appeal

All ACT members are expected to contribute their resources and energies to ACT appeals according to their roles and capacities.

All ACT members of the alliance can fund ACT appeals. Members of the ACT Alliance with greater fundraising capacity are, however, expected to be more proactive in funding ACT appeals. Members of ACT Alliance may also implement projects under ACT appeals if and when they meet the criteria set out by the ACT governing board.

All roles in the ACT appeal process imply both benefits and responsibilities. The rights and responsibilities of an ACT member are the same regardless of role or size or level of contribution to the total ACT emergency response.

ACT Funding members

Involvement in appeal preparation

On receipt of an ACT alert, an ACT member that has the capacity to fund appeals agrees to share the following with the ACT secretariat:

- information which they have about the situation
- local contact sources that may be used by ACT secretariat in its facilitation and coordination of the appeal development process
- information they may have about ACT members in the country of the emergency response, particularly in relation to implementation capacity and relationships
- specialist knowledge concerning the geographical area or the type of emergency
- possible financial response they could make to an appeal in the given circumstances
- information about potential back donor (e.g. bilateral donor) funding

Contributing to an ACT Appeal

A funding member may support an ACT appeal by contributing in one of the following ways:

- unearmarked funds to a given appeal through the ACT secretariat - *this is the preferred method of contribution*
- funds to a given appeal through the ACT secretariat, those funds being earmarked by the funding member to a particular requesting member
- funds to a given appeal through the ACT secretariat, those funds being earmarked to a particular requesting member and for a particular part of a programme of implementation
- funds or solicited in-kind donations to a given appeal directly to a particular requesting member, while immediately informing the ACT secretariat
- funds or solicited in-kind donations to a given appeal directly to a particular requesting member, earmarked for a particular part of a program of implementation, while immediately informing the ACT secretariat

When a decision is made to fund an ACT appeal, the funding member must immediately inform the ACT secretariat and the requesting member (if earmarked) of the pledge and of their ultimate transfer and clearly specify any special conditions, if any.

Reporting requirements

A funding member agrees to:

- adhere to the ACT guidelines on narrative and financial reporting in relation to all appeals issued by the ACT secretariat
- If additional reporting is required, outside the regular ACT reporting requirements, the funding member must first make an attempt to negotiate with the back-donor that they accept the regular ACT reporting requirements

- If additional reporting is a must, then the funding member has the obligation to first check if the requesting member can fulfil the additional reporting requirements, before pledging or transferring funds. The funding member involved is advised to prepare and sign a trilateral contract to be signed by the funding member, requesting member and ACT secretariat highlighting these extra requirements
- act as intermediary between the ACT Alliance (via the ACT secretariat), the requesting member(s), and back donors (e.g. bilateral donors)
- provide ACT secretariat, when requested, with an annual report of its activities, together with an audit report
- supply to the ACT secretariat copies of field and monitoring visit reports and evaluation reports related to ACT appeals
- supply the ACT secretariat with updates of its working capacities and policies in relation to emergency assistance, whether these relate to geographic concentration, field offices, staffing and structures, or other matters, as requested

ACT communications and visibility

The funding member agrees, while maintaining its individual identity, to cite and promote the ACT Alliance name and/or logo in:

- fundraising for ACT appeals
- relations with back donors concerning ACT alerts, appeals and Sitreps purchasing of commodities under ACT appeals
- reporting to back donors on actions covered by ACT appeals

The funding member furthermore agrees to:

- while maintaining its individual identity, give prominence to the ACT name and/or logo in their external and internal communications and fundraising, whether or not they are involved in the funding or implementation of an ACT alert and/or appeal
- coordinate press/media visits to emergencies covered by ACT appeals with the requesting member(s), forums and the ACT secretariat, as well as sharing the knowledge and products/resources of such trips with those members and the wider alliance through the ACT secretariat
- credit information (text, graphic, pictures, audio or video) deriving from ACT sources to ACT Alliance or the relevant ACT member combination as well as, if stipulated, relevant individuals
- respect copyrights, circulation limitations and stipulated financial implications on any information product circulated through ACT secretariat
- participate actively in exchanging relevant information and information products (articles, graphics, pictures, audio or video) with ACT through the ACT secretariat Communications Department
- participate, when called upon, in developing ACT communications policies and strategies as well as documenting practices in cooperation with the ACT secretariat

ACT Requesting Members

Appeal Planning

In preparing an ACT appeal proposal, the ACT requesting member agrees to:

- communicate as early as possible, and frequently, with the ACT secretariat through the ACT national forum (where one exists) , sharing information on the emergency situation and the planning process
- provide information as detailed in the ACT relevant appeal format, including conduct of an emergency

needs and capacities assessment
- in cases when a disaster affects several countries, an appeal should be issued in general for each country
- request for rapid response assistance or capacity development support as may be needed to facilitate efficient and effective working for the duration of the appeal process

Budgeting

As part of the ACT appeal proposal, the requesting member agrees to provide a detailed and realistic budget complying with the guide for budget preparation (annex 7) and in the format described in the guidelines for the ACT Appeal and RRF (annex 6.3).

Implementation

As part of the implementation of the programme of assistance, requesting member agrees to:
- implement the programme of assistance to the best of its ability, in accordance with the relevant ACT policies and the Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief, and the Humanitarian Charter and Sphere Standards
- adhere to the implementation plan as detailed in the appeal request
- advise the ACT secretariat through the ACT forum (where one exists) of any significant changes to the proposed actions, target groups, methodology or scale of implementation at the earliest possible time. This may need to be agreed with funding members prior to making any significant changes to the planned activities. Such negotiation must be undertaken in consultation with the ACT forum and the ACT secretariat
- demonstrate their efforts at coordination with other ACT members on the ground by actively participating in the ACT forum, displaying a preparedness to network locally, and adhering to the "*ACT Alliance National and Regional Forums Policy and Guidelines" (2010)*
- record statistical information concerning distribution/implementation, and supply this on a regular basis as requested
- where possible and necessary to fulfill donor/back-donor obligations which are not met by the appeal system, undertake independent reporting and monitoring of distribution, but seeking to do so collaboratively with others
- maintain such detailed accounting records as to make adequate financial reporting possible (annex10)
- inform the ACT secretariat when direct funds are received and ensure that the International Coordination Fee is paid to the secretariat
- facilitate the work of an ACT Rapid Support Team (RST), according to the ACT RST Manual, if so requested by the ACT forum and secretariat
- where necessary, send requests for extension/revision of appeals at least two months before the official closure of the appeal in question. In cases where back-donor funding is involved, requests for extension should be submitted three months in advance
- actively participate in any external evaluation of an ACT appeal where the requesting member is a part, in accordance with the *ACT Evaluation Guidelines*
- not to spend unspent appeal balances, without the written consent of the funding member(s) to whom the unspent balance has been attributed to

Reporting Requirements

To fulfill its reporting obligations, the requesting member agrees to:

- adhere to the ACT Appeal Reporting Guidelines (Annex 10) and use them as their framework for reporting on ACT appeal programmes
- send ACT secretariat Sitreps, interim reports, final reports and audit report according to the reporting schedule agreed in the appeal
- adhere to any additional back donor reporting requirements that have been prior agreed between the funding member and requesting member, when the contribution was made
- if requested, provide ACT with: an annual report of its activities, together with its annual audit report. In cases of non-compliance with reporting requirements (narrative, financial, or audit), the member risks not being included in any other appeal

ACT Communications and Visibility

A requesting member agrees to comply with the ACT Co-branding policy and while maintaining its individual identity, to cite and promote the ACT name and logo in it's:

- communications concerning activities covered by ACT appeals including back donor and bilateral contacts inside or outside the ACT Alliance
- office or headquarters
- purchasing of commodities
- contacts with UN/NGO coordinating bodies, other humanitarian agencies and in all media and press contacts

A requesting member further agrees to:

- while maintaining its individual identity, give prominence to the ACT name and/or logo in their external and internal communications and fundraising, and in their implementation activities for instance on buildings, vehicles, staff clothing and relief items
- provide regular, relevant and reliable information for use in communications to church and secular media as well as advise and assist the ACT secretariat efforts at keeping the wider network up to date on implementing partner activities, the situation and condition of impacted populations and the general situation surrounding the relevant emergency
- while taking into account its own resources, assist other ACT member communicators in their information gathering and distribution. This may include (again taking into account requesting partner resources, sufficient warning and prior agreement) working with other forum members to facilitate or assist visits for other ACT member communicators and/or other press/media personnel identified and recommended by the ACT secretariat
- while maintaining its individual identity to give prominence to the ACT name and/or logo when it addresses its constituencies (church or general public) concerning emergencies covered by an ACT alert and/or appeal
- credit information (text, graphic, pictures, audio or video) deriving from ACT sources to ACT Alliance or the relevant ACT member combination as well as, if stipulated, relevant individuals
- respect copyrights, circulation limitations and stipulated financial implications on any information product circulated through ACT Alliance
- participate actively in exchanging relevant information and information products (articles, graphics, pictures, audio or video) with ACT through the ACT communications department at the ACT secretariat.
- participate, when called upon, in developing ACT communications policies, strategies and practices in cooperation with the ACT secretariat

ACT Implementing Members/Partners

Not all ACT members may meet ACT criteria for receiving funds directly from ACT appeals. In some situations ACT members who meet the criteria (requesting members) may use other ACT members or non-ACT members as implementing partners under the supervision and full responsibility of the requesting member. In such cases the ACT requesting member is fully responsible for ensuring that all ACT appeal policies and processes as identified above are adhered to, including those for finance and reporting. ACT implementing members/partners must comply with the ACT Code of Conduct, the ACT Code of Good Practice, the Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief, the Humanitarian Charter and the Sphere Standards.

9.5 Role and Responsibilities of the ACT Secretariat in an ACT Appeal

The ACT secretariat carries particular responsibility for supporting forums, requesting members and funding members in all aspects of ACT appeals including financial and reporting responsibilities.

ACT secretariat responsibilities for alerts

The core responsibilities of the ACT secretariat in the preparation and issuing of alerts are to:

- liaise with members/forums to prepare the alert, follow up if the alert is late, and ensure the alert complies with ACT policy
- research and stay abreast with facts and figures on an emergency before and when the alert is received
- while the forum and members are completing the rapid needs assessment, the ACT secretariat will actively canvass the ACT Alliance and its funding members to gauge funding interest to respond to this emergency, including back donor interest

Issuing the alert

- carry out quality control: proof reading the alert, ensuring that information is sufficient and correct, and in the right format and in line with ACT policy
- approve the alert for posting on the website
- post the alert on the website (generally within 24 hours of the emergency) and external portals
- answer, in close liaison with members/forums, queries and requests received by the secretariat related to the issued alert

ACT secretariat responsibilities for RRFs

The core responsibilities of the ACT secretariat in the preparation and approval of RRFs are to:

- check and confirm the eligibility of ACT members to be part of an RRF
- liaise with members/forums as they work on the RRF application

Issuing the RRF request

- carry out quality control: proof read the RRF application, ensuring that information is sufficient and correct, is in the right format and is in line with ACT policy
- approve and issue the RRF request

- transfer funds to the requesting member
- appraise and issue Sitreps
- review the RRF narrative and financial reports and audit reports
- clear with requesting member unspent balances if any

Every six months the secretariat prepares and disseminates a summary report (narrative and financial) for the ACT Alliance on the use of the RRF funds for the period January – June and July – December of a given year.

ACT secretariat responsibility for preparing and issuing preliminary appeals and appeals

The core responsibilities of the ACT secretariat in the preparation and approval of preliminary appeals and appeals are to:

- check and confirm the eligibility of ACT members to be part of a preliminary appeal and appeal
- evaluate the preliminary appeal and appeal proposal on the basis that it is:
    - timely consistent with an emergency mandate
    - consultative, where necessary making contact with funders, the requesting members and other related organizations and contacts
    - realistic, relevant and within the limit of funding according to the ACT requesting member's previous year's income
- canvass ACT funding members on possible funding interests for the emergency, as a basis for determining the level of the preliminary appeal and the appeal
- handle requests for Rapid Support Team or Revolving Fund assistance

Issuing the preliminary appeal:

- Receive from ACT requesting members their preliminary appeal proposal by day 5 following the (rapid onset) emergency
- ensure quality control of preliminary appeal: appraise, edit as necessary, and finalize the preliminary appeal, according to the prescribed format and ACT policy
- prepare the preliminary appeal executive summary
- assign an appeal number
- approve the preliminary appeal (ACT deputy general secretary)
- disseminate the preliminary appeal to all members of the ACT Alliance, within 7 days of the (rapid onset) emergency
- discuss with UN OCHA in Geneva on possible ACT preliminary appeal link to a UN Flash Appeal

Issuing the appeal:

- Receive from ACT requesting members their appeal proposal by day 25 following the (rapid onset) emergency
- ensure quality control of appeal: appraise, edit as necessary, and finalize the appeal, according to the prescribed format and ACT policy
- prepare the appeal executive summary
- determine budget for an external evaluation, for all appeals over US$ 5,000,000, and coordinate the evaluation
- approve the appeal (ACT deputy general secretary)
- disseminate the appeal to all members of the ACT Alliance, within 30 days of the (rapid onset) emergency

- enter the alerts, appeals and related documents (ACT member reports, sitreps, updates) on the ACT website, in order to reflect the total ACT response to the emergency – both within and outside the appeal

ACT secretariat responsibilities for revised appeals

The core responsibilities of the ACT secretariat in the preparation and approval of revised appeals are to:

- evaluate the requests for extension and revision in terms of consistency with ACT policy
- receive the request from ACT members at least two months before the official closure of the appeal in question. In cases where back-donor funding is involved, requests for extension should be submitted three months in advance
- check and confirm the eligibility of new ACT members not involved in the first appeal, to be part of the revised appeal. Canvass ACT members on possible funding interest for the emergency, as a basis for determining the level of the revised appeal
- prepare ACT secretariat formal letter to share with donors the requests
- share the requests for extension and revision with donors who have funded the appeal and give them at least two weeks to reply or comment on the request
- ensure quality control of revised appeal: appraise, edit as necessary, and finalize the revised appeal
- adjust the budget for an external evaluation, for all appeals over US$ 5,000,000, and coordinating the evaluation
- prepare the revised appeal executive summary
- approve the revised appeal (ACT deputy general secretary)
- enter the revised appeal and related documents (ACT member reports, sitreps, updates) on the ACT website, in order to reflect the total ACT response to the emergency – both within and outside the appeal

ACT secretariat responsibilities for appeal follow-up

The core responsibilities of the ACT secretariat in appeal follow-up are to:

- regularly receive and distribute situation reports (sitreps) using the ACT format
- distribute situational reports (sitreps):
- undertake active fundraising with agency partners in scenarios where support is lacking for a given appeal
- allocate un-earmarked funds according to need
- initiate and coordinate funding members responses, including requests to back-donors
- coordinate variations/revisions to the original appeal as requested by the requesting member(s)/forums

Finance staff will check with the ACT secretariat regional programme officer on a regular basis to verify status of implementation, and to get updated information before transferring/allocating funds to the appeal.

ACT members must account for any unspent balance from appeal implementation. The ACT secretariat programme officer is responsible for following up on the unspent balance, and to update ACT records accordingly.

Where the total funds contributed to a given appeal exceed the appeal target, the ACT secretariat will consult with the member(s) involved and take a decision as to how these funds could best be used. It will not follow automatically that they are sent to the requesting member.

ACT secretariat responsibilities for appeal reporting

The core responsibilities of the ACT secretariat in appeal reporting are to:

- ensure there is a clear agreement about reporting schedules and requirements for each appeal
- receive interim reports and a final report (narrative and financial) and an audit report and management, following the agreed report format and reporting schedule
- review, clarify with member(s) and disseminate the narrative, financial reports, audit report and management letter to donors who have funded the appeal
- inform requesting members of earmarked funds and the reporting criteria for these funds
- check narrative and financial reports against appeal proposal and budget and raise queries as necessary
- check secretariat financial records against those of the requesting member and distribute the reports to donors who have funded the appeal
- provide the alliance with periodic financial updates of funds received and pledged for all active appeals compared with appeal targets
- provide requesting members and funding members with details of funds received and funds pledged for a specific appeal. These details will be provided promptly so that the requesting member is aware of funding levels and can plan its implementation programme accordingly and for the funding member to track their contributions and make resource allocation decisions
- be available to the requesting member and funding member for consultation when necessary
- provide audited ACT secretariat financial statements and a management letter on an annual basis from an accredited auditor using accepted international standards

ACT secretariat responsibilities for appeal closure

For a formal closure of an appeal, the secretariat must check that at least four conditions are met: (i) the balance of funds is settled, (ii) the narrative, financial and audit report and management letter have been received, checked and disseminated by the secretariat, (iii) the requesting member has satisfactorily answered any queries raised by all stakeholders and (iv) the final report of external evaluation (if applicable) has been disseminated.

1) The balance of funds is settled

The requesting member (with the assistance of the secretariat) needs to determine to which funding member(s) any unspent balance belongs to, according to the FIFO principle. Once determined and after having consulted the requesting member, the ACT secretariat contacts the funding member to request a directive for the utilization of the unspent funds.

This directive may include:

- carrying forward the balance to a new appeal implemented by the same requesting member
- carrying forward the balance to a bilateral project implemented by the same requesting member. If this option is opted for, it becomes a bilateral arrangement where the requesting member reports directly and not via the ACT secretariat to the funding member on the utilization of funds
- the requesting member to return the balance to the ACT secretariat, so that it be used for another active appeal or the RRF
- the requesting member to return the balance to the funding member

The requesting member must ensure that any unspent balance is utilized, only once written approval has been received from the funding member(s). For amounts below 5,000 USD, the Secretariat will approve its allocation based on the proposal made by the requesting member for the utilization of the unspent balance.

2) The narrative, financial and audit report and management letter have been received, checked and disseminated by the secretariat to donors who have funded the appeal

The ACT secretariat will check all reports as per the ACT secretariat responsibilities mentioned above and will add its observation, when circulating the reports to the funding members.

3) The requesting member has satisfactorily answered any queries raised by all stakeholders

4) The final report of external evaluation (if applicable) has been disseminated

An official letter will be sent to the funding and requesting members with a summary of the implementation of the appeal containing the following elements:

- appeal name and number
- ACT forum and requesting members
- member who has submitted the report
- implementation period
- reporting deadline
- appeal target $
- received total (and in %)
- breakdown of contribution
- activities:
    - What was planned?
    - What was prioritized?
    - What was achieved?
- balance of funds and how it was dealt

ANNEXES: ACT ALLIANCE RESPONSE TO AN EMERGENCY

1 ACT Alert
   1.1 ACT Alert –format

2 ACT Rapid Support Team (RST)

3 ACT Rapid Response Fund (RRF)
   3.1 Rapid Response Fund – format

4 ACT Revolving Fund

5 ACT Preliminary Appeal – guidelines, format and explanatory notes
   5.1 ACT Preliminary Appeal format

6 ACT Appeal – guidelines, format and explanatory notes
   6.1 ACT Appeal format
   6.2 ACT Appeal explanatory notes
   6.3 ACT Appeal and RRF budget format
   6.4 ACT Appeal log frame

7 Budget preparation guide for ACT Appeals and RRFs
   7.1 Sectors in ACT appeal budgeting procedures
   7.2 Procedures for implementing the International Coordination Fee
   7.3 First in first out principle (FIFO)

8 ACT Situation Report (SitRep) Format

9 ACT guidelines for extensions and revisions of appeals

10 ACT appeal and RRF reporting guidelines
   10.1 ACT appeal and RRF financial report format

11 ACT Monitoring and evaluation guidelines

12 ACT Communications in emergency guidelines

13 ACT pre- emergency checklists

ACT ALERT ANNEX 1

1. PURPOSES

An Alert is the first "official communication" in the ACT Alliance response to an emergency, following initial actions taken by the ACT forum and ACT members in the emergency-affected country. The purposes of an Alert are to:

- provide immediate notification to the ACT secretariat and the ACT Alliance that an emergency has occurred (or is about to occur, as applicable), to which ACT proposes to respond;
- provide initial indications of ACT forum and ACT member plans (activities, locations, target populations, funds available and funds required);
- indicate if an ACT forum or member (or members) envisages an internationally-coordinated response to an emergency, which may require resources from either the Rapid Response Fund (RRF) or the appeal process, or from funding sources outside the appeal mechanism; and
- enable communicators across the alliance, whether in the affected countries, secretariat or donor countries, to plan their communication strategy for this emergency.

2. POLICY AND PROCEDURES

- **Alerts will be issued for all emergencies for which an ACT Alliance response is envisaged**
  This includes emergencies that will need international response as well as when member(s) are planning a local emergency response using their own capacity and resources. Alerts will not be issued when an ACT member (or members) are not responding or planning to respond, even though an emergency may have taken place in the country.

- The ACT member(s) in the affected country should send an Alert to the ACT secretariat, which in turn will distribute it to the alliance (i.e. all ACT Alliance members, the governing board, executive committee and the Rapid Support Team (RST) roster) and external partners, and will post it on the ACT website and external web portals. It is created by a forum or ACT members and issued by the secretariat. The Alert should be sent collectively from all members through the ACT forum, or by ACT members in countries where no forum exists.

  The Alert should be sent preferably by e-mail or by phone, using a satellite phone if land lines have been damaged. The ACT secretariat will issue the Alert immediately.

- All ACT Alerts should follow the ACT Alliance Alert – standard format (Annex 1.1)

ACT ALERT – FORMAT — ANNEX 1.1

An Alert should be sent to the ACT secretariat within 24 hours following the emergency (or prior to an emergency). Each section should be brief, concise and factual. It should contain only information that is verified and indicate the source of that information (e.g., government, UN, other non-governmental organizations, a news service, or an ACT member).

The Alert should be strictly no more than one page.

Brief description of the emergency and impact (if already having occurred): describe the type of emergency, how, where and when the emergency occurred, the geographical area affected, and extent of the destruction, both human and material/infrastructural. If known, indicate the approximate number of persons affected (men, women, boys, girls), and protection and security issues.

Why is an ACT response needed: explain why a response is required and how it will save lives.

National and international response: summarize the extent to which national and local structures/resources have responded, and are sufficient to deal with the emergency. State briefly the extent to which international agencies (UN, NGO) are present and have responded, or are planning a response.

ACT Alliance response: describe briefly assistance given to date to those affected by all ACT members (including whether assistance is being coordinated through the ACT forum in the country).

Planned activities: based on your initial rapid emergency assessment, state, very briefly, ACT's planned responses– activities, locations, number of target population, and initial indications of funds available and funds required. If known, state whether a request for Rapid Response Fund or appeal funding will be forthcoming, or if response is planned outside the ACT appeal mechanism.

Constraints: what are the main constraints to an effective response? (e.g., logistics, security, political interference, lack of skilled personnel, resource constraints).

Forum/Member (where no forum exists) contact information with phone numbers and Email address
Communications contact information with phone numbers and Email address

ACT RAPID SUPPORT TEAM (RST) ANNEX 2

The purpose of the ACT Alliance Rapid Support Team (RST) is to support and assist forums and members of the alliance, along with the ACT secretariat, in implementing a rapid, timely, gender-sensitive and effective emergency response in the initial weeks following an emergency.

The RST is one of the rapid response mechanisms available to forums and members, and is coordinated and administered by the ACT secretariat.

ACT RSTs are intended to be for short-term duration to deal with the immediate emergency response, from one week up to three months maximum. In exceptional cases and especially in complex emergencies and mega disasters, if technical expertise is required it can be extended for longer period.

It is expected that an RST deployment will enable ACT forums and members in the emergency-affected country to gain new strengths and improved capacities as a result of its own efforts and with the support provided by an RST.

Criteria and parameters for use

- The ACT RST shall not be operational, but will rather be deployed as a support to the ACT Alliance forums and members implementing the emergency response. The RST serves as an extension of the ACT secretariat. RSTs must not displace local member initiative, competence or capacity in the emergency response and ownership of the response.

- In principle, ACT RSTs for the most part shall be authorised following a request made by the forum/member(s) (where no forum exists) in the country affected by the emergency.

- The ACT Alliance secretariat through a decision made by the general secretary and /or deputy general secretary may also initiate the idea of, and take a decision on an ACT RST through direct contact (and in close consultation) with the forum/member(s) – e.g., if an ACT forum has limited capacity for large-scale emergencies, and/or in cases where it is felt that augmented professional expertise from the alliance may be required.

- If an ACT forum exists in the country, the RST request should be endorsed and sent by the forum collectively. If a forum does not exist, the request should be endorsed by all members engaged in the emergency response.

- The RST request shall be made as soon as:
    - the forum/members recognise that their present capacity requires augmentation in specific areas to deal effectively with the emergency; and
    - the forum/members agree that an RST can provide that expertise through rapid deployment.

- Ideally an RST should be requested on day 1 or 2 following a rapid onset emergency and an indication can already be made in the ACT alert that will be sent to the ACT secretariat. In cases of slow onset or complex humanitarian emergencies, an RST should be requested as soon as the forum/members recognize the need for RST expertise to help them more effectively plan and conduct the emergency response. The RST request, if accepted, will be authorised by the ACT secretariat on the day the request is received for rapid onset emergencies, or as soon as possible thereafter.

Roles and responsibilities of RST roster members

The ACT secretariat shall develop standard Terms of Reference (ToR) for each RST roster category; and update them to be relevant to a specific roster category. Specific ToRs and Key Result Areas (KRAs) for each deployment will be developed in consultation with the requesting members. The specific tasks of an RST mission will depend on the character of the emergency, and the needs relating to the response of the ACT forums.

The final terms of reference and actions of the RST shall emphasise the following:

- Ownership of the response by the forum and requesting members and building on local knowledge.
- Compliance with ACT Alliance policies and guidelines. Compliance with and promotion of humanitarian principles.
- Promotion of gender equality and gender mainstreaming, in recognizing the different needs, capacities and contributions of women, men, girls and boys.
- Promotion of common approaches among members to information-exchange, coordination and implementation, with essential role played by the ACT forum.
- Psychosocial and participatory approaches with affected women and men, girls and boys in the affected populations.
- Cultural awareness and sensitivity.
- Team building with ACT forum/members.
- Catalyst and facilitator role in supporting work of ACT forum/members.
- Accountability to members and to affected women and men in the population.
- Do no harm approach.

The specific role(s) of RST roster members in an emergency shall be informed by the realities of the humanitarian response and the needs of the requesting members, to include:

a) **Emergency assessment**: Assist ACT forum/members in their rapid and detailed emergency assessments, leading to the preparation of operational plans and budgets by the forum/members (comprising the emergency response, exit strategies, and transition to recovery and development). Encourage joint assessment, including establishment of common criteria for selection of affected populations and for intervention.

b) **Information dissemination**: Assist in providing updated information on the emergency situation as rapidly as possible. This will equally support rapid donor mobilisation of resources.

c) **ACT appeal:** Assist ACT forum/members in preparing an ACT preliminary appeal/appeal proposal.

d) **Capacity**: Assess with ACT forum/members their overall capacity to respond to the specific emergency, and propose strategies to fill gaps and strengthen the response as applicable. In addition, assess with

forums/members their specific capacity to carry out a gender assessment and to mainstream gender thoroughly in the emergency response.

e) **Internal coordination**: Assess with ACT forum/members extent of coordination in the country (among members in the country and members which may be arriving in the country), including sectoral and geographical division of roles and responsibilities. As applicable, facilitate and support improved, sustainable ACT coordination mechanisms.

f) **External coordination**: Promote coordination between ACT forum/members and other national and international NGOs, the United Nations and national and local authorities. Strengthen any coordination capacity gaps.

g) **Donor liaison**: Assist ACT forum/members in liaising with field-based donors (such as ECHO, USAID, DfiD and other funding agencies and interested governmental delegations) on possible funding support.

h) **Operational implementation**: Assist ACT forum/members in effective joint emergency implementation ensuring that the needs of vulnerable and marginalised people are adequately addressed. Encourage efficient use of all ACT resources and promote joint procurement where possible.

i) **Security**: Review with ACT forum/members their security plans, and suggest common security procedures linked to UN and inter-agency in-country security plans.

j) **Communications**: Augment, as appropriate, the local communication capacity of ACT forum and members by providing liaison assistance with national and international media. Support facilitation of prompt information flow related to public awareness and fund raising for the emergency.

k) **Emergency-related visibility:** Develop with ACT forum/members initiatives to increase the visibility of ACT's work in-country and abroad.

l) **Internal systems:** Assist ACT forum and members in improving communications, financial systems, programme monitoring and reporting, including establishment of common frameworks and tools in accordance with ACT policies and guidelines.

m) **Specialized technical expertise**: As appropriate, provide technical expertise to members implementing the emergency operation.

Authorization and deployment

The following are key steps for authorization and deployment of an ACT RST:

Days 1-2:

- Immediately following the emergency, the ACT forum/member(s) shall submit an alert to the ACT secretariat as per the ACT Alliance policy for alerts. If already known at the time the alert is sent to the secretariat, the need for an RST shall be indicated in the alert.

- If augmented expertise is required such as would be provided by an RST, the forum/member(s) in the emergency-affected country should make a request to the ACT secretariat. The request for the RST should be sent by e-mail together with a filled in RST request form to the ACT Alliance regional programme officer responsible for the country in which the emergency has happened.

Days 1-3:

- When a request is received by the ACT secretariat it will be reviewed by the regional programme officer responsible for the country/region and the RST focal person at the secretariat. Where the RST request is for a specialised category such as communications or finance, the review of the request will include staff from those respective units of the secretariat.

- Once an RST request has been approved the organisation administering the roster shall be informed immediately who shall immediately check availability with roster members and communicate to the secretariat. When selection is finalised confirmation with selected roster members is done.

- For every deployment, the secretariat shall ensure that proper contracts have been signed and procedures are followed as outlined in the ACT RST manual.[11]

- The composition of an RST shall be tailored to meet the specific needs of the emergency situation. In principle, the team composition will always be gender and regionally balanced with at least one team member ideally coming from an ACT member organisation in the region. At least one team member should know how to conduct gender analysis and gender-sensitive emergency programming.

Days 3-30 (or less):

- Administrative preparations should be addressed as a matter of urgency (including visa, transport, and security arrangements) and the RST mission deployed as soon as possible after the initial request is received.

- In the course of the mission the ToRs for the RST may be modified with agreement on the part of the ACT forum/members in the emergency-affected country, the RST team, and the ACT secretariat, following mutual agreement by all parties.

- A pre-departure briefing for all RST roster members should be organised by the ACT secretariat which will include the requesting forum/member representatives. A copy of a standard pre-departure briefing is

[11] http://www.actalliance.org/resources/policies-and-guidelines/act-response-mechanisms/requesting-rapid-support-team-assistance/RSTManual-30June09.pdf

accessible through the RST manual. Depending on the nature of the emergency and cost considerations, the general secretary and/or deputy general secretary will make a decision of whether the person to be deployed should pass through the ACT secretariat for a thorough briefing or not.

- The ACT secretariat shall support the requesting forum/members to write clear terms of reference for any request made; and will facilitate that for every RST mission there will be clear terms of reference.

Day 37 (or less):

- Within one week of the completion of the RST mission, the person to be deployed shall submit his/her final report to the ACT secretariat. A debriefing shall follow including all the necessary procedures to be completed as spelt out in the RST manual.

- Upon completion of a mission, debriefing with all RST persons will be arranged to ensure organisational learning from the experiences with RST missions. A standard agenda for an RST debriefing will be used (as contained in the ACT RST manual).

- At the end of ACT RST deployment, the line manager of each ACT RST person shall complete an appraisal and clearance form to be submitted to the ACT secretariat.

RST Categories

- Coordinator
- Program support
- Finance
- Communications
- Logistic
- Psychosocial
- Security
- Protection

ACT RAPID RESPONSE FUND (RRF) ANNEX 3

The RRF is a global fund of the ACT Alliance administered by the ACT secretariat. Funds for the RRF are provided by ACT Alliance members on the basis of an annual appeal.

The purpose of the RRF is to provide one-time financial resources to a member or members of the ACT Alliance in the first days following a **small-medium scale emergency**. The resources are to be used to facilitate the member(s)' immediate emergency response in saving lives, over a time period generally not to exceed three months. The response will be gender-sensitive. The emergency could be of a rapid onset nature (e.g., earthquake or flood) or of a complex humanitarian character (e.g. refugee or internal displacement situation, resulting from breakdown of social, political and economic systems). On an exceptional basis, RRF funding can be requested to respond to a slow-onset emergency.

CRITERIA AND PROCEDURES

- The RRF must be channelled towards life-saving actions related to the emergency (e.g., food, nutrition, health, water/sanitation, clothing, shelter, household kits, psychosocial activities, and necessary transport/logistics, staff and support costs).
- RRF activities must be completed within three months.
- RRF requests must be made in accordance with ACT Alliance policies and principles.
- The RRF request should be submitted within two days of the occurrence of the emergency, and will be approved within 24 hours of receipt by the ACT secretariat.
- RRFs will be used in small-medium scale emergencies, where a one-time transfer of RRF funds combined with locally available resources will be sufficient to meet the needs of that emergency. An RRF is usually not followed by an appeal proposal.
- In cases where the RRF leads to an appeal (e.g., if the magnitude of the emergency is greater than originally thought), then the initial RRF funding will be treated as a funding advance. This means that once funds for the appeal are received, the ACT secretariat replenishes the advance from Appeal funds until the full amount has been recovered.
- RRF funds may be used to cover the cost of replenishment of a member's in-country stocks which were used in the emergency response.
- Only one RRF per emergency will be issued. Accordingly, when there is more than one ACT Alliance member in the country, there should be consultation within the forum/among members prior to the RRF submission being sent to the ACT secretariat.
- The RRF request should be sent by the forum or endorsed by all ACT members in a country where no forum exists.

WHO MAY REQUEST RRF FUNDING?

Any ACT Alliance member from the global south and The Lutheran World Federation

- which is planning to implement an emergency response in the affected country
- which has signed the Membership Cooperation Agreement and is in good standing (e.g., positive compliance with reporting requirements from previous ACT emergency response), and
- which requires additional financial resources for the emergency response.

FUNDING

- The maximum RRF per emergency will be US$ 60,000.
- In emergencies where needs may be greater, where there are several members implementing emergency response activities and/or where US$ 60,000 may not suffice to carry out effective initial response, a higher amount may be proposed and authorized as an RRF to a limit of US$ 100,000, at the discretion and on the exceptional approval of the ACT Alliance general secretary.
- **Any unspent balance from the RRF implementation must be returned to the ACT secretariat.**
- Funds available to the ACT secretariat to administer the RRF are limited. Utmost care, coordination and consultation will be checked by ACT secretariat staff with forums/members requesting the RRF to ensure the wisest utilization of these funds.
- The ACT secretariat encourages, and welcomes, contributions from interested members towards a specific emergency and specific RRF (in addition to members' annual contributions to the global RRF fund), in order to maintain sufficient funds in the global RRF fund.

Please note that an RRF proposal requires in general the same format and Excel budget format as do appeals (Annexes 3.1 and 6.3).

SEQUENCE OF ACTIONS FOR RRF SUBMISSION, APPROVAL, IMPLEMENTATION/ REPORTING

Days 1-2

- Immediately following the emergency, the ACT forum/member(s) should submit an ACT Alliance Alert to the ACT secretariat (Annex 1)
- A Rapid Emergency Assessment should be carried out (ACT Emergency Assessment Checklist: http://www.actalliance.org/resources/policies-and-guidelines/act-response-mechanisms/emergency-assessment). Results of this assessment will be the basis for an RRF, or Preliminary Appeal proposal.

Day 2

- Should the forum/member(s) agree that an RRF is necessary; it must prepare and submit an RRF proposal following the ACT RRF format and Excel budget format (Annex 3.1, 6.3).
- The proposal should be sent by e-mail to the ACT Alliance programme officer responsible for the country in which the emergency has taken place.

Day 3

- The proposal will be reviewed by the programme officer, who will give his/her recommendation to the ACT Alliance deputy general secretary.
- Approval is granted by the deputy general secretary, taking into account the pertinence and quality of the proposal and the availability of funds in the RRF.

- Funds are transferred from the ACT secretariat to the requesting member(s).

Days 7-90

- The requesting member(s) receiving RRF funding implement emergency activities, generally limited to three months duration.
- The requesting member(s) send a situation report (sitrep) at the frequency agreed upon with ACT Secretariat.

REPORTING BY REQUESTING MEMBER(S)

- At the end of the first month following the emergency, the forum/requesting member(s) will submit a situation report (sitrep) to the ACT secretariat, using the ACT sitrep format (Annex 8). Forum/members are encouraged to accompany the sitrep with photos and human interest stories.
- A final report (narrative and financial) will be prepared by the requesting member(s) and submitted to the ACT secretariat within 60 days of completion of RRF activities, following the ACT appeal and RRF reporting guidelines (see Annex 10) and ACT appeal and RRF financial report format (see annex 10.1).
- Expenditure will be reported against the original budget headings. The US$ equivalent MUST be shown alongside with local currency reporting as was done in the budget.
- An audit report is required by the ACT secretariat if one member receives US$ 50,000 or more for an RRF. The audit report should be submitted within 90 days of completion of RRF activities.
- If a member receives less than US$ 50,000, an audit report does not need to be submitted to the ACT secretariat. However, the member must include the RRF funds in the annual audit of the member organization. Income and expenditure incurred on the RRF should be clearly distinguished and identifiable from the annual audit report. While ACT will not be requesting these audit reports on a regular basis, the member must be able to produce the annual audit report upon request by the ACT secretariat.
- In cases where the RRF leads to an appeal (e.g. if the magnitude of the emergency is greater than originally foreseen by the ACT forum/members), the RRF will be understood to be an advance and will be reimbursed to the global RRF fund from the appeal funds.

REPORTING BY THE ACT SECRETARIAT

- The ACT secretariat will prepare and disseminate a summary report (narrative and financial) to the alliance on the use of RRF funds for the period January-June and July-December of a given year.
- The ACT secretariat annual audit report will include the RRF. The annual audit report will be disseminated to all members within six months of the completion of the year.
- In the case that funds were contributed by a member towards a specific RRF project, final financial and narrative reports (including audited financial statements where applicable) that are received from the requesting member(s), will be shared with the ACT funding member.

RAPID RESPONSE FUND PROPOSAL – FORMAT ANNEX 3.1

The Rapid Response Fund proposal will be a total of 7 pages (maximum). It should be submitted in English, following the RRF narrative and financial formats below.

I. MEMBER/FORUM CONTACT INFORMATION

Requesting ACT forum/member(s):

Contact person:

Address:

Telephone number:

Email address:

FAX number:

Bank details

Name of beneficiary:

Name of bank:

Address of bank:

Account no.:

Swift code:

Amount requested (US$):

Date:

II. NARRATIVE SUMMARY (TO BE COMPLETED IN MICROSOFT WORD – (Six pages maximum)

DETAILS OF THE EMERGENCY

Provide information on type and date. Specify geographical areas affected. Include statistics on impact on human lives and damage. Where possible, estimate total number of persons (men, women, boys, girls) affected, and extent of gender- and age-specific impact.

ACTIONS TO DATE, AND EMERGENCY NEEDS

Indicate actions taken by member(s) and forum, including preliminary results of Rapid Needs Assessment and a summary of overall emergency needs. Indicate whether locally available stocks of materials have been distributed. Describe how the actions taken respond to different gender needs.

PROPOSED EMERGENCY RESPONSE

OVERALL GOAL: state the overall goal of the emergency response, if there are more than one ACT member involved.

OBJECTIVE(S) OF THE EMERGENCY RESPONSE: state the objectives of the emergency response, by ACT member.

PROPOSED ASSISTANCE: for each objective please state the proposed activity. Summarize proposed activities, by sector. Identify outputs necessary to achieve the objective(s), and specify indicators to measure outputs. The proposed assistance must be gender-sensitive and the outputs planned in a gender-specific manner.

TARGET POPULATIONS: give approximate number and short description, where possible, by age and sex (sex ratio M-F, % under 5, % 6-17, % 18-65, % over 65), plus information on location. Indicate specific protection, security, vulnerability and gender concerns. Please indicate how the target populations and communities have been included in the design of the project, and how they will be involved in its implementation.

IMPLEMENTATION ARRANGEMENTS: specify which members(s) or other agencies will carry out the emergency response, and whether a local Memorandum of Understanding/Cooperation Agreement is in place with non-member agencies.

COORDINATION: state how coordination, including visibility in the country, will be effected (among members, through a forum, and with other agencies), and how ACT members intend to fit into the country-wide inter-agency response and the UN cluster system.

COMMUNICATIONS: what communication activities are planned? Is a communicator in place to assist members/forum with communications and media activities? Is there a communications strategy in place?

PRINCIPLES AND STANDARDS: state how you will ensure that ACT policies and codes of conduct (including Sphere and the Red Cross Code of Conduct) will be adhered to. Do you see any major constraints to any elements of the Code of Conduct?

PLANNED IMPLEMENTATION PERIOD: indicate planned duration of activities using RRF funds (maximum period is generally three months).

HUMAN RESOURCES AND ADMINISTRATION OF FUNDS: describe in brief your structure and procedures as they relate to the administration of the projects – e.g. procedures how to deal with RRF funds, how money is dispensed and system in place for transfer of funds (e.g. HQ to the field), purchase procedures, etc.

MONITORING AND EVALUATION: state how monitoring will be conducted, who will undertake key monitoring roles and when. This should be in accordance with monitoring and evaluation guidelines and policies.

III. FINANCIAL SUMMARY/BUDGET (one page)

There are two possibilities in which the expenditure budget may be presented for funding: one in which the budget is expressed in both the local and US dollar (US$) currencies and the other where only the US$ is used.

In a situation where purchases and all payments are made in the local currency only, the requesting member must prepare and present a budget in both currencies. The member would then have to find the rate of exchange of the local currency to 1 US$ that is in place **at the time** of the budget preparation; where the organisation has a policy on exchange rate in place, this will be the rate that is used by the organisation at that time. Should the organisation not have an exchange rate policy in place, then the rate may either be taken from the internet or from the member's own bank. The exchange rate used should be clearly given in the line provided for this; the reader of the budget will not have to guess what rate was used.

Using the local currency will make it easier for members to monitor expenses against approved budget and availability of funds. It will also assist both the member and the ACT secretariat to isolate the exchange rate effect in the US dollar figures.

In some cases, members are able to do local purchases and all payments in the US$ currency. In those cases only, the budget should be prepared and presented in the US$ currency only.

The budget SHOULD match the planned activities as expressed in the narrative side of the proposal, that is, expense budget headings should be in line with the activity lines indicated in the narrative.

Indirect support costs: The budget can provide for indirect support cost. These are costs which are not related directly to assistance that is being provided to affected communities. These expenses relate to the indirect support service essential to the effective running of the programme. In this respect, expenses are shared among several projects. Indirect support cost should be specified in detail and should be restricted to a maximum of 5% of the budget.

BUDGET

The budget should be prepared in Excel according to the ACT appeal and RRF budget format (See Annex 6.3). Also refer to Budget preparation guide for ACT appeals and RRFs (See Annex 7).

ACT REVOLVING FUND — ANNEX 4

The purpose of the ACT Alliance Revolving Fund is to make immediate funding available to ACT Alliance forums and members in the early stages of a medium- to large-scale emergency operation.

The use of the revolving fund is:

- directly connected to the appeal process;
- intended to respond quickly to members' financial requests made in conjunction with the preliminary appeal;
- established to allow a funding advance of up to US$ 100,000, or higher on an exceptional and case-by-case basis, depending on the level of the revolving fund (exceptionally authorized by the ACT general secretary).

The revolving fund can be used only:

- after firm pledges are received or in cases of high profile emergencies where there is a strong indication that funding will be forthcoming
- Once the preliminary appeal is issued by the secretariat or if it is clear that a preliminary appeal will be issued.

There is no form to be filled to request revolving fund. The request can be incorporated in the preliminary appeal proposal or if not requested in the form of an email.

The fund is premised on a "revolving" concept, meaning that the requesting member will replenish the revolving fund once appeal contributions are received, in order to maintain it at a constant level.

ACT PRELIMINARY APPEAL – GUIDELINES, FORMAT AND EXPLANATORY NOTES

ANNEX 5

INTRODUCTION

The total ACT response to a medium- to large-scale emergency will likely include an ACT Preliminary Appeal (issued no later than after 7 days) followed by an appeal (issued no later than after 30 days). Appeals are issued as a means to mobilize financial resources for ACT members implementing the emergency response, and contain essential information on the type of response to be implemented. Other ACT members which have secured adequate resources to respond to the emergency through other contributions or pledges may not need to be included in the appeal. Nonetheless, they will work collaboratively within the forums in the overall emergency response, and their plans will be reflected in the appeal documents in order to reflect the totality of ACT plans.

See the **ACT Preliminary Appeal format: Annex 5.1**.
See the **ACT Appeal guidelines, format and explanatory notes: Annex 6**

GUIDELINES

TYPE AND SCALE OF EMERGENCY

An ACT preliminary appeal may be issued in response to any type of emergency – natural disaster, complex emergency, protracted emergency, or forgotten emergency. The scale of emergency for an Appeal may be either medium-, large- or mega-scale; small-scale emergencies generally fit within a Rapid Response Fund (RRF) response.

THE PRELIMINARY APPEAL AND THE TOTAL ACT RESPONSE TO AN EMERGENCY

ACT appeal documents are designed to reflect the total activities of ACT members in responding to a particular emergency, and not only activities within the Appeals. Both the preliminary appeal and appeal formats include information regarding the proposed emergency response of ACT members outside the appeal, in order that the comprehensive ACT response is reflected.

CONTENTS OF A PRELIMINARY APPEAL

The preliminary appeal will be a total of 10 pages (maximum):

- Executive summary – maximum two pages (to be completed by the secretariat)
- Narrative summary – maximum six pages
- Financial summary/budget – one/ two pages
- Appendix 1: map – one page
- Appendix 2: Bank details of each requesting member and contact details (name, address, telephone and fax number and email address(s) of each requesting member

The format for the preliminary appeal is in general the same as the format for a Rapid Response Fund Proposal. The main difference is the addition in the preliminary appeal of an executive summary which is to be completed by the secretariat.

While the preliminary appeal will focus on the ACT members' response to the specific emergency, plans for post-emergency linkage to recovery and sustainability should also be considered. Elements of disaster risk reduction may also be included.

FORUM COLLABORATION

The preliminary appeal should be completed by the ACT forum, or, if there is no forum, jointly by the requesting members. The ACT forum coordinator or a designated focal point is responsible for gathering all the individual member proposals and sending the entire consolidated proposal to the ACT secretariat, on behalf of all the requesting members.

PRELIMINARY APPEAL PREPARATION

Proposals will be prepared in Word (narrative – Annex 5.1) and Excel (budget- Annex 6.3).

LANGUAGE REQUIREMENT

The preliminary appeal proposal must be submitted to the ACT secretariat in English. Translation costs incurred by the member can be included in the Preliminary Appeal budget. The final document will be issued by the ACT secretariat in English only.

SIGN OFF

The preliminary appeal must be signed off by the senior management of each requesting member.

MODE OF SUBMISSION

The preliminary appeal should be sent by the ACT forum coordinator or a designated focal point to the ACT secretariat programme officer responsible for the region/country which is the focus of the emergency response.

ISSUING THE PRELIMINARY APPEAL

The preliminary appeal will be issued by the ACT secretariat **within 7 days** of the occurrence of the emergency. The preliminary appeal draft should reach the ACT secretariat **by day 5 following the emergency,** in order to be issued by the secretariat by day 7.

SUBSEQUENT ACT APPEAL

A following ACT appeal (Annex 6) is to be sent to the ACT secretariat within 25 days of the emergency, in order to be issued by the secretariat by day 30.

ACT PRELIMINARY APPEAL – FORMAT — ANNEX 5.1

I. EXCUTIVE SUMMARY

Maximum of two pages – to be completed by ACT secretariat

TITLE: include type of emergency and country/location
ACT APPEAL NUMBER:
PRELIMINARY APPEAL AMOUNT REQUESTED (US$):
DATE OF ISSUANCE:
NAMES OF ACT FORUM AND REQUESTING MEMBERS:

THE CRISIS

PRIORITY NEEDS

PROPOSED EMERGENCY RESPONSE

- by ACT members within the Preliminary Appeal:
- by ACT members outside the Preliminary Appeal:

KEY PARAMETERS:	
Planned duration:	
	ACT Preliminary Appeal
Geographic areas of response	
Sectors of response	
Projected target population	
Financial requirements	

TABLE 1: SUMMARY OF PRELIMINARY APPEAL REQUIREMENTS BY ACT MEMBER AND SECTOR:

ACT Member	Sector of response	Total requirements US$	Less pledges/contributions US$	Balance of requirements US$

1. How much money has been secured for the ACT preliminary appeal (total of: firm pledges received, money received and other contributions)?
2. How much money has been secured outside of the ACT preliminary appeal (total of: firm pledges received, money received and other contributions)?

TABLE 2: REPORTING SCHEDULE

Type of Report	Date due
Situation reports	To be agreed with ACT Secretariat, for each response
Interim narrative and financial report	
Final narrative and financial report	
Audit report and management letter	

Please kindly send your contributions to either of the following ACT bank accounts:

US dollar
Account Number - 240-432629.60A
IBAN No: CH46 0024 0240 4326 2960A

Euro
Euro Bank Account Number - 240-432629.50Z
IBAN No: CH84 0024 0240 4326 2950Z

Account Name: ACT Alliance
UBS AG
8, rue du Rhône
P.O. Box 2600
1211 Geneva 4, SWITZERLAND
Swift address: UBSWCHZH80A

Please also inform the Chief Finance Officer (name and email) and the Regional Programme Officer, (name and email) of all pledges/contributions and transfers, including funds sent direct to the implementers.

We would appreciate being informed of any intent to submit applications for EU, USAID and/or other back donor funding and the subsequent results. We thank you in advance for your kind cooperation.

For further information please contact:

ACT Regional Programme Officer, (name, email and phone number) or
ACT Deputy General Secretary, (name, email and phone number).

II. NARRATIVE SUMMARY (TO BE COMPLETED IN MICROSOFT WORD – Maximum 6 pages)

DETAILS OF THE EMERGENCY
Provide information on type and date. Specify geographical areas affected. Include statistics on impact on human lives and damage where possible. Estimate total number of persons (men, women, boys, girls) affected, and extent of gender- and age-specific impact.

ACTIONS TO DATE, AND EMERGENCY NEEDS
Indicate actions taken by member(s) and forum, including preliminary results of Rapid Needs Assessment (Annex 13) and a summary of overall emergency needs. Indicate whether locally available stocks of materials have been distributed. Describe how the actions taken respond to different gender needs.

PROPOSED EMERGENCY RESPONSE

OVERALL GOAL: state the overall goal of the emergency response, if there is more than one ACT member involved.

OBJECTIVE(S) OF THE EMERGENCY RESPONSE: state the objectives of the emergency response, by ACT member.

PROPOSED ASSISTANCE: for each objective please state the proposed activity. Summarize proposed activities, by sector. Identify outputs necessary to achieve the objective(s), and specify indicators to measure outputs. The proposed assistance must be gender-sensitive and the outputs planned in a gender-specific manner.

TARGET POPULATIONS: give approximate number and short description, where possible, by age and sex (sex ratio M-F, % under 5, % 6-17, % 18-65, % over 65), plus information on location. Indicate specific protection, security, vulnerability and gender concerns. Please indicate how the target populations and communities have been included in the design of the project, and how they will be involved in its implementation.

IMPLEMENTATION ARRANGEMENTS: specify which members(s) or other agencies will carry out the emergency response, and whether a local Memorandum of Understanding/Cooperation Agreement is in place with non-member agencies.

COORDINATION: state how coordination, including visibility in the country, will be effected (among members, through a forum, and with other agencies), and how ACT members intend to fit into the country-wide inter-agency response and the UN cluster system.

COMMUNICATIONS: what communication activities are planned? Is a communicator in place to assist members/forum with communications and media activities? Is there a communications strategy in place?

PRINCIPLES AND STANDARDS: state how you will ensure that ACT policies and codes of conduct (including Sphere and the Red Cross Code of Conduct) will be adhered to. Do you see any major constraints to any elements of the Code of Conduct?

PLANNED IMPLEMENTATION PERIOD: indicate planned duration of activities: number of months and dates.

HUMAN RESOURCES AND ADMINISTRATION OF FUNDS: describe in brief your structure and procedures as they relate to the administration of the projects – e.g. procedures how to deal with appeal funds, how money is dispensed and system in place for transfer of funds (e.g. HQ to the field), purchase procedures, etc. Note: A separate bank account is recommended to administer ACT appeal funds.

MONITORING AND EVALUATION: state who will carry out the monitoring and when.

III. FINANCIAL SUMMARY/BUDGET (one page)

There are two possibilities in which the expenditure budget may be presented for funding: one in which the budget is expressed in both the local and US dollar (US$) currencies and the second where only the US$ has been used.

In a situation where purchases and all payments are made in the local currency only, the requesting member **must** prepare and present a budget in both currencies. The member would then have to find the rate of exchange of the local currency to 1 US$ that is in place **at the time** of the budget preparation. Where the organisation has a policy on exchange rate in place, this will be the rate that is used by the organisation at that time. Should the organisation not have an exchange rate policy in place, then the rate may either be taken from the internet or from the member's own bank. The exchange rate used should be clearly given in the line provided for this; the reader of the budget will not have to guess what rate was used.

Using the local currency will make it easier for members to monitor expenses against approved budget and availability of funds. It will also assist both the member and the ACT secretariat to isolate the exchange rate effect in the US dollar figures.

In some cases, members are able to do local purchases and all payments in the US$ currency. In those case only, the budget should be prepared and presented in the US$ currency only.

The budget SHOULD match the planned activities as expressed in the narrative side of the proposal, that is, expense budget headings should be in line with the activity lines indicated in the narrative.

Indirect support costs: The budget can provide for indirect support cost. These are costs which are not related directly to programme assistance that is being provided to affected communities. These expenses relate to the indirect support service essential for the effective running of the programme. In this respect, expenses are shared among several projects. Indirect support cost should be specified in detail and should be restricted to a maximum of 15% of the total budget.

BUDGET (TO BE COMPLETED IN EXCEL)

The budget should be prepared in Excel according to the ACT appeal and RRF budget format (See Annex 6.3). Also refer to Budget preparation guide for ACT appeals and RRFs (See Annex 7).
The budget format for the preliminary appeal budget has been simplified, when compared to the final appeal budget that is due later.

APPENDICES TO THE PRELIMINARY APPEAL DOCUMENT (Maximum 2 pages)

Appendix 1: map
Appendix 2: bank details of each requesting member and contact details (name, address, telephone and fax numbers, email address(s) of each requesting member)

ACT APPEAL – GUIDELINES, FORMAT AND EXPLANATORY NOTES

ANNEX 6

INTRODUCTION

In most emergency situations an ACT preliminary appeal will be issued by seven days following an emergency, as a means to mobilize financial resources for ACT members implementing the emergency response.
(See Annex 5: ACT Alliance Preliminary Appeal – Guidelines, Format and Explanatory Notes)

As the next step in the Appeal process, an ACT Appeal will also be required to be submitted by the ACT forum and requesting members. Please note:

ACT Appeal format	Annex 6.1
ACT Appeal explanatory notes	Annex 6.2
ACT Appeal budget format	Annex 6.3 (Also refer to Annex 7 Budget preparation Guidelines for ACT Appeals and RRFs)
ACT Appeal log frame	Annex 6.4

GUIDELINES

REASON FOR THE APPEAL

It is evident that, within seven days of an emergency, only partial information is available with the ACT forum and the ACT members. In succeeding weeks additional, more accurate and revised information is likely to develop. The appeal will therefore provide a more accurate picture of the overall emergency response and related financial situation and requirements.

THE APPEAL AND THE TOTAL ACT RESPONSE TO AN EMERGENCY

ACT appeal documents are designed to reflect the total activities of ACT members in responding to a particular emergency, and not only activities of those requesting members receiving funding through an appeal. Both the preliminary appeal and appeal formats include information regarding the proposed emergency response of all ACT members including those who receive funding outside the appeal, in order that the comprehensive ACT response is reflected.

CONTENTS OF AN APPEAL

The appeal document will be a total of no more than 20 pages.

- Part I Executive Summary (maximum 2 pages**)**: to be updated from preliminary appeal and filled out by the secretariat
- Part II Operational Context (maximum 2 pages)
- Part III Proposed Emergency Response (maximum 8 pages)
- Part IV Total ACT Response to the Emergency (maximum 1 page)

- Part V Appendices (maximum 7 pages): map (one page), consolidated budget (one page), log frame. Separate ACT member detailed budgets should also be included and a Logframe shall not have a specified number of pages.

FORUM COLLABORATION

Part II, Operational Context, is designed to be completed by the ACT forum in the country, or, if there is no forum, jointly by requesting members in the appeal. The ACT forum coordinator or a designated focal point is responsible for gathering all the individual member proposals (Part III, Proposed Emergency Response) and sending the entire consolidated proposal to the ACT secretariat, on behalf of all the requesting members.

APPEAL PREPARATION

All appeal proposals will be prepared in Word (narrative – Annex 6.1) and Excel (budget – Annex 6.3).

LANGUAGE REQUIREMENT

The appeal proposal must be submitted to the ACT secretariat in English. Translation costs incurred by the member can be included in the appeal budget. The final appeal document will be issued by the ACT secretariat in English only.

SIGN-OFF

The appeal must be signed off by the senior management of each requesting member.

MODE OF SUBMISSION

The appeal proposal should be sent by the ACT forum coordinator or a designated focal point to the ACT secretariat program officer responsible for the region/country which is the focus of the emergency response.

ISSUING THE APPEAL

The appeal should be issued by the ACT secretariat **within 30 days of the occurrence of the emergency**. The appeal draft should reach the ACT secretariat **by day 25 following the emergency (if not before)**, in order to be issued by the secretariat by day 30.

ACT APPEAL – FORMAT

ANNEX 6.1

I. EXECUTIVE SUMMARY

Maximum of two pages – to be completed by ACT secretariat

TITLE: include type of emergency and country/location
ACT APPEAL NUMBER:
APPEAL AMOUNT REQUESTED (US$):
DATE OF ISSUANCE:
NAMES OF ACT FORUM AND REQUESTING MEMBERS:

THE CRISIS

PRIORITY NEEDS

PROPOSED EMERGENCY RESPONSE

- by ACT members within the Appeal
- by ACT members outside the Appeal

KEY PARAMETERS:	
Planned duration:	
	ACT Appeal
Geographic areas of response	
Sectors of response	
Projected target population	
Financial requirements	

TABLE 1: SUMMARY OF APPEAL REQUIREMENTS BY ACT MEMBER AND SECTOR:

ACT Member	Sector of response	Total requirements US$	Less pledges/contributions US$	Balance of requirements US$

1. How much money has been secured for the ACT appeal (total of: firm pledges received, money received and other contributions)?
2. How much money has been secured outside of the ACT appeal (total of: firm pledges received, money received and other contributions)?

TABLE 2: REPORTING SCHEDULE

Type of Report	Date due
Situation reports	To be agreed with ACT Secretariat, for each response
Interim narrative and financial report	
Final narrative and financial report	
Audit report and management letter	

Please kindly send your contributions to either of the following ACT bank accounts:

US dollar
Account Number - 240-432629.60A
IBAN No: CH46 0024 0240 4326 2960A

Euro
Euro Bank Account Number - 240-432629.50Z
IBAN No: CH84 0024 0240 4326 2950Z

Account Name: ACT Alliance
UBS AG
8, rue du Rhône
P.O. Box 2600
1211 Geneva 4, SWITZERLAND
Swift address: UBSWCHZH80A

Please also inform the Chief Finance Officer (name and email) and the Regional Programme Officer, (name and email) of all pledges/contributions and transfers, including funds sent direct to the implementers.

We would appreciate being informed of any intent to submit applications for EU, USAID and/or other back donor funding and the subsequent results. We thank you in advance for your kind cooperation.

For further information please contact:

ACT Senior Regional Programme Officer, (name, email and phone number) or
ACT Deputy General Secretary, (name, email and phone number).

II. OPERATIONAL CONTEXT

Maximum two pages, to be completed by the ACT forum, or jointly by requesting members where there is no forum.

1. **The crisis**: details of the emergency
2. **Actions to date**
   - 2.1. Needs and resources assessment
   - 2.2. Situation analysis
   - 2.3. Capacity to respond
   - 2.4. Activities of forum and external coordination

III. PROPOSED EMERGENCY RESPONSE

Maximum 8 pages, depending on number of ACT members involved. To be completed either separately by each ACT member, or in consolidated form by the forum.

1. Target populations, and areas and sectors of response

ACT member	Sector of response	Geographic area of response	Planned target population									
			0-5		6-17		18-65		+ 65		Totals	
			M	F	M	F	M	F	M	F	M	F

Totals (in individuals):

2. Overall goal of the emergency response

2.1 Overall goal

2.2 Outcomes

3. Proposed implementation plan

3.1 Narrative summary of planned intervention
3.2 Reference to log frame
3.3 Implementation methodology
- 3.3.1 Implementation arrangements
- 3.3.2 Partnerships with target populations
- 3.3.3 Cross-cutting issues
- 3.3.4 Coordination
- 3.3.5 Communications and visibility
- 3.3.6 Advocacy
- 3.3.7 Sustainability and linkage to recovery – prioritization
- 3.3.8 Accountability – complaints handling

3.4 Human resources and administration of funds
3.5 Planned implementation period
3.6 Monitoring, reporting and evaluation

IV. THE TOTAL ACT RESPONSE TO THE EMERGENCY

Maximum one page, to be completed by the ACT forum: provide brief summary of plans and responses of ACT members outside the Appeal, in order to capture in summary form the total ACT response.

V. APPENDICES TO THE APPEAL DOCUMENT (Maximum 7 pages)

Appendix 1: map
Appendix 2: consolidated Budget, and separate ACT member budgets (See Annex 6.3 and Annex 7)
Appendix 3: log frame
Appendix 4: bank details of each requesting member and contact details (name, address, telephone and fax numbers, email address(s) of each requesting member)

ACT APPEAL – EXPLANATORY NOTES ANNEX 6.2

I. EXECUTIVE SUMMARY

Maximum two pages: to be prepared by the ACT secretariat. It will preface the appeal. The format is identical to that of the Preliminary Appeal, and so will constitute an update from the preliminary appeal document.

Title: include type of emergency and country/location
ACT Appeal Number:
Appeal amount requested (US$): here, place the Appeal Target and the Balance of Funds Requested (if different from the Target)
Date of issuance: of the Appeal
Names of ACT forum and requesting members

THE CRISIS

PRIORITY NEEDS

PROPOSED EMERGENCY RESPONSE: provide one paragraph each on the intended response

- by ACT members within the Appeal
- by ACT members outside the Appeal

KEY PARAMETERS: complete the following table:

KEY PARAMETERS:	
Planned duration:	
	ACT Appeal
Geographic areas of response	
Sectors of response	
Projected target population	
Financial requirements	

TABLE 1: SUMMARY OF APPEAL REQUIREMENTS BY ACT MEMBER AND SECTOR:

ACT Member	Sector of response	Total requirements US$	Less pledges/contributions US$	Balance of requirements US$

TABLE 2: REPORTING SCHEDULE: include here the revised reporting schedule.

Type of Report	Date due
Situation reports	To be agreed with ACT Secretariat, for each response
Interim narrative and financial report	
Final narrative and financial report	
Audit report and management letter	

II. OPERATIONAL CONTEXT (Maximum two pages)

Maximum two pages, to be completed by the ACT forum, or jointly by requesting members where there is no forum.

1. **The crisis**
2. **Actions to date**
   - **2.1 Needs and resources assessment:** provide here updated information as relevant, related to men, women, boys and girls affected by the emergency situation.
   - **2.2 Situation analysis:** state here the overall context for the proposed ACT response to the emergency, including the political situation, actions and dynamics of external actors (UN system, Humanitarian Country Team, civil society), assumptions, risks and constraints related to the emergency response, security considerations?
   - **2.3 Capacity to respond:** provide information on the capacity of the forum and ACT members to respond to this emergency, in human, material, and financial terms.
   - **2.4 Activities of forum and external coordination:** provide information on coordination mechanisms among ACT members (forum or other) and externally with disaster-affected populations, the UN system (Humanitarian Country Team and UN clusters, coordination with UN OCHA and Flash Appeal), government, NGOs and others responding to the emergency.

III. PROPOSED EMERGENCY RESPONSE (Maximum 8 pages)

Maximum 8 pages, depending on number of ACT members involved (to be completed separately by each ACT member, or consolidated by the forum).

1. Target populations, and areas and sectors of response

Provide the following disaggregated demographic data in the table below:

ACT member	Sector of response	Geographic area of response	Planned target population									
			0-5		6-17		18-65		+ 65		Totals	
			M	F	M	F	M	F	M	F	M	F
Totals (in individuals):												

- Explain how these sectors and areas of response were decided on
- Indicate specific concerns (protection, security, other)
- Describe the criteria for selection of target population

Make reference to a map of the affected area (**to be attached as appendix 1**).

2. Overall goal of the Appeal

Update as necessary.

3. Proposed implementation plan

3.1 Narrative summary of planned implementation, covering elements of the log frame: state here the objective of the response plan, and the proposed strategy for achieving the objective.

3.2 Make reference to log frame (to be attached as Appendix 3), with:

3.2.1 **Overall Goal:** generally taken from the overall goal of the appeal document.

3.2.2 **Outcomes**: outcomes must reflect the ultimate expected benefits expected to be realized after a successful implementation of ACT emergency response. The statement of outcomes must ensure they are specific (concrete, sufficient detail provided, well defined), measureable (numbers, quantity, quality expectations), achievable (feasible, actionable), realistic (considering capacity and resources) and time-bound (defined time line). Formulate objectives in a gender-specific manner.

3.2.3 **Outputs:** list planned outputs, or results, gender-specific, as a consequence of the planned activities under a particular appeal7RRF. Activities must be capable of delivering expected outcomes.

3.2.4 **Activities:** summarize planned activities which will lead to the planned outputs and to the accomplishment of the objectives. State briefly your intended target populations for these activities. Activities should be summarized by sector of response (e.g., water/sanitation, food security, shelter and settlement, non-food items, health, and psychosocial support).

3.2.5 **Indicators (and Indicator Reference Table):** describe how you will measure progress towards each output listed above. Output level indicators measure or register a medium- to long-term change in the behaviour, attitude or practice of the target population or in the structure of the institutions linked to the project.

3.2.6 **Inputs:** list the human and material resources (capital assets, transport and logistics) required for the implementation of project activities.

3.2.7 **Means of verification:** indicate from where, when, and in what form data or information on the indicators will be obtained and reported.

3.2.8 **Assumptions and risks:** knowing that 'assumptions' are positive conditions that are required for producing results (e.g., affected populations can be accessed, appeal will be fully funded, and funds will arrive in timely fashion), list key assumptions directly related to this appeal. Understanding that 'risks' are potential negative factors that will affect the assumptions (e.g. conflict will erupt, inadequate funding will be received, climate-related aspects, or monitoring challenges), list key risks that could have a negative impact on the project.

3.3 Implementation methodology

3.3.1 Implementation arrangements

3.3.2 Partnerships with target populations

3.3.3 Cross-cutting issues

3.3.4 Coordination

3.3.5 Communications and visibility
3.3.6 Advocacy
3.3.7 Sustainability and linkage to recovery -priorization
3.3.8 Accountability – complaints handling

3.4 Human resources and administration of funds: describe in brief your structure and procedures as they relate to the administration of the projects – e.g. staff requirements including expat and local staff, procedures how to deal with appeal funds, how money is dispensed and system in place for transfer of funds (e.g. HQ to the field), purchase procedures, etc. Note: A separate bank account is recommended to administer ACT appeal funds. Also refer to financial aspects of appeals (chapter 9.3 of the main document) for further details.

3.5 Planned implementation period: number of months and dates

3.6 Monitoring, reporting and evaluation: update as necessary

IV. THE TOTAL ACT RESPONSE TO THE EMERGENCY (Maximum one page)

Maximum one page: update as necessary from the preliminary appeal document.

V. APPENDICES TO THE APPEAL DOCUMENT

Appendix 1: map of the emergency-affected area, including indications of where ACT members are planning their response
Appendix 2: budget formats - for format see Annex 6.3 & Annex 7
Appendix 3: log frame - format in Annex 6.4
Appendix 4: bank details of each requesting member and contact details (name, address, telephone and fax numbers, email address(s) of each requesting member)

ACT APPEAL AND RRF BUDGET – FORMAT

ANNEX 6.3

Requesting ACT forum/member(s):
Appeal Number: To be supplied by ACT secretariat
Appeal **Title:**
Implementing Period:

	Appeal Budget *local currency*	**Appeal Budget USD**
INCOME		
INCOME - Received by Requesting Member via ACT Secretariat, Geneva		
Date **Donor Name**		
List by date & donor name and fill in amount- indicate original currency amount and Payment Advise #		0.00
INCOME - Cash received directly from donors		
Date **Donor Name**		
List by date & donor name and fill in amount- indicate original currency amount		0.00
Interest earned		0.00
INCOME - In-kind donations received		
Date **Donor Name**		
List by date & donor name and fill in amount- indicate items received in brief		0.00
INCOME- FIRM PLEDGES (made both through ACT secretariat and directly)		0.00
Date **Donor Name**		
List by date & donor name and fill in amount - indicate original currency amount		
TOTAL INCOME	**0.00**	**0.00**



EXPENDITURE

		Type of Unit	No. Of Units	Unit Cost *local currency*	Appeal Budget *local currency*	Appeal Budget USD
DIRECT COST (LIST EXPENDITURE BY SECTOR)						
e.g.	Food security				0	0.00
	Water, sanitation & hygiene				0	0.00
	Health				0	0.00
	Nutrition				0	0.00
	Non-food items				0	0.00
	Shelter and settlement				0	0.00
	Emergency Preparedness				0	0.00
	Protection				0	0.00
	Psychosocial Support				0	0.00
	Education				0	0.00
	Early recovery & livelihood restoration					
	Mine action				0	0.00
	Other Sector Related Direct Costs					
e.g.	Salaries & benefits for direct staff (e.g. nutritionist, engineers, program (officer / coordinator), driver of nutritionist etc. **(List expenditure by sector)**				0	
	Needs Assessment					
	Rapid Support Team					
	Communication/visibility cost					
	Security cost					
	Beneficiary Selection					
TRANSPORT, WAREHOUSING & HANDLING						
	Transport (of relief materials)					
	Hire/ Rental of Vehicles					
	Fuel					

Indicate type of unit (e.g. persons, houses, KGs.), number of units and unit cost. Detailed breakdown of type of item (e.g. rice, lentils etc.) is a must at the RRF & final appeal proposal stage, but not a must at the preliminary appeal proposal stage due on day 5.

Indicate whether costs relate to those to be incurred by the Requesting Member or by Implementing Partners.

	Warehousing		
	Rental of warehouse		
	Wages for Security/ Guards		
	Handling		
	Salaries for Logistician and Procurement Officer		
	Salaries / wages for labourers		
	Salaries / wages for Drivers		
	TOTAL TRANSPORT, WAREHOUSING & HANDLING	**0**	**0**
	CAPITAL ASSETS (over US$500)		
e.g.	Computers and accessories	0	0.00
	Printers	0	0.00
	Office Furniture	0	0.00
	Vehicles	0	0.00
	Communications equipment e.g. camera, video camera, sound recording, satellite phone…	0	0.00
	TOTAL CAPITAL ASSETS	**0**	**0**
	TOTAL DIRECT COST	**0**	**0**

Indicate whether costs relate to those to be incurred by the Requesting Member or by Implementing Partners.

INDIRECT COSTS: PERSONNEL, ADMINISTRATION & SUPPORT

e.g.	Staff salaries		
	Salaries e.g. % for Programme Director)	0	0.00
	Salaries e.g. % for Finance Director)	0	0.00
	Salaries for accountant & other admin. or secretarial staff	0	0.00
	Office Operations		
	Office rent	0	0.00
	Office Utilities	0	0.00
	Office stationery	0	0.00
	Communications		

Indirect costs are those that are not related directly to assistance that is being provided to affected communities but are necessary for the whole implementation and accountability.

Please indicate whether items are for the Requesting Member, or for the Implementing

Telephone and fax		0	0.00
Other			
Insurance		0	0.00
TOTAL INDIRECT COST: PERSONNEL, ADMINISTRATION & SUPPORT		**0**	**0.00**
AUDIT, MONITORING & EVALUATION			
Audit of ACT appeal	Estimate	0	0.00
Monitoring & Evaluation	Estimate	0	0.00
TOTAL AUDIT, MONITORING & EVALUATION		**0**	**0.00**
TOTAL EXPENDITURE exclusive International Coordination Fee		**0**	**0**
INTERNATIONAL COORDINATION FEE (ICF) - 3%			0.00
TOTAL EXPENDITURE inclusive International Coordination Fee			**0**
BALANCE REQUESTED (minus available income)			**0**

Included in the appeal as 3% of the total project budget. Charged according to actual income received.

EXCHANGE RATE: local currency to 1 USD

Budget rate 1.00

Insert rate applicable at time of budget preparation. Formulas are inserted in the sheet to calculate the USD budget from the local currency budget. NB rate should be consistent for all members requesting inclusion in the appeal.

PROPOSED DISPOSITION OF CAPITAL ASSETS at Completion date

ITEM - (List each over US$500)	Actual cost	Disposition

Note: The only difference between the budget format for the RRF, the preliminary appeal proposal and final appeal proposal is that a detailed breakdown of type of items under direct cost (e.g. rice, lentils etc.) is required only in the budget format for the final appeal.

ACT APPEAL LOG FRAME **ANNEX 6.4**

The log frame is an important monitoring & evaluation tool that supports results-oriented project implementation and helps to clarify project logic with (not to) the project team. Specifically, the purpose of the log frame is to:

- clarify the project intervention and logic
- set a sound basis for M&E and
- communicate the strengths of project design to stakeholders and donors.

A log frame is to be developed for all ACT appeals (they are not necessary when developing Preliminary appeals) and ensures that monitoring and evaluation is an integral part of ACT appeals. A log frame provides the basis for the monitoring and evaluation plans to be developed to operationalise the M&E systems (i.e. process of data collection, analysis and reporting). (See annex 11).

A logframe is required for each appeal prepared by each requesting member. However, for a single appeal document prepared collectively by requesting members (joint appeal), a common Logframe shall be used for the common appeal document. The ACT Logframe format will usually be used but other Logframe formats preferred by requesting members can be used after prior approval by ACT Secretariat.

LOG FRAME FORMAT

Project structure	Indicators	Means of Verification (MoV)	Assumptions
Goal			*No Assumptions*
Outcomes			*Outcomes-to-Goal assumptions*
Outputs			*Outputs-to-Outcomes assumptions*
Activities	**List of Key inputs**		*Activities-to-Outputs assumptions*

BUDGET PREPARATION GUIDE FOR ACT APPEALS & RRFs ANNEX 7

This guideline has been prepared to be used as a checklist highlighting what needs to be taken into consideration when preparing a budget for a RRF, a preliminary appeal, an appeal and a revised appeal. The guideline is a supplementary tool to the RRF, preliminary appeal and appeal formats. It aims at helping members to ensure that all planned activities that have been identified for every objective can actually be implemented by:

- identifying all resources needed by project/activity/sector
- better estimating the cost of such resources.

An RRF proposal requires the same excel budget format as an appeal proposal. If the RRF leads to an appeal, then the RRF budget must be included in the appeal budget

ACT appeals have **two** budget formats:

1. A simplified budget format for the preliminary appeal proposal. (See Annex 6.3)
2. A budget format for the final appeal proposal that is due on day 25 for release by the secretariat on day 30, and for every subsequent appeal revision. (See Annex 6.3) The budget format for the final appeal is basically a more detailed version of the budget format for the preliminary appeal. In the preliminary appeal budget, a detailed breakdown of type of item (e.g. rice, lentils etc. is not a must. However, **it is a must** in the final appeal budget that is due on day 25.)

All ACT preliminary appeal, appeal and RRF budgets **MUST** be prepared in Excel and in accordance with these formats. **The budget should be presented in both local currency and in US$.** However, if all purchases and payments are made in US$, then the budget can be presented in US$ only.The budget should be first prepared in local currency. Then ensure that a budget column (parallel to the local currency budget) is provided where all financial information must be converted into US dollar (US$) prior to submission. By way of note to the budget, please explain the organization's policy on exchange rate. If a majority of the expenses are incurred in US$, then the budget can be presented in US$ only.

In the narrative section of the appeal proposal, activities under direct cost are summarized by sector of response (e.g. food security, water, sanitation and hygiene, health, etc.).) **Therefore, when presenting the budget, care must be taken that it follows the same presentation and order as in the narrative section of the appeal.**

Budget notes: At the end of the budget, a budget note is required to facilitate understanding of planned expenditure. Explain how the costs were estimated and justify the need for the cost where relevant.

Budgets to be kept simple: Budgets should not be unnecessarily too detailed, and especially when it comes to line items where the amount is not significant. For example, when conducting workshops, it is better to express in the budget that xx no. of workshops will be conducted @ $xx per workshop. Use budget notes to explain any implicit costs for easy understanding of the budget. To breakdown of the workshop expenditure into room hire, equipment hire for the workshop, meals, accommodation, transport etc. would result into unnecessarily detailed that may make it difficult to report on. Also consult your finance department, to check if they are able to report based on the line items in the budget, as all financial and audit reports should always follow the approved budget format.

WHAT IS REQUIRED	
A. GENERAL	
• The budget MUST be in the ACT format	• ACT secretariat provides a standard budget format **in EXCEL. (Annex 6.3)** This standard budget can be adapted by requesting member(s) according to their own planned activities. Once the budget is prepared, the requesting member is compelled to report actual expenditure in the same format as the budget. Therefore, take this into consideration when developing the budget format and ensure that it is a format based on which you can report.
• Name of requesting member	• State name of the requesting member. The requesting member is either a single ACT member or an ACT forum...
• Implementing period	• The period should be clearly stated: example - Jan 1, 2012 to December 31, 2012. The length of period in the budget must be in line with the period for implementation of planned activities.
BUDGET ITEMS:	
1. Direct Costs	**Direct cost are those cost that are related directly to assistance that is being provided to affected communities and include (a) assistance to the affected population (b) other sector related direct costs, (c) transport, warehousing and handling cost of materials and (d) capital equipment which will be purchased as a result of the intervention.** These are expenses which would only be incurred if the activity takes place and if the activity is taken away, then all these expenses would also be taken away.
• Headings	A columnar budget format providing columns for: - Description of resources needed - Type of unit : is the measuring yardstick - Number of units required - Cost per unit (in local currency whenever applicable) - Budget in local currency (whenever applicable) - Budget in US dollar currency (a MUST)
• Budget for Activities by sector	• The sequence must be in line with the proposed activities by sector (e.g. food security, water, sanitation and hygiene, health, etc,) as stated in the narrative section of the appeal and should be in the same order. • Classify and list separately inputs required to carry out each identified project activity with which to reach the stated objective in the appeal. Example: Objective: To improve access to clean and safe water adequate for domestic and livestock needs of 10,000 vulnerable HH in target areas. Activity : Water and Sanitation Inputs: Geophysical & hydrological surveys, drilling of wells, casings, pump and installation, construction of 60 cu/m water tank etc • Put together, by sector, all resources related to an activity. Note: these are expenses which would only be incurred if the activity takes place and if the activity is taken out of the Appeal, then all the related expenses would not be incurred. • Check to make sure that for all stated objectives, activities and related resources needed have not been missed from the budget. Example: if one of the stated

	objectives is to build capacity of the communities for disaster preparedness and no budget for this is included, it will not be possible to achieve this objective. • Sectors in ACT appeal budgeting procedures shall be categorized as: - food security - water, sanitation and hygiene - health - nutrition - non-food items - shelter and settlement - emergency preparedness - protection - psychosocial support - education - early recovery and livelihood restoration - mine action See Annex 7.1 for definitions of sectors. • Each of the above sectors will further be broken down into budget lines
• Other sector related direct cost	• **Other sector related direct cost must be included under each sector**. This includes staff cost directly related to assistance that is being provided to affected communities (e.g., water expert, nutritionist, engineers, program (officer / coordinator), driver of nutritionist and other direct cost such as needs assessments, Rapid Support Team cost, communication/visibility cost, security cost (e.g. security training, security equipment etc.), beneficiary selection etc.
• Transport, warehousing and Handling	• **Transport, warehousing and Handling include;** **Transport (of relief materials)** Hire/ Rental of Vehicles Fuel **Warehousing** Rental of warehouse Wages for Security/ Guards **Handling** Salaries for Logistician and Procurement Officer Salaries / wages for labourers Salaries / wages for Drivers
• Capital Assets	• **Capital Assets** Only include capital assets that are purchased specifically for the appeal. Indicate whether costs relate to those to be incurred by the Requesting Member or by Implementing Members/Partners.
• Type of Unit	• Fill in the relevant measuring indicator such as: - "month" for salaries - "number" for capital items (computer, generator, etc.) - "Kg" for grain - "month" for rent of warehouse

	- "km" for rental of vehicle - packages - sets • Be sure to check for correctness of the indicator as it may impact on the budget amount.
• Number of units	• Calculate quantity required to be able to meet the planned target. Example To provide 1Kg of rice per day to 1,000 households for a period of 1 month, the quantity needed will be 30,000- 31,000 kg of rice. • **Note:** number of months should not exceed total appeal period– maintain **consistency** with implementing period. • Exceptionally, due to legal requirements in different countries, it may be necessary for extra salary payment to be made at termination of staff service. In this case, a separate budget line should be provided.
• Unit Cost (Cost per unit)	• In the column "Unit cost" type the amount it would cost per unit (price for one). • Where the budget is being prepared in the local currency and then converted to US$ values, the basic cost/ price used will be in local currency. • Seek the best price for the item to be purchased. Note: cheap is not always the best. • Cost price of frequently purchased items can be made available immediately by the accountant of your organization if a database of frequently purchased items is kept updated regularly (at least every 3 months). • Obtain at least three quotes for major items not frequently purchased. • Buy local where items are available and at reasonable prices. • Take advantage of economies of scale through "buying together/ bulk buying" where members of the ACT forum are planning the same activities and are in proximity of each other. • Where more than one unit of an item is required, in order to maintain period consistent, it will be necessary to give as unit cost, the price per unit multiplied by the number of units. Example 1 Salary of 2 engineers for the whole period in a 12-month appeal. The number of units should remain at 12 months (not 24 months) while the cost per unit (in this case salary per month) would be doubled. However, it is necessary to clarify this, either by way of note to the budget or by showing the number of engineers required in the description column. • Check to see if sufficient personnel needed to ensure a successful implementation of an activity are budgeted for. • Fringe benefits may either be included in the salary or shown as a separate budget line.

• Conversion of local currency in to US$.	Under normal circumstances all transactions are carried out using local currencies. Therefore it is normal that the budget will initially be developed using the local currency for most of the budget items (except those that would be procured abroad). This is perfectly acceptable. • In the columns named "Budget" (**local currency**) make sure that the cells have formulas. • The benefit of using a formula is that any change made to number of units or to price or to both will result in a new budget amount calculated as long as there is a formula in the cell. • In another column named "Budget" (**US dollar**) insert a conversion formula which will convert the local currency budget amount into US dollar budget amounts. Towards the bottom of the ACT budget format, there is a field where you can insert the budgeted US$ exchange rate against your local currency. Once this is inserted, the US$ budget is automatically calculated.
• Use formulas for sub totals	• Make additions/ totals for each of the various categories/activities in the budget. Example **Education** may have the following budget lines: school uniforms, study fees, study materials etc. **Sum together the budget amounts in these expense lines.** Note: It is advised that summation formulas be created for each column instead of simply copying the formula from one column to another. This is both a safety measure and a check in case the formula in one column is not correct.
• Totals (Direct Costs)	• Add together the various sub-totals to arrive at **Total of Direct Costs**.
2. Indirect Costs: Personnel, Administration & Support	Indirect costs are those cost which are not related directly to assistance that is being provided to affected communities. These expenses relate to the indirect support service essential to the effective running of the programme and include (a) staff cost related to the director, accountant, admin and secretarial staff and (b) office cost such as rent, utilities, stationery, telephone etc. In this respect, expenses are shared among several projects. ***Reminder: Ensure that direct staff and their related costs (e.g. water engineer, nutritionist etc.) are included in the relevant sectors under Direct Cost and NOT under the heading "personnel, administration and support". These are DIRECT COSTS to the program.*** • **The total budgeted indirect cost should NOT EXCEED 15 % for appeals and 5% for RRFs of the budgeted direct cost as defined above. Actual** indirect costs should also NOT EXCEED 15 % / 5% of the **actual** direct costs as defined above. If 100% funding is not secured, which is usually the case, the 15%/ 5% will be applied on a proportional basis to actual direct cost / funds received.
• Personnel	• The staff under Indirect Costs (personnel, admin & support) include: - Director – a percentage determined by time spent on the ACT appeal. - Finance manager /accountant /secretary /office driver – a percentage.
• Administration & support cost	• Will include **share** of office rent, stationery & utilities, printing and telephone expenses as well as the share of fuel and maintenance of vehicles that are being used partly towards the appeal.

In addition to Direct Cost and Indirect Cost, other costs related to the appeal are included as part of the budget:	
3. Audit, Monitoring and Evaluation	**Audit:** • Appeals with a target value of US$50,000 and above must include an audit. • The audit fee estimate must be discussed with own auditor or can be taken from historical experience. **Monitoring and Evaluation:** These are expenses incurred in the normal PME cycle by a requesting member. Expense budget lines may include - travel costs related to field or monitoring visits - accommodation and meals while on monitoring visits For appeals above a certain limit (presently $5.0 million), the ACT secretariat organizes an external evaluation. Expenses related to the external evaluation are usually not incorporated in the requesting member budgets, as these expenses are managed directly from the ACT secretariat in Geneva.
4. International Coordination Fee (ICF)	• Every appeal MUST have an expense budget line named "International Coordination Fee". • ACT's governing board determines the percentage to be charged as the International Coordination Fee. • Using the approved percent, calculate the budgeted fee payable to the ACT secretariat by multiplying the sum of all appeal costs by the ICF rate. See annex 7.2.
5. Total Budget	The total budget is the sum of (a) Direct Cost, (b) Indirect Cost: Personnel, Administration and Support, (c) Audit, Monitoring and Evaluation and (d) International Coordination Fee.
• Review to see if budgeted amounts are realistic; are they overly high or low?	• Budgets must be estimated as realistically as possible for the ACT appeal. Avoid over-estimating the budget in the hope that you will attract funding. Significant under /over-expenditure gives an impression of poor budgeting, which may affect future funding.
• Notes / Budget Narrative	• Anticipate questions that may be raised by a person reading your proposal and provide brief explanatory notes to the budget if these are not already given in the body of the proposal. • In addition to notes, some donors may require a budget narrative – see below for explanation.

SHARED COSTS

For shared costs, please include an allocation statement (in memo form, not in the budget notes or proposal).

Office rent, utilities, supplies, and other such costs in an office not entirely dedicated to the grant's project must have a set basis for allocation, justifiable either by the number of staff working on the project or the square footage taken up by the project workers. The methods must be consistently used, so there needs to be a set policy for allocation of costs.

Ideally such an allocation method would be direct charging any supplies purchased and working out an allocation for rent and utilities by taking the total square footage of the office and calculating which people/departments occupy what percentage of that square footage. That percentage would then be used to calculate their share of such costs.

Another possible way is to just take the total number of people in the office and allocate based on number of people. As an example, if there are a total of 20 people in an office and 5 people work for this project 100% of their time, then 25% (5 divided by 20) would be the basis for allocation of shared expenses.

It is preferable that supplies be direct charged whenever possible, and there should be a way to keep written track of that to ensure that only supplies used for the program are charged to it. We would need to be advised what that method of tracking is; i.e. use of requisition forms, submission of receipts, or records kept by a central person in charge of ordering supplies.

Generally, it is fine to estimate the allocated costs on the budget, but when it comes to claiming expenditures, the costs must be based on an actual and consistent method.

Communication charges will be direct charged to the appeal from the itemized bill.

SAMPLE BUDGET NARRATIVE

The budget narrative provides an opportunity to substantiate the figures developed for the budget. The budget narrative should expand on information included in the detailed budget by providing information on how costs were estimated. Methodologies for estimating costs could include current actual cost experience, pro-forma invoices, etc.

Following is an example of a budget narrative:

Expatriate project manager	The project manager will work entirely for this project. Salary is based on the established salary scale of the organization.
National engineer	An engineer is needed to oversee the digging of the well and to train local residents in its maintenance and operation. Salary is based on the going rate for engineers in the local economy.
Fringe benefits	The organization's fringe benefit rate of 31% is applied to all staff listed under the salary category.
House rental	The house will be occupied by the project manager. The monthly rent for the 1,200 sq. ft. house is based on actual cost of $600 per month.
International airfare	One round-trip ticket is required to transfer the project manager from headquarters to the project site and return. The price quoted is based on quotes provided by corporate travel agency.
Monolith pump	The price quoted is based on the engineering estimates developed by the project engineer.
Construction materials	The price quoted is based on engineering estimates developed by the project engineer.
Office rental	The office will serve as a base of operations for all staff working entirely on this project. The monthly rental for the 400 sq. ft. office is based on actual cost at $1.25/sq. ft.
Vehicle rental	The vehicle will be used by the engineer and the price quoted is based on actual cost."

SECTORS FOR ACT APPEAL PLANNING AND BUDGETING — ANNEX 7.1

FOOD SECURITY

Food security exists when all people, at all times, have physical, social and economic access to sufficient, safe and nutritious food to meet their dietary needs and food preferences for an active and healthy life. Within this definition of food security, there are three components:

- **Availability** refers to the quantity, quality and seasonality of the food supply in the disaster-affected area. It includes local sources of production (agriculture, livestock, fisheries, wild foods) and foods imported by traders (government and agencies' interventions can affect availability). Local markets able to deliver food to people are major determinants of availability.
- **Access r**efers to the capacity of a household to safely procure sufficient food to satisfy the nutritional needs of all its members. It measures the household's ability to acquire available food through a combination of home production and stocks, purchases, barter, gifts, borrowing or food, cash and/or voucher transfers.
- **Utilisation** refers to a household's use of the food to which it has access, including storage, processing and preparation, and distribution within the household. It is also an individual's ability to absorb and metabolise nutrients, which can be affected by disease and malnutrition.

(Sphere Handbook, page 145)

WATER, SANITATION AND HYGIENE

Water and sanitation are critical determinants for survival in the initial stages of a disaster. People affected by disasters are generally much more susceptible to illness and death from disease, which to a large extent are related to inadequate sanitation, inadequate water supplies and inability to maintain good hygiene. The most significant of these diseases are diarrhoeal and infectious diseases transmitted by the faeco-oral route. Other water- and sanitation-related diseases include those carried by vectors associated with solid waste and water. The term 'sanitation', throughout the Sphere Handbook, refers to excreta disposal, vector control, solid waste disposal and drainage.

The main objective of WASH programmes in disasters is to reduce the transmission of faeco-oral diseases and exposure to disease-bearing vectors through the promotion of:

- good hygiene practices
- provision of safe drinking water
- reduction of environmental health risks
- conditions that allow people to live with good health, dignity, comfort and security.

Six operational activities are highlighted: hygiene promotion, water supply, excreta disposal, vector control, solid waste management and drainage.

(Sphere Handbook, pp. 81-84)

HEALTH

Health comprises **health systems and essential health services**.

The World Health Organization (WHO) defines health systems as: "all the organizations, institutions and resources that are devoted to producing health actions". It includes the full range of players engaged in the provision, financing and management of health services, efforts to influence determinants of health as well as providing direct health services, and encompassing all levels: central, regional, district, community and

household. The health system standards of Sphere are organised according to the WHO health system framework, consisting of six building blocks: leadership, human resources, drugs and medical supplies, health financing, health information management and service delivery. These health system building blocks are the functions that are required to deliver essential health services. Health interventions during disaster response should be designed and implemented in a way that contributes to strengthening health systems.

(Sphere Handbook, p. 296)

Essential health services are preventive and curative health services that are appropriate to address the health needs of populations affected by disasters. They include interventions that are most effective in preventing and reducing excess morbidity and mortality from communicable and non-communicable diseases, the consequences of conflict and mass casualty events. During disasters, death rates can be extremely high and identification of the major causes of morbidity and mortality is important for the design of appropriate essential health services. This part of the health chapter outlines the essential health service standards categorised under six sections: control of communicable diseases; child health; sexual and reproductive health; injury; mental health; and non-communicable diseases.

(Sphere Handbook, p. 309)

NUTRITION

Nutrition is a broad term referring to processes involved in eating, digestion and utilisation of food by the body for growth and development, reproduction, physical activity and maintenance of health. The term 'malnutrition' technically includes under nutrition and over-nutrition. Under nutrition encompasses a range of conditions, including acute malnutrition, chronic malnutrition and micronutrient deficiencies. Acute malnutrition refers to wasting (thinness) and/or nutritional oedema, while chronic malnutrition refers to stunting (shortness). Stunting and wasting are two forms of growth failure. In this chapter, we refer to under nutrition and revert to malnutrition specifically for acute malnutrition. Sphere Standards address activities to combat moderate acute malnutrition, severe acute malnutrition and micronutrient deficiencies.

(***Sphere Handbook, pages 145 and 165-173)***

NON-FOOD ITEMS

Clothing, blankets and bedding materials meet the most personal human needs for shelter from the climate and for the maintenance of health, privacy and dignity. Access to basic goods and supplies is required to enable affected populations to prepare and consume food, provide thermal comfort, meet personal hygiene needs and build, maintain or repair shelters. All affected populations – whether they are able to return to the site of their original homes, are hosted by other families or are accommodated in temporary communal settlements – will have individual and household non-food item needs that must be assessed and met as appropriate. Populations secondarily affected by disasters, in particular host families, may also require non-food item assistance to meet the additional burden of hosting or the impact of the disaster on the local economy and access to such items. Although the distribution of non-food items is a common response activity, the provision of cash or vouchers to access such non-food items where local markets are still functioning should be considered.

(***Sphere Handbook, page 268***)

SHELTER AND SETTLEMENT

Everyone has the right to adequate housing. This right is recognised in key international legal instruments (see References and further reading: International legal instruments). This includes the right to live in security, peace and dignity, with security of tenure, as well as protection from forced eviction and the right to restitution.

These instruments define adequate housing as ensuring:

- sufficient space and protection from cold, damp, heat, rain, wind or other threats to health, including structural hazards and disease vectors
- the availability of services, facilities, materials and infrastructure
- affordability, habitability, accessibility, location and cultural appropriateness
- sustainable access to natural and common resources; safe drinking water; energy for cooking, heating and lighting; sanitation and washing facilities; means of food storage; refuse disposal; site drainage; and emergency services
- the appropriate sitting of settlements and housing to provide safe access to healthcare services, schools, childcare centres and other social facilities and to livelihood opportunities
- that building materials and policies relating to housing construction appropriately enable the expression of cultural identity and diversity of housing.

(Sphere Handbook, page 243)

EMERGENCY PREPAREDNESS

The knowledge and capacities developed by governments, professional response and recovery organisations, communities and individuals to effectively anticipate, respond to, and recover from, the impacts of likely, imminent or current hazard events or conditions (UNISDR 2009). Being prepared, people know what to do and how to cope with hazardous events that neither can be prevented nor reduced, and are able to better recover from disasters, in order to minimise losses of lives and of economic property. One example of preparedness could be early warning along rivers to alert people that floods are approaching (perhaps combined with shelters where people can protect themselves from such floods).

PROTECTION

The ACT Alliance has adopted the commonly used ICRC-NGO definition of protection, which has also been adopted by the IASC. It refers to protection as:

> ”All activities aimed at obtaining full respect for the rights of the individual in accordance with the letter and spirit of the relevant bodies of international law (i.e. human rights law, international humanitarian law and refugee law). Human rights and humanitarian organizations must conduct these activities in an impartial manner (not on the basis of race, national or ethnic origin, language or gender)”. [12]

The definition emphasises the international legal framework for protection, underscoring the need for a ‘rights-based approach’ to protection, which recognises people as ‘rights holders’ and responsible organisations as ‘duty bearers’. However, while it broadly defines the ‘scope of protection activities’, it does not offer any further limits or clarity in terms of what role or what type of activities NGOs should focus on with the broader field of protection.

[12] S. Giossi Caverzasio (ed.), Strengthening Protection in War: A Search for Professional Standards: Summary of Discussions among Human Rights and Humanitarian Organizations, Workshops at the ICRC, 1996-2000, ICRC, Geneva, 2001.

For ACT, 'protection activities' mean non-structural and non-violent[13] field-level activities aimed at preventing, reducing or mitigating the impact of violence, coercion, deprivation or abuse on individuals or groups during humanitarian crisis brought about by man-made or natural disasters by reducing threats and vulnerabilities or increasing people's capacity to cope with these threats and vulnerabilities.
These activities can be remedial, responsive or environment building and fall within one or more of the five basic modes of humanitarian action: support, substitution, persuasion, mobilisation and denunciation (the former two involve providing assistance and the later three being modes of advocacy).

PSYCHOSOCIAL SUPPORT

Community based psychosocial support is an approach in which humanitarian relief integrates psychosocial aspects into the response. Psychosocial well-being depends on many aspects of a person's life. To achieve a sense of well-being, people rely on social interaction; mental stimulation and learning; physical security and safety; and religious and spiritual beliefs. Their material and biological needs must be met – food, water, shelter, sanitation, physical and mental health. They also need economic stability. Following a disaster, the manner in which people's basic needs, safety and security are met has an impact on their well-being and recovery.

The foundation of all community-based psychosocial work is the recognition of the affected community's capacity for recovery and resilience. All communities and individuals have resources and strategies for dealing with difficulties, illness, and distress. It is the responsibility of humanitarian workers to respect, understand and enable the community and individuals in their own recovery.

EDUCATION

Access to good quality education is a fundamental right for all children and young people, both girls and boys, and all states are obliged to provide education. This continues to be just as important during and after an emergency. When a humanitarian crisis strikes, governments are sometimes not able or willing to provide education and other basic services. It then becomes the international community's responsibility, via humanitarian agencies, to ensure that people's rights are protected and their needs met.

Education interventions can:
- Protect: schools and child-friendly spaces protect children both physically and psychologically during an emergency and offer protection against exploitation and harm, and create a sense of normality and routine
- Save lives: school staff can communicate key messages about safety, provide vital life skills and information about health and hygiene, and raise awareness of the dangers of landmines and unexploded ordnance. Schools provide a structure to deliver other lifesaving interventions.
- Sustain communities: Having schooling in place aids early recovery, creates greater stability in communities, and nurtures hope for the future among children and their families.
- Build knowledge: education programs help children and young people to continue learning and reduce interruption to their schooling; it helps children develop core life skills. Young people can learn useful new skills through vocational training and be given the opportunity to catch up on missed schooling.
- Strengthen resilience: Disaster risk reduction (DRR) programs in education curricula and preparedness plans equip and strengthen children's ability to deal with emergencies, and mitigate the impact of future disasters.

[13] In this context, 'structural' refers to the long-term process of building or strengthening institutions, and non-violent refers to using peaceful means without the use of any form of coercion or physical force.

Education is a key platform for many other humanitarian interventions including health, nutrition, water and sanitation, psychosocial support, shelter and non-food items, peace education and conflict resolution, Disaster Risk Reduction and early recovery.

The Inter-Agency Network on Education in Emergencies (INEE, 2010) Minimum Standards for Education: Preparedness, Response, Recovery provide a framework for a good quality education response in emergencies. The INEE Minimum Standards are a companion to the Sphere standards for integrating good quality education within humanitarian response and achieve greater accountability in the humanitarian sector. In refugee setting UNHCR Education Strategy (2012) gives further guidance.

EARLY RECOVERY AND LIVELIHOOD RESTORATION

The resilience of people's livelihoods and their vulnerability to food insecurity are largely determined by the resources (or assets) available to them and how these have been affected by a disaster. These resources include financial capital (such as cash, credit, savings) and also include physical (houses, machinery), natural (land, water), human (labour, skills), social (networks, norms) and political (influence, policy) capital. Key to those who produce food is whether they have access to land that can support production and whether they have the means to continue to farm. Key to those who need income to get their food is whether they have access to employment, markets and services. For people affected by disasters, the preservation, recovery and development of the resources necessary for their food security and future livelihoods should be a priority. The three standards relate to primary production, income generation and employment, and access to markets, including goods and services.

(Sphere Handbook, pp. 203.204)

MINE ACTION

The UN Mine Action Service (UNMAS) defines mine action as activities which aim to reduce the social, economic and environmental impact of mines, and Explosive Remnants of War (ERW) including unexploded sub-munitions. 14 It notes that mine action is not just about demining; it is also about people and societies, and how they are affected by landmine and ERW contamination. The objective of mine action is to reduce the risk from landmines and ERW to a level where people can live safely; in which economic, social and health development can occur free from the constraints imposed by landmine and ERW contamination, and in which the victims' different needs can be addressed.

Mine action comprises five complementary groups of activities: mine risk education; humanitarian demining (i.e. Mine and ERW survey, mapping, marking and clearance; victim assistance, including rehabilitation and reintegration; and advocacy against the use of APMs.

A number of other enabling activities are required to support these five components of mine action, including: assessment and planning, the mobilisation and prioritisation of resources, information management, human skills development and management training, Quality Management and the application of effective, appropriate and safe equipment (Source: IMAS 04.10).

[14] http://www.mineactionstandards.org/fileadmin/user_upload/MAS/documents/imas-international-standards/english/series-04/IMAS-04-10-Ed2-Am4.pdf

PROCEDURES FOR IMPLEMENTING THE INTERNATIONAL COORDINATION FEE (ICF) ANNEX 7.2

The International Coordination Fee (ICF) was introduced to all ACT emergency appeals that commenced on or after 1st January, 2009.

Principles of the International Coordination Fee (ICF)

1. An international coordination fee is to be levied on all ACT appeals that the ACT secretariat issues.

2. Where an appeal is being requested by several members, the international coordination fee will be levied on each member's section of the ACT appeal independently.

3. The fee, which will be calculated using the ACT Governing Board agreed percentage on the total target for each member's proposed programme in an appeal, will be added to the requesting member's budget. This amount will be the **maximum potential fee** collectible against a given appeal.

4. The fee will equally apply to those proposals that, although already fully funded prior to being issued by the ACT sand therefore no funding is requested, still become ACT appeals.

5. The **actual fee** due to the ACT secretariat that will be charged against an appeal will be **based on actual cash contributions received** towards the appeal, irrespective of the source of contributions/donations. This equally applies to those cash contributions that have been sent directly to the requesting member or its partners.
   Note: ***As long as no funding (cash) has been received by requesting member(s), there is no fee-related liability to the ACT secretariat.***

6. No fee will be levied on in-kind contributions (material aid and personnel seconded to assist a member in implementing the planned programs in an appeal).

7. No fee will be levied on an 'ACT Evaluation' budget included by the ACT Secretariat in an appeal.

8. Future appeals will not include a Geneva Coordination budget line, as expenses related to ACT secretariat staff field/ monitoring visits will be paid out of the ACT secretariat core budget.

9. As an exception: **only in large/complex appeals where the ACT secretariat would need to bring in additional human and other resources,** the ACT secretariat may build in a Geneva Coordination budget line. No international coordination fee will be added to this budget component.

10. No international coordination fee will be charged to the Rapid Response Fund (RRF) as this fund is only for immediate life-saving activities and requires less management by the ACT secretariat.

11. **Should a member fail to pay the fee, the ACT secretariat will not issue any future appeal proposals from that member until the outstanding fee is settled.**

How Will The International Coordination Fee Be Applied And Collected?

1. Each requesting member should add an amount equal to 3% [15] of their proposed budget against a line item named "ACT secretariat international coordination fee" in all appeal proposals submitted to the ACT secretariat. In reviewing the budget, the ACT secretariat will verify the accuracy of the amount. Should a member have omitted to include this, the ACT Secretariat will calculate the fee payable, based on the target and include it in the budget proposal before the appeal is issued.

2. The actual **international coordination fee due to the ACT secretariat** will be calculated based on ALL actual cash contributions received towards an appeal for programmes included under that appeal. Contributions from which the fee will be collected:
   - include cash sent **via the ACT secretariat.**
   - include cash sent **directly** from funder to requesting member or its partner.
   - include back- donor funds contributed towards an appeal.
   - include own contributions towards an appeal.
   - include cash contributions by those funders who are not ACT members but provide funding towards ACT appeals.
   - exclude in-kind donations (material aid and personnel).
   - exclude pledged but not yet received contributions. Deductions from pledges will be effected once they materialize into actual contributions received.
   - **To avoid double charging, unspent funds transferred from one appeal to another will not be subjected to the international coordination fee, provided that the international coordination fee has already been paid when the funds were originally contributed to the first appeal.**

3. For contributions sent via the ACT secretariat, the ACT secretariat will deduct 3% on receipt and forward the balance to the member(s). In support of the amount deducted, the ACT secretariat will raise an invoice for the fee and send it to the member who is receiving the funds for the appeal.

4. The ACT secretariat will only be able to deduct the fee from funds that pass through its accounts. The 3% international coordination fee from contributions that have been sent directly to requesting member **is payable to the ACT secretariat by the receiving member**. It is important that the requesting member establishes upfront as to who is responsible for paying the ICF to the ACT secretariat. Unless the funding member specifically states that it will be responsible for making the ICF payment to the ACT secretariat, the requesting member cannot assume that this is the case.

   Due to specific in-country situation of various members, different methods of collecting the fee on direct contributions may have to be agreed between the ACT secretariat and each requesting member.

   With regard to DIRECT contributions, there are 3 possible ways that may be considered and agreed with members:

   a) The funder deducts an amount equivalent to 3% of the **total** contribution and forwards it to the ACT secretariat before sending the remaining 97% to the receiving member. The funder concurrently sends a note to inform both the recipient and the secretariat of the full (97%+3%) amount contributed which is to be recorded as INCOME to the appeal.
      E.g.: if the total contribution made by the funding member is $100,000, then $3,000 can be sent to the ACT secretariat at $97,000 to the requesting member. It is important to note that the ICF is calculated on the total contribution of $100,000 and not on the net contribution of $97,000.
   b) On receipt of a direct cash contribution from which the international coordination fee has not already been deducted and sent to the secretariat, the receiving member should immediately

[15] Current ACT ICF rate as of 2012

inform the ACT Secretariat of the total amount received and authorize the ACT secretariat to deduct an amount equivalent to 3% of this contribution from any future contributions that are/would be received in Geneva. **However, if funds sent via Geneva are not sufficient to recover the international coordination fee to be charged against direct contributions mentioned above, this option will not be possible**. Should this be the case option c) would be the next to consider.

c) The receiving member transfer the 3 % fee into the bank account of the ACT secretariat [16]. As mentioned already, this possibility may not be practical for some members due to specific country regulations related to money transfers.

How will the fee be dealt with in appeal revisions?

In the event an appeal is revised, the "new/ revised" target amount will determine the maximum potential fee chargeable to an appeal. If the target is revised, then the fee budgeted in the appeal will also be revised accordingly.

Reporting for the international coordination fee

Reporting for the money taken as an international coordination fee will be done by both the requesting member and the ACT secretariat:

(a) By the requesting member

INCOME:
The amount to be reflected as income to an appeal in a requesting member's report should include the 3% fee that has been deducted. The requesting member will reflect the full amount as an income/contribution to their appeal even if the member has actually received less money due to part of the fee having been deducted by the ACT secretariat on receipt, or having been deducted by the funder and sent directly to the secretariat.

Example: assume Church of Sweden (CoS) has sent USD 100,000 contribution for appeal XXX101 to the ACT secretariat from which the ACT secretariat will deduct USD 3,000 (3% fee) and forward USD97,000 to member say LWF – see example below.

How will LWSI enter this transaction?

- LWF will debit their bank account with USD97, 000 which agrees with the amount received.
- LWF will have to register the full USD100, 000 as INCOME contributed by CoS to the appeal.

At the same time, LWF will register the amount that was deducted by the ACT Secretariat as an **EXPENSE** item – "International coordination fee". From the CoS example, the fee will be USD3,000.

(b) By the ACT secretariat

The ACT secretariat will reflect the international coordination fee received as income in its Audited Income and Expenditure Statement (AFS) for the year. In addition to the total international coordination fee income, the ACT Secretariat will provide a listing, by funding member name, of the amounts making up the international coordination fee for the year.

[16] Banking details: UBS Bank, Address P. O Box 2600, CH-1211 Genève. Account Holder: Action Alliance. Account Number 240-432629.00K, IBAN Number CH77 0024 0240 4326 2900K and Currency in which account held is Swiss Franc (CHF).

How the money would have been spent will be seen from the Expenditure side of the AFS of the ACT secretariat.

Appendix: Examples of Payment Advice and Invoice.

EXAMPLE

ACT Alliance Secretariat
150 route de Ferney P.O. Box 2100
1211 Geneva 2, Switzerland
Tel. +41 22 7916033
Fax +41 22 7916506

Lutheran World Federation
150, Route de Ferney
1211 Geneva 2
Switzerland

PAYMENT ADVICE NOTE

Bank Name:
Bank Account:
Swift Code:

Payment Date: 22nd March, 2012
Our Ref: **Pxxx**

Appeal No.	Appeal Name	Details of Payment	In US$	In US$
XXX101	XXXX	**Donations received from:**		
		Church of Sweden	100,000.00	
		Total Income	**100,000.00**	**100,000.00**
		Less: International Coordination Fee (ICF) - 3%*		(3,000.00)
		BALANCE TO PAY		**97,000.00**

SPECIAL INSTRUCTIONS:
* Please record US$100,000 as income and US$3,000 as an International Coordination Fee expense. See attached invoice in support of the ICF.
AFTER RECEIPT OF FUNDS, PLEASE COMPLETE THIS FORM AND RETURN BY EMAIL TO lc@actalliance.org OR POST TO

ACT Alliance Secretariat
P.O. Box 2100
1211 Geneva 2
Switzerland

On the …… We received the payment of ……

For which (state amount) …… was credited to us in local currency.

Bank charges if applicable amounted to ……

Name and Position: ……

_____ _____ _____
Signature Date Official Stamp

PLEASE DON'T FORGET TO ENCLOSE A COPY OF THE BANK CREDIT NOTE

Authorised by …… …….. Date……

EXAMPLE

ACT Alliance Secretariat
150 route de Ferney, P.O. Box 2100
1211 Geneva 2, Switzerland

Tel: +41 22 791 6033
Fax: +41 22 791 6506

INVOICE

Lutheran World Federation
150, Route de Ferney
1211 Geneva 2
Switzerland

Invoice Date: 23rd March, 2012
Invoice Number**: XX**

Appeal No.	Appeal Name	Refer Payment Advice	Invoiced amount	
			Other currency	USD
XXX101	XXXX	PXXX		3,000.00

Note: This invoice is in support of the International Coordination Fee which the ACT Alliance secretariat has deducted from the payment referred to above. **The amount deducted must be recorded both as income as well as an expense in the appeal.**

THE FIRST IN FIRST OUT (FIFO) PRINCIPLE — ANNEX 7.3

The FIFO principle is applied to identify the source of ACT appeal funds making up unspent balances upon closure.

BACKGROUND

In issuing ACT appeals it is assumed that requesting members do not have their own funds with which to respond. However, in their immediate response to an emergency, members often draw on other sources in anticipation of funding through to an appeal or allocate their own immediately available resources – stockpiled materials, personnel or cash. There is also a general understanding that in a disaster/ emergency response, funds are needed right from the beginning of the response operations.

Funds may be channeled from a funding member via the ACT secretariat or may be sent direct from the funding to the requesting member. Where funds are sent directly to a requesting member, it is an obligation of both the sending and the receiving member to inform the ACT secretariat immediately in writing. As a general rule, funds that are transferred to the ACT secretariat bank account are allocated to a requesting member(s) as earmarked or where not earmarked, allocated by the ACT secretariat and transferred into the bank account(s) of the requesting members in the appeal without delay.

Funding contributions to ACT appeals, both from within and outside the alliance, may be raised from either individuals or the public (termed “private” or “own funds” in our context) and/or from governments or institutions (termed “back donor” funding). Funding of appeals is unpredictable as members give on voluntary basis. The total amount that will be received and the timing of different contributions cannot be known in advance. Some appeals receive substantial funding in the first few months of issuing of an appeal while others may receive that much funding much later in the appeal implementation period.

In most emergencies, there is a rapid change in identified needs. For those members who do not have their own resources to draw from immediately, it can happen that by the time funds are received, it may be too late to implement some of the planned activities especially those related to the relief distribution. Hence, at times, not all income contributed towards planned emergency activities under an ACT appeal can be spent within the appeal timeframe. It also does happen that, for various reasons, funds are not fully spent within the approved period. Where this occurs, members may request to either extend the implementation period. This may entail revising some programs in the appeal, or close the appeal in line with the planned implementation period, but remain with unspent funds. Should the requesting member wish to use the unspent funds in a new appeal, permission must be sought from the funding members whose funds are part of the unspent balance.

WHAT IS THE FIRST IN FIRST OUT (FIFO)?

Based on the premise that funds are spent as they are received, the **First in First Out Principle** (FIFO) was chosen as the preferred system to be used to determine whose contribution makes up the unspent balance.

FIFO is recognized as a **principle** rather than a **policy**[17] that is used as a **first option** for determining contributions that have been spent within an appeal and those that make up any unspent balance. However, to a limited extent ***and only where there is a high likelihood of a negative impact from the constituency or back donor,*** some flexibility to waive FIFO may be permitted by the ACT secretariat general secretary.

Note: in cases where all received funds are spent within the timeline of an appeal, the issue of FIFO does not apply.

Because of the varied sources of funds, some of which are **private** and therefore, **more flexible** and others which are from **back donors** with limited **flexibility** and **stringent** conditions attached to them, the use of FIFO is sometimes questioned by the funding members giving the funds. ACT governance in its October, 2008 meeting, approved the FIFO principle with the flexibility that, at the general secretary's discretion, FIFO could at times be waived when conditions call for such a decision to be made.

HOW IS FIFO APPLIED WITHIN THE ACT APPEAL SYSTEM?

- Assuming that funds have been transferred, the principle is applied using the dates when **money *was received by the requesting member***. Therefore, by implication it applies to
  - ***all the funds that have been channeled through the ACT secretariat to the requesting member and***
  - ***all contributions that have been sent directly from funding member to requesting member.***

It excludes contributions that have been pledged but are still in the hands of a funding contributor.

- Should the ACT secretariat be holding some appeal funds in their bank accounts, it is logical that these funds are unspent and will remain so if the appeal is closed.

- While bearing in mind that the appeal funds (both through ACT secretariat and direct) are all put in one pot, the member who has received these funds knows exactly when the funds were received in their accounts (dates per bank statement); the member is therefore in a position to determine, using FIFO, whose contribution makes up the unspent balance. This assumes that no other conditions (except that the funds are to be spent in a given appeal), were attached to the contribution.

- Back donor funds are normally not the first contributions to be received; however, a number of these contributions may have specific dates by when the money should be spent. Usage of back donor funds is less flexible than private or public funds. ***Where requesting members have committed, either through a signed or verbal financing agreement*** [18]***, to comply with the specifications including timeframe attached to a contribution, then they are under obligation to ensure that the funds are spent accordingly.*** In the event of an unspent balance, flexibility to the FIFO principle may have to be applied.

[17] As a policy, flexibility, where justified, cannot be applied without the approval of the Executive Committee.
[18] This includes where the agreement may have been signed by the ACT secretariat

WHAT IS EXPECTED OF MEMBERS AND OF THE ACT SECRETARIAT?

- The ACT secretariat ***should first ensure that the requesting member will be able to spend the money and meet all conditions as stated in a financing agreement before signing acceptance of funds***. Once signed, the ACT secretariat should immediately forward to the requesting member a copy of the signed contract, drawing their attention to the specific conditions such as timelines.

- Members sourcing back donor funds should ensure requesting members understand and can fulfill the funding conditions and requirements where these are not met by standard ACT requirements.

- The ACT secretariat must be informed as soon as possible (prior to reaching appeal completion date) where members foresee that there will be unspent funds in an appeal. A report (financial and narrative) will enhance the understanding why and highlight areas where funds could not be spent.

- The funding member must be made aware by the ACT secretariat of the probability that there would be unspent at the end of the appeal **at least two months before the closure of the appeal, or three months where back donor funding is involved.** This notice period will give the funding contributor sufficient time to negotiate with their back donor. This implies a pro-active step by the requesting member implementing the appeal activities.

- Funding members who are approached for approval are expected to acknowledge receipt of the request, indicate what steps will be taken and, as soon as they have the response, to advise the ACT secretariat copying the requesting member.

ACT SITUATION REPORT (Sitrep) – FORMAT ANNEX 8

Situation reports (sitreps) are essential in any emergency response, in order to provide the reader with updated information on the status of the emergency response. In the ACT appeal system, sitreps are one of the required reports.

- **Focus**: the sitrep should provide information on the total ACT response, both within and outside the appeal, and including response by the ACT forum as well as by ACT members.

- **Frequency of sitrep preparation**: The frequency for Sitreps for all appeals shall be agreed with the Secretariat according to the scale of each emergency. In the early stages of an emergency, it is expected that the situation reports (sitreps) will be sent to the ACT secretariat more regularly (at least on a weekly basis) during the month of the preliminary appeal.

- **Target audience**: sitreps should be prepared with a broad audience in mind, including ACT Alliance members, the ACT secretariat (for inclusion on the ACT website), and various interlocutors in the emergency-affected country (government, UN system, NGOs, affected populations).

- **Contents**: sitreps should give an overall view of the situation, with emphasis on priority areas and with factual content and summary of changes since the last report. They should give a cumulative overview of the situation, what are people's most pressing needs, the combined emergency response of the ACT forum within and outside the appeal and challenges facing.

- **Length**: the sitrep should be telegraphic, concise and brief. Aim for 1-3 pages maximum.

SITUATION REPORT (SITREP) - MAXIMUM 3 PAGES

To be completed by ACT forum coordinator or chair. All ACT members are responsible for providing information on a timely basis.

Country		Name of ACT forum	
ACT appeal title and number		Situation report number	
Report prepared by		Date of situation report	

PART ONE

Situation overview

1. Briefly describe any major developments in the emergency since the last situation report.
2. What are people's most pressing needs?
3. What collaborations or partnerships are members involved in (e.g. UN Cluster Coordination)?
4. How does the ACT forum anticipate the situation developing over the next month?

Funding overview

3. What is the target (USD) of the appeal?
4. How much money has been secured for the ACT appeal (total of: firm pledges received, money received and other contributions)?
5. How much money has been secured outside of the ACT appeal (total of: firm pledges received, money received and other contributions)?

ACT emergency response

Briefly describe the combined emergency response of all ACT members since the last situation report:

- within the appeal
- outside the appeal

Challenges facing ACT forum

1. What challenges does the ACT forum face and what is needed to meet those challenges?
2. Are there any other issues to be noted?

PART TWO

What are ACT members doing both within and outside the ACT appeal?
Specify the work of each member separately indicating each sector. Please only specify projects with secured funds.

ACT member	Sector of work	Location of work	Number of people targeted (within the appeal)	Number of people assisted so far (within the appeal)	Number of people assisted so far (outside the appeal)
Name of member	*sector 1 e.g. WASH*				
	sector 2				
	sector 3				
Name of member	*sector 1*				
	sector 2				
	etc.				

ACT GUIDELINES FOR EXTENSIONS & REVISIONS OF APPEALS ANNEX 9

In both the ACT Preliminary Appeal, issued within seven days of a rapid onset emergency, and the ACT appeal, issued within thirty days, the planned implementation and duration of the Appeal are indicated. There are legitimate instances when either the life of an appeal must be extended, or the contents of the appeal document must be revised. These guidelines set out procedures to follow in both cases:

1. APPEAL EXTENSIONS

REASONS FOR EXTENSIONS MAY INCLUDE:

- indication of additional funding for an appeal
- arrival of late funding for an appeal
- late receipt of pledged funding for an appeal
- delays in implementation due to various controllable or uncontrollable factors
- oversubscribed appeals
- implementation driven by pace at which funds arrive
- poor planning and implementation
- overestimated implementing capacity by a requesting member

IMPLEMENTATION PERIOD

Indicate your estimated project timeline according to the proposed activities. Please note that the maximum period for a programme proposal is one year.

TIME PERIOD FOR EXTENSIONS

The maximum time allowed for an extension should be six months from the official closure date of the appeal. Possible exceptions to the rule may include appeals with recovery or sustainable development components for which, if an extension is requested for more than six months, the requests will be reviewed on a 'case by case' basis. If approved, the total maximum implementation period shall not exceed two years.

PROCEDURES (TIMING, APPROVAL, BACK-DONOR FUNDING)

An official request for an Appeal extension should be submitted to the ACT secretariat at least two months before the official closure of the ACT appeal, by the ACT forum, coordinating on behalf of the members, or directly by the requesting member (in countries where no forum exists). In cases where back-donor funding is involved, requests for extension should be submitted three months in advance.

Requests for appeal extensions should contain the following documents:

- cover letter providing motivation and justification for the request, along with indication of length of the extension
- interim narrative report
- interim financial report

2. APPEAL REVISIONS

REASONS FOR REVISIONS MAY INCLUDE:

Primary reasons

- Changes in humanitarian situation resulting in need for additional activities or adjustment of originally proposed activities. This may also include newly identified gaps in delivery of humanitarian aid.

Technical reasons

- Oversubscribed appeal
- Under-funded appeals (only exceptional cases)
- Inclusion of additional members into appeals
- Late receipt of funds

Requests for an Appeal revision can be sometimes coupled with a request for an appeal extension. In that case, the guidelines for Appeal extensions as regards the maximum time-period will apply.

PROCEDURES (TIMING, APPROVAL, BACK-DONOR FUNDING)

The ACT forum or the requesting member (where no forum exists) should consult with the applicable ACT regional program officer regarding a particular revision before they submit an official request for revision to the ACT secretariat. Forums/members must submit requests for an appeal revision at least two months before the official closure of the appeal in question. In cases where back-donor funding is involved, requests for extension should be submitted three months in advance.

Requests for appeal revisions should contain the following documents:

- cover letter providing rationale/motivation
- interim narrative report
- interim financial report
- Revised appeal proposal and budget (using the same format as ***Annex 6.3*** *with changes described below)*

What should be presented in the revised appeal proposal:

- Use the original ACT appeal issued by the secretariat as your work document, and not the original proposal submitted to ACT
- State all changes to the originally proposed activity, e.g. increase in numbers of affected/target populations, exclusion of an activity, or other operational revisions
- Highlight new activities / changes by using a different colour
- Make sure the changes you make to the revised appeal proposal are also expressed in the revised budget.

What should be presented in the revised budget:

The basic structure of the revised budget to be submitted in Excel is as follows.

Description	Type of Unit	Nr. of Units	Unit Cost local currency	Original Budget local currency 1 February 2012	Original Budget US$ 1 February 2012	Actual local currency 1 July 2012	Actual US$ 1 July 2012	Revision 1 Budget local currency 1 July 2012	Revision 1 Budget US$ 1 July 2012

INCOME									
TOTAL INCOME									
EXPENDITURE									
TOTAL ESTIMATED EXPENDITURE									
BALANCE REQUESTED									

Exchange Rate: US$ 1 =

All amounts need to be stated in US$ and the local currency.

- Original Budget
  - using the approved budget/ reporting spreadsheet (in Excel) which was sent back by the ACT secretariat to the requesting member immediately after the appeal was issued, insert a column for the Original Budget, including the date of issue of appeal. Note that this column will have no formulas in the various cells except for the total for each category.
  - When an appeal is revised a second time, use the revision 1 budget as the original budget. Similarly, if the appeal is revised a for the third time, use the revision 2 budget as the original budget.
  - Type the budget amounts for each budget line as it was before any revision.

- Label the budget column (which contains the various formulas) "Revision 1 Budget" and include the date of the revision.

- New budget lines
  - Insert rows where new budget lines are needed and write the descriptions
  - Copy formulas from the relevant cells which have been formatted previously.

- Income
  - List in both the 'revised budget' and 'actual columns', by donor, all income received through ACT secretariat
  - List in both the 'revised budget' and 'actual columns', by donor, all income (cash and in kind donations) received directly from donors
  - List in the 'revised budget' column only, by donor, all income (cash and in kind) pledged both through ACT secretariat and directly.

- Expenditure
  - Delete all quantities and unit costs that relate to the original budget and type in the new data. Exceptions are where no changes (quantities and / or cost) are foreseen.
  - Type in the new quantities and new costs where applicable and the budget per line will automatically be calculated.
  - The budget lines for which, in the revised situation, there will be no further movement but some expenditure has been incurred prior to revising, then adjust the revised budget to the level of expenditure already incurred.
  - The budget lines for which no expenditure was incurred and none would be incurred in the revised situation should be left as a zero or blank.
  - Adjust exchange rate where necessary

- Actual Expenditure
  - Filling in the column with the actual expenditure to date of revision will give a sense or a full picture of what has been spent so far for each budget line and what would still be done in the remaining period.

- Balance requested
  - From the level of funding already received and committed (presented herein), it is possible to know how much more is still needed for the planned activities to be carried out.

ACT APPEAL AND RRF REPORTING GUIDELINES ANNEX 10

Note: Give your auditors these reporting guidelines and review them before the audit begins.

These reporting guidelines pertain to ACT members who have received funds through a RRF or an ACT appeal. The ACT secretariat is required by the ACT Alliance to obtain, review and forward timely reports to ACT funding members for use by themselves and their back-donors. All requesting members should follow these guidelines in order to fulfil their obligations under the ACT Alliance Membership Cooperation Agreement.

1. REPORTS TO BE SUBMITTED

An RRF and an ACT appeal should be treated separately from the normal activities of the requesting member, and will therefore require separate records and reporting. Reports required for ACT appeals and RRFs are as follows:

1.1. Situation Reports (Sitreps)
1.2. Interim Narrative and Financial Reports
1.3. Final Narrative and Financial Reports
1.4. Audit Report including a Management Letter from the auditor

When a RRF leads to an appeal, the RRF activities/budget must be included in the appeal document/budget. In such situations, preparing separate reports for the RRF will no longer be necessary, as reporting under the appeal will also cover the RRF activities.

2. TIME FRAME FOR PROJECT AND FREQUENCY OF REPORTING

Each ACT RRF/appeal has a start and a completion date. Implementation is expected to be completed by the date specified in the appeal and an extension can only be agreed upon if a request is made to the ACT secretariat prior to the completion date stated in the appeal (see Annex 9: ACT Alliance Guidelines for Extensions and Revisions of Appeals).

2.1 Situation Reports (Sitreps)

At the end of the first month following the emergency, the member(s) receiving RRF funding will submit a situation report (Sitrep) to the ACT secretariat, using the ACT Sitrep format.

In the early stages of an emergency, it is expected that weekly situation reports (Sitreps) will be sent to the ACT secretariat during the month of the preliminary appeal. During the implementation of the appeal it will be prepared monthly and it will be provided to the ACT secretariat the last day of the month. (see Annex 8 ACT Sitrep format).

2.2 Interim Reports

An Interim Narrative and Financial Report describing the activities for the first half of the implementation period (if it does not exceed 12 months) should be submitted to the ACT secretariat. The reporting schedule

to be followed is included on the executive summary of the appeal (issued by the ACT secretariat). If the appeal period is extended to 18 months, the interim reporting is required for each six-month period.

2.3 Final reports

The Final Narrative and Financial Report are due within 60 days of completion of the appeal and they should be sent at the same time.

2.4 Audit report and management letter

An Audit Report and management letter signed by the auditors should be sent to the ACT secretariat within 90 days of the completion date of the appeal. The audit report should be in the same format as the appeal budget and final financial report.

2.5 Compliance

If final narrative, financial and audit reports, according to the ACT reporting guidelines, are not received within 3 months after the deadline specified in the appeal, the ACT member involved will not be included in any further appeal, until reports according to the ACT standards are received. When final reports and audit report are received and reviewed/cleared, the ACT requesting member will again be qualified for inclusion in an ACT Appeal.

In cases of non-compliance with the reporting guidelines from a field/national/regional office of an international ACT member, this procedure will initially only be applied towards the noncompliant office of the ACT member. The headquarters of the ACT member must be informed about the situation and be requested to bring the field office into compliance within 6 months. Otherwise, ACT governance reserves the right to apply additional sanctions to the entire organization.

3. BACK-DONOR (GOVERNMENT) FUNDING

When a grant has been provided by a back-donor (government), specific reporting might be required, outside the regular ACT reporting requirements. Before accepting these reporting requirements, the funding member must first make an attempt to negotiate with the back-donor that they accept the regular ACT reporting requirements.

In case additional reporting requirements are required, then the funding member has the obligation to first check if the requesting member can fulfil the additional reporting requirements, before transferring funds. The ACT secretariat will forward a copy of the back-donor guidelines to the requesting member when the first payment is made. Requesting members should read them carefully and comply with them. Back-donor reporting guidelines will take precedence over the ACT reporting guidelines when reporting to the specific funding member.

4. NARRATIVE REPORTS (INTERIM AND FINAL)

The Narrative Report is the description of the activities implemented compared with the original objectives and activities stated in the appeal. The Narrative Report will be based on the log frame, and will report against elements of the log frame to provide output information as well as demonstrate outcomes as much as possible. The report will focus on how the daily lives of people were improved by the assistance

provided. It should also detail the successes and problems encountered in implementation and the rationale for any changes in programme.

The final reports are cumulative meaning they should describe the results (outputs and outcomes) of the whole implementation period of the RRF/appeal. The final report will include a chapter on 'lessons learned' and how these will be used in the future.

Narrative Reports should include:

Part I – Executive Summary

- List appeal title and number
- State the period that is being reported
- State report status (interim or final)
- State financial figures: total requirements, less pledges, balance of requirements

Part II – Operational Context (maximum half page)

Provide one paragraph on original situation immediately following the emergency and another on how the situation stands now.

Part III – Emergency Response Achievements

Report using the log frame on activities based on sectors accomplished, outputs and outcomes achieved on the basis of the overall goal of the appeal and objectives.

Part IV - Total ACT Response to the Emergency (maximum 1 page)

Provide brief summary of activities of ACT members inside and outside the appeal, in order to capture in summary form the total ACT response. Indicators are expected to be sensitive to cross-cutting issues, to expect reporting that is sensitive to cross-cutting issues, but this might not be the case. Therefore, efforts shall me made to ensure that reporting on achievements reflect progress in all cross-cutting issues identified in section 4.2.

Part V – Lessons learned (maximum 1 page)

Include 'lessons learned' and how these will be used in the future. Lessons must depict successful approaches or practices that can be replicated in the future to improve programme quality and impact. A key issue for learning is to support knowledge management practices that promote learning while ensuring that the process of learning is an important as the expected outcomes. Using lessons to improve programme results and quality is part of results-based management practice.

Note: *Tables, charts, graphs and maps may be included in the report if they help to explain the implementation more clearly.*

5. FINANCIAL REPORTS

5.1 An ACT project should be treated separately from the normal activities of the requesting member, and will therefore require separate records and reporting.

5.2 If there is more than one requesting member in an appeal, and they are working on independent projects, each should report separately.

5.3 If there is more than one requesting member in an appeal and they are working together to implement one project, the requesting member whose responsibility will be reporting should be agreed on in advance and communicated in writing to the ACT secretariat.

5.4 Financial reports should be prepared according to International Financial Reporting Standards (IFRS) or according to the statutory financial reporting regulations of the country. Reports will be prepared on an accrual basis. Unpaid expenses must be accrued as appropriate at the end of a reporting period.

5.5 The financial reports should be presented in both US dollars and local currency. The only exception is if a majority of the expenses are incurred in US$, in which case the budget and financial reports can be presented in US$ only. The exchange rate used to convert foreign currency income into local currency will be the actual exchange rate on the date the transaction took place. The exchange rate used to convert local currency expenses to US$ will be either the actual exchange rate on the date the transaction took place or a weighted average rate for the period concerned. Funds forwarded by the ACT secretariat will be in US dollars or in Euros.

5.6 There may be a requirement for the financial report to be divided into earmarked and non-earmarked sections and for separate sections for back-donor grants to be included. This will occur when a funding member has earmarked its contribution or a back-donor has provided a grant for specific sections of the project. The ACT secretariat will advise the requesting member when a contribution has special earmarking. Such earmarking and special designation of funds will require strict implementation, time limits and reporting.

5.7 When listing 'income received', each contribution should be listed separately given individual funding member name and by date in the local currency and US$. Donor project reference numbers, if any and Payment Advice numbers should be included. The ACT secretariat provides these details on the Payment Advice, whenever contributions are transferred to requesting members.

5.8 Those contributions sent directly to the requesting member by the donor instead of through the ACT secretariat must be included in the appeal income section under the income direct contribution section giving individual funding member name and by date.

5.9 Those in kind contributions sent directly to the requesting member specific to the appeal should be included in the appeal income section under the in-kind contribution section giving individual funding member name and by date. If a requesting member receives in kind contributions that are outside the appeal approved budget, they should not be reflected under income.

5.10 Those in-kind contributions that are reflected as income should also be clearly indicated in the expenditure section. Any in-kind contributions not distributed by the end of the project must be reported on, and an inventory list should be drawn up.

5.11 Approved balances carried forward from the previous appeals must be clearly shown, listing the funding member name. **Balances can be carried forward to another appeal, only with funding member approval. If no approval is received, the requesting member must return the unspent funds to the funding member, using the FIFO principle.**

5.12 Interest earned should be included in the income section.

5.13 Financial reports will show columns for the budgeted income and expenditure as per the appeal document, actual income and expenditure and variance. When an appeal has been revised, the budget column needs to reflect the revised budget as per the revised appeal and not the original budget. See annex 9 for detailed explanations.

5.14 In the situation where some of the funds are earmarked, then budget line items such as staff, office rent, vehicle expenses, etc. can be apportioned in accordance with total funds available. The ACT secretariat will provide advice upon request.

5.15 If budget totals / heads exceed the approved budget by more than 10%, **prior approval needs to be obtained from the ACT secretariat**. This rule is applicable only to budget totals / heads and is not to be applied on a line by line basis. Subsequently when the financial report is prepared, explanatory notes to the accounts should be included where there is an adverse variance of 10% or more. No explanation is required if the variance is less than US$ 100. The location and contents of the notes must be clear. If prior approval has not been requested and if no satisfactory explanation is provided, the ACT secretariat reserves the right to disallow the expenditure and request a refund.

5.16 Any unspent funds must be clearly shown in the balance. Any unspent back-donor grants must be returned to the back donor, including interest earned as well as profit due to exchange fluctuations in respect of unspent back-donor funds. Other unspent funds cannot be used for any purpose without the prior written approval of the funding member to whom they correspond, according to the FIFO principle. The ACT secretariat will assist the requesting member to determine whom the unspent funds belong to.

5.17 Capital Assets over US$ 500: In preparing the Final Report, the requesting member must list each Capital Asset over US$ 500 actually purchased and the final disposition of the asset. Depreciation expenses should not be recognised.

5.18 The overall final accounts shall be endorsed by the requesting member's management staff, which by way of their signature vouch for the contents of the final accounts. Please do not send bound copies of reports, because they have to be scanned and sent to donors.

Note: *requesting members must not commit themselves to activities that exceed the funding available, as they will have to bare the loss of such overspending.*

6. AUDIT REPORT AND MANAGEMENT LETTER

6.1 If the contributions to an appeal or RRF exceed US$ 50,000, the requesting member is required to have the financial statements of the appeal audited by an external firm of auditors and submitted to the ACT secretariat, along with a management letter signed by the auditor.

6.2 The audit firm must (a) be registered with a recognized institute of registered public auditors and be authorized to act as an auditor, according to the laws of the country in which the auditor is practicing in (b) consist of a minimum of two registered public auditors and not a sole registered public auditor and (c) normally be rotated a minimum once every 5 years. If the requesting member cannot comply with (c), prior written approval needs to be requested from the ACT secretariat, with appropriate justification.

6.3 The audit shall be carried out in conformity with sound auditing principles and shall comprise whatever initiatives the auditor may deem necessary. The auditor shall prepare and carry out the

audit with a view to ascertaining that the accounts do not contain essential misrepresentations and/or shortcomings. The audit report must contain an opinion on the true and fairness of the accounts.

6.4 The audit report and management letter can be made in the language of the country but the requesting member must send the English version to ACT secretariat. It must be signed by the auditor.

6.5 Draft audit reports and management letters should not be sent. Only the finalized dated audit report and management letter containing the auditors' signature must be sent. The audit report and management letter must initially be scanned and sent electronically and then followed by posting an original to the ACT secretariat.

6.6 If a member receives less than US$ 50,000, an audit report does not need to be submitted to the ACT secretariat. However, the member must include the appeal and RRF in the annual audit of the member organization. Income and expenditure incurred on the appeal and RRF should be clearly distinguished and identifiable from the annual audit report. While ACT will not be requesting these audit reports on a regular basis, the member must be able to produce the annual audit report upon request by the ACT secretariat. . In this instance, it is recommended, but not a must to submit a management letter signed by the auditor to ACT Secretariat.

6.7 When a requesting member works with multiple partners in an RRF or appeal, submitting separate audit reports and management letters for each of the partners is not acceptable. Instead, a consolidated audit report and management letter in the format of the appeal budget and final financial report is required. This will require advanced planning at the early stages of the appeal with the auditor, in order to determine how the audit will be conducted.

6.8 Similarly, in a jointly implemented appeal where the forum appoints one lead requesting member who is responsible for receiving funds and reporting, the lead requesting member is responsible to provide a consolidated audit report and management letter, in the format of the appeal budget and final financial report. Separate audit reports for each of the members and/ partners working under the lead requesting member is not acceptable.

6.9 The audit report shall follow the same format as the appeal budget and final financial report.

6.10 Where the auditor has not been able to audit part of or all of the accounts, the auditor shall make a statement to this effect indicating the reason.

6.11 Where back-donor funds have been provided, the auditor shall comply with the back donor's audit requirements as stated in the back donor's guidelines, if any.

6.12 Where back-donor funds have been provided, the paragraph about applied accounting principles shall confirm that the accounts have been prepared in accordance with back-donor guidelines, if any.

Audit Report and management letter as part of annual organizational audit of requesting member

6.13 The ACT appeal can also be part of the requesting member's overall annual audit**. This option is available, only if the audit report and management letter can be sent to the ACT secretariat within 90 days of the completion of the appeal or RRF.** The ACT appeal should have a separate detailed section in the audited financial statements and income and expenditure should be reported in the same format as the appeal budget and final financial report.

Note: *When the audit is part of the organisation's annual audit, the requesting member will be expected to cover the cost of the audit.*

Special Audits

6.14 When a funding member requires a special audit (e.g. Resource Management Audit), either to report to back-donors or because it is part of the requirements for donating the funds, or for some other reason, the funding member will be expected to cover the cost of that audit. The cost of such an audit can be paid from an appropriate amount retained for such purposes from the funding member's contribution. The carrying out of such an audit and the funding of the audit must be agreed upon at the time the contribution is received.

Note:
If a separate or special audit report is required, the cost of the audit can be provided for in the appeal at the time of preparation of the appeal budget.

7. RECORDS TO BE KEPT BY THE REQUESTING MEMBER

7.1 Statistical information and data

The requesting member shall put together statistical information and data about the implementation of the appeal (e.g., affected populations, items distributed, participation in workshops, etc). This information will form part of the narrative report and will support the information provided in the narrative description of the activities.

7.2 Financial and audit reports

The requesting member shall keep fully documented financial records, which will include all cash books journals, computer transactions, receipts, payments, invoices, cheque stubs, bank statements, purchase orders, quotations, etc. The accounts should be kept in accordance with sound bookkeeping and accounting principles.

7.3 Retention of records

All financial and statistical records must be kept for seven (7) years after completion of the appeal. If and when required, records must be made available to representatives of the ACT secretariat, representatives of donors and back-donors.

ACT APPEAL FINANCIAL REPORT FORMAT – SAMPLE

ANNEX 10.1

Requesting member:													
Document:	**Interim Financial report**												
Appeal number:													
Appeal title:													
Implementation period:													
Period of reporting:													
Reporting schedule:	**Interim R.**	**Final R.**	**Audit R.**										
						Actual				**Actual**			**Notes: (1)**
						State local currency				USD			
INCOME - Received by Requesting Member via ACT Secretariat, Geneva													
Date	Donor Name												
	List by date & donor name and fill in amount- indicate original currency amount and Payment Advice #												
INCOME - Cash received directly from donors													
Date	Donor Name												
	List by date, donor name and fill in amount- indicate original currency amount												
INCOME - In-kind donations received													
Date	Donor Name												
	List by date, donor name and fill in amount- indicate items received in brief												

TOTAL INCOME						**0**				**0**			
EXPENDITURE		**Type of Unit**	**No. Of Units**	**Unit Cost**	**Budget**	**Actual**	**Variance**	**Variance**	**Budget**	**Actual**	**Variance**	**Variance**	
				State local	*State local*	*State local*	*State local*	*State local*	**USD**	**USD**	**USD**	**%**	
				currency	*currency*	*currency*	*currency*	*%*					
DIRECT COST (LIST EXPENDITURE BY SECTOR)													
Food security					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Water, sanitation & hygiene					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Health					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Nutrition					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Non-food items					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Shelter & settlement							0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Emergency preparedness					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Protection					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Psychosocial support					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Education							0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Early recovery and livelihood restoration					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Mine action					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Other Sector Related Direct Costs													
Salaries & benefits for direct staff (e.g. nutritionist, engineers, program officer / coordinator, driver of nutritionist etc.)													
(List by type of item)					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	

Needs Assessment					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Rapid Support Team					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Communication/visibility cost					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Security cost					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Beneficiary Selection					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
TRANSPORT, WAREHOUSING & HANDLING													
Transport													
Hire/ Rental of Vehicles					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Fuel					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Warehousing													
Rental of warehouse					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Wages for Security/ Guards					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Handling													
Salaries for Logistician and Procurement Officer					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Wages for labourers					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Wages for drivers					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
CAPITAL ASSETS (over US$500)													
Computers and accessories					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Printers					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Office Furniture					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Vehicles					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Communications equipment e.g. camera, video camera, sound recording, satellite phone…					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
TOTAL DIRECT COSTS					**0**	**0**	**0**	**#DIV/0!**	**0**	**0**	**0**	**#DIV/0!**	

INDIRECT COSTS: PERSONNEL, ADMINISTRATION, OPERATIONS & SUPPORT													
Staff salaries													
Salaries e. g % for Programme Director)					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Salaries e. g % for Finance Director)					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Salaries for accountant and other admin or secretarial staff …..)					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Staff benefits							0.00						
Housing Allowances					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Etc.					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Office Operations							0.00						
Office rent					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Office Utilities					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Office stationery					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Communications							0.00						
Telephone and fax					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Other							0.00						
Insurance					0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
							0.00						
TOTAL INDIRECT COSTS: PERSONNEL, ADMIN & SUPPORT					**0**	**0**	**0**	#DIV/0!	**0**	**0**	**0**	**#DIV/0!**	
AUDIT, MONITORING & EVALUATION													
Audit of ACT Appeal		Estimate			0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
Monitoring & Evaluation		Estimate			0.00		0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
TOTAL AUDIT, MONITORING & EVALUATION					**0**	**0**	**0**	**#DIV/0!**	**0**	**0**	**0**	**#DIV/0!**	
TOTAL EXPENDITURE exclusive International Coordination Fee					0.00	0	0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	

Internat. Coordination Fee (ICF)-3%						0.00	0.00	#DIV/0!	0.00	0.00	0.00	#DIV/0!	
TOTAL EXPENDITURE inclusive International Coordination Fee					0	0	0	**#DIV/0!**	**0**	**0**	**0**	#DIV/0!	
BALANCE OF FUNDS AVAILABLE						**0**				**0**			
EXCHANGE RATE: local currency to 1 USD													
Budget		1.00											
Actual Rate Used		1.00											
PROPOSED DISPOSITION OF CAPITAL ASSETS at Completion date													
ITEM - (List each over US$500)		Actual Cost		Disposition									
Notes: (1) Explanation of items with a variance of more than 10% and more than 100 USD.													
PLEASE NOTE:													
Enter name of requesting member, if document is interim or final.													
Enter period for which the reporting is being done.													
For reporting purposes, provide the data for actual income and expenditure in the column for local currency.													
Enter the actual exchange rate. The US dollar equivalent amounts will automatically be calculated because of the formula.													
The variance (both in monetary value and percentage) will automatically be calculated as formulas have been inserted.													

Insert rate applicable at time of budget preparation

Insert actual rate used . The rate depends on the policy of the organization - example - could be monthly average rate etc

Call-outs are given to provide clarification. Delete when preparing the budget.												

ACT MONITORING AND EVALUATION GUIDELINES ANNEX 11

ACT members are normally responsible for monitoring and evaluating their emergency response. All are expected to use high standards of PME methodologies and processes.

To the extent possible ACT members are expected to coordinate monitoring visits and to participate together in evaluations. ACT will undertake evaluations of all appeals over the amount of 5 million USD. These evaluations will include the total ACT response; i.e. the work of members who receive funding both within and outside of an appeal. ACT evaluations will also recognize the broader humanitarian response by other external actors including the Government, UN, INGO and others.

Lessons of good-practice resulting from ACT evaluations will be documented and shared for use in on-going and future ACT appeals.

In order to support the PME work of members, and to improve quality and accountability in ACT humanitarian response, PME guidelines have been developed that can be used broadly within the ACT Alliance. They are intended to promote coherent high quality and accountable implementation of ACT appeals with focus on immediate and lasting impact. ACT PME guidelines aim to clarify procedures for establishing, managing and supporting M&E systems and ensuring that M&E results are utilized to inform project implementation. Lessons of good-practice must be documented and shared for immediate use in on-going and future ACT appeals.

Effective monitoring systems for collecting and analyzing performance data strengthen evaluations. Therefore ACT supports the rigorous analysis and use of M&E data collected both for the purpose of informing implementation decision and providing data to strengthen evaluation findings. This necessary inter-phase between routine monitoring and specific evaluations must be emphasized throughout the design and implementation of M&E systems. ACT PME guidelines promote the focus on project outcomes and impact as well as addressing the concerns on timeliness and quality of reports. These will substantially contribute to demonstrating of results, improving quality and strengthening accountability within ACT Alliance.

The ACT Evaluation Policy and Guidelines along with the ACT PME Handbook provide relevant guidelines, principles and standards for design and implementation of monitoring systems for ACT appeals. Both of these PME documents are available on the ACT website.

Key issues for ACT PME include:

PLANNING, MONITORING AND REPORTING

- All ACT appeals shall include the Logframe that defines specific indicators for measuring progress and performance
- Interim/final narrative reports shall be based on output and outcome indicators as identified in the Logframe at the outset of the appeal

The implementation of each appeal shall be accompanied by a simple monitoring and evaluation system that allow for collecting, analyzing and reporting on specific indicators.

EVALUATION

- ACT evaluations shall be conducted by independent/external consultants for all appeals valued at or above USD 5 million
- ACT evaluations can be real time evaluations conducted 2-3 months into the implementation; or final evaluations conducted towards the end of implementation of ACT appeals
- Internal evaluations for appeals worth less than USD 5 million shall be conducted only for specific appeals with potential for learning new lessons. ACT members can also do internal evaluations on their own.

LEARNING

Monitoring and evaluation results shall be utilized to make programme decisions, demonstrate results, write reports or promote learning amount ACT members implementing the appeals and to serve learning of wider ACT Alliance.

The details of ACT monitoring and evaluation systems and their important linkage with planning and learning are contained in the following PME documents which can be found on ACT website:

- ACT evaluation policy and guidelines
- ACT PME Handbook

ACT COMMUNICATIONS IN EMEGENCIES - GUIDELINES ANNEX 12

1. GUIDELINES AND CRITERIA FOR ARTICLES THAT WILL BE LINKED TO/FROM ACT WEBSITE

Articles should

a. Aim to include quotes and stories of affected populations and communities and be accompanied by at least one clear photo
b. Include accurate contextual information, whether supplied by the media, other NGOs, UN bodies, the Red Cross, local and national officials, civil society organisations or local churches
c. Be written in a professional journalistic style suitable for an external audience
d. Present interesting and unusual angles
e. Foreground ACT Alliance

The ACT website will include a link to the story if the following two criteria are satisfied, subject to it being of a high enough quality in the opinion of the secretariat head of communications:

a. A hyperlink, one-line synopsis and thumbnail photo are sent to the secretariat
b. The article mentions ACT Alliance at least once in the body of the text

2. ACT HOW-TO GUIDE ON WEBSITE STORY WRITING

The ACT website welcomes journalistic stories about ACT's work and concerns that pass the newsworthy test – i.e. they must contain news that is urgent, interesting, timely and relevant. We look for stories of 300-500 words that are dramatic and interesting, written in clear English and avoid unexplained acronyms or jargon. An article must consider the following:

2.1. What's the story? A story is an evolving narrative about something that has happened or is happening, containing descriptive detail and focusing on a subject, which could be a person/some people/a community/an idea/a thing/an organisation/a campaign. A statement or a description alone does not a story make. A story is writing that unfolds as you proceed so that readers can go on a journey with you. By the end of a story, readers should feel they've witnessed or understood something they didn't know at the beginning. The stories of real people experiencing extraordinary things often provide a compelling way of drilling down into underlying social and economic issues.

2.2. ACT's work The story must show the work ACT is doing in response to the emergency or development or advocacy matter. It must describe its most notable aspects and show how many people have benefited from this work and in what way. All articles on the ACT website must foreground ACT as the important, active entity in a story, over and above the member organisation, making mention of the member only in relation to ACT i.e. "ACT distributes food parcels in Cambodia" or "ACT member CWS has built 30 houses in the area for flood survivors". We are not interested in puff – simple boasts about ACT's work. Stories must integrate ACT in as natural and imaginative a way as possible.

2.3. Audience Think about your audience. Why would people want to read this story? Why do you want them to read it? How can you win their attention? Remember that you're writing for your readers, not

yourselves or your superiors. ACT also supplies to media outlets, such as other website, newspapers, wire agencies, radio and television stations, as well as think tanks and educational institutions. They expect professionally written, original, journalistic pieces and, similarly, have to be 'sold' on the story.

2.4. **Angle, lead, headline** Stories should be presented using a particular angle or slant. This makes the purpose of the story clear and gives it focus. Write news stories with a crisp, clear lead sentence. A good lead grabs the attention of the reader to go further. The lead sentence should give the most important information and normally hang on the angle. Put the most important news at the top, giving the reader a good overview of the entire story. The rest of the article explains and expands on the introduction. Assume an editor might cut off the story at any point. Does the story work if the editor decides to use only the first two paragraphs? If not, re-write so that the most important information is high up. Editors deciding whether to use a news story often just read the first paragraph. They should understand the issue from reading this paragraph. Ensure your stories for ACT do the same. The reader will decide to read the story only if the headline and the first sentences are of interest. If you can interest the editor, you are on your way. The headline summarises the story in a short, punchy manner. It can make or break the story. A good headline will make the reader want to find out more – it will instil curiosity, and promise answers to questions or solutions to problems. It should ideally be no longer than seven words. Write the headline last.

2.5. **The five W's and how** The first paragraph in a news story must explain: who? what? where? when? why? how? The most important information should come first in a sentence and also in a paragraph. The background to the story – the who, what, where, when, why and how, including the number of people affected and why this matters. Remember, facts are sacred, comment is free. You must check and double-check all your facts, cite sources and never rely on just one source. Always interview at least two people before you submit your story and cross-check your information with relevant international and local sources. Always read and re-read articles carefully. Check first that you understand the story. Check the facts are right and the spellings correct. Stories that have clearly not been checked will be delayed and may be sent back. Be especially careful spelling people's names.

2.6. **Quotes** Include a quote or two from at least one eye-witness on the ground who is named and briefly described. We don't only need to hear from 'grateful beneficiaries'. We want to hear the voices of people with a huge range of opinions, experiences and stories – which may sometimes be complex, angry or challenging. Quotes bring a story to life. Let the sources show the issue in a story with lively and pithy quotes. Stories are about people, after all. Without quotes, they can be very dry.

2.7. **No jargon** At all costs avoid jargon known only to emergency relief and development organisations. Try to avoid abbreviations. Use acronyms in the second instance (i.e. write United Nations first time, thereafter UN). Don't use flowery language, such as heavily descriptive language or adjectives. Remove words which aren't completely necessary.

2.8. **Objectivity** Stories should also offer a differing view to that expressed in the main part of the story. All stories that carry a strong advocacy message should report a view that is incongruent. That is, state the argument of the opposite side even if it is not valid, popular or just.

2.9. **Length and language** For news stories, we're looking for stories of 300 words, with subheadings throughout. For feature stories, we need stories of 500 words with subheadings. Every story should accurate and concise. Avoid long sentences. No-one should have to read sentences that ramble. Use British English: e.g. 'organisation' not 'organization' and conform to Guardian Style (see the free,

alphabetically listed guide at http://www.guardian.co.uk/styleguide). Write the location and date of the story (e.g. San Salvador, August 9, 2011) at the beginning of the story, as well as your name.

2.10. Photographs To give as evocative a picture as possible of the situation, pictures need to show both the physical damage of an emergency, for example, and the reactions/emotions of the people affected. Stories can't be uploaded to the ACT website without at least one photo that is shows people affected or something of the ACT response. Pictures must be sent as jpgs, be taken at your camera's highest resolution, in focus and well composed.

3. ACT HOW-TO GUIDE ON PHOTOGRAPHY AND CAPTIONS

REQUIREMENTS FOR PHOTOS

- **Resolution**: shoot at your camera's highest resolution. Photos delivered to ACT should be high resolution JPGs.
- **Caption**: photos are often dealt with in isolation. Because of this, treat each caption as if it is the only caption the viewer will see – it needs to be fully self-explanatory. If there are 100 photos about ACT responding to an earthquake, each caption should mention the background of the earthquake.

Please include the following whenever possible:

  - **Background information**: of the context and the ACT member's work depicted in the image.
  - **Description of what is happening** in the photo.
  - **Names** of the people (and ages) when possible.
  - **Describe the impact** the ACT member's work on beneficiaries' lives. If possible, include quotes from the beneficiaries.
  - **Location** (village/city name and country).

- **Credit**: we need to know who the photographer is, and if they work for an organisation we need to know the name of the organisation. We need to give credit, and protect people who make their living producing images. The current format we are using for crediting photographers is:

  ACT/ photographer's organisation /photographer's name

  For example: ACT /DCA/Nils Carstensen

  (Note: we are not saying ACT Alliance in the credit, only ACT – in order to keep it short and snappy)
- **Metadata**: having the information about the image carried within the image file, as metatags in the IPTC fields means the image can be shared without the need for separate sheets of information or unnecessary re-keying and it can be found in database searches. Information for caption, credit and country all need to be placed in the IPTC data of the images files. Programmes like Adobe Bridge help you to do that. If you know how to do this we would be very grateful if you would. If not, secretariat staff will have to cut and paste or re-key the information to the IPTC field and this causes delays.
- **Delivery**: You can load images for the ACT MediaBank to the ACT server (hostname: media.actalliance.org, username: media@actalliance.org, password: actmedia, then send notification email to ACTCOM@actalliance.org). Or use a service like yousendit.com, email them to us, or load the photos directly to the ACT MediaBank (sign up for an account at www.photos.actalliance.org and then follow the instructions for uploading).

- **Releases**: photo releases are required for photos of people living with HIV, people who have been trafficked or raped or people in difficult medical situations. Other than these situations, releases are not required.

PHOTO CONTENT

The following are situations or content we would particularly like you to photograph:

- Where an ACT logo is visible in the photo: signs, the ACT logo on hats and clothing, etc.
- Photos that show what ACT is doing. Portrait shots are always important, but more important is to show ACT members in action and how ACT's work is improving people's lives.
- We generally are looking for positive images rather than negative ones - images that convey hope and the good that is happening in people's lives. While it is often said that we like to avoid images of children with swollen bellies and flies in their eyes, the pain of an emergency is often part of the story, and part of a truthful representation of a situation. Even so, we still look for the hope in the midst of emergencies and other difficult situations.
- Most of the photos should be of the people that ACT members are working for, the people who are the intended beneficiaries, but photos of ACT member organisations' staff in action are also useful.
- Provide a mix of both horizontal and vertical photos to give graphic designers options when they are doing a layout.

CAPTION EXAMPLES



To show what we are looking for in caption writing, here are a couple of examples:

Bad caption: "woman washing foot in India." (who is she, how does she relate to ACT, and what is the context?)

Good caption: "Health worker Bonita Noyok, 35, treats a lymphatic filariasis patient in Orissa, India. Lymphatic filariasis, also known as elephantiasis, is a mosquito-borne disease that affects 40 million people in India, and can be effectively treated with foot care. Bonita works for ACT member Church's Auxiliary for Social Action (CASA) that treats thousands of people in the state of Orissa".

Remember:

- Don't state the obvious ("woman washes foot")
- Always try to identify the main people in the photo
- Don't assume your reader will know what's happening
- Don't say "is shown, is pictured, looks on"
- If the photo is a file picture, include the date it was taken
- Use present tense. This creates a sense of immediacy and impact.

ACT PRE-EMERGENCY CHECKLISTS ANNEX 13

This checklist contains some of the essential standards, systems and procedures to be in place, and actions to be accomplished by ACT Alliance members during the pre-emergency period.

POLICY AND STRATEGY

- Adherence to the ACT Alliance Founding Document, its vision, mission, commitments and objectives, and to ACT policies and guidelines as found in the ACT Accountability Framework adherence to, and signatory to, the ACT Code of Conduct on or the prevention of sexual exploitation and abuse, fraud and corruption and abuse of power
- Adherence to, and signatory to, the ACT Code of Good Practice
- Signatory to ACT Membership Cooperation Agreement and adherence to principles contained therein
- Adherence to ACT co-branding policy
- Adherence to the ACT strategic plan with sections on
  - disaster risk reduction, including analysis on vulnerabilities and capacities
  - building resilience through community participation
  - linking relief, rehabilitation and development
  - gender and rights approach during emergencies

EMERGENCY PREPAREDNESS PLANNING

- Self-assessment capacities, preferably based in the Capacity Development Initiative (CDI)
- Institutional contingency plan linked with the forum contingency plan
  - analysis of hazards and threats, vulnerabilities and capacities of population
  - development scenarios of risk management to anticipate emergencies of different scales
  - internal procedures for and manage/implement an emergency operation
    - ❖ organizational structure for emergencies
    - ❖ operational procedures
    - ❖ administrative and financial procedures
  - staff training in ACT appeal system, Sphere Project, and emergency management
- Procedures to coordinate with the ACT forum
- Relation with prospective funding sources member constituencies, UN system, ECHO, governments, other and knowledge of, and ability to meet, their requirements
- Common Emergency Needs Assessment used by the ACT forum, based in Sphere Project Standards
- Plans for participatory assessment, and involvement of local communities and affected populations in joint needs assessments
- Plans for involvement of forum and members in inter-agency emergency assessments and in UN inter-agency clusters and in Humanitarian Country Teams
- Assessment checklists and standard operating procedures prepared, as well as plans to conduct rapid and detailed assessment
  - means of information and data collection (e.g. by group, sector, household, individual, local leaders; interviews or focus groups)

- analysis by sector, including protection, water, sanitation, food, non-food items, nutrition, health, education, shelter and site selection, psycho-social support, security, environment, transport/logistics, economic development/livelihoods
- focus on vulnerabilities and specific needs including HIV/AIDS, sexual and gender-based violence, women, children, men, boys and elderly
- compile sex- and age-disaggregated data as part of needs assessments
- capacity analysis by organizations, networks, sectors and communities

EMERGENCY IMPLEMENTATION AND MONITORING PLANNING

- Implementation plan with overall goal, target population, objectives by sector, activities and outputs related to the log frame in the appeal
- MoU with forum members and non-member partners on implementation
- Tools for monitoring and reporting
- Systems for transparency and accountability during implementation, including complaints mechanisms

ADMINISTRATIVE MANAGEMENT

- Office structure clear, including posts for key staff to work in emergencies, and (expanded) emergency staffing table and organizational chart
- Plans for effective management of all assets
  - administrative support procedures for staff and visitors
  - means available to establish new field presence if necessary
  - up-to-date inventory made of existing assets held by members
  - contractual arrangements clear on hiring of short-term staff
  - availability of additional furniture, office supplies and equipment
- Plans developed for effective transport management: vehicles, companies and fuel
- Plans developed for effective management of IT and telecommunications

RESOURCE REQUIREMENTS AND RESOURCE MOBILIZATION

- Availability of human, material, financial, and technical resources to cope with a small-, medium- or large-scale emergency, as a member and through the forum
- Analysis made of fund raising and resource mobilization available in the country
- Ability to mobilize material resources from country/regional stockpiles or through procurement

HUMAN RESOURCES MANAGEMENT

- Composition of crisis management team clear
- Staff identified who are experienced in emergency operations; availability of staff for extended emergency work; staff experienced in writing funding proposals
- Identification of potential gaps in staffing: filled by local recruitment or Rapid Support Team

FINANCIAL MANAGEMENT

- Financial procedures agreed and systems in place on handling of emergency financial accounting, reporting and record keeping
- Availability of local/international banking services and electronic bank transfers in capital and remote areas. Options clear for safeguarding and transport of cash

MATERIAL MANAGEMENT/PROCUREMENT AND LOGISTICS

- Plans and procedures for emergency procurement and stock control measures
- Availability assessed of emergency stocks; local stockpiles in place or available
- Procedures clear to assure prompt receipt of relief supplies shipped from outside and inside the country, including customs clearance and clearing agents
- Availability of warehouses/storage areas in emergency-prone locations; possibility of stock pre-positioning.

COMMUNICATIONS, MEDIA AND PUBLIC INFORMATION/AWARENESS

- Plans developed for effective management of in-country communications, media, public information and public awareness activities in coordination with ACT secretariat staff
- Local communicator in place, or identified, for the ACT member and forum or need for international communicator of the Rapid Support Team
- Plans made for ACT visibility material dissemination and use

SECURITY

- Plans in place for security of staff and offices of member(s), including staff evacuation/relocation
- Linkage to national/United Nations security plan and security plans of other NGOs in the country
- Plans for security of affected populations, as ACT or as part of inter-agency approach
- Security officer in place when needed or security focal point
- Procedures developed to report and investigate security incidents

ACT FORUM

- MoU agreed and signed by members, including coordinated approach to emergency assessment, appeal preparation and monitoring
- Strategies coordinated among ACT members in the country, through the forum
- Potential roles/inputs of ACT members clear and coordinated, as part of an overall emergency response

INTER-AGENCY COORDINATION

- Participation in country inter-agency emergency coordination mechanisms, with government, UN, NGOs
- Involvement in inter-agency emergency preparedness and contingency planning processes
- Complementarity of responsibilities developed among agencies/members for proposed sector involvement in a potential emergency

CYCLE OF TOTAL ACT RESPONSE TO EMERGENCIES

ANNEX 14

