

# The International Red Cross and Red Crescent Movement



## Chapter I - The Movement

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## **Origins of the Movement**

- 1. The Red Cross idea was born in 1859, when Henry Dunant, a young Swiss from Geneva, came upon the scene of the bloody *battle of Solferino* in Northern Italy, fought between the armies of imperial Austriaand the Franco-Sardinian alliance. About 40,000 men lay dead or dying on the battlefield and the wounded were without adequate medical attention.
- 2. Henry Dunant organised people of the little nearby towns of Castiglione and Solferino travellers, priests, housewives, anyone he could press into service to bind the soldiers' wounds and to feed and comfort them. In 1862 he published the book *A Memory of Solferino*, in which he described the horror of the plight of the thousands of wounded left without proper care. He suggested a number of practical solutions to remedy the terrible circumstances which he observed at such close quarters. Dunant called for the creation of national relief societies, an idea which eventually led to the formation of the International Federation of Red Cross and Red Crescent Societies; and he also pointed the way to the future Geneva Conventions:
  - "Would there not be some means, during a period of peace and calm, of forming Relief Societies whose object would be to have the wounded cared for in time of war by enthusiastic, devoted volunteers, fully qualified for the task?"
  - "Would it not be possible for the princes of the art of warfare from different nations, to take advantage of a special congress to formulate some international principle, with the sanction of an inviolable Convention, which, once accepted and ratified, might constitute a basis for Societies for the relief of the wounded in the various countries of Europe?"
- 3. To help promote these ideas, four citizens of Geneva– General Henri-Guillaume Dufour, Dr. Louis Appia, Dr. Théodore Maunoir and Gustave Moynier joined Henry Dunant and set up the International Committee for Relief to the Wounded, later to become the *International Committee of the Red Cross (ICRC)*. In response to the Committee's invitation, specialists from sixteen countries met in Genevain October 1863. They adopted ten resolutions that formed the founding charter of the Red Cross, defining functions and working methods for the relief of the wounded. The Red Cross was then a reality.
- 4. However, the Committee's main task still lay ahead: to persuade the governments that the wounded and those caring for them should be considered non-combatants, since they were not or were no longer taking part in the fighting and therefore needed protection. This concept of neutrality would have to be embodied in an international treaty providing for the protection of war victims, medical personnel, hospitals and ambulances. In August 1864, the Swiss Government convened in Genevaa diplomatic conference, where the delegates of twelve participating governments adopted the *Geneva Convention for the Amelioration of the Condition of the Wounded in Armies in the Field*.
- 5. This treaty, with its ten articles, is a milestone in the history of humanity. Until then war and law had been largely considered irreconcilable. From then on the wounded were to "be collected and cared for" and ambulances, military hospitals and medical staff were to be "recognised as neutral and, as such, protected and respected by the belligerents, to whatever nation they belong". The Convention recognised the red cross on a white ground first adopted in 1863 as the symbol of the embryonic Red Cross Movement as a protective emblem to be used by all armies for identifying medical personnel, hospitals and ambulances.

The Geneva Conventions

#### The Geneva Conventions

- 6. In the years that passed since the first Geneva Convention was signed, conflicts became more widespread and began threatening new categories of war victims: wounded, sick and shipwrecked members of the armed forces at sea, prisoners of war and civilian populations. In order to provide legal protection to these groups, three new Conventions based on the first one of 1864 were successively adopted in 1906, 1929 and 1949.
- 7. Shaken by the horrors of the Second World War, in 1949 the representatives on the governments met for a new *Diplomatic Conference*, convened in Genevaby the Swiss Federal Council, and adopted the text of the convention relating to the "protection of civilians in wartime". At the same time the conference revised the texts of earlier conventions, aligned their provisions, and on 12 August 1949adopted the new versions of the four Geneva Conventions. Currently in force, they are:

#### **I Geneva Convention**

Geneva Convention for the Amelioration of the Condition of the Wounded and Sick in **Armed Forces in the** 

#### **II Geneva Convention**

Geneva Convention for the Amelioration of the Condition of Wounded, Sick and Shipwrecked Members of Armed Forces at Sea

#### **III Geneva Convention**

Geneva Convention relative to the Treatment of Prisoners of War

#### **IV Geneva Convention**

Geneva Convention relative to the Protection of Civilian Persons in Time of War

- 8. The States Parties to the Geneva Conventions have pledged themselves to:
  - Treat humanely all the persons taking no active part in the hostilities and those incapable of taking part in battle by reason of sickness, wounds, detention or any other cause, making no distinction on race, colour, religion or faith, sex, birth, wealth or any similar criteria.
  - Prohibit violence to life and person, in particular murder of all kinds, mutilation, cruel, humiliating or degrading treatment, torture, taking of hostages, mass exterminations, summary executions and deportations.
  - Respect the human being, his honour, family rights, customs, religious convictions, and in particular, the rights of the most vulnerable groups (women, children and the elderly).
  - Respect humanitarian activities which the ICRC or any other impartial humanitarian organisation may undertake for the
    protection of the war victims and for their relief.
  - Disseminate Geneva Conventions in time of peace and in time of war among their armed forces and civilian population.
- 9. The Conventions are fully applicable to the situations of war or any other international armed conflict between two or more States Parties to the Conventions (even if the state of war is not recognised by one of them). States Parties to the Conventions remain bound by their provisions, even if the States with which they are in conflict have not signed or ratified the Conventions. Article 3 common to all four Conventions also requires State Parties to apply the basic rules mentioned in the previous paragraph to non-international armed conflicts occurring in their territory.
- 10. The provisions of the Geneva Conventions of 1949 were further developed in the two *Additional Protocols*, adopted in 1977. The Protocols further developed the Conventions in response to new situations and the changing realities of armed conflicts:
  - **Protocol I** expands the provision of the Geneva Conventions in international armed conflicts and is also applicable to conflicts in which peoples exercise their right to self-determination as per the Charter of the United Nations. Under Protocol I protection for civilians is extended to the direct effects of hostilities. Civilian medical units, transports, establishments and personnel are entitled to the same protection as military medical establishments. Protocol I details the protection in favour of women, children and journalists, and specifies the measures to be taken in situations of violations of the Conventions. It specifically prohibits the use of indiscriminate weapons and methods of warfare that cause superfluous injury, unnecessary human suffering, or widespread, long-term and severe damage to the natural environment.
  - Protocol II supplements and develops Article 3 common to all four 1949 Geneva Conventions, which until then had been
    the only provision applicable in non-international armed conflicts on the territory of a State Party to the Conventions.
     Protocol II provides fundamental guarantees for safeguarding all those not taking part in the hostilities, contains the rules for
    protection of the wounded, sick and shipwrecked, medical personnel and installations, and provisions for the general

protection of civilian population in non-international armed conflicts similar to those of Protocol I.

- 11. As of 1st March 2001, 189 states were Party to the four Geneva Conventions, with 157 also being party to Protocol I, and 150 to Protocol II. Governments wishing to adhere to or ratify the Conventions and Protocols should address their instruments of ratification, accession or succession to the Swiss Federal Council, the depository of the Conventions and Protocols. The four Geneva Conventions and the two Additional Protocols together constitute the core of "international humanitarian law" (IHL).
- 12. It is essential to be aware of the close relationship between the Red Cross and the Red Crescent and the Geneva Conventions, as this relationship is at the roots of all Red Cross and Red Crescent action. The Geneva Conventions are also particularly important for the establishment and operation of the National Red Cross and Red Crescent Societies:
  - To be officially recognised as a member of the International Red Cross and Red Crescent Movement, the National Societies should inter alia be constituted on the territory of a State Party to Geneva Conventions, be duly recognised by the legal government of its country on the basis of the Conventions, and be guided in its work by the principles of international humanitarian law, specified in the Conventions.
  - The Geneva Conventions provide the legal basis for humanitarian actions of the ICRC and the National Red Cross and Red Crescent Societies as auxiliaries to their Governments during armed conflicts and oblige the States and parties to armed conflicts to facilitate humanitarian relief provided by the Federation.
  - The Geneva Conventions give the National Societies, the ICRC and the Federation the right to use the red cross and red
    crescent emblem.
  - In accordance with the Statutes of the Movement the National Red Cross and Red Crescent Societies have the commitment to assist their governments in *disseminating* knowledge of the Conventions among their members and among the population in order to foster humanitarian values, ideals of peace, mutual respect and understanding among all peoples.

Origins of the Movement

The Emblems

The Movement's Components

Recognition and admission to the Federation

Relations with the ICRC

## Historical Background

1859

Battle of Solferino - Henry Dunant

1863

International Committee for the Relief to the Wounded

Dr. L. Appia – Gen. G.H. Dufour – H. Dunant – Dr. T. Maunoir – G. Moynier. As of 1876, it became the International Committee of the Red Cross

Geneva International Conference

Establishment of the national committees for the relief to the wounded

1864

Geneva Convention of 22 August 1864

for the Amelioration of the Condition of the Wounded and Sick in Armed Forces in the Field

1867

First International Conference of the Red Cross

9 Governments, 16 National Committees, ICRC

1899

Adaptation of the principles of the Geneva Convention of 1864 to maritime warfare (The Hague Convention No.III)

1906

Revision and development of the Geneva Convention of 1864

#### 1907

Adaptation of the principles of the Geneva Convention of 1906 to maritime warfare (The Hague Convention No. X)

#### 1919

#### League of Red Cross Societies

as of 1983 League of Red Cross and Red Crescent Societies

as of 1991 International Federation of Red Cross and Red Crescent Societies

#### 1928

Statutes of the International Red Cross (revised in 1952 and 1986)

#### 1929

#### Geneva Conventions

- Revision and development of the Geneva Convention of 1906 for the amelioration of the condition for the wounded and sick in armed forces in the field
- Official recognition of the emblem of red crescent (first used in 1876)
- · Adoption of the Geneva Convention relative to the treatment of prisoners of war

#### 1949

#### Geneva Conventions

- For the Amelioration of the Condition of the Wounded and Sick in Armed Forces in the Field (Convention I revision and development of 1929 Geneva Convention)
- For the Amelioration of the Condition of Wounded, Sick and Shipwrecked Members of Armed Forces at Sea (Convention II revision and development of the Xth Convention of the Hague of 1907)
- Relative to the Treatment of Prisoners of War (Convention III revision and development of the 1929 Geneva Convention)
- Relative to the Protection of Civilian Persons in Time of War (Convention IV)

#### 1965

#### Proclamation of the Fundamental Principles of the Red Cross

Humanity, Impartiality, Neutrality, Independence, Voluntary Service, Unity, Universality

#### 1977

#### Protocols additional to the Geneva Convention of 1949

Protection of victims of international armed conflicts (Protocol I)

Protection of victims of non-international armed conflicts (Protocol II)

#### 1986

Statutes of the International Red Cross and Red Crescent Movement

#### 1991

The League of Red Cross and Red Crescent Societies is renamed the International Federation of Red Cross and Red Crescent Societies

#### The Emblems

13. The emblem of a red cross on a white ground – instituted by the first 1864 Geneva Convention – was created for a specific purpose: to ensure protection of the wounded and those who care for them during armed conflicts. The 1864 Geneva Convention mentioned only the red cross. The *red cross* – the reverse of the Swiss flag – was adopted as a tribute to Switzerlandand was not intended to have any religious significance. However, in 1876, during the Russo-Turkish war, the Ottoman Society for Relief to the Wounded for the first time used the symbol of a *red crescent*. This form of the emblem has since been adopted by a number of countries in the Islamic world. It is recognised as having equal status with the Red Cross, and as such is recognised in the 1949 Geneva Conventions and 1977 Additional Protocols.

14. The emblem can be used both as a sign of protection and as an indicative sign. The *protective use of the emblem* is meant to mark medical and religious personnel and equipment which must be respected and protected in armed conflicts. It is a visible sign of protection conferred by international humanitarian law on persons and objects belonging to the army medical service, medical staff from National Societies and civil defence organisations. As a protective symbol, the Red Cross or Red Crescent may only be displayed on vehicles, aircraft, ships, buildings and installations assigned to transport and shelter the wounded and sick, and in protecting the personnel caring for them. The National Societies may use the emblem as a protective device only with the consent of and in accordance with the conditions laid down by the authorities of its country.

Any misuse of the protective emblem (transporting armed troops in an ambulance, flying the Red Cross or Red Crescent flag over a munitions dump, artillery battery or command post etc.) not only breaches International Humanitarian Law but destroys the emblem's protective value. Once such an abuse is discovered by an enemy, there will be no more trust, and any object carrying the emblem could be attacked. Rebuilding trust in time of conflict is extremely difficult. That is why the protective role of the emblem must be made widely known in peace time, before any conflict.

- 15. The *indicative use of the emblem* serves to show that persons or objects are linked to the Movement, and as such can be used by the ICRC, the Federation and the National Red Cross and Red Crescent Societies to identify their premises, vehicles, personnel or activities (relief centres, first aid posts, etc.). The National Societies may make use of the emblem as an indicative device in peacetime and during armed conflicts within the limits stipulated in national legislation, the *Regulations on the Use of the Emblem of the Red Cross or the Red Crescent by the National Societies* and their own statutes.
- 16. *National Societies* may use the emblem only for activities consistent with the Fundamental Principles of the Red Cross and Red Crescent. They should ensure at all times that nothing shall tarnish its prestige or reduce the respect due to the emblem, and should refrain from displaying it when carrying out the activities which have only a tenuous connection with their essential mission.
- 17. Any confusion between the protective and indicative use of the emblem must be avoided. In armed conflicts, the National Society which continues its peacetime activities should take all necessary measures to ensure that the emblem used indicatively is seen only as marking the connection of persons or objects with the National Society, and *not* as conferring the right to protection under international humanitarian law. In particular, the emblem should be visible but comparatively small, and they should not be placed on armlets, roofs or flags. National Societies should endeavour to follow this rule in peacetime so as to avoid from the very beginning of a conflict any confusion with the emblem used as a protective device.
- 18. It is not so much the size of the emblem that leads to confusion, as the circumstances in which it is displayed. Hence, it is particularly in situations in which the emblem may also be used as a protective device, i.e. in armed conflicts, that it is necessary to avoid any confusion. In other circumstances, especially in peacetime, the use of large-size emblem is not excluded in certain cases, for instance, when it is important for first-aid workers to be easily identifiable.
- 19. The *design of the emblem* must be clear so that persons and objects having the right to use it can be easily identified and thus effectively protected. Therefore the emblem used as a protective device shall always retain its original form, i.e. nothing should be added either to the cross, the crescent or the white background. The cross should be formed with two cross-pieces (one vertical and one horizontal crossing in the middle); the shape and direction of the crescent are not regulated. Neither the cross, nor crescent should touch the edges of the flag or the shield. The shade of the red is not specified. The ground shall always be white.
- 20. The emblem used indicatively should normally be accompanied by the name of the National Society. There should be no drawing or writing on the cross or crescent which should always be the dominant element of the emblem. The emblem can be displayed on the National Society's printed materials, publications and posters, or used to support its publicity or fund-raising campaigns in accordance with the *Regulations on the Use of the Emblem*. For such use a freer design is permitted, provided that it is not prejudicial to the prestige of the emblem, and that the national legislation does not prohibit it.
- 21. National Societies may use the emblem to support the campaigns they organise to make their activities known, to disseminate knowledge of international humanitarian law and the Fundamental Principles, or to raise funds. Wherever commercial companies or other organisations are associated with such events, the National Society should always retain control over the use of the emblem, ensuring that no confusion is created in the public opinion between the company's activities and the emblem or National Society itself. With the exception of above-mentioned cases the National Society may not authorise any third parties to use the emblem.

It should always be remembered that the emblem is directly associated with the National Society's image, and in a case of misuse of the emblem, that image may be seriously damaged.

- 22. Sometimes the emblem is unintentionally misused in peace time for marking unauthorised usually health-related locations and activities such as veterinarian clinics, doctor's offices, pharmacies, etc. Although the National Societies should make every effort to have these pseudo-emblems removed, an abuse of this kind can only be combated effectively if it is expressly prohibited in any form by the national legislation.
- 23. The International Federation of Red Cross and Red Crescent Societies uses both the red cross and red crescent on a white background in a rectangular box to form its logo. As an indicative sign it is, inter alia, displayed on Federation vehicles and official premises.

- 24. The logo should always be used to increase the visibility of the Federation, especially in its relations with the media. If the Federation is directly operational, its logo should be used to identify its activities for example on distribution centres, refugee camps, health posts etc. In joint programmes with an Operating National Society the activities could be marked by either the Federation logo, or the Federation logo together with the red cross or red crescent emblem accompanied by the name or initials of the National Society. In exceptional cases (particularly in the break-out of conflicts or internal disturbances) for security reasons the Federation personnel, premises or vehicles can be identified with the single red cross or red crescent; however, prior authorisation for that is required from the Director, Programme Coordination.
- 25. The Council of Delegates and International Conference of the Red Cross and Red Crescent of November 1999 took important decisions launching a new working process to resolve the difficulty facing countries and National Societies that have difficulty using the Red Cross or the Red Crescent. At the time of writing, work is underway to agree an additional emblem and to modify the Movement Statutes accordingly to introduce this new emblem.

The Geneva Conventions

Recognition and admission to the Federation

External Relations

Opening a Delegation

Security Regulations

Communicating Externally and Internally

## **The Fundamental Principles**

# The Fundamental Principles of the International Red Cross and Red Crescent Movement

The doctrine of the International Red Cross and Red Crescent Movement is summed up in the Fundamental Principles of the Movement, unanimously pro-claimed by the 20th International Conference of the Red Cross in 1965. The Fundamental Principles give Red Cross and Red Crescent staff and volunteers clear guidelines to facilitate and define scope for their humanitarian work, and also provide a firm and universally accepted basis for the promotion of the Movement's ideals and humanitarian values.

#### Humanity

The International Red Cross and Red Crescent Movement, born of a desire to bring assistance without discrimination to the wounded on the battlefield, endeavours, in its international and national capacity, to prevent and alleviate human suffering wherever it may be found. Its purpose is to protect life and health and to ensure respect for the human being. It promotes mutual understanding, friendship, co-operation, and lasting peace among all peoples.

#### Impartiality

It makes no discrimination as to nationality, race, religious beliefs, class, or political opinions. It endeavours to relieve the suffering of individuals, being guided solely by their needs, and to give priority to the most urgent cases of distress.

#### Neutrality

In order to continue to enjoy the confidence of all, the Movement may not take sides in hostilities or engage at any time in controversies of a political, racial, religious, or ideological nature.

#### Independence

The Movement is independent. The National Societies, while auxiliaries in the humanitarian services of their governments and subject to the laws of their respective countries, must always maintain their autonomy so that they may be able at all times to act in accordance with the principles of the Movement.

#### **Voluntary Service**

It is a voluntary relief movement not prompted in any manner by desire for gain.

#### Unity

There can only be one Red Cross or Red Crescent Society in any one country. It must be open to all. It must carry on its humanitarian work throughout its territory.

#### Universality

The International Red Cross and Red Crescent Movement, in which all Societies have equal status and share equal responsibilities and duties in helping each other, is worldwide.

## The Movement's Components

#### International Committee of the Red Cross

- 26. The International Committee of the Red Cross, the ICRC (*Comité international de la Croix-Rouge, CICR*) is a private, independent humanitarian organisation, with its headquarters in Geneva, Switzerland. The ICRC bases its activities on the provisions of International Humanitarian Law, and is neutral in politics, religion and ideology. The International Committee upholds and disseminates the Fundamental Principles of the Movement, recognises newly established or reconstituted National Societies which fulfil conditions for recognition, works for the observance, development and dissemination of International Humanitarian Law, endeavours to assist and to ensure the protection of military and civilian victims of armed conflict and internal strife and their direct results. Within these roles, it may take any humanitarian initiative as a neutral and independent intermediary.
- 27. In accordance with the Geneva Conventions, the ICRC delegates visit hospitals, camps, work places, prisons and other places where the prisoners of war may be held, with the view to examine the physical and psychological conditions of detention, and to provide the prisoners, detainees and their families with relief supplies. The ICRC also provides medical assistance and relief supplies to affected civilian populations, addressing the common health problems resulting out of conflicts epidemics, inadequate hygiene and poor nutrition. Because many victims are permanently disabled, the ICRC provides surgery, physiotherapy and rehabilitation treatment, and has over the past twenty-five years conducted an extensive orthopaedic programme for amputees, making artificial limbs and similar devices in a number of field centres.
- 28. During the Franco-Prussian war of 1870-71, the ICRC persuaded both belligerents to provide it with lists of the wounded and prisoners, and started answering enquiries from anxious relatives and to forward correspondence between the detainees and their families. It was the start of the *Central Tracing Agency*. Today, the Agency's main tasks are to obtain and record all information which might enable identification of dead, wounded or missing persons and to pass the information on to next of kin; to facilitate correspondence between separated family members when other means of communication have been interrupted; to trace people who are missing or of whom their relatives have no news; to issue various documents, such as certificates of captivity or death, and travel papers. This work is usually carried out in co-operation with National Societies, many of which have their own tracing service.

#### **National Red Cross and Red Crescent Societies**

- 29. Originally created for service in time of war, to help the army medical personnel to care for the wounded and the sick, after the First World War the National Red Cross and Red Crescent Societies expanded their activities, attending to urgent medical and social needs of populations ravaged by the conflict. From then on their work has expanded into many fields of medico-social activities: founding hospitals, training nurses, carrying out educational programmes in child care and public health, pioneering ambulance, mountain and sea rescue services, providing first-aid training and caring for the elderly and the handicapped. After the Second World War, National Societies' activities further expanded: in industrialised countries they were addressing new social problems drug addiction, unemployment, delinquency. In developing countries the newly formed National Societies started working to improve public health and social welfare, engaging in combat against infantile diseases, health education and vaccination campaigns and providing training for medical and social administrators.
- 30. The National Red Cross and Red Crescent Societies are the base of the Movement. There are 178 officially recognised Red Cross and Red Crescent Societies as of November 2001. They provide emergency relief to victims of armed conflicts and natural disasters at both the national and the international level, work in the fields of community development, social welfare and public health including health education, nursing, and blood banks. In cooperation with their sister Societies, the Federation Secretariat and the ICRC, the National Societies disseminate international humanitarian law, the Fundamental Principles and the ideals of the Movement. Their annual expenditure for domestic programmes is of 27.6 billion Swiss francs for 215.6 million beneficiaries (1998 figures). So that they can deliver their humanitarian services efficiently and effectively, the National Societies support each other in the strengthening and development of their institutional and operational capacities. For further information on National Societies please consult the Federation Website http://irc.ifrc.org.

#### International Federation of Red Cross and Red Crescent Societies

- 31. In May 1919, on the initiative of the chairman of the American Red Cross, Henry P. Davison, representatives of American, British, French, Italian and Japanese Red Cross Societies came together to formally establish the *League of Red Cross Societies* which was the forerunner of the International Federation. Its first objective was "to strengthen and unite for health activities existing Red Cross Societies and to promote the creation of new Societies."
- 32. Today the Federation is a vast organisation. When all its National Societies are taken together and the statistics for their national programmes are taken together and statistics for their national programmes are added up, revealed is an organisation of 97,5 million members and volunteers and 295,000 employees, with an annual expenditure of over 27 billion Swiss francs (1998 figures) for domestic programmes. This makes the Federation a truly global entity, with enormous humanitarian potential.

- 33. The Federation's main purposes are to assist its member National Societies in disaster response, in developing their activities, and to be their international spokesman and representative. The Federation supports the National Societies and the ICRC in their efforts to develop and spread the knowledge of International Humanitarian Law and to promote the Fundamental Principles. Among its member Societies the Federation acts as both catalyst and co-ordinator. It is a forum for ideas and exchange of experience between the National Societies.
- 34. A crucial part of the Federation's work is providing and co-ordinating assistance to victims of natural disasters and epidemics. Since 1923, when the disastrous earthquake in Japan killed 200,000 people and left millions homeless, the Federation has been actively involved in providing and co-ordinating international disaster relief all over the world. It thus assists the affected National Societies in the assessment of the disaster consequences and the management of the relief operation, based on the response to appeals sent to other National Societies. Trying to minimise the damage and loss of human life during potential disasters, the Federation assist the National Societies in developing disaster preparedness programmes.
- 35. Health protection has formed the greater part of the Federation's duties since it was founded; it has led to the development of a great variety of National Society activities in the field of first aid, community health care, health education, blood transfusion, nursing, prevention and treatment of HIV/AIDS, support for vaccination campaigns.
- 36. The Federation's strategic goal for the 2010's is to "improve the lives of vulnerable people by mobilising the power of humanity". To attain this goal, the new Strategy 2010 defined three strategic directions and four core areas of focus. The Federation intends to achieve these goals through direct action together with the vulnerable, advocacy in their favour and cooperation with other agencies.

Origins of the Movement

The Geneva Conventions

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The National Societies

The Federation

The ICRC

Agreement ICRC-Federation-National Societies

## The Movement's Statutory Bodies

- 37. The Movement has three Statutory Bodies, which determine the main outlines of its thought and work and provide the links vital for the unity of its partners. These Statutory Bodies are: the International Conference of the Red Cross and Red Crescent, the Council of Delegates and the Standing Commission.
- 38. *The International Conference* is the supreme deliberative body for the Movement and a forum for discussing the issues of common interest between the States and the Movement. It generally meets every four years, bringing together representatives from the ICRC, the Federation, the recognised National Red Cross and Red Crescent Societies (176 as of March 2001) and all States parties to Geneva Conventions. Usually representatives of over 60 government, non-government, regional or specialised organisations, working with the Movement or particularly interested in humanitarian problems also participate in the Conference as observers, having no right to vote.



39. In its capacity as the supreme deliberative body for the Movement, only the International Conference has the power to adopt

or modify the rules that govern the Movement as a whole. The Conference adopted the Fundamental Principles of the Red Cross and Red Crescent in 1965 and the new Statutes and the Rules of Procedure of the Movement in 1986.

- 40. The International Conference is the only event that brings together delegations from both all the Red Cross and Red Crescent institutions and all the States parties to the Geneva Conventions. The Conference provides for them a non-political forum for dialogue on the issues of common interest: development of international humanitarian law, practical implementation of its norms and the measures to ensure that they are respected, strengthening of cooperation between the Red Cross and Red Crescent and the Governments in the humanitarian field, co-ordination of international humanitarian assistance, assistance to refugees and displaced persons and other humanitarian issues.
- 41. The Conference provides the Movement with a unique forum for meeting with States. It can, however, be difficult to organise. Its meetings have at times been postponed or disrupted by political events, as was the case with the 1991 Conference which was postponed at the last minute. The 27th Conference was held in Genevain 1999 and was successful in developing a four-year Plan of Action for work by States and the Movement in the protection of victims of armed conflicts through the respect of humanitarian law, humanitarian action in times of disasters and strategic partnerships to improve the lives of vulnerable people.

### Important Conferences of the Past

#### 1867 Paris

The first-ever International Conference of the Red Cross was held barely four years after the founding of the ICRC and the first National Societies. It brought together the ICRC, 16 National Societies and representatives of nine European States

#### 1887 Karlsruhe

The 4th International Conference was mainly concerned with the need to make the Geneva Conventions known to members of the armed forces and to ensure respect for the red cross and red crescent emblems (the latter having been used by the Ottoman Society for Relief to Military Wounded and Sick). The Conference strengthened the ICRC's mandate and set out the conditions for the recognition of new National Societies.

#### 1912 Washington

In a resolution that foreshadowed the forthcoming era, the 9th International Conference established the respective wartime responsibilities of the National Societies and the ICRC in providing protection and assistance not only for the wounded and sick, but also for prisoners of war.

#### 1921 Geneva

The 10th International Conference gave a mandate to the National Societies and to the ICRC to assist victims of civil war and internal disturbances

#### 1928 The Hague

The 13th International Conference adopted the "Statutes of the International Red Cross", thus providing the Movement with a structural, operational and legal framework

#### 1938 London

On the eve of the Second World War, the 16th International Conference requested – in vain – the convening of a Diplomatic Conference to draw up a new Geneva Convention affording better protection to civilian victims of war.

#### 1948 Stockholm

At this the Movement's first meeting in the aftermath of the war, the representatives of 50 governments, 52 National Societies and the then League endorsed the ICRC's proposals for the revision of the three existing Geneva Conventions and the adoption of a fourth Convention, the last for the protection of civilians in wartime. These four Conventions were adopted by the governments the following year at a Diplomatic Conference in Geneva.

#### 1952 Toronto

The 18th International Conference revised the "Statutes of the International Red Cross"

#### 1965 Vienna

The 20th International Conference solemnly proclaimed the seven "Fundamental Principles of the Red Cross" that guide its work in all circumstances.

#### 1969 Istanbul

The Conference adopted the "Principles and Rules for Red Cross Disaster Relief". It also gave the ICRC a mandate to begin drafting new instruments to adapt humanitarian law to new forms of armed conflict.

#### 1973 Teheran

Two draft Protocols additional to the Geneva Conventions were presented by the ICRC to the 22nd International Conference, the year before the beginning of the 1974-1977 Diplomatic Conference.

#### 1977 Bucharest

The two main themes of the 23rd International Conference were the reappraisal of the role of the Red Cross, and the Red Cross role as a factor of peace. The Conference adopted measures to expedite international relief which were proposed by the then League in conjunction with the then United Nations Disaster Relief Office (UNDRO).

#### 1986 Geneva

"Humanitarian Mobilisation" was the main theme of the 25th International Conference, in view of the deteriorating socio-political situation in the world. The Conference also adopted the revised "Statutes of the International Red Cross" which thus became the Statutes of the International Red Cross and Red Crescent Movement.

#### 1995 Geneva

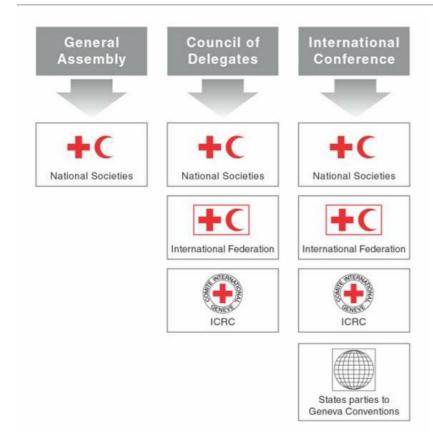
The 26th Conference focused on practical measures to enhance respect for international humanitarian law with special attention to the needs of civilian population and the most vulnerable groups such as children and women. The Conference emphasised the increasing role of the Red Cross and Red Crescent in providing protection and assistance to refugees and displaced persons, the adverse impact of economic sanctions on the most vulnerable, and the fundamental principle of maintaining humanitarian action as distinct from political and military action. The Conference reinforced the role of National Societies as auxiliaries to public authorities in the humanitarian field. The Conference also took note of the revised Principles and Rules for Red Cross and Red Crescent Disaster Relief and the Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief and invited all States and National Societies to encourage NGOs to abide by the principles and spirit of the Code.

#### 1999 Geneva

The 27th Conference adopted a Plan of Action for work by States and the Movement over the next four years. The plan contains specific tasks in three main areas:

- the protection of victims of armed conflicts through the respect of humanitarian law
- humanitarian action in times of armed conflicts and other disaster
   strategic partnership to improve the lives of vulnerable people.

The Conference adopted several resolutions, including establishing a working group to develop a solution to issues related to use of the emblems. Some States and National Societies have problems with the use of the emblem of the red cross or red crescent.



42. The Council of Delegates assembles the representatives from the ICRC, the Federation, and of all the recognised National Societies. Government representatives do not participate in its proceedings. The Council of Delegates meets every two years and focuses on issues of common interest to all components of the Movement. The Council of Delegates adopts the provisional agenda for the International Conference and proposes the names of candidates for positions of Conference office-bearers (chairman and vice-chairmen of the Conference, chairmen and vice-chairmen of the Conference commissions and commission rapporteurs).

- 43. *The Standing Commission* has nine members: two representatives from the ICRC and two from the Federation, with the remaining five being representatives from various National Societies elected as individuals in a personal capacity by the Conference. The Commission elects its own chairperson and meets at least three times a year. The Commission is a "trustee" of the International Conference and is in charge of preparing it. It promotes harmony in the work of the Movement and co-ordination among its components, encourages and furthers the implementation of Conference resolutions, and examines matters concerning the Movement as a whole. It also makes all necessary arrangements for the Council. In the intervals between International Conferences, and subject to the Conference's final decision, the Standing Commission settles any differences of opinion which may arise as to the interpretation and application of the Statutes and Rules of Procedure of the Movement, as well as any question submitted to it by the ICRC or the Federation in connection with a difference which may arise between them.
- 44. Federation delegations need to be aware of the meetings, agendas and decisions of the Federation and Movement governing bodies. They may assist National Societies in preparation for the meetings and follow up on decisions reached.

The Fundamental Principles

The Movement's components

Federation Statutory Bodies

Recognition and Admission to the Federation

# The International Red Cross and Red Crescent Movement



# Chapter II - The National Societies

**The Role of National Societies** 

**Recognition and Admission to the Federation** 

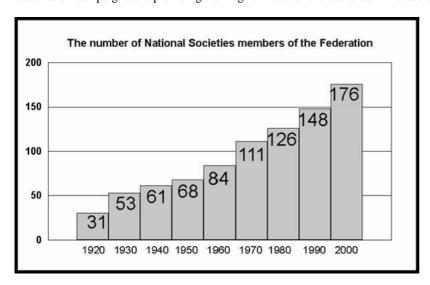
**National Society Rights and Duties** 

**National Society Operational Roles** 

**National Society Integrity** 

#### The Role of National Societies

- 1. For Henry Dunant and his followers the principal aim of the Red Cross Societies had been the protection of wounded soldiers. But very soon the newly created National Societies had to expand their activities in response to rapidly growing humanitarian needs both in war and peace.
- 2. Originally created for service in time of war, to help the army medical personnel to care for the wounded and the sick, after the First World War the National Red Cross and Red Crescent Societies expanded their activities, attending to urgent medical and social needs of populations ravaged by the conflict. From then on, their work has expanded into many fields of medico-social activities: founding hospitals, training nurses, carrying out educational programmes in child care and public health, pioneering ambulance, mountain and sea rescue services, providing first-aid training and caring for the elderly and the handicapped. After the Second World War, National Societies' activities further expanded: in industrialised countries they were addressing new social problems drug addiction, unemployment, delinquency. In developing countries the newly formed National Societies started working to improve public health and social welfare, engaging in combat against infantile diseases, health education and vaccination campaigns and providing training for medical and social administrators.



- 3. National Red Cross and Red Crescent Societies form the basic units and constitute the vital force of the Movement. There are 178 officially recognised Red Cross and Red Crescent Societies (as of November 2001), uniting 97 million individual members and 300,000 employees (2001 figures). They provide emergency relief to victims of armed conflict and natural disaster at both the national and international level to the limit of their available resources. International relief assistance, in the form of funds, services and personnel, is provided either directly to the National Society concerned, or channelled through the Federation or ICRC.
- 4. Although their activities will vary, according to the special needs of their own countries and populations, most National Societies work mainly in the fields of community development, social welfare and public health including health education, nursing and blood banks. In co-operation with the Federation and the ICRC, they disseminate International Humanitarian Law, the Fundamental Principles and the ideals of the Movement. So that they can deliver their humanitarian services efficiently and effectively, the National Societies support each other in the strengthening and development of their institutional and operational

capacities. This strengthens the Movement as a whole.

5. National Societies carry out their humanitarian activities in keeping with the Fundamental Principles and Statutes of the Movement, the Constitution of the Federation, and with their own statutes and national legislation. As auxiliaries in the humanitarian services of their governments, the Societies support their countries' public authorities according to the needs of the people. However, this *auxiliary role* does not limit the initiative of the National Society to undertake any humanitarian activity. Red Cross and Red Crescent Societies are autonomous national organisations, supporting the public authorities with programmes run by the Societies themselves. National Societies are required to work closely with their governments to ensure respect for International Humanitarian Law, and to guard the integrity of the Emblem.

The Movement

National Society Integrity

National Society Operational Roles

## **Recognition and Admission to the Federation**

6. According to the Statutes of the Movement, any newly established or reconstituted National Society must be recognised by the ICRC. In order to be recognised, a National Society must satisfy the following ten conditions:

- Be constituted on the territory of an independent State where the Geneva Convention for the Amelioration of the Condition of the Wounded and Sick in Armed Forces in the Field is in force
- Be the only National Red Cross or Red Crescent Society in that State and be directed by a central body which alone will be competent to represent it in its dealings with other parts of the Movement
- Be duly recognised by the legal government of its country on the basis of the Geneva Conventions and of the national legislation as a voluntary aid society, auxiliary to the public authorities in the humanitarian field
- Have an autonomous status which allows it to operate in conformity with Fundamental Principles of the Movement
- Use the name and emblem of the Red Cross or Red Crescent in conformity with the Fundamental Principles of the Movement
- Be so organised as to be able to fulfil the tasks defined in its own statutes, including the preparation in peace time for its statutory tasks in case of armed conflict
- Extend its activities to the entire territory of the State
- · Recruit its voluntary members and its staff without consideration of race, sex, class, religion or political opinions
- Adhere to the Statutes of the Movement, share in the fellowship which unites the different parts of the Movement and cooperate with them
- Respect the Fundamental Principles of the Movement and be guided in its work by the principles of international humanitarian law
- 7. According to the Constitution of the Federation, any recognised National Society wishing to become a member of the Federation must then apply to the President of the Federation for admission. The Society undertakes to respect the provisions of the Constitution. The actual decision to admit a National Society is taken by the Federation's General Assembly. In times between Assembly sessions, a Society can be *provisionally* admitted by the Governing Board having no rights to vote or to be elected to an official Federation position. Provisional admission has then to be confirmed by the General Assembly at its following session.

The Movement

National Society Integrity

National Society Operational Roles

## **National Society Rights and Duties**

National Society Rights and Duties

The new Federation Constitution adopted in November 1999 ascribes inter alia the following rights and duties to every member National Society.

#### Rights

- to be represented at and to participate in the work of the Assembly with the right to vote;
- to stand for election, and to nominate candidates, to all official bodies of the Federation;
- to request the Federation to provide representation in the international field;
- to submit, on its own initiative, in its name or in that of a group of member Societies, proposals to the Assembly and to other bodies of the Federation;
- to communicate directly with the Federation.

#### **Duties**

- to support the Federation in the pursuit of its general object and to apply the decisions adopted by the Assembly and by the Board:
- to ensure that the Fundamental Principles are carefully observed in the activities of the Society so that its bodies adhere to those Principles;
- to remit an annual contribution to the Federation approved by the Assembly;
- to inform the Federation, through the Secretary General, of any proposed amendments to its own Statutes and of the composition of its main governing and managing bodies;
- to transmit to the Federation, through the Secretary General, its annual reports, including financial statements.

The Fundamental Principles

Federation Statutory Bodies

Strategy 2010

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## **National Society Operational Roles**

- 8. In order to clearly define National Societies' roles and responsibilities within a given operation, programme or project, the terms *Operating National Society* (ONS) and *Participating National Society* (PNS) are used. An Operating National Society directly carries out the operation, programme or project and is responsible for its planning, implementation, monitoring and evaluation. A Participating National Society complements the efforts of the Operating National Society by providing it with additional financial, human and material resources, equipment, training and technical assistance.
- 9. The details about operating and participating roles of the National Societies in emergency relief operations and development programmes are specified in the *Principles and Rules for Red Cross and Red Crescent Disaster Relief* and the *Development Cooperation Policy* respectively. Any National Society can simultaneously be operating in one programme and participating in another. In principle, all National Societies will be automatically operating within their own countries, unless this function is assumed by the Federation in accordance with Article 21 of the Principles and Rules for Disaster Relief.

The Role of National Societies

The Operating National Society

The Participating National Society

Development Cooperation Policy

Principles and Rules for Disaster Relief

## **National Society Integrity**

- 10. Like any organisation, National Societies can experience difficulties which may threaten their integrity. As indicated in its Constitution, the International Federation has an important responsibility towards National Societies as "the guardian of their integrity and the protector of their interests".
- 11. The sources of the integrity difficulties of the National Society can be both external and internal. The most serious threats to

their integrity that may be faced by National Societies include the following:

- A situation in which a Society seems to be violating one or other of the Fundamental Principles,
- Where a government has control over, interferes with, or threatens the independence of a National Society,
- Where a National Society is not respecting its own statutes for example, in respect of the provisions for the holding of General Assemblies,
- Where the National Society is failing to do much to assist the most vulnerable in its country.
- 12. In some cases, National Societies facing integrity problems for one reason or another may request assistance from a Federation delegation or the Secretariat. In other cases, the situation of a National Society may become of concern to the Secretary General of the Federation as a result of reports reaching the Secretariat from other sources such as the media, other National Societies or Governments. The Secretary General of the Federation may in these cases take the initiative to offer his assistance to the affected National Society. There is considerable experience at the Secretariat in assisting National Societies facing integrity problems, and Heads of Delegation who become aware of integrity issues within the Society, with which they are working, should consult with the Head of the Regional Department about the issue and possible action.
- 13. The issue of integrity has become the focus of increasing attention within the Federation. The 10th General Assembly of the Federation (Geneva, November 1995) welcomed the *Characteristics of a Well-Functioning National Society* which provides a list of requisites for National Society integrity and encouraged all member Societies to use this document in their organisational development efforts. The General Assembly reaffirmed the decision of the Executive Council (now Governing Board) "to invite the Secretary General, any time when in his opinion the integrity of a member Society may be threatened, and in the absence of an explicit request from the member Society concerned, to offer his services to that Society to assist in analysing and responding to the perceived difficulty". National Societies receiving such an offer of services are encouraged "to respond to it in a positive and constructive manner". National Societies are requested to transmit on a regular basis (at least once a year) their activity reports, including approved financial statements, to the Federation Secretary General. The latter is invited, in his reports to the General Assembly, to regularly present an analysis of the types of integrity problems faced by member Societies, as well as an overview of the types of action he has undertaken to address these problems.
- 14. In serious cases, the matter may be brought before the General Assembly or Governing Board. The Federation's Constitution contains the formal provisions for suspending National Societies, but these are used only as a last resort. Only the General Assembly has the authority to suspend the membership of a National Society in the Federation. This can be done if:
  - The National Society no longer fulfils all the conditions for admission, in particular, if because of modification of its Statutes, they no longer conform with all the Fundamental Principles,
  - The National Society on its own initiative or under pressure from the government of its country contravenes any of the Fundamental Principles,
  - The National Society uses its connection with the Federation for a purpose which is not in conformity with all the Fundamental Principles,
  - The National Society acts contrary to the general object of the Federation and systematically refuses to apply the decisions of the Assembly.
- 15. Any decision to suspend a member Society can be taken by the General Assembly, however, only after it has examined the recommendation of the Governing Board on this subject. Before making such a recommendation, the Board shall have sent to the member Society concerned two warnings in writing within a period of twelve months prior to the session of the Board. The member Society concerned shall also have the right to be heard at the Assembly in its own defence.
- 16. A suspended National Society immediately loses its rights as a member of the Federation. Its representatives cannot continue to perform any official function within the Federation's statutory bodies, or be elected in such bodies. Suspension also entails forfeiture of all claims to the assets of the Federation. When the reasons for suspension no longer apply, the suspended Society may be reinstated in the Federation as in case of suspension this decision can be taken only by the General Assembly.

The Emblems

The Fundamental Principles

The Role of National Societies

Recognition and admission to the Federation

Federation Statutory Bodies

Characteristics of a Well-Functioning Society

# The International Red Cross and Red Crescent Movement



## Chapter III - The Federation

**Definition, History, Role** 

**Federation Statutory Bodies** 

**Federation Secretariat** 

**Federation Delegations** 

**External Relations** 

Strategy 2010

**Federation Policies** 

**Federation Finances** 

## **Definition, History, Role**

#### **Definition of the Federation**

- 1. The term the *International Federation* refers to the grouping of all the National Societies making up the International Federation of Red Cross and Red Crescent Societies, together with the Federation Secretary General, Secretariat and delegations. However, when people speak of "The Federation" they often actually mean the Federation Secretariat based at head office in Geneva. In order to limit confusion, it is best to speak of the *Federation Secretariat* when that is what is really meant.
- 2. The Federation is a vast organisation. When all 178 National Societies are taken together and the statistics for their national programmes are added up, revealed is an organisation of 97 million members and volunteers and 300,000 staff, with an annual expenditure of over 27 billion Swiss francs (2001 figures). This makes the Federation a truly global entity, with enormous if varying capacities.
- 3. For updated information on the Federation Operations and Programmes: Main indicators and figures in CHF, please consult the Annual Report in the "Publication" section of the Federation website http://irc.ifrc.org.

Federation Operations and Programmes: Main Indicators						
	1996	1997	1998	1999	2000	
Number of Operations	46	64	80	91	112	
Appeals (million CHF)	333.3	445.6	383.1	659.4	443.8	
Target beneficiaries (million)	15.7	22	19.5	30.1	50.4	
Operations Expenses/Cash (million CHF)	205.7	224	218.8	272.6	300.4	
Response to Appeals	70%	65%	74%	84%	68%	
Number of Delegate missions	699	622	582	674	621	

#### **History of the Federation**

4. At the end of the First World War, large areas of Europe were in chaos: economies had been destroyed, populations were being decimated by epidemics, vast numbers of destitute refugees and stateless people roamed the continent. the war has clearly shown the need for close cooperation between the Red Cross Societies, which through their war-time activities on behalf of the prisoners-of-war and combatants, had attracted millions of volunteers and built a large body of expertise. A devastated and hungry Europe

could not afford to lose such a resource.

5. National Red Cross Societies turned their attention to helping famine victims and the homeless, especially in eastern Europe. Few countries had health ministries, and there were no real international bodies capable of organising large-scale relief operations. The creation of the League of Nations, the forerunner of the United Nations, gave a major impetus to a parallel development within the Red Cross.



6. It was Henry P. Davison, President of the American Red Cross War Committee, who proposed at the international medical conference (April 1919, Cannes, France) "to federate the Red Cross Societies of the different countries into an organisation comparable to that of the League of Nations, in view of a permanent world-wide crusade to improve health, prevent sickness and alleviate suffering". Davison's proposal gained immediate support: on 5 May 1919 the *League of Red Cross Societies* with the headquarters in Paris was formally established. Since 1939 its permanent home has been Geneva.



- 7. The first objective of the Federation, whose founding members were the Red Cross Societies of France, Great Britain, Italy, Japan and the United States, was to improve the health of people in countries that has suffered greatly during the four years of war. The goals of the time were "to strengthen and unite for health activities already existing Red Cross Societies and to promote the creation of new Societies".
- 8. A crucial part of the Federation's work is providing and co-ordinating assistance to victims of natural disasters and epidemics. Already in 1919-1920 the League collected nearly 100 million CHF to help the victims of typhus in Poland. Another 180 million CHF were raised to assist the victims of severe famine in Russia in 1921-1922. Since 1923, when the disastrous earthquake in Japan killed 200,000 people and left millions homeless, the Federation has been actively involved in providing and co-ordinating international disaster relief all over the world. Trying to minimise the damage and loss of human life during potential disasters, the Federation assist the National Societies in developing disaster preparedness programmes.

The Biggest Federation Relief Operations after World War II					
Operation	Year	CHF spent			
Palestinian refugees	1948-1950	13,000,000			
Hungarian refugees	1958	82,000,000			
Algerian refugees	1959 -1962	7,500,000			
Cyclone/East Pakistan	1970 -1971	67,000,000			
Vietnamese "boat people"	1975 -1979	73,000,000			
Drought in Sahel	1984 -1986	260,000,000			
Mexico Earthquake	1985 - 1991	50,000,000			
Armenia Earthquake	1988 - 1995	65,000,000			

Former Yugoslavia Refugees, displaced persons, vulnerable groups	1992 - 1999*	503,000,000*
Burundi/Tanzania/Rwanda/DR Congo refugees	1994 - 1999*	271,000,000*
* the operation still continues in 2002		

- 9. Health protection has formed the part of the Federation's duties since it was founded: as early as in 1922, it was decided that the League Secretariat should support the National Societies in hygiene, nursing and youth activities. It has later led to the development of a great variety of National Society activities in the field of first aid, community health care, health education, blood transfusion, nursing, prevention and treatment of AIDS, support for vaccination campaigns.
- 10. The role of the Federation and the nature of its world-wide interventions has evolved over the years to encompass much more than its initial concentration on improvements to public health in the wake of World War I. As early as October 1919, Sir David Henderson, the then League's Director General, stated: "If we do everything we can always to develop the national Red Cross Societies of afflicted countries, so that they can take hold when the outside assistance is withdrawn, we shall then do a work which will be of permanent value." In the years since, National Society development has become a cornerstone of the Federation's work.
- 11. In January 1929 the Red Lion and Sun Society of Iran joined the League bringing in a second emblem. Some months later, Egyptian Red Crescent became the first Red Crescent Society to join the League, which eventually became the League of Red Cross, Red Crescent and Red Lion and Sun Societies. It was not until 1983 when the League's name was changed to the *League of Red Cross and Red Crescent Societies*, Iranian National Society having adopted the Red Crescent emblem in 1980. In 1991, the name was changed again to the *International Federation of Red Cross and Red Crescent Societies*, in order to better represent the international character of the organisation.
- 12. Though initially there were some discussions about eventual fusion of the different components of the Movement, this has never happened. In 1925 the League Board of Governors formally recognised that the "fusion of the League and the ICRC at the present circumstances was impossible", and the two organisations continued operating independently. Over the years there have been recurrent debates with the ICRC over the Federation's role and mandate. The years since have seen much co-operation and some competition between the two organisations culminating in 1989 in a written agreement between the two component parts of the Movement with a view to updating and harmonising their activities and avoiding duplication in the provision of international assistance.
- 13. A new agreement between the ICRC, the International Federation and National Societies, the "Agreement on the Organisation of the International Activities of the Components of the International Red Cross and Red Crescent Movement", known also as the "Seville Agreement", was adopted by consensus at the Council of Delegates in Seville in November 1997. This Agreement on the organisation of the international activities of the Movement's components constitutes an essential element of a new common strategy of action that will allow the components of the Movement to achieve three important goals:
  - to provide more effective response to humanitarian needs using to best effect the Movement's many resources;
  - to promote better respect for humanitarian principles, and for international humanitarian law;
  - to create a stronger International Red Cross and Red Crescent Movement in which all components cooperate to the maximum
    extent.

For details of the Seville Agreement, refer to "Management of a Delegation, Delegation Relations, The ICRC".

- 14. The Federation has a long-standing history of cooperation with the *United Nations*. Article 25 of the Covenant of the League of Nations (1920), as well as resolutions of the General Assembly and the Economic and Social Council of the United Nations (1946) have called upon States to promote and support independent Red Cross and Red Crescent Societies on their territory. The specific competence and nature of the Federation has frequently been recognised in resolutions of the General Assembly of the United Nations. The health-related activities of the League before World War II effectively made it a forerunner of the World Health Organisation, founded in 1948.
- 15. The number and scope of the relief operations carried out by the Federation and its member Societies considerably increased from 1920 onwards. The United Nations were no sooner founded than close cooperation grew up between it and the Federation. Already in January 1949, at the request of the United Nations and with its financial support, the League and the ICRC started a relief operation in favour of 300,000 Palestinian refugees in Iraq, Lebanon, Syria and Transjordan. A large-scale relief operation in favour of Hungarian refugees in 1956 was the beginning of cooperation between the Federation and the Office of the United Nations High Commissioner for Refugees (UNHCR), which later extended to many countries and successfully continues today.
- 16. While the Federation continues to jealously guard its independence, there has always been a strong degree of co-operation with the agencies which make up the United Nations system. The importance of this cooperation was recognised by the United Nations by granting the Federation the observer status at the United Nations General Assembly in 1994.

#### Role of the Federation

According to the Constitution of the Federation, its general object is:

to inspire, encourage, facilitate, and promote at all times all forms of humanitarian activities by the member Societies with a view to preventing and alleviating human suffering and thereby contributing to the maintenance and the promotion of peace in the world.

In order to achieve this object, in conformity with the Fundamental Principles and in the context of the Statutes of the Movement and the resolutions of the International Conference of the Red Cross and Red Crescent, the functions of the Federation shall, among others, be the following:

- to act as the permanent body of liaison, co-ordination and study among the member Societies and to give them assistance;
- to encourage and promote in every country the establishment and development of an independent and duly recognised National Society;
- to bring relief by all available means to all disaster victims;
- to assist the National Societies in their disaster preparedness, in the organisation of their relief actions and in the relief operations themselves;
- to organise, co-ordinate and direct international relief actions in accordance with the "Principles and Rules for Red Cross and Red Crescent Disaster Relief" adopted by the International Conference;
- to encourage and co-ordinate the participation of the National Societies in activities for safeguarding public health and the promotion of social welfare in co-operation with their appropriate national authorities;
- to encourage and co-ordinate between National Societies the exchange of ideas for the education of children and young people in humanitarian ideals and for the development of friendly relations between young people of all countries;
- to assist National Societies to recruit members from the population as a whole and inculcate the Fundamental Principles and ideals of the Movement:
- to bring relief to victims of armed conflicts, to assist in the promotion and the development of international humanitarian law and to disseminate this law and the Fundamental Principles, in accordance with the agreements concluded with other components of the Movement;
- to be the official representative of the member Societies in the international field, among others for dealing with any matters in connection with decisions and recommendations by the General Assembly of the Federation (the "Assembly") and to be the guardian of their integrity and the protector of their interests;
- to carry out the mandates entrusted to it by the International Conference.

The Movement

The Federation

The ICRC

Seville Agreement

**United Nations Agencies** 

## **Federation Statutory Bodies**

17. The *General Assembly* is the supreme decision-making body of the Federation comprising all member Societies and playing the role of both "corporate board" and the "assembly of shareholders". It normally meets every two years to determine the general policy of the Federation, establish plans and budgets, admit new members, and consider other major issues and proposals concerning the Federation. The Assembly elects or appoints all the other statutory bodies of the Federation. With the exception of the Secretary General, who is contracted for an agreed term, the people who make up these bodies remain in office for a period of four years.

18. The new Constitution put in place by the Federation's General Assembly of October 1999 has changed the Executive Council into a *Governing Board* by giving it a renewed mandate: while the Assembly remains the highest governing body of the Federation, the Board, by delegation of important powers from the Assembly, has now become a decision-making body for the Federation between two Assemblies. The composition of the Board has changed in that the chairman of the Finance Commission has become a full-fledged member of the Board. In addition, the Assembly of 2001 has elected 4 Vice-Presidents (one per region) instead of 8, as well as 20 member Societies of the Board instead of 16, on the basis of the same geographical distribution formula as at present. Therefore, as of the Assembly 2001, the Governing Board, elected by the Assembly, comprises:

- the President of the Federation
- four Vice-Presidents, elected on the basis of fair geographical distribution
- an ex-officio Vice-President the President of the National Society of the country hosting the Federation's Headquarters
- the Chairman of the Finance Commission
- 20 member National Societies, elected on the basis of fair geographical distribution.

19. As of 2001, there is no longer any pre-established constitutional commission, with the exception of the *Finance Commission*. It is mainly the Board which set sup subsidiary bodies as and when required, taking into account the need for participation of

National Societies in the Federation's governance as well as geographical distribution.

- 20. The present section of the Handbook must be read in view of these and other changes of the Constitution and the Rules of Procedure adopted in 1999. An entire review of the section will follow at a later date. In the meantime, should you need further clarification on this subject, please contact the Governance Support and Legal Department at the Federation Secretariat.
- 21. In addition to the above-mentioned collective statutory bodies, the Federation has three individual statutory bodies the *President*, the *President of the Finance Commission* and the *Secretary General*. The President of the Federation is the highest personality of the Federation. The President is responsible to the Assembly for ensuring that the Federation pursues its general object and exercises its functions as defined by the Constitution. He or she is elected by the General Assembly for the period of four years, and acts under the authority of the Assembly and Governing Board to guide the affairs of the Federation in conformity with the decisions of the Assembly. To ensure the smooth functioning of the Federation, he or she may advise the Secretary General on the implementation of these decisions when necessary.
- 22. The *President of the Finance Commission* is appointed by the General Assembly for the period of four years on the proposal of the Governing Board. His or her role is to advise the President and the Secretary General on all financial matters.
- 23. The *Secretary General* of the Federation is the Chief Executive Officer of the Federation. He or she is appointed by the General Assembly on the proposal of the Governing Board and under the conditions previously laid down by the Assembly. The Secretary General carries out his/her functions under the authority of the Assembly, of the Board and of the President of the Federation. His/her responsibility is to implement the decisions of the Assembly and the mandates assigned to him/her by the Board or by other bodies of the Federation, to direct the Secretariat and be responsible for the execution of the work entrusted to it and to organise the different services of the Secretariat in accordance with the decisions of the Assembly and the Board. The Secretary General is the authorised representative of the Federation in relation to third parties.

The Movement's Statutory Bodies

The National Societies

Federation Secretariat

Strategy 2010

Federation Policies

Federation Finances

Legal Relationships

#### **Federation Secretariat**

- 24. The Federation Secretariat is not a statutory body. It exists to assist the Secretary General in the execution of his or her functions. For practical purposes and based on the Constitution, the functions of the Federation Secretariat are carried out in four main areas:
  - Supporting the governance of the Federation the role of the Secretariat is to prepare policy for the General Assembly, the Governing Board, and subsidiary bodies of the Assembly and the Board;
  - Assisting the development of National Societies by providing advice and support in *Strategy 2010* core area programmes, and by promoting development cooperation between National Societies;
  - · Organizing, coordinating and directing international relief actions and associated disaster preparedness work; and
  - Representing National Societies internationally.

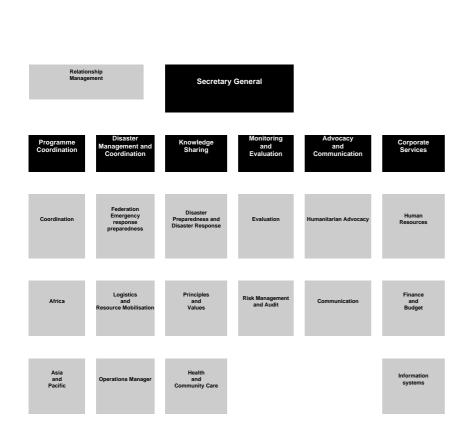


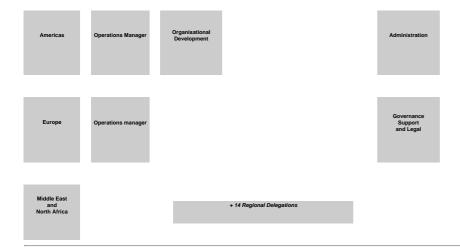
- 25. The mission of the Secretariat is to be a serving leader to the Federation; serving National Societies and providing leadership and inspiration to the Federation at a global level. The overriding priority for the Secretariat is to support National Societies and the Federation's governing bodies in implementing *Strategy 2010*.
- 26. The Secretariat's new structure comprises six divisions:
  - Programme Coordination.
  - Disaster Management and Coordination.
  - · Knowledge Sharing.
  - Monitoring and Evaluation.
  - Advocacy and Communication.
  - Corporate Services.

Each division is headed by a director.



#### Federation Secretariat





The Federation Secretariat which is based in Geneva also has 14 Regional Delegations. These are located in Abidjan, Nairobi, Yaounde, Harare, Bangkok, New Delhi, Beijing, Suva, Buenos Aires, Guatemala City, Santo Domingo, Almaty, Budapest and Amman. The Secretariat also has country delegations. Their number and size at any one time vary, depending on the number and size of operations and programmes requiring Federation involvement. The number of country delegations as at mid-2001 was 56.

The Secretariat in Geneva is manned by about 270 staff members (2001 figure) under the direction of the Secretary General. There are a number of departments organised under the six Divisions mentioned above. Communication with National Societies is conducted in the Federation's four working languages: Arabic, English, French and Spanish. About 50 different nationalities are represented within the Secretariat workforce.

27. The Secretariat is developing as a matrix organisation. The starting point is to achieve clarity and commitment on overall organisational priorities, based on an annual review of *Strategy 2010*. This in turn gives context and focus to the divisions and departments. For the individual, matrix means having a possibility, indeed an obligation, to contribute to the work of others, towards the achievement of the overall priority.

From the Secretary General down, each individual in the organisation develops an annual set of personal objectives. This is done in a cascade, so that each division, department and individual has a mutually supportive set of deliverables. Progress in these personal objectives is one dimension of performance appraisal.

Matrix implies the possibility of dotted, as well as straight reporting lines. For example, a health delegate in the field will have a dotted reporting line to the Health Department in Geneva for issues of professional ability, standards and process, but a straight or operational reporting line to the head of delegation for issues of programme delivery. Both managers would cooperate to assess the job performance, and both managers would cooperate to resolve any tasking conflicts. The ultimate accountability for performance appraisal will rest with the line manager, with the right and duty to get input from others. Where appropriate, there may be multiple sources of tasking, with potential conflicts resolved at the time annual objectives are set, and with the agreement of the line manager.

#### Office of the Secretary General (OSG)

The Office of the Secretary General supports and helps to carry out the initiatives of the Secretary General in areas of Federation leadership and management, including liaison with the Federation President. As part of the reorganisation of the Secretariat in 2000, several functions which previously rested with the Office of the Secretary General have been moved into line management. Two assistants and one advisor remain in permanent positions. In addition, two important functions, though structurally belonging to divisions, report directly to the Secretary General:

- The Head of Audit Department, although part of the Monitoring and Evaluation Division, reports to the Secretary General on matters of internal control over administration and operational funds.
- The Head of Legal Affairs and Governance Support, although part of the Corporate Services Division, reports to the Secretary General on matters regarding compliance with the Federation Constitution and other relevant laws and regulations.

#### Relationship Management

The Relationship Management Department includes the former Revenue Generation Department, External Relations Department, and Appeals and Report Service. At the time of printing the mission statement of the Relationship Management Department was not yet available. Please contact the Department directly for further information on its aims and activities.

#### Programme Coordination Division

This Division focuses on the Federation coordination of long term relief and development cooperation efforts. This is the division that oversees the Regional Departments and line management authority to the field Delegations of the Secretariat. During relief operations, it is supported by the Disaster Management and Coordination Division. The Programme Coordination Division focuses particularly on the introduction and maintenance of relevant regional and country cooperation agreement strategies. It creates

inclusive cooperation frameworks between the National Societies, including bilateral and multilateral support. Its other principal task is to develop programmes to help National Societies provide humanitarian assistance to the most vulnerable, and to strengthen societies' operational and organizational capacities as and where needed.

Regional Departments: Africa, Americas, Asia/Pacific, Europe, Middle East/North Africa

The overall purpose of the Regional Departments is to set and manage a strategy for each region according to regional needs and priorities, and to coordinate support ensuring the resource base in the region is fully developed and utilised. In order to achieve this, Regional Departments monitor and analyse general political, economic and social trends and maintain close relations with the societies in their respective regions. These Departments update the Secretariat and relevant Divisions of key developments. They provide direction to Heads of Regional and Country Delegations, ensuring that plans and budgets for operations and programmes are coordinated effectively and in line with Federation policies. They are responsible for ensuring correct and efficient management of Secretariat resources in accordance with existing procedures and internal control regulations. Finally, the Departments mobilise resources in response to Federation appeals for programmes in their region.

#### Coordination Department

The Coordination Department ensures consistency in the Secretariat's approach to longer-term relief and development programmes across regional departments, and supports the Division Director in ensuring an optimal allocation of resources to priority needs. It leads on the development of country and regional assistance strategies, and coordinates the annual appeal planning process. It also manages Federation multilateral development funds (e.g., Capacity Building Fund, DFID Partnership, Empress Shoken Fund).

#### Disaster Management and Coordination Division

The Federation established the Disaster Management and Coordination Division to further improve its capacity to organize international disaster relief operations and to maintain high level disaster preparedness and response within the Federation and National Society network. The Disaster Management and Coordination Division represents the Federation in inter-agency dialogue related to disaster management. Its main counterparts are the ICRC, United Nations agencies, non-governmental organizations and their networks. Disaster response and disaster preparedness are core areas of the Federation's Strategy 2010.

The Disaster Management and Coordination Division Director manages four components of the division: operation management, emergency response preparedness, security, and logistics and resource mobilisation. The objectives of the Disaster Management and Coordination Division are:

- act fast and boldly in sudden onset disasters;
- get in and advocate in slow onset disasters;
- contribute to develop National Societies preparedness capacity; and
- work better and more effectively together.

#### Disaster Response and Operation Management

National Societies and their network of volunteers are the first line in disaster response. In their auxiliary role they support the local and national authorities providing rescue and welfare services. When the National Societies and their available resources are overwhelmed, they have the right and the duty to request assistance from the Federation. The Federation Secretariat may also take the initiative to offer assistance to a National Society and victims of a disaster.

When disaster strikes, the Disaster Management and Coordination Division will assign, in consultation with the concerned Regional Department, a Head of Operation to manage the response. Three Heads of Operation cover the areas of Africa and Middle East, Americas and Pacific, and Asia and Europe. The Head of Operation takes on the management of major and/or complicated disaster situations with the help of a task force. This task force comprises representatives of the Regional Department concerned, the Programme Coordination Division and technical service departments. The Head of Operation may also offer, or be requested to provide managerial help if a Desk Officer or Regional Department is coordinating a multitude of smaller operations.

Normally, the Head of Operation manages an operation for a maximum period of three months. Following this period, the operation is managed by the Head of the Regional Department, ensuring a smooth continuum from relief to rehabilitation and development. The Head of Operation can remain involved in an advisory or support capacity, as requested.

#### Federation Emergency Response Preparedness

The Emergency Response Department prepares response tools and mechanisms within the Federation. Such mechanisms include the field assessment and coordination teams (FACT). These teams of Red Cross and Red Crescent professionals receive specialised training in needs assessment, setting up coordination mechanisms and starting relief actions. The Emergency Response Department provides training, maintains rosters of trained members, oversees operating procedures and communication protocols and ensures that field assessment and coordination teams are ready for deployment in the field.

Emergency Response Units (ERUs) are another important early response tool of the Federation. An ERU comprises various ready for deployment specialised units, providing field hospitals, water sanitation, telecommunications and logistics. The Emergency Response Department coordinates development and standardisation of ERUs amongst participating National Societies.

The Department is also developing a new tool called disaster management information systems (DMIS). This is an Internet-based decision making support tool, which includes protocols for early warning and prediction. Other areas of work include relief

response standards and input into disaster management training. The important principle is to maintain a seamless continuum in preparedness and response between the international, regional and national levels within the Federation system.

#### Operation Security and Safety

The Federation takes a preventive approach in ensuring the security and safety of its staff. This includes measures such as:

- security awareness.
- Development and implementation of security training with the National Societies.
- Development and implementation of appropriate security management.
- Networking and information gathering.
- Dissemination of the Fundamental Principles.
- Correct and impartial personal and institutional conduct.
- Operational planning.
- Constant monitoring of country situations.

Based in Geneva, the Security Unit exists to support and improve the Federation's security management. This Unit is part of the Disaster Management and Coordination Division and reports to the Division's Director. The Unit works closely with organisations such as the ICRC, the United Nations, non-governmental organisations, as well as other relevant bodies, to ensure the safety and security of humanitarian workers.

#### Logistics and Resource Mobilisation

The Logistics and Resource Mobilisation Department plays a critical role in the organisation's disaster responses and relief operations. Immediately following a disaster and throughout the emergency and long term rehabilitation stages, the Department supports the operation and the National Societies with procurement, in-kind mobilisation and country specific logistics. Mandated to support disaster and sustainable development operations, the Logistics and Resource Mobilisation Department also develops new logistics systems and procedures that ensure efficiency and effective response.

Commodity tracking and international transport planning of relief items facilitates the Federation's overall disaster response coordination. Both operating National Society and participating National Societies benefit from timely and accurate planning.

Regional Logistics Units attached to some of the regional delegations reinforce preparedness and response by providing proximity, direct procurement and pre-positioning of resources.

#### Knowledge Sharing Division

The creation of the Knowledge Sharing Division reflects the analysis and recommendations of the business processes solution teams. This Division is at the centre of the new structure, ensuring that knowledge is integrated through divisions, for the collective benefit of the Federation and National Societies. This Division also provides a technical expertise to the programme management functions for health and disaster preparedness, and others. The Division plays an integral role in overseeing quality standards and policy issues in programming.

#### Disaster Preparedness and Response

The Disaster Preparedness and Response Department reinforces the Federation's policies in:

- the prediction, prevention and mitigation of disaster risks;
- disaster preparedness and disaster operations; and
- post-disaster situations, such as responding to a refugee crisis.

The Department reviews existing policy and prepares new proposals for guidelines, methodological support and good practices in preparedness and response. It also assists the Programme Coordination Division, the Disaster Management and Coordination Division and delegations in their work with National Societies. The Department is also responsible for researching and developing Federation positions on global issues which affect the Federation's disaster preparedness, response and rehabilitation programmes. To this end, the Department is responsible for, where necessary, initiating and carrying out operational reviews and evaluations.

#### Principles & Values

The purpose of the Principles and Values Department is to lead the knowledge sharing and innovation efforts with regard to the promotion of the Movement's fundamental principles and humanitarian values, as defined in Strategy 2010. The Department aims to integrate these principles and values in all Federation programmes and provide technical advice and support to all divisions, delegations and National Societies on their effective implementation.

#### Health

The Health and Care Department supports the Federation and National Societies in their efforts to protect the vulnerable in their community from disease, offer health care in the community, and prepare for and respond to health crises.

The following areas have been defined as strategic priorities for the Health and Care Department:

- Health advocacy.
- Building National Society capacity to bridge the gap between vulnerable households and the formal health system.
- Responding to health emergencies.

The Department offers programmatic support to field workers on HIV/AIDS, water and sanitation problems, malaria, tuberculosis, mother and child illness and the promotion of voluntary blood donation. For the most part these activities are carried out by National Societies and their volunteers, offering assistance in health promotion, disease prevention, first aid, psychological support and social welfare.

#### Organisational Development

The main objectives of the Organisational Development Department are to:

- Strengthen National Society capacities to implement relevant services and programmes.
- Increase National Society resource mobilisation capacity and to diversify and sustain their financial base.
- Strengthen National Society leadership.
- Improve National Society practice in managing (recruiting, training, motivating, supporting and rewarding) volunteers and youth.
- Encourage diversity and gender perspectives in all National Society activities.

The Organisational Development Department, including gender and youth, supports National Societies in matters of capacity building as National Societies strive to improve the lives of vulnerable people. The Department promotes an integrated approach centred around the four core programme areas as defined in Strategy 2010 (i.e., promotion of the Movement's fundamental principles and values, disaster response, disaster preparedness and health and care in the community). Emphasis is also placed on ensuring that all programme activities, including leadership training, reflect the make-up of the population, with a specific regard for gender, youth and ethnic representation. An important focus of the Department is to encourage networks with other capacity-building organisations outside the Movement.

#### Monitoring and Evaluation Division

The Monitoring and Evaluation Division monitors both National Society development and Secretariat programmes. This Division exists to respond to the changes in the operating environment, to learn from both best practices and mistakes. This Division monitors and records successes, problems and integrity issues, to improve organisational learning and to mobilise support and assistance in cases of difficulties experienced by National Societies. The division provides a very important audit function for the organization.

#### Evaluation

The Evaluation Department's mission is to define and measure the effectiveness of humanitarian work so as to enhance the results on the ground. This is achieved by supporting Federation governance and monitoring the performance of National Societies. Regular reports, based on National Society reporting and self-assessment, enable societies to identify shortcomings and plan improvements to their programming and performance.

The Evaluation Department provides a basis for assessing the Federation and Secretariat performance on policies, programmes and processes, and identifies and disseminates lessons learnt from experience.

#### Risk Management and Audit

The Risk Management and Audit Department's mission is to help the Secretariat accomplish its objectives by bringing a systematic, disciplined approach, to evaluate and improve the effectiveness of risk management, control and governance processes. It also aims to monitor and support National Societies in their endeavour to reach compliance with the Movement's principles and values, in accordance with Strategy 2010.

#### Advocacy and Communication Division

If the Secretariat and its Delegations focus on service delivery to the National Societies, a further important function of the Secretariat is about communicating internally and externally, and influencing others. The Advocacy and Communication Division focuses on providing leadership. It develops and organises advocacy initiatives in line with Strategy 2010, and manages communication, including strategic communication on Federation priorities, executive/internal communication, the Federation web site, etc. The Advocacy and Communication Division is also in charge of the overall coordination of Federation initiatives to develop its relations with the ICRC.

#### Humanitarian Advocacy Coordination

The mission of the Humanitarian Advocacy Department is to improve services to the most vulnerable by advancing their needs when priorities and programmes are being set by significant external stakeholders. These include governments, international organisations, non-governmental organisations and a wide variety of other stakeholders involved in emergency and development contexts around the world.

The Department supports all other departments, delegations in the field and National Societies in defining and pursuing key advocacy initiatives. It provides training in advocacy. It works on developing Federation positions on humanitarian issues of

concern to National Societies.

On the international scene, the Humanitarian Advocacy Department is responsible for promoting multilateral advocacy initiatives to influence key decisions of international bodies and put forward Federation and National Society positions and messages.

#### Communication

Responsible for the development of communication plans and programmes, the Communication Department ensures that the Fundamental Principles and the Federation's humanitarian work is accurately and widely reflected and known. Through both internal and external communication channels, the Department ensures accurate and timely flow of information to National Societies, external organisations, media and the general public, serving as a clearinghouse for red cross and red crescent information. It works in close cooperation with the Humanitarian Advocacy Department in the development and communication of the Federation's positions on issues and situations that effect the delivery of National Societies' mission of serving the most vulnerable.

#### Corporate Services Division

This Division unites such important functions as human resources, finance, information systems, administration, legal affairs and governance support. The Division aims to support the Federation in its goals through the provision of economic, efficient and effective services. As highlighted by many staff members both in Geneva and in the field, performance in these "generic" areas is critical in enabling a truly matrix, results-oriented, efficient organisation.

#### Human Resources

The Human Resources Department, which includes the Organisation and Staffing, Training and Development, and Compensation and Benefits Units, has the responsibility for ensuring the highest calibre talent pool, enabling the Federation to achieve Strategy 2010. The Department is accountable for recruiting, retaining, developing and training staff with appropriate qualifications necessary to reach secretariat priorities in Geneva and in the field. It provides qualified personnel and appropriate personnel management tools for delegations and to those National Societies requiring or providing field delegates. It also promotes the development of policies, procedures and guidelines in all matters related to Federation personnel and administers the classification and compensation systems.

#### Finance and Budget

The Finance and Budget Department is a global service team based partly in Geneva but primarily in the field. Its primary focus is to provide a service enabling economic, efficient and effective management of the financial resources of the Secretariat.

Within Geneva, the main operational Units and their primary tasks are as follows:

- Financial Accounting Unit looks after treasury, accounts payable, and accounts receivable, as well as having responsibility for coordinating the overall month end financial close.
- Budget Unit a small unit focused on supporting Geneva-based cost centre managers and Geneva-based global programme managers, as well as having responsibility for coordinating the overall financial budgeting process.
- Operations Financial Analysis Unit provides the Geneva-based field operations managers with financial analytical support, as well as having responsibility for coordinating the field financial budgeting process.
- Operations Accounting and Development Unit supports the Finance Department in the field, and has responsibility for managing the month end financial close in the field.

The Finance and Budget Department operating in the field focuses principally on providing financial monitoring, reporting, record keeping, financial controls and financial analytical advice for programme managers and donors. Many field staff are also actively involved in developing the financial knowledge, systems, and resources of National Societies.

Field reporting lines are currently being streamlined through Regional Finance Offices. These form a key component of the global finance team, providing local expertise and support to country delegations, as well as accounting, budgeting and analytical support to regional programme managers.

#### Information Systems

The Information Systems Department works to continuously improve Secretariat information handling, through effective use of information technology. This can ultimately include facilitating access to external and internal information sources and the building, sharing or dissemination of information internally and to National Societies, and cooperating organisations. It also includes working cross-organisationally to develop standards that facilitate, among other things, disaster response capabilities among those groups that participate.

In basic operational terms, this means providing and supporting technology in Geneva and to delegations. The IT technical user support unit in Geneva supports the organisation's static IT operations needs: computer servers, local area network, and Geneva-based PCs. The Field Support and Telecommunications Unit focusses on supporting dynamic delegation and remote user needs including radios and antennae, laptops, technical equipment order fulfilment, consulting, planned implementation support, training, and disaster preparation and response initiatives. It facilitates delivery of technology support to those that need it through coordinating regional staff already in various delegations. It also functions as a provider of technology support as a last resort, when critical support is needed in emergency situations. It also handles cellular phone provision for Geneva staff. A third

functional group within Information Systems Department focusses on high-level application support and the development of custom Secretariat applications to support user requests.

#### Administration

The Administration Department aims at providing efficient and effective administrative support to the Secretariat and National Societies through three small units, and two larger units. The smaller units are the Visitors Unit, the Insurance Unit, and the Headquarters Procurement and Contracting Unit. The larger units are the Language Unit and the Building Management and General Unit.

The Language Unit provides translations in Arabic, English, French and Spanish and ensures that the layout of the translations is in accordance with the original. The Building Management and General Unit is responsible for the maintenance of the buildings and the park and provides working facilities to employees, maintains studios and apartments in Geneva, provides travel, organizes travel assistance for delegates, hotel reservations, restaurant facilities, reception desk, incoming and outgoing mail and assists in all conference and meeting matters.

#### Governance Support and Legal

The Governance Support and Legal Department is tasked with (i) providing all necessary support to the governance bodies of the Federation, i.e., the President, the Board and the General Assembly and coordinating the preparation of statutory meetings including the drafting, translation, production and timely dispatch of invitations, agendas, documents and minutes of meetings; (ii) assisting senior management in the development of systems and tools to enhance proper implementation of governance decisions; (iii) assuring the legal security of the Federation through timely advice on all questions pertaining to the corporate legal responsibilities of the Federation, including status agreements, contractual relations (labour and otherwise) and claims against or on behalf of the organization; (iv) providing the necessary legal support to National Societies when requested, especially in regards to their statutes and domestic red cross law; (v) working in partnership with the ICRC on applications for recognition/membership to the Movement and on questions relating to the red cross and red crescent emblems; (vi) provide advice in general on legal issues affecting the Movement under national and international law.

For further details on the new structure and staffing, please contact the Human Resources Department at the Federation Secretariat or consult the Federation web site.

## **Federation Delegations**

- 28. The effectiveness of the Federation's work throughout the world largely depends on the experience, commitment and skills of its delegates. Most delegates are recruited and paid by their National Societies. Some delegates are recruited and paid directly by the Federation Secretariat. This is done partly in order to enable delegates to be recruited from National Societies without sufficient financial means to pay for them, and partly to ensure that the Federation develops a cadre of experienced and qualified delegates to hold senior positions.
- 29. In order to pursue its work in relief and development, assisting and advising the National Societies the Federation maintains regional and country delegations.
- 30. Broadly, the *purpose of a Federation Country Delegation* can be described as follows:
  - To assist and advise National Societies in their relief operations, capacity-building, institutional and resource development and other development programmes.
  - To maintain communication with the Federation Secretariat on the progress of relief operations and/or development programmes, and the need for resources.
  - To ensure that the Federation's human, material and financial resources are efficiently and properly managed.
  - To ensure effective relations with the other Red Cross and Red Crescent partners in-country, the United Nations and non-governmental agencies, as well as with the embassies and missions of donor governments.
- 31. The number and size of the delegations maintained by the Federation at any one time varies depending on the size and frequency of disasters and to some extent, to the level of commitment within the Movement to development. In 2000 there were some 350 delegates all over the world.
- 32. The purpose of a Regional delegation is to:
  - Improve the Federation Secretariat's *understanding* of the needs and concerns of Societies in the region and of regional issues in general.
  - *Advocate* with National Societies for their active participation in the policy-making processes of the Federation and for their implementation of the decisions of the General Assembly and other statutory bodies.
  - Undertake *assessment* of needs following disasters and if necessary assist the National Society until a country delegation is established and/or provide continuing support with purchasing and supply.
  - Encourage and support National Societies in planning, implementing and evaluating their organisational *development*, disaster preparedness and service programmes and facilitate related Participating National Society visits.
  - Represent the Federation in relations with United Nations agencies, non-governmental organisations, diplomatic missions and

the media.

- 33. Main functions of a Regional delegation vis-à-vis the National Societies in the region can be defined as advisory, facilitating and co-ordinating. It should in particular:
  - Keep itself *informed* of the development projects and programmes of National Societies in the region, supported by the Federation or bilaterally, ensure where appropriate that the Country and Regional Cooperation Agreement Strategies are drawn up, and to *assist* National Societies in setting up adequate procedures for activity and financial reporting,
  - Promote and facilitate training of National Society staff and volunteers, primarily in management, administration and fundraising, and encourage collaboration with Red Cross / Red Crescent or other regional development/training institutes, where these exist.
  - Encourage and facilitate regional cooperation among National Societies, between National Societies and relevant regional organisations and institutions,
  - Maintain *contact with National Society regional groupings* with the aim of sharing and receiving information as well as facilitating their activities whenever appropriate or needed,
  - Ensure or encourage that proper *evaluations* are carried out by the Federation and National Societies in line with Federation policies in order to learn from experience and to promote improved performance in the future,
  - Keep the Secretariat in Geneva informed of the situation of National Societies as well as of general developments in the region; to represent the interests of the Federation and exercise an advocacy role related to the implementation of Federation policies,
  - Establish and maintain a data base on its region, providing the Secretariat and National Societies with information,
  - Identify and maintain contacts with national *funding* agencies and regional representations of bodies such as development banks, the European Union and others, in order to inform them of Red Cross/Red Crescent activities and to attract support.
- 34. Regional delegations may from time to time have an operational role in specific programmes, in particular where there is no other mechanism available and a country delegation does not exist. In case of a disaster affecting a country in the region, a Regional delegation may be requested to assist the Secretariat and the National Society in the assessment of needs, the start-up of a relief operation, the co-ordination of international support and the provision of logistical and administrative support. A Regional delegation may also render operational services such as logistical support, depending on the circumstances in the region. Regional delegations may be charged with supervision of Federation regional warehouses where these exist.
- 35. The number and scope of Federation operations has grown significantly since the early 90ties. The purpose, role and main functions of regional delegations outlined above may be developed further based on a current review of regional delegations through the Action Research Project.

## Federation's Regional Delegations (July 2001)

- Harare, Zimbabwe
- · Nairobi, Kenya
- · Abidjan, Côte d'Ivoire
- Yaoundé, Cameroon
- Budapest, Hungary
- Alma Aty, Kazakhstan
- Amman, Jordan
- New Delhi, IndiaBeijing, China
- Bangkok, Thailand
- Suva, Fiji
- Santo Domingo, Dominican Republic
- · Guatemala City, Guatemala
- Buenos Aires, Argentina

Federation Secretariat

Responsibilities and Reporting Lines

**Delegation Relations** 

**Development Policy** 

Responsibilities and Agreements in Relief Operations

#### **External Relations**

36. In recent years, humanitarian issues have gained greater prominence on the world stage. Being a representative of its member National Societies in the international field, the Federation has a major role to play in this expanded socio-economic and political context. To be able to assist the most vulnerable effectively in a competitive environment, *the Federation must make itself heard*,

so that its role and work can be better understood. For this reason, in addition to providing general information to the public at large, the Federation needs to communicate specific messages to clearly identified groups – particularly to world leaders and principal decision-makers.

- 37. The Federation needs external relations:
  - To advocate its role and to secure more resources in support for achieving the objectives of its relief operations and assistance programmes,
  - To exchange information about events of particular relevance to its activities,
  - To inform and influence debate in governmental and inter-governmental fora on humanitarian issues,
  - To increase its effectiveness and efficiency through better co-ordination on issues affecting international relief and development assistance,
  - To promote understanding and interest in the potential of using local resources (especially those of National Red Cross and Red Crescent Societies) for improving the situation of the most vulnerable, including emergency interventions,
  - To play a more active part in providing protection, particularly to refugees and displaced persons, and in conflict resolution,
  - To better play a leading role in promoting human dignity.
- 38. It has also become increasingly important for the Federation to know more about the overall and complex political, economic and social environment in which it carries out its work. External Relations provide the Federation and its Secretariat with this vital information and feedback.
- 39. The Federation's external relations are focused on four major target groups: United Nations bodies and specialised agencies, other inter-governmental organisations (IGOs), governments, and non-governmental organisations (NGOs).
  - While strongly maintaining its independence, the Federation does co-operate with a number of UN agencies in most of its relief and assistance programmes. Of particular importance are the Office for the Coordination of Humanitarian Affairs (OCHA), the office of the United Nations High Commissioner for Refugees (UNHCR), the World Food Programme (WFP), the World Health Organisation (WHO) and the United Nations Children's Fund (UNICEF). The Federation also participates in the work of the United Nations Economic and Social Council (ECOSOC) and has observer status with the United Nations General Assembly.
  - The Federation's regular contacts with other IGOs include relations with the Pan-American Health Organisation (PAHO), the European Union (EU) in Brussels and the Council of Europe (COE) in Strasbourg, the Organisation of African Unity (OAU) in Addis Ababa, the International Organisation for Migration (IOM) and International Civil Defence Organisation in Geneva.
  - Relations with governments are conducted primarily through National Societies and through permanent diplomatic missions
    in New York (through the Federation's office to the UN) and Geneva. The Federation has also concluded several bilateral
    status agreements with governments in whose countries it has established delegations and by which it has been granted
    treatment similar to that of an international organisation.
  - The Federation co-operates with humanitarian NGOs working in relief and development, particularly through the Steering Committee for Humanitarian Response (SCHR) as well as with a number of research institutions and voluntary agencies throughout the world.

#### Cooperation with international organisations

The Federation's policy on cooperation with international organisations, including the United Nations (10th General Assembly, Geneva, November 1995) emphasises that the Federation's as well as individual National Societies' activities in this regard "shall be guided overall by the Red Cross and Red Crescent Principles and International Humanitarian Law, as well as by the policies adopted by the International Conference, the Council of Delegates and the Federation's statutory bodies". It is further noted that the following policy elements should guide the Federation's and individual National Societies' approach to international organisations, including the United Nations, its specialised agencies, funds and programmes:

- Promote the interests of the most vulnerable and enhance the role and capacity of the Federation, including its National Societies, to respond to their humanitarian needs.
- Promote human dignity, Red Cross and Red Crescent Principles and humanitarian values.
- Protect the Red Cross and Red Crescent integrity and independence of action.
- Enhance and develop the capacity of the National Societies and the Federation as a whole.
- Increase humanitarian assistance effectiveness and efficiency through better cooperation and information sharing.
- 40. In keeping with the concept of *Working as a Federation*, the Secretariat involves National Societies as active partners in Federation external relations. National Societies represent the Federation at international conferences or at workshops held in the countries involved, and in representation to its government.
- 41. The most significant sign of the Movement and of the Federation in its external relations is the Red Cross and Red Crescent *emblem*. Every person who uses the emblem whether National Society volunteer or staff member, Secretariat staff (employee in Geneva or delegate in the field) is directly involved in Federation external relations. Any decisions, actions or statements made during contact between Federation representatives and those of other organisations, governments or the media can impact positively or negatively on the image and role of the Movement as a whole and of the Federation in particular.

Planning Operations

Population Movements

## Strategy 2010

- 42. Strategy 2010 is the planning tool that will guide **all** of the International Federation's actions from the years 2000 to 2010. It defines three strategic directions for the Federation and its member National Societies to follow in order to achieve its mission. These three directions are:
  - **Responsive and focused programmes** National Society programmes that are responsive to local vulnerability and focused on the four core areas[1] where they can add greatest value, both through service delivery and advocacy
  - Well-functioning National Societies which can mobilize support and carry out their humanitarian mission, contributing to the building of civil society
  - Working together effectively through programme cooperation, long-term partnerships and funding, as well as more active
    advocacy.
- 43. Strategy 2010 was not dreamed up by one person in Geneva; it actually emerged through a two-year participative process, led by a group of nine National Societies a process in which all but a handful of National Societies took part and which was enthusiastically adopted at the General Assembly in October 1999.
- 44. Strategy-building was the easy bit; making Strategy 2010 a reality in 176 National Societies so that the Federation has a real impact in improving lives with the vulnerable people with whom they work now this is the more difficult bit. Building awareness and understanding of Strategy 2010 is a vital first step in making this happen, understanding that Strategy 2010 is not a project or a document, but a philosophical framework for the work of National Societies within their Federation. As a delegate at a recent workshop in Geneva reflected:
  - "I find Strategy 2010 a very useful tool. It provides the link to 'today's world' and manifests that the principles have their validity today and are still core to Red Cross activities. One gets the framework right without sounding too idealistic. In fact the more I read the Strategy 2010 the more I like it. I like its conciseness; a lot of useful stuff can be derived from it."
- 45. As this delegate observed, Strategy 2010 is not very long, so it will not be reproduced here. There should be copies in all delegations if not contact the Planning Unit in Geneva (s2010@ifrc.org) and get a copy; it can also be found on the Federation website. There are also a range of materials available to assist National Societies and delegates to promote it (such short leaflet versions and posters in 4 official languages, overhead transparencies and a video). Many National Societies have translated it into their own working languages and the artwork can be provided on CDRom so that they can incorporate their own version using the same photographs and graphics for no cost.
- 46. Implementing Strategy 2010 will involve the International Federation and its National Societies confronting many challenges on the path to achieving its mission. Delegates have an important role in facilitating this process and should consider Strategy 2010 as a primary tool in this role.

#### **Federation Policies**

- 47. For the International Federation, comprising the National Societies, the Secretariat and its Delegations, adopted policies provide direction for action in the achievement of the mission, and are a point of reference for and ensure consistent decision-making. Policies define the boundaries for the conduct of the organisation and the people working within the organisation.
- 48. Strategy 2010 will provide the overall direction for the International Federation's action in the years to come, and is at the centre of the policy framework described on the following page.
- 49. Clear policy in each sector is vital as a basis for ensuring:
- a) Direction and consistency of action

- As the world's largest humanitarian network, the programmes and operations of Red Cross and Red Crescent Societies acting individually and collectively as the International Federation are highly visible world-wide. Our credibility and accountability to the public and donors, and the degree of trust in the organisation by beneficiaries depends on fast, effective and appropriate delivery of assistance and services. Our actions world-wide, at local, national and international levels must be seen to be consistent and guided by the same set of policies.
- National Society and International Federation staff, delegates and volunteers must be aware of current policy and be able to
  access, understand and implement these policies. With a limited number of clear, concise policies, National Societies will find
  it easier to translate and communicate the policies that they have established through the Statutory Bodies. Additionally, using
  International Federation policies as a basis, National Societies will be able to develop their own, more detailed policies taking
  into account local needs, constraints and relationships.
- It is equally important that the authorities, agencies and organisations with whom the National Societies and the International Federation work on a daily basis or in time of crisis, are aware of the nature and content of our policies. Their understanding will facilitate our work with them on behalf of the vulnerable.

#### b) Clear communication

- In both the electronic and written press, National Societies and the International Federation are under increasing pressure to explain programmes, actions and operational procedures as well as the underlying principles and values which direct these actions. Recognising the opportunities presented by modern communications, the need to be heard and understood in a matter of seconds or in a few paragraphs underlines the importance of having short, clear policy statements.
- The visibility of our actions in accordance with our policies world-wide, whether within a health programme in Africa or a flood operation in Asia, can be testimony to the immense potential of the Red Cross Red Crescent humanitarian network
- With a clear set of policies and a long and broad operational experience across the globe, Red Cross Red Crescent can and must increasingly be a credible advocate for changes which will positively improve the lives of vulnerable people.

#### **Policy Framework**

The policy framework, as adopted by the 1997 General Assembly:



#### Policy Style

50. All new policies being developed by the Statutory Bodies with the support of the Secretariat are being prepared according to a standardised format. Each policy uses the policy logo and title as header and follows a basic set of contents, including: introduction, scope, policy statement, responsibilities and reference.

#### Policy Process

51. Recognition that International Federation policy is increasingly applicable for National Societies acting individually and for the International Federation collectively, has led to Societies taking a much stronger role in the establishment and review of policies prior to their being brought to the General Assembly. An example is the development of the First Aid Policy with more than 100 Societies commenting on the draft text, as well as discussions at regional meetings across the globe. This process of developing policy ensures that Federation policies are appropriate and that National Societies take ownership of and implement these policies.

#### Access to Policies

52. International Federation Policies (from 1995 on) are available on the Federation website (www.ifrc.org), or from the respective departments of the Secretariat. This will be updated after each General Assembly thus ensuring that the whole body of policy is current and updated every two years.

#### Implementation

53. National Societies are asked to provide information on International Federation policy to their staff and volunteers so that policy is used consistently in carrying out programmes and operations. With each policy approximately 2 pages in length, translation into local languages is a manageable task. It is the responsibility of the Federation secretariat and delegations and each

individual Society to ensure that programmes and operations at local, national and international levels are carried out according to current policy. The existence of a clear and consistent set of policies will, in itself, promote implementation. More systematic approaches to monitoring policy implementation will also be necessary and could be considered in a further phase of the policy review process.

#### Policy Review

54. Policy should be reviewed at regular intervals to ensure that the content and style are appropriate and current. Each policy should therefore be reviewed not later than eight years after its adoption. The Commissions and the Governing Board, supported by National Societies and the Secretariat of the International Federation should facilitate policy review and the establishment of new policy as necessary within their area of competence.

#### Policy Sectors

55. In addition to the recent work with respect to the mission and vision of the International Federation which affect all aspects of our work, i.e. the Constitution and Strategy 2010, (at the centre of the policy framework), revision of policy in each of the six policy sectors is underway and an overview of the situation per sector is given as follows:

#### Policy Sectors and Policy Titles

#### **Programmes & Services**

- Youth (1991)
- Health (1999)
- Social Welfare (1999)
- First Aid (1999)
- Quality Provision in Blood Services (1999)
- Essential Drugs and Medical Supplies (1999)
- · Psychological support
- AIDS/HIV and Substance abuse

#### **Emergency Response**

- Emergency Response (1997)
- Food and Nutrition (1997)
- Disaster Preparedness (1999)
- Post Emergency Rehabilitation (1999)
- Water & Sanitation

#### **Communications & Relations**

- Relations with International Organisations
- Advocacy
- Communications

#### **Institutional Capacity**

- Development (1995)
- Development Co-operation (1997)
- Vulnerability & Capacity Assessment
- Institutional Capacity
- Governance and Management
- Protection of Integrity of Member Societies
- Planning
- Evaluation

#### **Human Resources**

- Volunteers (1999)
- Gender equality (1999)
- Human Resources

#### **Financial Resources**

- Fund-raising (1997)
- Global Revenue Generation
- Financial Framework

Note: In brackets, e.g. (1995), is the date of adoption of the policy by the General Assembly. In italics, e.g. Water & Sanitation, are the areas of work under discussion (policy being reviewed, to be reviewed, or new policy needed)

National Society Rights and Duties

Federation Secretariat

External Relations

**Development Policy** 

**Building National Societies' Capacities** 

Cooperation Methods

General Guidelines for Project Delegation

#### **Federation Finances**

- 56. The Federation receives funding from a number of sources. Around 90 % of funding accrues from voluntary contributions from the National Societies, funds received in response to relief and development appeals, income from investments and other Federation funds. The balance of around 10 % comes from annual statutory contributions from all its member National Societies, calculated on the basis of a fixed quota system and reviewed every two years by the General Assembly.
- 57. Every National Society has the duty to pay an annual statutory contribution to the Federation. The amount to be paid by the National Society is based on its *quota*, fixed by the Finance Commission and approved by the General Assembly. The quota represents a percentage of the total amount of the statutory budget to be paid by the National Society. It is calculated based on the following factors:
  - financial resources of the National Society during the previous financial year (National Society's income less donors' funds earmarked for specific activity/programme)
  - six years' experience factor of the National Society's quotas to the Federation
  - respective country's quota to the United Nations' budget
- 58. According to the Federation Constitution, a National Society, unable for any reasons to pay its contribution, may refer this matter to the Finance Commission in order to obtain appropriate arrangements enabling it to pay it in conformity with the conditions fixed by the Commission. If a member Society does not pay the new amount fixed by the Commission following the appeal, the matter is referred to the Governing Board which make a recommendation to the General Assembly. The Assembly may then declare such a National Society in default. Any National Society declared in default (or a person representing it) may not be eligible for election or re-election to the Board, any Commission or any other body of the Federation. Such a Society may, however, receive international relief or any other programme assistance that it may request from the Federation.

Statutory Contributions from Federation member Societies (million CHF)				
1997	1998	1999	2000	2001
27.4	27.7	28.1	21.3	24.4

- 59. Statutory contributions fund the general management and governance support costs. These costs are for organisational units whose primary function is the maintenance of the identity, direction and well-being of an organisation. This will typically include units that carry out the functions of governance and executive direction, organisational policy and evaluation, external relations, information, resource mobilisation, transfers to Movement and outside bodies and administration. General management and governance support costs make up around half of basic infrastructure costs.
- 60. The other half of basic infrastructure costs are the programme support costs: organisational units whose primary function is the development, formulation, staffing, resourcing and administration of an organisation's programmes. This will typically include units that provide programme support either on a technical, geographic, logistical or administrative basis. These costs are funded by a programme support cost recovery into the programmes, and hence by voluntary funding.
- 61. The third type of cost we define makes up the majority of the total costs, and this is the programme direct input costs. This expenditure is also funded by voluntary funding and is needed to achieve the objectives of a specific project or programme. This may typically include experts, support personnel, supplies and equipment, subcontracts, cash assistance and individual or group training. Together, programme direct input costs and programme support costs make up total programme costs.

National Society Rights and Duties

Federation Policies

Disaster Response System

Emergency Relief Appeals

**Funding of Operations** 

## Further Reading

#### Handbook of the International Red Cross and Red Crescent Movement

13th edition, ICRC/Federation, Geneva, 1995, English, French, Spanish.

#### **Beyond Conflict**

by Daphne A. Reid, Patrick F. Gilbo, International Federation, 1997, 352 p. ill., English.

### Compendium of Reference Texts on the International Red Cross and Red Crescent Movement

League/ICRC, 1990, English, French, Spanish, Arabic.

#### Guide for National Red Cross and Red Crescent Societies to Activities in the Event of Conflict

ICRC, Geneva, 1990. English, French, Spanish.

#### Study Guide of the International Red Cross and Red Crescent Movement

League / ICRC, 1990. English, French, Spanish, Arabic.

#### The League 1919-1989

26 p, ill, League, 1989, English, French, Spanish, Arabic

#### Henry Dunant

By Pam Brown, 64 p. ill. Exley, 1988. English, French, Spanish, Arabic, Dutch, German, Italian, Portuguese.

#### History of the International Committee of the Red Cross

By Pierre Boissier, André Durand, Vol I & II, 391 and 675 p., Henry Dunant Institute, 1987, English, French.

#### Red Cross and Red Crescent. Portrait of an International Movement

30 p, ill, League/ICRC, 1987. English, French, Spanish, Arabic, German.

#### The Fundamental Principles of the Red Cross: Commentary

By Jean Pictet. 93 p., Henry Dunant Institute, 1979. English, French, Spanish, Arabic.

#### **Red Cross Principles**

By Jean Pictet. 155 p. ICRC, 1956. English, French, Spanish, Arabic, German.

#### A Memory of Solferino

By Henry Dunant, 147 p. ill. 1862. English, French, Spanish, Arabic, German, Italian, Portuguese.

<sup>1</sup> In Strategy 2010, the four core areas are defined as "common denominators" where individual National Societies can make the most of being part of the International Federation, working with and learning from each other to build its collective experience. They are: promotion of the Movement's Fundamental Principles and humanitarian values; disaster response; disaster preparedness, and health and care in the community.

## Management of a Delegation



# **Chapter IV - Managing Programmes**

**Planning Programmes and Operations** 

**Managing the Delegation** 

**Responsibilities and Reporting Lines** 

**Auditing** 

### **Planning Programmes and Operations**

- 1. The Secretariat has made significant changes in the last three years to the way it plans its longer term programmes and operations with a view to making them more effective and aligned to Strategy 2010. The present planning cycle includes the development of country or regional assistance strategies and the annual preparation of an Appeal that includes country and regional programmes, as well as global programmes.
- 2. The purpose of a country or regional cooperation agreement strategy (CAS) is to build the commitment of the Red Cross / Red Crescent Movement to a shared strategy that will strengthen the impact of National Societies' work in improving the lives of vulnerable people. When the process was first introduced in 1999 as country or regional assistance strategy (CAS/RAS), it focused mainly on the Federation Secretariat's assistance strategy in a particular country. However after consultations with different partners in the Movement, it was felt that a CAS would be more effective in terms of impact on National Society development and from a strategic fund-raising point of view, if it included all RC/RC partners' inputs into the CAS, including the ICRC. The other element missing was placing a greater emphasis on advocacy and influence.
- 3. Thus, the new CAS must:
  - be a document that sets out agreed strategic priorities that all interested partners can support;
  - be truly inclusive and reflect the contributions to achieving the objectives of the strategy through Federation Secretariat programmes; bilateral PNS assistance; ICRC cooperation programmes;
  - build up advocacy and influence components as complementary/alternative ways of achieving programme objectives;
  - set the overall framework in which the Secretariat, ICRC and PNS plan their own annual appeals and other resource mobilisation documents. The CAS, however; will be clearly distinguishable from such documents.
- 4. The CAS will do this by:
  - identifying the key humanitarian priorities in the country in the coming 3 5 years;
  - analysing the current programmes and capacity of' the National Society in the country concerned;
  - ensuring linkages between Strategy 2010, key Movement policies and the work of the National Society;
  - supporting coordination of existing and potential partners and ensuring common commitment to programme directions;
  - encouraging prioritised resource commitments.
- 5. Each National Society and country situation is different. Therefore a definitive timetable for the preparation and completion of a country or regional CAS will vary from case to case. However, the entire process should not take more than one year. Because in many cases CAS exist already or there is an informal framework for assistance, it may only be a matter of updating the CAS according to these new guidelines and format. Further information on the CAS process can be found in the February 2001 CAS Guidelines, or through your regional department.
- 6. The annual Federation Appeal consolidates all Federation programmes which can be planned in advance whether they be at the country, regional or global levels. This process is launched in June/July with the issuing of guidelines to delegations to get the planning process underway. The appeal document is launched to donors in early December.
- 7. The general approach is that delegations should submit a maximum of seven programmes drawn from the following categories:
  - Disaster response:
  - Disaster preparedness;

- Health and care:
- Promotion of humanitarian values;
- Organisational development;
- Coordination and management:
- Regional cooperation (for regional delegations).

These seven programme categories reflect the three strategic directions of Strategy 2010 (responsive and focused programmes in the four core areas; well functioning National Societies; and National Societies working together effectively). Each programme should be written up according to a standard format (see current June 2001 Appeal Guidelines for details).

Delegations should produce programme level narrative descriptions and budgets with a two year time horizon in those programme categories that are relevant for their situation. General recommendations on what to include in each programme category is given in the Appeal Guidelines, including the issue of building advocacy and partnerships with external organisations into the programme design.

One of the Federation's strategic aims is to encourage donors to support a less earmarked programme funding approach. However, delegations and regional departments should together determine when it is necessary to break programmes down to the project level based on their knowledge and experience of donor requirements and funding trends. If programmes need to he written up as individual projects, this can be done separately and does not need to be sent to Geneva as part of the Appeal preparation.

For the 2001-02 Appeal the Federation introduced a new approach by making available all the detailed programmes descriptions on its public web site - a step that has been much appreciated by donors.

National Society Operational Roles

**External Relations** 

Strategy 2010

Federation Policies

Responsibilities and Reporting Lines

**Delegation Relations** 

Country and Regional Cooperation Agreement Strategies

Disaster Response System

Emergency Relief Appeals

# **Managing the Delegation**

- 8. The management of field operations requires competence and professional skills that are common to good managers. The specific operational challenge to the Federation is to act quickly but within the limits of its competence as defined by Federation policies, rules and regulations.
- 9. Delegations' main management tasks include:
  - Management of human, financial and other resources;
  - Coordination and where appropriate management of relief operations and development programmes (including evaluation of needs, acquisitions, transport, storage and distribution of relief supplies, and reporting);
  - Establishment of proper administrative and financial systems to ensure a smooth running of the operation / programme and an effective use of the resources available;
  - Co-ordination and co-operation with the National Society and other organisations/partners involved (including clear definition of the roles and responsibilities);
  - Adjustment of the operation/programme/project to the changing circumstances.
- 10. Basic management and control tools in a Federation delegation are:
  - Operation/programme/project plan and budget;
  - Monthly expenditure report including a variance analysis;
  - Monthly forecasts on expenditure, commitments and cash needs;
  - Consolidated stock and fixed assets registers and reports;
  - The Secretariat Procedures Manual;
  - Briefings;
  - Planning and review meetings;

- Delegates' reports;
- Administration, evaluation of personnel, job performance.

Planning Programmes and Operations

Responsibilities and Reporting Lines

**Administrative Systems** 

Reporting

Managing Projects

# **Responsibilities and Reporting Lines**

# **Head of Delegation**

- 11. The Head of Delegation has the *overall management responsibility* and is therefore *accountable* for the actions and activities of the delegation. All members of the delegation are under his or her authority. The scope of the Head of Delegation's authority is defined by the Federation rules and regulations, as well as the mission instructions.
- 12. In the interest of an efficient operation, the Head of Delegation may delegate tasks and responsibilities to other delegates, but will always remain responsible and accountable for the actions and activities of the delegation.
- 13. The Head of Delegation is accountable to the Head of Regional Department at the Secretariat. Overall plans, key decisions etc. must therefore be agreed with the Head of the Regional Department. Day-to-day management and support of the delegation is provided by the Desk Officer within the Regional Department who operates within the framework of the overall plans for the delegation established under the authority of the Head of the Regional Department.

## **Delegates**

- 14. All delegates are *accountable* to and *report* to the Head of Delegation. Specific reporting lines within delegations will be defined by delegates' job descriptions, mission instructions and the Head of Delegation.
- 15. All delegates may have specific tasks and responsibilities assigned to them by the Head of Delegation. In principle, these should be consistent with their job descriptions and mission instructions, however, a delegate must always be prepared to fulfil other tasks if so required by the needs of an operation. In some cases, as a result of operational imperatives, a delegate's job description may be amended or changed, following discussion with him or her.
- 16. In one-person-delegations and in delegations where no Head or acting Head of Delegation has been assigned, each delegate will report individually to the Regional Department, according to his or her mission instructions.

#### Communication

- 17. The communications from the delegation to the Secretariat in Geneva must be channelled through the Head of Delegation and addressed to the appropriate Regional Department.
- 18. Technical delegates (Finance/Administration, Logistics, Health, Information etc.) can communicate with the respective technical departments/units in Geneva on programme monitoring technical issues in line with their specific tasks, provided that the Head of Delegation is always kept informed of such communication. In this case the delegation and the concerned technical departments shall also keep the respective Regional Department informed.
- 19. All official communication of the delegation to third parties has to go through the Head of Delegation. However, he or she may authorise delegates to communicate on his or her behalf.

## **Regional Delegations**

- 20. The Regional delegation has a coordination role for the development cooperation in the region. It is also expected to initiate and follow through the regional initiatives (workshops, seminars, training etc.). Country delegations are required to give their full support and co-operation to the Regional delegation in this respect, and vice versa.
- 21. Regional delegations report to the Head of the Regional Department. The day-to-day reporting requirements may be redirected by the Head of the Regional Department to the Desk Officer. All other procedures remain the same.
- 22. The Regional delegation may provide technical and administrative support to country delegations. The Regional delegation has no authority over a country delegation unless this authority is delegated in writing by the Head of the Regional Department.

23. The Federation Secretariat will share relevant information from country delegations with the Regional delegation e.g. anything which might affect regional Federation initiatives or have consequences for stability in the region as a whole. All relevant correspondence from the country delegation to the Federation Secretariat will be copied to the Regional delegation. The country delegation may have a direct correspondence with the Regional delegation on specific issues. This correspondence will be copied to the Secretariat as appropriate.

Federation Secretariat

Planning Programmes and Operations

Managing the Delegation

Administrative Systems

Reporting to the Secretariat

Job Description and Mission Instructions

Regulations for Field Personnel (Delegates)

Communications and the Delegation

# **Auditing**

## General

- 24. Auditing is required and governed by the Federation Constitution, to provide an independent opinion on the use of the Federation's financial and material resources. It is a standard process for any professionally managed operation or programme, providing donors with the assurance that their contributions have been used with economy, efficiency and effectiveness.
- 25. Audit is also governed by the *Principles and Rules for Red Cross and Red Crescent Disaster Relief* or the *Development Cooperation Policy* or both, depending on the context. The auditors' work is also guided by internationally accepted technical standards and professional ethics. Their responsibility is not only to detect inefficiency or prevent any wrong-doing, but also to propose improvements and effective solutions to any problems they may identify.
- 26. All expenditures incurred by the Federation in the course of implementing an operation, programme or project, including all transfers to the National Societies, are subject to an audit regardless of the amount. The audit is carried out on a yearly basis, or more often if required, by the Federation's statutory external auditors and the Internal Audit Unit of the Secretariat.
- 27. The *Risks Management and Audit Department* is an independent body within the Secretariat responsible for analysing and evaluating the Federation's financial activities. The Department reports directly to the Secretary General for internal audit matters and to the Director of Monitoring and Evaluation for matters related to risk management. The Unit has two major activities: it regularly audits Federation operations both at the Secretariat and in the field and co-ordinates the auditing of the funds transferred to National Societies.
- 28. With each *field audit*, an audit report is prepared and discussed with the Head of Delegation, and then with the Head of the Regional Department and the Desk Officer concerned. Management comments made at this stage are incorporated in the report, which is then submitted to the Federation Secretary General.
- 29. Wherever a subsequent audit mission is organised for the same country or operation, the new audit considers whether recommendations made in the last report have been implemented. This follow-up is a vital, on-going part of the audit process.

# **Auditing of Funds Transferred to National Societies**

- 30. A National Society receiving funds for an operation, programme or project, must comply with the *Principles and Rules for Red Cross and Red Crescent Disaster Relief* or the *Development Co-operation Policy* or both depending on the context for accountability, reporting and auditing. Compliance with these documents is a condition of the transfer of funds for a project, regardless of the amount involved.
- 31. Auditing of a project is done on a regular basis, at least once a year, with the audit period generally corresponding to the calendar year. The Secretariat's Risk Management and Audit Department is responsible for appointing an outside firm for the audit from a list of reputable, international firms. The Department defines the audit's scope, distributes the audit report, and pays the fees for the audit in line with standard procedure. The competing firm's bids are judged and the contract is awarded on the basis of price, and the level and quality of the service offered. Once the audit firm is selected, its name is communicated to the National Society concerned. The audit is conducted according to standard audit instructions specifically designed for Federation transfers. The auditors should be given full, unrestricted access to all documentation and staff associated with the project.

# The Major International Audit Firms

Listed below are the world's five leading auditing, accounting and professional services firms. They are listed under their international group names. In some countries, the same firm may go by another or similar name. For example, the "PM" in KPMG stands for Peat Marwick and this name may still be used despite its merger into KPMG. Nevertheless, the services offered by two different offices of the same firm are basically the same. The five leading international audit firms are:

- Arthur Andersen
- Deloitte & Touche
- Ernst & Young
- KPMG
- Price Waterhouse Coopers
- 32. The audit reports submitted to the Secretariat include:
  - the *Auditor's Opinion* on the set of financial statements presented by the National Society (operations' balance sheet and income and expenditure accounts);
  - a Management Letter with proposed improvements to the internal control systems being used.
- 33. Both documents should be discussed with the National Society before being submitted to the Secretariat.
- 34. The audit fee is settled directly by the Federation Secretariat from the project funds and must therefore be budgeted for. Under no circumstances should it be settled by the National Society or by the delegation.

Federation Secretariat

Fixed Assets

**Managing Projects** 

**Development Policy** 

**Funding of Operations** 

Principles and Rules for Disaster Relief

Logistics

# Management of a Delegation



# Chapter V – Administration

**Opening a Delegation** 

**Administrative Systems** 

**Information Systems** 

Filing

**Fixed assets** 

**Hand-Over Procedures** 

**Closing a Delegation** 

# **Opening a Delegation**

- 1. The decision to open a Federation delegation in a country is taken by the Federation Secretariat in consultation with the country's National Society. A Federation delegation's role and responsibilities are governed by the *Principles and Rules for Red Cross and Red Crescent Disaster Relief*, as well as by specific decisions of the Federation Secretary General.
- 2. The Head of Delegation is to ensure that the standard Federation management systems and procedures, as described in this Handbook and in the Secretariat Procedures Manual, are properly set up (accounting and budget control, stock and fixed assets registers, personnel files etc.). The Head of Delegation is to ensure that all Federation delegates and local employees are familiar with the pertinent Federation rules and regulations, particularly in the area of security.
- 3. On his or her arrival in the country concerned, the Head of Delegation or Federation representative must initiate the following basic administrative procedures in support of the Federation's field operations:
  - Quickly establish the necessary communications channels with the Federation Secretariat; specialist telecommunications assistance can be provided when necessary;
  - Assess the local availability of staff, transport, energy supply, fuel, food, non-food items etc. required for functioning of the delegation;
  - Open a bank account or accounts, according to instructions from the Federation Secretariat;
  - Rent suitably located offices and accommodation where the National Society is not able to meet these needs; in cases of emergency this should be done quickly to avoid possible competition with other agencies especially in the early stages;
  - Clearly display the Federation's name and logo at all facilities, vehicles and field locations.
- 4. Usually the Federation will enter into an *agreement* with the National Society, specifying the role and responsibilities of the delegation. Consideration should also be given to obtaining a special *status agreement* with the government of the host country. The need for this is assessed by the Federation Secretariat on a case-by-case basis. Any approach to the respective government should be undertaken in conjunction with the National Society concerned.
- 5. A reputable local lawyer or law firm should be consulted as soon as possible on all legal aspects linked to the Federation's status as an international organisation, and the practical matters of its functioning in the host country i.e. the hire of local staff, rental of premises, vehicle registration, insurance, customs regulations etc., as appropriate
- 6. Federation representatives should also make it a priority to establish contact with the ICRC delegation, UN agencies, other leading aid agencies, donor embassy representatives and the offices of potential suppliers. Their advice and assistance can be very helpful. Wherever necessary an official notification can be sent to them. It is preferable if the Federation delegate makes these contacts together with the National Society representative or his or her counterpart.
- 7. Official relations with embassies are to be handled by the Head of Delegation, or delegated at his or her discretion. Unless otherwise decided by the Head of Delegation, individual delegates could contact their embassies only in relation to their own personal status.

- 8. Where the National Society is not able to provide *support staff* to the delegation, these staff are to be hired by the delegation itself, at the operation's outset, in order to avoid too great a need for expatriate staff.
- 9. The delegation must purchase itself the equipment and material needed for the carrying out of its duties. The delegation should be housed and equipped according to good local standards, ensuring proper working conditions.
- 10. The delegation is to insure all its assets, either locally or through the Federation Secretariat. Advice on this can be obtained from the Secretariat.
- 11. A register of the private addresses and phone numbers of delegates, local employees, key National Society people and other important contacts should be maintained in the delegation's office and, if necessary, in delegates' house(s), and a copy sent to the Federation Secretariat.
- 12. Delegations should establish a duty system whereby one delegation member can always be contacted by the Secretariat or other delegations for urgent matters. The 24 hours contact number of this person must be made known to the Operating National Society/Societies, delegations and the Secretariat in a timely manner.

The Emblems

Federation Secretariat

External Relations

Administrative Systems

Fixed Assets

**Delegation Relations** 

**Delegation-contracted Staff** 

Information Systems

# **Administrative Systems**

- 13. The establishment of a sound and reliable administrative system, and the speedy, timely and professional execution of administrative tasks, is important for efficiency of the delegation. The success of an operation depends as much on a sound administrative system as on any other operational systems put in place.
- 14. The systems described in the Handbook are the *minimum* requirements for a typical four-person delegation with a lifetime of more than three months. In larger or longer-established delegations, more sophisticated systems can be set up, although the basic administrative requirements will remain the same. The exemption of small or short-term delegations from these standard requirements is made only in exceptional cases.
- 15. Appropriate administration systems should give the right degree of control over the operation and its assets. However, all the administrative processes used by the delegation need to be adapted to the local situation and their effectiveness monitored. *No administrative task should be carried out which does not contribute to the effective management or control of the operation.* Too much bureaucracy in Federation delegations can delay or even paralyse the delivery of services to beneficiaries.
- 16. Just as important as the administrative system is the carrying out correctly of administrative tasks. This requires basic knowledge of a variety of administrative procedures. If such know-how is not available inside the delegation, the appropriate professionals should be contracted from the outside (secretaries, accountants, computer operators, etc.).
- 17. Accuracy, precision, timeliness and punctuality in the execution of administrative tasks are essential. It is the responsibility of the Head of Delegation to make sure that this work is carried out to professional standards.

Managing Programmes

Opening a Delegation

# **Information Systems**

## Information Technologies and Telecommunications

General Introduction

- 18. Efficient Information systems and Telecommunications networks are key issues for the work of the Federation. They facilitate access to the knowledge base of the Federation (appeals and reports, professional data bases, best practices, standards, etc.), and are important tools allowing a proper overview of a situation and rapid reaction which provides a life line for staff members and volunteers in difficult environments.
- 19. Information Systems and Telecommunications include systems related to computer technologies, office automation, data networking, Internet, but also telephone and fax terminals, as well as wireless solutions such as 2 way radio sets, wireless LAN, satellites, etc.
- 20. These technologies are currently in rapid expansion, and the recognised current standards today will most probably not be the same tomorrow. In addition, it is not possible in the framework of this manual to provide space consuming detailed information which is better managed during a special training course. Therefore, this sub-chapter only provides an overview rather than an extensive knowledge of these systems.
- 21. For those who want more details, please refer to the list of references provided at the end of this sub-chapter. We also recommend that the reader participates in appropriate training courses provided by the Secretariat and the National Societies. Do not hesitate to contact the Field Support and Telecommunications Service (FST Unit) or the Training and Development Unit (TD Unit) of the Federation Secretariat respectively should you have questions or training needs regarding this document.

#### Systems used by the Federation

- 22. The Federation uses consumer public systems whenever possible. This includes computer systems (mainly IBM PC based technologies), widely available software and computer network technologies, Internet based services, telephone network, fax machines, mobile phones, etc. These systems have the advantages of being generally simple to use and operate, are usually well known by staff members and volunteers, serviced almost everywhere, and contribute to the economy of the country.
- 23. Our organisation also needs to be efficient during disasters or similar crises where the public networks are frequently not usable, either because they have collapsed or are overloaded. We then need to rely on some more specific systems such as satellite communications, short wave and VHF 2-way radio and wireless technologies for computer networking. These systems need to be set up and maintained, require user training and sometime specialised technicians but they have proved to be efficient, reliable and appropriate to the work performed for the vulnerable by the Federation.
- 24. Below is a short description of the most common systems used by the Federation with some advice and comments.

### Consumer public systems

- 25. Telephone: In some countries, telephone lines of different quality are available. In such cases, the possibility of obtaining the better quality lines should be explored. Sometimes, specific companies or the UN can provide good satellite telephone lines.
- 26. Mobile phone: Mobile phone systems have become very popular and are quite often available in populated areas, especially the ones based on GSM technologies. These systems can be very useful for field staff, but experience has proved that they may be affected during a disaster, and therefore should not be considered as a life-line system. A roaming agreement in the GSM system makes the international transfer of these systems very handy, but they may lead to very large invoices.
- 27. Telefax: A dedicated good quality telephone line is needed for the proper operation of a fax machine. It is highly recommended not to share voice communications and fax on the same line, as this may lead to very frustrating situations for the callers.
- 28. Telex: Telex systems may still be the most reliable public system link in a country, but running costs and technical limitations are gradually phasing out this form of communication.
- 29. Internet: After its rapid growth in 1996-1999, Internet became available in almost every country of the world. Internet can be defined as a global interconnection of various public or private computer networks. To have a huge number of very different computers in these networks "speak" the same language, a special set of common commands (or "protocols") should be used. Internet on the whole is based on a set of protocols called TCP/IP. Access to the Internet is organised locally by Internet Service Providers (ISPs). In many countries the state telecom company is the only one to offer ISP services. ISPs are themselves connected to higher-level (or "major") providers and the speed and quality of ISP link channels define the quality of service you get from an ISP. Normally, a user's connection to the ISP is arranged via a phone line with a modem (special device that lets users send digital data over an analog phone line), but now more and more ISPs offer connection over much faster links like ISDN, xDSL, leased copper or wireless lines. The most common areas of use of Internet are World Wide Web (WWW) browsing, file transfer and electronic messaging (e-mail).
- 30. Corporate E-mail network: The Federation Secretariat has set up a corporate E-mail network which links the Secretariat and the delegations. The various software used allow either direct connection (by telephone, satellite or long distance radio) or communication via Internet tunnelling which allows a better level of privacy than a normal Internet E-mail using an ISP server.

# More specific systems

31. INMARSAT satellite network: Based on geo-stationary satellites, the INMARSAT provides voice, data and fax communications from a small satellite terminal the size of a computer laptop. This system is widely used by the Federation during

emergency situations. The main terminals used by the Federation are Mini-M, cheap but with very limited bandwidth, and GAN, a more powerful but more expensive system. More detailed information on the INMARSAT system and the setup of an INMARSAT terminal is given later in this sub-chapter.

32. Other satellite systems: Competitors to the INMARSAT systems start to propose commercially available systems, and this tendency will increase more and more. At the time we are writing this document (May 2000), the Federation is not widely using other satellite systems than those of INMARSAT, but this may change in the near future.



- 33. HF radio: High Frequency (HF) also called short wave radio (operating from frequency 3 to 30 MHz) enables medium and long range contacts. HF can be used for voice (SSB) or written messages (see below PACTOR). HF link quality depends on wave propagation which may vary, based on many parameters such as the time of the day, distance to cover, sun activity, etc.. The main advantage of HF radio is the absence of a third party operator, which leads to a very low operating cost and a connection independent from the availability of any structure other than the radio system itself. Even very recently, HF radio has been at several occasions the only available means for the Federation's Secretariat to contact specific delegations
- 34. PACTOR system: The PACTOR system enables text and data transmission over HF radio. A special PACTOR modem is connected between the HF radio and a computer running a specific software such as GLPLUS or WAVEMAIL (see next paragraph).
- 35. WAVEMAIL software: This is a full capability E-mail software adapted to a low bandwidth network such as PACTOR over HF, INMARSAT terminal or modem over a bad telephone line.
- 36. Very High Frequency (VHF) radio: VHF radio is generally used for local voice communications, in a city or a camp. The Federation uses VHF frequencies in the 150 MHz band. The quality of the communication is generally good compared to HF link, but the range is far more limited (from some km for handset to handset, 20 km between mobiles to possibly 50 km from base to base). The range could be improved by setting up a repeater (see below). Ultra High Frequency (UHF) 450 MHz equipment is also available. It is similar to VHF, but gives better results in dense urban areas.
- 37. Repeaters: Placed high, a repeater will provide far better coverage than point-to-point radio communications systems. However, breakdown of this system may disable the whole network, therefore such a system should only be installed where proper support is available (telecom delegate or adequate local company).

### Federation's standards

- 38. Having standards is generally important for the Federation, but this is of high importance for telecommunications devices and to some extent data processing systems.
- 39. The Secretariat is organising regular telecom standardisation meetings with the participation of National Societies' technical experts, telecom delegates, and representatives of the ICRC to update these standards.
- 40. As the technology is improving very quickly, we don't think it appropriate to include these standards in this handbook. However, feel free to contact the FST Unit with any questions you may have on this subject. You may also want to participate in training courses where standard equipment is presented.

## New projects and improvement of existing systems for delegations and offices

41. The Field Support and Telecommunications Unit (FST Unit) is available to advise and facilitate new projects or improvement of existing systems for Federation delegations and offices within the field of Information Technologies and Telecommunications. Ideally, an assessment and project plan should be established by a country delegate or regional delegate expert in Telecommunication and IT, if such a position is available in the regional delegation, and provided to FST Unit in Geneva for acceptance. If such a delegate is not available, other solutions can be proposed by the FST Unit (evaluation mission by Geneva staff, technical expert from National Society, etc.).

### Budgeting

42. The Delegation should budget expenses for IT and telecommunications equipment maintenance and upgrade. The expenses

should be based on the following approximate criterias:

- Some man-months for a telecom / IT specialist to perform maintenance and support.
- Computers are subject to a significant upgrade (RAM, HDD, etc.) after a maximum of 3 years of operation.
- Telecom and computer equipment older than 5 years should be replaced.

#### Selection of equipment and procurement

- 43. The Secretariat maintains a stock of standard equipment in information technologies and telecommunications which is used to supply Federation delegations and National Societies upon request. However, purchase can also be done locally as long as it is done in accordance with Federation standards, coordinated and approved by the FST Unit.
- 44. Costs for the equipment should be included, as applicable, either in the operational budget (in the appeals) or directly in the delegation's budget. Installation and maintenance costs should also be included. The FST Unit will assist the delegation and the Desk Officer in budgeting for telecommunications equipment, including proposals and cost estimates.
- 45. Telecommunications equipment can be purchased directly from, or ordered via, the FST Unit stock in Geneva or from a regional stock where one exists. Centrally coordinated procurement has a number of advantages:
  - Discounts on quantity and special rates for international organisations;
  - Compatibility of equipment (there can otherwise be incompatibility even from the same manufacturer);
  - Standardised equipment and installation, allowing delegates anywhere to work more effectively on equipment they know, and
    for the equipment to be properly maintained by FST Unit;
  - The opportunity to benefit from the latest technology.
- 46. For routine equipment purchased from Geneva, 4 weeks advance notice is needed to give ample time for shipment and customs clearances. In emergencies, equipment can be provided quickly from a stock kept for this purpose in Geneva and, in some cases, regionally. If equipment has to be purchased locally, technical approval before purchase must be given by the FSTS based on a detailed description of the equipment and reasons why the purchase should be made locally.

#### Software licences

47. Licence issues for Federation standard software are dealt with by the Secretariat. The delegation and the delegates are responsible that any other installed software is properly licenced.

## Shipment, imports and insurance

- 48. The Secretariat through its Mailing Service is responsible for the transport of telecommunications equipment to delegations. Equipment sent from Geneva should include a gift certificate, packing list, certificate of origin, a pro forma invoice, and keys (if packed in containers). The delegation is responsible for import arrangements. If a delegate hand-carries any telecommunications equipment, a gift certificate, available from the Secretariat (usually the Desk concerned), will always be needed.
- 49. The Secretariat will arrange for the equipment sent to the delegation to be insured up until it reaches its final destination, following which it is no longer insured. Insurance must then be arranged either locally by the delegation or via the Secretariat.
- 50. The FST Unit will help with the required applications to Government ministries to use the equipment and for authorisation to use separate radio frequencies for Federation radio traffic. The delegation is responsible for all equipment, which should be listed as fixed assets and be in the possession of the delegation at all times.

#### Training and support

- 51. A training course is a must to properly handle Information Technologies and Telecommunications systems used by the Federation, and more specifically the technologies not widely used publicly (Satellites, HF and VHF radio, Wavemail software, etc.).
- 52. Ideally, the following training should be provided to Federation delegates:
  - Existing telecommunications systems and VHF radio practice at the Basic Training Course for delegates;
  - 1 day training on Satellite, VHF / HF radio and Wavemail software, and one day on proper use of office automation programs used in the Federation delegations, at the Secretariat before mission;
  - Extensive briefing by the telecom and IT staff in the country.
- 53. Update training should ideally be proposed regularly to delegates to follow the rapid changes in these subjects.
- 54. Technical support should ideally be provided locally by a telecom / IT staff (local or expatriate), under the supervision of a regional IT and Telecom coordinator. As we are in some regions far from this ideal situation, FSTS in Geneva can be contacted for technical assistance in case a problem cannot be solved locally.

- 55. For equipment under guarantee, it is essential to have repairs carried out by an approved brand leader, otherwise the guarantee may not be valid anymore. If no proper facility is available locally, the machine should be returned for repairs to the Secretariat. do not hesitate to contact the FST Unit to obtain information on guarantees and repair possibilities.
- 56. Equipment returned to Geneva should be sent to the Desk which in turn will hand it over to FST Unit with the appropriate repair request which should include:
  - · Name of user and delegation
  - Description of the problem
  - To whom the machine is to be returned after repair
  - Budget

#### When sending equipment which includes AC adapter, please do no forget to include it with the shipment.

#### How to use a voice radio

57. A two-way radio is not complicated to operate, but the following should be considered to get the most efficiency out of this system.

#### How to speak in a radio

- 58. The radio is equipped with a Push to Talk (PTT) button which switches the radio from the listening mode to the transmitter mode. As you cannot listen for the radio traffic when transmitting, a proper handling of this button is essential:
  - Be sure your radio is set on the appropriate channel in the appropriate mode
  - Listen at least 5 seconds to avoid interfering with an existing communication
  - Press the PTT button, then launch your appeal (refer to examples on radio procedure)
  - The microphone should be approximately 20 cm from your mouth, speak clearly, not too fast.
  - Stop speaking, then release the PTT button.
- 59. As you can't hear other stations when you are transmitting yourself, and to be able to give priority to a station having an emergency, do not transmit too long in the same run (10-15 seconds maximum). If necessary, split your message in different parts, and ask confirmation that the other party has received your message. Also, keep the frequency free a second or two before answering the other party's message to give a chance for any possible urgent messages.
- 60. Be aware not to press the button at the same time you start speaking, as the beginning of your sentence will not be transmitted due to the switching time. As well, do not stop pressing the PTT at the same time you stop speaking, as the end of your sentence will not be transmitted. Stop speaking, then release the button.
- 61. On short wave radio, be very attentive to speaking really slowly and rather loudly, as the transmitted power depends on the power of your voice.

#### How to maximise the radio link

- 62. Radio communication may sometimes be difficult, but the following can help to maximise the link:
  - Keep your radio set in proper working order. Any damaged or wrongly repaired element may dramatically reduce the range of the equipment. Keep the antenna vertical, and avoid damaging coaxial cables.
  - Place the antenna as high as possible, and as far as possible in the sight line of the other party (or of the repeater if such a system is used). Do not hesitate to move to find the best communication path, approaching a window if you are indoors, and avoiding buildings or power lines if you are walking or in a vehicle.
  - The battery of your handset should be properly charged, ideally fully charged during the night, and used during the day without recharge. It may be a good idea to have a spare battery at hand. As characteristics and behavior of chargers depend on the model, ask the telecom technician for the best charging protocol.

# How to organise a radio network

- 63. The radio network could be organised in two different ways: free network, and directed network.
- 64. Free network stands for when all radio stations can call any other one. This network is very simple to organise and to maintain, but has limitations in case of heavy traffic.
- 65. Directed network stands for a radio network under the supervision of a main station which organises all the network. All calls are directed to this station. Contacting other stations needs agreement of the main station. This type of network needs to be properly organised, but has far better results with heavy traffic.

# Radio procedure

66. The use of a commonly agreed radio procedure makes the use of radio far smoother than without. We highly encourage potential users of a radio system to master properly the procedure shown in the examples below, as this is the only way to get a

# Example of radio traffic in English

- T Mobile 1, Mobile 1, this is Tirana, over
- M1 Tirana, this is Mobile 1, go ahead.
- T Mobile 1, when are you expecting to reach your destination? over.
- M1 We are expecting to reach our destination in ten minutes. Do you have a message for us ? over.
- T Affirmative, would you please bring back 2 boxes of 50 tablets of TETRACYCLINE, I'm spelling Tango, Echo, .... Over.
- M1 Roger for 2 boxes of TETRACYCLINE. Is it correct? Over.
- T Correct, Mobile 1. Out for Tirana
- M1 Out for Mobile 1

# Example of radio traffic in French

- T Mobile 1, Mobile 1, de Tirana, parlez.
- M1 Tirana de Mobile 1, Parlez
- T Mobile1, quand pensez vous atteindre votre destination? A vous.
- M1 Nous pensons atteindre notre destination dans dix minutes. Avez vous un message pour nous ? A vous.
- T Affirmatif, pourriez vous ramener 2 boites de 50 comprimés de TETRACYCLINE, j'épelle Tango, Echo, etc... A vous.
- M1 Reçu pour 2 boites de TETRACYCLINE. Est-ce correct ? A vous.
- T Correct, Mobile 1. Terminé pour Tirana.
- M1 Terminé pour Mobile 1.

# Example of radio traffic in Spanish

- T Móvil 1, Móvil 1, de Tirana. Cambio
- M1 Tirana de Móvil 1. Cambio
- T Móvil 1, ¿cuándo prevén llegar a destino? Cambio
- M1 Pensamos llegar en 10 minutos. ¿Tienen ustedes algún mensaje para nosotros? Cambio
- T Afirmativo ¿podrían traernos 2 cajas de comprimidos de TETRACICLINA, deletreo Tango, Eco, etc. Cambio
- M1 Bien recibido por la TETRACICLINA ¿es correcto? Cambio
- T Correcto, Móvil 1. Terminado de Tirana
- M1 Terminado de Móvil 1.

#### Spelling code

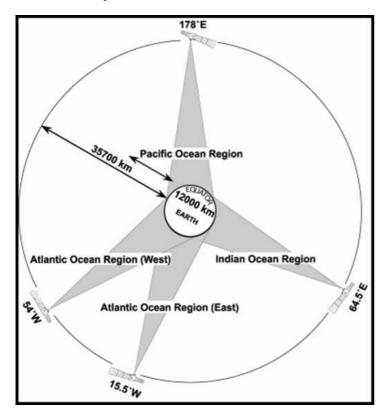
67. This spelling code, recognised and used internationally has been created initially for air traffic control. It is used to spell a name (location or city, name of a drug, logistic ID, etc.) over a radio link with minimum chance of transmission errors.

Alpha	Juliet	Sierra
Bravo	Kilo	Tango
Charlie	Lima	Uniform
Delta	Mike	Victor
Echo	November	Whiskey
Foxtrot	Oscar	X-ray
Golf	Papa	Yankee
Hotel	Quebec	Zulu
India	Romeo	

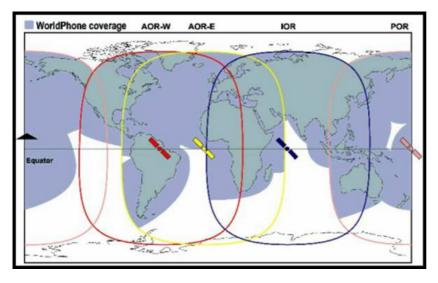
- 68. The name to spell is pronounced first, then spelt, as in the above traffic examples.
- 69. Figures are pronounced separately, as for example: 683 six eight three

## How to use an INMARSAT satellite station

70. The INMARSAT network offers a variety of communication services (voice, fax, data) from a portable satcom terminal to the regular telephone land lines. It is composed of four geo-stationary satellites orbiting at 35,700 km above the equator and remain at the same relative position to the earth.



These satellites are located around the world to offer worldwide coverage (excepting South and North poles).



The position of these four satellites are as follows:

AOR-W
 AOR-E
 IOR
 POR
 Atlantic Ocean Region - West
 Atlantic Ocean Region - East
 Indian Ocean Region
 Pacific Ocean Region

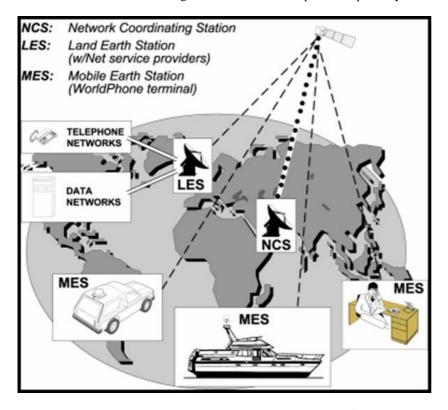
#### How to start the satphone

- 71. Refer to the map. Before installing your satcom, you can check which satellite(s) you can connect to. You must have a clear 'view' of the satellite in order to connect with it: trees, power lines, buildings, will interfere with the signal.
- 72. Your satcom is provided with some built-in audible and visual tools to check the signal strength when initiating the unit.

#### What to check when connected

Land Earth Station (LES)

The LES is the station connecting the satellite link to the public telephone system and issue the billing.



73. The Federation is regularly making an agreement with a specific LES in order to obtain the best communication price. It is important that the Land Earth Station programmed into your satcom is the one selected by the Federation. In fact the communication cost may vary by as much as 3 times the price for the same service. Please contact the FST Unit in Geneva to get the updated information on LES.

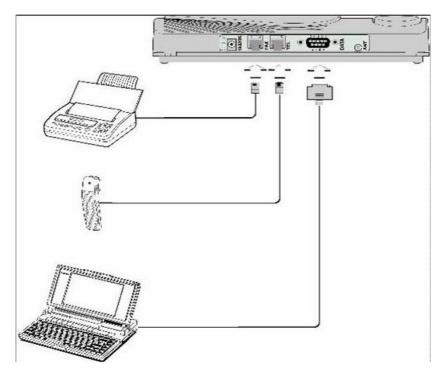
#### Prefix

74. Each satcom is programmed with up to 4 phone numbers (phone1, phone2, fax, data). The first of these numbers represents the main phone line, linked to the satcom handset and is usually labeled on the satcom. Additionally a prefix has to be added before this number. This prefix depends on the satellite your satcom is connected to:

AOR-W - Atlantic Ocean Region - West: 874
 AOR-E - Atlantic Ocean Region - East: 871
 IOR - Indian Ocean Region: 873
 POR - Pacific Ocean Region: 872

75. eg: Your main station number is: 761 845 465 and you are connected to the IOR satellite. To call your satcom from Europe, a user will have to dial on the telephone: 00 873 761 845 465. Do not forget to inform your correspondents which prefix they have to dial to reach you.

How to connect your computer to the satcom



- 76. You can connect your computer to the satcom to transfer data (Internet, cc:Mail, ...). This mode of transfer is reliable but is slow (2400 bps) for the current system used at the Federation (Mini-M), and may be expensive for large amounts of data transfer.
- 77. Your satcom is fitted with a built-in modem, so NEVER USE a telephone modem to connect your computer.
- 78. Simply link a serial cable between the "Data" port of the satcom and the serial port of your PC. The satcom will then react as a standard 9600 bps Hayes modem. The FST Unit can help you on this issue.

# Security

- 79. Your satcom is working on microwave frequency band. It is recommended to avoid any possible health hasard to respect a minimum distance (usually 1 meter) in front of the antenna.
- 80. Please read the user manual of your satcom for additional information on this matter.

#### List of references

- Telecommunications technical standards for the Federation
- Local Area Network (LAN) guidelines
- Standard software CD-ROM for the Secretariat and ERU's
- Emergency Response Units Telecommunications module description
- Emergency Response Units frequencies list
- 81. More technical information is also available for technical experts (best practices documents, technical mailing lists, detailed product data sheets, coverage maps of different systems, minutes of technical meeting, lists of professional contacts, etc.). Please contact the Field Support and Telecommunications Unit (FST Unit) at the Secretariat for more information.

# **Filing**

## Standardised Filing System for Delegations

Introduction

Replaces filing procedures in Handbook for Delegates

82. The filing procedures manual entitled **Standardised Filing System for Delegations** was issued in a ring binder to delegations by the Under Secretary General – DROC Division in March 1999. It contains file categories, filing procedures, and instructions on the retention and disposal of files that are contained in the **Standardised Filing System for Delegations** procedures.

Purpose of the Standardised Filing System for Delegations

- 83. The purpose of the **Standardised Filing System for Delegations** is to establish and maintain a uniform approach by all delegations to the management and disposal of records. By implementing the standardised filing system, delegations will:
  - have a common standard for organising files, making it easier for documents to be retrieved even when the individual who filed the documents is absent from the delegation;
  - spend less time training delegates who move from one assignment to another on filing procedures, as the delegates will already be familiar with them;
  - have a procedure for disposing of files that are no longer required in the delegation, thereby freeing up storage space;
  - have a procedure for disposing of files when closing the delegation.
  - be in uniformity with the standardised practices for managing records being implemented in the Secretariat, harmonising how
    records are managed at both ends of the information flow.

Underlying principles of the Standardised Filing System for Delegations

- 84. The **Standardised Filing System for Delegations** applies to both paper records and electronic (computer) records.
- 85. The filing system categorises records by the functions, processes and activities that they document. Each file category is identified by a number and a title. The appropriate file category number is to be included on each file label to indicate the file category to which each file belongs.
- 86. Each file category has instructions on how long a delegation must retain files belonging to that category, and how to dispose of the files.
- 87. For details regarding the file categories, refer to the "Filing Categories and Retention and Disposal Instructions" section of the **Standardised Filing System for Delegations**.

Responsibility for the Standardised Filing System for Delegations

Administrative Delegate, or Finance/Administration Delegate

- 88. The Administrative Delegate, or the Finance/Administration Delegate where there is no Administrative Delegate, is responsible for:
  - implementing and maintaining the Standardised Filing System for Delegations within a delegation;
  - applying the retention and disposal instructions contained in the Standardised Filing System for Delegations to the files maintained by the delegation;
  - determining which categories of files will be kept centrally within the delegation, and which categories of files will be retained by delegates within their own offices.
- 89. The Administrative Delegate, or the Finance/Administration Delegate where there is no Administrative Delegate, may delegate filing tasks to National staff or to other delegates.

Archives and Records Management Service

- 90. The Archives and Records Management Unit at the Secretariat is responsible for developing and revising the **Standardised Filing System for Delegations**.
- 91. All suggestions for improvements or additions to the filing system should be sent to the Head, Archives and Records Management Unit. Amendments to the **Standardised Filing System for Delegations** will be distributed simultaneously to all delegations by the Archives and Records Management Unit, to ensure that delegations' filing practices remain uniform.

#### Auditing the Filing System

92. The Risk Management and Audit Department at the Secretariat will audit delegations' filing practices during the course of regular audits of delegations. The auditors will review delegations' filing practices to ensure that delegations are filing according to the standardised file categories, and are following the instructions for retaining and disposing of files.

#### Filing documents

- 93. The practice of maintaining a "Permanent master file" is abolished. Documents previously maintained in a "Permanent master file" are now to be filed in the appropriate filing categories described in the **Standardised Filing System for Delegations**.
- 94. Refer to the filing categories in the **Standardised Filing System for Delegations** to determine the appropriate place to file a document.
- 95. When no existing filing category seems appropriate, it may be necessary for a new filing category to be developed. Contact the Archives and Records Management Unit to request a new filing category.

### Closing files and calculating the retention schedule

96. Refer to the appropriate filing category in the **Standardised Filing System for Delegations** to determine when a file is to be closed and how long the file is to be retained by the delegation.

# Guidelines for Storing Records

- 97. Unless otherwise indicated in the **Standardised Filing System for Delegations**, the delegation is responsible for storing a closed file until the end of its retention schedule.
- 98. Whether stored in the office or in a separate storage room, the three principal threats to paper files, photographs, and magnetic media (audio or video tape, computer tape, computer diskette) are insects, rodents, and mould. Prevention is better than cure: the cost of regular inspections of offices and file storage areas for insects, rodents and mould is less than the cost of eliminating these pests and repairing the damage they cause. Regularly check records storage areas for signs of insects or rodents and make spot checks for mould growth on documents.

#### File disposal

99. Refer to the appropriate filing category in the **Standardised Filing System for Delegations** to determine whether a closed file is to be destroyed or to be sent to a department of the Secretariat in Geneva at the end of its retention schedule.

## Closing a delegation

100. Refer to the **Standardised Filing System for Delegations** to identify which files are to be destroyed, which files are to be sent to the Regional Delegation or Regional Logistics Centre, and which files are to be sent to a department of the Secretariat in Geneva when a delegation closes.

#### Evacuation or emergency close-down of delegation - Records to take

- 101. The delegation will include in its evacuation plan and in its emergency close-down plan a procedure for bringing out the following records:
  - the most recent financial computer system backup diskettes/tapes
  - a list of computer passwords used in the delegation
  - the current fixed assets register
  - employment contracts for national staff
  - payroll records for national staff (on computer system backup diskettes/tapes if payroll is automated)
  - the current register of delegation staff.
- 102. In its emergency close-down plan, the delegation will include a procedure for the storage of files in anticipation of the return of the delegation.

## Backing up computers

- 103. Delegates should use a methodical back-up system for copying information on to diskettes, tapes or CD-ROM (using a CD writer). All data files should be saved at a minimum once a week on two sets of backup diskettes, tapes or CD-ROMs. When large amounts of data are entered into the computer each day or when a delegation experiences unpredictable electrical power cuts these backups should be made more frequently.
- 104. Backup diskettes, tapes or CD-ROMs should be stored in a location separate from the delegation office, such as a delegate's home or in a bank safe.

#### Questions ?

105. If you have any questions or require further information regarding the **Standardised Filing System for Delegations**, contact the Archives and Records Management Unit at the Secretariat. You are also welcome to meet with the head of the unit whenever you pass through Geneva.

Opening a Delegation

Fixed Assets

Handover Procedures

Closing a Delegation

Reporting

National Society Planning

Logistics

# **Fixed assets**

106. For updated information on fixed assets and their insuring, please contact the Administration Department at Federation Secretariat.

#### **Definition**

107. The fixed assets referred to here are:

- Immovable property (land, buildings, etc.) owned by the Federation,
- Motor vehicles,
- Office furniture and machines (with a value over CHF 500 per item),
- Computer and telecommunications equipment and software (with a value over CHF 500 per item),
- Furniture and household equipment in delegates' houses (with a value over CHF 500 per item),
- Vehicle workshop machines, equipment and tools (with a value over CHF 500 per item).

Relief stock, vehicle spare parts, office supplies, etc., are not considered fixed assets.

108. The Federation is accountable for the sound management of the funds and other assets in its possession. This responsibility includes the proper acquisition, the safeguarding and, in certain cases, disposal of fixed assets. All these items are to be maintained with the utmost care and the necessary maintenance and repair work should be contracted with firms offering proper professional services.

#### **Fixed Assets Registers**

- 109. In order to ensure correct control of fixed assets, and to enable planning for replacement, the delegation should have fixed assets registers. They should be regularly updated, at least once annually. There are two standard forms to be used: one for vehicles (Form I) and another for all other fixed assets (Form II). All fixed assets should be registered using one or the other of these forms.
- 110. Fixed assets registers should be started as soon as a delegation is opened. All items are to be registered immediately upon their purchase, receipt or arrival. When any item is disposed of, the details should be noted on the register and reported to the Secretariat's Logistics and Resource Mobilisation Department.
- 111. Forms I and II are to be filled in using the information from accounting or shipping records (waybills, bills of lading etc.) or both of these. To be recorded on the forms are the date the item was acquired or, if the item was donated, the date it was received. Relevant insurance documentation, contracts, invoices, corresponding payment vouchers and donation certificates should be included in the register file.

When recording information on the vehicles register, the vehicles must be physically inspected, and the engine and chassis numbers noted and cross-checked against the vehicle papers.

- 112. The fixed assets registers are kept at the delegation in the fixed assets inventory file. Copies should be sent to the Federation Secretariat's Logistics and Resource Mobilisation Department three months after the opening of a delegation, and then regularly at the end of every year (31 December). The delegation or Federation Secretariat or both should also keep updated duplicates of the supporting documents mentioned above. It is also very important to determine formally ownership of assets that have been donated i.e. are they due to National Society or the Federation. This is crucial for responsibility, insurance and other aspects, especially when closing the delegation.
- 113. Physical inventories should be taken at least once a year, preferably at the end of each calendar year. After every physical

inventory, the registers are to be adjusted accordingly.

- 114. The inventory of the contents of delegates' houses (furniture and household equipment) should be made on separate forms. A global amount per house or apartment only should be registered in the fixed assets register forms. Each of these inventory lists should be kept at the respective delegate's residence, with a copy at the office of the delegation.
- 115. Whenever there is a handover of leadership from one Head of Delegation to another, a new inventory is to be taken and signed by both. A copy is to be sent to the Federation Secretariat in Geneva.

# **Insuring Fixed Assets**

116. The Head of Delegation is responsible for the insurance of the delegations' fixed assets. These are considered for insurance purposes under the categories of vehicles, *other items, and property*. The insurance can be done locally or by the Federation Secretariat in Geneva. This decision must be taken in communication with the Secretariat Logistics and Resource Mobilisation Department. Fixed asset insurance cannot be automatically provided by the Logistics and Resource Mobilisation Department and must currently be negotiated on a case by case basis.

Internationa	l Federation o	of Red Cros	s and Red Ci	rescent Socie	eties						
Delegation.											VEHICLES
Fixed Asset	s Register I										
Vehicle Number	Acquisition Date	Make Model	Vehicle ser	ial numbers	Supplier	Invoice Number	Cos	sts of		Insurance	
			chassis	engine			Acquisition	Replacement	Company	Number	Value

International Federation of Red Cross and Red Crescent Societies													
Delegation													
Fixed Asset	s Register II												
Inventory Number									sts of	Insurance			
								Acquisition	Replacement	Company	Number	Value	

# **Insuring Vehicles**

117. *All Federation vehicles must be insured*. The insurance should be comprehensive, and must cover third party liability and passenger risks. If possible, fees for legal aid following an accident should also be covered. No vehicle should be used before the insurance coverage takes effect.



118. The Federation currently has global vehicle insurance for its assets in the field. As a result, vehicle insurance should normally be done through the Federation Secretariat (Logistics Service) except when local law requirements demand national insurance. The country of operations' legal requirements must be followed. This often means that vehicles have to be insured with local companies, especially as regards third party liability. In many cases the cover granted by those companies is not sufficient, or there are doubts that the companies can meet their obligations in the case of an accident, so vehicles should continue to be included in the Secretariat's global policy unless it can be clearly indicated that local insurance is sufficient.

119. In all other cases, where there are no legal requirements to insure locally, insurance cover will be taken out in Geneva on grounds of cost and efficiency.

120. Once a vehicle has been included on the Secretariat's global policy there is no requirement to request insurance yearly from Geneva unless the status of the vehicle changes. In order to arrange initial insurance coverage through the Federation Secretariat, the delegation should forward to the Secretariat Logistics Service either the *Vehicle Index Cards* or the following information:

- · make of vehicle
- model
- · year of manufacture
- engine number
- · chassis number
- cylinder volume in cubic centimetres/horse-power in the case of trucks
- · registered total weight
- number of seats/cargo payload in the case of trucks
- date vehicle is to be taken into use
- value
- registration number (license plate)
- whether the vehicle is new or used (mileage).

## **Insuring Other Items**

121. All equipment, machines and furniture in delegation premises and residences should be insured against fire, water damage and theft, where the total value of all the delegation's fixed assets – excluding vehicles – is more than CHF 10,000 (ten thousand Swiss francs). Coverage needs to be regularly updated to include additional assets. As indicated above, the Secretariat does not currently have a global fixed asset insurance for such items must currently be obtained locally or negotiated by the Logistics Service on a case by case basis.

122. Office premises, houses and apartments rented by delegations are often already equipped and furnished. It needs to be stated in any rental agreements that the owner or landlord is responsible for insuring all furnishings and equipment belonging to him or her.

123. Insurance coverage may be very expensive in some countries. In exceptional cases, it may be reasonable not to insure assets. Any decision on this is to be taken by the Head of Delegation in consultation with the respective Regional Department, and must be authorised by the Head of the Secretariat's Logistics Service. This exception does not apply to vehicles, whose insurance is always compulsory.

## **Insuring Property**

124. Buildings, houses, apartments, warehouses and other premises *owned* by the Federation (real property) should be insured against fire and water damage. The Head of Delegation will forward requirements for insurance of Federation-owned real property to the Secretariat, along with a complete description of that property and a copy of the title to such property, requesting confirmation that the required insurance has been obtained.

125. Offices, houses and apartments, warehouses and other premises are normally rented by Federation delegations. In such cases it is clearly the responsibility of the landlord to provide insurance cover for the building. However, liability insurance should be covered by the delegation and fire and theft insurance should be carried on the contents of warehouses. Note that the contents of warehouses belonging to the Federation which are in transit (i.e. scheduled for further movement within 60 days) are covered by

the Secretariat's global transport policy This does not include the final warehouse, from which goods are distributed, or the contents of warehouses which are held for later programmes, emergencies or disaster preparedness. Such goods should be insured separately, either locally or though the Logistics Service.

## **Insurance Claims**

126. *Vehicle claims*. If a vehicle accident or theft occurs, Logistics Service should be informed at once by fax or phone of the date and place of event, make and chassis number of vehicle. If damages exceed CHF 1,000 or if a third party is involved in the accident, all the following documents should be sent to the Logistics Service as soon as possible:

- Completed claims form including driver's statement (with translation).
- Police report (with translation).
- An estimate from local garage for repairs (detailed cost of labour and spare parts).
- Photos of the damage.
- Full details of any injuries and deaths (when pertinent).
- Copy of declaration to local insurance company for third party insurance, when covered (when pertinent).
- 127. If the vehicle has been stolen, the following documents are required:
  - Second police report stating that the vehicle has not been found.
  - A copy of purchase invoice or gift certificate of vehicle.
  - Two sets of keys to the vehicle.
  - A copy of cancelled vehicle registration card (*permis de circulation*).

128. *Goods in transit*. If goods are received at destination with loss and/or damage estimated to exceed CHF 1,000 Logistics Service should be informed immediately by fax or phone, and the following documents, where applicable, should be sent without delay to the Logistics Service in Geneva for further action:

- Claims advice in the form of a letter with specifications of the loss.
- Shipping documents (e.g. original bill of lading, consignment note, waybill etc.).
- Shortlanding certificate or certificate of loss when entire cargo is missing.
- Unloading records (tally sheets) and any other documentary evidence related to the outturn of the goods.
- Survey report, prepared by the nearest Lloyd's agent or local authorised agent, along with a copy of receipt of any relevant fees paid.
- Copy of claims letter sent by registered mail to the last carrier, or port authority, holding them responsible for loss, damage.
- Original of reply from carrier or port authority, if received.
- Signed copies of originals of delivery notes.
- Copy of supplier's invoice and packing list
- Notice to police (if applicable)
- Estimates and/or invoices for the cost of repairs and/or local purchase of replacement items.
- Condemnation certificate for damaged food declared unfit for human consumption by local authorities and destroyed.

129. *Fixed Assets*. In the event of theft, accidental or malicious destruction, the pertinent Regional Department and the Logistics Service should be informed of the circumstances. If the assets are insured in Geneva and the damages exceed CHF 1,000, the following documents should be sent to Logistics Service as soon as possible afterwards:

- Police report (with translation).
- An estimate from local workshop for repairs (detailed cost of labour and spare parts).
- Photos of the damage (if applicable).

130. If property has been stolen, the following documents are also required after 45 days:

- Second police report stating that the goods have not been found.
- A copy of purchase invoice or gift certificate.

## **Disposing of Fixed Assets**

131. Federation delegations may find themselves with too many fixed assets. This is often the case at the closing of a delegation. Assets may be disposed of by:

- Donating them to the country's National Society;
- Selling them off locally;
- Repatriating them to Geneva;
- Transferring them to another Federation delegation.

132. Donations to the National Society are made where there is a need for the items and the resources exist to maintain them. The Secretariat must be consulted on such issues; it also approves the final decision on such donations.

133. All computer and telecommunications equipment and software should be repatriated to Geneva. Exceptions to this rule need to be approved by the Secretariat.

134. It is the Head of Delegation's responsibility to identify items that may be disposed of and to manage their disposal. Sales of fixed assets must be done according to local legislation. This is particularly important when the items to be disposed of have been purchased or imported tax-free, as in certain cases their sales or even donations may be illegal or impossible. The existence of such limitations should also be considered when repatriating or transferring items to other countries. In the case of approved large sales, the Secretariat will forward specific instructions to the delegation together with the relevant authorisations.

135. The above regulations do not cover the disposal of relief goods, such as food, blankets, tents etc. The disposal of relief goods is regulated by the *Principles and Rules for Red Cross and Red Crescent Disaster Relief*.

**Auditing** 

Opening a Delegation

Information Systems

<u>Filing</u>

Handover Procedures

Closing a Delegation

Regulations for Field Personnel (Delegates)

Principles and Rules for Disaster Relief

Logistics

# **Hand-Over Procedures**

136. At the change of a Head of Delegation, a hand-over protocol must be established and record:

- All assets of the delegation at the date of the hand-over, namely:
  - o cash, and bank account and working balances;
  - o vehicles;
  - o office machines, equipment and furniture;
  - o furniture and equipment in delegates' houses or apartments;
  - o any other capital items owned by the Federation.
- All stocks of relief supplies food, tents, blankets etc.- held by the delegation;
- All stocks of relief supplies held by the National Society;
- That the permanent master file was handed over to the new Head of Delegation.

137. It is important to provide sufficient time for the establishment of the hand-over protocol. In particular, physical inventories of stocks and fixed assets may require some time.

138. The hand-over protocol, signed by both the departing and new Head of Delegation, is to be filed in the delegation's permanent master file, and a copy is to be sent to the Federation Secretariat.

139. Hand-over protocols also should be drawn up on the departure of the Finance or other delegates with specific responsibilities for delegation assets, including Heads of sub-delegation, and vehicle fleet and workshop managers. Here, the protocol will deal only with those assets for which the departing delegate was responsible.

Opening a Delegation

Administrative Systems

**Filing** 

Fixed Assets

Regulations for Field Personnel (Delegates)

Principles and Rules for Disaster Relief

**Vehicles** 

**Information Systems** 

# **Closing a Delegation**

140. As a general rule, the closure of a delegation should be planned and considered early on in the life of the operation whether in the case of a relief intervention or/and development programmes.

141. The *decision to close* a Federation delegation is made by the Federation Secretariat. Usually such a decision will be taken in consultation with the host National Society. A time-table for the closure process is important. Once written authorisation to close the delegation is received, the following steps are then taken:

- All rental agreements for houses, apartments, office space, warehouses, etc. are cancelled. Particular attention should be given to ensuring that all legally binding obligations in any such agreements are fully discharged.
- Fixed assets are disposed of, repatriated or transferred.
- Work contracts with delegation-recruited staff are terminated, and letters of recommendation are written where appropriate.
   All legal requirements related to the period of notice, payment of termination benefits, etc. must be fully met. Identity cards are collected and cancelled.
- A decision is taken on what to do with remaining stocks of relief goods, in consultation with the Federation Secretariat, and Operating and Participating National Societies.
- All insurance and service contract agreements are cancelled.
- Repatriation, destruction or hand-over of files and archives is done after having identified, using the Standardised Filing
  System for Delegations, which files are to be destroyed, which files are to be sent to the Regional Delegation or Regional
  Logistics Centre and which files are to be sent to a department of the Secretariat in Geneva.
- Final reports are written.
- Bank accounts are closed and funds withdrawn.
- A check is made to ensure that there are no outstanding financial or other liabilities (unpaid invoices, claims etc.) and suitable arrangements made in writing to cover such liabilities with the National Society and the Federation Secretariat advised.
- Official letters of notification of closure should be sent to the main government officials, UN agencies, NGOs, donor
  embassies and business contacts. Any arrangements for continuing Federation support and contacts with the host country
  should be mentioned in these letters.
- 142. Wherever there is a status agreement, it should be confirmed with the authorities (usually the Ministry of Foreign Affairs) that the agreement will not be terminated. A written confirmation should be sought from the competent Ministry that the provisions of the status agreement (or at least those which can be applied in the absence of a delegation) remain in force. In addition, it is important that the Government confirms in a written document that, should a delegation re-open, it would immediately enjoy the status agreement. Governance Support and Legal Department should be consulted on this issue.
- 143. When a country delegation is closed, the Federation is likely to want continued support to be provided to the National Society through the Regional delegation. Where this is the case, arrangements are to be made for the briefing and handing over of certain responsibilities to the Head of Regional Delegation.

Federation Delegations

<u>Filing</u>

Fixed Assets

**Handover Procedures** 

**Delegation Relations** 

Delegation-contracted Staff

**Vehicles** 

Information systems

# Management of a Delegation



# Chapter VI - Reporting

**Reporting on Federation Appeals and Operations** 

Minimum Reporting Standards for International Appeals/Operations

# **Reporting on Federation Appeals and Operations**

- 1. Timely, regular and accurate reporting is the most important tool to ensure good management support and sufficient funding for an emergency operation or a longer-term assistance programme. An effective appeals and reports system will:
  - provide donors and other interested parties relevant, objectives-based, consistent, standardised, and timely narrative reporting on voluntary funded programmes, profiling the overall image of the International Federation thereby increasing confidence in, and funding for, the Federation; while
  - rationalising the reporting workload on the field.
- 2. The proverb "no news is good news" does not apply to a Red Cross or Red Crescent operation or programme. No news is certainly bad news in the early phase of an emergency operation and will have a negative impact on the Federation's ability to support the operation. A lack of information can also frustrate the other National Societies' "need to know", and may hamper efforts to create, satisfy, or maintain media interest in the Federation's work.

Reporting **deadlines**, especially during an emergency, must always be met. Even if the collected data is incomplete, the principle "go with what you have" is to be followed.

- 3. To help attain this the appeals and reports process has been re-considered, and the following six reporting tools have been re-defined and user-friendly style-sheets redesigned with an increased focus on reporting by objectives:
  - Information bulletin.
  - · Emergency appeals.
  - Operations update specifically for emergency operations.
  - Programme update specifically for annual appeals.
  - Annual (Operations) reports on the Federation's annual appeal
  - Final reports on the emergency appeals.

# **Stylesheets**

- 4. Standard style sheets with fixed headings and sub-headings have been created to guide report writers in their selection and organisation of information and to ensure uniformity of reporting. The focus on decreasing the workload on the field and increasing the usefulness and effectiveness of the stylesheets themselves has resulted in a format that, when viewed electronically, guides or prompts the field-based writer through the various sections with "click-boxes". Delegates drafting operations or programme updates, information bulletins, final reports and annual reports must use these style sheets.
- 5. To further facilitate the task, the following two documents have replaced Situation Reports:
  - Operations Update: specifically intended for reporting on emergency appeals (filename: Ops Update.mwp);
  - Programme Update: specifically for reporting on the Annual Appeal (filename: Prog Update.mwp).
- 6. While similar in nature, there are several important distinctions between these two new style sheets. The Programme Update on Annual Appeals, for example, specifically includes sub-titles related to the Federation's four core areas (Disaster Response, Disaster Preparedness, Health and Care, and Humanitarian Values) as well as the three related areas (Organisational and Resource Development, Regional Cooperation, and Coordination and Management). Each appeal's original objectives within each area should be copied and pasted electronically from the original appeal document so that the report clearly reflects the progress made (or constraints encountered) against each specific objective. The Operations Update on emergency appeals, on the other hand, specifies the key sectors normally implemented during an emergency operation (e.g. health, water and sanitation, shelter, logistics, etc.). Again, the intention is to report against each specific objective established in the emergency appeal (or in any subsequent revisions).

- 7. In addition, the Programme Update stylesheet (reporting on Annual Appeals), which has replaced the monthly or quarterly informal delegation management or development-type reports, is the tool to be used for the majority of formal reports, development (under the Organisational and Resource Development Programme) and Disaster Response and Preparedness. Whether the report is sufficiently complete and of an acceptable quality to become a formal Operations Update for external distribution or remains internal is a decision to be jointly taken between the field, the desk officer, and RMD. Internal reports may be sent a those donors who have expressed a special interest in a programme, but Regional Departments within the Programme Coordination Division are ultimately responsible for deciding whether it is appropriate to share this informally with donors.
- 8. Internal issues: most delegations now communicate management issues of an internal nature (eg. delegate personnel, finance and administration, security, logistics, vehicle fleet management/needs, office equipment needs, etc.) by internal e-mail. If a delegation includes this type of information in standard reports, a suggested simple format is included as an attachment to the new style sheets. The advantage of including this on a separate page is that the information can be quickly reviewed and separated from the main report when and if the document is prepared for an external audience.
- 9. Technical reports: technical reports (health, logistics, water and sanitation, etc.) also form important management tools for the field and desks, but they should contribute to or form the basis of the Operations or Programme Update. This improves the quality of the reports, limits the potential duplication of reports submitted and the number of requests for specific reports, and again ultimately lightens the workload on delegations. Donor-specific reports (ECHO for example) are treated completely separately, with their own reporting requirements.
- 10. Minor emergencies: minor emergencies fall outside the Minimum Reporting Standards because they do not have appeals. However, since they often receive Disaster Relief Emergency Funds (DREF) and other donor support which require reports, the Operations Update on emergency appeals will also serve as the reporting vehicle for all minor emergencies.

## **Minimum Reporting Standards**

- 11. Delegations have a key role in ensuring compliance with the Federation's Minimum Reporting Standards (MRS), since all reports are based on information supplied by the field.
- 12. The standards are intended to ensure a regular flow of information on Federation operations or programmes, to reinforce donor confidence and to generate continuing support from the donor community. Minimum reporting requirements are as follows:
  - For each programme in the Federation's *Annual Appeal* (issued at the beginning of each year):
    - o 2 Programme Updates per year the first to be issued to donors by 30 June, the second by 31 December
    - o 1 Annual Report, to be issued to donors by 31 May of the following year
  - *Emergency Appeals* issued in the course of the year:
    - Two Operations Updates the first within 30 days of the appeal launch; the second issued over the duration of the operation.
    - o A final report issued within 90 days of the end of the operation.
- 13. Most programmes/operations (either annual or emergency) would ideally be covered by a formal report covering each quarter of the year, and this is something the Federation may establish as a minimum parameter in the future. For the time being, however, the emphasis is on meeting the current minimum standards.

# Minimum Reporting Standards for International Appeals/Operations

Type of Appeal/Programme	Type of Report:
<b>Federation's Annual Appeal</b> Country, Regional, Global programmes	<ul> <li>Operations Update (formerly Sitreps): narrative draft originates from field; minimum of 2 issued - the first befor 30 June, the second before 31 December. Ops Updates consist of a narrative and a list of contributions.</li> <li>Disaster Response Update (DRU): prepared/issued quarterly by RMD (narrative and statistics).</li> <li>Annual (Operations) Report: narrative draft originates from field - one per appeal; issued by 31 May of the following year; Consists of a narrative and an audited financial report).</li> </ul>

Ad hoc Emergency Appeals (launched during the year)	<ul> <li>Operations Updates (formerly Sitreps): narrative draft originates from field; the first issued within 30 days of the appeal launch; a second issued at some point during the course of the operation. Ops Updates consist of a narrative and a list of contributions.</li> <li>Final Report: narrative draft originates from field; issued within 90 days after the end of the operation; Final Reports consist of a narrative and a final financial report.</li> <li>Disaster Relief Emergency Fund (DREF): Web-based Ops Update prepared/issued quarterly by RMD.</li> <li>Disaster Response Update (DRU): prepared/issued quarterly by RMD (narrative and statistics).</li> </ul>
Minor Emergencies (Relief operations during the year for which no International Appeal was launched)	<ul> <li>Information Bulletin: narrative draft originates from field; issued by RMD.</li> <li>Final Report: 90 days after the end of operation, narrative and final financial.</li> </ul>

## Public distribution of reports

- 14. Information Bulletins, Emergency Appeals, Operations or Programme Updates, Annual Reports, and Final Reports are official public documents intended to be made available to a wide audience: these documents are now web-based, and are primarily distributed via the Federation's website together with a financial statement (budget summary, list of contributions, or financial report). The move to web-based appeals and reports offers distinct advantages in terms of being able to insert graphics (maps and photos) electronically into the documents themselves.
- 15. Remember timely, regular, and accurate reporting is the most important tool for ensuring good management support and sufficient funding. And the best approach to effective reporting is to develop a fundraising plan of action at the outset of an operation/appeal. Reporting plans can be adjusted as the operation evolves, in relation to the actual beneficiary needs, the level of donor interest, and actual funding support. Delegations are ultimately directly responsible for formal reporting on their programmes. To facilitate the monitoring of reports sent, those due, and to increase the compliance to the minimum standard, a lotus-run database has been developed by the RMD. This will be regularly updated and sent to Secretariat staff and delegations.
- 16. Further improvements to the reporting formats and standards can be made and your comments or suggestions to make them more consistent and relevant are always welcome.

National Society Operational Roles

**Filing** 

Managing Programmes

**Delegation Relations** 

Disaster Response System

Funding of Operations

# Management of a Delegation



# Chapter VII - Delegation Relations

**The Operating National Society** 

The Participating National Society

The ICRC

The Seville Agreement

**Embassies and Inter-governmental Organisations** 

**The European Union** 

**United Nations Agencies** 

**Non-government Voluntary Agencies** 

**Legal Relationships** 

# **The Operating National Society**

- 1. A country delegation's most important partner is the host National Society. The delegation's key purpose is to assist and advise the host country's National Society on relief or development activities and relationship building. *The relationship the delegation establishes with its host National Society will largely determine the effectiveness of this work.* The Head of Delegation must give time to building this relationship through regular discussion and the exchange of ideas. It should be always remembered that the delegation is working in a foreign environment and needs all the help it can get to understand the local culture and interpret the local situation.
- 2. The basis for the delegation's relationship with its host National Society is set out in the Federation's main policy documents: the Strategy 2010, the *Emergency Response Policy* and the *Principles and Rules for Disaster Relief*, and the *Development Cooperation Policy*. These important policies were agreed and adopted by the National Societies comprising the Federation, who are bound to comply with them. The International Conference, at which governments participate and vote, took note of the Principles and Rules for Disaster Relief and called upon the components of the Movement to implement it. Through this action the governments recognised the importance of complying with the relevant provisions of these Principles. This can be of great value in negotiations with governments on, for example, the Movement's right to maintain its own reception and distribution channels. Another important policy document to follow is the Seville Agreement. Since 1997, the National Societies, whether operating or participating, the Federation and the ICRC are bound to comply with the Seville Agreement in relation to the organisation of international activities carried out in bilateral cooperation between themselves.
- 3. The Federation will normally seek to establish a *co-operation agreement* with the National Society specifying the respective roles and responsibilities for each partner in the implementation of programmes in the country. Such an agreement will greatly simplify the co-operation, as it is clear what each partner is responsible for. Such an agreement must be in complete conformity with the above-mentioned Principles and Rules and the Federation Constitution.
- 4. It is desirable that each member of the delegation from the Head down should have a *counterpart* in the National Society. The natural counterpart of the Head of Delegation is the Secretary General of the National Society. The importance of having counterparts for delegates involved in critical and labour-intensive areas such as health and relief administration is a result of the need to ensure that the operation can be completely handed over to the National Society when the time comes for the delegation to close. It also assists the two-way transmission of skills and knowledge to the benefit of both delegates and National Society staff and volunteers.
- 5. The host National Society usually assists the Federation delegation in establishing effective relations with the *government* of the host country, including the agreements according the delegations the official legal status with the host government At the same time, the delegation needs to support the host National Society in its relations with the Government especially when the National Society seeks the Government's moral or practical support for new programmes, or when sometimes Government may threaten the

Society's independence or the application of the *Principles and Rules for Disaster Relief*. The delegation also supports the National Society in building relations with international organisations and the diplomatic community in the host country.

National Society Operational Roles

Strategy 2010

Managing the Delegation

Administrative Systems

Reporting

The Participating National Society

Legal Relationships

Principles and Rules for Disaster Relief

# **The Participating National Society**

- 6. *Participating National Societies* (PNS) are those members of the Federation which provide delegates, cash and material support in response to Federation appeals launched on behalf of *Operating* National Societies (ONS). PNS can also supply assistance bilaterally i.e. not channelled through a Federation delegation in close co-ordination with the Federation Secretariat.
- 7. When bi-lateral co-operation between PNS and ONS occur in countries where there is a Federation delegation, quite often, there is an agreement between the Federation, the PNS and the ONS for the Federation to provide certain limited support which is usually either administrative and/or technical in nature. The Federation can also delegate certain projects/programmes for implementation by PNS, usually within the framework of the *project delegation* concept.
- 8. When a Participating National Society supports an Operating National Society on a bilateral basis, particularly in the field of development, this can involve assigning *bi-lateral delegates*. To effectively assist the host Society, the delegation needs to be well informed of the nature and progress of such bi-lateral programmes. The delegation should work closely with bi-lateral delegates, helping them to develop relations with the host Society. The delegation may also have special roles relating to these delegates in the areas of security, and logistical and administrative support, for example. Again, these roles need to be agreed by the Federation and the Participating National Society, preferably in writing.
- 9. Participating National Society representatives normally visit the country from time to time to see for themselves the progress being made in project implementation. The occasion may also arise when it is felt necessary to call a *donors' meeting* in the host country to which PNS and possibly other agencies will be invited. On such important occasions the delegation should assist the host Operating National Society to prepare a realistic picture of what is being done and the problems faced.

National Society Operational Roles

The Operating National Society

**Development Cooperation** 

Cooperation Methods

Guidelines for Project Delegation

# The ICRC

10. Revision of the following paragraphs on the ICRC are under way. For more specific information on the Federation's working relations with ICRC and the different roles and characters of the two organisations other than stated in the Seville Agreement, please contact the Senior Officer, ICRC Relations at the Federation Secretariat.

## **Working Relations**

11. Although the Federation and the International Committee of the Red Cross (ICRC) are closely related, they have different mandates and different ways of working. To maximise the Movement's overall effectiveness both the Federation and the International Committee, and the delegates of the two organisations in particular, need to develop and preserve constructive working relations. The ICRC will often have either a delegation in the host country or will cover it through a regional delegation.

It is essential that Federation delegates meet and co-operate with their ICRC colleagues, and invest enough time and effort to build a good relationship with them.



12. In order to minimise any confusion of roles in the organisation of the international activities of the components of the International Red Cross and Red Crescent Movement, the Federation, the Committee and the National Societies signed an Agreement in 1997 in Seville (the *Seville Agreement*). The Agreement implies a synergetic co-operation, coupled with a clear division of labour among the components of the Movement having distinct but closely related and complementary roles and competencies.

#### **Different Roles and Characters**

- 13. The delegate needs to be aware of the practical differences between the Federation and the ICRC, as well as of circumstances where the separation or interrelation of their roles requires special attention.
- 14. *Structure and Culture*. The ICRC's specific activities are based on the Geneva Conventions and Additional Protocols, international treaties between the Governments party to them. The ICRC is a private Swiss foundation directed by a board of coopted members, while the Federation is a multinational organisation of National Societies. Though the ICRC is increasing the number of non-Swiss personnel in technical positions in the field, most of the ICRC field staff are still Swiss, while the Federation delegates for any position can be recruited from any National Society
- 15. *Specific Responsibilities*. In accordance with the Geneva Conventions the ICRC is responsible for the protection of prisoners-of-war and security detainees. ICRC delegates visit camps, work places and prisons with the view to examine the physical and psychological conditions of detention, not the reasons for it. If necessary, relief supplies are given to prisoners and detainees and to their families. Confidential reports are written after each visit and given to the detaining authority; the reports on the prisoners of war are also sent to the government of the POW's home country. To ensure the effective protection of prisoners' lives and health, the ICRC insists that the delegates are allowed to see all prisoners and can talk with them in private, without witnesses; that they are given access to all places of detention and are able to make repeated follow-up visits; that they receive a list of the people to be visited or are allowed to make such a list during the visit.
- 16. *Operational Methods*. An ICRC delegation is normally directly operational. It will control certain special functions notably protection and may seek National Society support for others. In contrast, a Federation delegation normally supports the Operating National Society in implementing the programme, helping the Society to develop its own capabilities.
- 17. *Interrelated Responsibilities*. A situation may call for both organisations to be operational in the same country: for example, as a result of a conflict leading to movements of displaced people outside the conflict zone, or in response to a famine caused by a combination of war and drought. In such cases the ICRC will normally work within the zones of conflict, while the Federation will assume the responsibility for assistance outside conflict areas. However, based on the Seville Agreement, the two organisations will need to consult and agree on specific responsibilities for particular tasks, geographical areas, and to co-ordinate their actions.
- 18. *Changing Roles in Operations*. Should, for whatever reason, the Federation or the ICRC be unable to implement an operation within their usual area of responsibility, the other organisation may sometimes be requested by the Operating National Society, Participating National Societies and/or the host Government to take over the operation. In such cases clear agreement between the two organisations, based on the Seville Agreement, needs to be reached as soon as possible, so that the interests of end beneficiaries do not suffer.

# Co-operation

- It is important that Federation and ICRC Heads of Delegation and delegates get to know each other both on a professional and personal basis, This means making time to meet formally and informally.
- Try to understand the ICRC delegates' priorities and methods, Make clear your own priorities and methods and the importance of National Society development through the maximising of its involvement in operations.
- Discuss possible future developments in the country and assess together the respective roles the Federation and the ICRC might play in the future.
- Where there is disagreement, work from the same side of the table, looking at the issue as one of common concern, Always remember that the Federation and the ICRC are equal partners and should treat each other as equals. If a dispute cannot be resolved, it is the responsibility of the Head of Delegation to inform the regional department and seek advice and assistance to resolve the situation.

The Geneva Conventions

The Emblems

The Movement's Components

The Federation: Definition, History, Role

Federation Delegations

The Seville Agreement

# The Seville Agreement

- 19. A new agreement between the ICRC, the International Federation and National Societies, the "Agreement on the Organisation of the International Activities of the Components of the International Red Cross and Red Crescent Movement", was adopted by consensus at the Council of Delegates in Seville in November 1997.
- 20. The implementation provisions of this new Agreement, say that "each component... is individually responsible for the implementation of the provisions of this Agreement, and shall instruct its volunteers and staff accordingly (Art. 10.2).
- 21. The ICRC and the Federation "because of their directing and coordinating roles, have a special responsibility to ensure that the Agreement is fully respected and implemented by the Movement as a whole" (Art. 10.3).
- 22. The preamble sets the tone for the whole of the Agreement. It is significant in that it talks of "cooperation, coupled with a clear division of labour, among components having distinct but closely related and complementary roles and competencies".
- 23. The preamble is ambitious. It says that the Agreement "sets into motion a profound change in attitude... the adoption of a collaborative spirit, in which every member of the Movement values the contributions of other members as partners in a global humanitarian enterprise. It is an agreement on cooperation and not merely on a division of labour ..."
- 24. The new Agreement has officially been sent to all National Societies and Federation delegations. (It is also available on the Federation webpage on Internet).
- 25. Training on the interpretation of the new Agreement is vital. It is now included in delegate training, and a training pack is available from the Training Support and Development Unit at the Federation Secretariat.
- 26. Please note that this new Agreement also influences the sub-chapters of the Handbook on The Operating National Society and The Participating National Society.

Agreement on the Organisation of the International Activities of the Components of the International Red Cross and Red Crescent Movement (Seville 1997)

# **PREAMBLE**

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Article 1 - Scope of the Agreement

Article 2 - Object and Purpose of the Agreement

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### PART II - INTERNATIONAL RELIEF ACTIVITIES

Article 5 - Organisation of International Relief Operations

Article 6 - Responsibilities for General Direction and Coordination of International Relief Operations

PART III - STRENGTHENING THE MOVEMENT: DEVELOPMENT AND FUNCTIONAL COOPERATION

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#### **PREAMBLE**

The mission of the International Red Cross and Red Crescent Movement is "to prevent and alleviate human suffering wherever it may be found, to protect life and health, and ensure respect for the human being, in particular in times of armed conflict and other emergencies, to work for the prevention of disease and for the promotion of health and social welfare, to encourage voluntary service and a constant readiness to give help by the members of the Movement, and a universal sense of solidarity towards all those in need of its protection and assistance".

The accomplishment of this common mission calls for the combined efforts and participation of all the components of the Movement. To respond with speed, flexibility and creativity to the needs of all those calling for impartial humanitarian protection and assistance, the components must join their forces and capitalise on their diversity. To achieve that goal through effective collaboration in a spirit of mutual trust, to ensure an efficient mobilisation of resources, the components must therefore, based on a clear sense of purpose and their common mission, organise their international activities on a sound and predictable basis. This implies observance of the Fundamental Principles and of the Statutes of the Movement, and a synergetic cooperation, coupled with a clear division of labour, among components having distinct but closely related and complementary roles and competencies.

This Agreement is more than an instrument of operational management or a statement of understanding. It sets into motion a profound change in attitude between members of the same Movement: the adoption of a collaborative spirit, in which every member of the Movement values the contributions of other members as partners in a global humanitarian enterprise. It is an agreement on cooperation and not merely on a division of labour, and it applies to all those international activities which, under the Movement's Statutes, the components are called upon to carry out in close collaboration. It establishes clear guidelines for the performance of tasks by Movement members, using the specific areas of competence and the complementary capacities of each to best effect. It provides for continuity of activities as situations change, and aims at fostering among the components a stronger sense of identity, of solidarity, of mutual trust and of shared responsibility.

With those objectives set out, this Agreement on the organisation of the international activities of the Movement's components constitutes an essential element of a new common strategy of action that will allow the components to achieve three important goals:

- to provide more effective response to humanitarian needs using to best effect the Movement's many resources;
- to promote better respect for humanitarian principles, and for international humanitarian law;
- to create a stronger International Red Cross and Red Crescent Movement in which all components cooperate to the optimum extent.

## PART I – GENERAL

### Article 1: Scope of the Agreement

- 1.1 The Agreement applies to those international activities which the components are called upon to carry out in cooperation, on a bilateral or multilateral basis, to the exclusion of the activities which the Statutes of the Movement and the Geneva Conventions entrust to the components individually.
- 1.2 The "international activities" of the components are the activities of the National Societies defined in Article 3, paragraphs 3 and 5 of the Statutes of the Movement; the activities of the International Committee of the Red Cross defined in Article 5, paragraphs 2, 3 and 4 of the Statutes of the Movement; and the activities of the International Federation of Red Cross and Red Crescent Societies defined in Article 6, paragraphs 3, 4 and 5 of the Statutes of the Movement
- 1.3 Pursuant to Article 7, paragraph 1 of the Statutes of the Movement, the Agreement defines the organisation of international activities carried out in bilateral or multilateral cooperation between:
  - the National Societies and their Federation;
  - the National Societies and the ICR;
  - the National Societies between themselve;
  - the ICRC and the Federation;
  - the ICRC, the Federation and the National Societies.
- 1.4 Nothing in this Agreement shall be interpreted as restricting or impairing the specific role and competencies of

each component according to the Geneva Conventions and their additional Protocols, and under the Statutes of the Movement.

#### Article 2: Object and Purpose of the Agreement

The object and purpose of the Agreement is:

- a) to promote the efficient use of the human, material and financial resources of the Movement and to mobilise them as rapidly as possible in relief operations and development activities in the interest of the victims of armed conflicts or of internal strife and their direct results, as well as of natural or technological disasters, and of vulnerable persons in other emergency and disaster situations in peacetime;
- b) to promote closer cooperation among the components in situations referred to in Article 2 a) above;
- c) to strengthen the development of National Societies and to improve cooperation among them, thus enabling National Societies to participate more effectively in the international activities of the Movement;
- d) to obviate differences between the components as to the definition and the organisation of their respective international activities and responsibilities within the Movement;
- e) to strengthen functional cooperation among the ICRC, the Federation and National Societies.

#### Article 3: Guiding Principles

The organisation of the international activities of the components is at all times governed by the values and principles which guide the Movement, as enshrined in :

- the Fundamental Principles of the Red Cross and Red Crescent;
- the Statutes of the Movement;
- the Geneva Conventions and their Additional Protocols.

#### Article 4: Management Principles

Implicit in the Statutes of the Movement are two organisational concepts which this Agreement defines as "the lead role" and "the lead agency".

#### A) Lead Role

- 4.1 The Geneva Conventions and the Statutes of the Movement entrust specific competencies to each component which therefore plays a lead role in these matters.
- 4.2 The concept of lead role implies the existence of other partners with rights and responsibilities in these matters.

### B) Lead Agency

- 4.3 The lead agency concept is an organisational tool for managing international operational activities. In a given situation, one organisation is entrusted with the function of lead agency. That organisation carries out the general direction and coordination of the international operational activities.
- 4.4 The lead agency concept applies primarily in emergency situations as referred to in Article 2 a) above, where rapid, coherent and effective relief is required in response to the large-scale needs of the victims, on the basis of an evaluation of these needs and of the capacity of the National Society concerned to meet them.
- 4.5 Effective coordination between the components under the responsibility and general direction of the lead agency requires the establishment of appropriate mechanisms for consultation and a commitment by all those taking part to abide by coordination rules and procedures.
- 4.6 The effectiveness of an operation depends on adequate prior training and preparation of those carrying out the operation (emergency preparedness).

#### PART II - INTERNATIONAL RELIEF ACTIVITIES

### Article 5: Organisation of International Relief Operations

- 5.1 Situations Requiring a Lead Agency
  - A) International and non-international armed conflicts, internal strife and their direct results, within the meaning of the Geneva Conventions and their Additional Protocols and the Statutes of the Movement:
    - a) within the meaning of the Geneva Conventions and of this Agreement, the term "situation of armed conflict" covers the entire territory of the parties to a conflict as far as the protection and

assistance of the victims of that conflict are concerned;

- b) the term "direct results of a conflict" within the meaning of the Geneva Conventions applies beyond the cessation of hostilities and extends to situations where victims of a conflict remain in need of relief until a general restoration of peace has been achieved;
- c) the term "direct results of a conflict" shall also apply to situations in which general restoration of peace has been achieved, hence the intervention of the ICRC as a specifically neutral and independent institution and intermediary is no longer required but victims remain in need of relief during the post-conflict period, especially within the context of reconstruction and rehabilitation programmes;
- d) the term "direct results of a conflict" shall also apply to situations in which victims of a conflict are to be found on the territory of a State which is neither party to a conflict nor affected by internal strife, especially following a large scale movement of refugees.
- B) Natural or technological disasters and other emergency and disaster situations in peace time which require resources exceeding those of the operating National Society and thus call upon the Principles and Rules for Red Cross and Red Crescent Disaster Relief to apply;
- C) Armed conflict concomitant with natural or technological disasters.
- 5.2 Armed Conflict and Internal Strife: Elements of Identification

For the purposes of the application of the present Agreement and the organisation of the international activities of the components,

- a) an armed conflict exists when the armed action is taking place between two or more parties and reflects a minimum of organisation;
- b) internal strife does not necessarily imply armed action but serious acts of violence over a prolonged period or a latent situation of violence, whether of political, religious, racial, social, economic or other origin, accompanied by one or more features such as: mass arrests, forced disappearances, detention for security reasons, suspension of judicial guarantees, declaration of state of emergency, declaration of martial law.

#### 5.3 Lead Agency Role of each Component

- 5.3.1 The ICRC will act as lead agency, as provided for in Article 4 of the present Agreement, in situations of international and non-international armed conflicts, internal strife and their direct results as referred to in Article 5.1, Section A and in paragraphs a) and b), and in Section C (armed conflict concomitant with natural or technological disasters).
- 5.3.2 The Federation will act as lead agency in situations referred to in Article 5.1, paragraphs c) and d) of Section A, and in Section B (natural or technological disasters and other emergency and disaster situations in peace time which require resources exceeding those of the operating National Society).
- 5.3.3 A National Society may undertake the functions of lead agency necessary for the coordination of international relief assistance within its own territory subject to the concurrence of the ICRC or the Federation, as the case may be, as provided for in Article 3, paragraph 3 of the Statutes of the Movement.
- 5.3.4 If a natural or technological disaster occurs in a situation of conflict where the ICRC is already engaged, the ICRC will call upon the Federation to provide additional appropriate expertise to facilitate relief.
- 5.3.5 If an armed conflict or internal strife breaks out in a situation where there is ongoing Federation relief assistance activity, the transition provisions apply, as provided for in Article 5.5 of the present Agreement.

#### 5.4 Unforeseen Situations

In handling unforeseen situations which do not fall within the situations referred to in Part II, Articles 5.1 and 5.3, the components of the Movement directly concerned undertake, in good faith and with common sense, to be guided by the Fundamental Principles and the Statutes of the Movement, to ensure, in the interest of the victims, maximum efficiency of the operation and harmonious cooperation within the Movement as a whole.

#### 5.5 Transition

5.5.1 Where, as a result of a change of situation, responsibility for directing and coordinating an international relief operation is transferred from the ICRC or from the Federation in accordance with the relevant Articles of the present Agreement, the incumbent lead agency shall, in agreement with the operating National Society and in consultation with the participating National Societies, take all the steps appropriate to ensure an efficient and harmonious handover of the management and conduct of the new international relief operation by the component taking over the lead agency function.

5.5.2 Subject to the agreement of the donors who have contributed to financing the international relief operation which is being phased out, the funds and relief supplies available, together with the logistic and material resources deployed in the field, shall, if they are suited to the objectives of the new operation, be placed at the disposal of the lead agency henceforth responsible for its general direction and coordination.

#### 5.6 Other International Relief Actions by National Societies

- 5.6.1 In situations where the needs of the victims do not call for the organisation of an international relief operation under a lead agency, a National Society which provides direct assistance to the Society of the country affected by a conflict or a disaster shall immediately inform the ICRC or the Federation, as the case may be.
- 5.6.2 Mutual emergency relief assistance agreements in case of natural or technological disasters between neighbouring National Societies, and bilateral or multilateral development agreements between National Societies shall be notified in advance to the Federation.
- 5.6.3 The fact that one or several National Societies submit a request for aid to the ICRC or to the Federation, or hand over relief supplies to one of them, shall in no way be deemed to modify the organisation of functions and responsibilities between the two institutions as defined in the present Agreement. In such an event, the institution which is not competent will so inform the National Society or Societies concerned and will refer the matter without delay to the competent institution.

#### 5.7 Operational Difficulties

- 5.7.1 Should an international relief operation directed and coordinated either by the ICRC or by the Federation be obstructed for a prolonged period, the lead agency shall consult the components involved with a view to bringing their combined influence to bear so that the obstacles to the operation may be overcome as soon as possible in the sole interest of the victims.
- 5.7.2 Where appropriate they may, by mutual agreement, decide to implement provisional measures which shall in no way be regarded as precedents affecting the respective mandates of the components of the Movement or the organisation of tasks provided for in the present Agreement.

#### 5.8 United Nations Specialised Agencies

- 5.8.1 In order to maintain among the components a coherent approach that will preserve the Movement's unity and independence, a National Society wishing to conclude a cooperation agreement with a specialised agency of the United Nations, shall keep the Federation and/or the ICRC informed.
- 5.8.2 In particular, it shall keep the Federation and/or the ICRC informed of any negotiations likely to lead to a formal agreement with the UNHCR which should be undertaken in association with the Federation and/or the ICRC.

# Article 6: Responsibilities for General Direction and Coordination of International Relief Operations

6.1 In situations defined in the present Agreement, where the general direction and coordination of an international relief operation is exercised by the ICRC or the Federation acting as lead agency, this function carries the following responsibilities:

# 6.1.1 General Responsibilities

- a) to define the general objectives of the international relief operation based on access to the victims and on an impartial assessment of their needs;
- b) to direct the implementation of these objectives;
- c) to ensure that all actions within the relief operation are effectively coordinated;
- d) to establish appropriate mechanisms of consultation with Red Cross and Red Crescent partners;
- e) to coordinate international Red Cross and Red Crescent relief operations with the humanitarian activities of other organisations (governmental or non-governmental) where this is in the interest of the victims and is in accordance with the Fundamental Principles;
- to act as a spokesman for the international relief action and to formulate the Red Cross and Red Crescent partners' response to public interest;
- g) to mobilise financial resources for the relief operation and to launch appeals integrating when necessary other directly or indirectly related Red Cross and Red Crescent activities.
- h) to ensure that the resources mobilised for an international relief operation are managed in a sound and efficient manner by the operating and the participating National Societies;
- i) to promote, by means of project delegations, bilateral or multilateral cooperation

agreements between participating and operating National Societies;

#### 6.1.2 Specific Responsibilities

- A) In situations where the ICRC is acting as lead agency:
  - a) to establish and maintain relations and contacts with all the parties to the conflict and take any steps necessary for the conduct of international relief operations for victims, in accordance with the relevant provisions of international humanitarian law and in compliance with the Fundamental Principles of independence, neutrality and impartiality;
  - b) to assume ultimate responsibility for international relief operations vis-à-vis the parties to the conflict and the community of States party to the Geneva Conventions;
  - c) to define and ensure the application of any measure which may prove necessary to guarantee, to the greatest extent possible, the physical safety of personnel engaged in relief operations in the field;
  - d) to ensure respect for the rules in force relating to the use of the red cross and red crescent emblems for protective purposes;
  - e) to draw up, in consultation with the National Societies concerned, public statements relating to the progress of the relief operation.
- B) In situations where the Federation is acting as lead agency :
  - a) to ensure that the participating and the operating National Societies comply with the Principles and Rules for Red Cross and Red Crescent Disaster Relief (1995) and the Code of Conduct for International Red Cross and Red Crescent Movement and Non-Governmental Organisations in Disaster Relief (1993);
  - b) to offer the National Societies rapid information on disasters in order to permit mobilisation and coordination of all possible forms of relief;
  - c) to promote, beyond the emergency phase, the establishment and the development of rehabilitation and reconstruction programmes, and to mobilise for this purpose the support of National Societies of other countries;
  - d) to decide, in agreement with the National Society of the country concerned, and after consultation of the donor Societies, on the use of any goods or funds that remain available at the end of an international relief operation.
- 6.2 Coordination of an International Relief Operation by a National Society within its own Territory
  - 6.2.1 Taking into account:
    - the nature of the situation and the resulting constraints imposed upon the implementation of the operation;
    - the scope of the needs to be met;
    - the logistic means to be deployed;
    - the preparedness and capacity of the National Society to undertake efficiently the action required in conformity with the Fundamental Principles,
  - a National Society may act as a lead agency in the sense of undertaking the coordination of an international relief operation within its own territory, subject to the concurrence of, and on the basis of general objectives defined by the ICRC or the Federation, as the case may be.
  - 6.2.2 In this context, this function of coordination by a National Society within its own territory implies primarily the following responsibilities:
    - a) to direct the implementation of the general objectives defined for the international relief operation;
    - to direct the work of personnel made available by participating National Societies placed under the authority of the operating National Society for the purpose of the operation;
    - to coordinate the relief operation with the humanitarian activities of other organisations (governmental or nongovernmental) having a representation and being active locally when this is in the interest of the victims and in accordance with the Fundamental Principles;

- d) to act as a spokesman for the international relief operation to respond to public interest:
- e) to ensure respect for the rules in force relating to the use of red cross and red crescent emblems;
- f) to ensure that the action is carried out and conducted in accordance with the Principles and Rules for Red Cross and Red Crescent Disaster Relief (1995) and the Code of Conduct for International Red Cross and Red Crescent Movement and Non-Governmental Organisations in Disaster Relief (1993);
- g) to ensure that the financial and material resources made available for the purpose of the relief operation through ICRC and/or the Federation, as the case may be, are managed in a sound and efficient manner;
- h) to provide required and appropriate information to the Federation or the ICRC, as the case may be, on the progress of the relief operation in order to enable them to report to donors having responded to international appeals launched to mobilise the necessary financial resources to meet the general objectives set out.

#### PART III - STRENGTHENING OF THE MOVEMENT: DEVELOPMENT AND FUNCTIONAL COOPERATION

All components shall strive to assist each other to realise their full potential and adopt a policy of constructive complementarity in elaborating a comprehensive development approach.

## Article 7: Development of National Societies

- 7.1 A National Society is primarily responsible for its own development.
  - 7.1.1 National Societies shall contribute as far as their means permit to the development of other National Societies requiring such assistance, by means of bilateral or multilateral development agreements.
  - 7.1.2 Such agreements shall take account of the relevant policies and strategies adopted by the Federation's General Assembly.
- 7.2 The Federation has the lead role with regard to development activities and to the coordination of international development support to National Societies. The ICRC provides support in matters falling within its statutory core competencies.
  - 7.2.1 The specific tasks of the Federation in development activities include :
    - a) formulating and reviewing development policies on behalf of the Movement in consultation with the other components;
    - b) assisting National Societies to draw up development plans and project proposals;
    - c) providing standards and guidelines for programme design and planning;
    - d) setting criteria for mobilisation and allocation of resources for development.
  - 7.2.2 The ICRC shall contribute to the development of the National Societies in the following matters, in coordination with the Federation :
    - a) technical and legal assistance in establishing and reconstituting National Societies;
    - b) support of the National Societies' programmes for disseminating knowledge of international humanitarian law and the Fundamental Principles;
    - c) involvement of the National Societies in measures taken to promote international humanitarian law and ensure its implementation;
    - d) preparation of the National Societies for their activities in the event of conflict;
    - e) contribution to the training of National Society personnel in fields related to its mandate.
  - 7.2.3 In armed conflict situations, internal strife and their direct results, the Federation may continue to assist the National Society of the country concerned in its further development, taking into account that in such situations, where the ICRC is acting as lead agency as provided for in Article 5.3, the ICRC has the responsibility to coordinate and direct the relief operations in favour of the victims.
  - 7.2.4 In armed conflict situations, internal strife and their direct results, the ICRC may expand its cooperation with the operating National Society concerned in order to strengthen its operational capacity. In such cases, the ICRC shall coordinate with the plans of the National Society concerned and the Federation in this regard.

7.2.5 Whenever it appears to either institution that a National Society has become unable to protect its integrity and to act in accordance with the Fundamental Principles, the ICRC and the Federation shall consult each other on the advisability of taking action, either jointly or separately. In the latter case, the two institutions shall keep each other informed of any action taken and of subsequent results.

### Article 8: Functional Cooperation between the Components the Movement

- 8.1 The coherence of the action of the components of the Movement depends on cooperation and coordination among them in undertaking emergency actions in general or specific cases, as well as in all other areas of activity.
- 8.2 Functional cooperation between the ICRC, the National Societies and the Federation applies in particular to the following areas of international activities:
  - a) establishment and recognition of National Societies and protection of their integrity;
  - b) use and respect of the red cross and red crescent emblems;
  - human resources development, training and preparation of personnel for international relief operations;
  - d) cooperation at delegation level;
  - e) relations with international institutions, non-governmental organisations and other actors on the international scene;
  - f) coordination of international fundraising.
- 8.3 The principles outlined in Articles 3 and 4 of this Agreement may serve as a frame of reference for more detailed bilateral agreements on an ad hoc basis, that the ICRC and the Federation may wish to conclude for organizing their cooperation in specific areas at the institutional or regional levels.
- 8.4 The process of development of functional cooperation among the components, and the opportunities for its evolution in response to changes in the external environment can only be enhanced by continuous dialogue and regular consultation between those responsible for international activities within the ICRC and the Federation and with National Societies with a view to analyzing and anticipating needs. The initiative in respect of each specific area might best be taken by the organisation having the lead role in that area.
- Article 9 : Communication, Fundamental Principles and International Humanitarian Law
  - 9.1 Public Relations and Information
    - 9.1.1 In their public relations, the ICRC, the Federation and National Societies, while performing their respective functions and thereby informing the public of their respective roles within the Movement, shall harmonise their activities so as to present a common image of the Movement and contribute to a greater understanding of the Movement by the public.
    - 9.1.2 In order to ensure maximum efficiency in advocating humanitarian principles, according to the policies promulgated to that effect by the Council of Delegates, the components of the Movement shall cooperate in coordinating campaigns and developing communication tools. Whenever necessary, they may set up mechanisms to that effect, taking into account the lead roles of the different components.
  - 9.2 Fundamental Principles
    - 9.2.1 All components of the Movement shall ensure that the Fundamental Principles are respected by the Movement's components and statutory bodies.
    - 9.2.2 The ICRC has the lead role in the maintenance and dissemination of the Fundamental Principles. The Federation and the ICRC shall collaborate in the dissemination of those Principles among the National Societies. National Societies have a key role to play in upholding and disseminating the Fundamental Principles within their own country.
  - 9.3 International Humanitarian Law
    - 9.3.1 The ICRC has the lead role for promoting, developing and disseminating international humanitarian law (IHL). The Federation shall assist the ICRC in the promotion and development of IHL and collaborate with it in the dissemination of IHL among the National Societies.
    - 9.3.2 National Societies shall disseminate, and assist their governments in disseminating IHL. They shall also cooperate with their governments to ensure respect for IHL and to protect the red cross and red crescent emblems.

#### PART IV - IMPLEMENTATION AND FINAL PROVISIONS

- 10.1 All components of the Movement undertake to respect and implement the present Agreement on the organisation of their international activities, in accordance with Article 7 of the Statutes of the Movement.
- 10.2 Each component the Federation, the ICRC, and National Societies is individually responsible for the implementation of the provisions of this Agreement, and shall instruct its volunteers and staff accordingly.
- 10.3 Beyond their individual responsibility to implement the provisions of this Agreement, the ICRC and the Federation, because of their directing and coordinating roles, have a special responsibility to ensure that the Agreement be fully respected and implemented by the Movement as a whole.
- 10.4 As the institutions most often called on to act as lead agency in international activities, the ICRC and the Federation have a need to :
- share information on global operational activities of common interest;
- discuss possible difficulties which may hamper smooth cooperation between the components.

It is for these institutions to agree between themselves what arrangements are best suited to meet this need.

- 10.5 The Standing Commission, by virtue of the role conferred upon it by Article 18 of the Statutes of the Movement, shall call annually for a report on the implementation of the Agreement from the ICRC and the Federation, which will be transmitted to all National Societies as part of a consultative process.
- 10.6 The Standing Commission shall include an item on the Agreement on the agenda of each Council of Delegates, thus establishing a process of regular review of the Agreement.
- 10.7 If differences arise between the components concerning the implementation of the Agreement and if these cannot be otherwise resolved, the Standing Commission may establish an ad hoc independent body, as and when required, to arbitrate, with the agreement of the Parties, differences between the components of the Movement where conciliation and mediation have failed.

#### Article 11: Final Provisions

The present Agreement replaces the 1989 Agreement between the ICRC and the League of Red Cross and Red Crescent Societies (International Federation). It was adopted by consensus, in Resolution 6 of the Council of Delegates in Seville, Spain, on 26 November 1997.

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# **Embassies and Inter-governmental Organisations**

- 27. Establishing good relations with representatives of donor governments and inter-governmental organisations is very important, especially for promoting the Federation image and fund-raising. Representation is a vital part of the delegation's role and enough time and resources need to be devoted to it.
- 28. *Embassies* are frequently consulted by their governments and often play a decisive role in the choice of agencies and operations funded by them, and an important one in monitoring the operations implemented. In addition several donor country embassies have limited discretionary funds that they can dispose of without reference to their capitals. These funds are usually for small-scale development activities, but occasionally also for relief work A delegation can contribute to fund-raising for operations and National Society development programmes through maintaining regular contacts with these embassies. The Secretariat, however, needs to be advised of these contacts, both to enable follow-up where needed and to advise the Participating National

Societies.

29. Delegations can also use contacts with embassies and international or regional agencies to disseminate news of the Federation's work, and to raise awareness of its role and mandate. There may be certain key "advocacy" themes to focus on and guidance on this will be provided by the Humanitarian Advocacy Department. The delegation can make an important contribution to the overall effort to raise awareness of the Movement's humanitarian work.

**External Relations** 

Opening a Delegation

Closing a Delegation

**Managing Programmes** 

Reporting to the Secretariat

The European Union

Development Programme Funding

Humanitarian Advocacy

# The European Union

### **EU Structure and Representatives**

- 30. The European Union (EU) is one of the Federation's major donors. It provides funding for the Federation's emergency relief operations, as well as for refugee, rehabilitation and development programmes, and disaster preparedness. The EU political organisation includes the *European Council*, the *European Commission* and the *European Parliament*. The Council is the institution in which the government of the EU Member States are represented. The Commission consists of 36 Directorates Generals (ministries) and specialised services and has 3 main functions: to initiate new legislation, to ensure that EU legislation is applied correctly, and to be responsible, as the EU executive body, for the implementation and management of policy. Finally, the Parliament is the institution representing the citizens and exercises democratic control over Commission activities.
- 31. In order to develop contacts with the European Union, the Federation and the EU National Societies established in 1983 the **Red Cross-EU Office** (previously **Liaison Bureau**) in Brussels. The Office works on behalf of the Federation Secretariat and the EU National Societies to ensure effective co-operation with the European Union and in particular the ECHO-Humanitarian AID Office, on activities and issues of common interest focusing on EU proposals, policies and priorities. In particular, this involves assisting in the formulation and coordination of requests for co-operation and financing in relation to disaster programmes. The Office also has other roles with regard to promoting co-operation between the National Societies within the European Union on a number of domestic areas, such as refugees, asylum seekers and migrants, youth, volunteering and first aid.
- 32. *European Union delegations* are found in most world capitals, and there is usually a European Union representative as well as an ECHO representative in countries with on-going relief operations. The EU delegations representing its interests are practically considered as embassies. It is most important that Federation delegations keep EU representatives informed of progress and the use made of EU donations, as well as providing information on Federation and National Society activities in general. Moreover, the Commission has initiated since 2000 a decentralisation process of its external aid. This process aims at devolving a greater degree of responsibility to delegations in third countries, including identification and selection of programmes.
- 33. The European Union has a development co-operation framework with 77 countries in the Africa, Caribbean and Pacific (ACP) regions. This framework was renegotiated and signed in 2000 and is now known under the name *Cotonou Partnership Agreement* (formerly the Lomé Convention). It is important to note that "civil society organisations", such as Red Cross / Red Crescent National Societies, have been given greater attention as major actors in both the formulation and implementation of national and regional development programmes. It is therefore recommended to contact EU delegations in order to be kept informed on and be involved in this process.

### **ECHO and the Framework Partnership Agreement**

34. The European Commission office dealing with emergency assistance, emergency food aid, emergency aid to refugees and displaced persons and disaster preparedness is called *ECHO-Humanitarian Aid Office*. ECHO's relationship with the Federation, EU National Red Cross Societies and other European and international organisations operating in the humanitarian field is based on the *Framework Partnership Agreement* (FPA). The Red Cross Societies of the European Union, the Federation and the ICRC were the first to sign the FPA in 1993. The FPA has three main parts: the *Preamble*, the *General Conditions* and *Working Documents*, a set of articles and forms establishing the rules governing all emergency aid operations financed by ECHO; and the *Operation Contract*, containing the details and terms specific to each operation (a separate operation contract is signed for each operation).

35. ECHO can finance the purchase of relief items such as blankets and tents, medical kits, medicines, relief parcels and food, the international and local transport of relief items, and distribution and storage costs. On the basis of a "maximum amount" system, ECHO will also contribute to the costs of expatriate personnel and local staff, vehicles used in an operation belonging to the Operating National Society or the Federation, and telecommunications equipment. As the FPA is being revised in 2001, this information should be checked as from 2002.



36. Obtaining ECHO funding for an emergency operation requires a detailed budget submitted on FPA forms. Modifications to the total budget can be made only *after* having formally requested it to ECHO Brussels *within* the time-frame of the operational contract and *having received* ECHO's approval. ECHO funded emergency relief operations must normally be completed within the contract period (maximum 6 months for emergency operations). Any extension for duly justified reasons should be requested *before* the end of the contract period. Constant contact with the ECHO representative is always strongly recommended.

**External Relations** 

Planning Programmes and Operations

The Participating National Society

**Funding of Operations** 

Food Donation Policy

Population Movements

# **United Nations Agencies**

#### **UN Role in Humanitarian Assistance**

- 37. The Federation has a long tradition of co-operation with different elements of the United Nations system. In 1994 it has obtained *Permanent Observer Status* at the UN General Assembly. This is an important achievement in enabling the Federation's voice to be heard in key debates on humanitarian issues. As a consequence of having achieved observer status, the Federation has been able to participate more effectively in the work of the United Nations, other international organisations, and related meetings
- 38. Recent developments in the humanitarian assistance field, and notably the growth of *complex emergencies* has seen increasing attention being paid to these emergencies within the forum of UN debates and an increased and expanded role for UN agencies in humanitarian assistance. Amongst the trends that have emerged from this process of debate within the UN General Assembly and associated bodies has been the tendency towards "an integrated approach" in which the political, military and humanitarian initiatives of the United Nations are increasingly inter-related.
- 39. This trend may make it increasingly difficult for the UN's humanitarian agencies to act, and be seen to act, in a purely humanitarian context. From the perspective of a government and people subjected, for example, to UN sanctions and/or UN military involvement, it may be difficult to recognise the action of the UN's humanitarian agencies as being purely humanitarian. This increasingly raises questions for the Federation and the Red Cross/Red Crescent Movement as a whole as to how and how far it should be associated with the United Nations in humanitarian actions. Clearly, on the one hand there remains real value in cooperation in the field, sharing of information and complementary planning. On the other hand, if the Red Cross/Red Crescent is to remain independent and able to act with all parties involved in a complex emergency, it increasingly needs to retain its independence of action and be seen to act independently.
- 40. The key to Federation's relations with the United Nations system is to be seen as a willingness to co-operate with the UN agencies, but with a reserve about being co-ordinated or even more directed by them. This has implications for delegations and their relations with the UN family in the field. In particular, any delegation negotiating specific operational arrangements or agreements with any UN agency in the field should consult the Secretariat early in the negotiations.

### **Specific Agencies**

- 41. The Federation often works with the following individual UN agencies: the United Nations Development Programme (UNDP), Office for the Coordination of Humanitarian Affairs (OCHA), Food and Agricultural Organisation (FAO), World Food Programme (WFP), World Health Organisation (WHO), and United Nations Children's Fund (UNICEF), United Nations High Commissioner for Refugees (UNHCR). Information on the humanitarian agencies of the UN can be found on the website <a href="http://www.un.org/ha">http://www.un.org/ha</a>
- 42. The *UNDP* Resident Representative is usually the highest UN official in a country, responsible for co-ordinating the activities of other UN agencies. Unless the UN has designated a humanitarian co-ordinator for an emergency, the UNDP Resident Representative will frequently acts on behalf of OCHA in disaster situations, co-ordinating inter-agency response and usually chairing inter-agency co-ordination meetings.
- 43. OCHA's mission is to mobilise and coordinate the collective efforts of the international community, in particular those of the UN system, to meet in a coherent and timely manner the needs of those exposed to human suffering and material destruction in disasters and emergencies. This involves reducing vulnerability, promoting solutions to root causes and facilitating the smooth transition from relief to rehabilitation and development. It has the mandate to coordinate UN assistance in humanitarian crises that go beyond the capacity and mandate of any single humanitarian agency. OCHA is established in New York and Geneva. In New York, OCHA develops policy, carries out advocacy, collects and disseminates information and liaises with policy makers. Geneva is the main focal point for coordination of response to natural disasters and environmental emergencies, for contingency planning and day-to-day support to the field in complex emergencies, and for the preparation of consolidated inter-agency appeals. Information on OCHA and the other humanitarian agencies of the United Nations can be found on the website <a href="http://www.un.org/ha">http://www.un.org/ha</a>
- 44. The *FAO* is often a valuable source of advice and information on crop assessments, notably during drought operations. The *WFP* assesses food needs in many disasters and mobilises governments' food aid. It is often prepared to hand responsibility for the distribution of the food it supplies over to the Operating National Society, the Federation or both (this requires the consent of the host government).
- 45. The Federation has worked closely with the *WHO* on policy for medicaments for disasters and in special health areas such as AIDS. Federation co-operation with *UNICEF* covers disasters and long-term health programmes.

#### **UNHCR**

- 46. Protection of refugees is the core mandate of UNHCR, although the agency has been increasingly involved in providing and delivering relief to refugees. It is often the lead agency and co-ordinating provider on behalf of other agencies.
- 47. The Federation has a long history of co-operation with UNHCR at both the field and Headquarters level. With the increasing importance of refugee situations it is important that this positive relationship is maintained. Particular care needs to be taken with regard to agreements between UNHCR and individual National Societies which often are attractive implementing partners for the UNHCR.

According to the Statement of Policy on the International Red Cross Aid to Refugees (24th International Conference, Manila, 1981), "it is the responsibility of each National Society to inform the Federation and/or ICRC of any negotiations likely to lead to a formal agreement between the Society and UNHCR. The Federation and/or ICRC should be associated with the Society in the negotiations and concur with the terms of agreement."



48. This practice is important partly because of the considerations outlined above about the tendency towards a perception of politicisation of UN actions, but also to ensure that any eventual agreements are realistic, both in terms of the resources required by the National Society to undertake the tasks, proposed by the UNHCR, and in terms of their ability to report on resources received. The 26th International Conference (Geneva, December 1995) invited the components of the Movement "to continue and promote operational cooperation with the United Nations, including in particular UNHCR, in a spirit of complementarity" and called upon National Societies to seek efficient cooperation with the UNHCR "recalling the provisions of Resolution XXI of the 24th International Conference concerning International Red Cross aid to refugees, and in particular the provision on agreements between National Societies and the UNHCR".

49. Delegations should alert the Secretariat at an early stage to any proposed agreements between the UNHCR and the delegation and/or the National Society in view of the changing context and sensitivity of relations.

### Co-ordination Mechanism within the UN Family

- 50. The United Nations has established an Inter-Agency Steering Committee (IASC) which under the chairmanship of the Department of Humanitarian Affairs is a forum bringing together the major UN agencies involved in emergencies for purposes of co-ordination. The Federation, the ICRC and International Organisation for Migration (IOM), have a standing invitation to the meetings of the IASC. In addition, representatives of the International Council of Voluntary Agencies (ICVA), the Steering Committee for Humanitarian Response (SCHR), and InterAction, an umbrella body for US-based NGOs, are normally invited to the meetings which take place in Geneva, New York or Rome.
- 51. Still at the Headquarters level, the IASC has a working group which is composed of the Deputies of the agencies involved in the IASC, does much of the preparatory work for the IASC meetings and has certain delegated authority to act. For specific emergencies, Inter-agency task forces are created to ensure co-ordination.
- 52. At the field level, the UN system normally establishes an *inter-agency meeting* process. The arrangements for determining the leadership in any specific emergency vary according to the nature of the emergency. In some cases one of the UN agencies, such as UNHCR, has the formal lead within the UN family, in other cases the lead is assured either by a specially appointed humanitarian co-ordinator or by the UNDP Resident Representative.
- 53. It is important that Heads of Delegation are aware of the operating and co-ordinating mechanisms within the UN system and participate in inter-agency meetings. This is not only a useful way of sharing information and analysis of the emergency situation, but also of establishing logical and complementary plans of action. At or near the outset of a new emergency one of the key concerns of the UN system is to establish its own emergency appeal. In some cases individual UN agencies still prepare their own appeals. Increasingly within complex emergencies the UN system seeks to establish a *consolidated appeal* covering the action of all members of the UN family.
- 54. The Federation (as well as the ICRC) has taken the position that, although it is prepared to share all the information about its own appeal with the UN system, it does not wish to have the UN system appealing on its behalf. The Federation will maintain the current process of making its own appeal. The Federation has, however, agreed that all consolidated appeals of the United Nations will have as an annex a separate statement summarising the Federation's plan of action of the appeal. This is advantageous as it enables donors to see the complete picture of different agencies' funding requirements.

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Closing a Delegation

Managing Programmes

Reporting to the Secretariat

Population Movements

Disaster Response System

Emergency Relief Appeals

Code of Conduct for Disaster Relief

Armed protection of Humanitarian Assistance

# Non-government Voluntary Agencies

- 55. The Federation often works in the field with other non-governmental voluntary agencies. These include: OXFAM, Save the Children Fund, Médecins Sans Frontières (MSF), Lutheran World Federation (LWF), Catholic Relief Services (CRS), and CARE (Co-operative for American Relief Everywhere). Where an Operating National Society is strong, one or more of these agencies may provide resources through the Red Cross and Red Crescent network, or they may complement the Movement's activities by focusing on special needs not covered by the Movement. The Federation also co-operates with a number of humanitarian NGOs working in relief and development through the Steering Committee for Humanitarian Response (SCHR).
- 56. As no agency can cover alone all the needs in a major complex emergency, there is always a sharing of roles between the different operational partners. To ensure smooth running of such operations there is almost always some form of co-ordination between the agencies involved. Usually regular meetings are held at national and field levels involving government Departments, UN agencies and other voluntary agencies. It is important that the Federation and preferably together with the Operating National

Society is represented at these meetings. They are good opportunities to explain Federation and National Society activities, to collect information about other-agency programmes, and to identify areas for co-operation.

External Relations

Opening a Delegation

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Code of Conduct for Disaster Relief

# **Legal Relationships**

### Agreements in the Field

- 57. An *agreement* as it is understood here is any document legally binding the Federation. The term agreement should be understood in a broad sense. Whether it is called a Memorandum of Understanding, a Letter of Understanding, Contract or by another name does not exempt delegations from requesting the necessary authorisation, if it contains obligations for the Federation.
- 58. In accordance with the Constitution, the Federation Secretary General is the only authority legally empowered to commit the Federation in agreements with third parties such as other organisations, states, commercial companies or private individuals. Federation Secretariat staff, including delegates, act on behalf and under the authority of the Secretary General.
- 59. It is clearly impossible for the Secretary General to approve and/or sign all agreements. Therefore, the Secretary General delegates this responsibility to Federation staff through the *system of authorisations*. This system applies only to routine expenditures, the purchase of relief supplies and services, procurement of capital items, and contracting out of services generating recurring costs within specified time and financial limits (see in this regard the authorisation levels set out in this Handbook and in the Secretariat Procedures Manual in the Logistics and Finance sections). The authority to negotiate other agreements in the field is given by the Programme Co-ordination Division. In preparing such agreements, delegates are strongly recommended to seek advice from specialised Secretariat departments, including Governance Support and Legal Department, who may also be able to provide model agreements or samples of actual agreements. Such agreements may include general co-operation agreements with other institutions, service agreements with National Societies, or other major non-routine procurement or service contracts, including construction contracts. It should also be kept in mind that general co-operation agreements with other international institutions, including ICRC, must be ratified by the General Assembly before they are in force.

### **Delegation's Legal Status**

- 60. The delegations are legally one and the same entity with the Federation and do not have a separate legal status of their own. However, the Federation is an international humanitarian organisation whose legal status has not been explicitly and universally defined. Through the Constitution and the Statutes of the Movement, States and National Societies have recognised the Federation's corporate character and legal personality. On the other hand, the Federation is not an international intergovernmental organisation (it was not established by States and its activities are not governed by a specific international treaty. Nor is the Federation a private non-governmental organisation (it has received its mandate from States, consists of world-wide quasi-public members, and its "sui generis" legal status has been acknowledged by the United Nations General Assembly).
- 61. Therefore, the Federation holds that it is neither an intergovernmental nor a non-governmental organisation, but something in between with a unique "sui generis" legal status, which should be treated similarly to an intergovernmental organisation. The reasons for our claim are the following:
  - First, by adopting the Statutes of the Movement at the International Conference of the Red Cross and Red Crescent, States endowed the Federation with international functions and the capacity to undertake them;
  - Second, the Federation's members, National Societies, received a mandate from international law (through the Geneva Conventions and the Statutes of the Movement promulgated by the International Conference) to act as auxiliaries to the public authorities in the humanitarian field, and must be recognised by their governments as such;
  - Third, the United Nations granted the Federation Permanent Observer status in the General Assembly, a status reserved for non-UN member States, intergovernmental organisations and liberation movements.

As a result, the Federation can validly argue that it has international legal personality, or the capacity to possess rights and obligations under international law. Possessing international legal personality does not change the internal organisation of the Federation but rather provides immunities and privileges to facilitate and protect the Federation's activities.

62. As stated above, since the Federation fulfils an international role similar to those of many intergovernmental organisations, we seek legal status similar to that granted to intergovernmental organisations as defined by the 1947 Convention on the Privileges and Immunities of the United Nations Specialised Agencies. However, the term "diplomatic status" does not apply and is not to be used in any context related to the Federation or its delegates. The Federation is not in the service of nor does it represent any government. In any case, contrary to the treatment of diplomats, the status accorded by one country does not automatically apply to another.

- 63. The Federation Secretariat, located in Geneva, has concluded a Headquarters agreement with the Swiss government. Therefore, the Federation has a legal personality in Switzerland and, to a large extent, is treated similarly in a similar way to the intergovernmental agencies also based in this country. *The Federation's legal status as an international organisation in other countries must be recognised by each State individually*. Usually this is achieved through an agreement between the government and the Federation, defining the legal status of the Federation and its delegation in the country. Such an agreement is called *Legal Status Agreement*. A number of such agreements are already in place, particularly in countries where there are regional delegations. As of 30 June 2001, approximately 49 legal status agreements were in force, with several others under negotiation.
- 64. Legal status agreements not only confirm the Federation's legal status but also confer on delegations certain rights that simplify administrative formalities, facilitate access to public authorities, and thus allow the Federation to intervene more quickly and effectively during emergency situations. These rights include functional immunity for the Federation and its staff, freedom of action, privileged use of the red cross and red crescent emblem, tax exemption, favourable foreign currency exchange, vehicle registration, travel facilities, and waiver of immigration requirements for delegates, their families and other Federation representatives. Without this legal status, the delegation may have no legal right to sign contracts on behalf of the Federation, employ local staff, open bank accounts, or enter into any other kind of legal relationship in the host country. These rights and immunities, which reflect recognition of the Federation's international legal personality, are necessary to preserve the Federation's independence and avoid politicisation.
- 65. Legal status agreements also provide operational and strategic advantages to National Societies. Savings derived from the Federation's tax exempt status increase resources available for National Society operations. Moreover, legal status agreements officially reaffirm the Federation's constitutional obligation to act through National Societies in each country. They further raise the profile of the National Society in the host country and facilitate its access to local authorities. National Societies should me made to understand that such agreements neither modify the relationship between the Federation and the National Society nor establish obligations for National Societies. As the support of the National Society is indispensable to the successful conclusion of a legal status agreement, delegates should regularly meet with National Society officials to keep them informed of the progress in the negotiations and to show that negotiations are conducted with the co-operation of the National Society.
- 66. Absent recognition of the Federation legal status, the National Society of the country concerned may take responsibility for all Federation activities having legal implications. This involves delegates being accredited to the National Society with the latter taking legal responsibility for everything the delegates and the local staff assigned to the Federation undertake. Such an arrangement has to be very clearly defined and agreed by the Federation and the National Society. The National Society may prefer simply to support the Federation in establishing its special legal status in the country, leaving the Federation legally responsible for all its activities. This will not affect the Federation's Constitutional obligation to act through or in agreement with the National Society, whose support is often indispensable for the delegation's work.
- 67. As soon as a delegation becomes operational in a country in which the legal status of the Federation is not clear, the Head of Delegation should obtain a briefing on legal status agreements from the Governance Support and Legal Department. Then the Head of Delegation subject to a decision of the Director, Programme Co-ordination should seek advice from the host National Society and government officials (usually from the Ministry of Foreign Affairs), about the possibility of concluding a Legal Status Agreement with the government, without, however, making formal commitment. The Head of Delegation should always seek the National Society's assistance in identifying contacts with the government.
- 68. Based on the feedback from the Head of Delegation and on a recommendation from the Director, Programme Co-ordination, the Secretary General may decide to send a letter to the Ministry of Foreign Affairs to formally initiate negotiations with the government.
- 69. The Head of Delegation may consider introducing into the discussion with his/her interlocutor the *Model Agreement*, based on the 1947 Convention and available from the Secretariat Governance Support and Legal Department, as well as providing information on other status agreements actually in force. If the government wishes to see copies of these agreements, the Head of Delegation ought to consult with the regional department and the Governance Support and Legal Department.
- 70. The Head of Delegation should regularly report to the respective regional department and to the Governance Support and Legal Department on these discussions, expressing his/her own comments or suggestions as well as those of his/her interlocutor on the sample agreement, and on country-specific aspects not covered by the sample agreement for example, special tax exemptions, import restrictions, visa requirements etc. Other factors for consideration will include the procedure to be followed (whether the negotiations are to be conducted directly with the government or through the country's Permanent Mission in Geneva), whether the Agreement will need to be ratified by the Parliament, whether possible temporary status pending conclusion of negotiations is needed and possible, and how long it will take before any signed Agreement is put into effect. A local lawyer may prove invaluable on dealing with these issues. The National Society should be kept fully informed on the progress of negotiations. Governance Support and Legal Department must approve all the drafts and amendments officially submitted to and agreed with the government concerned.
- 71. Based on the recommendations of the Head of Delegation and the Head of regional department, and after approval from the Governance Support and Legal Department, the Federation's Director, Programme Co-ordination, will *approve* the final version of the text negotiated with the government. The Federation Secretary General or someone authorised in writing by the Secretary General will then sign the Agreement. The written authorisation should be communicated to the Ministry of Foreign Affairs of the country concerned.

72. All delegates need to know their rights and duties established under the Agreement. Each delegate should be given a copy of the status agreement by the Head of Delegation immediately upon arrival in the country of assignment. As certain status agreements can also apply in the countries of transit, delegates should consult their regional department before departure.

Any significant violation of the status agreement by a delegate is considered as gross misconduct and may lead to the immediate dismissal or repatriation of the delegate concerned.

- 73. The delegates should ask the Head of Delegation for advice, and the latter may consult the Governance Support and Legal Department, if in doubt on how to interpret or apply an Agreement. The Heads of delegations should also keep the Secretariat regularly informed on the successes, failures or problems in implementation of the status agreement.
- 74. When closing a delegation, delegates should confirm preferably in writing with the authorities (usually the Ministry of Foreign Affairs) that the agreement will not be terminated and that certain articles of the agreement concerning the status and capacity of the Federation to operate in the country shall remain in effect. Should a delegation be reopened, it would then immediately enjoy the status as per the status agreement. Governance Support and Legal Department should be consulted on this issue.
- 75. Depending on the host government, National Societies operating bilaterally in the country may be able to take advantage of certain privileges and immunities granted to the Federation. Before extending any such coverage, however, an agreement between the relevant National Society and the Federation must be concluded to define the conditions and the extent of liabilities. A model agreement is available from the Governance Support and Legal Department, and this department must be consulted before and during any such negotiations.

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Responsibilities and Agreements in Relief Operations

Supply Management

# Field Personnel



# Chapter VIII - The Delegates

**Delegate's Role** 

**Recruitment of Delegates** 

**Personal Insurance for Delegates** 

**Delegate Induction** 

**Job Description and Mission Instructions** 

**Performance Management and Evaluation** 

**Delegate's Final Report** 

**Debriefing** 

**Delegate Health** 

**Medical Evacuation/Repatriation** 

**Managing Stress** 

# Delegate's Role

### Delegate's Role

Depending on the specific conditions of a particular mission and the scope of his or her responsibilities, Federation delegates may have very different roles as identified in the delegate's Job Description and Mission Instructions.

However, in implementing the specific tasks of his/her mission, every delegate should always:

- Support and assist the Operating National Society in assessing the humanitarian needs and in planning, implementing, monitoring and evaluating relief actions, disaster preparedness, organisational development and service programmes.
- Co-ordinate multilateral and bilateral Red Cross and Red Crescent assistance.
- Keep the Federation Secretariat informed about the progress of the work striving to improve its understanding of the needs and concerns of the Operating National Society (ONS) and of relevant local issues in general.
- Support the ONS in their participation in the policy-making processes of the Federation and in implementing General Assembly decisions.
- Represent the Federation in the field in its relations with the ICRC, UN agencies, NGOs, diplomatic missions, and the
  media, and to encourage and support the ONS in establishing as appropriate a co-ordinating role with these and other
  groups.

**Delegation Relations** 

Job Description and Mission Instructions

# **Recruitment of Delegates**

- 1. Delegates for operations in which the Federation is involved are recruited by the National Societies and the Federation Secretariat. The recruitment process in the Secretariat is coordinated by the Organisation and Staffing Unit (OS), formerly called the Field Personnel Service (FPS).
- 2. The need for a delegate may be identified by the Federation delegation in the field and/or the Operating National Society

(ONS), or directly by the Secretariat. When a delegate is needed, the delegation and/or the ONS makes a request to OS via Regional Department.

- 3. Each time a position will have to be filled the Head of Delegation will send to OS the duly completed *Request for delegates* form. National Societies will refer to the standardised Job Descriptions they will have received from the Secretariat to identify the delegate's main duties as well as the required experience and skills.
- 4. A list of open positions is sent out by OS to the National Societies and delegations twice a month. Communication with National Societies on recruitment is carried out by OS.
- 5. Interested National Societies will formally propose suitable candidates to OS. A recommendation to the Regional Department on the most suitable candidate is made by OS once the candidate's qualifications have been checked against the Job Description and the Request for delegates in consultation with the relevant technical service. On the basis of the OS recommendation the Head of Regional Department decides which candidate is proposed for final approval to the Operating National Society and/or the delegation. The Director, Programme Coordination, approves Heads of Country delegation appointments, and the Secretary General approves all Heads of Regional delegation appointments.
- 6. For formal *acceptance* of a candidate, a written confirmation is to be received by the Regional Department from the Operating National Society and/or the delegation.
- 7. The maximum *length of mission* for a delegate in the same country of assignment is limited to four years. Any exception to this rule will need the approval of Director, Programme Coordination.

National Society Operational Roles

Federation Delegations

Job Description and Mission Instructions

**Delegate Health** 

# **Personal Insurance for Delegates**

### Personal Insurance for Delegates

No delegate is allowed to commence his/her mission, before he/she undergoes a thorough medical check-up in order to receive a medical clearance that he/she is physically and psychologically fit to go on mission. The contracting National Societies must furthermore ensure that their delegates have personal insurance coverage for:

- Sickness
- Accident
- Plane Risk
- War Risk (applicable in countries with security risks)
- Luggage/personal effects (up to a limited amount and excluding valuable items)
- Medical Repatriation/Evacuation.

Prior to the mission the National Societies should brief their delegates on the terms and conditions of their personal insurance coverage, providing them with the respective information (including the contact address and telephone number of the insurance company) in writing. This information has to be shared with the Organisation and Staffing Unit and the Head of Delegation, who will keep updated records, for easy accessibility in case of urgent medical evacuation.

Delegates contracted directly by the Federation are insured by the Secretariat. If the contracting National Society cannot arrange satisfactory insurance coverage, it may request such coverage to be arranged by the Federation with the costs to be reimbursed to the Federation by the respective National Society.

Recruitment of Delegates

Delegate Induction

Delegate Health

Medical Evacuation/Repatriation

Regulations for Field Personnel

- 8. "Delegate Induction" includes: welcome, introduction and briefing in-country for Incoming Delegates
- 9. The International Federation recognises that a good induction process in the delegation is well worth the investment an important condition for the delegate to feel valued from the outset, to be clear about mutual expectations and to be in a position to make a positive contribution to the operation.
- 10. The Induction should be completed at the very latest 3 weeks after the delegate's arrival in the delegation.
- 11. The delegate should ensure in particular that he/she is satisfied at the minimum with the following aspects of his/her briefing:
  - Overview of operations + mission objectives how the delegate's job description and mission instructions fit into operation and delegation structure, how they reflect the actual work to be done and the way in which it is to be carried out.
  - Early introduction to main partners the delegate will have regular working contact with during the mission (especially National Society, ICRC, bilaterals, UN agencies, NGOs).
  - Security matters verbal briefing with the most up-to-date information on security in the Country of Assignment (CoA) and in particular place of assignment within the CoA, written security regulations, familiarity with the security evacuation plan.
  - Health written information with contact telephone numbers and addresses of a reliable known doctor, dentist (if possible), referral hospital, ambulance service (if it exists), outline of the main health problems in the region and special preventive measures to be taken. Delegates must make sure they are aware of and understand the delegation's medical evacuation plan and that they have given their Administrative Summary Form to their Head of Delegation.
  - Administrative matters local administrative matters including delegation regulations on such things as housing, use of vehicles, local leave, etc.
- 12. All delegates on their first mission, and all Heads of Delegation and Federation representatives, must come to Geneva for briefing. Other delegates may be briefed in Geneva on the instruction of the Regional Head, but will otherwise brief in the field without passing through Geneva. Delegates on Federation contract, Finance and Telecom delegates will also brief in Geneva until further notice.
- 13. At the end of their briefing, delegates should:
  - Fill in the Briefing Questionnaire (pertaining to the quality of the briefing received at the Secretariat) given to them by the Recruitment and Human Resources Planning Service (see Briefing Questionnaire format),
  - Return the Briefing Questionnaire to the Recruitment and Human Resources Planning Service before s/he leaves the Secretariat.

### Combined responsibilities in the briefing process

- 14. The *Participating National Society* (or the Secretariat for delegates under Federation Contract) will brief the delegate on:
  - The structure of the Movement and the Fundamental Principles. All new delegates should have attended a Basic Training Course. If not it may be possible to arrange for attendance at a course through consultation with Training and Development Unit. If this is not possible, more detailed information as per the course syllabus should be provided.
  - Background information on the country of assignment and information on living conditions, security issues, appropriate dress, availability of personal items, etc.
  - The programme or project description, or other relevant background information.
  - The Job Description as received from the Federation.
  - Personal health issues. The Participating National Society should check with the Federation on the need for specific vaccinations or treatment to prevent disease, and should ensure that the appropriate medical examinations are carried out. The National Society should ensure that the delegate is briefed on all aspects of psychological support that his/her National Society can provide him/her with, as well as on stress management.
  - The delegate Contract. The Contract covers important details such as salary; insurance and how to make claims; holidays; travel and baggage allowances. The Federation's Rules of Conduct and Regulations for Field Personnel should also be introduced at this stage and the Rules of Conduct as part of the delegate's Contract must be signed by the delegate.
- 15. The *Federation Secretariat* is responsible for briefing delegates on:
  - Additional country information, particularly on how present conditions may affect the assignment. Copies of recent Situation reports and other delegates' Final Reports may be used.
  - Details of the programme or project.
  - Mission Instructions. Supplementing the Job Description, the Mission Instructions describe the delegate's role and responsibilities in the context of the particular operation.
  - Technical information. Where appropriate a Secretariat technical department/service will meet specialised information needs.
  - Special training. Short intensive training (up to a few days) may be organised where necessary in specific fields such as finance, computer, telecommunications etc.
  - Press relations. Briefing where appropriate on media relations and giving information feedback to the Secretariat.
  - Personal health. All delegates to be briefed to ensure a clear understanding of personal health considerations in the field. Whenever necessary, Employment Relations will arrange for a psychological briefing including stress management.
  - Federation administrative matters. A review of personnel matters related to the assignment, including per diem, Regulations

- for Field Personnel and the Rules of Conduct.
- For delegates who do not go to the Federation Secretariat in Geneva for briefing, the regional office or country delegation will brief them on the above.
- 16. The *delegation* and/or *Operating National Society* will brief the delegate on:
  - The structure of the delegation and the Operating National Society.
  - The main programmes and activities of the Operating National Society.
  - The current status of the operation or programme the delegate has come to work on.
  - Introduction to Red Cross and non-Red Cross contacts: e.g. ICRC delegation, government officials, UN, NGOs personnel etc.
  - Local administrative matters, including delegation regulations on things such as housing, use of vehicles, local leave, etc.
  - Security situation and Security Regulations.
  - For health and medical delegates the national health system and traditional medicine
- 17. For further information on the scope of the in-country briefing, please refer to the guidelines on briefing held in all delegations.
- 18. Delegates may wish to use the following checklist to ensure they are satisfied with the content and quality of their briefing.

### **Delegate induction**

Welcome, introduction and briefing - programme for new delegates

Topic	Suggested Checklist	Person in charge
WELCOME	<ul> <li>Welcome delegate upon arrival in-country</li> <li>Presentation of written programme followed by introduction around the delegation office or to the team as a whole</li> </ul>	
THE NATIONAL SOCIETY	Society and to the National Society counterpart	Designated staff membe of National Society and HoD
OVERVIEW OF THE OPERATION/PROGRAMME  and THE ROLE OF THE DELEGATE	<ul> <li>A political, economic and social profile of the country/region</li> <li>Overview of the operation and mission objectives, with special focus on the current status of the operation or programme the delegate has come to work on</li> <li>Clarification and discussion of the job description/work plan</li> <li>Delegation structure and organisation chart. Clarification of reporting lines as per the mission instructions (reporting to the supervisor/HoD and liaison with the NS and the media). Functions/roles of other team members and working relationship with them</li> <li>Explanation of the role of the Federation, the National Society, the ICRC, bilateral delegates, NGOs and any other partners</li> <li>Early introduction to main non-Federation/NS partners with whom the delegate will have regular working contact during the mission</li> </ul>	
SECURITY*  *The verbal briefing must be backed up with a written document.	<ul> <li>Presentation of the most up-to-date country-specific (and, if applicable, place-of-assignment-specific) information on the security situation including any curfew arrangements in place</li> <li>Comprehensive explanation of the delegation-specific rules and regulations, evacuation plan, precautions to take</li> <li>Handing over of list of contact persons (addresses, phone) + map</li> </ul>	

*The verbal briefing must be backed up with a written document.	<ul> <li>Written information with contact telephone numbers and addresses of: pharmacies, a reliable known doctor; if possible a dentist; a referral hospital; and ambulance service if it exists</li> <li>Information about the main health problems in the country/region and specific preventive measures to be taken</li> <li>Explanation of the delegation's medical evacuation plan</li> <li>Stress identification and management (as applicable)</li> <li>Basic medical kit for Federation-contracted delegates</li> </ul>	
PERSONNEL and ADMINISTRATIVE MATTERS	<ul> <li>Performance evaluation process and use of the disciplinary and grievance procedures</li> <li>Delegation regulations incl: accommodation, use of vehicles, local leave, family visits/families on delegations (if applicable), local laws on use of Internet and e-mail, modality of payment of subsistence allowance, reimbursement to the delegation of private calls, currency exchange laws etc.</li> <li>List of addresses/phone numbers of all the delegates</li> </ul>	
WRAP-UP SESSION	<ul> <li>Summary of the integration programme</li> <li>Question and answer session</li> <li>Setting of date for informal interim appraisal session</li> </ul>	

The Movement

National Society Operational Roles

Managing the Delegation

Job Description and Mission Instructions

Delegate Health

**Managing Stress** 

Rules of Conduct for Personnel

Regulations for Field Personnel

Security Regulations

# **Job Description and Mission Instructions**

- 19. Before setting out for the field, all Federation delegates should receive their Job Description and Mission Instructions. The two documents taken together give a full picture of the delegate's role and responsibilities. They also establish reporting procedures, chain of command and relations with the National Societies and media.
  - The *Job Description* is an outline of the content of the duties and responsibilities of the position, and the experience and expertise required to carry out the delegate's assignment. A copy of the Job Description is attached to the Mission Instructions
  - The *Mission Instructions*, drawn up by the respective Regional Department are designed to clarify the relationships between the delegate, the contracting National Society, the Federation, other Federation delegates and the Operating National Society. The Mission Instructions are signed by the Head of Regional Department concerned, and are issued and explained to the delegate during the delegate's briefing at the Secretariat.
- 20. On arrival at the delegation, the delegate will present the Mission Instructions to the Head of Delegation and the Operating National Society. The Head of Delegation is to make sure all delegates have both documents and that they are consistent with the delegate's actual assignment and delegation organisation. If they are not, the Regional Department is to be advised to take corrective action.
- 21. The delegate's Mission Instructions and Job Description should be updated during the mission by the Regional Department and the Head of Delegation whenever there are important changes in the delegate's tasks or responsibilities.

National Society Operational Roles

Responsibilities and Reporting Lines

Delegate's Role

Recruitment of Delegates

**Delegate Induction** 

Performance Management and Evaluation

Debriefing

Delegate's Final Report

# **Performance Management and Evaluation**

### Leadership 2010

- 22. Leadership 2010, the new integrated HR strategy, is about maximising the potential of Secretariat (includes Delegations) staff in achieving Secretariat goals. Leadership 2010 is about focusing the contributions of Secretariat staff on the core business in support of Strategy 2010. It is an integrated framework of human resource systems and behaviours that underpin the Secretariat's goals and which ensures focus on delivering against business results.
- 23. The underlying Keys to Success of Leadership 2010 are:
  - People with clear expectations about what they must achieve (objectives) and how they will achieve it (shared values and competencies)
  - Business focus that is directed by Strategy 2010 and which shapes the priorities of the Secretariat
  - Performance and results orientation, being effective and efficient with scarce resources
  - Knowledge sharing as a way of working and as a recognised added-value service to our National Society clients
  - Day to day performance management that is consistent and persistent so that we achieve results in an effective manner
  - **Performance development** focused on helping people to improve existing skills and acquire new ones to be more effective in their jobs

### **Performance Development and Review**

- 24. The Performance Development and Review (PDR) process is part of Leadership 2010 and is about focusing the contributions of Secretariat staff (including delegates) on the core business and Secretariat priorities.
- 25. The *Objectives* of the Performance Development & Review Process are to:
  - focus individual and team efforts against key Secretariat priorities in support of Strategy 2010
  - ensure that high performing individuals are identified for highest impact positions
  - help each individual to identify personal development needs and build tailored development plans, working to realise their maximum performance potential
  - align personal behaviour and skills with desired organisationnal culture, as defined by the values and competencies (including personal "ownership" of self-development and line manager accountability for people and organisational building)
  - be the foundation for an integrated global HR strategy, influencing the quality of the Federation's recruitment, trainig, career
    planning and compensation development, and providing a fact-based information base for steadily building the quality and
    diversity of its talent pool.
- 26. The appraisal process insures that we focus on delivery against business results (objectives), and in alignment with the Secretariat culture as described in the shared values and competencies. We measure ourselves and our people against *what* we deliver (*objectives*) and *how* we deliver it (*values and competencies*).
- 27. The purpose of the PDR programme is to establish a *partnership* between the staff member and his/her manager allowing them to jointly determine the staff member's performance objectives, review and agree on achievements and formulate development plans to further strengthen the staff member's contributions to the business.
- 28. The Performance Development and Review process should be *continuous* throughout the delegate's mission. A continuing dialogue on the delegate's performance and general conduct should be carried on between the delegate and his/her line manager throughout the mission. Six-monthly *informal but compulsory* evaluations (Midyear Update) should take place. This is the occasion for the delegate and his/her line manager to review achievements to date and verify that progress is on track. It allows the delegate and his/her manager to identify any potential problems (either in performance or in necessary resources) that may derail

the delegate's progress or development, or prevent him/her from achieving his/her objectives. It is an opportunity to ensure that the delegate is on track, that the development initiatives are underway and that he/she getting the support or coaching he/she might need to succeed in the mission. The *formal* evaluation should take place once a year in each year of service in the same country of assignment, as well as every time there is a change of line manager. Interim evaluations are only required for an extension of 6 months or more, and would replace the annual performance evaluation, on condition that every delegate must receive a performance evaluation every 12 months. If the delegate's mission ends shortly after the annual performance evaluation the MidYear Update form can be used for the end of mission evaluation.

- 29. The performance evaluation is an important document that can effect not only the delegate's future, but also the Federation's reputation, if not made out correctly or accurately.
- 30. The performance appraisal process involves people at different levels. Following the **Performance Development and Review Guidelines** and using the **Performance Development Review forms**, the delegate and his/her line manager both evaluate the performance and determine development opportunities. Two or three people, "dialogue partners", who have worked with the delegate in a substantial part of their work during the year, contribute specific feedback about the person's behaviour and ability to get results with particular reference to shared values and competencies. This feedback is taken into account during the performance appraisal discussion. The Next Level Manager formally approves the completed Annual Performance Review and Development discussion.
- 31. Delegates should review their progress with their line manager regularly to ensure that they are constantly delivering, constantly learning. Note that a minimum of one informal mid-year review is mandatory to ensure progress against the delegate's Personal Objectives.
- 32. Managers have *a right and a duty* to manage the performance of and develop their staff. These management competencies, amongst others, will be evaluated in their performance appraisal. The other management competencies include Leadership and Strategic Vision and Organisation Building.
- 33. In support of this, performance management and evaluation will be emphasised in the briefing and training of delegates and staff
- 34. The Head of Delegation is responsible for managing delegates' performance and development. Where the Head of Delegation is not the delegate's line manager, this people management responsibility lies with the delegate's line manager in consultation with the Head of Delegation. For Heads of Delegation, Federation Representatives or delegates in a one-person delegation the responsibility lies with the Regional Department.

### Day to day performance management

Any good employee management relationship involves consistent attention to the day to day activities of basic people management. These include communicating about such things as priorities, deadlines, progress against objectives, the way you have approached or done a specific piece of work, the manner in which you related to colleagues and others so that you achieved the result in an effective and efficient way.

### Performance Development

The underlying philosophy of performance management is that of developing people to improve their existing skills and to providing opportunities and helping them to acquire new ones. In this way people can be more effective in their jobs, they can achieve good results more often, they can enhance their own career potential, and performance development contributes to strengthening the organisation itself. Read below in Personal Development Plans to learn more about how this works.

### Personal Objectives

Personal Objectives are agreed and aligned with Secretariat priorities. The delegate's Personal Objectives state clearly what is expected of them in terms of deliverables. Secretariat staff members' (including delegates) objectives cascade down from the Programme Coordination Division and/or one or more of the other Divisions and in turn from the Secretary General's objectives which reflect the Secretariat's priorities.

### Performance Standards

Shared Values and Competencies clearly define the working culture that the Secretariat is driving towards. They define how Secretariat staff will be expected to perform.

### Work and Development plans

These are the maps that guide Secretariat staff's work and their efforts throughout a given period. The development plan helps them develop in their competency profile. It helps them in their personal growth and contributes to the building of the organisation.

#### Personal Development Plans and Career Planning

Continuous personal development is essential in high performing organisations. Individual development contributes to organisation building. Personal development will be needs driven. Training only makes sense if there is clear link to the business and personal needs as well as to the individual's motivation to learn and improve. An important and essential part of the Performance Development & Review process is to identify skills or knowledge gaps which would improve the staff member's personal performance and contribute to their long term career

development. The needs will be measured against skills and knowledge required: to succeed in the current job, to achieve annual agreed objectives, to perform in line with shared values and competencies, for growth towards future career challenges and opportunities. Training and or development to complement these needs will be jointly determined and based on an agreed Development Contract.

- 35. The Performance Development and Review process should be continuous throughout the delegate's mission.
- 36. Delegates who have reached the end of their mission should have a finalised end of mission performance appraisal before their departure from the field. However, in the exceptional case that this is not possible, the evaluation must under all circumstances be completed within one month of the end of mission. Completed evaluation forms are held only by the delegate and Oganisation and Staffing, and are copied by OS to the delegate's National Society.
- 37. The line manager who rates a delegate's overall performance as a D or an E on the Performance Grid in the end of mission performance appraisal must specify if they recommend the delegate for another mission, do not recommend, or recommend with certain reservations. However, unless the official Disciplinary Procedures have been followed during the delegate's mission, Organisation and Staffing will not accept a "not recommended" evaluation. The Disciplinary Procedures should not be used in cases where a delegate has been placed in a position for which he/she did not have the skills required.
- 38. A delegate who is dismissed for gross misconduct may not have been subject to all the disciplinary procedures before the critical incident took place, but must still receive a "not recommended" evaluation. Any delegate who's mission is terminated for gross misconduct must be recalled to Geneva within 24 hours of the decision being taken.
- 39. All references (including certificates and "attestation de travail") concerning delegates must be signed by the Head, Organisation and Staffing in Geneva.

### **Secretariat Shared Values and Competencies**

#### A. SHARED VALUES

- A1. RC/RC Principles
- A2. Diversity
- A3. Professional Integrity

### **B. CORE COMPETENCIES**

#### **B1. Results orientation**

- Proactive/innovative
- Solution & results-focused
- Decisive
- Accountable

### **B2.** Teamwork: working with others

- Team orientation / cross functional
- · Knowledge sharing
- Communication

#### **B3.** Technical Mastery

#### C. MANAGEMENT COMPETENCIES

### C1. Leadership /Strategic vision

- Inspires and Motivates
- Forms vision / sets direction

#### C2. Management and Organisation Building

- Performance management
- People development
- Organisation building

Performance Development and Review Guidelines

What It's About

40. The Performance Development Review (PDR) mechanism is part of the integrated HR Strategy, Leadership 2010. Our

objective is to maximise the potential of Secretariat (including delegations) staff and focus ourselves on achieving Federation and Secretariat goals.

41. These guidelines are for all staff to understand the purpose and process of the Performance Development Review (PDR) programme, and to help supervisors to complete a successful and constructive appraisal for their staff members.

#### Using the PDR Programme requires you to

- Clearly understand the business needs/strategic direction of the Secretariat overall, your unit/function and your own job to determine your Personal Objectives.
- Be crystal clear about the Secretariat Shared Values and Competencies.
- Understand how the Performance Development Review Programme works and what your own and your Manager's responsibilities are.
- Take ownership of your performance and development.

#### **Purpose**

- 42. The purpose of the Secretariat Performance Development Review Programme is to establish a partnership between you and your Manager allowing you to jointly determine your performance objectives, review and agree on achievements and formulate development plans to further strengthen your contributions to the business.
- 43. The underlying **Keys to Success** of Leadership 2010 are:
  - Performance culture based on personal objectives agreed and aligned with Secretariat priorities
  - A common interpretation and understanding of the shared values and competencies
  - Regular talent review by senior management
  - Compensation and rewards progress linked to performance
  - Personal development plans and career planning
  - Training needs identified through performance appraisal and based on an agreed development contract
  - High quality competency based recruitment

#### How the Performance Appraisal process works:

- a) Together with your manager, agree on your Personal Objectives that you commit to deliver against. Your targets must be SMART (i.e., specific, measurable, ambitious/achievable, realistic, time bound), fit in with your job profile and support the needs/strategic direction of our business and your unit/function.
- b) Remind yourself of the Secretariat Shared Values and Competencies to ensure that you are clear on our performance standards.
- c) You and your manager reflect separately on your performance and development opportunities.
- d) You and your manager agree on 2 to 3 people who can add additional comments and perspective from their position as colleague, co-worker on a project etc. [1]
- e) Your Manager discusses the intended evaluation and overall performance rating with the Next Level Manager to ensure calibration and alignment within the division.
- f) Draft up your self-appraisal, then meet with your manager to discuss what you have prepared. Based on your discussion, together finalise your write-up using the forms included, and map out a specific, time-bound development plan.
- g) The Next Level Manager formally approves the completed Annual Performance Development Review discussion.
- h) Review your progress with your Manager regularly to ensure you are constantly delivering, constantly learning. Note that a minimum of one formal midyear review<sup>[2]</sup> is mandatory to ensure progress against your personal objectives.

#### Step by step explanation

### 1) Personal Objectives Form

Setting clear objectives ensures we focus on delivering an agreed set of results - the WHAT of our performance

These you will have completed in consultation with your manager. They define the objectives you have agreed to achieve during the defined time frame.

You need to ensure with your manager that the objectives are SMART. That is:

 $\mathbf{S}$  specific

M measurable

A ambitious yet achievable

R realistic

T time bound

#### 2) The Secretariat Shared Values and Competencies

These describe the **HOW** of your performance.

- The Shared Values and Core Competencies are common to all staff. In addition managers will be appraised against Management Competencies
- Ensure that you understand these Values and Competencies [3]

#### 3) Preparation

• You and your manager reflect separately on these

#### 4) Dialogue input (Partners)

- In order to get a complete perspective of your performance and contribution, the Performance Development Review (PDR) takes into consideration input from people who work closely with you throughout the year.
- These people can be people who have worked closely with you on a project, another manager who has expected service or results from you or someone who has worked for you.
- You and you manager together agree on the 2 or 3 people who will provide the input and your manager will use the "Dialogue" form to record their comments.
- In addition your manager will seek input from the dotted line manager where appropriate.

#### 5) Divisional Alignment (for Geneva staff)

• Your manager discusses the intended evaluation with your next level manager to ensure alignment within the division.

### 6) The Annual Performance Development Review form

- You and your manager complete the Appraisal Development Review form independently
- Your manager will have discussed in advance his/her overall assessment of your performance with the next level manager to
  ensure broad alignment
- During the appraisal interview you discuss your **self assessment** and the **manager's assessment** of your performance concluding an agreed rating **which will be finalised in writing.**

### 6i) The Five Scale Descriptors

The behaviour of each of the Shared Values and Competencies is described and presented as a 5 scale descriptor

The Scales are:

### 1 Does not meet /partially meets expectations

2c Adequate Meets (new to the job)

2b Meets (competent with development opportunity

2a Solid Meets (real strength in the job)

3 Exceeds Expectations (beyond the level required for the job)

#### 6ii) Ratings and Comments

- Rate yourself for each Value and Competency against the scales .
- Provide validation and comments for each rating in the space provided and using the CAR model.

Context: The situation; Where did it happen, What was the scope, Who was involved, What was the objective?

Action: The behaviour; What was said, answered, done by the person.

Results: The achievement; What was the outcome, the consequences, the feedback, the improvement

#### 6iii) The Performance Grid

Your overall performance will be recorded against a two axis grid:

The **vertical grid** records your achievement on your personal objectives. on a scale of:

- 1 Missed/Partially met
- 2 Met
- 3 Exceeded

The horizontal grid records your performance in the Shared Values and Competencies

- 1 Does not /only partially meets
- 2c Adequate meets (typical for someone new to job)
- 2b Meets expectations (experienced in the job)
- 2a Solid meets (real strength in the job)
- 3 Exceeds (beyond the level required for the job)

These ratings are then translated on the grid as a letter score. You will find detailed explanations of each of the letters further down.

Note that a "C" rating is a solid level of performance and will typically apply to the majority of individuals in a group.

Your **overall rating** will then contribute to your career progression in the organisation.

#### 7) Next Level Manager Approval

- The completed Performance Development Review including overall rating and Development Plan will be approved by the next level manager
- 8) The Midyear Update part of regular review progress
  - A performance appraisal should never be a surprise. As a manager you should be providing continual feedback to your staff. As a staff member you should be requesting feedback about your performance.
  - An informal yet essential (and compulsory!) component of the annual Performance Development Review (PDR) is the "Midyear update".
  - As the name suggests this should take place midyear into your objectives period. The process to follow is similar to that of the Annual PDR; however, without the dialogue input.
  - The Midyear review is an opportunity to ensure that you are on track, that development initiatives are underway that you are getting the support or coaching you might need to succeed.

#### The following rating scales are used to summarise overall performance:

A: The individual **consistently contributes at an exceptional level of performance compared to objectives, the Secretariat values** / **competencies and compared to others in the group. S/he is recognised as a role model** and is sought out for leadership knowledge and expertise; consistently develops and implements challenging work targets; has unquestioned personal commitment to quality and timeliness of results, is self-motivated and self-directed. *Few individuals achieve this level of performance and when they do, their contribution is clearly recognised both within their group and in a wider population.* 

B: The individual consistently contributes at a high level of performance compared to objectives, the Secretariat shared values / competencies and compared to others in the group. Individual often develops and implements challenging work targets; thinks beyond their specific position to broader organisational goals; is self-reliant; requires limited direction. *This would apply to individuals among the best in the group.* 

C: The individual fully meets expectations on objectives, and Secretariat shared values / competencies as compared to others in the group. S/he demonstrates capacity for all responsibilities given; prioritises assignments to meet business objectives; displays a sound balance between quality and quantity; requires minimal to normal direction. This is a solid level of high performance and will typically apply to the majority of individuals in a group.

D: The individual performs on objectives and the Secretariat shared values / competencies at a lower level than agreed and compared to others in the group. Requires close direction to complete projects and assigned work. Task prioritisation is not consistent with broad business objectives. Performance is consistently at a level below that agreed and calls for improvement. Individuals given this rating need to work on improving their performance in order to stay in the position.

**E:** Performance is clearly below agreed standards and requirements. The individual **performs at a much lower level than others in the group**. Requires excessive supervision and course correction. Demonstrates inability to perform key job functions despite repeated explanations and counselling. Does not carry his/her fair share of the workload after being in the position long enough to show better performance. *Individuals given this rating must significantly improve performance within three months or be moved out of their position*.

Following the Review of achievements and performance, you and your manager should discuss a **Development Plan** for the coming year/review period. The basis of the Development will be:

- 1. areas for improvement identified during the discussion.
- 2. areas of interest which you identify as contributing to your career development.

Some people find that this part of the process is best handled separately from the Review discussion.

You should discuss with your manager the most mutually agreeable solution. However in the majority of situations it should flow naturally and directly out of your values/competencies profile. Our training programmes will be built around these values and competencies to ensure targeted follow-up and personal development.

Remember you are looking not only at what can be improved upon, but also how you can grow and add value in the future.

#### The Development Contract

- Together with your manager, you will complete a Development Contract for all the development/learning initiatives taken during the year.
- The development contract will identify:
  - o What precisely you need to learn.
  - o The strategy you will use to learn it.
  - o How you will measure that you have learned.
  - o How you intend to use the learning in your work.

#### Learning Strategies

- The Strategies appropriate for your learning needs will depend on the actual gap identified.
- Some information is best acquired individually through reading or attending a presentation. Job-related skills may be best learned through on-the-job experience or through shadowing an experienced person.
- Your manager may suggest some of these methods and will also want to consult with the Training and Development Unit for alternative ways of learning through structured training opportunities.

#### Structured Learning Opportunities

- The **Matrix** of structured workshops available from Training and Development can help you decide which workshops can help you acquire the knowledge or skills you need to have.
- The matrix lays out the specific connections to the values and competencies each workshop is designed to respond to.
- These learning initiatives are recorded and reviewed using the Development Contract and with your next year's personal objectives will form the basis of next year's Performance Review and Development Process.

As we said earlier the process is Quantitative and Qualitative.; it is structured, yet at the same time flexible. It is intended to help you and the organisation perform at maximum potential.

### A. Shared Values

### A1. RC/RC Principles

Valuing the RC/RC Principles means demonstrating a knowledge and commitment to what is held dear to any Red Cross Red Crescent person or organisation. It means acting in accordance with and advocating for the Principles in every facet of our work.

#### A2. Diversity

Respecting diversity means welcoming and building towards ethnic and gender diversity. It means being aware of our own biases and genuinely respecting other opinion, ideas and perspectives of others in the Movement and those of the beneficiaries

#### A3. Professional Integrity

Having professional integrity means demonstrating honesty and fairness, in every facet of behaviour and promotes ethical conduct. It involves being ready to expose cases of unprofessional or unethical behaviour wherever they may be found.

### **B. Core Competencies**

#### B1. Results Orientation

**Proactive/innovative** Being proactive means initiating actions. It involves generating alternative ways to achieve results . It demands daring and risk taking. It includes anticipating outcomes and steering things in the right direction.

Solution and Results Focused Being solution and results focused is about achieving objectives I includes working to remove

obstacles, promoting professional standards and being relied upon to deliver.

**Decisive** Being decisive is about a willingness to make decision within a specified time frame. It includes undertaking appropriate consultation and clear communication of the decision. It involves follow through and taking responsibility for the outcomes of decisions

**Accountable** Being accountable means taking personal responsibility for seeing things to completion. It includes tasks as well as self development and career.

#### B2. Teamwork

**Cross Functional Orientation** Having good cross functional orientation means extending your team work skills beyond the team to ensure organisational effectiveness. It means working together will all peers, soliciting input, sharing ideas, involving others.

**Knowledge Sharing** Effective knowledge sharing means contributing to the learning organisation. It involves bringing together information from different sources. It means being willing to learn from others as well as share learning. It means looking to the greater effectiveness of the Federation.

**Communication** Having good communication means being orally persuasive and being able to build a case in any medium with precision and economy. It involves being able to get your message across in an appropriate way in all circumstances.

**B3.** Technical Mastery Technical mastery means having relevant skills and knowledge to do the job, exhibiting constant interest in learning and keeping up to date, as well as using good judgement.

### C. Management Competencies

#### C1. Leadership and Strategic Vision

**Inspires and motivates** Inspiring and motivating means empowering others to achieve and reach their potential. It's about encouraging, respecting and challenging people to stretch beyond their current achievements.

**Forms Vision/Sets Direction**Forming and setting vision is about seeing the "big picture". it involves taking a helicopter view to determine critical elements in setting future direction.

#### C2. People Management and Organisation Building

**Performance Management** Managing performance means clarifying expectations and ensuring that roles, responsibilities and reporting lines are clear and in line with Secretariat priorities, It means that you involve and empower your team and ensure it delivers with in time frames and budgets.

**People Development** Developing people means knowing your people, regularly discussing performance, and providing fair, timely and constructive appraisals. It means building people through coaching and development and skilfully handling people to maximise the effectiveness of the team.

**Organisation Building** Building the organisation means helping to improve organisational processes to expedite cross functional initiatives. Identifying structural barriers / unnecessary bureaucracy and pushing to change or remove them. It involves pushing best people into highest impact, appropriate jobs.

### Performance Development and Review - Five scale descriptors

Secretariat Shared Values					
(1) Does not /partially meets	(2c) Adequate meets expectations	(2b) Meets expectations	(2a) Solid meets  Real strength in the job	(3) Exceeds expectations	
Unsatisfactory performance	(Typically new to job or organisation)	Competent with development opportunity		Beyond level required for the job	
Red Cross Red Crescen	t Principles	,		,	

Does not always display values. May put results before process/approach, or "self" before "stakeholder"	Is knowledgeable about RC Principles. Demonstrates understanding of and their bearing on aspects of the current job.	Understands their implication in the broader work of the RC/RC and in relation with other components of the Movement. Makes decisions founded on the Principles.		Consistently displays knowledge and values in all situations in the Movement. Is widely recognised as truly committed and passionate.
Diversity				
Intolerant of other's opinions ideas and perspectives. Resists different inputs or suggestions, prefers to go it alone. Causes friction in team. Sees diversity as a liability.	Indicates an awareness of self biases and works towards balancing those. Some demonstration of tolerance for others. Understands "diversity" issues. Recognises areas for concern within the limits of own function.	with different backgrounds & opinions. Welcomes and builds towards ethnic and gender diversity. Strives	interests. Genuinely	Contributes to organisational policy about achieving diversity in actions, representation, decision making and leadership.
Professional Integrity		J		
Lack of professionalism, or fairness in some aspects of behaviour and actions. Intentional disregard for RC Principles or values or property. Intentional abuse of position, power, procedures or practice.	actions. Displays	Demonstrates honesty and fairness in all facets of behaviour. Is ethical in terms of decisions and actions. Respects the individual and manages emotion.	Challenges behaviour not in line with values. Stands by organisational decisions even if unpopular. Exposes cases of unprofessional or unethical behaviour.	Behaviour consistently above reproach. Is generally regarded as a person of real principle, unyielding in the face of political pressure or personal gain. Takes position and acts appropriately in integrity cases.

	(1) Does not / partially meets  Unsatisfactory performance	(2c) Adequate meets expectations (Typically new to job or organisation)	expectations  Competent with development	(2a) Solid meets  Real strength in the job	(3) Exceeds expectations  Beyond level require for the job
Results orie	entation		opportunity		
Proactive/ innovative	get a project moving, needs close follow up.	collaboration with colleagues. May lack	Takes initiative to speak out on issues. Follows up effectively, and efficiently Out-of-the-box thinker contributing creative and innovative solutions.		Constantly searching for new challenges, stretch-goals. Huge energy and commitment to priorities. Makes things happen accrost the matrix.
Solution- focused	clear deliverables. Appears busy but shows dubious /limited	solutions.	Stays on focus with priorities. Has a "can do" attitude. Takes pride in achieving objectives. Promotes and applies agreed professional standards.	Takes a wider view. Finds solutions that have a broad impact. Works to remove obstacles and eradicate unnecessary bureaucracy.	Consistently achieved beyond expectations Initiates and creates added value opportunities.

Decisive	awareness of broader implications in	Shows judgement and common sense. Requires guidance and support in problem analysis and decision making.	business case decisions within the	effective decision maker. Evidence of strategic thinking. Demonstrates courage in making unpopular decisions.	Is generally admired for consistently making solid business case decisions with full appreciation of financial and political situation. Is consulted for this expertise.
Accountable	Unclear about responsibility for tasks within personal objectives. Shows little evidence of professional commitment to ensuring completion of task. Protective of self.	responsibility for work. Able to progress work with some guidance and support.		professional in terms of commitments to deadlines, quantity and quality of work. Efficient & effective service response time. Manages personal time to meet changing	Influences others to ensure commitments and completion of goals. Consistently influences partners in the matrix to ensure delivery of objectives. Willing to take on added responsibilities to ensure delivery.

		Secretariat (	Core Competen	cies	
	(1) Does not / partially meets  Unsatisfactory performance	(2c) Adequate meets expectations  (Typically new to job or organisation)	(2b) Meets expectations  Competent with development opportunity	(2a) Solid meets  Real strength in the job	(3) Exceeds expectations  Beyond level required for the job
Teamwork:	working with others		J		
Cross functional orientation	Works in isolation, Shows no understanding nor willingness to collaborate. Protects self and work from others. Intellectually selfish. Has limited appreciation of the internal & external accountabilities.	Works well with peers. Shows a willingness to collaborate with others when requested. Willing to learn from others as well as share learning.	ideas, and involves	Supports colleagues when their projects are under pressure. Keeps appropriate stakeholders informed.	relationships. Is sought after to
Knowledge sharing	Holds onto information. Unwilling to share knowledge or to learn from others. Shows little appreciation of our overall capacity building mandate of Strategy 2010 for NS clients and partners	Contributes to the knowledge bank. Values knowledge transfer but displays limited skills at the moment. Understands the capacity building mandate of Strategy 2010.	_	opportunities to coach colleagues and NS counterparts. Matches individual learning style to coaching.	on knowledge transfer in both content and mechanisms. Contributes to organisational thinking

Commu	ni- Limited ability to express ideas coherently. Indicates little appreciation of audience and appropriate level of information required. Little evidence of active listening skills.	Shows ability in oral and or written communication. Has understanding of key message and limited knowledge in adjusting for tone and audience, may over communicate. Selective listening	Understands targeted	precision and economy. Tailors content, language, tone and style to target audience. Chooses	represent the organisation.
		Selective listening skills.			

	(1) Does not/partially meets Unsatisfactory performance	(2c)Adequate meets(Typically new to job or organisation)	(2b) Meets expectationsCompetent with dev-lopment opportunity	(2a) Solid meets  Real strength in the job	(3) Exceeds expectationsBeyond level required for the job
_eadership an	d Strategic Vision				
Inspires and motivates	Shows limited enthusiasm, unable to inspire others. Sees problems, limitations not opportunities.	Shows personal enthusiasm. Conveys enthusi-asm about future possibilities. Is solution and outcome focused.  Conceptualises & synthesises information within the framework of personal accountabilities.	greater things. Empowers people, encourages leadership, accountability and provides appropriate support.	and risks inspiring	Consistently works to inspire and influence others beyond team and throughout the Movement to act within the culture of the organisation.
Forms Vision/ Sets Direction	Firmly set in today's problems and unable to take a "helicopter" view or to consider future action Makes decisions in de-facto manner.	Communicates Secretariat priorities and assures	and external context. Acts strategically, working towards clearly defined vision.	Conceptualises and synthesises large amounts of information to determine critical elements in setting future direction. Clearly adds creative perspective to determine critical elements in setting broad and compelling organisational direction.	Is consulted and invited to strategic decision making at the highest level of the organisation and Movement. Consistently works to achieve long-term aims and needs of the organisation.
People Manag	ement and Organisat	ion Building			
Performance Management	Difficulty in aligning department/ divisional goals with Secretariat priorities. Weak financial controls resulting in under-funding or deficits. Makes decisions in de-facto manner.	Ensures roles, responsibilities and reporting lines are clear. Clarifies expectations and objectives. Communicates Secretariat priorities.  Involves others in decisions that affect them.	team to ensure delivery of objectives within time frames and budgets.  Demonstrates understanding of quality/quantity balance.	in important areas of their work. Solid financial management. Reallocates resources in	Considered an outstanding manager Recognised & consulted throughout the organisation for advice and contribution to issues

People Development	Attributes little time to joint planning, objective setting or providing feedback. Inattention to HR systems may result in conflict. May resort to 'consensus' manageent. Inconsistent or poorly applied appraisals.	development but demonstrates limi-ted skills. Ill at ease with the appraisal process. Requires coaching and / or	Is aware of strengths and limitations. Ensures development initiatives	of staff. Contributes to career development. Models a desire for constant improvement. Skilfully handles people to maximise the effectiveness of the team.	A source of developmental advice for people throughout the organisation. Influences the staff development strategy and willing to resource training and development initiatives through personal involvement.
Organisational building	Limited appreciation of responsibility in building the organisation through people and goals. Allows bureaucracy to limit actions. Expresses cynicism or negativism.	value of organisation building within the limits of their department or	organisational processes to expedite cross functional initiatives. Constantly	the Federation position in the Move-	Consistently contributes at the highest level of organisational growth and development. Consistently profiles the organisation to its competitive advantage.

INTERNATIONAL FEDERATION OF RED CROSS	AND RED CRESCENT SOCIE	ETIES	
Performance Development Review	Year	200	

### WHAT IT IS

The Review section looks at what and how you delivered against your Personal Objectives and the Red Cross/Red Crescent Secretariat Shared Values and Competencies. The Development section looks at opportunities to develop your skills and the business in the coming year.

### **HOW IT WORKS**

You and your Manager will prepare the Performance Development Review discussion separately. You will then meet to discuss your findings and write up an overall performance statement and map out a specific, time-bound development plan.

Name		
Present Function	Since	
Dept/Function	,	
Division		
Name of Manager		
Function		

Name of Next Level Man	ager						
Function							
					Steps to be comple	ted by	
. Objective Setting (for coming	year)				December		
o. Mid-year Update of the Perfo	rmance Developm	ent Review			May-July		
c. Preparation for the Annual Performance Development Review discussion				minimum of 2-3 weeks prior to discussion			
d. Prior to the review, the evaluation and rating is discussed between Manager and Next Level Manager.				December			
. Annual Performance Develop	ment Review disc	ussion between Staff	member and M	anager	December-January		
INTERNATION	NAL FEDERAT	TION OF RED CR	OSS AND R	ED CRESC	EENT SOCIETIES	200	
Staff Member		Manag	ger			Department	
Function		Functi	on				
Objectives - per key Evalu	uation Criteria;	Target Date	Priority	Self-Appr	raisal with Rating	Manager Appraisal with	

Evaluation Criteria; Measurements/ Perf. Standards	Target Date	Priority No./%	Self-Appraisal with Rating		Manager Appraisal with Rating	

Targets discussed and agreed on	Appraisal discussed and agreed on	Date	Overall Rating
Staff Member	Staff Member		
Manager	Manager		

Ratings: 1 = missed/partially met; 2 = met; 3 = exceeded objective



# INTERNATIONAL FEDERATION OF RED CROSS AND RED CRESCENT SOCIETIES

### **Shared Values**

Please rate the performance by using the following scale: 1 Not met/partially met; 2c Met (new to the job); 2b Met (developing in the job); 2a Fully met; 3 Exceeded

Please describe the performance by using the CAR model:

Context: The situation: Where did it happen, what was the scope, who was involved, what was the objective

**Action:** The behaviour: What was said, answered, done by the person

Results: The achievement: What was the outcome, the consequences, the feedback, the improvement

Self Assessment		Manager's Assessment		
Comments	Rating	Comments	Rating	
Red Cross/Red Crescent Principles				

Diversity		
Integrity		
Overall rating	Overall rating	



# INTERNATIONAL FEDERATION OF RED CROSS AND RED CRESCENT SOCIETIES

# **Core Competencies**

Please rate the performance by using the following scale: 1 Not met/partially met; 2c Met (new to the job); 2b Met (developing in the job); 2a Fully met; 3 Exceeded

Please describe the performance by using the CAR model:

Context: The situation: Where did it happen, what was the scope, who was involved, what was the objective

Action: The behaviour: What was said, answered, done by the person

**Results:** The achievement: What was the outcome, the consequences, the feedback, the improvement

Self Assessment		Manage	Manager's Assessment		
Comments	Rating	Comments	Rating		
Results Orientation					
Proactive/Innovative					
Solution focused					

Decisive		
Accountable		
Teamwork - Working with others		
Cross functional orientation		
Knowledge transfer		
Communication		
Overall rating	Overall rating	



# INTERNATIONAL FEDERATION OF RED CROSS AND RED CRESCENT SOCIETIES

### **Core Competencies**

Please rate the performance by using the following scale: 1 Not met/partially met; 2c Met (new to the job); 2b Met (developing in the job); 2a Fully met; 3 Exceeded

Please describe the performance by using the CAR model:

Context: The situation: Where did it happen, what was the scope, who was involved, what was the objective

**Action:** The behaviour: What was said, answered, done by the person

Results: The achievement: What was the outcome, the consequences, the feedback, the improvement

Self Assessment		Manager's Assessm	ent
Comments	Rating	Comments	Rating
Leadership and Strategic Vision			
Inspires and Motivates			
Forms Vision / Sets Direction			
Management and Organisation Building	1	'	
Performance Management			
People Development			
Organisation Building			
Overall rating		Overall rating	

+C INTERN	IATIONAL FEDERATION OF RED CROS	S AND RED CRESCENT SOCIE	TIES
Annual Perfor	mance Review	Year	200
Overall Evaluation		,	,
Name:	Function:		
<u>                                     </u>			
Results/Objective	s		

Results/Objectives			
	(Please circle the appro	priate box)	
Exceeded objectives 3	С	В	A
Fully met objectives 2	D	С	В
Partially met objectives 1	E	D	D
	Partially met expectations	Fully met expectations	Exceeded expectations
	1	2	3

Shared Values / Competencies

Performance Summary Overall Rating

**Identify Strengths in Current Position** 

Identify Development Opportunities to improve performance in Current Position

Staff member's Comments

Date Signed Staff member\*

Date Signed Manager

### Date

Date

### Signed Next Level Manager

\* Signature by staff member does not necessarily indicate agreement, only review and notification.

If need be, use a blank sheet of paper for additional comments on the appraisal.

<b>+</b> C					
	INTERNATIONAL FEDERATION OF RED CROSS A	AND RED C	RESCENT SO	CIETIES	
D I		\	V		200
Develop	oment Plan (based on the Review Section	n)	Year	2	200
Name:		Function:			
name:		runction:			
			I		
Recap agr	eed upon Development Areas for next Review per	iod			
Interests a	and Flexibility for the Future				
Dagariba	and both and long town interests are post assistances.	nt lagation	tionin a		
Describe y	our short- and long-term interests, e.g., next assignme	ent, location	, urning.		
<u> </u>					
Developm	ent Goals and Actions for Coming Year				
Describe w	hat actions you will take personally to work on your de	avalonment	opportunities	Include formal	training courses that
	rou to improve as well as the coaching needed from yo				
	rom formal training.			, , , , , , , ,	,
<b></b>	and Onella O Antique	-		D	
Developm	ent Goals & Actions	1	iming	Remarks	
]					
Progress Review					
Note when you'll	next meet with your Manager and what improvements you expect to see by then.				

Signed Staff member

Date	Signed Manager	
Date	Signed Next Level Manager	



Input for Performance Development Review  What is "dialogue"?  The Performance Development Review Process is a complete review and the year. In order to reflect totally your contribution, we take into considera		
Vhat is "dialogue" ?  The Performance Development Review Process is a complete review and		
The Performance Development Review Process is a complete review and		
with you in a substantial part of your work. We call this "dialogue".		
How it works		
Each "dialogue partner" contributes specific feedback about you in relation	n to projects on which you have worked to	ogether.
Name Function		
Manager Next line manage	er	
Dept/Div Since		
Dialogue partner Context		
Statogue partilei Context		
lease describe the performance by using the CAR model:	et was the abjective	
Context: The situation: Where did it happen, what was the scope, who was involved, what the scope is the scope in the scope in the scope is the scope in the scope in the scope is the scope in the scope in the scope is the scope in the scope in the scope in the scope in the scope is the scope in the	at was the objective	
Results: The achievement: What was the outcome, the consequences, the feedback, the	o improvement	
results. The achievement, what was the outcome, the consequences, the recuback, the	e improvement	
1		
2		
3		

Bigned					
Dialogue partner					
+C					
INTERNATIONAL FEDER	ATION OF RED	CROSS AND RED CRES	SCENT SOCIETI	IES	
Midyear Update				ate	
vilayeai Opuale				ale	
Performance Development Review					
What it is	.1				
The midyear Performance Developme	nt Review is an or	oportunity for you and yo	ur manager to re	view achieveme	ents to date and
verify that progress in on track. It allow					
necessary resources) that may derail y	your progress or a	levelopment, or prevent	you from achievi	ing your objectiv	es.
How it works					
The midueer review is an informal vest	oompuloon, moet	ing Vou and vour mana	aor propore con	rotoly for the m	socting in the
The midyear review is an informal, yet same way as for the annual appraisal			gei piepaie sepa	irately for the fr	leeting in the
		- 9			
Name					
Function			Si	ince	
Dept./Division					
Dept./Division					
Manager		Next line manager			
Progress towards objectives					
_					
Review progress to date. Note any over	er or under achiev	ements. Specifically refe	r to any cause fo	or concern or ca	use for further
action:					
/alues and Competencies					
Joto miduograficamentia a Danie 20	a about hat a	hoth positive and are	forime	- Facility - 1	alamma = t/= t
Note midyear observations. Be specifi opportunities:	c about behaviour	both positive and areas	tor improvement	. rocus on deve	eiopment/growth
Apportunitios.					
Progress on development plan					

coaching you are receiving and the scope for more:				
Signed		Signed		
Manager		Staff person		
Signed				
Next line manager				

Note all learning/training undergone and those outstanding. Note any observations of related improvements. Consider how much

# **Delegate's Final Report**

- 44. The Final Report made by the delegate is a vital instrument for planning future assistance to the operation in which the delegate was involved. It contributes to the Federation's institutional memory. Therefore every delegate is to make a Final Report to be handed in, if possible, before the final debriefing.
- 45. The Report is *not* an operational overview of the programme on which the delegate worked. Such issues are to be covered in regular operational reporting. The delegate's Final Report is to concentrate on the achievement or non-achievement of the operational objectives and on the delegate's part in implementation.
- 46. The delegate will preferably present his or her Final Report to the Head of Delegation *before* leaving the country of assignment but *after* the evaluation is completed. A copy is to be sent by the Head of Delegation to the Regional Department before the delegate's debriefing in Geneva, and a copy given to the Organisation and Staffing Unit and the relevant technical services. The Final Report should be used as a tool to facilitate the debriefing process and to follow up the recommendations.

### Delegate's Final Report Format

#### 1. Introduction

A brief summary of the background to the mission answering the basic questions; What? When? Where? How? and Why?

#### 2. Mission Preparation

Specific points related to the delegate's recruitment, the briefing by the Participating National Society, the Federation, delegation and ONS and start of the mission assignment.

#### 3. The Mission

- · Brief background on the operation or assignment
- · Actual role of the delegate in respect of the Job Description and Mission Instructions
- Counterpart relationships (Operating National Society and other agencies)
- Specific positive or negative aspects of mission
- Personal job satisfaction success or failure.
- Working conditions, housing, health etc.
- Other particular personal issues.

#### 4. Recommendations

Specific major points emerging from the above from which lessons can be drawn for the future.

### 5. Conclusion

Final general comment on the mission experience.

Responsibilities and Reporting Lines

Job Description and Mission Instructions

**Debriefing** 

# **Debriefing**

47. The debriefing is as essential at the end of the delegate's assignment, as the briefing was at the beginning. It helps assess whether operational objectives have been achieved. Like the Final Report, it contributes to the Federation's institutional memory. It

contributes to a satisfactory conclusion of an assignment.

- 48. The Head of Delegation and/or Operating National Society will debrief the delegate with:
  - An immediate review of operational developments during the assignment and special aspects arising from the delegate's work.
  - A meeting between the delegate and the Head of Delegation to discuss the delegate's performance development review.
  - A discussion of the delegate's final report with the Head of Delegation.
  - Completion of outstanding in-country administrative and financial matters, i.e. settling per diem balance, private telephone bills etc.
- 49. The Federation Secretariat debriefing, co-ordinated by the Organisation and Staffing Unit, will cover:
  - By the Regional Department in Geneva:
    - o An operational review including the delegate's recommendations.
    - o Development or training aspects of work with the Operating National Society.
    - o The delegate's performance development review (PDR) and Final Report.
    - o Resolution of outstanding financial matters.
  - By technical departments/services:
    - o A review of technical work aspects as appropriate, such as Health, Logistics, Finance, Audit etc.
  - By the Organisation and Staffing Unit:
    - o A review of personnel aspects of the delegate's Final Report.
    - o A review of the delegate performance evaluation and future mission prospects.
    - o Feedback on delegation working and living conditions.
    - o Administrative matters such as the handing back of Federation Identity Card and badges, etc.
    - An appointment for psychological debriefing in-house or outside upon individual requests and for all delegates coming back from difficult assignments.
- 50. The *Participating National Society*, if involved, is responsible for:
  - Discussing the delegate's performance development review and final report.
  - Assessing the overall contribution of its delegate to the achievement of operational objectives.
  - Finalising outstanding administrative matters including aspects of the delegate's reintegration.
  - Ensuring proper psychological debriefing and follow-up for delegates coming back from difficult assignments, or those requesting it.
  - Maintaining contact and follow-up for possible future assignments.

Job Description and Mission Instructions

Performance Management and Evaluation

Delegate Health

Personnel Management

Delegate's Final Report

# **Delegate Health**

### **Before Departure**

- 51. This section looks at some of the most common health problems that can be encountered by delegates in the field and gives simple and practical advice on how to recognise and, as far as possible, avoid them. However, it is by no means exhaustive. Both physical and psychological aspects are considered, with the emphasis on prevention.
- 52. Medical and dental check-ups are not only common-sense requirements for all delegates about to set out on mission, they are also mandatory given the possibility of insurance claims. Every National Society should include them in their pre-departure formalities. Female delegates are strongly advised to undergo a gynaecological examination. An annual medical check-up is recommended.
- 53. *Immunisation*. The delegate should be immunised against the diseases prevalent in the country of assignment. The major diseases for which delegates may be immunised are: *diphtheria*, *tetanus*, *poliomyelitis*, *typhoid fever*, *hepatitis* A and B, *yellow fever*, *meningitis* and *Japanese B encephalitis*. *Yellow fever* is mandatory for delegates operating in Africa and recommended for South America. It is a legal /administrative requirement and it is required by some countries if a person is coming from an area where yellow fever is endemic. The *hepatitis* B vaccine is mandatory for health professionals using blood products. It is also recommended for all delegates. An effective oral vaccine against *cholera* is currently being developed. Immunisation against *rabies* for delegates likely to be in contact with potentially infected animals is strongly recommended.

Vaccine	No. of Injections	Validity	Recommended for
Diphteria+Tetanus+Polio (DTP)	1 booster	10 years	World-wide
Typhoid Fever	1 dose	3-5 years	World-wide
Hepatitis A	1 dose (1440) + 1 booster	10 years	World-wide
Hepatitis B	3 doses +1 booster	10 years	World-wide
Yellow Fever	1 dose	10 years	Central Africa, South America
Meningitis A&C	1 dose	3 years	Africa, Middle East
Japanese B Encephalitis	3 doses + 1 booster	3 years	South-East Asia

54. *Sensible dress*. The delegate should consider seasonal variations in the climate of the country of assignment and take along suitable clothing where it may not be available in country. Cotton is strongly recommended for hot climates. Cotton clothes absorb perspiration and can be boiled and ironed at high temperatures. This last point is important, for example, in the prevention (through quick drying of clothes) of *skin myiasis*, caused by the larva of a fly that lays its eggs on wet linen. A sweater is recommended even for the tropics, as evenings in both the dry and rainy seasons can be cool. In cold climates, warm clothing is naturally required. Warm bedding is equally important, such as a good sleeping bag for the coldest nights or for circumstances where blankets are not available. Good solid footwear is also important no matter what the climate. In hot countries good footwear is a protection against *jiggers*, parasites which commonly get under the skin of the feet and can give rise to abscesses. Rain gear should be taken regardless of destination. A mosquito net should be available in a tropical climate.

### **Mission Lifestyle**

- 55. Though the delegate may develop health problems while on mission, very few of these problems are likely to be immediately serious. However, if neglected, they may become so. Therefore it is vital that the delegate take care of him or herself, lead as healthy a lifestyle as possible and be vigilant against any symptoms of ill-health. A basic principle to be applied in all circumstances is: **when new to an area, strict health rules are to be followed**. When more is known about living in that area, only then can some rules be safely relaxed.
- 56. *Food and drink*. The diet should be watched closely. The daily in-take of energy-giving foods and protein needs to match the delegate's level of physical and mental activity. However, food and drink can also carry disease. Before drinking water make sure it has been boiled or filtered or disinfected. Hot coffee and tea are safe as are soft drinks, but ice should be avoided, as it is only as safe as the water it has been prepared from. Where one cannot be sure of the quality and safety of raw food, only food that has been well-cooked and served while hot should be eaten. However this will only be possible for short periods. Fruit and vegetables are a must for essential vitamins. Unless they can be peeled, they should be treated with alimentary disinfectant such as tasteless potassium permanganate (KMnO4). In tropical climate avoid cold buffet, mayonnaise and mayonnaise dressing, custards and creams made with eggs as they can easily be contaminated if left at room temperature.
- 57. *Alcohol*. One can talk about abuse of alcohol when alcohol consumption starts affecting delegate's work or working and living conditions in the delegation. Abuse of alcohol is damaging to a delegate's health. Regular abuse of alcohol is usually an indication that a delegate is not adapting well and early termination of mission may be necessary. It is a misconception that alcohol consumed with food kills harmful bacteria. In countries where alcohol is forbidden, the delegate must strictly comply with the delegation internal regulation.
- 58. **Rest and recuperation**. Delegation life is frequently a succession of long periods of work without a real break. In emergency situations this cannot go on for long without the delegate taking time out for proper rest and recuperation. Lack of rest can induce health problems related to stress and produce psychosomatic illness. The delegates' work will inevitably suffer. Where regular and normal days off work are not possible, special rest and recuperation (**R&R**) periods can be arranged by the Head of Delegation, based on the level of stress experienced by individual delegates.
- 59. *Sexually transmitted diseases (STDs)*. Perhaps the proverb "Prevention is better than cure" is truer in the case of these diseases than for any other. The most threatening STD, *AIDS*, is incurable. Detailed AIDS information can be obtained from the Federation Secretariat. *Hepatitis B* is transmitted by blood and semen, and is therefore also considered an STD. Prevention by immunisation does exist, and immunisation is mandatory for all health personnel who might handle blood products. The use of a condom protects equally against Hepatitis B and the HIV virus, as well as other STDs (syphilis, gonorrhoea, clamydiae etc.) It should be remembered that sex *within* the delegation is *not* safer than outside.

### **Most Frequent Health Problems**

- 60. Other health hazards will vary from country to country and from delegation to delegation. Detailed and accurate information on potential hazards should be given to delegates upon arrival at their delegation.
- 61. In hot climates the most frequent problem is *dehydration*. It can be caused by diarrhoea, gastro-enteritis or profuse sweating resulting from prolonged sun/heat exposure. Drinking plenty of liquids (but *not* alcohol) prevents it and delegates should watch out for dehydration

symptoms, which include dry mouth and tongue, headache, nausea and vomiting (which will further aggravate the dehydration). Steps must be taken to rehydrate.

Delegates need to be particularly attentive to the problem of contaminated water. Where the purity of water is suspect, bottled, boiled or otherwise purified water should be drunk.

- 62. *Water-borne* diseases also include those which contaminate food, as it is always water that provides the main route for the germs. Such diseases are carried in the faeces of those infected. When the infected faeces comes into contact with ground water, the contamination cycle starts. The best prevention is adequate sanitation.
  - *Diarrhoea* is the water-borne disease symptom most frequently reported: around 30%-50% of all travellers report having diarrhoea at least once. It can be caused by a wide variety of pathogens from viruses (in up to 90% of cases, therefore antibiotics are not effective) to bacteria and protozoa. Treatment should always start with careful *rehydration*. If the diarrhoea is associated with fever (above 38 ° C), or if there is blood in the stools or it continues for more than 48 hours medical advice should be sought.
  - *Poliomyelitis* and *Hepatitis A* and *E*, are viral diseases and prevention by immunisation exists, except in the case of hepatitis E. Poliomyelitis is primarily Diarrhoeal, but one in one thousand cases has more serious complications. Hepatitis affects the liver and requires long-term rest and a strict diet. Hepatitis E, recently identified, has the potential to become a major disease with a high mortality rate.
  - *Typhoid fever*, *cholera* and *shigellosis* are bacterial diseases which affect areas with poor hygiene and sanitation. An effective vaccine exists for typhoid fever, and one is still being developed for cholera. Treatment is by antibiotics.
  - *Amoebiasis* and *giardiasis* are protozoic diseases contracted through eating or intake of contaminated water or food. No vaccine is available. Treatment does exist, but a proper diagnosis needs to be made through stool examination.
  - Other parasitic diseases include various types of *worms* and adequate treatment can only be prescribed after the eggs have been identified in the urine or the stool.
- 63. As well as diseases spread by polluted water or contaminated food there are those carried by vectors such as insects. The most frequently *vector-transmitted diseases* posing a risk to delegates are:
  - *Malaria*, a disease carried by mosquitoes, is judged to be the planet's most common infectious disease according to the numbers of people infected. One of the most common forms can cause the serious conditions of cerebral malaria and sometimes renal failure. Malarious mosquitoes are dangerous only at sun-down and at night. So the best form of prevention is to *avoid mosquito bites* by using mosquito nets, mosquito repellents and by wearing long sleeved garments and trousers. Where recommended by medical staff, *prophylaxis* should be taken regularly in the prescribed form.
  - Prevention and treatment are explained to all delegates at briefing and the WHO publication *Management of Severe and Complicated Malaria*, *A Practical Handbook*, is available from delegations and the Secretariat.
  - Dengue fever, yellow fever, haemorrhagic fevers, encephalitis are among a number of viral diseases known as arthropod-borne viruses. Some are more serious than others: dengue fever can be either of the haemorrhagic or non-haemorrhagic type. Prevention includes immunisation where vaccines are available (yellow fever, Japanese B encephalitis). Treatment is mainly a matter of rest. In case of fever it is preferable to rely on paracetamol to lower temperature rather than aspirin; the latter should be avoided because of possible haemorrhagic complications.
- 64. Skin diseases are often considered minor ailments. However, they have a potential for developing unpleasant complications.
  - Hot and humid conditions favour *fungal* diseases, which require long treatment with anti-fungal cream after careful washing and drying. Delegates who already suffer from this kind of problem at home, and particularly female delegates with vaginal candidosis, are likely to experience an increase in its occurrence when in hot countries. An adequate supply of the treatment normally in use should be taken on mission.
  - Because people sweat a lot in hot climates the smallest wound can become badly infected through humidity and flies. *Abscesses* can result which are difficult to cure. All wounds, even insignificant ones, should, therefore, be quickly disinfected and dressed.
  - *Scabies* is frequently found in crowded living conditions e.g. among refugees and displaced persons. This disease can spread easily. Treatment includes the application of a lotion and the disinfecting of clothes and linen. Prevention is based on careful hygiene, especially the use of soap.
  - In Central African and Central American countries whenever a small painful abscess appears, *ticks*, *myiasis* and *jiggers* (parasites penetrating under the skin) are to be suspected. They can, however, be easily prevented by wearing proper clothes and footwear and by avoiding swimming in unknown waters.
- 65. The increase in the number of delegations in Eastern Europe and the former Soviet Union has exposed delegates to more virulent strains of common diseases, such as the common cold and flu. Similar water-borne diseases to those described above can be present in cold climates, but have a longer incubation period due to the colder temperatures. Immunisation against *tuberculosis* and *diphtheria* is recommended, as outbreaks of these diseases have been registered. The diphtheria germ is still sensitive to antibiotics.
- 66. *Traffic accidents* are probably the single most important cause of injury to aid workers. It is important to always travel with a basic first aid kit in the car. If assisting at the scene of an accident always ensure that you wear a pair of surgical gloves; it is all to easy to forget about the possibility of coming in contact with contaminated blood in the rush to assist injured persons. It is important to ensure that there is a basic repair kit in the vehicle particularly if embarking on a long trip. Food and water should be carried. If working in a cold climate, it is essential to ensure you carry extra blankets and clothing in case you break down and/or become stranded overnight. Most importantly, always wear your seat belt, drive carefully and ensure that your driver does.

# On Return

- 67. Once the mission is over, the delegate will be debriefed. The two major aspects of this process relating to health are the post-mission *medical examination* and the *psychological debriefing*. Delegates undergo a thorough medical check-up after their return to the National Society. This is to detect any disease that might have been contracted during the mission.
- 68. The *psychological debriefing* should not be neglected. It is essential that the delegate has at least one interview with someone who understands psychology, in order to see how the delegate has coped with mission stress. Delegates who have been on a particularly stressful assignment should have a psychological debriefing in the host country or in Geneva. The delegate ought to be made aware of the possibility of his or her experiencing *delayed stress symptoms* some weeks after return from mission; advice should be given on what to do if and when such symptoms occur.
- 69. Reference to a psychotherapist is not to be ruled out and should help a delegate suffering stress to return to normal. This will also prevent slow and long-term mental deterioration. Every National Society should have a list of psychotherapists who can be called on to assist in difficult cases.
- 70. The delegate also needs to be made aware that they will need time to readapt to normal, non-delegation life. The period of readjustment can be very important for couples or families, where one partner or family member has been on mission while the other partner has, or family members have, taken care of affairs at home. This can generate misunderstandings and frustrations, with a common complaint being: "My role has not been fully acknowledged." Talking with delegates who have had the same or similar experiences can be helpful.

Recruitment of Delegates

Personal Insurance for Delegates

**Delegate Induction** 

Debriefing

Medical Evacuation/Repatriation

Managing Stress

Regulations for Field Personnel

# **Medical Evacuation/Repatriation**

# Medical Evacuation/Repatriation

The decision to evacuate or repatriate a delegate for medical reasons is a major one in emotional, medical and administrative terms. A delegate can be sent home because of injury or illness – physical or mental – or because of a lack of adequate medical facilities in the host country.

Procedures for hospitalisation and medical evacuation are to be included in the delegation's security regulations. Arrangements should be made in advance for the local hospital (for hospitalisation), transportation and referral hospital in the country of evacuation (for medical evacuation/repatriation)

Medical Evacuation/Repatriation can be implemented as soon as the need is confirmed in writing by a qualified medical doctor at field level. In cases of serious injuries and/or illness, or where the life of a delegate is in imminent danger, and if normal airlines cannot be used, the Head of Delegation, after getting a written confirmation by a qualified medical doctor, can authorise the charter of a special aircraft to the nearest location for adequate medical treatment.

The Organisation and Staffing (OS) Unit is responsible for co-ordinating medical evacuations at the Secretariat. It ensures immediate round-the-clock communication between the delegation, the contracting National Society and the insurance company. If necessary, OS can contact the insurance company directly.

Medical evacuation should be reported to the Secretariat as stated in Security Regulations

Following a medical evacuation and the recovery of the delegate, a new medical clearance is to be obtained before the delegate is allowed to resume his/her mission.

The contracting National Society or the Federation Secretariat (for delegates insured by the Federation) has to inform the insurance company and obtain new clearance regarding the delegates' coverage.

Personal Insurance for Delegates

# **Managing Stress**

## Stress factors

71. Life on a mission may be very different from the everyday life in the delegate's home environment. While a few of the usual stress factors in daily life may be missing, there will be many extra ones added.

Stress is an unavoidable reality, and the level of stress in a delegation is often higher than in normal life.

72. Stress can have both positive and negative sides. Pressure can push delegates to perform at their very best; pressure can be overwhelming and drive delegates to exhaustion or depression. There are many factors causing stress on mission – the disaster itself and the difficult conditions surrounding it (i.e. a high mortality rate); insecurity, uncertainty and lack of safety and support; various frustrations stemming from unmet needs and expectations or conflicting expectations; poor communication or lack of it both inside the delegation and with the National Society; cultural differences and the inevitable change in the delegate's lifestyle and environment. The way the delegates themselves interpret the actual events may also increase or decrease the stress level.

Some delegates may already be under stress before going on mission because of personal or professional worries. However, such problems are unlikely to be solved by a mission that can itself be highly stressful. Moreover, such individual problems may make life more difficult for other delegates.

# Types of Stress

#### **Basic Stress**

A mixture of positive and negative stress related to the situation itself. Delegates should learn how to prevent it and cope with it. Delegates need to be prepared for this and learn how to develop strategies to cope with it. Basic stress normally decreases after the first weeks of a new assignment.

#### **Cumulative stress**

It follows prolonged exposure to work and non-work factors and may develop into professional exhaustion known as "burn out".

# Traumatic stress

This is caused by situations outside the range of everyday experience, where the delegate's life is perceived to be under immediate threat, or if he/she witnesses or is subject to violence or natural disaster. Traumatic stress might further develop into Post Traumatic Stress Disorder (PTSD), a pathological condition which will require referral to mental health specialist.

# **Signs of Stress**

- 73. The many and varied symptoms of stress are in fact *coping mechanisms* and normal reactions to abnormal situations. Each individual will have his or her own way of manifesting stress, based on personal and cultural background.
- 74. *Physical signs* of stress are probably the most common ones, experienced by nearly everybody. They include generalised aches and pains, chest pains, headaches, cardio-vascular indications (with or without changes in blood pressure), thirst, dry mouth, nausea, vomiting, diarrhoea, diffuse sweating and chills. Normally they are not life-threatening. If no physical cause can be found for such symptoms, then psychological stress could be the explanation. However, the tendency to blame stress for everything should be resisted.
- 75. *Fear* is a normal safety reaction in threatening situations. However, when a delegate expresses unrealistic fears or anger, or guilt or anxiety about something for which he or she is not responsible, or complains of recurrent thoughts or dreams affecting his or her work, then stress may be the likely cause. Fear and/or irrational thoughts can dramatically increase stress levels.
- 76. Another stress symptom is an *abnormal memory*, which forgets significant events/details and at the same time remembers irrelevancies. Difficulty in concentrating, which may result in poor decision-making, can also be symptomatic of stress with a potentially damaging impact on the delegation.
- 77. More important changes in behaviour can occur after lengthy exposure to stress. The delegate may progressively *withdraw* from his or her colleagues, friends or family. A warning sign of this is when a National Society calls the delegation for news of a delegate at the request of his or her family who have stopped receiving letters and/or phone calls.
- 78. *Hyperactivity* can be confused with enthusiasm and dedication. However, a delegate unable to stop, who relentlessly increases the workload without concern for its relevance and also stops questioning the effectiveness of what he or she is doing is more likely to be a victim of stress.

- 79. *Smoking* increases on mission and individuals who smoke tend to consume more cigarettes than they would normally. Stressful situations increase smoking, but smoking will *not* necessarily reduce stress. In fact, it can bring more stress in the long term.
- 80. Stressful situations increase *drinking*, and individuals who drink tend to consume more alcohol than they would normally. However, alcohol does *not* reduce stress; on the contrary the more a person drinks the less he or she can cope with stress. Alcohol can also bring more stress in the long term.
- 81. Most alarming is *anti-social behaviour*: when the delegate may unreasonably break the rules or offend the customs of the host country. If neglected, such behaviour can compromise or place at risk other delegates and/or the programme.

#### **How to Avoid Mission Stress**

- 82. Heads of Delegation have a key role to play in creating as far as possible a "low" *stress working* and *living environment* in a delegation. They ought to ensure that delegates follow a regular work pattern, including a manageable workload. This also applies to the Heads of Delegation themselves.
- 83. Lack of clarity in assigning tasks and poor information flow can often increase the stress level. It is important therefore that the delegate has a clear idea of what is expected of him or her. As most of these tasks should be clearly specified in position description and mission instructions and objectives, these documents should always be kept up-to-date and amended if the delegates' tasks significantly change. Even where no formal amendment is required, the Head of Delegation should always try to specify the delegates' new or changing tasks as clearly as possible, avoiding ambiguity and lack of clarity.
- 84. Heads of Delegation should encourage and facilitate extensive professional and personal *communication* inside the delegation. Delegates have different cultural backgrounds, with different ways of communicating and expressing feelings. Every member of the delegation should have the opportunity to express him or herself in any way he/she feels comfortable with.
- 85. The delegate can also avoid a certain amount of stress by making sure he or she lives and works in adequate *working* and *living conditions*. While one should be prepared for a certain lack of comfort, particularly during the initial emergency phase of an operation, delegates themselves and, in particular, the Head of Delegation should make every effort to establish a reasonably healthy standard of living in terms of food, accommodation and working conditions.

# **Treating Mission Stress**

86. The first response to stress is to provide comfort and care: the affected delegate should be able to rest and, if necessary, be given a rest and recuperation period away from the delegation. The stressed delegate should be encouraged to speak about his or her problems, frustrations or unmet expectations in an informal and friendly context. Attentive and friendly *listening* is the first and the simplest thing to do to help a stressed person. Everything should be done to ensure that words match deeds when responding. If these steps are ineffective in relieving the stress, the delegate should then be referred for counselling to a health professional. Medication can be prescribed, but only by a qualified person.

In most cases simple and timely measures can effectively mitigate the consequences of stress. The delegation and its members will always play a critical role in providing immediate support to a delegate in need.

- 87. Support from the Secretariat in such cases is inevitably limited by distance and lack of first-hand knowledge of the problem. However, delegates can at any time contact the psychotherapist of the Federation for support: these contacts will remain strictly confidential.
- 88. To the extent possible the work of a delegation should not be jeopardised by individuals' psychological problems. Ideally, the problems should be *prevented* from developing; mitigated if they do occur; and treated by health professionals where necessary. It is essential, however, that they never be left to reach such an extreme as to negatively affect the delegation's performance.

#### **Trauma**

89. An extreme case of stress is trauma. Stress can turn to trauma if the delegate's life comes under threat e.g. he or she is involved in a major accident with many victims, held at gun point, or otherwise subjected to violent or aggressive behaviour. Trauma can also result from a long and slow process of building tensions that suddenly breaks down into crisis. It demands management by a health professional. Delegates who come to the end of their mission with a feeling of helplessness may develop a psychological state close to trauma and manifest post traumatic stress disorders.

If inadequately managed or ignored, major stress and trauma can lead to serious psychological disorders, social marginalisation and even suicide.

90. The traumatised delegate should be referred to a health professional who preferably speaks the delegate's mother tongue. If necessary, arrangements can be made to evacuate the delegate either to Geneva or to his or her National Society. In the meantime, measures should be taken at the delegation to provide the appropriate material and emotional support The delegate should be kept informed about his or her condition and of the plans for evacuation – by, whenever possible, the Head of Delegation. The delegate's possible feelings of guilt about the situation should be discouraged and adequate rest provided. In trauma cases there is a potential for deterioration. All relevant details on the case should be shared with the Employment Relations; if necessary Organisation and Staffing will forward this information to the delegate's National Society.

Responsibilities and Reporting Lines

**Delegate Induction** 

Delegate Health

Personnel Management

Communicating Internally

Note:In a Matrix organisation comments should always be sought from the dotted line manager as well as the direct line manager. Form included in the review documents.

[2]Midyear form is included in the review documents.

[3] Consult the Matrix of Structured Learning Opportunities in the Appendices for information on workshops aimed at helping you develop and improve your competencies.

# Field Personnel



# Chapter IX - Rules and Regulations

**Rules of Conduct for Personnel** 

**Rules of Conduct for Adult Family Members** 

**Regulations for Field Personnel (Delegates)** 

**Grievance Procedures for Federation Delegates in the field** 

**Disciplinary Procedures for Field Delegates** 

**Guidelines for Delegate Training and Development** 

**Security Regulations** 

# **Rules of Conduct for Personnel**

The Rules of Conduct for Personnel apply to all persons (including delegates, delegation-contracted staff, volunteers and consultants) working in an operation managed or co-ordinated by the International Federation, whether those persons are on duty or off duty.

The person concerned must sign the Rules of Conduct in duplicate. He/she must give one original to his/her Head of Delegation for their personal file in the delegation. The second original document must be sent to Organisation and Staffing (ideally through the person's National Society when they brief there) for their personal file in Geneva.

# Rules of Conduct for Personnel

The Rules of Conduct set out below apply to the delegates, local staff, volunteers and consultants working in an operation managed or co-ordinated by the Federation. All these categories of field personnel are required to establish professional and personal relations and to practise working methods that will build confidence in the Federation and its member Societies. They must be aware of the fact that their actions may have important consequences for many human beings.

The Federation and its member National Societies often act in situations of war, internal disorder and various states of emergency. Working in such circumstances can expose field personnel to physical danger, making it necessary to exercise caution at all times. Above all else in such circumstances, field personnel must strictly follow Federation Security Regulations.

Red Cross and Red Crescent personnel on mission, either on or off duty, and their family members where present, must neither say nor do anything to contravene the Fundamental Principles of the Movement – particularly those of Impartiality and Neutrality.

Adult (aged 18 years or more) family members who accompany a delegate to the country of assignment must also sign a special version of the Rules, which place them under similar obligations.

In consequence, the undersigned agrees:

- 1. to pay due respect to the religious beliefs, customs and habits of the population of the country of assignment, and to conduct himself/herself accordingly;
- to observe strictly the laws and regulations of the country of assignment, including those concerning security, traffic rules and currency exchange; the delegate and his/her family members cannot expect any support from the Federation if he/she knowingly contravenes such laws and regulations;
- 3. to enquire from the Secretariat on the rights and obligations deriving from the legal status of the Federation delegation in the country of assignment, and to observe strictly the corresponding obligations;
- 4. to respect and to promote respect for the emblems of the Red Cross and Red Crescent;
- 5. not to use or to have in his/her possession weapons or ammunition at any time;
- 6. to dress in a manner appropriate to the assignment, avoiding any impression of military status and refraining from wearing Red Cross and Red Crescent insignia when not on official duty (except insignia of small size, such as a lapel pin);

- 7. to abstain from undertaking any public, professional, commercial or academic activities outside of those specified in the delegate's job description/mission instructions without permission from the Secretary General of the Federation;
- 8. to observe discretion during the assignment and in relation to anything he/she may witness when carrying it out, including during the period following the assignment;
- 9. to avoid making references to political and military situations in official or private communications, including conversations, telephone calls, radio messages, cables and letters, except for Heads of Delegation or Sub-delegation, or persons acting on their behalf in communications among themselves or between themselves and the Secretariat of the Federation, these communications to be strictly limited to what is necessary for the accomplishment of their task;
- 10. to refuse any financial or material gifts, or promises of such gifts or other advantages, except for the token presents which are customarily offered;
- 11. not to commit the Federation, either financially or in any other way, unless officially authorised to do so; to administer with exactness and care the funds and material supplies entrusted to him/her, and to be prepared throughout the assignment to render an account of the use of such funds and supplies;
- 12. to keep the Head of Delegation (or Sub-delegation, or the Federation Secretariat, as the case may be) informed of his/her movements and not to leave the country of assignment, or to take local leave, without permission from the Head of Delegation or the competent Desk Officer in the Secretariat according to the Regulations for Field Personnel;
- 13. to adhere to the Federation policy on zero tolerance to drinking and driving; it is forbidden to drive any Federation vehicle with any alcohol in the blood; drinking and driving will be considered as misconduct under the Federation's disciplinary procedures. Depending on the seriousness of the case, it may be considered gross misconduct.
- 14. to be prepared, should the circumstances require, for transfer to another Red Cross and Red Crescent assignment, subject to its compatibility with his/her qualifications;
- 15. to return at the conclusion of the mission all Federation material, including identity card and insignia issued to him/her;
- 16. to refrain from publishing articles or research findings resulting from the mission, without first clearing the text with the Federation Secretary General, including during the period following the assignment;
- 17. regarding the execution of his/her mission, not to have contacts with organisations other than the Federation without authorisation of the Head of Delegation or the competent Desk Officer in the Secretariat;
- 18. to act in conformity with other instructions and directives from the Federation.
- 19. to refrain from any act or omission, or from any words which may bring discredit to the Federation.
- 20. As a representative of the Federation in your country of assignment, you shall comply, where applicable, with the terms and conditions of the Status Agreement concluded by the Federation with the Government of that country. Unless otherwise specified by the Status Agreement, you are subject to local laws and regulations, with which you have a duty to comply. The Status Agreement may provide for immunity from jurisdiction in order to assist the Organisation in fulfilling its statutory objectives. Even when acts accomplished in the exercise of your official duties on behalf of the Federation are normally covered by immunity from jurisdiction, the Secretary General is solely competent to determine what is meant by "in the exercise of official duties" and whether or not in any particular case, such acts shall be covered by immunity. You will be liable for any acts not covered by the immunity from jurisdiction.

This document forms part of the contractual obligations of the undersigned.

Crescent Movement. I also declare that I shall	observe the Rules set f my family, to my coun	ndamental Principles of the International Red Cross and Red et out above. If I do not do so, the Federation Secretariat is authorised untry of recruitment or country of origin, without prejudice of my ee from a personal fault.
SignaturePlace	Date	
These Rules came into force on 1 January 198 and 4 January 1999	34. They were subsequ	quently revised on 1 April 1991, 25 July 1995, 23 September 1996

# **Rules of Conduct for Adult Family Members**

Rules of Conduct for Adult Family Members of Federation personnel working in an operation managed or co-ordinated by the International Federation of Red Cross and Red Crescent Societies

The Rules of Conduct set out below apply to the adult (aged 18 years or more) family members of personnel and volunteers, placing them under similar obligations to delegates, local staff, volunteers and consultants working in an operation managed or co-ordinated by the Federation. In a similar way to these categories of field personnel, the family members must ensure that their behaviour will help build confidence in the Federation and its member National Societies. They must be aware of the fact that their actions during their stay with the delegate may have important consequences for many human beings.

The Federation and its member National Societies often act in situations of war, internal disorder and various states of emergency. Working in such circumstances can expose the delegate's family members to physical danger, making it necessary to exercise caution at all times. Above all else in such circumstances, family members must strictly follow Federation Security Regulations.

Family members must neither say nor do anything to contravene the Fundamental Principles of the Movement – particularly those of Impartiality and Neutrality – during their entire stay in the delegate's country of assignment.

In consequence, the undersigned agrees

- 1. to pay due respect to the religious beliefs, customs and habits of the population of the country of assignment, and to conduct himself/herself accordingly;
- 2. to observe strictly the laws and regulations of the country where he/she stays during the delegate's assignment, including those concerning security, traffic rules and currency exchange; the family member cannot expect any support from the Federation if he/she willingly contravenes such laws and regulations;
- 3. to respect and to promote respect for the emblems of the Red Cross and Red Crescent;
- 4. not to use or to have in his/her possession weapons or ammunition at any time;
- 5. to dress in a manner appropriate to the country of assignment, avoiding any impression of a military status and refraining from wearing Red Cross and Red Crescent insignia;
- 6. to abstain from taking any job within the Federation delegation (whether voluntarily or on a paid salary) if there are any hierarchical implications for the delegate whom he/she is accompanying;
- 7. to abstain from undertaking any public, professional or commercial activities which conflict with or adversely affect the work of the Red Cross/Red Crescent, without permission from the Secretary General of the Federation;
- 8. to observe discretion during his/her stay in the country of assignment, in relation to anything he/she may witness, including during the period following their stay in the delegate's country of assignment;
- 9. to avoid making references to political and military situations in official or private communications, including conversations, telephone calls, radio messages, cables and letters;
- 10. to refuse any financial or material gifts, or promises of such gifts or other advantages, except for the token presents which are customarily offered;
- 11. to keep the Head of Delegation (or Sub-delegation, or Federation Secretariat as the case may be) informed of his/her movements.
- 12. to be prepared, should the circumstances require, for transfer to another country;
- 13. to refrain from publishing articles or research findings resulting from the mission, without first clearing the text with the Federation Secretary General, including during the period following the stay in the delegate's country of assignment.

<ol><li>14. to act in conformit</li></ol>	y with other	instructions ar	nd directives	from the	Federation.
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Regulations for Field Personnel (Delegates)

above. If I do not do so, of recruitment or the cou	the Federation Secretariat	oss and Red Crescent Movern is authorised to arrange for m e I accompany, without prejud	me of the delegate) declare that I shall respect the ment. I also declare that I shall observe the Rules set out by immediate return, and that of my family, to the country dice to my personal administrative, civil or penal
Signature	Place	Date	

These Rules came into force on 1 January 1984. They were subsequently revised on 1 April 1991 and 25 July 1995.

# General

# Purpose

1. The Regulations for Field Personnel are aimed at providing standard conditions for field personnel who are engaged in Federation operations and programmes, and for the respective departments in the Secretariat responsible for directing them.

#### National Society Contracts

2. In the interest of achieving uniformity, National Societies issuing contracts are encouraged to harmonise relevant contractual conditions with those established in these Regulations, particularly relating to baggage allowance, leave and assistance to families. If there are any benefits due to delegates under the Federation Regulations for Field Personnel (Delegates) which are not also provided for under National Society regulations or contract, these benefits will not be automatically provided to the delegate by the Federation.

#### Application

3. These Regulations apply as such to any delegate employed under Federation contract and form part of the contract between the delegate and the Federation, or the delegate and the National Society, as the case may be. As well as the Regulations, the Rules of Conduct, and other pertinent Federation Regulations, Rules and Procedures apply to all delegates on mission.

# **Delegation Monthly Subsistence Allowance**

### **Purpose**

4. The monthly subsistence allowance (MSA) is an allowance paid to delegates on mission and is intended to cover their expenses for meals, local taxis, tips and miscellaneous items. *The monthly subsistence allowance is not a salary supplement, nor is it intended to cover all non-reimbursable expenses arising on mission.* 

# Application

5. The system is applicable to all delegates assigned to field missions, whether they are contracted by a National Society or directly by the Federation Secretariat. It also applies to National Society staff-on-loan assigned to the Secretariat and to Secretariat staff on mission for more than 30 consecutive days. (A different system is in place for Secretariat staff going on short field visits).

# Rates

6. The data is based on an international cost of living survey carried out by CC&T consultants using data from Eurocost. There are two MSA rates – high (CHF 75/day or CHF 2250/month) and low (CHF 55/day or CHF 1650/month).

#### Travel

- 7. Delegates going on professional trips outside their country of assignment will continue to receive the MSA rate of their country of assignment.
- 8. A CHF 20 "travel allowance" will however be added to the MSA for each day of travel including travel days. The travel allowance will include the departure/returning day providing the delegate leaves before 12 a.m. or returns after 12 a.m. If a delegate is reassigned to a new delegation, the travel allowance will apply until the end of the first month of reassignment, after which the MSA rate of the new country of assignment will apply. (The travel allowance is paid in arrears and will be added to the MSA for the following month. The travel allowance should be recorded on the MSA control sheet).
- 9. No payment of MSA will be due for travel days when going on holidays.
- 10. There is no special rate for staying in a hotel.

# Rest and Relaxation (R & R)

11. Delegates taking R&R leave in the country of assignment continue to receive the MSA rate of their country of assignment. Delegates going on R&R in a country other than their country of assignment will get the rate of their country of assignment plus an additional CHF 20 for each day spent on R&R, excluding travel days unless the destination of R&R is home in which case neither the MSA nor the travel allowance are paid. (The R&R travel allowance is paid in arrears and will be added to the MSA for the following month. It should also be recorded on the MSA control sheet).

# Attendance at workshops/courses/meetings

12. Should a delegate attend a full-board workshop/course etc. (= where accommodation and 3 meals/day are provided), whether in his/her country of assignment or elsewhere, only the "travel allowance" of CHF 20 per day should be paid for the duration of the workshop/course/meeting. Should the workshop/course/meeting not be full board, the delegate should receive the total MSA. This should also apply to delegation-contracted staff and National Society staff attending such meetings.

# Briefing in Geneva

13. Delegates coming the Geneva for briefing will get in Geneva a daily allowance as follows:

(a) arrival in Geneva before and up to 12h00

(b) arrival in Geneva after 12h00 and before 20h00

(c) arrival in Geneva after 20h00

full daily allow. (CHF75) 2/3 of daily allow. (CHF50)

no daily allowance

(a) departure from Geneva before and up to 12h00

(b) departure from Geneva after 12h00 and before 20h00

(c) departure from Geneva after 20h00

no daily allowance 2/3 of daily allow. (CHF50) full daily allow. (CHF75)

# Debriefing/Visits to Geneva

14. Delegates coming to Geneva for visits or debriefing will have to take the allowance corresponding to the duration of their stay in Geneva before they leave the field. Should the allowance not be paid in the field for debriefing in Geneva, it is the responsibility of the Head of Delegation or the Finance/Administration Delegate to inform Organisation and Staffing (with copy to the concerned Regional Department) in due time. Without clear instructions from the delegation, no allowance will be paid in Geneva for debriefing.

# Payment

- 15. The MSA will be paid in a lump sum, on a monthly basis, in principle at the beginning of each month, based on the applicable country-specific MSA rate (The MSA rates are available at all delegations).
- 16. All monthly subsistence allowances must be paid in local currency unless special authorisation for payment in hard currency as been granted by the Regional Department concerned and the Finance Department at the Secretariat.
- 17. Deductions to the lump sum should only occur when the starting or ending date of a mission take place in the course of a given month or when delegates are on holiday.
- 18. No payment of the MSA will be due for travel days when going on holiday.
- 19. Delegates on sick leave will continue to receive MSA as long as the sick leave is not taken in the home country.
- 20. Payment of the MSA for the last month of mission should be held until the delegate's private telephone bill and/or other outstanding expenses are settled.

## Changes to the MSA Rates/System

21. The MSA system will be revised once a year, taking into account cost of living data and the views of delegations and Regional Departments. The annual review will take effect every July 1st. Ad hoc reviews may also take place if a new delegation opens or if the circumstances of an existing delegation change radically. All changes must be approved by the Director, Human Resources. The updated MSA rates/system are communicated to all delegations.

# **Representation Costs**

- 22. Representation refers to official entertainment in restaurant or at home of persons from outside the delegation and members of the delegation whose presence is necessary for the occasion. Costs related to internal delegation events are *not* reimbursable.
- 23. With regard to representation costs, the price levels vary from country to country. Maximum *unit price* (cost of meals per person) is defined by the Head of Delegation based on a local price level. It should be documented and made available in writing. Maximum unit prices should not exceed those fixed for Geneva, i.e. CHF 35/person for lunch and CHF 40/person for dinner at home, CHF 45/person for lunch and CHF 55/person for dinner in a restaurant. Any adjustments of maximum unit prices shall be dated and documented. Financial documents and exact calculations pertaining to representation costs should clearly indicate the names of the guests, the organisation they belong to, the name of the host and the purpose of the invitation.

# Salary

# Payment

- 24. Each delegate will receive a monthly salary defined by his or her contracting National Society, or by the Federation's Organisation and Staffing Unit for delegates under Federation contract.
- 25. Delegates under Federation contract will have to open a private bank account in Geneva (or anywhere else in Switzerland) where their salary will be paid. By law, salaries cannot be paid outside Switzerland. At the end of his or her mission the delegate is obliged to close this private account.

#### Accommodation

# Hotel

- 26. In the initial stage of a mission, a delegate may be accommodated in a hotel. The choice of hotel should be governed by the mission's requirements, and the cost should be kept at reasonable level, approved by the Regional Department.
- 27. While a delegate is accommodated in a hotel, the Federation will reimburse reasonable expenses incurred for laundry and drycleaning. Should the Federation cover meals as well, the equivalent amount shall be deducted from delegate's per diem.
- 28. After the first two months, the continued use of a hotel room requires the approval of the Head of Delegation or, in the absence of a

delegation, that of the Federation Secretariat. The question should be reviewed at regular intervals. Only in exceptional circumstances should a delegate be accommodated in a hotel for extended periods.

# Private House or Apartment

- 29. Where accommodation is needed for more than two months, either for an individual mission or for an operation as a whole, appropriate arrangements should be made to rent a house, or an apartment where possible. Delegates shall under normal circumstances have the right to one room each while sharing kitchen and other facilities. It is important that the delegates are living in acceptable standard accommodation conducive to both good health and security. Nevertheless, it is equally important for the Federation's image not to be ostentatious and not to give the impression that the Federation is promoting high lifestyle.
- 30. The terms of the lease, including the rent, should be agreed by the appropriate Regional Department at the Federation Secretariat, which will issue the necessary authorisation enabling the delegation to sign. In exceptional cases, the lease may be signed by the country's National Society, following agreement with the Federation Secretariat. All rental payments must conform to the currency regulations in the country of assignment.
- 31. Should the house or apartment be unfurnished, the Federation will be responsible for providing basic furniture and household necessities. (A basic furniture and equipment list is attached to the present Regulations.) The delegation is responsible for insuring the building and its contents against all risks, the cost being payable by the Federation. The delegate(s) living in the house or apartment will be made responsible for any damage or breakage caused by his or her negligence.
- 32. The Finance/Administration delegate, if one exists, or the Head of Delegation should establish and maintain an inventory of the items in the house or apartment, designating which items are the property of the Federation or as the case may be of the delegate, and which items are the property of the landlord. A copy of this inventory should be submitted to the Head of Delegation, with a copy to the Federation's responsible Desk Officer.
- 33. In the event of a change of delegates, the outgoing delegate should submit an inventory to his or her replacement as part of the handover procedure. Should a handover not be possible, the Finance/ Administration delegate will be responsible. In the absence of a Finance/Administration delegate, this responsibility will remain with the Head of Delegation.
- 34. At the end of the lease the delegation is responsible for disposing of the contents of the house or apartment and crediting the proceeds to the Federation account, subject always to special arrangements for items imported free of duty and tax. The disposal of any private belongings will remain the responsibility of the delegate concerned.

#### Shared Accommodation

35. Delegates will be expected to share accommodation whenever possible. In such cases the Head of Delegation will be responsible for making the most reasonable allocations, allowing for privacy. Every effort must be made to accommodate families separately.

# **Duplicate Lodging**

36. Expenses for duplicate lodging, which may occur when a delegate undertakes duty travel or goes on leave for a short period, should be kept to a minimum. Should a delegate wish to keep a hotel room during an absence of more than one week, he/she should obtain the approval of the Head of Delegation or, in the absence of a delegation, that of the appropriate Regional Department at the Federation Secretariat.

# Domestic Expenses

- 37. A delegate occupying furnished or unfurnished accommodation may engage domestic staff, providing that no charge falls on the Federation.
- 38. Should the employment of security guard(s) be required, the Federation will meet the cost thereof. The decision to hire such guards is taken by the Head of Delegation who will ensure that the Federation Secretariat is properly informed.
- 39. The Federation will meet the cost of all utility services in accommodation occupied by delegates i.e. gas, electricity, water, telephone installation, rental and business calls. Should the Federation cover meals and laundry as well, the equivalent amount shall be deducted from delegate's per diem.
- 40. Delegates are responsible for noting any private telephone calls and refunding the cost of such calls to the Federation, on a monthly basis, prior to their departure from country of assignment. It is the responsibility of the Finance/Administration delegate to ensure that the outstanding telephone bills are settled. In the absence of a Finance/Administration delegate, this responsibility will remain with the Head of Delegation.

# **Medical Expenses**

# Medical Check-up

41. All delegates must have a full medical check-up and receive a medical clearance certificate before their departure on assignment. They should also have check-ups on a yearly basis during their mission, and at the conclusion of their assignment. The costs of such medical check-ups will be covered by the contracting National Society, or the Federation for delegates directly contracted by the

Secretariat. In case of medical evacuation a medical clearance certificate will be requested before the delegate can be sent on mission again.

42. Medical expenses must be paid by the delegate with his/her own funds. The delegate is responsible for submitting the invoices to his/her insurance or National Society for reimbursement. In exceptional cases, and for amounts exceeding 1,500 CHF, operational funds can be used, following written authorisation of the Head of Regional Department. The expenses will be reimbursed by the contracting National Society or the insurance company Interbroke, for delegates directly contracted by the Secretariat.

# **Medical Check-up**

Medical clearance certificate						
This questionnaire must be completed by a Registered Medical Practitioner in conjunction with the proposed staff member						
who will be undertaking an overseas mission in (countries)						
for a pe	eriod of					
NOTE: The following conditions are likely to be aggravated in the tropics and/or can expose the delegate to increased health risks. The deployment of the delegate will therefore require careful assessment of both the individual situation and level of available health care in his/her area of assignment. Post infarctus, renal disease, chronic respiratory disease, chronic skin disease, chronic otitis externa and media, diabetes, rheumatism, various forms of epilepsia, alimentary disease (peptic ulcer, colitis), sinusitis, mental and stress disorders, alcoholism.						
Name						
Date of birth						
Sex						
PERSONAL HISTORY (to be completed by the Delegate)  Have you suffered from any of the followings? (Answer Yes or No against each. If y	ves indicate wher	n)				
	YES	NO	WHEN			
Asthma or Hay fever	0	0				
Tuberculosis	0	0				
Rheumatic fever	0	0				
High blood pressure	0	0				
Heart and blood vessel disease	0	0				
Ulcer of stomach or duodenum	0	0				
Jaundice, liver diseases	0	0				
Urinary disorder, kidney trouble	0	0				
Back pain, joint problems	0	0				
Skin disease	0	0				
Any nervous or mental disorder	0	0				
Fainting spells, convulsions	0	0				
Epilepsy	0	0				
Diabetes	0	0				
Malaria	0	0				
Head injuries, concussions	0	0				

Accidents / serious injuries	0	0				
Operations (please specify)	0	0				
Other illnesses (please specify)	0	0				
Hospitalisation (during last 10 years), indicate reasons	0	0				
Health problems during previous missions (if yes, specify)	0	0				
Are you being treated for any condition now? (please indicate the disease and list	all medications vo	ou are currently t	aking)			
, and the same and	,					
Please list any allergy (drugs, insects, food, vaccinations, and describe reaction: ra	sh, collapse)					
Have you in the past suffered any condition which prevented travel by air?						
Do you smoke regularly?						
• Yes						
o No						
If so, what do you smoke?						
Pipe						
o Cigarettes						
o Cigar						
For how many years have you smoked?						
How much per day?						
Daily consumption of alcoholic beverages						
Do you consider yourself to be in good health						
1						

FAMILY HISTORY (note relevant details)
Signature of delegate
Date
Vaccination Schedule and Recommendation
> Yellow Fever: Required for all delegates going to Africa and Latin America. It is required by some countries if a person is coming from an area where yellow fever is endemic.
It is effective 10 days after the shot, or immediately in case of booster. It is valid 10 years
Date
Strongly recommended vaccines
○ Hepatitis A: (1440 iu/ml) 2 shots spaced 6-12 months - booster every 10 years
○ Hepatitis B: 3 shots spaced 0-1-6 months - booster every 8-10 years, mandatory for health staff
Tetanus: 1 shot - booster in adulthood every 10 years - childhood vaccination
Polio: - injectable or oral - Booster in adulthood every 10 years - childhood vaccination
<ul> <li>Diphtheria: 1 shot - It is often combined with Tetanus vaccine - Booster in adulthood every 10 years - childhood vaccination -</li> <li>Required for delegate going to NIS</li> </ul>
Typhoid: injectable 1 shot - booster every 3 years
oral 1 tab taken at day 1-3-5 booster every 2 years
Recommended (depending on location and situation)
Meningitis: 1 shot - booster every 3 years - Strongly recommended for delegates working in emergency situations
○ Tuberculosis: BCG lifelong. Immunity must be checked before vaccinating with Mantoux or PPD tests. <u>Strongly recommended</u> for delegates going to NIS
Cholera: oral booster every year
□ <b>Japanese Encephalitis</b> : 3 shots spaced on day 0,7, 30 - Booster after 1 year, then booster every 3-4 years. Required for North Korea and recommended for Nepal, Vietnam and Cambodia for long term delegates. For other Asian Countries check with WHO or Travel Medicine Centre
Rabies: 3 shots on day 0,7,28 booster after 1 year, then booster every 3 years - Recommended for Nepal and Afghanistan
Measles on demand - lifelong Immunity must be checked first
Physical Examination

(to be completed by the examining Doctor)

Name					
Date of birth			Sex		
Is the patient kn	own to your pract	ice			,

Respiration	)	<u></u>	Pulse		
Respiration			Pulse		
Distant vision					
			Dental FIT /	UNFIT	,
ye	Rt	Lt	WITH/WITH	OUT glasses	
			Hearing: Rt.		Lt
ar, Nose, Thro	oat				
Jpper Limbs			Lower limbs.		
				neart	
			Skin		
Endocrine					
Neurological (C	NS reflexes etc)				
	oort (if >50 yrs, or			yrs or risk factors id	
<pre><pre><pre><pre><pre><pre><pre><pre></pre></pre></pre></pre></pre></pre></pre></pre>					
_aboratory fin	dings				
<u>Jrine</u>	Albumin		Sugar		
	Microscopic				
Blood				······································	ESP
DIUUU	Haemoglobin				ESR
	Erytrocytes		Leucocytes.		
	Differential coun	ıt			
	Blood Group	Rhes	sus		
	Sugar		Cholesterol.		
	SGPT		Gamma-GT.		
	Creatinine		PAS (if indic	cated)	
241-			,	,	
Stools:	Blood		WBC		
if indicated)					
	Parasite		,		
	_ [				_1
Female - Reco	mmended				
Breast palpation		Right		Left	
		Axilla			
ap smear					

	(Please state your the proposed po	ur opinion on the physost)	ical and mental he	ealth of the deleg	ate and
Mr/Mrs/Miss		is F	IT/UNFIT		
Name of the exa	mining physician	(in block capitals)			
Address					
Signature			Date		
Stamp					
To be sent to th	e Health Officer a	at the Secretariat either	r by mail or Fax	,	,
Att:	Health Officer (c	•			
		211 Geneva 19, Swit: +41-22-730 49 58	zerland		

# Insurance

43. All delegates must have adequate personal insurance which should cover: sickness, accident (including death or disablement), risk of aeroplane crash and war (if the delegate will work in a conflict zone), luggage and personal effects, and medical repatriation. The cost of such insurance coverage will be incurred by the contracting National Society or the Federation for delegates directly contracted by the Secretariat.

# **International Travel and Baggage Allowance**

#### Trave

- 44. The contracting National Society, or the Federation for delegates directly contracted by the Secretariat, will pay the cost of one return journey for the delegate from the country of residence to the country of assignment. Travel will be by the most economical class and route available.
- 45. If a delegate wishes for personal reasons to return by any route other than the direct one, he/she may do so with the approval of the National Society or Federation, provided no extra cost falls on the National Society or the Federation. If the return journey chosen costs less than the amount which would have been paid by the National Society/Federation, the difference in cost is not payable to the delegate.

# Baggage Allowance

- 46. The contracting National Society, or the Federation for delegates contracted directly by the Secretariat, will pay the cost of up to 10 kilos of personal excess baggage (handed-over at the check-in desk) for all delegates on their outward and return journeys.
- 47. In addition, the contracting National Society, or the Federation for delegates contracted directly by the Secretariat, will pay the cost of unaccompanied baggage (which is carried at special cargo rates subject to certain conditions) according to the following scale:

	Outward Journey	Return Journey
Up to and including 6 months	0 kg	0 kg
Over 6 months and up to 12 months	30 kg	40 kg
Over 12 months and up to 2 years	50 kg	60 kg
Over 2 years	75 kg	85 kg

- 48. The contracting National Society, or the Federation for delegates contracted directly by the Secretariat, will cover the transport costs of the authorised amount of *personal* effects between the delegate's home and the place of assignment. However, all customs duties, dues and taxes, and the cost of storage, free port, handling and packing are paid by the delegate. The luggage of the delegate must be in conformity with all relevant customs and police regulations; the delegate will assume all responsibility in the event of any violation.
- 49. A delegate wishing to take more personal property as excess baggage and less as accompanied baggage, or otherwise vary the means of transport, may do so, provided that the total cost does not exceed that of the allowance indicated above.
- 50. A delegate wishing to store personal belongings between or during missions will have full responsibility to find suitable storage facilities and to pay any related costs.
- 51. The transportation of National Society or Federation property, project equipment, documents and mail conveyed at the request of the National Society/Federation is paid for by the National Society/ Federation.

#### **Local Travel**

#### Car for Official Use

- 52. Delegates will be provided with means of transport according to operational needs and financial possibilities. They must expect that there will be a necessity to *share* vehicles with other delegates. Should this be the case, the Head of Delegation will be responsible for making the most reasonable allocations. Should the purchase of vehicle(s) be necessary, the Federation Secretariat will give authorisation and arrange for the vehicle(s) either to be bought on-the-spot or to be delivered from the best available source.
- 53. All Federation vehicles should have a *log-book*. All journeys, gasoline purchases and maintenance should be recorded. Log-books can be obtained from gasoline suppliers. Otherwise the standard Federation form should be used.

# Driving Licence

- 54. Before driving any car, the delegate must have a driving license which is valid in the country of assignment, and for the type of vehicle to be driven. As a general rule, and especially outside urban areas, the delegate will be expected to use the services of a *local* driver. A photocopy of the driving license will be kept in the delegation's files.
- 55. It is the Head of Delegation's responsibility to verify that all cars driven on the Federation's behalf in the course of the mission are insured. The insurance should be comprehensive, and should at least cover third-party liability and passenger risks. If possible, fees for legal aid following accident should also be covered.

# Maintenance

- 56. Heads of Delegation must ensure that official cars are adequately maintained and serviced in accordance with the manufacturer's instructions while taking into account the use, climatic conditions and other relevant factors. They will also ensure that any use of the emblem on vehicles is in conformity with International Red Cross and Red Crescent regulations. Where there is only one delegate in a country, the insurance and maintenance of official cars are the responsibility of that delegate.
- 57. Delegates will be held personally legally and financially responsible for any damages or costs occurring to a Red Cross or Red Crescent official vehicle due to their negligence or carelessness, whether on or off duty. Delegates will also be held personally legally and financially responsible for any damage to property or person, unless such damage occurs during the course of normal duties and is not a result of carelessness or negligent behaviour.

# Limit of Use

- 58. Federation vehicles can *only* be driven by locally employed drivers and Federation delegates.
- 59. An official vehicle cannot be taken out of the country of assignment for official purposes without the specific approval of the Head of Delegation. In the case of a delegate being alone in the country of assignment, the approval of the Federation Secretariat must be sought before travelling. An official vehicle cannot be taken out of the country of assignment for any private purpose.
- 60. Regional and long-term delegates are recommended to buy private cars for their off duty use and for their families, as the case may
- 61. Federation delegates are permitted to use Federation vehicles for private purposes within the country of assignment when no alternative exists. A general clearance for this needs to be obtained from the appropriate Regional Department. Head of Delegation should give written authorisation for private use of Federation vehicles, specifying intended route, planned destination, number and identity of passengers. The log book should record the same data in addition to the routine data. Private use of Federation vehicles should, however, be kept to a minimum. Delegates are required to pay for petrol used for off-duty travel.

# Other Means of Transport

62. Taxis, for official purposes, may only be used where essential to the effective implementation of the mission. For delegates coming to Geneva for briefing, debriefing or on visit, the Federation will cover the following taxi costs:

- n from the airport to the hotel upon arrival in Geneva, and from the Secretariat/hotel to the airport when leaving Geneva, if no shuttle service is available:
- n from the hotel to the Secretariat and back for a maximum of two days, for longer stays the delegate will be shown how to use public transport;
- $\,n\,$  for any official meeting / appointment outside the Secretariat.
- 63. Car hire, for official purpose, should only be used when other possibilities are non-existent. In the event of prolonged hire (for more than six months), written authorisation from the Federation Secretariat should be given.
- 64. The written approval of the Federation Secretariat should be obtained for the use of other means of transport for delegates. This applies particularly to military transport, helicopters, non-scheduled air services, etc.

## Safeguards and Responsibilities

- 65. During the course of a mission, a delegate may have the occasion to travel in a private capacity within the country of assignment, or in a neighbouring country. In doing so he/she should strictly observe the mission instructions and Rules of Conduct, and avoid giving the impression that he/she is acting in an official capacity, if this is not the case.
- 66. In the event of an accident, a full report from the delegate(s) involved including a diagram of the accident and a police report will be submitted to the Logistics and Resources Mobilisation Department with a copy to the appropriate Regional Department at the Federation Secretariat. Additions or changes to this data may be subsequently required when claims are made against the insurance carrier.

# **Assistance to Families**

#### Definition

67. For the purpose of these Regulations, the *family* means a spouse or partner, living with the delegate prior to the mission and their dependants.

# Qualifications

- 68. The Federation permits its delegates to be accompanied by his/her family whenever this is justified by the length of the mission and when conditions in the country of assignment are appropriate. The decision as to whether a post qualifies for accompanied status (taking into account local security and living conditions) rests with the appropriate Regional Department based on the recommendation of the Head of Delegation and the advice of Employment Relations.
- 69. Approval for a delegate's family to join him or her will only be given if the period of the mission is at least 12 months in the same country of assignment.
- 70. Approval may be delayed or withheld altogether should the Secretariat judge that there is a specific risk or that living conditions are unsuitable.

# Rules of Conduct

71. Adult family members (18 years of age and above) joining the delegate must agree to be bound by the Rules of Conduct for Adult Family Members, and sign the declaration at the end of the Rules.

#### Working Relationship

- 72. A delegate's family member is not authorised to work within any Federation delegation (whether voluntarily or with a paid salary) if there are any hierarchical implications, where one family member is directly or indirectly reporting to another. However, as a general rule, the Federation does not encourage the employment of two family members within the same delegation.
- 73. A delegate's family member is not authorised to accompany the delegate during official field trips, nor may he/she attend official meetings involving the Federation.

#### Travel

- 74. The contracting National Society, or the Federation for delegates contracted directly by the Secretariat, will arrange and pay the cost of one return journey for each family member joining the delegate by the most economic route between the country of residence and the country of assignment.
- 75. If a family member wishes for personal reasons to return by any route other than the direct one, he/she may do so with the approval of the National Society or the Federation, provided no extra cost falls on the National Society or Federation. If the return journey chosen costs less than the amount which would have been paid by the National Society or Federation, the remainder is not payable to the family member or the delegate.
- 76. Should a delegate be accompanied by his or her family during periods of briefing and debriefing in Geneva, the Federation will pay the cost of a single room and the delegate will be responsible for paying the balance for additional accommodation.

77. No per diem allowance will be paid for family members.

#### Accommodation

- 78. Where the Regulations provide that the delegate can be accompanied by his or her family, the Federation will also pay the additional costs of accommodation for the family in the country of assignment.
- 79. Additional basic furniture and household necessities over and above those which would be necessary for a delegate when residing alone in a private house or apartment (see the basic furniture and equipment list) will be provided by the Federation when the delegate is accompanied by his or her family. A list of additional items needed should be submitted to the Federation Secretariat for approval prior to purchase.
- 80. The Federation will reimburse reasonable expenses incurred for laundry and dry-cleaning for family members while they are accommodated in a hotel, but only in the circumstances as described in these Regulations (see above, Accomodation / hotel).

# Family Baggage Allowance

- 81. The contracting National Society, or the Federation for the delegate directly contracted by the Secretariat, will pay the cost of up to 10 kg of excess baggage, on the outward and return journeys, for any additional family member.
- 82. In addition, the contracting National Society, or the Federation for delegates directly contracted by the Secretariat, will pay the cost of unaccompanied baggage for the spouse or partner and additional family members, according to the scale and under the conditions indicated in these Regulations (see above, Baggage Allowance).
- 83. A family member wishing to take more personal property as excess baggage and less as accompanied baggage, or otherwise vary the means of transport, may do so provided that the total cost does not exceed that of the allowance stipulated in these Regulations (see above, Baggage Allowance).

# Medical Check-up

84. Each family member should have a full medical check-up and provide Employment Relations with a medical clearance certificate before joining the delegate. They should have further medical check-ups on a yearly basis during their stay in the country of assignment, and at the conclusion of the delegate's mission. The cost of such medical check-ups will be covered by the contracting National Society or by the Federation for delegates directly contracted by the Secretariat.

#### Insurance

85. All family members joining a delegate must have adequate personal insurance which should cover: sickness, accident (including death or disablement), risk of aeroplane crash, luggage and personal effects and medical repatriation. The cost of such insurance coverage will be incurred by the contracting National Society or the Federation for delegates directly contracted by the Federation.

# School Fees

- 86. Should the family joining the delegate include children of between 4 and 18 years, the contracting National Society, or the Federation for delegates directly contracted by the Secretariat, will reimburse to the delegate the fees reasonably incurred in sending them to a school with standards comparable to those in the home country. For delegates under Federation contract the estimated costs of the school fees should be submitted to the appropriate Regional Department for approval of reimbursement.
- 87. School fees outside the delegate's country of assignment are not reimbursable.

# Family Allowance

88. A delegate having with him or her in the country of assignment, children for whom he/she is responsible is entitled to receive an allowance from the contracting National Society, or the Federation (for delegates directly contracted by the Federation), of CHF 150 per month for each child under 18 years of age, providing a birth certificate as a proof, and an official certificate stating that the family allowance is not paid in the country of residence.

# Non-Family Visits

- 89. When circumstances permit, delegates may receive visits from non-family members, provided that prior approval has been obtained from the Head of Delegation and that such visits entail no extra cost or inconvenience for the Federation or the National Society. The visit should occupy only off-duty time, and the visitors should not take part in the activities of the Red Cross/Red Crescent.
- 90. A delegate alone in the country of assignment will seek the approval of the appropriate Regional Department at the Federation Secretariat prior to receiving visits from non-family members.

#### Leave

91. Delegates who wish to take annual or other leave should seek the approval of their line manager, at least ten working days before the

leave is due to start.

- 92. Once approved by their line manager, delegates on National Society contract should inform their National Society directly of their wish to take leave, with a copy to the Recruitment Officer and Desk Officer in Geneva. If the National Society does not object within the five working days, the leave request will be considered approved.
- 93. Delegates on Federation contract must inform the Recruitment Officer and Desk Officer in Geneva of their leave dates once approved by their line manager.

#### Annual Leave

- 94. Theoretically speaking, a delegate is on duty 24 hours a day, seven days a week, especially during the emergency phase of a relief operation. However, outside of the emergency phase, the Head of Delegation is responsible for ensuring that delegates take adequate weekly rest periods.
- 95. All delegates are entitled to annual leave according to their contractual arrangements. A standard annual six weeks leave should be adhered to, if possible. Annual leave will normally be taken after the mission (or as pay in lieu) in case of contracts of six months or less. Alternatively a payment will be made in lieu of leave which will be calculated at the rate of 1/21 of the monthly salary paid during the last month of the contract. Delegates on mission for more than six months should obtain agreement from the Head of Delegation, and the contracting National Society or the appropriate Regional Department at the Federation for delegates directly contracted by the Secretariat, prior to taking any annual leave.
- 96. Annual leave may not be authorised for a period requested by the delegate if the volume of work does not permit the delegate's absence.
- 97. Annual leave entitlement includes travel time. No extra leave days will be given as travel time and no per diem paid for the travel days.
- 98. Any annual leave travel for delegates on mission for up to 12 months will be at their own cost.

#### Home Leave

- 99. Should the duration of an assignment reach or exceed 18 months, the delegate will be entitled to one paid return journey home. From that time the home leave entitlement will arise after each 18-month period of uninterrupted service.
- 100. If the home leave entitlement is not used, the delegate will not be entitled to money in lieu.
- 101. The term *home* refers to the country of residence of the delegate at the moment of his or her recruitment by the contracting National Society or the Federation.
- 102. The contracting National Society, or the Federation for delegates directly contracted by the Secretariat, will cover the cost of home leave travel which must be by the most economical class and route available.
- 103. Should the delegate have been joined by his or her family, the provisions 99-102 of these Regulations apply for all family members.
- 104. Should a delegate (and family if accompanied) choose to take home leave outside the home country, he/she may do so provided no extra costs fall on the contracting National Society or the Federation. If the ticket(s) to the country chosen cost(s) less than the amount which would have been paid for travelling to the home country, the remainder is neither payable to the delegate nor to his or her family.
- 105. As an alternative to a home leave, the contracting National Society, or the Federation for delegates directly contracted by the Secretariat, will pay the cost of one return journey for each family member to the country of assignment, or a neighbouring country, by the most economic class and route available. The same conditions apply as in Regulations 99-102.

# Compassionate Leave

- 106. In the event of the death (or serious illness, depending upon circumstances) of a close relative (father, mother, spouse, partner, child, brother or sister), during the course of the assignment, the delegate will be entitled to compassionate leave for a period of five clear days, excluding travel time. The cost of his or her journey home will be paid by the contracting National Society, or the Federation for delegates directly contracted by the Secretariat, if not already covered by insurance.
- 107. In the event of the death (or serious illness, depending upon circumstances) of a close relative of a spouse or partner accompanying a delegate, the contracting National Society, or the Federation for delegates directly contracted by the Secretariat, will pay for the spouse or partner to return home on the same basis as that set out in Regulation 106.
- 108. Should a child or children travel back home with the delegate or the spouse or partner concerned by Regulations 106 and 107, no cost will be paid by the contracting National Society, or the Federation for delegates directly contracted by the Secretariat, without previous consultation with the contracting body.
- 109. Regulations 106-108 apply regardless of the length of the assignment. There is no limit to the number of compassionate leave entitlements during a mission.

## Special Leave

110. In the event of a delegate getting *married* during the course of his or her mission, he/she will receive three days special leave, to be taken within two weeks before or after the wedding. If not taken during this period, these days will be lost. Any related travel costs will be covered by the delegate.

#### Compensation Leave

- 111. National holidays in the country of permanent residence do not apply. Delegates are requested to follow the national holidays in force in the country of assignment.
- 112. No payment will be due for overtime in any circumstances. No compensation will be due to delegates for the work carried out during national public holidays.

#### Rest and Relaxation

113. All locations where delegates are based will be categorised as one of the following:

y status and no R & R

- 114. These categories will be mutually exclusive of each other. This means that no location may have both R&R and Family status.
- 115. The criteria which will be considered when determining R&R or family status are security; access to health care/health risks; length of contract (missions of under 12 months are not entitled to accompanied status); the availability of family accommodation; and availability of visas. Delegates will be provided with information on other issues so that they and their families can take responsible decisions.
- 116. R&R applies to specific locations and therefore may not apply to all areas within a country.
- 117. R&R locations will be reviewed every 6 months, or more frequently if changing circumstances indicate that this would be appropriate.
- 118. Any change to R&R locations must be authorised in writing by the Director of Programme Coordination Division and the Head of Human Resources, in consultation with the relevant Head of Regional Department, the Security Co-ordinator and the Head of Delegation.
- 119. The Regional Department, Organisation and Staffing and where a delegate is contracted by a National Society the National Society must be notified by the Head of Delegation of the dates and locations of each delegate taking R&R.
- 120. Family postings will not be eligible for R&R, because postings with poor security or severe living conditions should not have accompanied family status.
- 121. R&R cannot be accumulated, taken as cash in lieu or taken during the first or last two months of mission.
- 122. R&R provisions will need to take into account operational needs, but being a staff welfare issue taking R&R is compulsory (including for the Head of Delegation) for those delegations where it applies.
- 123. R&R provision will normally be for 5 calendar (not working) days excluding travel time every 3 months, dating from the return from the previous R&R. If annual leave is taken during a mission, the 3 month period dates from the return from leave.
- 124. In delegations where R&R does not apply, Heads of Delegation have the discretion to grant a few days leave in the country of assignment (or exceptionally outside) to individual delegates when necessary to maintain effectiveness, on an ad hoc basis. It should be borne in mind, however, that this must not be used to establish regular additional days off, and that delegates must normally use their annual leave entitlements if they need a break.
- 125. No specific destination will be determined for R&R. Delegates will be reimbursed up to CHF 1500 against the actual expenses (accompanied by receipts) of each R&R trip: i.e. air flight, accommodation and visa costs. If approved by the Head of the Regional Department and the Head of Human Resources, a higher limit may be used for specific delegations only if it can be demonstrated that no suitable location is available which would cost under CHF 1500 per trip.
- 126. The MSA for the country of assignment should be paid during R&R regardless of the destination. An extra CHF 20 is payable for each day spent on R&R, excluding travel days.
- 127. To help ensure that realistic and appropriate destinations are selected, the delegate's line manager must approve the destination and timing of each R&R trip.
- 128. Security and insurance arrangements are, as with any other leave, the responsibility of the delegate and his/her National Society. (The Head of Delegation should consult with the Security Co-ordinator if in any doubt as to the suitability of the R&R location).

- 129. R&R can be combined with professional trips out of the country of assignment. However, R&R should not be substantially postponed to achieve this combination. Up to 5 days annual leave can be combined with R&R to allow a longer break if required.
- 130. Should a delegate be on sick leave at the time R&R is due, the calendar for R&R would be reset from the date of resumption of duties (as it is understood that the delegate returns to work only if she is rested and fully recovered).

# Maternity /Paternity Leave

- 131. If a delegate delivers during the period of the contract, the insurance taken by the contracting National Society, or the Federation (for delegates directly employed by the Secretariat) will cover all related costs, provided a pregnancy certificate is forwarded to the contracting National Society or the Federation (for delegates directly employed by the Secretariat). As the insurance coverage for maternity leave may differ from one National Society to another, it is the delegate's responsibility to check with his/her contracting National Society, whether such a coverage is provided or not.
- 132. Should a delegate's spouse or partner give birth in the home country or any country outside the delegate's country of assignment, the delegate will be entitled to paternity leave for a period of five clear days, excluding travel time. Any related travel costs will be covered by the delegate.
- 133. Should the delegate decide to remain in the country of assignment when his spouse or partner is giving birth in the home country, he will not be entitled to any leave or financial compensation.
- 134. The Federation will *not* cover the cost of the return journey to the home country for delivery to the pregnant spouse or partner of the delegate directly employed by the Federation. The costs of childbirth in the home country should, in principle, be covered by the insurance contracted by the National Society or the Federation. If such a coverage does not exist, the cost of childbirth will be the responsibility of the delegate and his spouse or partner.
- 135. It is the delegate's responsibility to enquire about insurance coverage related to pregnancy prior to taking any assignment with the Federation. delegates, and their spouse or partner must be aware that airlines may not carry a pregnant woman towards the end of her pregnancy.
- 136. Should a delegate, or the spouse or partner of a delegate, choose to give birth in a country other than her home country, prior approval from the insurance company should be granted to avoid the situation where the delegate will have to bear all related costs.
- 137. No per diem will be paid to delegates when on maternity/paternity leave, whether they are in the home country or the country of assignment.
- 138. A delegate having a baby during the period of the contract will be entitled to a maximum 16-week paid maternity leave. If the contract period ends before the 16-week period is finished, all financial obligations pertaining to the maternity leave will cease. Outstanding annual leave will be paid.
- 139. If the contract continues beyond the 16-week paid maternity leave period, the delegate will be able to return to her previous posting which, if operationally possible, will have been held open for her. However, if for operational reasons it has not been possible to hold open her post, every effort will be made to find the delegate a suitable alternative posting.
- 140. If it is not possible to find a suitable alternative posting, then the delegate's contract will be terminated with the normal notice period for delegates directly contracted by the Secretariat and in agreement with the contracting National Society. For insurance reasons the planning of the next assignment will only be made after the delivery.
- 141. If a delegate decides not to return to work for the Federation or National Society after having her baby, her pay will cease at the end of the 16-week paid maternity leave period or at the end of the contract, whichever comes first.
- 142. The delegate must notify the Federation or contracting National Society of her intention to return to work at least 8 weeks before the end of the 16-week paid maternity leave period (assuming the contract is still running); if she does not, it will be assumed that she does not intend to return.

# Adoption

- 143. Should a delegate wish to legally adopt a child, the adoption should preferably be handled by the delegate at the end of his or her mission. If this is not possible, a two-month paid maternity leave will be granted to the delegate. Should the contract period end before the two-month maternity leave is finished, all financial obligations pertaining to the adoption will cease.
- 144. No paternity leave (as per these Regulations) is given to a delegate for adoption. Regulations regarding school fees family allowance apply in case of adoption.

# Security

# General

145. All delegates, as well as any member of their family, must strictly obey the Federation's Security Regulations issued by Geneva. In addition, all delegates as well as any member of their family, must strictly obey any additional security regulations issued in the

delegation. If there is any conflict between the Regulations issued in Geneva and those issued in the delegation, the delegation Regulations will apply.

# Head of Delegation Authority

- 146. In matters of security, the Head of Delegation is responsible overall for Federation personnel (including their families) in the country of assignment, or any neighbouring country in the case of an evacuation.
- 147. The Head of Delegation is responsible for ensuring that every delegate (and his or her family) is informed about the Federation Security Regulations and any other specific security rules or evacuation plan in force within the delegation.

# **Use of Federation Badge**

- 148. The Federation badges are given to all Federation delegates and staff members who go on mission.
- 149. The badges are available in French, English, Spanish and Arabic.
- 150. The badge is used throughout the mission while the delegate is on a Red Cross/Red Crescent duty in order to identify that they are officially working for the International Federation.
- 151. The badges are not meant for use by delegation-contracted staff, nor should they be used by volunteers or members of the Operating National Society (ONS). Delegation-contracted staff may be given plain red crosses or crescents to wear if this facilitates their work. Volunteers and members of the ONS should wear insignia issued by the ONS.
- 152. The badges are available from Organisation and Staffing (OS), who are instructed to only hand out badges to International Federation delegates and staff members going on mission, at the rate of one per person.
- 153. International Federation delegates who may have received a badge from their own National Society prior to departure on mission are reminded that they should not wear it when working for the Federation.
- 154. The delegate will receive their badge by separate cover from OS via their Head of Delegation.
- 155. The badges are the property of the International Federation. Upon termination of their mission with the International Federation, the delegate is required to return their badge to OS. Badges are normally returned during the debriefing in Geneva. If, in exceptional circumstances, the delegate is not debriefing in Geneva, alternative arrangements must be made via their Head of Delegation.

# **Use of Electronic Mail and Internet-related Tools**

- 156. The Procedures on the Use of Electronic Mail and Internet-related tools (see below) apply to all persons (including delegates, delegation-contracted staff, volunteers and consultants) working in an operation managed or co-ordinated by the International Federation.
- 157. All persons must accept full responsibility for correspondence they originate using the Internet and electronic mail, as messages can be traced back to an International Federation user.
- 158. Use of the electronic mail and access to Internet is acceptable if:
  - it is in direct support of activities of the International Federation
  - it is consistent with the aims and objectives of the International Federation
  - personal use is limited, and in keeping with the conditions outlined in Section 2 of the Procedures, and as long as there is no contravention of the "Rules of Conduct for Personnel".
- 159. The delegate signs in duplicate the last page of the document, thereby agreeing to abide by the procedures for use of electronic mail. He/she gives one original document to their Head of Delegation for their personal file in the delegation and sends another to OS for their personal file in Geneva. Questions concerning the content of the document should be referred to the person's supervisor.

# **Grievance Procedures**

- 160. A grievance exists when an individual or group of employees feel that they have a cause for complaint with regard to their duties, working procedures, management decisions or the behaviour or actions of other field staff.
- 161. The normal process of good management and team-working should prevent disagreements and tensions from developing into major problems affecting the work of the team.
- 162. However, there are situations where differences between the individual and his/her supervisor or the group of employees and their supervisor cannot be resolved between the two parties. The International Federation took the initiative to establish clear and fair procedures whereby field personnel may make an appeal in such situations, with the result that the following Grievance Procedures were approved and adopted in October 1999 (see below).
- 163. The procedures provide a framework for the resolution of grievances but cannot resolve the problems in themselves.

164. The Grievance Procedures may not be used in order to appeal against any action being taken under the Disciplinary Procedures nor in order to appeal against the employee's performance evaluation.

165. For more information on conflict management, see:

- "Handbook for Delegates", Chapter on "Personnel Management", "Managing conflicts"
- "Team-building and Personnel Management in Federation Delegations", pages 37-45

# Interpretation

#### Final Interpretation

166. Matters of dispute over interpretation of these Regulations will be handled by the Federation's Organisation and Staffing Unit. Final interpretation will rest with the Secretary General.

167. In the event of any dispute about the application and interpretation of these Regulations, reference shall be made to the English version.

168. These Regulations came into force on 1 January 1984 and were subsequently revised on 1 April 1991 and 1 March 1996.

Personal Insurance for Delegates

Delegate Induction

Delegate Health

Medical Evacuation/Repatriation

Rules of Conduct for Personnel

Rules of Conduct for Adult Family Members

Security Regulations

Disciplinary Procedures for Field Delegates

Delegation-recruited Staff

**Vehicles** 

# **List of House Furniture and Equipment**

The following list of basic furniture and equipment shall serve as guidelines for the Head of Delegation in setting up a household for delegates in the country of operation. These requirements are based on 1 bedroom per family member plus guest room.

# KITCHEN

- 1 stove
- work table/kitchen bench with sink
- kitchen utensils/cutlery/crockery
- · cupboards as required
- refrigerator/freezer
- hot water heater
- water filter

# LIVING ROOM

- sofa (or equivalent)
- 2 armchairs
- 1 set of bookshelves
- 2 floor/table lamps
- 1 coffee table

#### **BATHROOM**

- bathtub or shower
- sink
- toilet
- · hot water heater

- mirror
- · linen closet

#### **VERANDA**

- 4 veranda chairs
- 1 table

# **DINING ROOM**

- 1 dining table
- · dining room chairs
- 1 side board, lockable

# **BEDROOM**

- 1 bed per family member
- mattresses, pillows as required
- blankets as required
- bedsheets as required
- mosquito net, if needed
- 1 cupboard, if needed
- 1 desk/table and chair
- 1 night table
- 1 mirror
- 1 table lamp

#### **EQUIPMENT**

- iron and ironing board
- paraffin/kerosene lamps as required
- insect screening as required
- · water storage tank as required
- heaters
- · cleaning equipment
- bins
- gardening tools if required

# Secretariat Procedures for the Use of Electronic Mail and Other Internet-Related Tools

# 1. Introduction

# 1.1 Definitions

- 1.1.1 E-mail is a computer based system for creating and sending messages (which may contain both text and attachments such as spreadsheets or word processing documents) to one or many people through a local computer network, an e-mail host or via the Internet.
- 1.1.2 Notes is the e-mail program used within the Secretariat. It is produced by Lotus, the same company that produces the office automation applications (WordPro, Freelance Graphics etc.) that we use. Notes is also used to send and receive messages to and from addresses outside the Secretariat. In most cases these messages go across the Internet, though sometimes they are transmitted via direct telephone connections or other means.
- 1.1.3 The Internet is a publicly accessible electronics communications medium, consisting of many interconnected open computer networks world-wide. It is an unregulated open forum for the exchange of information through services such as the World Wide Web (WWW), electronic mail (e-mail), remote login (telnet), and electronic bulletin boards (Usenet "news"). The Internet is not only a technological infrastructure that provides access to a myriad of computer networks, but also a "community" with a growing range of users and cultures.

# 1.2 Scope of the procedures

- 1.2.1 These procedures apply to all users of the International Federation of Red Cross and Red Crescent Societies' computer network facilities. The scope of the procedures includes use of the local area network (LAN) and wide area networking facilities including the Internet. Users will be asked to formally agree to abide by the procedures when they are initially given access to the system.
- 1.2.2 Acceptable use of the Federation's network facilities must be in direct support of the activities of the Federation and be consistent with its aims and objectives. However, subject to the respect of certain conditions below (see section 2), use of the facilities for personal purposes is permitted, to encourage Federation staff to explore information and telecommunications technology for personal development and

to explore the potential use of these technologies as means of more effectively and efficiently pursuing the goals of the Federation.

1.2.3 Federation users must accept full responsibility for their LAN accounts and their use of the Internet (including confidentiality of their passwords). All e-mail correspondence transmitted through these must meet the same standards as tangible, physical documents or messages as they can be traced back to a Federation network user.

#### 2. Personal use of e-mail and the Internet

- 2.1 The Federation encourages all its staff to become familiar with the use of electronic communications. Therefore limited, sensible, personal use of Federation facilities is acceptable, provided that:
  - (a) such messaging is of low volume;
  - (b) Federation work is not impaired;
  - (c) messages are clearly marked as Personal and sent low priority.
- 2.2 Any messages sent or received through Federation's computers are the property of the Federation, not of the staff member. Therefore, storing private and personal messages in folders can be done (provided that data storage space used is limited and the word "Personal" appears in the folder name), but staff should be aware that it is possible and may be necessary for Federation management to access and read their e-mail, as needed to protect the interests of the Federation.
- 2.3 When expressing personal opinions through e-mail or other network services a disclaimer should be added to relieve the Federation of any responsibility for the message. Regardless of such disclaimers, the role and reputation of the Federation must not be adversely affected by any message generated on or through its network facilities.
- 2.4 Using the Federation's computer accounts or network facilities for commercial purposes is forbidden.

#### 3. E-Mail

# 3.1 Status of e-mail messages

- 3.1.1 E-mail is an informal means of communication, probably more like a telephone conversation than a formal letter or memorandum. E-mail messages have no special status within the Federation. Theoretically, e-mail messages have no formal value, and can not commit the Federation; however, this may not be understood by the addressee of a message, and this is subject to possible evolution of law. For these reasons, staff are required to be extremely careful when using e-mail messages.
- 3.1.2 In common with telephone, fax, telex communications or even mail, it is possible in some circumstances for e-mail messages to be intercepted, or to reach the wrong people through careless administrative practices at either end. E-mail is not appropriate for highly confidential communications.
- 3.1.3 E-mail is a working tool of the Federation. In the conduct of its normal operations, the Federation therefore reserves the right to read messages in the mailboxes of Secretariat staff. Where possible this will be done with the knowledge and consent of the staff member concerned.

### 3.2 What to use e-mail for

- 3.2.1 Do use e-mail for day-to-day informal communication with other Secretariat staff and external contacts to conduct your work in an effective fashion.
- 3.2.2 Do use e-mail instead of or to supplement meetings, where appropriate (if you can formulate a proposal and circulate it for comments among a group by e-mail it uses less of everyone's time than getting them together for a meeting)
- 3.2.3 Do use e-mail for announcements to appropriate distribution lists.
- 3.2.4 Do use e-mail wherever possible for day-to-day informal communications internationally. It is cheaper than a fax and much cheaper than a phone call. Moreover, the message arrives in digital form and thus can easily be processed further (e.g. in the case of spreadsheets or word processing documents) without having to be re-entered.
- 3.2.5 Do use e-mail where people are hard to reach by other means, e.g. in a very different time zone or only occasionally at their telephone.

# 3.3 What not to use e-mail for

- 3.3.1 Do not use e-mail to enter into any commitment with another organisation which would normally require a signature, and do not accept e-mail for this purpose from anyone else. (You can use e-mail to establish the terms for an agreement, in the same way as you might use the telephone.)
- 3.3.2 Do not use e-mail for communications which would be too confidential for a fax or a telephone

conversation.

3.3.3 Do not use e-mail for messages to everyone which will be out of date in a few minutes, e.g. "Traffic police outside" or "Has anyone seen the delegate from Karkatania?". Pop-up "Netware messages" are better for this (ask the Help Desk if you don't know how to send them).

# 3.4 Sending messages

- 3.4.1 Always use the subject line when sending e-mail. Choose the subject with care so that the reader can tell what is in the message from the subject. This is essential for messages to everyone on the system since not all messages are of interest to all readers. The reader should be able to decide from the subject line whether to open the message or to delete it.
- 3.4.2 Use care when forwarding e-mail messages. If in any doubt about the appropriateness of doing so, seek the permission of the original author.
- 3.4.3 Do not forward chain letters (messages you receive with an instruction to send them to "five other people" or "all your friends"). If you receive a chain letter notify the Information Systems Department (IS).
- 3.4.4 When sending bilingual messages, include both languages in the same message. This saves the readers from having to open and delete two messages instead of only one.
- 3.4.5 Exercise caution when sending file attachments to Internet addresses, especially to recipients with slow Internet connections. Send only one attachment in each message, and if possible avoid sending files longer than 100Kb. If in doubt, check whether your recipient can receive attachments.
- 3.4.6 Announcements of the absence of staff should only be made to everyone for the Secretary General, Heads of Divisions and the Director of Human Resources. All other notices of absence should be distributed within the Department, within the Division or not at all, as decided within the Division. This does not detract from the importance of naming persons to cover for persons absent, and ensuring that telephones are properly monitored.

#### 3.5 Reading and saving messages

- 3.5.1 E-mail should be checked at least twice a day while you are in the office. Contact the Help Desk (extension 203) for ways to access your e-mail while away from the Secretariat.
- 3.5.2 If you are away and have not made special provision to receive your e-mail, you should ask another staff member to monitor your mailbox for you. To do this they will need your Lotus Notes password (NB: they will not need your network or AS/400 passwords; you should keep these secret).
- 3.5.3 Messages can be stored in "folders" within Lotus Notes or printed and filed on paper if necessary, whichever is most consistent with your general office practices and Federation records retention policies
- 3.5.4 Note that messages stored in folders consume valuable disk space on the network. Delete messages that you no longer need (especially those containing large attachments) and delete messages from your message log regularly (messages from your message log can be stored in folders relating to the specific project if necessary). From time to time ISD staff may ask you to review your stored messages and delete those you don't need.

### 4. Internet

- 4.1 Care should be taken in both distributing and accessing information through the Internet. The image and reputation of the Federation must not be compromised through data exchange which might be considered in violation of the Fundamental Principles of the International Red Cross and Red Crescent Movement.
- 4.2 Information on the Internet may be inaccurate or out of date. The validity of information gathered from public sources on the Internet should be challenged.
- 4.3 Users must take due care to determine and abide by any restrictions the provider of any information has placed on its use.
- 4.4 Copyright restrictions on information retrieved from the Internet must be observed, and downloaded software must be used in accordance with its license agreement.
- 4.5 All files downloaded from the Internet must be checked for computer viruses. This is normally done automatically by your computer; for further information contact the Help Desk.
- 4.6 Since the public Internet is not secure, staff should not disclose information such as credit card numbers, telephone credit card numbers, and any other information which could be used to acquire goods and services, by this medium unless a secure encryption scheme is used.
- 4.7 Account names and passwords used for Internet services should be viewed as not secure. Do not use the same passwords for Internet services as used on the Federation systems and networks.

#### 5. Federation WWW services

- 5.1 The Federation currently maintains two web sites: a public web site at <a href="http://www.ifrc.org">http://www.ifrc.org</a> and an internal web site (the Secretariat Information Service) at <a href="http://irc.ifrc.org">http://irc.ifrc.org</a> Plans to revise the internal web site and make it available to delegations and National Societies are under discussion.
- 5.2 Any staff member / delegate who wishes to post new material onto the public web site, or update / delete existing information on the site should contact the officer in charge of web-based communications in the Communications Department (webmaster@ifrc.org).
- 5.3 Any enquiries regarding the internal web site should also be addressed to the officer in charge of web-based communications in the Communications Department (webmaster@ifrc.org), who will liaise with the Information Resource Centre and the Information Systems Department as appropriate.
- 5.4 Before information is placed on any Federation WWW server it should be checked for accuracy and authorised by the appropriate clearing authority within the Secretariat, except if general clearance has been given for a specific type of document to an accountable department.
- 5.5 For the Federation public WWW server, the appropriate clearing authority is the Head of the Communications Dept. For the Secretariat Information Service and for FedWeb it is generally the department or body responsible for producing or maintaining the information.
- 5.6 Copyright restrictions must be observed when publishing information on WWW servers or attaching it to an e-mail message.

# 6. Examples of unacceptable uses of the network facilities include:

- 6.1 accessing another user's account unless authorised by that individual;
- 6.2 seeking information on passwords or data belonging to another user unless authorised by that individual;
- 6.3 copying proprietary programme software, someone else's files or programs, or examining such information, unless authorised by the owner;
- 6.4 seeking access to or trying to circumvent computer security methods or operating systems;
- 6.5 posting confidential or internal Federation information for public access;
- 6.6 intercepting or examining the content of messages or files in transit on a network;
- 6.7 interfering with the work of other users of a network or with their host systems, seriously disrupting the network or engaging in any uses that result in the loss of another user's files or system;
- 6.8 any uses that are malicious, harmful, obscene or unethical or that violate the laws of Switzerland [or the jurisdiction in which the member of the Federation is operating] or the Fundamental Principles of the Red Cross and Red Crescent Movement.
- 6.9 intercepting or examining the content of messages or files in transit on a network;
- 6.10 interfering with the work of other users of a network or with their host systems, seriously disrupting the network or engaging in any uses that result in the loss of another user's files or system;
- 6.11 any uses that are malicious, harmful, obscene or unethical or that violate the laws of Switzerland [or the jurisdiction in which the member of the Federation is operating] or the Fundamental Principles of the Red Cross and Red Crescent Movement.

•	ocedures and undertake to apply and respect them throughout the duration of my mission and Red Crescent Societies.	on for
Name in capital letters	Signature	
Country of Assignment	 Date	

# Grievance Procedures for Federation Delegates in the field

#### Aim

1. To ensure that all grievance matters are dealt with in a fair and consistent manner by management.

#### General

- 2. Some disagreements and tensions are an inevitable part of working in a team, but individuals and managers have a responsibility to handle these in a professional and sensitive manner so that they are resolved and do not affect the work of the team. The normal processes of good management and team-working should prevent such tensions developing into problems. Where problems do arise, they should be resolved whenever possible between the delegate and the line manager. The line manager and the individual concerned have a right and a duty to resolve problems which arise. Only when these steps have proved ineffective should a formal grievance be considered.
- 3. In this, as in any managerial activity, the quality of judgement is key; these procedures provide a framework for the resolution of grievances but cannot resolve problems in themselves. The training and briefing of delegates will emphasise the importance of the skills involved.

# **Punitive measures**

4. Punitive measures (e.g. harassment) against delegates for raising problems to more senior levels of management will not be tolerated.

## Organisation and Staffing Unit / Regional Department Desk Officer

5. Delegates and managers may at any stage use Employment Relations Unit or the Desk Officer as an advisor or intermediary in the process if that would help.

# **Definition**

- 6. A grievance exists when an individual or group of employees feel that they have cause for complaint. Such grievances may relate to:
  - Duties
  - Working procedures
  - · Management decisions
  - Behaviour/action of other field staff
- 7. The following are specifically excluded from these procedures:
  - Disciplinary matters and appeals against performance evaluations (for which a separate procedure exists)
  - Issues that should be referred to the contracting National Society (e.g. issues relating to terms and conditions)
  - Secretariat staff and staff-on-loan in Geneva, delegation-contracted staff, staff of the Operating National Society in the field, and all volunteers and consultants.

# Stages of the grievance procedure

# Stage One (oral)

8. Delegates should raise any problem with their immediate manager. S/he is required to respond within 7 days (this may be delayed a little if the people in question are away on leave or mission). The line manager will arrange a meeting with the delegate and any other relevant persons to discuss the grievance.

## Stage Two (written)

- 9. If the problem is not resolved, or cannot be raised with the line manager (e.g. in a very serious personal case such as alleged sexual harassment by the line manager), the matter should be referred to the second level manager. In such cases the delegate should complete a Grievance Record Form and give the line manager a copy.
- 10. The second level manager will obtain written statements from the line manager and any other relevant person. This investigation should take place and a response be given within 14 days after the Grievance Record Form has been received.
- 11. Organisation and Staffing Unit must be informed of any grievance if it gets to the second stage, and they will inform the delegate's National Society
- 12. The delegate will be informed of the decision in writing. The decision will be recorded on the Grievance Record Form, and signed by the second level manager and the employee. A copy will be sent to Organisation and Staffing Unit.

# Stage Three

13. If the delegate is not satisfied with the decision s/he must send a written appeal to the Head of Organisation and Staffing Unit (OS) explaining the reasons for the appeal. Where no agreement is reached at Stage Two, the original Grievance Record Form and any relevant documents must be passed on to the Head of OS. S/he will call together an Appeals Commission, which will comprise the Head of OS, the Head of Human Resources and the Regional Head. OS will inform the delegate's National Society that an appeal has been lodged. Based on all the documents received, the Appeals Commission will make a decision on the case within a month of the receipt of the grievance form, and inform the delegate of their decision in writing. OS will inform the delegate's National Society of this decision.

# GRIEVANCE RECORD FORM

Nature of grievance:
Grievance raised by:
Glievance raised by.
Delegate's name: Signature:
Date:
Stage Two: Record details of the agreement reached or reasons for failure to agree
agico
Signed:
Delegate's name Signature Date
Signed:
Signed.
Second level manager's name Signature Date
Stage Three: Record details of the decision:

Signed:
Name Director, Human Resources Department Signature Date

# **Disciplinary Procedures for Field Delegates**

# **Application**

169. The Disciplinary Procedures are established to deal with unsatisfactory work performance, misconduct or gross misconduct. They are applicable when any issue related to the performance or conduct of a delegate could not be dealt with by the Head of Delegation (or the Head of the Regional Department – for Heads of Delegation) through informal discussions and mutual understanding.

170. The Disciplinary Procedures should not be used in cases where a delegate has been placed in a position for which he/she does not have the skills required.

#### **Misconduct**

171. In terms of the present Disciplinary Procedures the following actions are qualified as *misconduct*:

- Failure to follow locally set procedures/policies.
- Unauthorised absence from work (if implications are serious, it may be considered as gross misconduct).
- Disobeying instructions of the supervisor/Head of Delegation.
- Improper behaviour whilst off duty.
- Sexual, moral and racial harassment (if implications are serious, may be considered as gross misconduct).
- Disrespect toward local staff/culture/customs.

#### **Gross Misconduct**

172. In terms of the present Disciplinary Procedures the following actions are qualified as gross misconduct:

- Disobeying security regulations.
- Working whilst under the influence of alcohol/drugs.
- Theft of Red Cross/Red Crescent property.
- Violence against colleague/s, local population.
- Involvement in criminal/illegal activities.
- · other items of war.
- Blatant violations of Red Cross/Crescent Principles/Rules of Conduct/Status Agreement with the host Government

173. The above definitions, however, are neither restrictive nor exhaustive: any action that has or might have the consequences similar to those listed above, can be qualified as misconduct or gross misconduct by the person authorised to apply the Disciplinary Procedures.

# **Procedures Levels**

174. The Disciplinary Procedures consist of three levels:

- Level 1- extraordinary performance appraisal;
- Level 2 warning with time limit within which to improve;
- Level 3 termination of mission.

These three levels do not have to be followed in sequence: depending on the seriousness of the case, in the event of gross misconduct the Level 3 procedures may be implemented immediately, without previously applying Level 1 and 2.

# **Implementing Procedures**

175. The Disciplinary Procedures in relation to delegates are carried out by the Head of Delegation. If necessary, he/she can delegate carrying out Level 1 procedures to the direct supervisor of the delegate under review. The procedures in relation to the Head of Delegation's performance/conduct are implemented by the Head of the Regional Department.

# **Termination of Mission**

176. In case of gross misconduct, the Head of Delegation is allowed to send a delegate back to Geneva after having informed the appropriate Regional Department and Organisation and Staffing (OS). However, the termination of *mission* can only be decided by the Head of the Regional Department and OS. The termination of *contract* remains the decision of the delegate's National Society.

- 177. An extraordinary performance appraisal should be carried out immediately when the performance or conduct problem becomes apparent, cannot be solved through discussions, and sufficient facts are known. This appraisal must clearly establish what the problems are and what improvements are expected to be made. It must also establish the date of the next appraisal at which time the situation will be reviewed. The extraordinary performance appraisal is to be documented in writing, including comments by the delegate who countersigns the document.
- 178. A copy of the signed performance appraisal is to be sent to the appropriate Regional Department and Organisation and Staffing. The latter will send a copy to the delegate's contractual National Society.
- 179. Should performance/conduct not improve by the given date, the Head of Delegation shall decide whether to implement Level 2 or 3 of these procedures.

# Level 2 - Warning with Time Limit within which to improve

180. If the delegate's performance/conduct does not improve after the Extraordinary Performance Appraisal, a *written warning* with a time limit to improve is given. This warning must clearly state what improvements are requested and by what time. It must also state that, if these improvements are not obtained, termination of the mission will follow. This warning needs to be signed by the Head of Delegation and co-signed by the delegate concerned as a proof or receipt, with copies sent to the appropriate Regional Department and to Organisation and Staffing. The latter will send a copy to the delegate's contractual National Society.

#### Level 3 - Termination of Mission

- 181. If the delegate's performance/conduct does not improve according to the expectations stated in the written warning, the Head of Delegation will inform the Head of the appropriate Regional Department and the Head of Organisation and Staffing that the termination of the mission of the delegate is recommended.
- 182. Organisation and Staffing will discuss the issue both with the appropriate Regional Department and the delegate's National Society without delay, will clarify any possible questions and revert, in writing, to the Head of Delegation to give clearance to proceed with the termination.
- 183. The Head of the appropriate Regional Department and Organisation and Staffing will announce to the delegate the termination of the mission with immediate effect by forwarding a letter to the delegate with the reason for it and the effective date by which his/her function as delegate will come to an end. Employment Relations will forward a copy of this letter to the delegate's National Society. The delegate should sign the letter as having received it. The repatriation via Geneva should then be arranged as rapidly as possible.
- 184. While waiting for the clearance from the Secretariat to proceed with the termination of the mission, the Head of Delegation has the possibility, if necessary, to suspend the delegate from his/her duties. From the moment a delegate is suspended, he or she must handover to the Head of Delegation his or her Federation Identity Card and Badge for the whole period of suspension.

# Right to Appeal

185. During implementation of the disciplinary procedures, the delegate has the right to appeal to the Head of Employment Relations. An Appeal Commission, composed of the Head of the appropriate Regional Department, the Head of Human Resources Department and the Head of Organisation and Staffing, will review the case and reply to the delegate.

# Improved Performance

186. Should the performance improve during these proceedings a note should be given to the delegate confirming this, with copy sent to the appropriate Regional Department and Organisation and Staffing. The latter will send a copy to the delegate's contractual National Society.

#### Mission Evaluation

187. An evaluation of mission not recommending a delegate for future assignment is *not* accepted by Organisation and Staffing unless part or all of the Disciplinary Procedures have been followed.

1 April 1994, updated June 2001

Performance Management and Evaluation

Regulations for Field Personnel

Security Regulations

Personnel Management

# **Guidelines for Delegate Training and Development**

#### Introduction

188. Training and skills are essential to a high performance organisation. Training only makes sense if there is a clear link to the business and personal needs and the motivation to learn and improve. An important and essential part of the Performance Development and Review process is to analyse the findings to identify skills and knowledge gaps which would improve personal performance and contribute to the individual's long-term career development.

189. Together the manager and the individual should determine the appropriate learning strategy for acquiring the skills and knowledge:

- on-the-job training
- coaching
- formal training

190. Together with their manager each individual is responsible for their development. On-the-job and continuous coaching is arranged in collaboration. For access to formal training opportunities, the individual should explore with the manager what structured courses exist at the Secretariat, or at external provides including National Societies.

#### Purpose

- 191. The following guidelines are designed to assist in planning and decision making related to the training of delegates. They aim to set minimum standards for a training and development system and are meant to be used by National Societies, the Federation and its delegates.
- 192. The training provided to delegates either by the sending National Society or by the Federation is designed to improve the delegate's *knowledge*, *skills* and *attitudes* in working within a Red Cross/Red Crescent environment. Delegates are expected to have acquired the basic technical skills required for the job prior to undertaking a field assignment. Only when specific new technical skills are needed to manage Federation operational procedures and systems will specialised technical training be provided (e.g. in Federation accounting systems, communication systems etc.).

#### The Delegate's Responsibilities

193. While the costs of training will be borne by the sending National Society or the Federation, the delegate him or herself is expected to actively assist in the identification of his/her training needs. The delegate is expected to fully utilise newly learned skills in support of Red Cross/Red Crescent work after any particular training course or programme.

# Training prior to mission

#### Basic Training

- 194. Whenever possible prior to first mission, the delegate participates in the Basic Training Course for Delegates (BTC). Only in emergency situations might it be necessary to send out delegates without a BTC. In such cases, delegates will receive an extended briefing on BTC key learning points by the sending National Society or/and by the Federation Secretariat.
- 195. Delegates from National Societies which do not run their own BTCs can attend courses run by other National Societies. Coordination of this will be through the Federation's Training and Development Unit. In cases where there is formalised co-operation between National Societies for exchange of participants from the respective Societies, the list of participants, with an indication of the sending NS, will be forwarded to the Training and Development Unit.
- 196. In certain circumstances, Federation Delegation-contracted staff who are planned to be recruited for international field assignments with the Federation, may be accepted for participation in a BTC by the National Society running the course. The Federation's Head of Delegation must endorse the request for training and ensure the following criteria be met before Delegation-contracted employees are considered for attendance on this course:
  - a good knowledge of English, where the course is conducted in English, or French where the course is conducted in French
  - the local employee should be working in either a Regional Delegation or a country Delegation, in which they have served for at least one year and in which they will continue to work.
- 197. The request must also be endorsed by the Desk Officer and/or Head of Department, with a brief statement on the purpose of the participation and how that will contribute to the work of the delegation or the possible career path of the candidate, and the Regional Department must accept to pay any related costs for participation (e.g. travel, per diem, accommodation) if these costs cannot be covered from other sources.

198. Similar criteria must be met before Operating National Society Participants are considered for attendance on a BTC course:

- a good working knowledge of the language in which the course is conducted
- the support of the Federation Delegation on the request to participate
- endorsement by the Desk Officer and/or Head of Department, with a brief statement on the purpose of the participation and how it

- will contribute to the person's work.
- acceptance of the Regional Department to pay any related costs for the participation (e.g. travel, per diem, accommodation) where the Operating National Society is unable to cover these costs.
- 199. All requests to attend the Basic Training Course from Operating National Societies and Delegation contracted staff should be addressed to the Training and Development Unit (TD).
- 200. The priorities for attendance will be identified by TD, in consultation with the Departments or Units concerned.
- 201. Based on the identified priorities, TD will contact National Societies organising BTCs, requesting them to accept proposed candidates.
- 202. The final decision to accept a candidate will rest with the National Society organising the BTC.

# Language Training

203. For field positions, National Societies should either propose candidates with the required language skills or provide for sufficient language training so that the candidate reaches an acceptable level in that language. It is the responsibility of the sending National Society to assess the language skills of the delegate, when possible through using a recognised language school, before proposing him/her for a position.

# Other Technical Training

204. Certain other technical training may be necessary for some delegates before their first mission (e.g. in financial systems and procedures). Such additional training will normally be arranged in the Federation Secretariat prior to assignment as part of the extended briefing process. Special arrangements might be made in case the sending National Society has the capacity to give this training prior to arrival in Geneva.

#### Computer Skills

205. It is the responsibility of the sending National Society to ensure when necessary that delegates are computer literate (with word processing as a minimum). For delegates in finance/administration positions, knowledge of spreadsheets is necessary.

# Induction Training

- 206. National Society staff and volunteers, Federation Delegation-recruited staff and Federation Secretariat staff accepted for their first field assignment as well as those where there is a substantial interval between their previous and current field assignment, should participate in Induction Training organised by the Federation Secretariat. The 5 day Induction Training Course aims at providing participants the additional knowledge of Federation policies and procedures and basic skills applying to them during their specific field assignment.
- 207. It is the responsibility of the Regional and Technical Departments / Units to ensure that all new delegates attend an Induction Training Course before going on mission.
- 208. The number and dates of Induction courses for the current year are determined by Training and Development, in consultation with Organisation and Staffing, and TD can cancel a course if there are less than 5 registered participants.

# Training during / in-between missions

209. During mission the primary support to the delegate will be provided by the Head of Delegation or be provided under the latter's direction. If necessary, such 'on-the-job' support will be supplemented by the Secretariat at the request of the Head of Delegation.

# Local Language Training

210. Local language training identified as necessary during the mission by the delegate in question and the Head of Delegation will be provided in the country of assignment. Costs will be covered by the related operation.

# Training Beyond Induction Level

- 211. Training beyond the basic level (i.e. beyond the BTC and Induction course) includes professional, leadership and technical training. It will be for specific functional groups (e.g. health, finance, information etc.) or in specific cross-functional fields relevant mainly for certain delegates (e.g. security, training skills etc.). Such second level training is provided for delegates in order to improve their performance in their current position, as well as to provide them the basis for their continued personal development and eventually for taking up new positions. The broad objectives of this second level training will be:
  - to strengthen the delegates' feeling of a professional and social context within the Red Cross/Red Crescent Movement, giving them a sense of identity and belonging;
  - to update delegates on the most recent developments in policies and procedures within the Federation in general and on developments specifically related to their field;
  - to train delegates in specific fields in which there seem to be general problems for the group in question.

- 212. Candidates wishing to attend such training courses can be proposed by the Delegate's immediate supervisor (i.e. for Federation Delegates), the Head of Delegation, Regional Departments, Organisation and Staffing, Technical Departments or Units of the Secretariat. Federation Delegates can also apply for the course themselves, subject to the selection criteria.
- 213. Courses organised by the Secretariat, either directly or in co-operation with the interested National Societies, are normally over a five day period and cover either technical / functional areas of Federation work in the field, Secretariat (including Delegations) values and competencies, and leadership development.
- 214. When selecting participants for a course, preference will be given to candidates whose total length of missions with the Federation for the past three years exceeds 12 months at the moment of the workshop, and/or whose current job requires a particular set of managerial or technical skills and knowledge taught at the course, and/or who will require a set of managerial or technical skills and knowledge, taught at the course, for their next planned managerial position within the Federation or National Society.

# Alternative Individual Training

215. If required by operational priorities and/or the Delegate's personal development plan within the Performance Management system, alternative individual training may be provided to Federation Delegates through short-term courses in appropriate outside institutions.

# Selection Criteria and Procedures for Training other than Induction Level training

#### General

- 216. Second-level Federation delegate training workshops and courses are aimed at both improving participants' skills in performing well in their current positions, and at providing the basis for delegates' taking up new technical and managerial positions. They mainly cover the core areas of Federation work, general management and management-related issues, as well as technical and functional areas of delegate work. The workshops and courses are organised by the Federation Secretariat either directly or in co-operation with interested National Societies.
- 217. A yearly calendar of training related events is available from the Secretariat. The list of planned workshops / courses can be found in:

T.\everyone\corporate\HRD\Training\Calendar Training Related Events.lwp

# Application procedures

- 218. Delegates wishing to attend second-level delegate training workshops can apply for such courses themselves following the procedures specified below. Candidates can also be proposed by the delegate's immediate supervisor, Head of Delegation, Regional Departments, Organisation and Staffing, Technical Departments, Units of the Federation Secretariat and by the contracting National Society.
- 219. Delegates can apply for *any* of the second-level training workshops and courses offered, irrespective of their technical specialisation, provided that their participation in a selected course contributes to their development as managers and/or improves their general understanding of a technical area, which may be required for successfully performing in a senior managerial position in the field.

#### Selection criteria for Federation delegates

- 220. While selecting participants for a workshop, preference will be given as per the following, in order of priority:
  - Candidates whose total length of missions with the Federation for the past three years exceeds 12 months, at the moment of the workshop
  - Candidates whose current job requires a particular set of managerial or technical skills and knowledge taught at the course
  - Candidates who will require a set of managerial or technical skills and knowledge taught at the course, for their next planed position with the Federation or National Society
  - For technical or specialised department (e.g. Health, Logistics, Finance, Information, Development, Disaster Relief) candidates working in a relevant technical professional position at the moment of the course
  - Candidates who are on field mission at the moment of the course (i.e. a candidate is to be considered to be "on mission" if the contract period ends not earlier than two months after the course or if the extension of contract or new posting in the same or similar position has been formally confirmed by the contracting National Society or the Organisation and Staffing Unit.
- 221. Candidates should have attended a BTC prior to taking advanced training.
- 222. The total number of participants should not exceed 25 per workshop/course. In principle, only one participant per delegation will be accepted for any one workshop. Wherever possible the principles of fair geographical representation of Federation delegations from different regions (Africa, Asia/Pacific, Americas, Europe, Middle East/North Africa) at any one workshop will be applied.
- 223. Candidates not conforming to the above-mentioned criteria can be accepted for the workshop subject to a decision by the Director, Programme Coordination.

# Selection criteria for other groups of participants

224. While advanced delegate training is intended primarily for Federation delegates, bilateral and project delegates, National Society

personnel, delegation-recruited staff and Secretariat staff can be accepted for the workshops, in particular when in the field they perform the tasks similar to those of Federation delegates, or when their participation is required by the specific workshop objectives.

- 225. Candidates from among bilateral and project delegates, National Society personnel, delegation-recruited staff and Secretariat staff can be proposed by the National Societies, Federation Delegations, Regional Departments, Employment Relations Service and Technical Departments or Units of the Federation Secretariat.
- 226. While selecting participants from amongst candidates from National Societies and delegation-recruited delegation staff, the priority will be given to candidates having previously attended one of the Basic Training Courses (BTC) organised by National Societies for future delegates.

# Selection procedures

- 227. For each candidate the *Request for Advanced Delegate Training* form (attached) is to be filled in by the delegate her/himself. All parts of the form must be filled in. The request completed in the field must be approved by the Head of Delegation.
- 228. The completed request form should be forwarded to the Department or Unit organising the workshop by the specified deadline. Should an insufficient number of requests be received by that date (normally less than 15), the workshop will be cancelled. Requests received after the specified deadline will be considered only subject to space availability at that date.
- 229. The requests for a workshop of a general nature (Performance Review and Development, Leadership Development, Managing Skills, Communication Skills, etc.) will be forwarded to the Co-ordinator, Organisation and Staffing Unit (OS) (the Co-ordinator). The requests pertaining to a technical workshop (Information, Finance, Health, Disaster Preparedness, Logistics, Relief, Institutional Development etc.) will be forwarded to the respective Technical Departments or Units.
- 230. The list of participants for a workshop of a general nature (Performance Review and Development, Leadership Development, Managing Skills, Communication Skills, etc.) is drafted by OS in co-operation with Regional Departments. In case of disagreement, the decision to include or not to include the person in the list is taken by the respective Regional Department.
- 231. The list of participants for technical workshops (Information, Finance, Health, Disaster Preparedness, Logistics, Relief, Institutional Development etc.) is drafted by the respective Technical Departments or Units in co-operation with Regional Departments. In case of disagreement, the decision to include or not to include the person in the list is taken by the respective Regional Department. Once finalised, the list is submitted by the Technical Department, Service or Unit to the Co-ordinator, who ensures that the selection criteria has been followed and all recommendations have been taken into account.
- 232. The Co-ordinator submits the final list of participants selected for a workshop to the Department or Unit organising the workshop who then prepares a formal invitation letter to selected participants. The Director, Programme Coordination, approves the final list of participants by signing the official invitation letter. After the invitation letter has been signed, any additional participants are accepted for the course only if any of the initially selected participants are unable to attend.
- 233. Delegates selected for a specific workshop will be informed of their participation through an official invitation letter signed by the Director, Programme Coordination.
- 234. After the invitation letter has been sent, any additional participants will be accepted for the course only if one or more of the initially selected participants is unable to attend.
- 235. The selection and approval procedures for bilateral and project delegates, National Society personnel, delegation-recruited staff and Secretariat staff are similar to that applied to Federation delegates.

# Obligations of workshop participants and their managers

- 236. Delegates accepted for Federation second-level training will share the information received during the workshop with Heads of Delegations, other delegates and relevant delegation and National Society staff.
- 237. Heads of Delegation and direct line managers of the delegates accepted for Federation second-level training will encourage and support them in applying the new skills and knowledge acquired during the workshops and courses.

# Costs

238. As of January 2001 and unless otherwise specified in the invitation letter, the Delegation, Regional Department or National Society (for National Society participants) will cover the costs of participants' meals and accommodation during and, if need be, before and/or after the workshop. The respective delegation (or National Society) also covers participant's travel costs and subsistence allowance, charging these expenses directly to the relevant mission expenses account. Travel and subsistence allowance for selected candidates from National Societies and locally-recruited staff should be covered by the candidate's National Society or the delegation respectively.

# Alternative training

239. If required by operational priorities and/or the Delegate's personal development plan within the Performance Management system, alternative individual training may be provided to Federation Delegates through short-term courses in appropriate outside institutions.

- 240. Alternative training can be provided on an individual basis to delegates who are currently on mission and whose total length of missions with the Federation for the past five years exceeds 24 months at the moment of the training.
- 241. Delegates can apply for alternative training themselves. Candidates for alternative training can also be proposed by the delegate's immediate supervisor, Head of Delegation, Regional Departments, Human Resources and Technical Departments, Services or Units of the Federation Secretariat.
- 242. The application and approval procedures for alternative training are similar to those applied to normal second-level training. In addition to that, when appropriate, an application for such alternative training should be approved by the delegate's contracting National Society.
- 243. The courses for alternative individual training are selected by Training and Development, Technical Departments, Services or Units, the delegations or the delegates themselves. If a technical training course has been suggested by the delegation or the delegate, the quality and relevance of the proposed course should be reviewed by Training and Development and the respective Technical Department, Service or Unit.
- 244. A maximum of CHF 2,000 per course will be paid by the Delegation to cover course fees, travel costs, subsistence allowance etc. Any additional costs will be covered by the delegate him/herself.

#### **Federation Secretariat Training Philosophy**

The Secretariat approach to training is evolving in line with the new integrated HR approach to performance and review.

Since as of 2002 delegates and Geneva staff will be measured against the afore-mentioned values and competencies (see above, Chapter VIII, Performance Management and Evaluation), training will address the specific associated behaviours and skills allowing them to enhance their skills and master expected behaviours.

The responsibility for specific technical training now resides in each of the core business divisions of the Federation Secretariat.

Training and Development is responsible for co-ordinating and providing professional (including the formal induction programme) and leadership training for all staff and the co-ordination of the annual training calendar.

Training will focus on four main areas:

Induction & New Employee Orientation	Secretariat Values and Competencies	Leadership Development	Technical Mastery
A comprehensive programme of informal job orientation arranged by line managers and formal induction training organised and presented by T&D,( ICRC as well as NS) .  • Induction to Secretariat • Induction Programme for new Delegates • ICRC Induction (where appropriate) • ICRC Integration Course (where appropriate) • BTC (where appropriate) • Secretariat Performance Review and Development briefing • Basic computer skills	linked to the values, and competencies. Some are currently available, others are	Series of customised development initiatives, for top 2-3 levels of management  • External Executive Courses  • more to be developed	Technical training (specific functional needs) provided by relevant Division  • FACT, ERU • Logistics • Finance etc. • Language training • Advanced computer skills

Access to these training and development initiatives will be through agreement with your line manager. The Objective setting and Appraisal process will highlight areas that will complement your current skills or identify areas for improvement. Together you will complete a Development Contract to clarify your learning objectives and the strategies that can help you attain the knowledge or skills necessary. Training and Development will then provide or help you find development opportunities that will meet your needs.

If you have specific questions about your personal development talk to your manager then talk to Training and Development.

# **Structured Training Opportunities 2002 Supporting Secretariat Shared Values and Competencies**

Competency Connection

Shared Values	Core Competencies	Management Competencies

					Action Or	ientation	)	Wo	orking with (	Others	Leaders Strategio	hip and Vision		e Manage	
													Orga	nisation. E	Building
	Principles		Profes- sional Integrity		Results Focused		table		Knowledge Transfer	Communi- cation	Inspires and motivates	visions/	Perfor- mance Manage- ment	People Develop- ment	Organisa- tion Building
Principles to Action m I	n	n	n						n	n					n
Counterparts m I	n	n	n						n	n					n
Diversity 1	n	n	n						n	n					
Induction to the Secretariat m	n	n	n												
Induction Programme for new Delegates m I	n	n	n					n	n	n					
Using the Sec. Appraisal Review and Dev Cycle 1 I	n	n	n	n	n	n	n	n	n	n	n	n		n	n
Setting SMART objectives I				n	n	n					n	n			
Motivation & Personal Impact I E			n	n		n			n	n	n				
Problem Solving & Decision Making I					n	n	n				n				
Creativity & Innovation E				n		n		n	n	n	n		n		
Interpersonal Effectiveness I/E								n	n	n					n
High Performing Teams I m					n			n		n	n		n	n	
Training of Trainers I m				n					n	n					
Making Presentations m										n					
Persuasive Presentations	n		n							n					
Influencing Skills I l			n							n	n				
Negotiation Skills I/E m	n	n	n	n	n	n	n	n		n					
Business Report Writing E m			n			n			n	n					
Leading Teams I/E m		n	n	n	n	n	n	n	n	n	n	n	n	n	

Coaching for Excellence E						n	n		n			n
Managing people I/E l	n		n	n	n	n	n	n	n	n		n
Strategic Thinking E m			n	n	n	n	n			n	n	n
Leadership Excellence E	n							n	n	n	n	
The Leadership Edge E 1	n					n	n	n	n	n	n	

- n Major focus of training n Related topic m Currently available I To be developed I Internal

- E External

	Development Contract for:						
Name		Manager					
Time frame:	From:	То:					
Learning Objectives	Learning resources and strategies	Accomplishment of objectives	Integration to job				
What are the specific things that you need to know or do and in what time-frame?	How will you acquire the knowledge and skills: Workshop, reading, onthe-job experience, coaching etc.	How will you measure the achievements?	How do you plan to integrate or apply the learning to the job? Include time-frame.				

Request for Advanced-level Training				
Workshop title				
Family Name	First name			
Delegation	Position			
Contracting National Society				

Planned end of mission date					
Please indicate belo	w where we can	reach you:			
your e-mail					
your fax number					
your postal address					
Please list three rece have attended:	ent BTC or secon	nd-level Federation workshops you			
year	workshop				
	nat you don't alre	nop (e.g. what do you expect to get eady have?) - The information should tract of your PDR.			
Request approved b Delegation	y the Head of	Head of Delegation's signature			
		Date			
Important!					
1. Your request mus	t be approved by	your Head of Delegation.			
2. The form must rea the specified deadlin		ent / Unit organising the workshop by			
Regional Departmer Unit and - for technic The decision will be delegate training, on of funding (your dele	nt, in consultation cal workshops - t based on the se the total number egation or Nation ce allowance as	cipation will be taken by your a with the Organisation and Staffing he respective technical departments. lection criteria for the advanced-level r of applicants and on the availability al Society will need to cover your well as your accommodation and			
Director, Programme the workshop. Should	e Coordination, and you have ques	ive a formal invitation from the approximately ONE MONTH before stions in relation to selection process, in Resources Department (e-mail			
5. Unless otherwise	specified, all wo	rkshops are conducted in English			
Please retur	n to the Departm	nent organising the workshop,			
by e-mail or by fax (41) (22) 733 03 95					

# **Security Regulations**

#### Introduction

#### Security Risks

249. As the Federation frequently works in complex political and social environments, security risks in the field are generally higher than in normal circumstances. Although the degree of risk will vary from country to country, security incidents can occur in *all* delegations. Therefore, to fulfil their humanitarian mission delegates and locally recruited delegation staff *must* follow prescribed basic security rules and know how to play it safe in risky situations.

#### Security Regulations

- 250. Though security risks cannot be completely excluded, in most cases they can be greatly *reduced* by following these rules and taking the simple precautions required. Rules may sometimes seem unnecessary, severe or exaggerated but they are all based on experience, often unfortunate, and their sole purpose is to protect the lives and health of delegates and other Federation staff in the field.
- 251. However, there are *no* universal rules that can apply in every situation. Events can be hard to predict in hazardous situations. The

way the rules are applied in a given situation should thus always be based on *common sense* combined with the personal understanding that comes with local knowledge of what is going on at the time.

252. Security rules serve not only to protect delegation members. They also provide a basis for assessing and justifying the actions of those involved in events where security has been threatened or has broken down, and for determining individual responsibilities.

#### Federation Security System

- 253. The Federation security system comprises:
  - Basic Security Regulations
  - · Additional Security Instructions
  - Security Updates.

#### Basic Security Regulations

254. *Basic Security Regulations* form the basis of the delegation's security system and should be strictly followed in all situations. However, depending on how a situation develops, particular regulations may be waived or modified, or a new rule introduced by the Head of Delegation. Such modifications or additions can *only* be made in the form of written *Additional Security Instructions* or *Security Updates* or both, issued by the Head of Delegation. Non-written security instructions modifying the Basic Regulations may only be issued in exceptional circumstances.

#### **Application**

255. Basic Security Regulations, Additional Security Instructions and Security Updates apply to and *must* be strictly followed by all delegates during a field assignment. All security regulations in force are equally applicable to family members accompanying delegates. When necessary, additional security measures for family members such as movements within a town, shopping etc. may be introduced. Where there are no special security rules for locally-recruited staff, they are to follow security regulations for delegates.

#### Delegates' Responsibility

- 256. Each delegate is responsible for making sure that he or she knows and fully understands all applicable security rules and regulations.
- 257. Every delegate should take care of his or her own security and take all possible measures to minimise potential risks to both individual and collective security, always keeping other delegation members informed. It should be remembered that the actions of one delegate can affect the security of others, even in ways that may not be obvious at the time.

#### Breach of Security Regulations

258. Because of the importance for the safety of the delegates and the delegation as a whole, any serious breach of security may lead to the immediate termination of a delegate's assignment.

#### **Security Rules for Normal Conditions**

#### Personal Items

- 259. The Federation identity card and badge are to be carried at all times.
- 260. Wherever possible, passports should be deposited in the delegation's safe. Delegates should retain a photocopy of the key pages for identifying themselves when the Federation Identity Card is not considered as sufficient identification.
- 261. Personal medical information concerning blood group and current medication, where applicable, is to be deposited at the delegation.
- 262. As a general rule, delegates shall not drive any vehicles, but use the service of locally employed drivers. However, an international driver's licence, or a licence valid for driving in the host country, are to be carried at all times.
- 263. Wherever travel permits are required for movements within the country they will be provided by the delegation and carried at all times.
- 264. When necessary, the delegation will provide valid visas for countries that may be used for possible evacuation.

#### Dress and Personal Behaviour

265. Dress and personal behaviour of delegates must not offend local traditions, cultural and working customs and habits.

#### Keys

266. The keys to delegation offices, houses and shelters should be kept by the delegates or those locally-recruited Federation staff respectively responsible for the premises. Vehicle keys are to be kept by the drivers or the authorised delegates.

267. A spare set of all keys should be kept by the Head of Delegation. No keys should ever be passed to unauthorised persons. Unnecessary duplication of any keys should be avoided.

#### Movement and Travel

- 268. Movement and travel whether private or work-related must conform to restrictions that may be in place.
- 269. The Head of Delegation should always be informed about any work-related or private movements or travel of delegates within the country of assignment Procedures and schedules for regular contact during travel by radio, telephone or other means should be fixed before every trip and strictly followed.
- 270. Wherever possible, delegates should not travel alone, especially outside towns.
- 271. For insurance purposes and as a general rule, a delegate should not leave the area or country of assignment without prior consent of the Head of Delegation and the contracting National Society. However, if compelled to do so for security reasons, he/she should always try to inform the Head of Delegation of their whereabouts and movements as soon as possible.
- 272. Delegates are not authorised to travel on the non-scheduled flights without prior approval from the relevant Regional Department.

#### Curfews

273. Local curfews, as well as those that may be imposed by the Head of Delegation, must be strictly obeyed.

#### Vehicles

- 274. Local drivers must always be used when travelling outside towns. Delegates should as much as possible avoid driving themselves, even inside towns.
- 275. Speed limits in the mission country, as set by the law or by the Head of Delegation, must be strictly observed.
- 276. Passengers other than Federation employees and authorised National Society personnel may not be carried in Federation vehicles without the consent of the Head of Delegation/Sub-Delegation or the team leader, as the case may be.
- 277. All vehicles used by the Federation must carry a first aid kit. This is the responsibility of the driver, or the delegate if he/she must drive. Delegates should have at least basic first aid training.
- 278. All vehicles used by the Federation must be mechanically sound and road-worthy.
- 279. No arms may be carried in Federation vehicles.
- 280. All Federation vehicles must be clearly identified by the Federation logo. Any exception to that rule, including those for security reasons, should be authorised by the Director, Programme Coordination.

#### Taking photographs

- 281. No cameras are to be carried or photographs taken in areas where security is unstable.
- 282. It is strictly forbidden to take any photos in airports, at checkpoints or during declared Alerts or Red situations. Similarly taking pictures of local army, police and security personnel or members of any other armed groups is strictly prohibited..
- 283. Even where photographs can be taken, extreme care should always be exercised in doing so, in order not to offend against local customs or traditions and thereby provoking an incident.

#### Federation Logo

- 284. The Federation logo and name should always be displayed on Federation vehicles and official premises as an indicative sign.
- 285. In exceptional cases the Head of Delegation may decide not to display the logo for security reasons. However, prior authorisation from the Director, Programme Coordination, for this is required.
- 286. The Federation logo has no legal protective value and should not therefore be used as a sign of protection. A single red cross or red crescent on a white background should be used as a protective sign in case of armed conflict or internal disturbances.

#### **Duty Roster**

287. In a delicate security situation, a duty roster is to be established. It should specify duty hours, rules for contact, meal-breaks and after-hours arrangements. The regulations for the use of duty rosters must be followed at all times. A carelessly managed roster provides only a false sense of security.

#### Special Courses

288. Delegates are obliged to attend special security-related courses – such as Mine Awareness, Radio Communication, Driving, Language and Culture – as directed by the Head of Delegation.

#### **Emergency Situations**

#### Definition

289. Emergency situations are those during which the work of the delegation is affected by the security situation, and the safety of the delegates demands strict security procedures. Based on the level of actual danger they are classified as Alert or Red.

#### Alert

290. The Head of Delegation may declare an Alert if the overall situation deteriorates to the point where normal security regulations no longer meet needs, or when the situation is tense, unknown and dangerous, and the delegation may have to be closed. In an Alert situation, the delegates will be ordered to stay where they are, establish and maintain communication with the delegation and be ready to receive further instructions. The delegation must know the whereabouts and security conditions of all delegates.

291. If necessary, delegates may also be asked to move to an assembly point. Should a delegate be unable to do so, he/she:

- should attempt to inform the delegation of his or her situation as soon as possible.
- should not move until the delegation has been informed and instructions have been received.
- should not leave shelter unless the situation returns to normal.
- should not take unnecessary risks.

#### Situation Red

292. The Head of Delegation may declare a Situation Red if the situation escalates, becomes critical and events are likely to lead to the delegation's evacuation. Each delegation will have its own detailed plan for Red situations. Unless otherwise specified, when situation Red is declared:

- Each delegate shall as soon as possible inform the delegation on his or her whereabouts and security situation.
- All delegates shall immediately move to a designated shelter, unless instructed otherwise or movements are dangerous. In the second case, the Head of Delegation must be informed, and he/she will issue detailed instructions.

293. Should a Situation Red arise without warning, each delegate should try to apply the above instructions by using his or her own judgement and common sense, always trying to establish contact with the Head of Delegation before acting.

294. The Termination of Situation Red can only be authorised by the Head of Delegation.

#### **Evacuation and Closing-Down**

#### Decision to Evacuate

295. The decision to evacuate and who will be evacuated is taken by the Head of Delegation in consultation with Federation Secretariat. When a situation deteriorates to the point where delegates' lives and health are directly threatened but no rapid consultation with the Secretariat is possible, the decision can be taken and put into effect by the Head of Delegation alone.

#### Evacuation Plan

296. Every delegation will have an evacuation plan, describing in detail all evacuation procedures. Each delegate should ensure that he/she knows and understands the evacuation procedures that personally concern him or her, and especially:

- Point of destination
- Contacts at the destination point
- Transport, travel schedules and assembly points
- Authorised luggage limits
- Passport, visas, etc.
- Money (convertible currency)
- Personal effects to be left behind.

297. Evacuation is neither easy for evacuees nor those left behind. It can be emotional, and people will often have mixed feelings of guilt, hurt, frustration and powerlessness. However, the overriding concern must be for the safety of the delegates.

#### Emergency Close-Down Plan

298. Sometimes it may become necessary to close down a delegation either temporarily or permanently. An emergency close-down plan should be prepared in advance by the Head of Delegation. This plan should specify in particular:

- The responsibilities of each delegate.
- The planned duration of the close-down.

- Agencies or individuals to whom materials and equipment can be handed over.
- The procedure for handing over of delegation offices, houses and other buildings.
- Procedure for repatriation or handover of vehicles, office and other equipment.
- funds and financial records.
- Communications.

For insurance purposes in case of sudden evacuation a list of each delegate's private belongings should be kept together with the evacuation plan.

#### Federation Assets

299. Wherever the emergency close-down plan cannot be followed – either in part or full – without exposing delegates' lives and health to unnecessary risks, the Federation's equipment, vehicles and all other assets may be abandoned. The physical safety of delegates is of the first importance and overrides all other considerations.

#### ADDITIONAL SECURITY INSTRUCTIONS AND UPDATES

#### Definition

300. Additional security instructions and updates are to be produced by the delegations, when local security conditions require extra precautions. They supplement the Basic Security Regulations and detail how those Regulations should be applied in a particular country, or specify security measures not covered in the Regulations.

#### Responsibilities

- 301. Heads of Delegation are responsible for deciding if additional security instructions are necessary, and if so, must make them as quickly as possible. Delegates are required to become familiar with and understand any additional security instructions and updates.
- 302. Additional security instructions are issued by the Head of Delegation in writing, as a single set of standing instructions, followed when necessary by written Security updates. All additional security instructions and updates must be approved by the Director, Programme Coordination.
- 303. Should the situation demand it, the Head of Delegation may delegate certain security responsibilities to other delegates. This should always be stated in writing, and delegates should always know who in the delegation has authorisation to alter or update security rules.
- 304. Additional security instructions are issued in the form of:
  - Normal instructions the rules that deal with the normal conditions and contingencies that may arise in the country, and
  - Emergency instructions the rules applying to emergency security situations which may affect the delegation and its ability to carry out its normal duties.

#### Security Updates

305. Security updates are issued in order to change or alter additional security instructions – in part or whole – so that they reflect: changes in the security situation, a different operational mode or emphasis, the effectiveness, experience and strength of the delegation, or conformity with the security regulations of other operating organisations. A security update should be simple and easy to understand. It should draw attention to the current situation, clearly indicating changes from the past. When deciding to issue a Security Update, the psychological effects of strengthening or relaxing the security rules for the delegation should be considered.

306. Issuing regular security updates offers several advantages:

- Security Regulations can be thus reinforced or adapted to a particular and changing situation in a country.
- Delegates are kept informed and reminded about changes in a situation, and become more security-minded.
- Security co-operation from delegates increases as they realise that the rules are not cast in stone, that improvements can be made and their needs taken into consideration.
- 307. When issuing additional security instructions and updates:
  - Explain clearly why there is a need for additional security rules, specific to the delegation.
  - Use Basic Security Regulations as a check-list for items to be covered in additional security instructions.
  - Make sure that delegates are aware of the very latest security update.
  - Remember, that the safety of delegates and the work of the delegation may be equally compromised by both a too rigid set of rules, which may not be followed well, or by a lax set of rules, which do not cover the situation properly.

#### **Contingencies**

#### General rule

308. In any unusual or dangerous situation:

- Stav calm and rational.
- Follow the advice of the Federation's or National Society's local staff or other local people.
- Try to inform the Head of Delegation or other delegates as soon as possible.

309. All delegates must have with them at all times the delegation's phone number, address and names of person(s) to contact in case of injury.

#### Traffic Accidents

310. Appropriate behaviour following traffic accidents may be different in different countries. Specific instructions on how to behave in case of an accident in a particular country or area should be given to every delegate during briefing by the Head of Delegation.

#### 311. Following a traffic accident:

- inform the delegation as quickly as possible,
- quickly ascertain the attitudes and actions of people at or around the accident site,
- follow the advice of your driver,
- normally do not try to flee from the accident site. However, especially when there is an absence of law and order, or no police in the area, or depending on your knowledge of the local situation, this may be necessary,
- request the help and, if necessary, the protection of police at the site, or drive to the nearest place of authority,
- where applicable, request the police to draw up an official report, as it will be necessary for the insurance company,
- if the other car involved drives off without stopping, try to note the plate number and details of the car,
- make the accident report.

#### Checkpoints

312. Regard all checkpoints with caution. They may be manned by personnel with varying degrees of experience, sometimes nervous or agitated. Do not drive through or leave a checkpoint until you are sure of the intentions of the security personnel.

#### 313. When approaching a checkpoint:

- slow down to a walking pace,
- open the window slightly,
- switch off background noise (music, air conditioner, heater, etc.),
- when approaching the checkpoint at night, switch to parking lights and illuminate the vehicle with the interior light,
- make sure your hands remain visible,
- follow the signals of the security personnel,
- stop if requested to do so.

#### 314. When requested to stop:

- bring the car to a halt,
- · do not resist searching of the vehicle or personal belongings or identity checking,
- be relaxed and courteous,
- do not move away unless you receive a clear instruction to do so by someone who appears to have official authority,
- slowly drive away and check that everything is normal by glancing in your mirror,
- If you hear a gunshot, stop at once, remain seated and wait. Remain calm.
- If you face a problem of any kind, do not hesitate to use the car or portable radio to inform the Head of Delegation. However, make sure that security personnel manning the checkpoint are fully aware of what you are doing.
- In some countries it is accepted that Federation vehicles may overtake waiting cars at checkpoints and drive slowly through. However, extreme care should be taken while doing this.

#### What to Do if Fired at

#### 315. If fired at while on foot:

- immediately take cover on the ground and lie flat,
- identify the direction of firing,
- try to find shelter behind a wall in a ditch/hole or inside a building,
- observe the reaction of the local population and get information about the situation,
- keep calm, do not panic and run desperately,
- leave the scene only after the firing has ceased.

#### 316. If fired at when in a building:

- keep clear of windows and doors,
- take shelter in the best protected area such as bathroom, basement or behind a solid wall.

#### 317. If fired at while in a car:

- Driving with open windows provides early warning.
- If the firing is ahead of you, stop immediately, reverse, turn around and drive to a safe area,
- observe the reaction of the local population and get more information about the situation,
- use hard surface roads, don't take side tracks because they may be mined.
- If caught in the midst of firing, stop immediately, take cover on the ground,
- improve your shelter by taking cover behind a wall or in a ditch.
- Never take shelter under the car.
- Leave the area only when firing has ceased.

#### What to Do if Shelled at

#### 318. If caught in the midst of shelling:

- take immediate cover on the ground,
- lie flat, protect your eardrums by covering the ears with your hands and keep the mouth a bit open in order to balance the pressure from the blast,
- because of the fragmentation (splinter) of the shells, improve your shelter by taking cover in a ditch or a hole,
- leave the area only when shelling has ceased.

#### When Directly Threatened by Arms

#### 319. When directly threatened by arms:

- Stay where you are (if in the car, stay in the car).
- Leave your hands clearly visible (in a car clearly visible on the steering wheel).
- Do not be aggressive, do not try to escape.
- Remain passive, but demonstrate personal composure and calmness.
- Move slowly with precise gestures. Speak quietly and distinctly.
- Identify yourself. Say that you are from the International Red Cross and Red Crescent.
- Do what you are told.
- Give them what they request or what you have.

#### Mines, Booby Traps and Unexploded Devices

#### Mined Areas

320. Any area which has been fought over and where the warring parties established strong defensive positions (in particular where those positions changed hands) will usually be mined. This is especially true of lowlands in front of defensive hill positions. Such areas may also contain a lot of unused or undetonated explosives and ammunition. Federation delegations working in such areas must follow particularly strict security rules and preventive measures.

#### Mine-awareness

- 321. This section is only a brief introduction to a very complex subject. The guidelines that follow are only meant to provide the initial mine-awareness information. It is strongly recommended that the Heads of Delegations organise special mine-awareness training for delegates working in areas where the situation is considered particularly dangerous.
- 322. Experience shows that the long-term residents and local population of the mined areas often become careless and tend to ignore the danger. It is useful to remember that mines and explosives are indiscriminate: as soon as they are initiated, no-one is immune. The only way to protect oneself is to avoid setting them off.

#### Basic Rules

- 323. It is essential that the following elementary rules are strictly observed during the whole period of stay in a mined area.
  - Never travel in high-risk areas unless absolutely necessary. Surveys in mined environments should involve only essential personnel. Rough mapping of known and suspected mined areas should be part of all survey reports.
  - When travelling to a new area always try to find out if it is mined. Talk to other agencies, in particular those involved in de-mining and construction. Other useful points of contact are any nearby surgical hospitals/surgeons or prostheses workshops, particularly any such facilities run by ICRC. Before leaving the safe road, always ask local people, especially farmers and herdsmen.
  - While it is important to ask local people, do not follow their advice blindly: they often know less then they claim, may simply be foolhardy, or may have become used to the presence of mines and take them for granted. Do not assume that your interpreter or National Society counterpart knows all the danger areas in the country either. Try to access reliability of the sources and to treat the collected information with caution the final responsibility for your safety is your own. If you are in any doubt turn back!
  - Places of interest in peace-time are often of strategic value in wartime. Mines are often used to destroy the infrastructure including tourist attractions and cultural or religious centres. Never go near old military positions, emplacements or buildings they are almost certain to be mined.
  - Keep to well-used and checked roads and tracks wherever practical. Never drive vehicles off a road or track onto the verges in any area which might be mined. The military often clear roads and tracks of mines but they rarely clear the verges, and these are almost certain to contain mines if the carriageway itself was mined.

- Never wander off a road or track to urinate or defecate. Also remember that areas full of fresh human excrement are likely to be far safer places to use than those private and previously unused spots that modesty may prefer.
- While walking, move in a single file and keep to the same path as the lead person. Keep 10 to 20 metres between each person: this distance would limit casualties in the event of an explosion.
- Never approach, touch, or move mines or any suspicious objects.
- Any mines, explosives, ammunition, ordnance or objects appearing as such should be treated with extreme caution. Apart from the
  obvious danger to life and limb, in terms of Federation security regulations they are all considered as weapons; consequently, under
  no circumstances should they be picked up, collected or kept as souvenirs.
- While moving in an area which is known or suspected of being mined be alert at all times. Though alertness in itself will not make you safe, it will certainly make you safer.
- If you enter a minefield, reverse the same way you entered, leave the area and mark the spot on your map.
- Avoid establishing relief and, in particular, rehabilitation programmes and projects (returnee centres, wells, houses, schools or clinics) close to minefields or mined areas, when a by-product of such projects may be an increase in the target community's vulnerability to mines.
- 324. Though the mines and their tripwires are usually buried and deliberately or naturally camouflaged, there are many clues to the presence of mines that can be recognised even by an inexperienced person, namely:
  - battlefield relics such as bunkers, barbed wire entanglements, ammunition dumps, helmets, destroyed vehicles, abandoned weapons, etc.:
  - animal remains, remnants of footwear, or any similar signs that may indicate that something or someone has fallen victim to a mine;
  - dirty-yellow and green objects, metallic or plastic surfaces. Remember though that not all mines are round some are oblong and made of wood.
  - taut, partly buried or entangled thin-gauge wire or filament (similar to fishing line). Never pull wires!
  - wooden stakes, especially if seen in conjunction with wire;
  - unusual colours or shapes. Be suspicious of exposed round edges they rarely occur in nature.

Mines, Booby Traps and Unexploded Devices section is adapted from Rae MC Grath. Landmines, Legacy of Conflict, a manual for development workers, an Oxfam publication.

#### **Reporting of Security and Safety Incidents**

#### General

- 325. The Federation Secretariat delegation staff is exposed to security/safety incidents such as accidents, criminality in general and acts resulting from conflict. A systematic and immediate reporting of all incidents affecting the security of Federation delegations and staff, as well as staff and volunteers of National Societies, is essential. Even though it seems to be a minor anomaly, the incident as such may be indicative of mounting tension or a possible future trend of threats, and it is imperative that this be well-documented and available at the Secretariat for the senior management.
- 326. Field Personnel Service is responsible for keeping the National Societies informed of all specific incidents concerning their delegates and the overall security situation in the area of operation.
- 327. To avoid National Societies and families being informed through the international media of a security incident and to ensure adequate follow-up by the responsible Secretariat Departments, delegations are obliged to inform the Secretariat immediately when an incident has occurred.

#### Procedure

- 328. Security and safety reporting has two phases: initial information immediately and a security or safety incident report once relevant information is available, within 24 hours. Security or safety incident reporting also covers traffic accidents, hospitalisation and medical evacuation of expatriate personnel (delegates).
- 329. When reporting, it is important to be factual and avoid making assumptions, or jumping to conclusions. When one's own interpretation/ analysis is offered, information or opinions from third parties are used, this must be clearly indicated.

#### Initial Information

- 330. The delegation will immediately inform by fax or phone one of the following persons in the Secretariat, giving a general description of the incident:
  - During working hours (08:00 18:00 Geneva time)
    - o Director, Programme Coordination
    - o Head, Regional Department
    - o Head, Organisation and Staffing
  - After working hours (18:00 08:00 Geneva time)
    - o Head, Organisation and Staffing
    - Head, Regional Department

All these persons are responsible to ensure that the information is shared between them as well as with the Secretary General, the

National Societies concerned and the Secretariat Media Service.

#### Report on Security and Safety Incidents

331. Once relevant information is available, the delegation will submit a detailed report according to the attached format to the Director, Programme Coordination, Head, Regional Department and Head, Employment Relations.

#### Security Incident Report Format

332. Security incident report should contain the following information:

- Country
- Delegation
- Reporting delegate name and position
- Date, time and location of incident
- Description of incident: relevant details in chronological order and maps or sketch if applicable)
- Red Cross/Crescent staff/assets involved and sustained injuries and/or damage to assets
- Injuries or damage to the third party
- · Actions taken in response to incident and additional actions required
- Source of information (self or colleagues, ONS, operational partners, military, police, local authorities, unconfirmed etc.) and its reliability (reliable, presumed reliable, unreliable or gossip)
- Were the staff and assets involved clearly marked with the Red Cross emblem?
- Were operational procedures and security regulations followed?
- Was the incident the first of its kind? (if not, list the previous incidents in chronological order and indicate the date of incident reports)
- Date, place and signature of the reporting delegate

#### Media

333. Heads of Delegations shall only inform local/ locally represented international media representatives of security and safety incidents, with the explicit authorisation from Director, Programme Coordination, the Head of the Regional Department, who, together with the Federation Secretariat Media Unit, also will decide the extent and timing of information sharing with the media.

334. Delegates should not inform their National Societies of security and safety incidents that have happened, without authorisation of the Head of Delegation and/or the Head of the Regional Department. Delegates should also be aware that their families will be informed by the National Societies.

The Emblems

Rules of Conduct for Personnel

Rules of Conduct for Adult Family Members

Regulations for Field Personnel

Disciplinary Procedures for Field Delegates

**Vehicles** 

# Field Personnel



# Chapter X - Delegation-contracted Staff, Staff-on-loan and Regionally Deployed Staff in Federation Delegations

#### **Guidelines**

Standard Regulations and Procedures for Delegation-contracted Staff (National and Regional

**Rules of Conduct** 

#### **Guidelines**

- 1. Guidelines related to this topic are made up of three parts:
  - Part One, reproduced below, relates to Standard regulations and Procedures for Delegation-contracted staff (national and regional).
  - Part Two deals with Additional regulations and procedures for National Society and delegation contracted staff deployed within a region.
  - Part Three deals with **Staff on loan regulations**.

Parts Two and Three are available at all Regional Delegations and are not included in this Handbook.

Annexes to the Guidelines not included here but also available at all Regional Delegations and also available from Organisation and Staffing at the Secretariat are:

- Draft National Society or Delegation contract
- Sample mission instructions
- · Briefing checklist
- Guidelines for medical check-up

# Standard Regulations and Procedures for Delegation-contracted Staff (National and Regional)

2. Part One of these Guidelines concerns delegation-contracted staff (recruited nationally or regionally) and delegation staff contracted by the National Society on behalf of the Federation Regional Delegation.

#### 1. BACKGROUND

- 3. When a National Society directly carries out a national operation, program or project, it is responsible for its planning, implementation, monitoring and evaluation. Federation Delegations assist and advise National Societies in their operations as outlined in the "Policy for Disaster Response", "Principles and Rules for Red Cross and Red Crescent Disaster Relief" and "Development Policy" and maintains communication with the Secretariat on progress of the programmes and the need for and management of resources.
- "All staff assigned by the Federation will have the task of assisting the National Society and not taking over their responsibilities" (Principles and Rules for Red Cross and Red Crescent Disaster Relief, para. 18.3)

Collaboration between the National Society and the Federation Delegation regarding human resources

4. A Federation Delegation/Regional Delegation will need qualified human resources in order to be able to carry out its mandate. The first measure is to fully utilise all available qualified local expertise within the National Society as well as from the local labor market. The responsibilities for mobilisation of human resources should be included in the *Memorandum of Understanding* between the host National Society and the Federation to ensure that employers obligations vis-à-vis staff are met according to requirements.

Situations where the Delegation may directly contract staff

5. Due to the potential legal and financial liability, the number of delegation-contracted staff should be kept to a minimum and can only be

undertaken when the Delegation has the legal right to issue contracts in the country. Only in exceptional cases should the Federation Delegations directly contract staff according to the following guidelines. Examples of such exceptional cases can be:

- positions needed at the Regional Delegations,
- contracts issued by the Regional Delegation in the case of regional deployment of staff,
- cases where the Federation is the "direct implementor" of an operation
- when the National Society declines to take on the responsibility to contract the staff on behalf of the Federation
- when the Federation Secretariat considers it inappropriate that the National Society contracts staff on behalf of the Federation Delegation.

#### Delegation Legal Status

- 6. The Head of Delegation is responsible for familiarising him/herself with the status of the Federation in the country of assignment. In most instances the Federation has concluded a status agreement with the host country. This agreement establishes the legal presence of the Delegation in the country, allowing it to sign contracts, open bank accounts and the like, as well as granting the Federation and its delegation certain privileges and immunities enjoyed by international organisations, including immunity from suit, tax exemption, and exemption from foreign registration.
- 7. In the context of delegation contracted staff, the Head of Delegation should pay particular attention to: (i) the privileges and immunities enjoyed by "national staff of the delegation" or "all delegates regardless of nationality" and (ii) whether or not the delegation must conform with local labour law (please note: that even if local labour law applies the delegation may still be immune from jurisdiction, this includes all labour courts). If not already done, the Head of Delegation should assure that the local lawyer employed by the delegation be given a copy of this agreement and explained the special status of the Federation in the country.
- 8. Where the Federation does not have a status agreement with the country, the Head of Delegation should ensure that the delegation is legally operating in the country and be fully briefed on the delegation's particular rights and obligations associated with such legal status. In some instances this right to be legally operational may be an automatic right, with no further formalities or more often it will take the form of registration as a foreign entity or a non-governmental organisation, or simply be permission from the government to operate. If the Federation (delegation) does not enjoy any type of legal status in the country, then Legal Affairs and Governance Support in Geneva should be notified as soon as possible and steps will be taken to assure that the delegation is legalised. Without such legal status in the country, either the HoD (the individual signing) has legally bound him/herself or the contract may be invalid. In some countries it may even be considered as fraud.

#### Situations where the Federation does not contract staff directly

9. Where the Federation does not have legal status to issue employment contracts the Federation Delegation will have to request the National Society to assist in identifying, recruiting and contracting any additional personnel according to specific Job Descriptions. Such personnel are contracted for a specific period **officially assigned to the Federation Delegation**. The Federation Delegation manages the staff while the contractual relations remain with the National Society. The Federation Delegation will thus benefit from the National Society's knowledge of local labour law and other specific regulations. The Federation Delegation will finance and take part in the selection and induction, and normally reimburse the National Society its costs including insurance, pension benefits, various allowances and termination costs as applicable. During large operations, the Federation may also reimburse the National Society for its extra administrative costs to take on such a responsibility.

#### **DEFINITIONS**

#### Delegation-contracted staff (within delegations and offices)

10. A delegation staff member is an employee who works primarily in the country where his/her contract was issued (or within a region, in the case of staff hired by Regional Delegations), according to terms and conditions set by the office which is recruiting the staff member. Thus a regional or country delegation or office recruits staff directly for its operations and activities and sets terms and conditions of employment, according to standardised guidelines, based on local norms. Delegation-contracted staff members are not paid the benefits associated with expatriation, except where benefits (MSA, accommodation, insurance, flights) may be applicable for short-term deployment within the region (normally up to a maximum of 12 months). Please refer to Part Two of the Guidelines for separate procedures "regional deployment of staff".

#### Delegation-contracted staff are not:

- 11. The groups of staff listed below are not "delegation-contracted staff" but are still the management responsibility of the Federation Delegation.
  - National Society staff and volunteers (in Country of Assignment), even as staff on loan or deployed, as long as their contractual relationship remains with the National Society according to 1.4 above.
  - Occasional labour e.g. hired to unload trucks, when contracted by the National Society according to local laws and customs. The Federation Delegation must always ensure that such staff are insured against accidents.
  - Consultants even when the contract is issued by the Delegation, consultants are not included in the above definition as they are paid a fee which covers all social benefits and insurance. Consultants are to be hired only in exceptional circumstances for a limited period of time (not exceeding 3 months), for specific tasks and only as per the approved budget. Relatives of staff members (internationally and delegation contracted staff) must not be considered for consultancy positions.

• **Temporary** personnel hired through agencies or specialised companies. This may be an efficient solution for technical experts such as Accounting and Finance Management and positions required for short term operation.

#### Regionally deployed staff on National Society contracts

12. A National Society contracted staff member put at the Regional Delegation's disposal after official request for a position at the Regional Delegation or a Country Delegation within that particular region. This includes Emergency Relief Unit staff (ERU) and Staff-on-Loan (SoL) arrangement. Please refer to Part Two of the Guidelines for separate procedures "regional deployment of staff".

#### **DELEGATION STRUCTURE - ORGANIGRAMME**

13. Each position (international and delegation contracted staff, staff-on-loan) should be placed in an organigramme of the Delegation, clearly showing the delegation's structure, reporting lines and responsibilities within the delegation vis-à-vis the National Society. The structures of the National Society and the delegation, lateral relations, counterparts and responsibilities should be discussed between the National Society and the Delegation and agreed upon in writing (be included in the MoU if possible).

#### RESPONSIBILITIES OF THE HEAD OF DELEGATION

#### General

- 14. The Head of Delegation retains the ultimate responsibility for the management of international staff and delegation-contracted staff, as well as personnel in the categories above. The Head of Delegation is, with the assistance of the Finance/Adm Delegate or the designated HR representative (where available), responsible and accountable for ensuring that the Delegation complies with all applicable local labour legislation and practices.
- 15. As part of the introduction, within the first month of a new mission, the Head of Delegation should gather and review the following information related to conditions in the country where Delegation contracts have been/will be issued and rectify immediately any discrepancies.
  - Legal Status in the country, including existing status agreements and other legal agreements
  - Job Descriptions, Mission Instructions and Rules of Conduct for all staff
  - Delegation classification system and salary scale including MSA systems for regionally deployed delegation-contracted-staff
  - Insurance coverage for delegation-contracted-staff
  - · Labor law
  - · Taxation law
  - Pension regulations
  - Social benefits regulations
  - Arbitration/mediation/disputes settlement law and traditions

16. The Audit and Risk Management Department of the Secretariat monitor these aspects during their field audits.

#### Delegation-contracted staff

- 17. The Head of Delegation is also responsible for:
  - The recruitment and selection of delegation-contracted staff, ensuring that the staff receive a proper introduction to the Movement, the Delegation and the operation(s) and all administrative routines, including security, grievance and disciplinary procedures.
  - Ensuring that all staff members sign employment contracts and rules of conduct in conformity (as far as possible) with Federation standard contracts and local labour law, if applicable.
  - Ensuring that a position classification and salary scale according to local pay rates are established, updated and respected. Local pay levels have to be compared with what other organisations pay (ICRC, other NGOs and international agencies).
  - Ensuring that each staff member has an accurate and up-to-date position description.
  - Maintaining a confidential file for each employee containing the contract, job description, mission instruction, rules of conduct, personal data sheet and other relevant information. All such files must be kept secured.
  - Payment of salaries, ensuring that all tax, insurance and social security requirements are met.
  - Ensuring that delegation-contracted staff are managed professionally (see also "Team Building and Personnel Management in Federation Delegations")
  - Ensuring that each person receives a mid-year performance review (Mid-year Update) and a performance appraisal at least annually, at the end of their contract, and/or at the end of the mission of their supervisor. Salary adjustments should be linked to performance appraisals and cost of living.
  - Submit the list of delegation-contracted staff (as per standard format) to the Recruitment Coordinator, HR Department, Geneva, three times a year in conjunction with the delegate planning list.

18. Below follows further information for each respective area.

#### RECRUITMENT

General

- 19. Selection procedures should be fair and transparent and based on the system developed under the Regional Recruitment Programme.
- 20. Delegation-contracted staff should be selected on the basis of their professional capacity, experience and ability to perform in line with the position description developed prior to the recruitment. The Delegation will seek advice and show sensitivity to political and environmental issues which may the affect selection of staff. Potential problems inherent in strong political ties or close family relationships among employees should also be taken into account. Recruitment procedures and promotion criteria should be established in each delegation. The vacancy should first be advertised to National Society staff through NS agreement and internal candidates in the delegation, before advertising externally, unless specific technical professional skills are required which do not exist in the delegation or the National Society.
- 21. The person hiring must verify stated facts in work certificates and references. Before hiring, competency tests should be conducted in order to ensure that a minimum standard is met in areas such as language, reporting, typing, driving, etc.
- 22. The delegation will ensure that each new staff member is aware that the Federation's activities in the country concerned is of limited duration. Federation delegation contracted staff should be informed well in advance of a planned closure of a delegation.
- 23. The Head of Delegation must ensure that at the end of their contract, delegation-contracted staff receive a work certificate describing the employment period and the employee's responsibilities including performance related comments where required by law.

#### Health examination and clearance

24. Delegation-contracted staff should undergo a health examination by a medical doctor designated by and paid by the delegation, to ensure that he/she is physically fit for the assigned job (see Rules and Regulations on Medical Expenses).

#### INDUCTION AND ACCESS TO TRAINING

25. Delegation-contracted staff must go through an induction programme including a thorough briefing of the National Society's history, programmes and plans as well as the Federation specifics. Staff should have access to basic training on the Movement, First Aid in conjunction with the host National Society, and advanced-level training related to technical fields for selected employees, for example Logistics and Finance/ Administration. Delegation-contracted staff (with the appropriate professional profile and skills) should have the opportunity to apply to be interviewed by the Delegation and the host NS for BTC training and if successful, become international staff in a different context and country, according to the guidelines of the regional delegate recruitment and training programme.

#### **CLASSIFICATION OF DELEGATION POSITIONS**

#### Background - classification of positions

26. All Federation (delegate) field positions were classified in 1995, based on the Secretariat classification system approved by the Executive Council of the Federation. The positions were classified according to six factors:

- Impact on the organisation
- Responsibility for supervision
- Area of responsibility
- Level of interaction
- Qualifications
- · Problem Solving
- 27. Standard Position Descriptions have been developed for fifty (50) Federation field (delegate) positions, with standardised job titles. Each position is linked to a specific classification level. Position descriptions and classification for professional delegation contracted staff may overlap with internationally contracted staff (delegates). A delegation-contracted staff member may well supervise an internationally contracted staff member (delegate).

#### Classification of positions for Delegation-contracted staff

- 28. We recommend that positions for delegation-contracted staff are classified in harmony with the classification made for Standard position descriptions as described above.
- 29. The important point is to classify the position, not the person who is presently employed in this particular position. Performance recognition can be made by using the steps in the salary scale with a fixed grade.
- 30. Below follows a sample classification system for delegation-contracted-staff. However, depending on the operation and the labour market conditions such as the security situation, scarcity of staff with certain skills and experience, the grading of a specific position may vary.
- 31. An officer position assigned to work at a regional level, could be graded one grade higher, than a similar position at the national level.
- 32. The final decision how to classify the positions is left to the Head of Delegation after he/she has made a market study and verified the system with local business expertise.

Classification levels professional delegation-contracted-staff (this classification scale is one sample and variations may occur

between delegations)	
Grade I	Health Coordinator
	Programme Coordinator - regional level Finance Manager - regional level Head of Unit
Grade H	Finance Officer - regional position
	Technical Officer in a regional capacity - Relief/Logistics DPP/Water-Sanitation Health Officer (Medical Doctor)
Grade G	Development Officer
	Telecommunications Officer Water/Sanitation Officer Accountant Human Resources Officer Pharmacist
	Health Officer (Nurse)
	Social Welfare Officer Information Officer Vehicle Workshop Officer Field Officer
Grade F	Camp Manager
	Technical Manager
	Logistics Officer
	Construction Officer
	Mechanic

Classification levels for support staff (samples)

33. Support staff should, wherever possible, be contracted by the National Society according to the National Society classification system and salary scale and be reimbursed, when needed, by the Federation delegation. Specific skills requirements, e.g. language skills can be rewarded through additional benefits. The staff, e.g. housekeepers often need accident insurance arranged by the Federation. Examples:

Interpreter Administrator Bookkeeper

Radio Operator

Grade C Receptionist/Switchboard

Driver

Administrative Assistant/Secretary

Senior clerk/typist

Grade B Messenger

Junior clerk/typist

Grade A Security guard

Temporary staff (loader/helper/turnboy)

Gardenery

Cleaner/Housekeeper

#### **CONTRACTS**

Grade E

Grade D

- 34. For every delegation-contracted staff, the delegation must establish a contract which is in compliance with local labor legislation and employment practices unless the status agreement with the country exempts the delegation from local labour. In the latter situation, where not in contradiction to Federation policy, the delegation should follow the provisions of local labour law and employment practice. If local labour law applies, a local lawyer must be consulted by the delegation on laws and customs of the local job market and to verify the legal validity of the standard contract and related documents e.g. Regulations for delegation-contracted staff and Code of Conduct. If necessary, Legal Affairs in Geneva will assist the delegation in acquiring necessary local legal advice.
- 35. Contracts for delegation-contracted staff should be written in one of the four official languages of the Federation as well as in the local language if required by the local labour practice. A position description with classification grade, the Rules of Conduct signed by the future employee and the Regulations for Delegation-contracted staff will form part of the contract. The contract should clearly state the full salary amount, responsibility for payment of taxes and social benefits as well as the mode of salary calculation and payment.
- 36. The Delegation has only authorisation to issue renewable **fixed term contracts, according to the delegation budget allocations.**Where local labour law permits, the fixed term should not exceed one year in duration. The Head of Delegation should pay particular attention to local labour law especially as it relates to fixed term contracts since repeated renewal of contracts may be deemed open ended

contracts.

In countries where local labour law does not permit short term contracts the Head of Delegation should explore with local counsel the possibility of some type of service agreement instead of an employment contract. Service agreements generally do not fall under a labour law regime, thus may allow for greater flexibility. An alternative may be to hire an agency (if available) to provide staff. All such staff are required to sign RC/RC Rules of Conduct.

37. Open ended contracts may only be issued with the written approval of the Director, HR Department, Geneva.

#### **SALARIES**

#### General

38. Every Delegation should establish a salary scale, based on the guidelines in this document (**see below**). The salary scale should be applied at all times with no exceptions. The following elements should be taken into consideration when fixing salaries for delegation contracted staff.

- Average salaries paid in the country for staff working in humanitarian organisations
- Internal parity when applying salaries among employees of the same classification
- Parity with the National Society salary scale where applicable, recognising specific skills needed by Federation delegationcontracted staff (level of education, technical expertise, language skills)
- Availability of staff in a particular category; scarcity of a particular group and other labour market conditions.
  - a) The Federation, as with other aid organisations, may tend to pay salaries which seem very high in the host country and may upset the local labour market. Embassies, the ICRC, other international organisations and public and private enterprises should be consulted concerning their salary scales and the different benefits they grant their employees (bonuses, allowances, holidays, insurance, cost of living etc.) Comparative pay and benefits may be necessary to attract qualified staff. However the delegation must at all times be able to justify its salaries in relations to the local employment market, particularly in relation to National Society salaries.
  - b) In order to avoid a build-up of liabilities, all salary elements should be paid out on a monthly basis. In countries where the legislation demands terminal employee benefits such as seniority pay, severance pay, etc., these are to be paid at the end of the contract and provision made against such financial liabilities in the delegation budget.
  - c) In accordance with the local labour law, in countries where state pension funds exist, the Delegation should buy into it.
  - d) A payroll document is to be established monthly and signed by the Head of Delegation. The original of this document will be attached to the payment vouchers in the accounting records, and a copy filed in the employees personnel file.
  - e) Each employee should receive together with their salary payment a salary slip indicating gross and net salary and deductions by type and amount. Salaries to all delegation-contracted staff (also expatriates) must be paid in local currency. Any exceptions require prior authorisation from the Regional Department and Finance Department in Geneva.
  - f) Salary advances, which should be restricted to a minimum, require authorisation by the Head of Delegation/Head of Regional Delegation. In no case should the total outstanding advances to an employee exceed half of his or her monthly salary. No advance payments should be made before the 15th of any given month. The advances should not be recurrent on a regular monthly basis. Salary advances should not be considered as loans. Loans to staff are not permitted.

Salary scale model (professional delegation-contracted staff)

39. The grades (D-I) in the Salary Scale below correspond to the Delegation Classification System for professional delegation-contracted staff as descibed above. The system is structured in the same way as the Federation salary scales for international staff (delegates). The scale can easily be adjusted to the local market rates. The Delegation needs to benchmark each grade at medium point and then adjust the cells (on top in %), according to the description in the separately attached Lotus 1-2-3 spread sheet.

- Minimum step (-10,5%) would be given to first time staff with no previous relevant field experience and no Red Cross/Red Crescent experience.
- Medium point (0%) would be given to first time staff with both previous relevant field experience and Red Cross/Red Cross experience. No first time staff would commence above medium point.
- Experience and high performance can be reflected in salary awards. For example, an incremental step (1.75%) may be given for one year accumulative service and in addition one step (1.75%) may be given for experience and performance (linked to the Delegation staff appraisal system).
- Salaries for very experienced staff can be increased to a higher level in comparison with a less experienced person at a higher grade.
- The entire scale can be adjusted for increased cost of living, by adding the percentage of adjustment to the cell for Grade F, medium point (starting point).

Salary Scale - delegation contracted professional staff D - I (example - not based on real delegation)

	Grade I	Grade H	Grade G	Grade F	Grade E	Grade D
Step %	+90%	+50%	+20%	0%	-20%	-40%
Maximum	2 160	1 740	1 410	1 140	915	740
	2 130	1 720	1 390	1 125	900	725
+21%	2 100	1 700	1 370	1 115	890	710
	2 070	1 680	1 350	1 110	870	700
+17.5%	2 040	1 650	1 320	1 080	860	690
	2 010	1 630	1 300	1 060	850	680
+14%	1 980	1 600	1 280	1 040	840	670
	1 950	1 580	1 260	1 025	830	660
+10.5%	1 920	1 560	1 250	1 010	820	650
	1 890	1 520	1 220	1 000	800	640
+7%	1 860	1 490	1 200	980	785	630
	1 830	1 460	1 190	970	770	620
+3.5%	1 800	1 440	1 170	950	760	610
	1 770	1 420	1 150	930	750	600
Medium	1 740	1 400	1 130	915	735	590
	1 710	1 370	1 110	900	720	580
3.5%	1 690	1 350	1 090	890	705	570
	1 650	1 330	1 070	875	690	560
· 7%	1 720	1 300	1 050	850	675	550
	1 590	1 280	1 030	835	660	540
Minimum	1 560	1 250	1 010	820	650	530

Formula	Grade I	Grade H	Grade G	Grade F	Grade E	Grade D
Step %	+90%	+50%	+20%	0 %	- 20%	-40%
+24.5%						
max						
+21%						
+17.5%						
+14%						
+10.5%						

+7%			
+3.5%			
. / .00/		Ot	
+/- 0% Med		Start formula	
-3.5%			
-7%			
770			
-10.5%			
Min			

#### REGULATIONS FOR DELEGATION-CONTRACTED STAFF

40. Regulations for delegation-contracted staff are to be established by every delegation employing such staff. The regulations must comply with the local labour law and should include:

- A summary of employment conditions (contract, trial period, overtime)
- Working hours (normally same as the National Society)
- General remuneration (bonus, indications on when and how salary is paid and all indemnities prescribed by the local labour law)
- Conditions for paying per diem, insurance and other allowances when travelling outside the contractual base for work purposes, indicating the maximum period after which the new location should be considered as his/her new base and no per diem is paid (max. 12 months in total).
- Information on social security and other benefits
- General rules on leave (annual leave, family events, financial compensation etc.).
- Security regulations
- General Discipline (Rules of Conduct, use of ID cards and badges)
- Disciplinary procedures
- Grievance procedures
- Procedures in case of accidents during work
- A statement that the Regulations form an integral part of any employment contract.
- 41. A copy of the Staff Regulations should be sent to Geneva, Legal Affairs and Governance Support for legal review and to Human Resources Department, for information.

#### **SECURITY**

- 42. The Head of Delegation has the overall responsibility of the delegation's security management including all delegation employed and managed staff and also visitors. The Head of Delegation or his designated security delegate will brief all staff and ensure that they truly understand the Federation delegations specific security regulations, including also standard operational procedures for an operational relocation and emergency hospitalisation.
- 43. The delegation's security regulations are applicable to all delegation-contracted staff and visitors. Deliberate breach of the security regulations by a staff member might result in the termination of contract.

#### **INSURANCE**

- 44. The delegation must ensure that payment into the national social security scheme is done for each employee (where possible).
- 45. Where available, delegation-contracted staff must be insured against accident and illness according to local law or practice. The annual cost for such an insurance should not exceed 1,500 CHF/year. If this is not possible, the Delegation will reimburse employees for personal medical expenses (including maternity) up to a maximum of CHF 1,500 per year upon submissions of receipts (family members excluded). Dental treatment is not included unless caused by accident.
- 46. Each employee will be insured for accidents and disability according to local standards. A reasonable level of accident insurance

#### would be:

- 3 x annual salary for death caused by accident
- 6 x annual salary for permanent disability
- 1 to 4 times the annual salary for partial disability depending on the severity
- 47. Should this not be possible, written explanation should be sent to the Director of Human Resources in Geneva. All delegations should be protected against traffic accidents involving damage to a third party through appropriate insurance coverage.
- 48. In the event of temporary incapacity due to accident or sickness, the Federation will guarantee payment of full salary for one month. 50% of the salary will be paid for the next two months. From the fourth month, no salary will be paid. The Head of Delegation has the right to request a medical certificate from a physician chosen by the delegation. An application to the French Fund Maurice de Madre (see below) should be made as soon as a longer temporary incapacity is anticipated.
- 49. Paid maternity leave must conform with local labour legislation and employment practices. In the absence of local legislation, the delegation will provide 2 (two) months paid maternity leave.
- 50. To protect the Federation Delegation against claims arising from staff and volunteer accidents in its offices, houses, warehouses and other associated buildings each delegation must ensure that an accident insurance is in force at all times. This should be organised locally. A global third party liability insurance is in force through the Administration Department in Geneva, but this insurance only covers persons with no direct connection to the Delegation.

#### THE FRENCH FUND MAURICE DE MADRE

- 51. The French Fund Maurice de Madre (FFMM) was created in accordance with the last wishes of the Count Maurice de Madre, using the proceeds of property he left to the International Committee of the Red Cross before his death in 1970.
- 52. The FFMM makes it possible to provide assistance to temporary or permanent staff of the various components of the International Red Cross and Red Crescent Movement who find themselves in financial difficulty following an injury, an illness or an accident suffered in the course of their work.
- 53. The FFMM serves mainly to assist staff and volunteers of National Societies or delegation contracted staff. It provides financial help to the families of the National Society staff/volunteers or delegation staff who have lost their lives while serving the Movement.
- 54. In order to apply, get an application form from the Federation representative to FFMM Board, have it filled in by the National Society or the Head of Delegation and send it back to the Employment Relations, who will forward it to the Federation Representative to the FFMM Board.
- 55. The Board of the FFMM meets once a year where a review of open cases and discussion of new cases take place. In-between these meetings, the case are dealt with in writing. Note that the National Society and/or the delegations involved have to advance the sum agreed by the Board to a staff member or his/her family. The FFMM only provides reimbursement once the official receipt(s), signed by the beneficiaries, have been received, or once all the bills paid by the beneficiary and/or the National Society / delegation have arrived in Geneva.
- 56. In case the amount allocated to the staff member or his/her family is quite substantial, it is recommended to divide it up into 2 or 3 yearly payments.

#### PERFORMANCE AND MANAGEMENT EVALUATIONS

- 57. The immediate supervisor is responsible for the performance management of delegation-contracted staff reporting to him/her. The supervisor must establish and maintain good working relations with the staff member, based on respect and appreciation of the fact that the national colleagues are usually far more familiar with the local environment and appropriate customs. It is important that the supervisor serves as a role model through personal discipline and integrity, develops trustful relationships with National Society colleagues and at all times lives by the Movement's Fundamental principles.
- 58. The line-manager provides the HoD with all the necessary information to prepare the performance evaluation at the end of the staff members contract or at the end of the supervisor's mission.
- 59. Only the HoD, or Acting HoD in the event of the absence of the HoD, with legal advise as appropriate, has the authority to suspend or terminate the contract for delegation contracted staff. Other supervisors do not have this authority.

#### **DISCIPLINARY PROCEDURES** for delegation-contracted staff

60. The below guidelines have to be verified with a legal expert in the Country of Assignment. Local labour legislation may recommend other possible procedures which then have to be followed.

- 61. The Disciplinary Procedures are established to deal with unsatisfactory work performance, misconduct or gross misconduct. They are applicable when an issue related to the performance or conduct of a staff could not be dealt with by the line-manager or by the head of Delegation through information discussions and mutual understanding.
- 62. The appropriate application of the disciplinary procedures is not only a Human Resource management issue but may also prevent potential security incidents arising from a perception of unfair treatment. The first measure is to brief all new delegation-contracted staff on the disciplinary procedures applicable in the delegation during their induction period. It is important to gain an understanding and acceptance from the staff of the purpose of the procedures.
- 63. The same Disciplinary Procedures applies for internationally and delegation contracted staff.
- 64. The Disciplinary Procedures should not be used in cases where a staff has been placed in a position for which he/she does not have the skills required. In such cases an alternative position may be discussed or the normal termination clause would apply.

#### Misconduct

- 65. In terms of the present Disciplinary Procedures the following actions are qualified as *misconduct* (initiated at Level 1 or 2).
  - Failure to follow procedures/policies set in Geneva and locally,
  - Unauthorised absence from work (if implications are serious, it may be considered as gross misconduct),
  - Disobeying work related instructions of the supervisor/Head of Delegation
  - Improper behaviour which reflects badly of the Federation as an organisation whilst off duty,
  - Sexual, moral or racial harassment (if implications are serious, it may be considered as gross misconduct);
  - Disrespect toward other staff/culture/customs.

#### Gross Misconduct

66. In terms of the present Disciplinary Procedures the following actions are qualified as gross misconduct (initiated at Level 3):

- Deliberate breach of security regulations,
- Working or driving whilst under the influence of alcohol/drugs
- Theft of Red Cross/Red Crescent property
- Violence against or abuse of colleague(s), and members of the local population (including sexual, physical or emotional abuse in particular involving minors)
- Involvement in criminal/illegal activities
- Carrying/storing of weapons or other items of war
- Blatant violations of Red Cross/Crescent Principles/Rules of Conduct/ Status Agreement with the host Government
- 67. The above definitions, however, are neither restrictive nor exhaustive. Any action, perceived or factual, that has or might have the consequences similar to those listed above, can be qualified as misconduct or gross misconduct by the person authorised to apply the Disciplinary procedures.

#### Procedures Levels

- 68. The Disciplinary Procedures consist of three levels:
  - Level 1 extraordinary performance appraisal
  - Level 2 written warning with time limit within which to improve
  - Level 3 suspension and/or termination of contract
- 69. In the event of gross misconduct, the Level 3 procedure may be implemented immediately without previously applying Level 1 and 2. **This decision is the responsibility of the Head of Delegation after having sought legal advise.**

#### Implementing Procedures

70. The Disciplinary Procedures in relation to delegation-contracted staff are carried out by the Head of Delegation. If necessary, he/she can delegate carrying out Level 1 procedures to the direct line manager of the staff under review.

#### Suspension and Termination of Contract

71. In case of gross misconduct, the Head of Delegation has the responsibility to immediately suspend the staff while reviewing the facts, and terminate the contract after having sought legal advise (if appropriate).

#### Level 1 - Extraordinary Performance Appraisal

a) An extraordinary performance appraisal should be carried out immediately when the performance or conduct problem becomes apparent, and cannot be solved through discussions when sufficient facts are known. The appraisal must clearly establish what the problems are and what improvements are expected **and can be agreed upon by the staff member** with a realistic deadline, e.g. 1-3 months. It must also establish the date of the next appraisal at which time the situation will be reviewed. The extraordinary performance appraisal is to be documented in writing, including suggestions and comments by the staff member who is requested to countersign the document. If the staff member refuses to sign the document, a third party

may be asked to mediate and facilitate an agreement which is acceptable to both parties.

- b) A copy of the signed performance appraisal is to be kept on file in the Delegation.
- c) Should performance/conduct not improve by the given date, the Head of Delegation must implement Level 2 of the procedures. If the performance deteriorates the HoD may, after having sought legal advise, implement Level 3.

#### Level 2 - Written warning with time limit within which to improve

- a) If the staff's performance/conduct does not improve after the Level 1 procedure, a *written warning* with a time limit to improve is given. This warning must clearly state what improvements are requested and by what time. It must also state that, if these improvements are not obtained, termination of the contract will follow. This warning needs to be signed by the Head of Delegation and co-signed by the staff concerned, if needed in the presence of a neutral witness, as a legal evidence of receipt.
- b) If the staff is recruited from a National Society or Delegation in the region, the respective institution should receive a copy of the warning while the original will be kept on file. The Head of Delegation can in this case only terminate the mission, while the termination of the employment contract has to be made by the National Society/Delegation.

#### Level 3 - Suspension and Termination of contract

- a) If the staff's performance/conduct does not improve according to the expectations stated in the written warning, the Head of Delegation will suspend the staff member as necessary and seek legal advise before terminating the contract. If the staff is recruited from a National Society or Delegation in the region, they must receive prior notice.
- b) The Head of Delegation is responsible to ensure that all material entrusted to the staff is returned, including authorisation letters, possible ID cards and Badges.

#### Improved Performance

72. Should the performance/conduct improve during these proceedings, a note should be given to the staff confirming this, with a copy to the National Society/Delegation as applicable (after Level 2).

#### Appeal

- 73. The staff member is not authorised to start a Grievance Procedure during the Disciplinary Procedure process. The Disciplinary Procedures is a management tool which should be kept separate from the Grievance Procedures.
- 74. If the Head of Delegation has reason to suspect that the Delegation may become involved in a legal proceeding, the Legal Affairs and Governance Support Department and the Director of HR Department or Head Employment Relations in Geneva, should be contacted in writing as soon as possible for consultations.

#### GRIEVANCE PROCEDURES for delegation-contracted staff

75. The HoD must ensure that local law and practice regarding disputes settlement, grievance, arbitration and mediation are investigated, keeping in mind that a valid status agreement will probably exempt the delegation from all employment related suits. The Federation generally recommends the following procedures, if necessary, adapted according to local law and practice. Each staff member should be briefed about the procedures during their induction.

#### General

- 76. The aim of these procedures is to ensure that all grievance matters are dealt with in a fair and consistent manner by management and that delegation-contracted staff have appropriate protection.
- 77. Some disagreements and tensions are an inevitable part of working in a team and individuals and managers have a responsibility to handle these in a professional and sensitive manner so that they are resolved and do not affect the work of the team. The normal processes of good management and team-working should prevent such tensions developing into problems. Where problems do arise, they should be resolved whenever possible between the staff and the supervisor who have the right and the duty to resolve problems which arise. Only when these steps have proved ineffective may a formal grievance be considered by one party.
- 78. In this, as in any managerial activity, the quality of judgement is key; the procedures provide a framework for the resolution of grievances but cannot resolve problems in themselves. The training and briefing of supervisors/staff emphasise the importance of the skills involved.
- 79. Punitive measures (e.g. harassment) against staff for raising problems to more senior levels of management will not be tolerated.
- 80. Staff may at any stage use a *colleague or delegate* as a witness in the process if of help. Such a witness would not take any active part in the process but confine his/her intervention to that of an observer.

#### Definition

81. A grievance exists when an individual or group of employees feels that they have cause for complaint. Such grievances may relate to:

- Duties
- Working procedures
- Management decisions
- Behaviour/action of other staff (this list is not exhaustive)
- 82. The following are specifically excluded from these procedures:
  - Disciplinary matters and appeals against performance evaluations (see Disciplinary Procedures).
  - Issues that should be referred to the contracting party (if other than the Delegation) (e.g. issues relating to terms and conditions for staff on National Society contracts).

#### Stages of the grievance procedure:

Stage One (Oral)

83. Staff should raise any problem with their immediate line manager who is required to respond within 7 days (this may be delayed a little if the people in question are away on leave or mission). The line manager will arrange a meeting with the staff and any other relevant persons to discuss the grievance.

Stage Two (Written)

- 84. If the problem is not resolved, or cannot be raised with the line manager (e.g. in a very serious personal case such as alleged sexual harassment by the line manager), the matter should be referred to the next level manager. In such cases the staff should complete a Grievance Record Form for the next level manager, who will inform the line manager and provide a copy of the written record.
- 85. The next level manager will obtain written statements from the line manager and any other relevant person. This investigation should take place and a response be given within 14 days after the Grievance Record Form has been received (this may be delayed a little if the people in question are away on leave or mission).
- 86. In case of delegation contracted staff deployed within a region, the Regional Delegation must be informed of any grievance if it gets to the second stage, and they will inform the staff's National Society/Delegation.
- 87. The staff member will be informed of the decision in writing. The decision will be recorded on the Grievance Record Form, and signed by the second level manager and the employee. A copy will be sent to the Regional Delegation.

#### Stage Three

- 88. If the staff is not satisfied with the decision s/he must send a written appeal to the Appeals Commission which will comprise the Head of Delegation, the Secretary General of the host National Society (if he/she agrees and it is appropriate) and an expert on labour legislation in the country of assignment. In case of staff recruited within the region, the Head of Delegation will inform the staff member's National Society that an appeal has been lodged. Based on all the documents received, the Appeals Commission will make a decision on the case within a month of the receipt of the grievance form, and inform the staff member of their decision in writing. This decision is final. The legal expert in the Appeals Commission will inform the staff member and his/her National Society (if applicable) of this decision.
- 89. For delegation-contracted staff and NS-contracted staff seconded to the Delegation, there is no recourse to appeal beyond the Appeals commission mentioned in "Stage Three".

#### Legal Liability or Employment Suits brought against the Federation

90. The Head of Delegation is responsible for ensuring that the Desk Officer, HR Department and Governance Support and Legal Department in Geneva is made aware of (i) any actual or potential suit which may be brought against the Federation, (ii) any violation of the status agreement by the government or (iii) any illegality or potential liability on the part of the Delegation in relation to delegation-contracted staff. Governance Support and Legal Department will then work with the Head of Delegation, local counsel and where necessary the ministry of foreign affairs in hopes of bringing the situation to a quick and amicable solution. On no account is the Head of Delegation authorised to appear or accept a court proceeding in the local country or settle a dispute for a material sum of money, without the knowledge or authorisation of Governance Support and Legal Department in Geneva.

Please also see "Managing Conflicts". Additional information is also available in the Manual "Team-building and personnel management in Federation delegations".

	GRIEVANCE RECORD FORM
Nature of grievance	

Grievance raised by:								
	Sta	aff's name	Signature	Date				
Stage Two: Record details of the agreement reached or reasons for failure to agree:								
Signed:								
	Staff's nan		Cionatura	Data				
	Stall's han	ne	Signature	Date				
Signed:								
	Second lev	el manager's name	Signature	Date				
Stage Three: Record details of the decision:								
Signed:								
Oigned.								
		_						
Name of Me	diator	Signature	Date					
Head of Del	egation	Signature	Date					

#### **Rules of Conduct**

# Rules of Conduct for Personnel working in an operation managed or co-ordinated by the International Federation of Red Cross and Red Crescent Societies

(These Rules came into force on 1 June 2000)

- 1. The Rules of Conduct set out below apply to *delegation-contracted staff*, *National Society staff on loan*, *volunteers and consultants* working in an operation managed or co-ordinated by the Federation. All these categories of field personnel are required to establish professional and personal relations and to practise working methods that will build confidence in the Federation and its member Societies. They must be aware of the fact that their actions may have important consequences for many human beings.
- 2. The Federation and its member National Societies often act in situations of war, internal disorder and various states of emergency. Working in such circumstances can expose field personnel to physical danger, making it necessary to exercise caution at all times. Above all else in such circumstances, field personnel must strictly follow Federation Security Regulations.
- 3. Red Cross and Red Crescent personnel on mission, either on or off duty, and their family members where present, must neither say nor do anything to contravene the Fundamental Principles of the Movement particularly those of *Impartiality* and *Neutrality*.
- 4. Adult (aged 18 years or more) family members who accompany a staff member to the country of assignment must also sign a special version of the Rules, which place them under similar obligations.
- 5. As a representative of the Federation in the country of assignment, the staff member shall comply, where applicable, with the terms and

conditions of the Status Agreement concluded by the Federation with the Government of that country. Unless otherwise specified by the Status Agreement, he/she is subject to local laws and regulations, with which he/she has a duty to comply. The Status Agreement may provide for immunity from jurisdiction in order to assist the Organisation in fulfilling its statutory objectives. Even when acts accomplished in the exercise of their official duties on behalf of the Federation are normally covered by immunity from jurisdiction, the Head of Delegation on behalf of the Federation Secretary General is solely competent to determine what is meant by "in the exercise of official duties" and whether or not in any particular case, such acts shall be covered by immunity. The staff member will be liable for any acts not covered by the immunity from jurisdiction.

- 6. In consequence, the undersigned agrees:
- a. to enquire from the Delegation on the rights and obligations deriving from the legal status of the Federation delegation in the country of assignment, and to observe strictly the corresponding obligations;
- b. to pay due respect to the religious beliefs, customs and habits of the population of the country of assignment, and to conduct himself/herself accordingly;
- c. observe strictly the laws and regulations of the country of assignment or as per the status agreement, including those concerning security, traffic rules and currency exchange; the staff member and his/her family members cannot expect any support from the Federation if he/she knowingly contravenes such laws and regulations. Ignorance of these Rules of Conduct will not be accepted as an excuse for not adhering to them;
- d. to respect and to promote respect for the emblems of the Red Cross and Red Crescent;
- e. not to use or to have in his/her possession weapons or ammunition at any time;
- f. to dress in a manner appropriate to the assignment, avoiding any impression of military status and refraining from wearing Red Cross and Red Crescent insignia when not on official duty (except insignia of small size, such as a lapel pin);
- g. to abstain from undertaking any public, personal humanitarian, professional, commercial or academic activities outside of those specified in the staff members job description/mission instructions without permission from the Head of Delegation of the Federation;
- h. to observe discretion during the assignment and in relation to anything he/she may witness when carrying it out, including during the period following the assignment;
- i. to avoid making references to political and military situations in official or private communications, including conversations, telephone calls, radio messages, cables and letters;
- j. to refuse any financial or material gifts, or promises of such gifts or other advantages, except for the token presents which are customarily offered;
- k. not to commit the Federation, either financially or in any other way, unless officially authorised to do so; to administer with exactness and care the funds and material supplies entrusted to him/her, and to be prepared throughout the assignment to render an account of the use of such funds and supplies;
- 1. to keep the Head of Delegation (or Sub-delegation as the case may be) informed of his/her movements and not to leave the country of assignment, or to take local leave, without permission from the Head of Delegation;
- m. to adhere to the Federation policy on zero tolerance to drinking and driving; it is forbidden to drive any Federation vehicle with any alcohol in the blood; drinking and driving will be considered as misconduct under the Federation's disciplinary procedures. Depending on the seriousness of the case, it may be considered gross misconduct.
- n. to be prepared, should the circumstances require, for transfer to another Red Cross and Red Crescent assignment, subject to its compatibility with his/her qualifications;
- o. to return at the conclusion of the mission all Federation material, including identity card and insignia issued to him/her;
- p. to refrain from publishing articles or research findings resulting from the mission, without first clearing the text with the Federation Head of Delegation, including during the period following the assignment;
- q. regarding the execution of his/her mission, not to represent the Federation in contacts with organisations other than the Federation without authorisation of the Head of Delegation;
- r. to act in conformity with other instructions and directives from the Federation.
- s. to refrain from any act or omission, or from any words which may bring discredit to the Federation.

This document forms part of the contractual obligations of the undersigned.

Signature	_Place	_Date

# Field Personnel



# Chapter XI - Personnel Management

**Managing the Team** 

**Cross-Cultural Sensitivity** 

**Managing Conflicts** 

### Managing the Team

#### Introduction

1. The Medical Co-ordinator questions your decisions concerning programme priorities... A delegate who is acting arrogantly towards the Operating National Society... Two team members who refuse to talk to each other... Breakdown in communication between the field and Geneva... A delegate who refuses to carry out the mission instructions... Such are just some of the scenarios which can confront a Head of Delegation or any other team leader faced in the field with a constant barrage of personnel issues. Sometimes pressures are so great that it seems the only thing to do is to put out the fires and keep the peace! The aim of this section is to give a few practical ideas for managing the team in such a way that many of these problems will simply not occur. It starts and finishes with leadership.

#### Leadership

- 2. If you ask a group of team members what they look for in a *leader*, the responses will obviously be very mixed, depending on the personality and cultural background of each delegate. However, certain characteristics are commonly put forward time and again:
  - a sense of vision and purpose
  - · integrity and honesty
  - enthusiasm and commitment
  - trust, encouragement and support for team members
  - management competence
  - decisiveness where necessary.
- 3. One interesting thing about this list is, in a sense, what is not there. Team members are not necessarily looking to their leader for all the answers. They do not expect him or her to do their work for them, nor do they expect the leader to rush around solving problems, trouble-shooting, nor to be technically competent in every area. Above all, successful team leaders give the delegation a sense of direction or purpose and they have the ability to motivate and inspire their staff, providing the "enabling" environment that team members need to be able to work effectively.

Accept your role as the leader of the team. Concentrate on providing an enabling environment that will facilitate the work of the delegates in disaster response and in strengthening National Societies.

#### Some of Leadership's Key Aspects

- Listen! By just being a good listener you collect more information, identify problems at an early stage and create confidence.
- Respect everyone's contribution. An efficient leader is not the one producing his own ideas, but the one who encourages others to do it for him/her.
- Delegate responsibilities: it saves your time, increases commitment and improves morale.
- Recognise the work done by others. Show this appreciation of their efforts. Always thank people for the work well done.
- Be decisive when this is necessary. Somebody always has to decide, and it better be the team leader.
- Lead by example. It may not matter what you say, but what you do always does.
- Look after the team: make sure they feel comfortable both at work and outside.
- Be proactive. Do not wait for team members to come to you with their problems it is usually too late. Anticipate potential tensions before they become a problem.
- Do not forget about yourself. As a leader your are under more pressure than other delegates. So don't overdo things: prioritise your tasks, concentrate on the "strategic" ones and delegate others to your team members.

#### **Management Styles**

4. There are many different management styles. Some people believe that good managers, especially in emergency situations, have to be

directive and give their staff clear instructions on what they have to do. Others argue that the most effective leaders delegate as much responsibility to their staff as possible. Most team leaders tend to oscillate between the two extremes. In truth, even in an emergency, there is no "correct style" as everything depends on the context – the ability and confidence of the team member, his or her willingness to take responsibility, and the situation. The best managers learn to adapt their style to the staff member, being more directive to the less experienced and giving responsibilities to the more experienced members.

Adopt a flexible management style according to the ability and willingness of the team member. Provide direction when needed but look for opportunities to give responsibility.

#### **Delegating Responsibilities**

5. Having said this, the aim should always be to *delegate as much as possible*. The team leader is under constant pressure and cannot do everything. The more that can be delegated, the more time there is for other important tasks. But *delegating should never be seen as abdication*. It takes time and should be done gradually, supported by on-the-job coaching or training. Delegating usually involves negotiation between the supervisor and the staff member, and it should always be accompanied by giving the necessary authority and resources.

Delegation is essential and should be done gradually, accompanied by on-the-job coaching. Make sure to give the necessary authority and resources.

#### **Purpose and Strategy**

6. Effective teams need to have a sense of direction or purpose and team members must be committed to the same aims. Each delegate will have his or her Mission Instructions, but the overall purpose of the delegation or team may not be clear. It is worth taking the time to develop a statement of purpose and a broad strategy for the coming months or years for the delegation or the team. Involve the whole team or at least the senior staff in the discussion. It may be easiest to start with the leader's Mission Instructions and build on these. The results do not have to be polished or used outside the team, but make sure that everyone, especially new arrivals, understand and are committed to the purpose and strategy. Remember that plans are not static. They have to be constantly reviewed and updated to meet changing circumstances and new challenges.

Take the time to review the purpose and strategy with the team, build their commitment and keep emphasising the need to be flexible and to adapt to new challenges.

#### **Organising the Delegation**

- 7. Many tensions and misunderstandings within the team occur for one simple reason: lack of clarity about *who is doing what*, i.e. poor organisation. So, when one begins working with the team, it is useful to start by reviewing its organisation, so that it properly serves the team's ultimate purpose providing services to the beneficiaries.
- 8. Practical organisational issues (roles and responsibilities of delegates, position descriptions, communication systems and so on) are covered elsewhere in the Handbook. However, the basic steps to follow will be:
  - to identify (re-identify) the functions that have to be carried out in order to deliver the services effectively
  - to assign (or reassign) responsibilities between the team members, fairly distributing the workload
  - to prepare an organisational chart on the basis of the functions
  - to ask each individual to prepare an individual work plan and to share them with the other members of the team.

#### Managing the Performance of Team Members

- 9. Once the overall strategy and organisation of the team is established, time needs to be spent with each delegate to jointly work out his or her work plan. It is often useful to try to sum up in one sentence the purpose of the job and then to set some clear objectives. Make sure that each person supervised clearly understands what is expected from him or her in terms of the results to be achieved. The leader's most important role as supervisor is in monitoring and assessing performance (avoiding "micro-managing" though), giving feed-back and helping the team members to improve their performance.
- 10. This may sound a little theoretical, but the really important thing is, from time to time, to sit down with each team member and discuss, in a friendly and positive atmosphere, how things are going and how he or she can do better. This provides an opportunity to sort out a whole range of issues. Colleagues should be encouraged to raise issues about the quality of the supervision and management they are receiving.

Take the time to sit down with each person supervised and discuss how the work is going and how performance can be improved.

#### Managing for Results and Building Capacity

11. Every delegation is established for a specific purpose, usually under great pressure, to deliver assistance to the most vulnerable and to support the National Society. The temptation is to focus all one's efforts on producing, on meeting the immediate needs. This is rarely so straightforward. If one wants to maintain or develop high performance and productivity, one needs to be constantly thinking about building the capacity of the delegation or team. Each individual delegate must be motivated, supported and helped to develop. Effective teamwork is essential to the success of the delegation.

The manager must constantly be thinking of how to build capacity of the individual and the team.

#### **Developing the Individual**

- 12. So far the importance of the role of the leader in supporting and developing the individual team members has been emphasised. The amount of support will obviously vary and, as the delegate gains expertise and experience, he or she will need much less support to the extent that the leader should eventually be able to simply monitor how things are going and organise periodic performance reviews. Some of the ideas the leader should keep in mind include comprehensive briefing, on-the-job coaching, arranging for training courses, providing reading materials, information and advice.
- 13. It is extremely important that the team members feel that the leader is available, listens to their concerns, and is showing respect for their contributions and ideas. In fact,

The team leader can considerably increase motivation of the staff by simply making their job more interesting, giving responsibility, recognising work well done and involving the team members in decision-making.

#### Building the Team and Developing the Individual

- 14. Successful teams have shown that they have to have answers to eight key questions to become 'energised' sufficiently to achieve success. These key questions are: Who are we? Where are we now? Where are we going? How will we get there? What is expected of us? What support do we get? How effective are we? What recognition do we get?
- 15. The Federation's induction programme and training workshops aim at developing understanding and skills needed to find answers to some of these eight questions. It uses tools from the Team Management System (TMS) to help achieve this goal.
- 16. To answer the question **Who are we?** it is important to recognise that each person in a team brings different strengths to the team effort and will approach problems in a different way. Team members need to know 'what makes each person tick' and the underlying values that are important to each person, so that individual differences can be harnessed to achieve maximum performance levels. The personal *Team Management Profile* which delegates receive when they come for briefing at the Secretariat or when they attend certain second-level training workshops helps them value and understand the different approaches people bring to work. It looks at the different types of work and how we prefer to relate with others to get the work done. It also looks at how we gather and use various types of information in the process of relating to others, how we make decisions once the information has been gathered, and within what organisational framework we prefer to implement these decisions. For the team to benefit fully from the TMS it is recommended that the team members share their profile.
- 17. Motivation and success are very much influenced by linking the work to be done, the staff members' skills to do the job, and their preferred approach to work. The TMS tools can also be useful to team leaders in their role in supporting and developing the individual team members.
- 18. Teamwork is often one of the key challenges facing the Head of Delegation or any other team leader. Basically, team-building includes:
  - setting up a work structure,
  - developing appropriate working methods,
  - building a good working climate and relationships.
- 19. Setting up a work *structure* includes establishing team purpose and strategy, building commitment to it, encouraging a flexible and adaptable approach to planning, defining the roles and responsibilities of each team member and setting up efficient systems and procedures. By clearly defining who is doing what, one can avoid misunderstandings and feelings of professional insecurity.
- 20. Working *methods* of the team will largely be determined by the leader's working style. The leader, however, should ensure that team members are comfortable with these methods, adjusting them if necessary, or adopting the most efficient methods used by individual team members.

Meetings are both a clear indicator of the team's working methods and an excellent opportunity for team-building.

- 21. In principle, meetings should be short, frequent, well-prepared and facilitated, and stimulating. In some circumstances, there will be the need to meet everyday; in other situations, a weekly meeting may be sufficient. The manager will need to have several types of meetings and it is usually best to avoid combining more than one purpose for any particular meeting. One approach is to have a basic information-sharing and co-ordination meeting each week (or everyday in emergency situations), with more frequent, informal problem-solving meetings involving only the team members directly involved. In addition, the leader can organise the occasional, reflective, off-site meeting lasting at least half-a-day to take the time to review the strategy and to assess how well the team is working together. Whatever the meeting, always make sure that everyone fully participates and is integrated into the team.
- 22. Good *working climate* essentially depends on individuals, and leadership is crucial here. The way the leader approaches his or her role will dictate the "tone" of the team: leading by example, listening carefully to the opinions of the team members, showing trust, encouraging, coaching and delegating. Social occasions both during and after working hours are essential. The aim is to establish a relaxed, friendly and co-operative atmosphere in which people feel they can speak openly and honestly about their ideas and feelings.

# Working as a Team Member

- Teamwork is essential to the success of the delegation. There will always be problems with other team members and sometimes the team leader will not be fulfilling his or her responsibilities. It is essential therefore that all members of the team contribute to building the team spirit and sorting out any issues as they occur.
- Clarify your own role and responsibilities. When ready to take on more responsibility, initiate a discussion with the team leader.
   Suggest the area, the objectives and any authority limits. Make sure of receiving the necessary information, coaching and resources.
- Do not make quick judgements even if you have previous experience. No mission is similar to another: what worked before may not
  be appropriate in a new country and a different environment.
- Be willing to learn from the Operating National Society, local people and your colleagues. Do not make statements: take time to listen and ask questions before taking decisions.
- Welcome, introduce and integrate newcomers to the team. In dealing with them recall your own first days on a mission: what worried you then, what you wanted to find out etc.
- Support your colleagues, especially the team leader. He or she may need it more than others.
- Share information, ideas and experiences with other members of the team. It creates confidence and may even become vital in some situations (security for instance).
- Do not blame or criticise others. Everybody can make a mistake tomorrow it may be you. Better look for a solution together, and make sure that the lesson is learned and the mistake is not repeated.
- If having problems with other members of the team or the team leader, raise the issues directly with them and together look for a solution. Most conflicts can be easily resolved if tackled early enough.

Responsibilities and Reporting Lines

Job Description and Mission Instructions

Performance Management and Evaluation

Regulations for Field Personnel

Guidelines for Delegate Training and Support

Cross-Cultural Sensitivity

Managing Conflicts

# **Cross-Cultural Sensitivity**

#### **Cultural Differences**

- 23. Cultures are very different. A delegate's culture directly affects his or her values which, in turn, influence his or her attitudes and behaviour. People tend to behave and to expect others to behave in set ways. If they do not, one can often be surprised, offended, even angered.
- 24. Although one may be used to working with colleagues from different cultures, one is not always aware of the communication and relationship problems that can result from simple ignorance or lack of sensitivity. There is a very real danger in believing that cultural differences are not important simply because we tend to work dress and speak in similar ways.

#### **Cultural Pressure Points**

- 25. It is difficult, if not impossible, to learn all the potential cultural differences or sensitive areas between the various cultures the delegate will come across on mission. A few of the typical cultural "pressure points" are presented below to illustrate those areas where a clash is possible.
  - Some cultures emphasise individual achievement. Others focus on the group, stressing the importance of teamwork and consensus.
  - Some organisations are very hierarchical and authoritarian. Others tend to be more democratic and flexible.
  - In some cultures, decisions are taken by consensus, involving a complex process of consultation at all levels. In others, decisions are taken quickly and directly by the individual concerned.
  - Cultures differ in the importance they give to loyalty and unity to the organisation and the family.
  - Cultures also differ according to their attitude to change, risk-taking and uncertainty.
  - Attitudes towards women in the workplace vary significantly.
  - There are differences in the relative importance given to providing job satisfaction, fair salaries, career development, social relationships in the office, formality in dress, greetings and relationships, punctuality and efficient use of time, office privacy, degree of acceptance of bribery.

- Know yourself and your own culture.
- Be prepared to learn and adapt.
- Show empathy; communicate respect and interest for other cultures.
- · Assume that there are differences until sure of the similarities.
- Be non-judgmental, flexible and tolerant of other people's customs. Don't assume that one's own ways and culture are better: they are only different.
- Tolerate ambiguity: don't get upset when unsure of a situation, status or other people's reactions.
- Don't assume the worst: look for other explanations if the other person's behaviour seems to be offensive.
- Show ethical behaviour. Remember you are representing the Movement.

Managing the Team

**Managing Conflicts** 

**Building National Societies' Capacities** 

Managing Projects

# **Managing Conflicts**

#### **Pre-empting Conflict**

26. Conflict is natural and healthy in a team. Conflict can be a potential opportunity. It can bring issues out into the open. It can help to see problems more clearly and it can lead to more creative solutions. On the other hand, conflict can turn out to be dangerous if it is ignored or repressed. It can break up working relationships and eventually destroy a team.

Conflicts as such cannot be completely avoided, but one should always try to avoid the conflict escalating into major problems.

27. The best means of preventing a conflict from escalating into a major problem is to be found among the various techniques mentioned earlier: effective leadership; regular performance planning and review meetings; problem-solving in small groups; clear purpose and strategies; agreed roles and responsibilities; a constructive working climate based on sound working relationships; and open and honest feedback.

#### **Resolving Inter-Personal Conflict**

28. If a disagreement or conflict gets to a stage where the leader's intervention is necessary, he or she should take the time to prepare for the discussion.

- Before the discussion gather all available information and try to define the problem.
- Analyse the causes of the conflict get behind the positions that people tend to adopt in public and try to identify any unspoken interests and needs
- Look for common ground. Assess the different interests and needs and see if there is a package of solutions that would meet the interests of both sides, at least in part.
- Try to establish a relaxed and non-confrontational atmosphere for a discussion.
- During the discussion focus on the issues, not personality differences. Try to get each person to talk openly about his or her needs and interests persuade the other side to listen.
- Ask questions, especially those that may help the two sides to understand each other better.
- Treat everyone with respect even when not in agreement with them.
- Emphasise the areas of agreement, the common ground.
- Present options for consideration, not demands.

### Personal Behaviour

- Don't let minor disagreements grow into massive problems raise issues at an early stage
- Be realistic don't assume that the working atmosphere will always be perfect, learn to accept that conflict is a part of life
- Accept the fact of not always being right; and even when right, that one cannot always win.
- Learn how to disagree, to put forward a point-of-view in an assertive way without getting too emotionally involved or attacking the
  other person
- Learn to listen to other people.
- When things get heated, humour or a short break often helps!

Managing the Team

Cross-Cultural Sensitivity

# Communicating the Federation's Messages



# Chapter XII - Communicating Externally and Internally

The Identity Statement

**Communications and the Delegation** 

**Humanitarian Advocacy** 

The Movement's Policy on Advocacy

**Federation Advocacy Positions** 

**Key Messages about the Federation** 

The Federation's web site

**Information Resource Centre** 

# The Identity Statement

#### The Identity Statement

# The Identity Statement for the International Red Cross and Red Crescent Movement

Adopted by the Council of Delegates in 1989, the Identity Statement sets forth the image the Movement seeks to promote, and carries the messages we need to be communicating. By clearly formulating *who we are* and *what we do*, it underscores the mission and principles of the Movement.

The International Red Cross and Red Crescent Movement is dedicated to protecting human life and dignity worldwide, thereby promoting lasting peace. The millions of people in the Movement help those hurt by armed conflict, natural disasters, and other human tragedies. Victims around the world have come to trust the people of the Movement to be there to provide essential humanitarian services.

The people of the Movement help anyone in urgent need. No regard is paid to political, racial, religious or ideological differences. No point of view or person is favoured over another. Neither influence nor pressure will alter these facts.

Red Cross and Red Crescent members protect life and alleviate suffering through the International Committee of the Red Cross, the International Federation of Red Cross and Red Crescent Societies and their own National Society; each organisation having a specific mandate and field of action. Together, these organisations form a lasting and evolving Movement, grounded in humanitarian principles and recognised by international law and custom. This unique network has spanned generations, linking people around the world who share a commitment to prevent and ease suffering, and a readiness to protect human life and dignity – no matter whose, no matter where, no matter when.

But the International Red Cross and Red Crescent Movement is more than a philosophy, a treaty or a historical institution. It is the embodiment of a worldwide belief that human life and dignity are worthy of respect and protection from the ravages of man and nature. It is a belief that is made real every day by the actions of skilled and trained people who are motivated by a deep personal desire to help others without regard for their own material gain.

Members of the Movement, through its constituent organisations, come to the aid of people who are caught in the violence of armed conflicts and other emergencies by providing supplies to sustain life, visiting prisoners of war and other detainees, helping people communicate with loved ones and reuniting families.

Red Cross and Red Crescent members help people to prepare for, recover from, and, if possible, prevent, the effects of hurricanes, floods, fires, drought or other disasters that threaten individuals or communities.

They help people prevent and handle emergencies through social service programs and by teaching lifesaving and health skills. Where needed and possible, they save millions of lives by providing a reliable supply of blood. They also share the resources necessary to improve service to people throughout the whole Movement.

The financial support of individuals, corporations and governments makes this work possible.

The International Red Cross and Red Crescent Movement: Protecting Human Life and Dignity Worldwide

# **Communications and the Delegation**

#### General

- 1. The overall responsibility for information and communications in the delegation lies with the Head of Delegation. Wherever there is an information delegate, he or she will normally be responsible for implementing the delegation's communications and public relations in accordance with his or her mission instructions and the directives of the Head of Delegation. Should there be no information delegate, the Head of Delegation may appoint any other capable delegate to coordinate contacts with media and undertake public relations.
- 2. The name and symbols of the International Red Cross and Red Crescent Movement are widely recognised and highly regarded worldwide. Yet much still needs to be done to make people aware of the meaning behind the name and symbols. Support for the Federation depends on the public and the international community having a clear, consistent understanding of what the Federation is and does. This understanding should include a knowledge of Red Cross and Red Crescent programmes and services, the Fundamental Principles of the Movement and the Movement's need for the public's backing and participation.

# Main Roles of the Information Delegate

- To coordinate implementation of the Delegation's communications strategy vis-à-vis the national and international media in the country of assignment;
- To ensure regular contacts with national and international media in the country of assignment;
- To organise and facilitate on-going media coverage of the Federation/Operating National Society operations and other activities;
- To support the Information service of the Operating National Society;
- To support (in any appropriate way) other members of the Delegation in providing regular and good quality reports to the Secretariat;
- To support the Head of Delegation in organising and maintaining proper internal communications and information systems within the Delegation.
- 3. All Red Cross and Red Crescent members, whether volunteer or paid, are in some way "spokespersons" for the Movement. All have a responsibility to represent and explain the Movement at any time. This comes with the job, no matter what that job is. Delegates and, in particular, information delegates have a special role to play in informing, promoting and educating people about the Federation. The Federation needs promotion. Its story is not being told often enough.
- 4. This section is structured to help delegates especially those responsible for information tell the story well. To convey strong, consistent and newsworthy messages, it is important to understand good communication techniques. The following pages are intended to help delegates get the message across clearly, concisely and accurately and become the best possible spokespersons. This will in turn enhance public confidence, raise donations and increase volunteer numbers thereby helping the vulnerable.

#### **Being Prepared**

- 5. All delegates need to be communicators and to be able to explain:
  - The components of the Movement and how they relate to each other;
  - Why the Federation has a delegation in the host country;
  - Different Federation activities in that geographic region;
  - The delegate's own role in this particular operation.
- 6. The delegate should then be able to articulate what he or she would like the public and the media to know about a particular operation, as well as what the Head of Delegation and information delegate want them to know. These are called *key messages*. All delegates should be prepared to speak with journalists or any other person about these key messages, referring the person to the information delegate or Head of Delegation where appropriate.
- 7. Having a plan will make communication more effective, giving better results and enhancing team work. Time and thought devoted in advance will double the reward for the entire organisation. Therefore:
  - Be proactive rather than reactive in all communication work. Take the initiative. Coordinate with the media, general public and other delegates, National Society staff and members. Base communication objectives on their needs;
  - Establish an annual calendar of communication events, campaigns and projects. This is best done when planning next year's budget
    so that finances and time can be allocated simultaneously and needless crises can be averted. Establish goals for each project or
    event;
  - Create a few key messages about what the delegation wants to convey or, if provided with messages by the Secretariat
    Communications Department, review them thoroughly and incorporate them. Decide who should hear those messages. Different
    people might want or need to know different things about delegation projects and activities. Decide which media are best suited to
    carry particular messages;
  - Consult with your colleagues who deal with communications issues in the delegation and Operating National Society about their
    communication plans, needs and desires. Offer advice or guidance if needed. Make sure certain individual plans are part of the
    whole. As time goes on, offer quality control so that all communications have a similar look and style;

- Conduct necessary research. This could mean following up with the media on ways to improve press releases or conducting a survey of the delegation newsletter's readers. Keep research simple, but make sure you get feedback;
- Prepare detailed communication plans for important events, campaigns or messages. The plans should include communication
  objectives, priority messages for each target audience and how to reach them. Follow this information with a detailed action plan
  with deadlines assigned to each action or project. A chart could be made to keep track of this information;
- Evaluate budget, products and results. If the budget does not allow for a comprehensive evaluation, make a few telephone calls to at least obtain some feedback. Feedback will enable better planning and yield more effective results at less expense.

#### **Knowing Your Audience**

- 8. The best communicators are those who know and clearly articulate what they want to communicate. It is also important to craft words so that the people who hear or read them understand them and are motivated to act. Just as we spend time searching for a gift to suit a friend's tastes, we need to tailor our messages to suit the audience we wish to reach. The very first step in communication assuming there is something of note to communicate is to decide to whom to communicate. Therefore:
  - Make first words count. Remember that most people will only hear the gist of what is being said, so make the point quickly;
  - Avoid language that may convey arrogance or that is insensitive, bureaucratic, institutional, patronising or didactic don't lecture
    the reader, listener or viewer;
  - Listen. Ask questions. Initiate discussion. Consider other people's concerns and be aware of their feelings. Follow up whenever possible.
- 9. Think first about the target audience. Be specific. List all donor groups, local and international organisations, television, radio, and print media, and the various groups within the delegation who might need to know or be interested in the message.
- 10. Then decide on the best medium for the message. A different medium could be used to reach audience. A press release could be used to reach the media and a public service announcement might be the best way to reach the public with a message about activities such as feeding centres, refugee activities, health care etc. Craft the wording of the message to correspond to the medium being used and the message conveyed. Make sentences concise and clear, and make them carry a message that motivates the audience.
- 11. Remember internal audiences. It is just as important for colleagues and other members of the Movement to be made aware of the message as it is for the public and press. Releasing information to the press after colleagues know its implications fosters team work, helps build morale and presents a united, organised front to the public and media. Sharing information can help generate ideas and resolve challenges. Make certain the distribution systems work. Developing communications does no good at any level if no one sees them! And finally try to evaluate how effective the message has been. Use the lessons next time round.

#### Visibility

12. There are many ways to become "visible" in the host country. By getting to know the people in the community or organising and sponsoring community support groups. By being a consistent information source and support, providing assistance on such topics as health, disaster preparedness and response, international humanitarian law, etc. By having background material constantly available. As well, use photographs, designs and local art whenever possible to reach all community groups - no matter what language they use. Always try to feature the people around you – especially volunteers, and the people the Movement has helped – in stories for the media.

#### Using the Emblems and the Federation Logo

- Prominent and proper use of the Red Cross and Red Crescent emblems increases public awareness and understanding of the Federation's humanitarian mission.
- Display the emblem or the Federation logo appropriately and prominently wherever Red Cross or Red Crescent people are at work: relief centres, food distribution sites, first aid stations, blood collection facilities and on the Delegation building and vehicles;
- Make certain all official correspondence and material for sharing and dissemination carries the Federation logo. Make sure to wear the Federation identification badge and that reporters know the person they will describe or quote is a delegate with the International Federation of Red Cross and Red Crescent Societies;
- When appearing on camera, or in a photo, the person representing the Movement should be wearing insignia that is clearly visible and large enough to be seen easily in photos or on film or television;
- When wearing the Red Cross or Red Crescent, the delegate is very obviously representing the principles of the Movement. Try to embody them, and refrain from activities that would even indirectly lead to any negative publicity;
- Make sure the Federation logo does not obscure that of the Operating National Society, which also needs visibility.

#### **Communicating Internally**

- 13. Proper internal communication within the delegation helps to keep colleagues informed, morale high and teamwork strong. Therefore:
  - Say "hello" to your colleagues. Take time to find out how they are and what they are doing;
  - Keep information flowing. Use bulletin boards in key locations to post Federation or Movement news local, national and international. Make sure that all delegates have access to the Secretariat internal documents circulated to all delegations;
  - Distribute regular, short, simple, non-bureaucratic fact sheets about important events, including news on emergencies, a relocation, a new Head of Delegation, other delegates' interesting programmes and activities, and events like World Red Cross and Red Crescent Day;
  - Communicate facts about controversy to your colleagues openly. Create a forum for questions and discussion. Use this internal

- communication for developing an appropriate information strategy if this controversy directly concerns the Federation/National Society's operations;
- If time and budget permits, consider producing an internal newsletter for the delegation. Make it newsworthy and short, as people will have limited time. Make certain that it is read. If not, find out why not ask people then make the contents more interesting for them, or discontinue it. In order to produce an effective newsletter ask the following questions: What are the newsletter's objectives? Who are its audiences? Who is its primary audience? Are their needs being met? Are they receiving it in a timely manner? Is the newsletter being produced often enough? Too often? Is the newsletter informative and up to date? What do the newsletter's readers think of it? What are their reactions? Is the newsletter well written and visually appealing?

The Emblems

The Fundamental Principles

The Federation

Responsibilities and Reporting Lines

Delegate's Role

Rules of Conduct for Personnel

Security Regulations

Personnel Management

Key Messages about Federation

Information Resource Centre

Relating to the Media

Federation Development Policy

Federation Disaster Response System

# **Humanitarian Advocacy**

- 14. The Movement policy on advocacy defines advocacy as follows: "*Pleading in support, supporting or speaking in favour of someone, a cause or policy*". Advocacy is about the Red Cross/Red Crescent persuading **other people or groups,** such as a government, an organisation or a business company, to act differently, to change in some way its policy or approach to a particular humanitarian issue.
- 15. This Handbook states that all delegates need to be communicators. It is also true that, at the same time, they should and can be powerful advocates for the cause of the most vulnerable. This segment will outline some basic advocacy methods, principles of successful advocacy and highlight areas in which delegates can help promote advocacy messages.
- 16. Advocacy does not only equal major public campaigns it is in fact a process that is much broader than that, and includes activities and initiatives at many levels. below is a brief outline of some of the main advocacy methods.
  - **Private Advocacy** There are many ways of persuading people. Very often the most effective way of persuading somebody to change their mind, to change a policy, to change their behaviour, to act differently, is through private conversation and contact. If there is a concern that a particular stakeholder should have a different approach to an issue or should change its policy, quite often the most effective way to act is to go and talk to them on their own without any publicity, or write to them expressing specific concerns. This gives the chance for the issue to be explored quietly, openly and without anybody feeling under threat, and it can often give results. This is the first possible way of doing effective advocacy using direct contact and private conversation and persuasion.
  - Public Advocacy For more general issues, individual conversations and contacts could be complemented with some more public efforts, for example by running seminars, by organising issue-related events, by publishing articles and so on. In effect this represents promoting a specific view of the Red Cross/Red Crescent in the public eye. In doing these various public opportunities are used to convey an advocacy message, without actually investing massively in a specific campaign.
  - Major Advocacy Campaigns Thirdly and finally, if the first two approaches do not seem to be effective and/or if the issue is critically important and requires a concerted effort, a decision can be made to launch a public advocacy campaign. The Federation and the Movement would identify what are the key objectives and messages, all efforts could be co-ordinated with other like-minded organisations, and time, money and people could be invested in putting together promotional material, messages, videos, etc. to try to achieve a concrete goal through a public campaign. With respect to this type of advocacy, all Federation delegates should always refer to the 1999 Council of Delegates Resolution on advocacy and the criteria it specifies on public advocacy campaigns.

It is important to stress that these different approaches are complementary. It does not mean the Federation has to leap into campaigning

just because it is getting into more assertive advocacy.

- 17. Federation delegates need to make sure that advocacy is built in their regular day-to-day work with National Societies. Thus in making plans for next year, in each area delegates need to work with their National Societies to plan not only for service delivery but also for advocacy. On any major issue the Federation has to plan both what itself as an organisation will do in that field, but also what it will ask others the government, the business community, other organisations to do in this field. And in the development of these strategies it must be also recognised that it is critical to build our own capacity to advocate effectively. That means identifying whether people have the right skills and about the need for training.
- 18. Advocacy has to be built into National Society's plans and into Regional and Country Cooperation Agreement Strategies. Much more can be done in and through advocacy but it won't happen by itself. It is important to focus on capacity building in advocacy in just the same way we focus on capacity building in service delivery, fundraising, planning and everything else.
- 19. In terms of both capacity building and helping delegations define and pursue key advocacy initiatives, the Federation's Humanitarian Advocacy Department will play an important role. The purpose of the department, among other things, is to equip people with skills and tools necessary to carry out successful advocacy. It will work with other departments to help define policies, establish specific goals and short term objectives, and assist in developing clear advocacy strategies, messages and activities. It will carry out training workshops and develop advocacy resources. It is also there to serve field delegations and delegates in matters related to advocacy. Delegates are urged to contact the department for any issues concerning advocacy.
- 20. It is important to realise and convey a message to others that advocacy is a leadership issue. We can't ask others to take a stronger position in persuading governments, partner organisations or other stakeholders to change their behaviour in one way or another and then to stand aside. Leaders at all levels of Red Cross/Red Crescent have to commit themselves to this effort to be the first to be prepared to speak out. To be involved in challenging established ways of doing things. At times to be challenging people in authority. Unless Red Cross/Red Crescent leaders have the courage to do this, we should not expect others to do so.

To help this process at high level of leadership, delegates should familiarise themselves, and draw attention of their National Society, to the Plan of Action adopted by the International Conference. It is a document in which National Societies, together with their governments, agree to do certain things within the fields of action that Red Cross/Red Crescent is concerned about - disaster response, disaster preparedness and health. Even though this agreement is not legally binding for governments and they can't - and shouldn't be - forced to fulfil it, it shows their commitment and National Societies can use this as a resource for their advocacy. Delegates can use the Plan of Action as a very powerful advocacy tool and a basis for opening dialogue, particularly between National Societies and their respective governments.

21. The Federation does have recent experience in advocacy at the national level and at the international level. Many National Societies have, in the past years, been trying to persuade somebody else - often the government - to change its policy in some way. This activity is clearly advocacy, even if it was not called that at the time.

Through the Federation or as a member of the Movement, NS have also been involved in advocacy at the international level. The Code of Conduct for Red Cross/Red Crescent and NGOs in Disaster Relief, the Campaign to Ban antipersonnel Landmines, the Sphere Project, are all examples of the whole Movement working together with other organisations to persuade governments to change their policies for the benefit of the most vulnerable. These examples and lessons learned can help in building successful future advocacy initiatives.

22. Advocacy is an issue of principle and more specifically of our Red Cross/Red Crescent Principles. In particular it is useful to recall some of the words of the Fundamental Principles. From the Principle of Humanity "the International Red Cross and Red Crescent Movement ... endeavours, in its international and national capacity to prevent and alleviate human suffering wherever it may be found. Its purpose is to protect life and health and to ensure respect for the human being. It promotes mutual understanding, friendship, cooperation and lasting peace amongst all peoples." and from the Principle of Impartiality "It makes no discrimination as to nationality, race, religious beliefs, class or political opinion. It endeavours to relieve the suffering of individuals, being guided solely by their needs, and to give priority to the most urgent cases of distress."

These are the words on which all Red Cross/Red Crescent must act. Acting to prevent as well as alleviating human suffering. Acting to ensure respect for the human being. Acting against discrimination. In developing any advocacy work these Principles need to be constantly revisited and questions asked - in tackling this issue how do we relate our action to the ideas of the Principles? Very often advocacy work will be about promoting key messages related to different aspects of a programme. It will also be about providing a value set for the community in coming together to respond to the needs of the community and the individuals within it affected by health or affected by food insecurity.

- 23. It is a must for any advocacy activity that people have a common message and concentrate on the same issue. "Speaking with the same voice" will add weight to an advocacy message and show our audiences we are committed and credible in what we say. The policy framework for advocacy priorities for the immediate future are clearly provided in Strategy 2010, which gives certain enduring or overarching themes. These themes include the following:
  - Focusing on vulnerability pushing ourselves and others to respond more effectively to the needs of vulnerable people.
  - Building local capacity.
  - Valuing and developing volunteers.

These are important general themes for Federation advocacy. But it can also be much more specific. Here the core areas of Strategy 2010 are useful in giving a somewhat more specific focus, and for advocacy the focus is on:

- promoting the Fundamental Principles and humanitarian values,
- · disaster response and preparedness, and
- health and care in the community.

These are still broad areas of concern. To be effective the Federation needs to define positions on specific issues within each of these core areas. At its session in November 2000, the Governing Board adopted three Federation advocacy positions for the following specific issues:

- disaster preparedness
- humanitarian impact of sanctions
- international public health, in particular HIV/AIDS

These three issues, and other issues related directly to the core areas of Strategy 2010, are the ones on which the Federation will be developing clear policies, key messages and advocacy targets.

#### Effective Advocacy

What would be effective advocacy for the Federation and the Movement?

- 1. It has to be based on our own Red Cross/Red Crescent mandate. The Movement can't and shouldn't start advocating on subjects that are outside its mandate and its experience.
- 2. The issues raised in advocacy initiatives have to be based on the Red Cross and Red Crescent **Fundamental Principles** and on the **policy** which exists in a particular areas.
- 3. In order to be credible, the Red Cross/Red Crescent advocacy has to be based on **practical experience** from working in the field. All advocacy effort should be closely allied to field activities and complement it.
- **4. All of the resources** at the disposal of the Federation and the Movement have to be used. Resources here include people, money and decisions. One of the greatest resources are volunteers they can be mobilised and their enthusiasm can be channelled to help them become 'connected' and become a unified voice.
- 5. To be effective in advocacy, it is important to **identify allies** and to co-ordinate any actions with others. No one organisation can expect to 'do it' alone, and the Red Cross/Red Crescent should work on establishing networks, ad hoc alliances or long-term coalitions to achieve its advocacy goals. At the same time the Movement should also make sure it maintains its distinct identity. Identifying opponents is also important, so that their points can be effectively argued.
- **6.** The Federation and the Movement have to have **precise goals**. It is important to be specific: Who is being asked to do what in order to achieve what specific goal by a specific time frame.
- 7. Any advocacy initiative and its results should be properly **evaluated**. Advocacy may take a long time to achieve its full impact, and lessons learned, best practice and impact of the advocacy work must be recorded and used to adapt future activities.

## The Movement's Policy on Advocacy

#### The Movement's Policy on Advocacy

COUNCIL OF DELEGATES Geneva, 29 - 30 October 1999

## RESOLUTION 6 The Movement's Policy on Advocacy

The Council of Delegates,

welcoming the follow-up given to its debate at the 1997 Council of Delegates on the subject of advocacy,

taking note of the paper presented to the Council of Delegates and entitled "The International Red Cross and Red Crescent Movement's Involvement in Advocacy",

recalling that advocacy, i.e. "pleading in support of, supporting or speaking in favour of someone (a cause or a policy)", is a part of the Red Cross and Red Crescent mission, in addition to or in support of services rendered to the community,

recalling further the Principle of humanity stating that the International Red Cross and Red Crescent Movement endeavours to prevent and alleviate human suffering wherever it may be found,

noting that whereas advocacy may normally be pursued through dialogue with governments and other concerned parties, private diplomacy, communications, and conference or public statements of policy, there may be issues at the national or international level where, owing to their significance and the small likelihood of achieving change through traditional means of advocacy, a public campaign is deemed necessary,

noting further the results achieved by the International Red Cross and Red Crescent Movement on both the national and international level in favour of victims of conflict and disaster and vulnerable people.

- 1. encourages the components of the Movement to pursue advocacy initiatives aimed at creating awareness of the conditions of victims of conflicts and disasters and vulnerable people;
- 2. confirms that whereas advocacy initiatives may normally involve dialogue and private diplomacy, public campaigns and other means may be deemed necessary, taking into account the mandates as defined in the Statutes of the Movement, and capacities, and operational environments of the different components of the Movement;
- 3. decides with regard to public campaigns, as follows:
- a) A National Society or group of National Societies considering the launch of a national campaign should bear in mind:
- the likely consequences on maintaining positive relations with the government or other organizations affected by the campaign;
- the need, while considering co-operation with other organizations with similar interests, to preserve its distinct identity;
- the possible consequences for other components of the Movement.
- b) Concerning internationally promoted campaigns for wider respect for international humanitarian law, better assistance for victims of conflicts and disasters, or a more effective response to the needs of the most vulnerable members of society:
- any decision to launch such campaigns must be reached through a rigorous, structured and transparent process;
- and should be launched within the framework and general guidelines to be issued by the ICRC, the International Federation or jointly by the two components.
- Such internationally promoted public campaigns must respect the following criteria:
- the launching of the campaign is prepared by early consultation with all the components of the Movement, is based on their missions as defined by the Statutes of the Movement, and is agreed by the appropriate governance body;
- the timetable of any internationally led advocacy campaign should be agreed by the ICRC and the International Federation;
- through their operations and programmes, the components of the Movement have sufficient knowledge and experience of the issue to be raised, so as to be credible and effective advocates;
- the desired outcome of the campaign is precisely defined and the long-term allocation of resources for running the campaign are clearly identified;
- the lines of communication and decision-making relating to the campaign are determined within the Movement and mechanisms for evaluating the impact of the campaign are identified;
- the action to be taken and the messages to be put across are not expected to have a negative impact on the work of any component of the Movement or to severely jeopardize its identity or working relations with the authorities or its operation capacity or efficiency.

## **Federation Advocacy Positions**

24. Key-messages about Federation Programmes are constantly being updated. The following advocacy positions were adopted by the Governing Board in November 2000:

Federation position with regard to advocacy for <u>Disaster Preparedness</u>:

Key messages are:

- Disasters hit the most vulnerable hardest. They are often forced to live in unsafe areas and have the least resources with which to recover from disaster;
- Many disasters are predictable in terms of which type of disaster is likely to occur in different countries or regions of the world:
- Prevention is better than cure disaster preparedness saves lives, reduces injuries and damage in the community;
- Effective planning and preparedness from the national to the community level is essential. The training of volunteers at the local level, and their engagement in day to day work in the community is a key to effective preparedness;
- Disaster preparedness means better response in case of disasters. With effective preparedness local, national and international resources can complement each other in bringing effective response;
- Governments must take the lead in establishing an updating preparedness plan, involving National Red Cross/Red Crescent Societies at the national and local level;
- There is a lack of coherent legal regulations (International Disaster Response Law) for international assistance in times of technical or natural disasters, which often hampers a quick and efficient disaster response;

Federation position with regard to the humanitarian impact of economic sanctions:

#### Key messages are:

- Whatever their intent, economic sanctions often affect the most vulnerable disproportionately;
- In establishing economic sanctions, the United Nations should take account of the needs of the most vulnerable and specifically provide mechanisms to exempt humanitarian assistance from those sanctions;
- The action of National Societies and the Federation and/or ICRC in assisting the most vulnerable with basic human needs in sanctions affected countries is important and needs to be supported;

Federation position with regard to advocacy for <u>international public health and particularly HIV/AIDS</u> in the light of the outcome of the Pan African Conference:

#### Key messages are:

- As of June 2000, over 53 million persons are infected by AIDS virus and of these 18.8 million have already died and 34.3 million are living with HIV/AIDS. The number of AIDS orphaned children has surpassed 13 million. AIDS will kill more people this decade than all natural disasters last century. 2.9 million people died last year alone;
- Governments, national and international organisations, communities and the private sector must commit the resources to awareness and prevention campaigns, and access to treatment and care for people living with HIV/AIDS;
- The fight will be won at the community level. Health programmes including those for HIV/AIDS must include capacity building of the local health system involving the participation of volunteer based organisations. Provision of supplies and material alone is not enough;
- Leaders in the Red Cross/Red Crescent, government, organisations and the private sector must take the lead in:
  - o breaking the silence, creating space in which to talk openly about sex and AIDS;
  - o preventing discrimination and avoiding stigmatisation of People Living with HIV/AIDS (PLWHA);
- Commitment to action with regard to HIV/AIDS is a vital part of the Ouagadougou declaration of the 5th Pan African Conference of Red Cross and Red Crescent Societies;
- The contribution of the Federation and National Societies will focus particularly on:
  - o promoting and protecting the rights of and human dignity of PLWHA, both inside the organisation and outside;
  - reinforcing the work of their staff and volunteers in the community to contribute to behavioural changing through awareness and prevention campaigns, and by training family members of PLWHA in basic care;
  - o exploring possibilities of contributing to the prevention of mother to child transmission;
  - building partnerships with other organisations to maximise the use of complementary capacities and to share learning.

## **Key Messages about the Federation**

#### Key Messages about the Federation

#### What is the International Federation of Red Cross and Red Crescent Societies?

The International Federation of Red Cross and Red Crescent Societies is an international humanitarian organisation comprising 178 National Red Cross and Red Crescent Societies and a Geneva-based Secretariat with over 70 delegations throughout the world. It has no political, religious or racial affiliation. Its emblem is a red cross and red crescent on a white oblong with red borders.

#### What are the main objectives of the Federation?

The overall objective of the Federation is to "inspire, encourage, facilitate and promote at all times all forms of humanitarian activities by National Societies with a view to preventing and alleviating human suffering and thereby contributing to the maintenance and promotion of peace in the world" (Article 2, Federation Constitution).

The Federation is specifically entrusted with promoting the humanitarian activities of National Societies on behalf of the most vulnerable, coordinating international relief actions in disasters, representing the National Societies at the international level, helping refugees and displaced persons in non-conflict areas, encouraging the creation and development of National Societies and making people less vulnerable in crisis through development programmes.

The challenge of the Federation as set out in its Strategy 2010, is to improve the lives of vulnerable people by mobilising the power of humanity. Please consult the Federation website for details on the Strategy.

#### When does the Federation take action?

The Federation helps people in the wake of disasters and in cases where people have fled conflict areas. The Federation can be called upon by the National Society of the country involved if that National Society considers that it cannot cope with its own resources. The Federation also helps National Societies to devise development and disaster preparedness programmes, thus helping to make people less vulnerable to crises that may occur.

#### Who does the Federation help?

Federation assistance is given independently, impartially and by all available means, without regard to race, religion, culture or political allegiance. It has no geographical limits. Priority, however, is given to the countries, communities and people considered to be the most vulnerable – those at greatest risk from situations that threaten their survival, or their capacity to live with an acceptable level of social and economic security and human dignity.

#### How does an emergency relief operation function?

If a National Society finds itself unable to cope with a disaster alone, it may request international assistance through the Federation, describing the situation, nature and amount of relief required and the action taken by the National Society. Once the Federation has received and considered a request, it launches an appeal to National Societies, specifying the plan of action and the amount and nature of assistance needed. To assist the National Society to ensure that the assistance reaches the target population, the Federation sends its delegates to the spot.

#### What does Development mean for the Federation?

The Federation distinguishes between two types of development: development that aims at improving the daily life of vulnerable people and at developing their ability to cope (primary health care, first aid, blood, social welfare, disaster preparedness programmes etc.), and structural and institutional development of National Societies and their local branches.

#### How is the Federation financed?

The Federation is funded by annual contributions from all member National Societies. Additional funding for relief operations and development programmes are raised via appeals through the National Societies from governments and funding agencies.

#### What is the position of the Federation within the Movement?

The Federation is one of the components of the International Red Cross and Red Crescent Movement. The Movement also includes the International Committee of the Red Cross (ICRC) and 178 National Red Cross and Red Crescent Societies.

#### What is the relationship between the Federation and other humanitarian organisations?

The Federation represents member Societies at the international level, and maintains close contacts, both in Geneva and in the field, with United Nations agencies, governments, the European Union and non-governmental humanitarian organisations. Since 1994 the Federation has had Permanent Observer Status at the United Nations General Assembly.

#### The Federation's web site

- 25. The Federation's web site can be found at <a href="www.ifrc.org">www.ifrc.org</a>. It is one of the Federation's main tools for disseminating information to a variety of target audiences, and is the official channel for distribution of all appeals and operational reports.
- 26. The main features of the web site are as follows:
  - News: updated daily with news stories from Red Cross and Red Crescent activities around the world, speeches and details of key events taking place.
  - Directory: contact details for all National Societies and links to all web sites within the Red Cross and Red Crescent Movement.
  - Where we work: a regional and chronological listing of all appeals, situation reports and assistance strategies.
  - Who we are: the full texts of policies, the Constitution, along with general information on the Federation and the emblem.
  - What we do: Information on the four core areas of Strategy 2010 and activities related to them.
  - Publications: The full texts of several key publications are available on line, along with the publications catalogue.
  - Jobs: Job vacancies at the Secretariat in Geneva and job descriptions for delegate positions.
  - How to help: on-line donations.
  - Photo gallery: quality images from field operations that can be ordered by email.
  - Youth and volunteering activities and contact details are also on the site.

#### **Information Resource Centre**

- 27. The Information Resource Centre exists to serve Federation staff, delegates, National Societies and other organisations as a dissemination point for information, in particular, on or relevant to the Red Cross and Red Crescent Movement. The Geneva-based Centre provides a direct information service, a reference service for requests for information, and advice on all aspects of library, information and database management.
- 28. The Centre maintains a collection of the following information materials:
  - International Federation publications. Key documents produced by the Federation are an important part of the Centre's collections and a list of them is available on request. Official documents such as the reports of the Executive Council, the General Assembly and Federation Commissions are stored by the Centre. Details of the Federation publications can be found in the FEDOC database;
  - National Society information. A collection of files on all National Societies is also maintained containing documents such as annual

- reports and statutes. The Directory of Red Cross and Red Crescent Societies is available from the Federation's Web site on Internet (http://www.ifrc.org);
- *Books and periodicals*. A collection of over 100 periodical and newspaper titles (including the back issues) is maintained by the Centre in addition to a collection of books covering all aspects and subject areas of the Federation's work. A list of periodical titles received by the Centre is available. Photocopies of articles and other texts can be obtained by the Centre from other information sources around the world;
- *Country information*. An important collection for visiting delegates who require up-to-date information, this section offers a selection of reports and reference works giving important information on countries and regions. Examples include the Economist Intelligence Unit Country Reports available through the Centre which provide quarterly economic and political information on all countries and Lonely Planet travel guides which contain valuable up-to-date travel information;
- Annual reports. A collection of annual reports from a variety of international and non-governmental organisations, particularly those with whom the Federation maintains close relations, is also available;
- Reference information. Encyclopaedias, yearbooks and directories make up a major part of the reference collection which the Centre relies upon to answer enquiries at the Information Desk;
- *On-line databases and CDROMs*. A wide range of up-to-date information can be provided through a variety of databases. The Information Resource Centre has access to hundreds of commercial databases and library catalogues. A vast amount of information is available from commercial hosts, on the Internet and through the Centre's growing collection of CDROM databases.
- 29. If the Information Resource Centre does not have the requested information, the required publications, documents and periodicals can usually be ordered through the Centre from a number of other libraries (primarily in Switzerland), with which the Centre maintains close links. Delegations can place orders for books, periodicals and reports through the respective Regional Departments. As the Centre has negotiated favourable rates with a number of suppliers and publishers, placing orders through the Secretariat may be more cost-effective.
- 30. The services and collections of the Information Resource Centre are constantly evolving. Delegations will be kept informed of all developments to services and how they can be used or accessed by means of current awareness services which are updated and distributed on a regular basis. Feedback from delegates is encouraged in order to improve the services of the Information Resource Centre to the field.
- 31. Delegates coming to the Secretariat are encouraged to visit the Information Resource Centre and discover more about the services on offer to delegations. Copies of the information materials can be obtained either by contacting the Centre direct or through Regional Departments.
- 32. Requests for information on any subject, in addition to information on the Red Cross and Red Crescent Movement, can be sent to the Information Resource Centre by letter to the Information Resource Centre, International Federation of Red Cross and Red Crescent Societies, PO Box 372, CH-1211, Geneva 19, Switzerland, by fax (41 22 733 03 95), by telephone (41 22 740 42 13) or by e-mail (irc@ifrc.org.)

#### Information Resource Centre Publications

The Information Resource Centre produces a number of regular services aimed at keeping the delegates and National Societies up-todate with new sources of information, including books, periodicals and articles.

- Current Contents is produced every two weeks and contains copies of the contents pages of selected periodicals received by the Centre. Copies of articles can be obtained by placing a request through the Regional Department at the Federation Secretariat. Contents pages of certain journals can also be forwarded to delegations by e-mail; the articles selected based on the content pages can be sent by the Centre by fax in the next few days;
- **New Acquisitions** is produced every six to eight weeks and offers a reference and abstract for all new books, periodicals, newspapers, databases and CDROMs received by the Centre. This service can ALSO be received by e-mail on request;
- Leaflets Introducing the Information Resource Centre to delegates in the field, Guide to the Information Resource Centre, List of Federation Publications, Periodicals and Newspapers held in the Information Resource Centre are available on request;
- Red Cross and Red Crescent Directory contains details such as address, telephone, telefax and telex numbers of all National Societies, as well as the names of their key personnel. Includes indexes in Arabic, English, French and Spanish.

Delegates' names can be added to the mailing lists to receive Information Resource Centre publications on a regular basis

## Communicating the Federation's Messages



## Chapter XIII - Relating to the Media

**Talking to Journalists** 

The Interview

The Photograph

## **Talking to Journalists**

#### General

1. Imagine: you are working at a refugee centre and have to take care of a huge number of new arrivals. This afternoon, some reporters, hearing of the changing situation, have arrived. As you are caring for some of the refugees, you turn around to find a microphone being thrust under your nose. What would you do? Drop everything and address the reporter's questions as this centre needs the publicity? Or tell the reporter to go away as you have more important things to attend to? Or tell the reporter you'll be with him or her in a few minutes after you finish what you are doing?



- 2. The correct response is the third one. Remember that reporters are human. They also have a job to do. They will realise you have to balance priorities. Tell them politely and gently, "I'll be with you in (how many) minutes. This has to be my priority now." Then either return to the reporter later or find a more appropriate person to answer his or her questions. Be calm. Be open. Explain your limits and challenges, but try to listen to theirs, too. Keep communication lines open with the media: they can be your greatest ally and promoter if you allow them to be. Think of reporters as customers. Get to know them. What sorts of stories interest them? When is the best time to contact them? In what medium and format do they prefer to receive a submission? Who are your competitors for their time and space?
- 3. Develop a list of media contacts who cover humanitarian issues. Set aside as much time as possible to become acquainted with the media. Consider joining foreign correspondents clubs or press clubs wherever they exist. Keep in touch with media contacts. Telephone periodically without adding to their work load. Always ask if you are calling at a convenient time. Let them know what is going on. Ask what they think the current issues are. Offer them an exclusive interview or story when available. Share the story freely, with the exception of a possible rare exclusive story.
- 4. Choose the type of media most appropriate for your message. Don't focus exclusively on daily newspapers. While they will be most appropriate for covering emergencies, development issues may often find a larger audiences in monthly magazines or similar publications.
- 5. Create the right product for the media. Make certain you are sending journalists the right information. This should be in the right medium, in the right time frame and have the right objective. Reporters, journalists or editors have to be interested in your story to publish it. Find out what publications and visual media could be interested. Be creative when placing stories. For example, a magazine that publishes stories about agricultural techniques might be interested in a first aid training story with the proper slant. Many accidents involve farmers. Nevertheless, take care to send the messages only to those media that are best suited to publish them instead of sending

messages to all media regardless of their interest.

- 6. Never overestimate the media's knowledge of the subject. Provide reporters and journalists with background material. Ask them if they have questions. Educate them little by little.
- 7. Meet deadlines. Try to give the journalist as much lead time as possible. If a reporter or journalist says he or she needs information by a certain time, always be punctual. For the media, deadlines are often met in terms of minutes, not hours.
- 8. Help train spokespersons. Make sure they know how to listen before speaking, how to provide the correct amount of information, how to maintain confidentiality where appropriate and how to treat reporters and journalists with respect while remaining assertive.
- 9. If possible, ask the media to evaluate what they are being given. Submit an annual questionnaire, telephone them or ask them out to lunch to obtain their opinions. If they are unable to find the time to give feedback, judge how well their needs are being met by how often they use your stories and spokespersons.
- 10. When communicating with your media contacts:
  - Slant your responses to reflect the news, not the Movement;
  - Summarise important events;
  - Stress the most important aspects of the story or message first and end with the least important. Be clear, concise and accurate;
  - Make what is said more personal through human interest anecdotes or quotations. Talk about people in action, not statistics;
  - Let the media know their efforts would be appreciated at times other than when disasters strike;
  - Avoid self-promotion;
  - Always remember to say thank you.

The Federation

Responsibilities and Reporting Lines

Communications and the Delegation

Key Messages about Federation

#### The Interview

#### The Interview

- Inform your direct supervisor and the Information delegate if you have been asked for an interview or have been interviewed.
- Be prepared. Find out who will be doing the interview, who will be reading or viewing the interview, what the topic is and why the interview is taking place. Do your homework, collect all necessary facts and figures and prepare a set of point-form notes.
- Before or, if necessary, during the interview briefly explain the difference between the components of the Movement, making it clear that you represent the Federation. Do not hesitate to mention a few times the name of the Federation and, if appropriate, the names of the Operating and Participating National Societies during the interview.
- Ask questions of your own to ensure you know what the reporter is trying to accomplish, how much detail is wanted and how your material is going to be used. Often a couple of questions from you can help you give the reporter what is wanted: this is a courtesy they generally appreciate.
- Be courteous, helpful and explicit. Courtesy and cooperation help establish your credibility.
- Though reporters are trained to ask questions in a probing manner, this doesn't mean that they are trying to "get" you. So don't get defensive, stay calm. Listen carefully to questions before answering. Think first before answering a question.
- Be concise. Then there is a greater chance that your own words will be used. Identify key messages (not more than three). Begin with a statement of the basic facts the first comment is often the most remembered.
- Tell the truth, but don't thoughtlessly spill out sensitive information. There is no such thing as "off the record". If you have information you don't want reported, don't tell it. Do not discuss unverified or confidential information. If a situation is unclear, say so.
- Don't be afraid to say "I don't know". If it is a fact you can obtain, offer to do so but make sure you get it to the reporter in time. A missed deadline is a missed opportunity.
- Take the initiative to make your point. Don't merely answer questions obediently. Seize the initiative to provide the audience with additional information you want them to have.
- Clarify a false statement or accusation. Say, "I believe you are misinformed, and this is why." Then explain. Don't repeat objectionable words the reporter used in the question, even to correct or deny: a question may not be quoted in the story but the answer will...
- Any news deserves comment. Do not say "no comment". Refer controversial questions to the Information delegate or Head of Delegation. Have a comment ready for potentially controversial questions.
- Stop talking when you have said all that needs to be said. Smile and thank the reporter.
- Inform Communications Department at the Secretariat about the interview, particularly if it is with major international media i.e. BBC, CNN etc.

### The Photograph

- 11. Think of a news photographer in the same way as a reporter. Let picture editors (or editors, if the publication is smaller) know of any possible photo opportunities so they can plan to be there. Advise the media of a photo opportunity through a telephone call or press release. Attach a "photo call" to the press release (indicate that a photo opportunity is available). Address copies of both the photo call and press release to the news editor and the picture editor.
- 12. When the photographer arrives:
  - Give photographers ideas on what would make a photo visually interesting, but let them use their own final judgement. They are the experts;
  - Allow photographers to get close enough to the subject
  - Allow photographers to remove anything they feel is distracting. Let them rearrange objects and people to make the photo more visually interesting;
  - Make certain the Red Cross or Red Crescent emblem is clearly visible in the photo.
- 13. Wherever possible try to use the services of professional photographers they are worth the cost. If they are not available, make sure that only delegates with experience in providing photos for publication in magazines and other outlets take photographs for media purposes. When taking a photo:
  - Always ask permission of the people to be photographed. Respect cultural sensitivities: do not take a picture if you are in doubt as to whether it may offend the people both those you are taking a picture of, and those around you;
  - A picture can say a thousand words. Think about what these words will be before clicking the camera shutter;
  - Take people-centred, action-oriented photos. Avoid buildings and group shots. Highlight faces and expressions when possible;
  - Make the scene interesting but simple, with no more than four or five people in a shot. Keep the background light-coloured and uncluttered. Check the sun's direction before posing subjects for a photo: the sun should always be behind you;
  - Close-ups are usually more effective than distance shots. For powerful cover photos, focus in closely on a person's eyes;
- 14. The Secretariat Communications Department has a *photo library* that may be able to supply a photograph, or a list of professional photographers, or to send a photographer. When contacting the Secretariat, describe what sort of scene is needed or what sort of assignment it is. Then decide, in consultation with the Secretariat, if the picture or photographer should be arranged from Geneva or locally.

The Emblems

Rules of Conduct for Personnel

Security Regulations

#### Information Materials available from the Federation Secretariat

- Weekly News. A compilation of National Society and Movement news and activities, mailed or telefaxed weekly to National Societies, Federation Delegations and selected international wire agencies, media and embassies. Available in English, French, Spanish and Arabic;
- Spotlight/Insights. A special interest publication originating at the point the news takes place, featuring a specific Federation or National Society operation. Produced jointly by Delegation and Secretariat staff, Spotlight contains 4-16 pages of black-and-white photographs and text. Available in English and French (and other languages, depending on location and operation);
- Red Cross, Red Crescent Magazine. Produced jointly by the Federation and the ICRC, in association with National Societies, this is the full-colour magazine, which highlights the global work of the Movement. It is published quarterly in English, French and Spanish;
- Transfusion International. The quarterly newsletter of the Federation's Blood Transfusion Services. Available in English, French and Spanish:
- Annual Review. The Federation's annual report, produced each April, including a summary of the year's activities, photographs
  and important statistics. Available in English, French, Spanish and Arabic;
- World Disasters Report. An annual Federation publication, seeking to examine in-depth the current issues behind emergency response and emergency-related humanitarian problems and dilemmas. Available in English, French, Spanish and other languages;
- Federation media kits. Produced for emergency operations and other important activities for reproduction and redistribution to media and funding sources. Kits include press releases, human interest stories, editorials, photos and slides, appeals when appropriate and basic information on countries, operations and National Societies. Available in English, French, Spanish and Arabic;
- World Red Cross and Red Crescent Day kits. Produced annually for reproduction and redistribution to media and funding sources for 8 May World Red Cross and Red Crescent Day. Kits include press releases, stories, editorials and visual materials. Available in English, French, Spanish and Arabic;
- Communicator's Guide. Published by the Federation and the ICRC, this loose-leaf public relations handbook provides basic communication guidelines on increasing Red Cross and Red Crescent visibility. Available in English and French;
- Red Cross, Red Crescent, Portrait of a Movement. This 32-page booklet on the Movement is published jointly by the Federation and the ICRC. Available in English, French, Spanish and Arabic from the ICRC;
- Henry Dunant Founder of the Red Cross, by Pam Brown. This 64-page book with colour illustrations recounts the life of Henry Dunant and the history of the Red Cross and Red Crescent Movement. Available in French, Spanish, Arabic and Portuguese.

- English available from the publishers;
- Respect for Life. A seven-minute video produced by the Federation, based on video clips and music, portraying worldwide operations of the Movement. Available in English, French and Spanish;
- The Story of an Idea. A seven-minute video, including cartoon sequences, produced by the ICRC in cooperation with the Federation, containing a general history of the Movement. Available in English, French, Spanish and German;
- The Eight-Second Ride. Designed primarily for Federation delegate recruitment and training, this video features on-camera interviews and the personal experiences of real delegates and should stimulate public interest and support as well. Available in English.

## **Strengthening National Societies**



## Chapter XIV - Federation Development Policy

**Red Cross and Red Crescent Development Policy** 

**Definition and Principles** 

**National Society Development** 

**Development Planning and Cooperation** 

**Characteristics of a Well-Functioning National Society** 

## Red Cross and Red Crescent Development Policy

# Red Cross and Red Crescent Development policy (adopted by the Federation General Assembly in 1995)

The present document sets out the policy of the Red Cross and Red Crescent in the area of development, and provides guidance on aspects of its implementation. This policy applies to all National Societies within the International Federation of Red Cross and Red Crescent Societies. It complements existing policy statements on individual sectors. Specific guidelines may be developed to explain how to implement particular aspects of this policy.

#### Definition of Development

The Red Cross and Red Crescent defines development as the process by which communities, families and individuals grow stronger, can enjoy fuller and more productive lives, and become less vulnerable. Development also means the strengthening of National Red Cross and Red Crescent Societies so they can carry out their humanitarian mandate.

#### **Principles**

The rationale for Red Cross and Red Crescent development work lies in our humanitarian mandate: to prevent and alleviate human suffering wherever it may be found, and the challenge to improve the situation of the most vulnerable. Capacity building – of people and institutions – is at the centre of our development work. It complements the work of the government and other organisations.

#### Approach

Capacity building requires that the people who are to benefit participate as much as possible, taking gender considerations into particular account. Development programmes shall be based on an analysis of the vulnerabilities and capacities of the people involved. This approach helps people help themselves by building upon their existing resources, strengths and skills. Development programmes should be sustainable in the long run.

National Society capacity building, or institutional development, aims to strengthen National Red Cross and Red Crescent Societies and their local network in order to achieve the characteristics of a well-functioning Society. Continuous improvement shall be pursued through regular self-assessments and other institutional development measures.

In developing their resources, National Societies shall give particular attention to the development of their volunteers and staff. Sources of funding shall be diversified and consistent with the Red Cross and Red Crescent mission. Beneficiary contributions and other forms of cost recovery should play an important role in National Societies' resource development.

#### **Programme Focus**

Red Cross and Red Crescent programmes are primarily in three sectors: health, social and disaster preparedness. Priority needs shall be addressed on the basis of sectoral policies, Red Cross and Red Crescent criteria and the Federation's strategic plans. Disaster response, development and service delivery programmes shall be properly balanced and mutually reinforcing.

#### **Development Planning**

Each National Society should have a comprehensive development plan. The plan shall be based on priority needs in accordance with the Society's mission and on the Federation's strategic plans. It shall reflect what the Society can reasonably and effectively do. Partners should be consulted about the development plan and its various programmes. Monitoring and evaluation as well as accounts and audits

are essential programme tools.

#### **Development Cooperation**

Development cooperation is a mechanism by which National Societies help build each other's capacity to carry out the global humanitarian mandate of the Red Cross and Red Crescent. Development assistance shall be channelled through National Societies to maximise the potential of the Federation. It shall be administered with economy, efficiency and effectiveness. Development cooperation shall be carried out within agreed guidelines and procedures. Delegates may be employed, with the consent of the National Society, to provide support and monitoring, to complement local expertise and to improve skills.

#### Responsibilities

Each National Society has the responsibility for its own development and all Red Cross and Red Crescent activities within its country. Other Societies may contribute to programmes in accordance with a National Society's development plan. Development cooperation shall be based on mutual respect for the particular responsibilities of each National Society involved. The Federation promotes and facilitates the development process of National Societies and plays a leadership role in the coordination of development assistance.

The Fundamental Principles

The National Societies

Strategy 2010

Federation policies

The Seville Agreement

National Society Development

Characteristics of a Well-Functioning National Society

**Building National Societies' Capacities** 

Development Planning and Cooperation

## **Definition and Principles**

#### **Definition**

- 1. The Red Cross and Red Crescent defines development in two related ways:
  - First, development is the process by which communities, families and individuals grow stronger, can enjoy fuller and more productive lives, and become less vulnerable;
  - Secondly, development also means the strengthening of National Red Cross and Red Crescent Societies so they can carry out their humanitarian mandate.

#### **Principles**

2. The humanitarian mandate of the Red Cross and Red Crescent is to prevent and alleviate human suffering wherever it may be found, through relief operations and community programmes and services. The Red Cross and Red Crescent concept of development places emphasis on improving the quality of life, especially for the most vulnerable people, on restoring and maintaining human dignity, on promoting respect for all human beings, and on the equitable sharing of resources. The seven Fundamental Principles are the basis for all Red Cross and Red Crescent development work.

The rationale for Red Cross and Red Crescent development work lies in our humanitarian mandate: to prevent and alleviate human suffering wherever it may be found, and the challenge to improve the situation of the most vulnerable.

3. Development makes people less vulnerable by strengthening their capacity to help themselves, before, during and after a disaster, as well as in the face of the daily disasters that threaten their life, health and human dignity. Thus, the primary purpose of Red Cross and Red Crescent programmes shall be to help communities, families and individuals strengthen these capacities and, thereby, make them less vulnerable to the risks of disasters, better prepared to face disasters, and better able to cope with the effects of disasters. The end result we seek is lasting improvement in the daily lives of people.

Capacity building – of people and institutions – is at the centre of Red Cross and Red Crescent development work.

4. The primary focus of Red Cross and Red Crescent development work shall be on the most vulnerable people, those that are the most at risk: the most deprived, most suffering from war, most affected by disasters, most involved in accidents, most likely to be malnourished

and most endangered by epidemics.

- 5. Capable institutions are key to effective action. Strong National Red Cross and Red Crescent Societies are needed to carry out effectively the necessary relief operations and community programmes and services. Their development programmes, therefore, shall have the added but essential purpose of strengthening National Societies themselves.
- 6. Development support to communities, families and individuals shall be provided selectively, based on priority needs and on the specific comparative advantage that a National Society has in the particular country, region or district at a particular time. In principle, Red Cross and Red Crescent assistance is of a complementary and auxiliary nature. Thus, assistance shall be provided in cooperation and partnership with government, non-governmental organisations and the private sector. This can take the form of action, advice and advocacy.

Red Cross and Red Crescent development work seeks to benefit the most vulnerable people while contributing to the strengthening of the National Society itself. It complements the work of the government and other organisations.

#### **Approach**

7. To the extent possible, intended beneficiaries shall participate in identifying, planning and deciding on programmes so as to ensure that their priorities are respected and that local knowledge is used. Likewise, local people shall participate whenever possible in implementing, managing, monitoring and evaluating programmes so as to ensure that they take ownership from the start and that they will maintain and sustain the development effort. Women in particular often play an important role in the programme areas of Red Cross and Red Crescent activities, and their concerns and contributions should be fully taken into account. This process of capacity building in a participatory way is also referred to as empowerment, since it enhances the power of people over their own affairs. Red Cross and Red Crescent youth could also play a key role in such process.

Capacity building requires that the people who are to benefit participate as much as possible, taking gender considerations into particular account.

- 8. Development programmes shall be identified on the basis of a vulnerability and capacity analysis. Such an approach helps in finding out who are the most vulnerable in society, in identifying the causes of their vulnerability and in selecting specific actions that will reduce these vulnerabilities by strengthening their capacities to help themselves.
- 9. Red Cross and Red Crescent programmes shall seek to involve and to benefit the most vulnerable people in society as part of their family and community. Emphasis shall be placed especially on breaking the vicious cycle of poverty and deprivation that often so limits the opportunity of vulnerable communities, families and individuals to enjoy healthy and productive lives. Such a developmental approach is equally applicable to a National Society's relief efforts.

Development programmes shall be based on an analysis of the vulnerabilities and capacities of the people involved.

10. Even the weakest in a community have some resources, strengths and skills to help themselves and others. These capacities are of three kinds. First, physical and material resources help people to better withstand disasters and to lead more satisfying and dignified lives. Second, social and organisational capacities provide mutual support which help people cope better with the threats they may face. Finally, skills and attitudes are key capacities that increase the range of choices people have and that make them feel more in charge of their lives and less vulnerable. Development programmes should aim to build on each of these capacities that people have.

This approach helps people help themselves by building upon their existing resources, strengths and skills.

11. Programmes shall be designed in such a way that they are sustainable. They shall aim to achieve lasting improvements in the lives of people that do not compromise the ability of future generations to ensure their well-being. Moreover, development programmes shall be designed and implemented in such a way that they can eventually be sustained by the community itself, without dependence on continuing assistance from outside. And finally, National Societies and their branches shall pursue self-reliance by avoiding commitments to development activities that exceed their capacity to implement or support in the long run, and by minimising dependence on long-term external assistance.

Development programmes should be sustainable in the long run.

The Fundamental Principles

Strategy 2010

Federation Policies

The Seville Agreement

National Society Development

Characteristics of a Well-Functioning National Society

Vulnerability and Capacity Assessment

National Societies' Programmes

### **National Society Development**

#### **Institutional Development**

- 12. The development of National Societies, or *institutional development*, means the creation and strengthening of Societies and their local network. It is an ongoing, systematic approach whereby National Societies improve their ability to make effective use of the available human, financial and material resources, in order to carry out their humanitarian mandate.
- 13. Institutional development is a process that seeks to achieve continuous improvement. It requires regular self assessments by the National Society as a whole and its constituent parts i.e., its departments and programmes and its branches. And it requires action to implement the required improvements through a variety of institutional development activities.
- 14. A well-functioning National Society is one that has a strong foundation with a clear mission, a firm legal base and a broad constituency. It also has adequate capacity with effective leadership, sufficient resources (human, financial and material) and an appropriate organisation. Finally, it performs well, carrying out a suitable set of activities that are relevant and effective. Thus, National Society development is more than capacity development: it embraces also the basis for a National Society's existence as well as the results it achieves.
- 15. A strong headquarters is an essential requirement for all National Societies. At the same time, a regional and local branch network with strong branches (or other forms of territorial coverage) is necessary for effective community level support of the Society and its various activities.

National Society capacity building, or institutional development, aims to strengthen National Red Cross and Red Crescent Societies and their local network in order to achieve the characteristics of a well-functioning Society. Continuous improvement shall be pursued through regular self-assessments and other institutional development measures.

#### **Resource Development**

16. **Resource development** is a key component of National Society development. It is the process of obtaining the resources needed by a National Society and includes raising funds, acquiring donated goods and services, and recruiting volunteers as well as the proper management of resources. In developing their resources, National Societies shall give particular attention to their human resources, which are the basis for Red Cross and Red Crescent strength. Thus, National Societies shall ensure the effective recruitment, management and training of their volunteers, staff and delegates, and the creation of positive working environments and attitudes. In particular, National Societies shall actively recruit volunteers from all sections of the community, including from vulnerable groups that it is aiming to assist.

In developing their resources, National Societies shall give particular attention to the development of their volunteers and staff.

17. With regard to financial resources, National Societies shall seek to minimise dependence on foreign or government assistance through active local fund-raising combined with sound financial management. Local fund-raising shall be carried out on a systematic basis, seeking broad support within the population. Sources of funding shall be diversified in order to protect the independence of the National Society and to reduce risks while ensuring high ethical standards and avoiding sources and conditions that are inconsistent with the Red Cross and Red Crescent mission. Administrative and overhead costs shall be kept under control to ensure that as many resources as possible are used to improve the situation of the most vulnerable.

Sources of funding shall be diversified and consistent with the Red Cross and Red Crescent mission.

- 18. In addition to voluntary contributions, cost recovery through reimbursements from the government and other organisations as well as through contributions from beneficiaries are important elements of a National Society's resource development strategy. As a matter of principle, a National Society should seek contributions from those who benefit from its activities contributions could be in cash or in kind. Beneficiary contributions are important, not just because they add to resources but as much because they confirm that beneficiaries attach value to the activity and are active participants in improving their own situation.
- 19. For community services, a National Society shall pursue cost recovery whenever possible, through a combination of setting appropriate prices and seeking direct subsidies from a variety of sources. In addition, a National Society may carry out revenue generating services, which shall be consistent with its mission and provide a net benefit to the Society by increasing its financial base and enhancing its public image.

Beneficiary contributions and other forms of cost recovery should play an important role in National Societies' resource development.

#### **Programme Focus**

20. Red Cross and Red Crescent programmes can be found primarily in the health and social sectors, with disaster preparedness being

pursued, both as a major objective of health and social programmes and through discrete sets of activities. Red Cross and Red Crescent programmes should have the following general characteristics:

- They contribute to disaster preparedness by strengthening the capacities of highly vulnerable people to prevent, respond to and cope with disasters:
- They are community based, whenever possible; and
- They contribute to the strengthening of National Societies and their local network.

Red Cross and Red Crescent programmes are primarily in three sectors: health, social and disaster preparedness.

- 21. *Health programmes* have generally evolved from the key role that National Societies have traditionally played in the provision of medical services, either as part of relief operations (first aid, emergency care) or as a service to the community (basic health care, blood collection and blood donor recruitment services). Health objectives should be pursued as part of longer-term programmes of primary health care. Such programmes should have the following key characteristics:
  - They aim to meet the priority health needs of individuals, families and communities, particularly those identified as the most vulnerable;
  - They focus on primary health care, with emphasis on disease prevention and on health promotion, restoration and rehabilitation; and
  - They incorporate a variety of elements, such as mother-and-child health, community-based first aid with simple curative care, and control of communicable diseases, particularly HIV/AIDS.



- 22. *Social programmes* have usually emanated from the extensive experiences National Societies have in this field either from relief operations or from general social services to the community, including youth development activities. Development programmes in this area provide targeted support to specific groups that are among the most vulnerable, such as disabled people, elderly people, street children, migrants, etc.. Key characteristics of such programmes should be:
  - They focus on basic needs rather than symptoms, and emphasise priority needs that are as yet unmet in the community;
  - They encourage local initiative, self help and mutual help, including income generating aspects; and
  - They use as much as possible local resources to meet local needs.
- 23. *Disaster preparedness* is a key development strategy for National Societies to pursue. This can be done through specific disaster-preparedness activities such as preparedness planning and training, relief supplies and equipment, and communication systems. More often, however, disaster preparedness is one of the objectives of broader development programmes, such as community-based primary health care, first aid, youth, various social and community programmes and National Society development. Such an approach is particularly economical and effective, since it will strengthen existing structures and systems rather than creating new ones.
- 24. A National Society shall set priorities among and within development programmes in view of the specific comparative advantage that it has and the specific needs that exist in the particular country, region or district at a particular time. These priorities shall be based on sectoral policies and criteria of the Federation and the National Society concerned and shall be guided by the Federation's Strategic Work Plan. These priorities shall be reflected in the National Society's development plan and shall serve to guide the Society's leadership, staff and volunteers, as well as its internal and external partners with regard to its activities and its public image.

Priority needs shall be addressed on the basis of sectoral policies, Red Cross and Red Crescent criteria and the Federation's strategic plans.

25. National Societies shall seek a proper balance among their activities in the areas of disaster response, development and service delivery. In particular, they shall avoid that scarce resources and capacities be diverted from specific development programmes to general community services, and especially from development programmes oriented towards the most vulnerable to community services that serve the less vulnerable in society. Moreover, National Societies shall ensure that their development programmes, their capacity in disaster response and their community services are closely related and that possible synergies are explored to make their work more

effective and efficient. This requires careful planning, broad consultation within and outside the Society, and decision making based on a well-conceived development plan.

Disaster response, development and service delivery programmes shall be properly balanced and mutually reinforcing.

Red Cross and Red Crescent Development Policy

Federation Development Policy: Definition and Principles

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Characteristics of a Well-Functioning National Society

Building National Societies' Capacities

National Societies' Programmes

## **Development Planning and Cooperation**

#### **Development Planning**

- 26. The development of a National Society and its programmes is a long-term undertaking that needs to be considered carefully, on the basis of broad consensus among the Society's constituency and of its capacity to implement effectively. To achieve these aims, a National Society must have a comprehensive plan for the development of the Society and its various programmes over the next several years.
- 27. A development plan shall be based on priority needs as defined in the mission of the National Society. It shall indicate the major goals, strategies and priorities for the plan period. It shall comprise all of the ongoing and proposed National Society activities, including its programmes for development, disaster preparedness, the development of the National Society itself and community services as well as for ongoing disaster response, if appropriate. Its goals and tasks shall be based as much as possible within the framework of the Federation's Strategic Work Plan. The development plan shall be both descriptive and quantified and it shall be summarised in a budget and a financing plan. Systems should be established to ensure that the plan is periodically reviewed and updated.

Each National Society should have a comprehensive development plan. The plan shall be based on priority needs in accordance with the Society's mission and on the Federation's strategic plans.

28. However much a National Society does, there will always be more unmet needs than available means. A Society's development plan shall, therefore, be realistic in setting targets, taking into account the limits of what it can reasonably and effectively do over the plan period, and what it can continue doing thereafter on a sustainable basis.

The plan shall reflect what the Society can reasonably and effectively do.

29. The headquarters of a National Society has primary responsibility for the preparation, management and evaluation of the Society's development plan. As part of its preparation, extensive consultations shall be held within the Society on the content of the development plan. These consultations shall aim to ensure that those who will have to implement the plan are fully involved and feel ownership of the various programmes. Consultations should also be held with external partners involved with the National Society, including actual and potential beneficiaries and donors as well as relevant government agencies wherever necessary.

Partners of a National Society should be consulted about the development plan and its various programmes.

30. Monitoring and evaluation shall be carried out for all programmes. National Societies shall closely monitor the physical and financial aspects of the implementation of programmes, regularly evaluate their costs, implementation process and results, and periodically prepare progress reports. Accounts and audits are essential elements of all development activities. National Societies shall keep accounts of all their programmes and any external assistance provided. These accounts shall be audited at regular intervals, usually annually, by independent recognised auditors.

Monitoring and evaluation as well as accounts and audits are essential programme tools.

#### **Development Cooperation**

- 31. As an expression of solidarity, National Red Cross and Red Crescent Societies shall help each other in carrying out their humanitarian mandate. In assisting each other, they shall contribute to strengthening the Federation and the Movement as a whole and to the goals of promoting friendship and peace among peoples, while respecting the autonomy of National Societies and sovereignty of their respective countries. External assistance shall always serve to supplement local resources and to support local priorities, not to divert or fragment efforts.
- 32. For the purpose of development cooperation, the following roles are defined: the National Society that receives assistance for a particular programme is called the *Operating National Society* and the one that provides the support, and hence participates in that

development effort, is called the *Participating National Society* for that programme. Any National Society can find itself in either of the two roles, on a case-by-case basis.

Development cooperation is a mechanism by which National Societies help build each other's capacity to carry out the global humanitarian mandate of the Red Cross and Red Crescent.

- 33. Development assistance shall be provided for the benefit of vulnerable communities, families and individuals as well as to help strengthen the National Society itself. Assistance shall be provided following receipt of a request from an Operating National Society or from the Federation on its behalf. It may be extended on a multilateral or bilateral basis.
- 34. Red Cross and Red Crescent development assistance shall be administered with economy, efficiency and effectiveness. While providing or receiving assistance, the development capacity of the Operating National Society and of the beneficiary communities and groups must be kept in view to ensure sustainable results.

Development assistance shall be channelled through National Societies to maximise the potential of the Federation. It shall be administered with economy, efficiency and effectiveness.

- 35. Development cooperation shall be sought and provided on a planned basis, within a National Society's plan and Federation country and regional assistance strategy.
- 36. Development contracts shall be concluded for all substantial bilateral and multilateral assistance (in cash and kind) to Operating National Societies, including from partners outside the Red Cross and Red Crescent Movement. Development contracts shall contain the essential elements of what has been agreed in a well-defined way for all the parties.

Development cooperation shall be carried out within agreed guidelines and procedures.

37. Delegates may be provided by other Societies or the Federation to support a National Society in its development work and to monitor the use of external assistance. Their function is to provide support, not to take over basic responsibilities. As external assistance is intended to be complementary to local expertise, priority shall be given to assisting a National Society in attracting and training local experts. The delegate shall normally work as counterpart to at least one National Society staff member, in order to ensure continuity of work and transfer of skills. Delegates shall be approved by the host National Society, before being sent to work with it.

Delegates may be employed with the consent of the National Society to provide support and monitoring, to complement local expertise and to improve skills.

#### Responsibilities

- 38. National Societies have the ultimate authority for all Red Cross and Red Crescent development activities within their own countries. They have the primary responsibility for the identification of main priorities, for the preparation of programmes and projects as well for their appraisal, implementation, management, evaluation and auditing.
- 39. Operating National Societies have primary responsibility for development cooperation and its co-ordination at the national and community levels. Operating National Societies are responsible for raising development funds, for preparing development plans and development contracts, and for keeping Participating National Societies and the Federation informed about development assistance sought, received and used. They shall consult the Federation on all key issues. Operating National Societies are also responsible for providing staff and logistical support to facilitate the work of agreed delegates as well as counterparts to work with them.

Each National Society has the responsibility for its own development and all Red Cross and Red Crescent activities within its country.

- 40. National Societies that can afford to support the development programmes of sister Societies shall make their best efforts to set aside part of their resources for that purpose. They shall keep the Federation informed about the targets set and the results achieved in meeting these targets.
- 41. Participating National Societies may contribute to the programmes of Operating National Societies through provision of cash, material, training and technical assistance. Substantial contributions of development assistance shall be clearly related to the priority areas as set out in the Operating National Society's development plan and fit within the country assistance strategy. Financial and material support as well as technical advisers shall be specified and agreed upon in development contracts.
- 42. When several Participating National Societies and/or other donors are working with an Operating National Society on a development programme, its operational co-ordination shall be agreed upon between these parties in consultation with the Federation. These will be defined in development contracts. On occasion, a lead Participating National Society may be mutually agreed upon.

Other Societies may contribute to programmes in accordance with a National Society's development plan.

- 43. A spirit of partnership is an essential ingredient in all Red Cross and Red Crescent international development cooperation. Close and supportive relationships between National Societies working as a Federation are important for the effective sharing of development experience and assistance.
- 44. Each Society must respect the ultimate authority that any National Society has for Red Cross and Red Crescent actions within its own country. All other Societies must ensure that any formal relationship they may develop with governmental or non-governmental agencies

has been agreed upon by the National Society of that country. Similarly, each Operating National Society must respect the need for all other National Societies to be the primary link with non-governmental organisations and government bodies of their own countries, and should not negotiate with such non-Red Cross/Red Crescent bodies for development assistance without consulting the particular country's National Society in advance.

Development cooperation shall be based on mutual respect for the particular responsibilities of each National Society involved.

- 45. The Federation is responsible for promoting and facilitating the development process of National Societies. It shall encourage a process of priority setting within National Societies that is firmly based on the Fundamental Principles of the Red Cross and Red Crescent and that is in accordance with the Federation's development policy and Strategic Work Plan.
- 46. The Federation shall play a leadership role within the Red Cross and Red Crescent in the co-ordination of development assistance. In the case of any dispute or difference of opinion between a National Society and one of its partners in development, the Federation shall serve as mediator. It may do this at its own initiative. The Federation shall, when deemed appropriate, conduct such evaluations and audits as may appear necessary to ensure the effective use of development assistance. These shall be undertaken with the consent of all National Societies concerned.

The Federation promotes and facilitates the development process of National Societies and plays a leadership role in the co-ordination of development assistance.

#### The Role of the ICRC in Supporting National Societies

- 47. In accordance with the Movement's Statutes, the development of National Societies shall fall within the competence of the Federation. The ICRC can contribute to the development of the National Societies through technical and legal assistance in establishing and reconstituting National Societies, support of the National Societies' programmes for disseminating knowledge of international humanitarian law and the Fundamental Principles, involvement of the National Societies in measures taken to promote international humanitarian law and ensure its implementation, preparation of the National Societies for their activities in the event of conflict, contribution to the training of National Society leaders in fields related to its mandate. With the Federation's consent, the ICRC may undertake other activities if the National Society concerned so wishes.
- 48. As the main organisation responsible for disseminating international humanitarian law (IHL), the ICRC helps National Societies develop IHL dissemination programmes in their countries and contributes to the training of leaders in this field. Through its role in promoting understanding and implementation of the Fundamental Principles, the ICRC plays an important part in promoting the unity of the Movement. It co-operates with national Societies to make the Principles known, understood and adhered to by members and volunteers, and respected by those outside the Movement. It also advises National Societies on the implementation and respect of the Fundamental principles.
- 49. According to the Agreement between the ICRC, the National Societies and the Federation, in armed conflict situations, the ICRC may expand its co-operation with the National Societies involved in order to strengthen their operational capacity. In such cases, the development work of the Federation and of the ICRC must be closely co-ordinated.
- 50. The ICRC has over recent years stepped up its cooperation to assist National Societies in this field. Cooperation in specific spheres such as tracing, dissemination, first aid training, training on the use of the emblem, safety of National Society staff in the field, relief and medical operations and telecommunications, to name just a few, has also been an important aspect of the ICRC's contribution to the development of National Society's operations in responding to armed conflicts.
- 51. Since adopting its policy framework for ICRC contribution to National Society development in 1990, the ICRC has greatly increased its cooperation programmes with National Societies. In order to ensure that they have a strong institutional and operational base when they are recognised, the ICRC has also begun to devote more resources to cooperation programmes with National Societies in formation. It aims to achieve these development goals through specific cooperation programmes and through the training of National Society leaders.
- 52. In order to establish a co-ordinated development policy for the Movement and to ensure the best utilisation of available resources, the two institutions agreed to give their contributions in the framework of development plans of National Societies. The ICRC and the Federation also agreed to keep each other informed of their respective plans and decisions contributing to the overall development efforts.
- 53. Please also refer to text of the Seville Agreement (agreement between the ICRC, the Federation and National Societies, articles 7.2.2 7.2.5.

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## **Characteristics of a Well-Functioning National Society**

- 54. National Societies differ in terms of size, resources, range of activities, and the social, cultural and political environments in which they operate. However, every National Society will need to possess certain basic characteristics for it to be considered a Society which works well.
- 55. Such characteristics are directly related to the *foundation, capacity* and *performance* of the Society. Foundation is the National Society's mission (purpose and goals), legal base (statutes and national laws) and constituency (membership and territorial coverage). Capacity includes leadership (governance and management), resources (financial, human and material) and organisation (structure, systems and procedures). Performance is defined by the type of activities the Society carries out, and their relevance and effectiveness, particularly for improving the situation of the most vulnerable.
- 56. In 1994 the Federation's Executive Council endorsed the *Characteristics of a Well-Functioning Society* listed below, and recommended that all National Societies use it in their work. It should be noted that obviously no National Society can meet completely the characteristics as described. However, they provide a long-term goal for a National Society's development, and a base that any National Society can use to analyse its own strengths and weaknesses.

### Characteristics of a Well-Functioning Society

#### Foundation

#### Mission

- A well-functioning National Society has a clearly stated mission, in other words, a clear purpose, a clear idea of what it is trying to do. This mission is well understood and broadly supported by members at all levels of the Society;
- It is guided by the Fundamental Principles of the Movement and operates in conformity with these Fundamental Principles throughout the Society:
- It maintains a position of autonomy and independence, while working closely, as a responsible partner, with the government and with others;
- Its mission reflects the Mission of the Red Cross and Red Crescent as well as the Challenge as defined in the Federation's Strategic Work Plan;
- It demonstrates understanding and acceptance of its responsibilities as a member of the Federation and part of the Movement;
- It strikes the right balance between the preservation of established values on the one hand and the innovation needed to meet new challenges on the other;
- It has a positive public image that properly reflects its mission and its values.

#### Legal Base

- A well-functioning Society has up-to-date and relevant statutes, modified only after concurrence of the ICRC and the Federation;
- It is constituted on the territory of an independent country, as the only Red Cross or Red Crescent Society;
- It uses the title and emblem of the red cross or red crescent in conformity with the Geneva Conventions and the relevant regulations;
- The Red Cross or Red Crescent law or decree under which it is recognised by its government is still relevant;
- The statutes are being respected; in particular, the general assembly (or equivalent governing body) is being convened regularly and elections are being held in accordance with the statutes.

#### Constituency

- A well-functioning Society extends its activities to the entire territory of the country, through either an adequate branch network based on a territorial structure, or through another form of territorial coverage;
- It recruits its voluntary members and staff without consideration of race, colour, ethnic origin, sex, class, religion, or political beliefs, pursuing widespread and popular membership, and seeking to ensure that membership and leadership are a true reflection of the general population;
- It has a clear definition of the various types of membership;

• It makes special efforts to attract and involve the youth of the country.

#### Capacity

#### Leadership

- A well-functioning Society has a clear and straightforward governing structure with well-defined roles for its general assembly, for
  the central or executive committee, for the chairman or president, and for the chief executive officer; accountability has been wellestablished at all levels of governance and management;
- It avoids domination of the governing body by one person, one group, or by the government; it also avoids exclusion of certain persons or groups from membership;
- Decision making is widely shared, with all volunteers having access to the decision-making process and with provision for consultation and a wide expression of views;
- Leaders are committed to the Red Cross/Red Crescent and have the necessary background and skills, with special efforts made to ensure regular succession of leaders;
- · Leadership training as well as leadership opportunities are provided at all levels, especially for women and youth.

#### **Human Resources**

- A well-functioning Society engages a sufficient number of properly qualified persons (staff and volunteers) to carry out its services, and taps professional advice and expertise beyond its own membership;
- It has explicit policies regarding the recruitment, training, appraisal and reward of staff and volunteers, and it actively implements these policies:
- It actively recruits volunteers from all sections of the community, including from vulnerable groups that it is trying to assist. It
  engages in programmes that rely on volunteers as well as on financial inputs.

#### Financial Resources

- It finances its activities on a planned basis, covering the expenses of administration and other core activities from its own core resources:
- It seeks to minimise dependence on foreign or government assistance through active local fund-raising combined with sound financial management;
- It carries out local fund-raising on a systematic basis, seeking broad support within the population;
- It diversifies its sources of funding in order to protect its independence and reduce risks while ensuring high ethical standards and avoiding support from sources, and on conditions, that are inconsistent with its mission;
- It keeps administrative and other overhead costs under control to ensure that as many of its resources as possible are used to improve the situation of the most vulnerable.

#### Material Resources

• It has available the basic material infrastructure (buildings, transport and other means) adequate for its purposes, consistent with its desired public image and sustainable in terms of operation and maintenance.

#### Organisation

- A well-functioning Society has the structures, systems and procedures in place that allow it to fulfil its mission;
- Its organisation is flexible, prepared to respond immediately to disasters;
- It has a headquarters which gives leadership and support to local units;
- It has an up-to-date, comprehensive development plan that brings together its mission, its specific objectives, its relief and development programmes, and its financing;
- It has a sound system of financial management, budgeting, accounting and external, independent auditing, with clear accountability for the use of funds;
- It works closely with other organisations national and international, public and private taking into account what others are doing, co-ordinating its activities with them, and sharing resources, information and expertise;
- It actively supports the Federation, participating in its affairs, implementing its policies, and assisting the Federation, the ICRC and the other Societies to the limits of its abilities, including the sharing of experiences, knowledge and expertise.

#### Performance

#### Activities

- · A well-functioning Society carries out a set of activities that is well selected, planned and evaluated;
- It ensures that activities are consistent with its mission and with its desired public image, thus enhancing public confidence;
- It adheres to relevant Federation policies, including the Principles and Rules for Disaster Relief and for Development Co-operation, and other policy decisions of the General Assembly, the Council of Delegates and the International Conference;
- It actively disseminates the Fundamental Principles and humanitarian law. It co-operates with the government to ensure respect for international humanitarian law and to protect the red cross and red crescent emblem. While respecting the Principle of Neutrality, it is not indifferent in the face of situations that adversely affect the most vulnerable;
- It is prepared to take prompt and effective action in response to disasters, in accordance with its specific role in disaster relief; it is prepared in peace time for its statutory tasks in case of armed conflict; it actively assists in relief operations after natural disasters; and it selectively undertakes development programmes aimed at strengthening the capacities of vulnerable communities;
- It implements a set of core programmes in line with regional requirements as determined by respective regional conferences.

#### Relevance

- A well-functioning Society concentrates its activities on the most vulnerable, enhancing their capacity to help themselves;
- It pursues the active participation of programme target groups in its membership, in the decision-making process and in contributing to the costs of services.

#### **Effectiveness**

- A well-functioning Society monitors continuously whether its activities have the desired effect and whether results are achieved
  efficiently, taking prompt corrective action where needed and feeding the results back into the planning process;
- It enjoys a good reputation for the quality of its work, both amongst the country's leading opinion makers and the public at large. To
  help enhance its public image, it keeps the press well-informed about its activities;
- It prepares regular progress reports and keeps the Federation, its members, its donors and the public at large regularly informed about its activities, finances and achievements;
- It regularly evaluates and assesses the quality and impact of its activities and makes adjustments where needed.

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## **Strengthening National Societies**



## Chapter XV - Building National Societies' Capacities

**Capacity Building** 

**National Society Planning** 

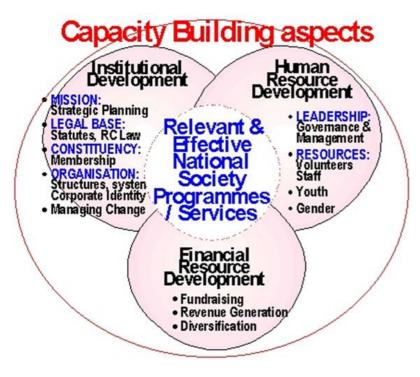
**Vulnerability and Capacity Assessment** 

**Organisational Development** 

**Resource Development** 

### **Capacity Building**

- 1. National Society capacity building is a systematic approach of continuous learning to improve the ability and capacity of Red Cross and Red Crescent Societies to make the most effective and efficient use of their available human and financial resources to achieve the humanitarian purposes of the Movement in a sustainable way.
- 2. The Framework for National Society Capacity Building:
  - links the mission, principles, programmes, characteristics, policies and strategy into a coherent conceptual basis to support National Society capacity building;
  - stresses organisational development, financial resource development, human resource development, and programmes and services as
    the key components of capacity building;
  - underlines the relevance of capacity building in disaster response and development;
  - · presents the strategy, principles and future direction of capacity building; and
  - unifies the work of the Federation in support of National Societies.
- 3. The four components of capacity building are organisational development, financial resource development and effective National Society programmes.



- 4. A National Society's strategic or development plan can be defined as a "disciplined effort to produce fundamental decisions and actions that shape and guide what an organisation (or other entity) is, what it does, and why it does it." (John M. Bryson, "Strategic Planning for Public and non-profit Organisations"). A National Society's strategic planning process focuses primarily on defining or reaffirming its mission statement as well as setting the broad long-term goals and objectives for the Society as a whole, thus defining its humanitarian role in the country.
- 5. Strategic Planning is the primary responsibility of the National Society's governing body and top management. However, all sectors and levels of the National Society staff as well as volunteers and membership at large should be involved in it; goals set exclusively from the top will never reflect the reality.

#### Process of coming up with a strategic or development plan

- 6. In order to come up with a strategic plan, a National Society needs to answer the following questions:
  - "Where are we today?"

Carrying out a situation analysis by gathering information on a broad scale as well as analysing the National Society's own strengths and weaknesses.

• "Who are we?"

Ensuring that the National Society has a clear mission statement. The mission statement is a broad statement of purpose which should answer the following questions:

- What are the organisation's basic values?
- What are the organisation's key functions/core competencies?
- Who are the principal target groups of support/assistance?
- How is the organisation helping the identified target groups, i.e. the main areas or portfolios of activity?
- "Where do we want to be?"

Defining the Vision for the future. A National Society's vision statement outlines its desired future status (in a specific time span – usually 3 to 5 years), i.e. its long-term strategic objectives.

• "How are we going to get there?"

Determining the Strategies/Actions by exploring alternative courses of action and considering future implications of present decisions.

#### **Operational Planning**

- 7. Within the framework of a national Society's overall strategic or development plans, it needs to be encouraged to work out operational plans (usually on an annual basis) for the individual programmes and projects. the Logical Framework Approach to Planning is a useful tool that can be used to design such operational plans in a participatory manner.
- 8. An operational plan should cover the following broad categories:
  - Problem analysis/needs assessment
  - Setting objectives
  - Defining outputs/results
  - Defining sets of activities for each objective
  - Defining related performance indicators
  - Identifying critical assumptions and risks
  - Preparing a budget.

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## **Vulnerability and Capacity Assessment**

#### **Vulnerabilities and Capacities**

- 9. The Federation's present mission is to "improve the lives of vulnerable people by mobilizing the power of humanity". *Strategy 2010*, which has replaced the Strategic Work Plan for the Nineties, aims to help develop responsive and focused well-functioning National Societies that work together effectively. It is the planning tool that will guide National Societies actions in the following 10 years. The strategic direction is National Society programmes are responsive to local vulnerability and focused on the areas where they can have greatest impact. The collective focus will be on promoting the Movement's Fundamental Principles and humanitarian values, disaster response, disaster preparedness, and health and care in the community.
- 10. Please refer to Chapter III of this Handbook for further information on the Strategy. The full Strategy 2010 document is available at all delegations and at the Federation website www.ifrc.org.
- 11. In fact, a hazard/a threat becomes a disaster when it goes together with conditions of vulnerability, creating events that outstrip a population's capacity to manage or cope. Even when a threat is great, but vulnerabilities are relatively small, the risk of a major disaster is usually limited. Earthquakes or droughts in the industrialised countries are not normally major disasters in comparison with similar events in developing countries. There, similar threats result in greater disasters because vulnerabilities are higher and capacities to reduce their impact are limited.
- 12. The level of risk is thus determined not only by the scale of the hazard or the threat, but also by the balance between a population's vulnerabilities and capacities. In the long run, the only effective way to limit the impact of disasters on those at high risk is to understand the nature of the threats facing them and to reduce their vulnerabilities by improving their capacities. This is precisely what the Vulnerability and Capacity Assessment (VCA) aims at.

#### **Vulnerability and Capacity Assessment**

- 13. As a method, vulnerability assessment has been used in a number of fields from engineering to development. In its broad definition it means assessing exposure to risks, shocks or stress, which a building, an individual, a household, an economy etc. is subject to. It also means assessing the weakness, defencelessness and lack of resistance and means to cope with the damaging loss. Many vulnerability assessments incorporate *capacities* to cope or resist. Increasingly, however, capacities are assessed as well as vulnerabilities, as it gives a clearer picture of weaknesses and strengths. As an analytical framework, Vulnerabilities and Capacities Analysis (VCA) is based on three main development assumptions i.e. that:
  - Development is a process by which vulnerabilities are reduced and capacities are increased;
  - No one ever "develops" anyone else: people and societies develop themselves with or without the help of external agencies;
  - Relief programmes are never neutral in their developmental impact: they either support or undermine development.
- 14. The distinction between vulnerabilities and needs is critical. While the needs (especially in the context of emergencies) refer to the immediate short-term requirements for survival or recovery from a calamity, vulnerabilities refer to the long-term factors, which affect people's ability to respond to, or make them more susceptible to, the effects of disasters.
- 15. VCA framework can be divided into categories of capacities and vulnerabilities. These can vary according to different situations, but mainly cluster around physical/material, social/organisational and motivational/attitudinal aspects. These categories can also differentiate by gender, race or ethnicity, age, socio-economic status and any other relevant variables. This analysis is intended to be conducted at different stages in the course of relief and development programmes, to assess change over time. As each of the categories overlaps and interacts with the other, a change in any of them inevitably alters the situation overall.

#### **Identifying Threats**

- 16. Vulnerability and Capacity Assessment (VCA) starts with information on each of the three aspects threats, vulnerabilities and capacities. There are three basic kinds of threats:
  - Those that come from *nature*, including earthquakes, cyclones, droughts, floods, diseases etc.;
  - Those from *violence*, including war, intimidation, harassment, sexual assault etc.;
  - Those resulting from deterioration, including declining health, education and other social services, trade shifts, government policies, environmental degradation etc.

When the threats to a particular population have been identified, it is then important to decide how probable the threats are and how serious they might be if they occurred.

#### **Identifying Vulnerabilities**

- 17. There are three basic characteristics that make some groups more vulnerable than others:
  - Proximity or exposure people who live or work near some kind of hazard are more vulnerable than those who don't;
  - **Poverty** people who have few options, few resources and few reserves can be pushed "over the edge" of survival more easily than those who have more means and access to resources;
  - *Exclusion* or *marginalisation* people who are left out of economic and social systems or lack access to social services due to religion, race, gender, class and other factors are more vulnerable than others.

#### **Assessing Capacities**

- 18. Assessing people's capacities to prevent or cope with the threat is the often forgotten step in the process. When left out, a programme may duplicate what best can be done by people themselves, and scarce assistance resources can be wasted. Capacities can be placed in three categories:
  - Physical or material people have physical resources that they rely on to survive and to lead a satisfying and dignified life.
  - Social or *organisational* for example, communities that are close-knit, where people take care of and help each other, and where people share the physical resources they have in times of need, are better able to cope.
  - Skills and *attitudes* when people have skills they are better able to exploit resources. When people are dependent on others and feel victimised by events outside their control, they have fewer of the capacities that grow out of positive attitudes.

#### **Role of the National Societies**

- 19. In defining its priorities as part of the strategic planning process, a National Society will have to identify the most vulnerable in the country, and more specifically in different communities. National Societies are well placed to help *improve the capacities and reduce the vulnerabilities* of the most vulnerable. National Society community services should be encouraged in this. If integrated with their disaster preparedness work, this will also help to address the root causes of disaster vulnerability.
- 20. The national and "grass-roots" local organisation of National Societies is particularly well suited to the role of *collecting information* and building a picture at both levels. Where there is clearly no such role for the National Society, and where the authorities and other agencies may be better suited to doing this, the Society can assume an advocacy role for the most vulnerable.
- 21. Communities may be unaware of threats to them. Misconceptions and negative cultural attitudes towards certain risks can be common. The National Society can disseminate public information to counter this, using members of communities where these attitudes are present as Red Cross or Red Crescent workers or peer groups such as women or Red Cross Youth.

### Key Points to Remember

- Vulnerability is not a "weakness". It indicates the balance between weaknesses and capacities. In providing assistance, recognise and support the strengths of the vulnerable;
- Avoid naming broad groups, such as women or the elderly, as vulnerable. Ask the question "vulnerable to what?";
- Avoid determining vulnerable groups based on a single determinant. It is often the interaction of factors that mark a group as being
  more vulnerable than another. For example not all women but those who are marginalised recover the least after a disaster, or,
  unprotected women may be more subject to harassment;:
- In programme planning, understanding and addressing the causes are as important as identifying who is rendered vulnerable by these conditions;
- Remember that causes may lie outside the vulnerable group. Programmes that target the outside causes may be as or more viable than programmes for the vulnerable group;
- Remember that vulnerabilities change. Do not rely on a single assessment forever;
- Vulnerability may come with a benefit. For example, poor people living in a flood plain take the risk for the benefit of a livelihood
  from the river as they often have no other alternatives. Remember the delicate balance between vulnerability and benefit in the
  assessment. The elimination of the vulnerability should make up for the possible elimination of benefits;
- The perception of vulnerabilities and capacities is a critical factor in assessment. What an agency may regard as important, may
  not be viewed the same way by the groups concerned. Communities' own perceptions of their vulnerabilities and capacities are
  ultimately more important in finding durable solutions to problems.

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## Further Reading

#### Pedagogy and Vulnerability

by I. Barrientos and F. Gutierrez, International Federation of Red Cross and Red Crescent Societies, Costa Rica Regional Delegation, 1995

#### **Vulnerability and Capacity Assessment Guidelines**

International Federation of Red Cross and Red Crescent Societies, Geneva, 1994

#### At Risk: Natural Hazards, Peoples Vulnerabilities and Disasters

by P. Blaikie, T. Cannon, I. Davis, B. Wisher, London and New York, Routledge, 1994

#### Rising from the Ashes

by M. Anderson and P. Woodrow, UNESCO, Paris, 1989

Vulnerability: How the People Cope

Institute of Development Studies, Sussex, v.20 n.21, April 1989

#### Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA) Notes

International Institute for Environment and Development (series of publications), London

### **Organisational Development**

#### **Organisations**

- 22. All National Societies are facing important challenges to their development. To respond to these challenges, effective and systematic ways are needed to develop and strengthen National Societies and their local branch networks as *organisations*.
- 23. An *oprganisation* is a group of people organised to fulfil a common purpose. Organisations have defined structures within which their people work together in a co-ordinated way. For the Red Cross and Red Crescent Movement, the word *organisation* covers special, enduring values, aims and activities, as well as organisational roles and structures. While the Movement as a whole is an organisation, it is also a partnership of member organisation. Each National Society is an independent organisation in itself. Branches, too, are organisation. To the degree that it is a well-developed organisation, the Movement will have the stability and capacity to provide benefits to the most vulnerable and thereby accomplish its mission.

#### **Organisational Development**

- 24. The organisational issues confronting the Red Cross and Red Crescent, as well as other non-profit organisations, are often far more complex than those facing the private or public sectors. The complexities of pursuing a broad social mission, of working with diverse governing bodies, seeking out a variety of funding sources, often having a less than clear-cut criteria for measuring success, make it more difficult to run non-profit organisations effectively. Consequently, the need for a change may often be felt too late sometimes only under pressure from inside (National Society's leadership, members or staff) or outside (operational partners, donors, Government etc.) though the indicators signalling it may have been "flashing" for some time.
- 25. Systematic organisational development is a means for long-term, continual adaptation to constantly changing conditions. Its aim for the Red Cross and Red Crescent is to move each National Society closer to achieving the *Characteristics of a Well-Functioning National Society*, welcomed by the Federation General Assembly (1995), which encouraged all member Societies to use this document in their organisational development efforts. Organisational development aims at improving the National Societies' ability to make effective use of available human and financial resources, to enable them to provide services to the most vulnerable more effectively. It invites everybody headquarters and branches, governing bodies and management, staff, volunteers and members to work together for improvement. Organisational development tools can be used by all National Societies, old or new, big or small.
- 26. Organisational development can be implemented on both large and small scales. We talk about *large scale* or major organisational development when the entire National Society undergoes self-assessment, and its strategic objectives are defined or redefined on this basis. As a result the National Society may undergo restructuring (review of the management accountabilities, chain of command, department functions, job descriptions etc.), aimed at addressing management weaknesses. In order to make the strategic objectives operational, *small-scale* organisational development (the *cycle-within-a-cycle*) may be carried out. This involves setting operating

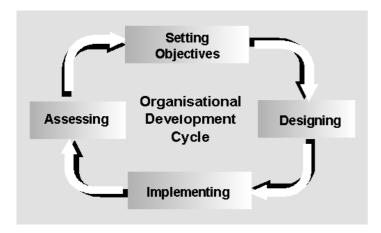
objectives, designing individual programmes and implementing these programmes as well as the organisational development activities that go with them. The same approach can also be used to work with individual parts of the National Society – branches, headquarters departments or specific programmes.

#### **Assessment Tools**

- 27. One of the main self-assessment methods within organisational development methodology is *SWOT analysis* (Strengths-Weaknesses-Opportunities -Threats). The SWOT analysis looks at the internal strengths and weaknesses of the National Society in the context of its national environment: the existing opportunities and the threats both real and potential to the National Society's development as an organisation. Though SWOT analysis largely deals with past and present negative aspects (weaknesses, threats), a constructive, forward-looking approach is needed for it to lay the basis for improvements in the future. Every Society, branch, department, programme and individual will always have its strong and weak points, which need to be recognised, understood and consolidated or rectified.
- 28. It is recommended to complement the SWOT analysis with other analysis tools such as the stakeholder analysis and a situation analysis of the environment in which the National Society works. For the diagnosis of the National Society itself, the Federation Secretariat has developed the Capacity Assessment and Performance Indicators (CAPI), which can be used to set the stage for a strategic planning process.

#### **Organisational Development Cycle**

29. The organisational development process can be described as a cycle – a recurrent set of activities that should lead to systematic improvement of National Societies. It includes four main stages: self-assessment of the National Society's strengths, weaknesses, opportunities and threats within and outside it, setting strategic objectives for National Society development, designing plans and programmes aimed at improving National Society's capacities, and, finally, implementing programmes and specific organisational development activities.



#### **Organisational Development Roles for the Delegate**

- 30. Federation delegates can play an important role in National Society organisational development by facilitating organisational development activities. The role of the delegate as a facilitator is not to make policy or to manipulate the outcome of organisational development activities. It is mainly to assist National Society volunteers, staff and leadership in identifying goals and objectives of the organisational development process, finding the means to achieve these objectives, developing corresponding plans and supporting their implementation.
- 31. The delegate acting as an organisational development facilitator has to be a good listener and an able communicator, capable of encouraging participation. He or she has to be analytical, impartial, trustworthy and competent. Being external to the National Society organisational development process, the delegate will often have the advantage of being perceived as detached and impartial. Working closely with the National Society personnel responsible for organisational development activities (volunteer leadership and/or staff, organisational development committee etc.), the delegate can, in particular, assist them in analysing the current situation of the National Society, identifying the problems to be addressed (through, for example, SWOT analysis and vulnerability and capacity assessment) and connecting and bringing people together to solve problems.

### For Organisational Development to Succeed...

- The full support of the National Society's Board and top management is absolutely essential, especially in creating the right conditions within the Society for continuous organisational development. Organisational development also needs to be seen as a legitimate process and to be supported by the National Society's volunteers, members and staff, its external clients and by the public at large.
- Organisational development is not a short-term exercise. Nor can it be achieved by a few cosmetic changes in isolated areas. To be successful it has to be a continuous process of considerable on-going change on all levels of the Society's organisational structure, requiring long-term commitment and willingness to take certain decisions, sometimes unpopular.
- Both individuals and organisations tend to resist change, either having reasons to feel threatened by it, or feeling uncomfortable with uncertainty embodied in the change. In such circumstances people may be reluctant to take part in the new activity whose outcome seems unpredictable. Therefore, to be successful, any organisational development should strive to minimise this

- uncertainty.
- Cultures differ in their attitudes toward power relations, degree of individualism or collectivism, the extent to which people are willing
  to admit or confront weaknesses or failures. The initial reaction of individuals or National Societies to organisational development
  programmes may also be determined by the combination of these factors.
- There are times when a radical social, economic or political upheaval can unexpectedly force the National Society to renew itself.
   And there are typical times in the life of a National Society when it is more appropriate to initiate systematic organisational development (when the Society is created, when its leadership changes, when a new programme is being launched, when a major disaster strikes etc.). The right moment chosen to start the organisational development programme will largely determine its success.

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#### Governance Training Modules

including overhead transparencies. International Federation of Red Cross and Red Crescent Societies

### **Resource Development**

#### What is Resource Development?

- 32. **Resource development** is the means of obtaining the resources needed to carry forward the National Society's programmes. Resources are much more than money, even if money is in itself an important resource. The resources available to a Red Cross or Red Crescent Society are of four main types:
  - Financial: grants, money from voluntary contributions and revenue-generating activities, income from investments;
  - Human resources: staff and volunteers;
  - Goods and services provided by the National Society if it charges for them;
  - Material and in-kind resources: goods and services received by the National Society, equipment, vehicles and buildings owned or leased.
- 33. While a National Society's fund-raising is normally aimed at raising money to meet current expenses, a broad-based programme of resource development aims to strengthen the National Society as a self-reliant organisation.
- 34. A well-planned, diversified and well-conducted resource development programme is an integral part of a strong National Society. The strategy for acquiring resources for a National Society cannot be developed in isolation from the Society's programmes and its overall capacity to manage. Resource, programme and organisational development must be closely co-ordinated in order for a National Society to operate most effectively.
- 35. Whether beginning a resource development programme or strengthening or expanding one, most National Societies can use practical assistance of some kind. It may mean help from a person with experience in planning resource development strategies or learning from other National Societies about techniques that have been successful or not so successful. Some Societies may benefit from a more systematic pursuit of formal training, reinforced by periodic consultations provided by another National Society staff member or volunteer, a delegate, someone from the Secretariat or an outside consultant. All of these interventions may be useful in the process of building and improving resource development.

#### **Resource Development Programme**

36. The Federation Secretariat has developed a *Resource Development Programme*, starting with financial development. Guidelines for broader human resource development - recruiting, training, managing and retaining staff and volunteers - are planned. The goal of the Federation's Resource Development Programme is to enable National Societies to move towards financial self-reliance, thus becoming more effective in carrying out development and service programmes for vulnerable people. In this sense, a financial resource development

programme includes:

- Fund-raising;
- Generating revenue from services and other activities;
- Soliciting in kind goods and services;
- Related volunteer recruitment, management and retention.
- 37. The Resource Development Programme serves National Societies by enlisting the entire Federation network in identifying and sharing the most effective ways to strengthen National Society resource development capabilities. Responsibilities for providing information, training and direct assistance are shared among the Secretariat, its Delegations and National Societies. Programme services and activities generally take two forms information, and training and direct assistance.
- 38. Information includes data bank referral system for examples of fund-raising and revenue generation Federation-wide, roster of resource development staff of National Societies world-wide, roster of resource development consultants available to National Societies, fund-raising resources library in Geneva. A Resource Development Handbook and associated Training Programme is available as a practical guide for both National Societies and trainers. The Resource Development Programme also provides direct technical assistance, follow-up to training sessions and on-going coaching, wherever possible provided by local or regional trainers and facilitators who may be National Society staff or volunteers, delegates, Secretariat staff or other NGO people.

#### The Basics for Developing Financial Resources

- Resource development plans should be "programme driven". This means that a National Society must first plan its programme of services and activities, then develop a Funding Plan to finance it;
- A budget is both an important exercise and a valuable tool. The budget should be developed carefully, adopted by leadership, then reviewed regularly to compare estimates with results;
- A financially healthy National Society will receive financial support from a mix of external grants, internal grants and contributions, and locally generated revenue. A Society with a diversified income "portfolio" will be best able to achieve financial autonomy and make its own decisions about the kinds of programmes it carries out;
- Sound financial management is essential so that funds can be safeguarded and used most effectively and so that the general public has confidence in a Society's financial integrity. Sound financial management includes regular budget and costs control, and making sure that the funds are raised by means that are legal, fair and sensitive to cultural attitudes;
- The way volunteers and staff are organised around the financial resource development function in a National Society will have an enormous impact on the success of its overall fund-raising. Volunteer resource development committees ¿coordinated by paid staff responsible for implementing a plan is a model that works well in many places;
- A strong Resource Development Programme can only be built on the foundation of a National Society's positive public image. With the elements of a good image in place, public relations principles and marketing techniques can help inform people, target the best prospects and maximise fund-raising returns.

#### **Fund-raising**

- 39. To move towards a diversified funding base, a National Society will need to consider many options, then select the best-suited. Once the basics such as planning, budgeting, accounting, image and managing are accounted for, there are many ways a National Society can raise money. Generally, techniques come under two categories: soliciting *donations* and business-oriented ways of generating *revenue*.
- 40. *Individuals* are a vast resource for contributed income and can be reached through a variety of techniques, including direct solicitation, membership fees, letter appeals, public collections, advertising, telephone appeals, fund-raising events, sponsorships, planned giving (such as wills).
- 41. Many National Societies have been successful in attracting and retaining large numbers of members who provide significant support by paying annual fees. Others rely on a system of obtaining "first time" contributors who make modest donations, then through regular reporting and requesting encourage them to increase contributions. Individuals are an important source of *in-kind* gifts as well (services, equipment) and can often provide access to other funding sources such as clubs, foundations and business.
- 42. *Fund-raising events* offer opportunities for both income and visibility. People who give to a National Society at an event can often be persuaded to become further involved as regular donors. Such events are labour-intensive though and can require many volunteers and good organisational skills. Even with the many advantages of fund-raising events, this should not be the only way a National Society raises money.
- 43. *Corporations* can provide many kinds of donations, including cash, in kind (products and services), specialist support and sponsorship. Corporate support usually requires careful preparation, good contacts, an understanding of the corporate prospect's "agenda" and regular reporting on how contributions are used.
- 44. The Red Cross and Red Crescent *network* Participating National Societies, the ICRC and the Federation Secretariat are important funding sources, each requiring a special approach.
- 45. *Trusts, Foundations, Governments, Non-Governmental Organisations* and *UN agencies* will have their own priorities, funding levels, timing and requirements. However, National Societies should avoid heavy dependency on such grants, and should avoid "tailoring" their projects to donor needs. Research and networking will reveal these sources and how to access them. Most will require a written request or contractual agreement.

46. Generating *revenue* refers to people giving money to a National Society in return for something they receive. This can include selling or leasing goods, services or property or operating games of chance (lotteries). Also in this category are cost recovery on core services and income from investments. Careful research, feasibility studies, attention to local laws and compatibility with the National Society's mission should be factors in the process of deciding to engage in revenue generating activities.

#### Resource Development Roles for the Delegate

- As a link between needs and resources -- an identifier, locator, "matchmaker";
- As a trainer/facilitator in formal or informal Resource Development training sessions;
- As a consultant/sounding board for National Societies needing advice, or a person to review ideas;
- As an advocate for investing in resource development, e.g. helping a National Society make a "case" for "seed money" to start a
  resource development initiative. The delegate could assist the National Society to apply to the Federation's Development Fund or
  other external or local funding sources.

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## **Strengthening National Societies**



## Chapter XVI - National Societies' Programmes

**National Societies' Programme Priorities** 

**Disaster Preparedness** 

**Community-Based Health Programmes** 

**Blood** 

**Social Welfare** 

**Information and Dissemination** 

**Youth Programmes** 

## **National Societies' Programme Priorities**

- 1. National Societies carry out a large variety of different national and international programmes. The choice of programme is determined by particular social and economic conditions in a country, specific needs of the most vulnerable groups and the capacity of the National Society to provide them with required services. Red Cross and Red Crescent programmes are primarily in three sectors: *health*, *social* and *disaster preparedness*.
- 2. *Disaster Preparedness* is a key development strategy for National Societies to pursue. This can be done through specific preparedness programmes such as planning for emergencies and training National Society staff and volunteers in disaster management, procuring and pre-positioning relief supplies and equipment so that they can be quickly delivered to potential disaster areas, establishing and maintaining early warning and communications systems etc. Disaster preparedness may also be part of other programmes community-based primary health care, first aid, community development and youth programmes, institutional development strengthening the existing structures and systems rather than creating new ones.
- 3. *Health* programmes have generally evolved from the key role that the National Societies have traditionally played in the provision of medical services as a part of relief operations or as a service to the community. Health programmes (primary health care, first aid, HIV/AIDS etc.) should be pursued in the context of longer-term development. They should be community-based wherever possible, focus on primary health care with emphasis on disease prevention, health promotion, restoration and rehabilitation, and contribute to disaster preparedness, thus enhancing National Society's relief capacity.
- 4. Community development programmes are usually *social-welfare* based, emanating from the extensive experience the National Societies have in this field either from relief operations or from general social welfare services to the community. Development programmes in this area provide targeted support to specific groups that are among the most vulnerable, such as disabled people, elderly, women, youth, children, migrants etc. These programmes should focus on basic needs rather than symptoms and emphasise priority needs that are as yet unmet in the community, encourage local initiative, self-help and mutual help, using as much as possible local resources to meet local needs, and contribute to disaster preparedness by strengthening the capacities of the most vulnerable people to prevent, respond to and cope with disasters.
- 5. National Societies should be guided in their planning and decision making by the Federation's Strategy 2010 which indicates programme priorities in the *promotion of the Fundamental Principles and humanitarian values, disaster preparedness, disaster response* and *health and care in the community*. They should seek a proper balance among their activities in the areas of relief, development and service delivery. In particular, they should avoid that scarce resources and capacities be diverted from targeted programmes to general community services, and especially from programmes oriented towards the most vulnerable to community services that serve the less vulnerable in a society. This requires careful planning, broad consultation within and outside the Society and decision-making based on a well-conceived development plan. Priority needs shall be addressed on the basis of sectoral policies, Red Cross and Red Crescent criteria and the Federation's strategic plans. Disaster response, development and service delivery programmes shall be properly balanced, closely related and mutually reinforcing.

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## **Disaster Preparedness**

#### **Definition**

- 6. Disaster preparedness is a key element in many development programmes especially in disaster-prone countries. The purpose of disaster preparedness is as the term suggests to be prepared for disasters, i.e. to predict and where possible prevent them, mitigate their impact on vulnerable communities, and to respond to and effectively cope with their consequences. While traditionally most disaster preparedness programmes focused on improving emergency response capacity only, these days the Federation takes a broader approach than ever before to disaster preparedness, an approach which can be summed up as follows:
  - Disaster preparedness *is a goal rather than a specialised programme* or the stage coming before disaster response. Therefore, it needs to be treated as a continuous and an integrated process involving both relief and development. "Windows of opportunity" for improving preparedness, including disaster reduction, should not be missed whether they are in relief, rehabilitation or development fields;
  - Disaster preparedness is the result of a wide range of activities and resources rather than a distinct sectoral activity in itself. It requires the contributions of many different areas ranging from training to logistics, and from health care to organisational development.

#### **Objectives**

- 7. All Federation disaster preparedness programmes should aim at improving the following aspects wherever possible:
  - Strengthen *community-based preparedness* through National Society programmes for the communities, or by directly supporting communities' own activities;
  - Increase the *efficiency, effectiveness and impact of disaster response*, whether provided by the communities themselves, through local National Society actions alone or supported by Federation resources;
  - Develop strategies to maintain an effective and sustainable disaster preparedness and response system, using National Society or community resources. This is particularly important for countries or areas where disasters are few and far between;
  - Develop activities for addressing everyday risks of communities between major disasters that are also useful for responding to a
    crisis situation for example, health, first aid or social welfare programmes that have components useful for disaster reduction and
    response.

#### Components

- 8. The combination of the range of activities and resources required for disaster preparedness will vary depending on the conditions that need to be improved and prepared for, as well as the National Society's ability to provide what is needed when needed. Planning for disaster preparedness starts with *vulnerability and capacity assessment*:
  - Determine everyday threats to communities;
  - Determine regular hazards, predict changing trends;
  - Assess geographical distribution of threats;
  - Assess what and who are vulnerable to the threats;
  - Define the type and level of risk to be prepared for, prioritise high risk areas and groups;
  - Ascertain community capacity to respond to threats/disasters;
  - Ascertain the role and capacity of other groups, authorities and agencies;
  - Define the role of the Operating National Society, its mandate and existing capacity relevant activities, resources, institutional structure and management;
  - Define gaps and weaknesses that need improving for disaster preparedness through defined activities and resources.
- 9. After vulnerability and capacity assessment has been completed, the areas for *improvement* should be checked off. The following is a basic check list of components directly or indirectly related to performing disaster preparedness activities. Necessary improvements in one may be dependent on others. For example, establishing a branch in a high risk area may precede training of local staff; or training may be a vehicle for branch development. Thus, setting priorities is important. Putting actions in sequence and dividing improvements into separate, manageable parts, rather than trying to tackle everything simultaneously, can improve results.
  - Material resources and "hardware", including warehousing, stocks, communication networks, transport capacity, logistic supply
    agreements, access to other National Society supplies and resources;

- *Financial* and *human resources*, including local, national and international sources for funding, income generation, gender-balanced human resources available at all levels to perform or manage defined activities;
- Training of Operating National Society staff and volunteers to manage and perform the activities;
- *Organisational structures*, including Operating National Society management and line capability, links between relevant programmes that contribute to disaster preparedness, branch development in high risk areas, links to other organisations in the country;
- *Information*. Vulnerability and Capacity Assessment and baseline information (situation before the start of any programme, for comparative purposes) and information on available resources, including on the Operating National Society, national and international warning systems and public information;
- Advocacy with local community and with other national and international organisations to mitigate and reduce disaster risks;
- International links, including those with the Federation, other National Societies and international organisations;
- Contingency and disaster preparedness plans and procedures for local, national and international action, links with plans and strategies of the Government and other agencies;
- Co-ordination and management at the local, national, international levels, roles and responsibilities, communications, necessary skills:
- Rehearsals and run-throughs of action plans;
- Policies and standards concerning various practices; for example, distribution of relief items, vaccination and selection of beneficiaries.

#### **Role of the National Society**

- 10. As disaster preparedness requires a complex range of activities and resources it cannot be carried out by just one agency or authority. A large part of preparedness for large scale disasters should be the role of the authorities. Aspects requiring long-term sustainability, such as search and rescue, and those needing costly investment, such as sophisticated early warning systems, should be left to the authorities where National Society resources are limited.
- 11. While National Societies' disaster preparedness efforts should always be closely coordinated with those of the government at both national and local levels, they should only assume an *auxiliary* role, usually on a geographical or sectoral basis. One such role worth developing would be local-level preparedness through volunteers: authorities are not usually successful in community-based work. Maintenance of basic equipment, hardware and core management capacity should be the aim, rather than the acquisition of sophisticated systems that cannot be sustained beyond well-funded major relief operations.
- 12. The Operating National Society ought to be encouraged to improve preparedness for small but on-going risks to communities rather than preparing only for large and infrequent events. The motivation of volunteers and staff in the periods between disasters should also be tackled through mitigation and disaster reduction activities. Integration of existing programmes to improve preparedness should be considered, rather than creating specialised task forces and structures. And only essential systems and services should be developed to meet special programme needs.

The combination of small activities and resources often leads to better preparedness and continuity than grand plans requiring many components to be implemented and sustained.

#### Role of the Delegate

13. Disaster preparedness is a long-term goal and should not be approached in the same way as relief. A Delegate should advise and support the National Society in developing a long term perspective, monitor progress and pull in the necessary technical or material resources where needed. As disaster preparedness can involve such diverse activities and resources, the individual Delegate cannot be expected to have all necessary skills. His or her role will be rather to identify what is needed and when, to facilitate their availability and to co-ordinate their use.

The role of the Delegate is to assist the Operating National Society to develop its own disaster preparedness plan and activities, not to do it for them.

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## **Community-Based Health Programmes**

#### **The Basic Concept**

- 14. Despite impressive advances in science, technology and medicine in recent years, the vast majority of the world's population remains beyond the reach of their countries' health or social welfare services. More than 80 per cent of people live in rural areas or in city slums where long distances, poverty or both deny the majority access to often overly sophisticated urban-centred services.
- 15. Looking at the extent and type of health problems, particularly in poor and vulnerable communities, it is obvious that neither medical interventions nor health service systems alone can provide for the health and well-being of the majority of people. Responsibility for health improvement and maintenance must be shared by communities, health service agencies, health professionals and other health- and welfare-related groups. It is for this reason that many Federation General Assembly resolutions have emphasised *Primary Health Care (PHC)* and a community-based approach that recognises the strengths, resources and health activities carried out by communities, and seeks to enhance them.
- 16. This approach looks to create a mutually supportive, reciprocal relationship between those involved in improving health status and standards and those communities whose conditions must be improved. It empowers all the parties concerned through a process running from reflection to self-discovery. It leads to genuine solidarity among all involved partners, based on the contribution of each.

#### **People Participation**

- 17. The community-based health model addresses health in the context of human dignity, development and total well-being. Health action should be an entry point for social action and development that is holistic considering the whole person. People and communities can then take action to improve their own health, but on their own terms and according to their own understanding of their needs. They can thus contribute not only their time, labour, financial and material resources, but also their ideas sharing in power and decision-making together with resource people. This cuts across all the work of the Secretariat in this field: PHC, AIDS and First Aid.
- 18. However, the approach is not without its problems, since it does not immediately deliver health services immediate delivery being what people tend to expect. In fact, people normally expect charity, not participation. Additionally, the most vulnerable members of the community may easily be left out of the process. They are barely able to feed themselves, let alone afford money and time for health activities. It is important to take into account economic realities, which inevitably modify the ideals of self-reliance and community involvement during the process of implementation. Communities should not be seen as homogenous entities. Different segments will have different priorities, needs and capacities.

#### **Community Health Programmes**

- 19. The health programmes of the Secretariat are determined not only by the policy statements, some of which are summarised above, but also by health needs identified by the National Societies with the involvement of the people and responsible national authorities. Information about health needs is received through visits to National Societies, conferences, seminars, workshops and health-related project proposals. Health needs are grouped under the following categories:
  - Health problems resulting from deprivation and poverty (e.g. communicable diseases, malnutrition and water and sanitation related diseases);

- Health problems arising from sexuality and reproduction;
- Health problems related to behaviour and lifestyle substance abuse, for example;
- Emergency health problems particularly daily emergencies experienced by the most vulnerable segments of rural and urban communities.
- 20. The programmes developed by the Secretariat include Integrated Health Programmes, HIV/AIDS and First Aid programmes.
- 21. The XIIth General Assembly of the International Federation of Red Cross and Red Crescent Societies adopted the following policies:
  - First Aid
  - Essential Drugs
  - Social Welfare
  - Health Policy

It also requested the revision of the Female Genital Mutilation Guidelines.

These policies and guidelines should guide National Societies in their programmes.

#### **Integrated Health Programmes**

- 22. People's physical, mental and social health depends on among other factors education, housing, employment, social welfare, water and sanitation, nutrition and the provision of basic health services. Many National Societies have volunteers active in national PHC programmes. Such voluntary auxiliary personnel should receive adequate training and supervision. The main service components of PHC include:
  - *Immunisation* for children and pregnant women to prevent vaccine-preventable diseases such as tetanus, diphtheria, whooping cough, poliomyelitis, measles and tuberculosis. The ultimate responsibility for control of these diseases must lie with national governments. However, Red Cross and Red Crescent Societies can play a major role in strengthening and expanding national immunisation programmes. Such support should be in co-ordination with the Expanded Programme of Immunisation of the World Health Organisation (WHO), UNICEF and other agencies. It requires long-term commitment with resources and expertise.



- *Health* of women, young people and children is also a major focus for the Federation's Strategic Work Plan for the Nineties. Women and children suffer disproportionately during armed conflicts, disasters and population displacements. There is an urgent need to improve their access to health services, including during times of crisis. There is a need for a holistic and integrated approach to the health of women, young people and children through sustainable community-based programmes. National Societies should involve young people in identifying their own health needs, priorities and appropriate solutions and support them in developing and implementing suitable activities.
- The Red Cross and Red Crescent Movement considers that tobacco smoking is incompatible with the attainment of *Health for All*. The imposition of passive smoking violates the right to health of non-smokers. The Federation urges National Societies to support WHO measures to control smoking and establish programmes of education and public information on the effects of tobacco use.
- The National Societies should form groups of experts on *substance abuse* in order to assess the most urgent problems on which to focus attention and efforts. Special attention should be paid to social welfare programmes for the rehabilitation of drug addicts.
- Communicable disease prevention and control is vital, since the most vulnerable in the poorest countries in the world continue to bear the heaviest impact of the spread of communicable diseases, resulting in heavy loss of life and great human suffering. The National Societies should be involved in communicable disease control, in collaboration with their Governments and other relevant agencies with the most appropriate structures and mechanisms for effective intervention.
- Basic drugs, medical equipment and other medical supplies are essential to the effective development of PHC. National Societies need to ensure that requests for drugs, medical equipment and other medical supplies comply with national policies and are a constituent part of a well-defined programme which focuses on the priority health needs of vulnerable communities. National Societies should ensure that they have adequate information on donated drugs, medical equipment and medical supplies (including instructions, labelling, expiry dates, generic names) and that they give due consideration to long-term issues of re-supply and maintenance.
- 23. The Health Policy emphasises *health promotion* and *prevention* activities for present and future health priorities.

- 24. Integrated health programmes targeting women, children and young people aim at continuing and strengthening the involvement of National Societies in national programmes to prevent the death, disability and suffering caused by diarrhoeal diseases, vaccine-preventable diseases, malnutrition, sexually transmitted and other communicable diseases; unwanted pregnancies, abortion and substance abuse. The programme is particularly directed to community- and home-based prevention of ill health, management of ailments and the promotion of well-being and healthy lifestyles.
- 25. Many millions of deaths could be prevented if volunteers could spread the information on what people can do themselves to cure diarrhoea at home, identify serious respiratory infections, seek effective treatment and mobilise parents to have their children fully immunised against the six vaccine-preventable diseases (diphtheria, whooping cough, tetanus, poliomyelitis, measles, tuberculosis) during their first year of life. Volunteers can also enable women and young people to avoid unwanted pregnancies by providing correct information regarding modern methods of contraception and by making family planning methods available and accessible to those who need them. However, national policies and cultural and religious context should be taken into account while working in this area.
- 26. Programmes which were designed to deal with specific diseases have now been expanded into integrated primary health care activities a process actively encouraged through training workshops and visits to interested National Societies.

#### **AIDS**

27. HIV/AIDS is a serious, increasing global health problem demanding an immediate, positive response if it is to be controlled. It is one of the most threatening disasters of our time. Such control depends largely on effective health education and information activities, directed to the general public and specific segment of the population susceptible to risk behaviour such as young adults, long distance truck drivers, etc. All National Societies are urged to actively support and ensure co-operation and consistency with their governments' AIDS control programmes. National Societies have the responsibility to develop AIDS programmes or to integrate their AIDS activities into their existing health and information programmes and to carry them out in a way that strengthens their existing activities and capacity. National Societies must do everything in their power to prevent discrimination against, and to offer humanitarian support, to people affected by AIDS, as well as their families.



- 28. As of 1995, more than two-thirds of National Societies are involved in AIDS related activities, either prevention, care or counselling. The Federation's role is to assist with the development of appropriate policies, strategies as well as educational materials and guidelines. Some documents have been recently developed and are available at the Federation. They include *Guidelines for Blood Donor Counselling on HIV*, Caring for people with AIDS at home; An Introduction to Sexual Health; AIDS, Health and Human Rights: an explanatory manual, 2nd edition of Action with Youth HIV/AIDS and STD training manual for young people.
- 29. National Societies are urged to reaffirm and strengthen their commitment to the fight against AIDS, and to ensure that sufficient resources are available to make a sustainable contribution. National Societies are encouraged to continue strengthening their AIDS programmes, focusing on information, education, psycho-social support and care for persons living with HIV/AIDS and families based on home care strategy. Furthermore, they should also work on the promotion of Human Rights and dignity in the context of their preventive and care programmes. They are advised to adopt a community-based approach, to take into consideration different social and cultural realities, to help prevent people living with HIV/AIDS from being excluded from society. While contributing to their AIDS programmes, together with relevant inter- and non-governmental organisations, National Societies should involve people who are living with HIV and AIDS in such programmes and work with them to respond to their needs. Co-operation with other organisations needs to be further

developed, both at National Society and Federation level.

#### First Aid

- 30. Practically all National Societies have a first aid programme. These vary a great deal according to the country in question. The basic concept of first aid is universal: to save lives or to avoid sickness and disease by taking certain measures in the absence of qualified medical staff. Such a concept is at the very roots of the foundation of the Movement, when teams of organised volunteers were trained to bring relief to wounded military and victims of other disasters.
- 31. First aid has developed in order to adapt to changes in society, such as industrialisation in northern countries. Some National Societies therefore have first aid programmes directed at specific groups (road security, industrial first aid, nautical first aid, disaster response, psychological first aid). Often such programmes have been exported to developing countries without being adapted to their new environment and circumstances. They have been implemented in towns and cities, and rural areas have been neglected. They can represent a source of revenue for some National Societies, but have little impact on the recruitment of volunteers and the development of activities in local branches dealing directly with the most vulnerable.



- 32. The Federation encourages National Societies to review their first aid programmes to ensure that their contents meet the priority health needs of the most vulnerable people and those communities most exposed to disasters. National Societies are asked to vary and expand their programmes to assist children, youth, women and the elderly in their respective environments (urban, rural, or industrial), and to deal with daily, but often hidden emergencies.
- 33. The Federation's first aid programme is essentially oriented towards the training of Red Cross and Red Crescent volunteers and is called First Aid in the Community. A resource centre of reference material is kept at the Secretariat and a list of publications is available on request.
- 34. All delegates are implicated to some extent in first aid. They may be called upon to assist during an accident or an emergency, or they may have followed a first aid course organised by their National Society. It should be remembered that, as a Red Cross/Red Crescent representative, it is the delegate's personal responsibility to have a first aid kit close at hand at all times.

#### Role of the Delegate

35. The role of the delegate, and the health delegate in particular, is to be a mirror for people and the National Society to help them take a fresh look at their situation. They will then have an opportunity to consider their situation's root causes and consequences, and to decide on practical actions to produce tangible results. Incidents during crises and problems very often force people to consider the need for change more seriously. Delegates are often involved in crisis situations and should be aware of the need and the possibility for change, and thus the need to provide leadership for long-term change beyond crisis situations.

Strategy 2010

Federation Policies

Delegate's Role

Federation Development Policy

National Societies' Programme Priorities

Disaster Preparedness

Blood

Social Welfare

Managing Projects

## Further Reading

#### The World Bank, World Development Report 1995, Investing in Health

Oxford University Press for World Bank, 1995

#### Community Action for Health

World Health Organisation, 1994

#### AIDS Activities of National Red Cross and Red Crescent Societies

International Federation of Red Cross and Red Crescent Societies, Geneva, 1994, 17 p.

#### Caring for People with AIDS at Home

International Federation of Red Cross and Red Crescent Societies, Geneva, 1994, 45 p.

#### First Aid in the Community - A Manual for RC/RC Volunteers in Africa

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#### First Aid in the Community – A Manual for RC/RC Volunteers in Asia

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#### Implementing Primary Health Care

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#### Community Based Development

by Kaseje M. Henry Dunant Institute, Studies on Development no. 6, 1990

#### Action for Youth: AIDS Training Manual.

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#### Community Involvement in Health Development, An Examination of the Critical Issues

by P. Oakley, World Health Organisation, Geneva, 1989

#### Ten Years after Alma Ata

World Health Organisation, 1988

#### Helping Health Workers Learn

by D. Werner and W. Bower, Hesperian Foundation, Palo Alto, CA, 1982, English, Spanish, Portuguese

#### Where There Is No Doctor

by D. Werner, Hesperian Foundation, 1977, English, French, Spanish, Arabic

#### **Blood**

36. Most National Societies have committed themselves, in varying degrees, to the promotion of voluntary, non-remunerated blood donation and the provision of blood services. The 8th Session of the General Assembly in 1993 approved the following definition of voluntary non-remunerated blood donors:

Voluntary non-remunerated blood donors are persons who give blood, plasma or other blood components of their own free will and receive no payment for it, either in the form of cash, or in kind which could be considered a substitute for money. This includes time off work, other than reasonably needed for the donation and travel. Small tokens, refreshments and reimbursement of direct travel costs are

compatible with voluntary, non-remunerated donation.

- 37. The Federation's blood policy is based on voluntary, non-remunerated blood donation, and the Federation encourages National Societies involved in blood programmes to attain and maintain the highest standards of safety, efficacy and efficiency.
- 38. Traditionally, the Red Cross/Red Crescent Societies' blood programmes have been, and in many cases continue to be, based upon the charitable health service model. While this has been appropriate for many years, the imperatives and expectations of the community today indicate a need to convert such a model to that more appropriate for a manufacturing /pharmaceutical facility. It is acknowledged that such a change in thinking or culture may be very difficult for some members of the Federation but such a culture shift must take place if the blood services provided in many countries by Red Cross/Red Crescent Societies are to maintain credibility and the confidence of the population.
- 39. The attainment of "quality" in blood transfusion services is not solely dependent upon good quality control in the "manufacturing" process. A quality programme encompasses al aspects of the process from dissemination of public information about blood donation and the selection of appropriate non-remunerated volunteer donors to the delivery of blood that is as safe as is possible to patients in hospital. Included in this process should be a culture of quality and continuous improvement that influences such things as blood bank finances, administration, occupational health and safety of donors and staff, specialised referred testing, and building and maintenance services. Without such commitment throughout the whole Blood Transfusion Service, it is highly likely that the ultimate beneficiaries of this precious gift of blood, namely the vulnerable in terms of health, could be further disadvantaged.
- 40. The quality initiative of the Federation's Blood Department (now Health and Community Care Department), the Federation Blood Quality Programme, is therefore most appropriate both of the Federation and for its member national Societies and is consistent with Federation policy and practice.
- 41. However, before undertaking such a programme, it is essential for National Societies to consider in depth the true long-term sustainable commitment that is needed if blood services of quality and highest achievable safety are to be provided under the auspices of the Red Cross/Red Crescent.
- 42. The quality process advocated in the Federation Blood Department's Quality Manual is not impossible to achieve. However, it will only be achieved successfully with a determined and resolute commitment over many years, this commitment must come from all those involved in the delivery of a blood service, i.e. staff members and volunteers alike, this quality concept must be supported by others who provide the wide variety of services offered by a national Society in order to ensure the blood service's success even though they may not be, and preferably should not be, actively involved in blood service provision.

#### **Essential Reading**

- 43. **Blood Programme Quality Manual**. The Quality manual applies to all Red Cross and Red Crescent Blood Programmes. It presents the quality system which is recommended for use by all blood programmes in the International Federation. It encompasses all policy and process aspects from public education and selection of blood donors to delivery of products which are safe and effective as is possible, to adverse effects and information systems. The approach is compatible with the ISO 9000 system.
- 44. **Blood Programme Development Manual**. The Development manual has been designed to assist National Societies to establish and/or achieve a high quality blood programme with long-term stability and sustainability. This manual has been formulated to outline the fundamental components of such a programme and to recommend action that would be appropriate for National Red Cross and Red Crescent Societies wishing to assist other Red Cross and Red Crescent Societies in the establishment of such a service.

# Code of Ethics for Blood Donation and Transfusion Blood Transfusion, General Assembly, Montreal 1980 - 24th International Conference of the Red Cross, Manila 1981

The object of this code is to define the principles and rules to be observed in the field of Blood Transfusion; these should form the basis of national legislation or regulations.

#### The Donor

- 1. Blood donation shall, in all circumstances, be voluntary; no pressure of any kind must be brought to bear upon the donor.
- 2. The donor should be advised of the risks connected with the procedure; the donor's health and safety must be a constant concern.
- 3. Financial profit must never be a motive either for the donor or for those responsible for collecting the donation. Voluntary, non-remunerated donors should always be encouraged.
- 4. Anonymity between donor and recipient must be respected except in special cases.
- 5. Blood donation must not entail discrimination of any kind, either of race, nationality or religion.
- 6. Blood must be collected under the responsibility of a physician.
- 7. The frequency of donations and the total volume of the blood collected according to the sex and weight of the individual, as well as the upper and lower age limits for blood donation, should be defined by regulations.

- 8. Suitable testing of each donor and blood donation must be performed in an attempt to detect any abnormalities:
  - a) that would make the donation dangerous for the donor,
  - b) that would be likely to be harmful to the recipient.
- 9. Donation by plasmapheresis should be the subject of special regulations that would specify:
  - a) the nature of additional tests to be carried out on the donor,
  - b) the maximum volume of plasma to be taken during one session,
  - c) the minimum time interval between two consecutive sessions,
  - d) the maximum volume of plasma to be taken in one year.
- 10. Donations of leukocytes or platelets by cytapheresis should be the subject of special regulations that specify:
  - a) the information to be given to the donor about any drugs injected and about the risks connected with the procedure,
  - b) the nature of any additional tests to be carried out on the donor,
  - c) the number of sessions within a given time frame.
- 11. Deliberate immunisation of donors by any foreign antigen with the aim of obtaining products with a specific diagnostic or therapeutic activity should be the subject of special regulations that would specify:
- a) the information to be given to the donor about the substance injected and the risks involved,
- b) the nature of any additional tests which have to be carried out on the donor.
- N.B. The purpose of the special regulations in items 9, 10 and 11 above is to safeguard the donor. After being told about the nature of the operation and the risks involved, a statement of informed consent must be signed by the donor. For donors immunised against red cell antigens, a special card should indicate the antibodies and specific details as to the appropriate blood to be used in case the donors need to be transfused.
- 12. The donor must be protected by adequate insurance against the risks inherent in the donation of blood, plasma or cells, as well as the risks of immunisation.

#### The Recipient

- 13. The object of transfusion is to ensure for the recipient the most efficient therapy compatible with maximum safety.
- 14. Before any transfusion of blood or blood products, a written request, signed by a physician or issued under his responsibility must be made, which specifies the identity of the recipient and the nature and quantity of the substances to be administered.
- 15. Except for the emergency use of type O blood or red blood cells, every red cell transfusion necessitates preliminary blood grouping tests on the recipient, and compatibility tests between the donor and the recipient.
- 16. Before administration, one must verify that blood and blood products are correctly identified and that the expiry date has not been passed. The recipient's identity must be verified.
- 17. The actual transfusion must be given under the responsibility of a physician.
- 18. In case of a reaction during or after the injection of blood or blood products, appropriate investigations may be required to ascertain the origin of the reaction and to prevent its recurrence. A reaction may require the interruption of the transfusion.
- 19. Blood and blood products must not be given unless there is a genuine therapeutic need. There must be no financial motivation on the part of either the prescriber or of the establishment where the patient is treated.
- 20. Whatever their financial resources, all patients must be able to benefit from the administration of human blood or blood products, subject only to their availability.
- 21. As far as possible the patient should receive only that particular component (cells, plasma, or plasma derivatives) that is needed. To transfuse whole blood into a patient who requires only part of it may deprive other patients of necessary components, and may carry some additional risks to the recipient.
- 22. Owing to the human origin of blood and to the limited quantities available, it is important to safeguard the interests of both recipient and donor by avoiding abuse or waste.
- 23. The optimal use of blood and blood products requires regular contact between the physicians who prescribe and those who work in blood transfusion centres.

- 24. Appropriate controls should be required by the Health Authorities to verify that blood transfusion practices meet internationally accepted standards and that the guidelines or regulations issued in accordance with this code are effectively respected.
- 25. The following should be regularly checked:
  - a) the proficiency of the staff,
  - b) the adequacy of the equipment and premises,
  - c) the quality of methods and reagents, source material and finished products.

The Fundamental Principles

National Societies' Programme Priorities

Community-Based Health Programmes

Managing Projects

**Development Cooperation** 

Relief Health

## Further Reading

#### Blood Transfusion for the Developing World

by J. Leikola, M. Contreras. Vox Sanguinis 1994; 67 suppl 5.

#### Guidelines for Blood Donor Counselling on Human Immunodefficiency Virus (HIV)

International Federation of Red Cross and Red Crescent Societies, World Health Organisation, World Health Global Programme on AIDS, Geneva, 1994, English

#### Guidelines for the Organisation of a Blood Transfusion Service

by W.N. Gibbs, A.F.H. Britten, World Health Organisation, Geneva, 1992.

## Consensus Statement on How to Achieve a Safe and Adequate Blood Supply by Recruitment and Retention of Voluntary, Non-remunerated Blood Donors

World Health Organisation, Geneva, 1991.

#### Responsibilities of Health Authorities in the Field of Blood Transfusion

Recommendation No. R (88) 4, adopted by the Committee of Ministers of the Council of Europe on 7 March 1988 and explanatory notes. Strasbourg 1989.

#### Minimum Targets for Blood Transfusion Services

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#### Essential Consumables and Equipment for a Blood Transfusion Service

World Health Organisation, Geneva, 1989.

#### Transfusion Today # 39, June 1999

Code of Ethics for Blood Donation and Transfusion, page 21.

#### **Social Welfare**

#### Role of the Federation

45. Social welfare is one of the basic activities of the International Red Cross and Red Crescent Movement and is referred to as a "function of the Federation" in Article 3 of the Federation Constitution. It is a growing activity at both the Secretariat and in the National

Societies. The social welfare programmes of the Red Cross and Red Crescent aim to bring positive and supportive action to bear on behalf of vulnerable individuals and families and to be ready to respond adequately to the ever-changing social needs.



46. The Health and Care Department of the Federation Secretariat, in conjunction with Regional Departments or on its own initiative, assists National Societies in programming and implementing their social welfare activities and social welfare programmes in disaster relief operations, maintains information relating to the involvement of the National Societies in the social welfare and ensures dissemination of this information, participates in the selection and preparation of Federation delegates and in the development, implementation and assessment of training programmes related to community-based social welfare activities, represents the Federation at conferences and meetings of international organisations on social welfare.

#### Basic Principles of the Social Welfare Assistance

- Red Cross/Red Crescent social welfare assistance is a temporary, time-bound, community-based service, provided in accordance with assessed needs.
- Social welfare assistance should be based on understanding and respecting people's background (culture, religion, beliefs, traditions) and developing an atmosphere of mutual trust and confidence.
- Assistance to vulnerable groups should focus on building their capacity to meet their own needs, building people's self-reliance and self-help and working towards their self-support as a long-term goal.
- When planning social welfare assistance particular attention should be given to community participation, consultation with people, finding out how people perceive their needs and how they think these needs can be met, and involving them in planning and delivery of service.
- Assistance needs planning to avoid duplication, to keep up with policies and priorities, to identify areas where coordination is needed. Its credibility depends on uniformity, impartiality, transparency and clear procedures.

#### **Social Welfare Programme Components**

- 47. Components of a social welfare programme differ within each country, and sometimes even within each region, as the programmes are tailored to specific needs of particular beneficiary groups. The main elements, however, include:
  - Counselling will help with diffusing stress the individuals might have experienced, thus preventing it from developing into a post-traumatic stress disorder;
  - Activities as one of the key elements in helping people to keep their sense of dignity, self-sustainment and to prevent isolation. Social welfare programmes often encompass various activities (education, vocational training, workshops etc.) as means of generating a sense of community, communication, and as an opportunity to have social exchanges and learn new skills;
  - *Training* of National Society social welfare workers and volunteers at all levels in organisational, counselling and resource building skills.

#### Resources

- 48. The use of local resources, such as the contribution of local volunteers to meet specific needs of the community, is the basis of effective community care and community work. It should be a prerequisite to the introduction of social services and activities within the community as well as to the elaboration of projects.
- 49. The team to carry out social welfare programmes should be multi-disciplinary, with professionals from different fields and volunteers working together. Delegates should work closely with local staff and volunteers in social welfare, importantly because they know better the cultural background and traditions of their country and people, and above all because they should continue the work after the delegation mission ends.
- 50. Social welfare personnel (staff and volunteers) should be aware of and skilled in the basic techniques of social work, expressed as:
  - Ability to accept persons who are different, to get along with others and to bring people of different backgrounds together in a common cause;
  - Ability to listen to individuals, groups and community as a whole, and to hear them, identifying specific needs;
  - Communication skills, ability to contact people, observe, communicate and act as facilitator;

- Ability to offer support, helping people to release anxiety and tension about their particular experience, skills in interviewing and guiding people in need;
- Readiness to understand people and their reactions under stress;
- Creativity, flexibility and maturity of outlook;
- Acceptance of the self-determination of the client (beneficiary);
- Awareness and knowledge of community resources;
- Confidentiality.

Federation Development Policy

Vulnerability and Capacity Assessment

Community-Based Health Programmes

Managing Projects

Social Welfare in Relief

## Further Reading

## Working with Victims of Organised Violence from Different Cultures: Red Cross and Red Crescent Guide

International Federation of Red Cross and Red Crescent Societies, Geneva, 1995, English

#### Guide for a Red Cross Welfare Service

International Federation of Red Cross and Red Crescent Societies, Geneva, English, French and Spanish

#### Guide for the Preparation of the Social Welfare Leader

International Federation of Red Cross and Red Crescent Societies, Geneva, English, French, Spanish, Arabic

#### Guide on Community Red Cross Work

International Federation of Red Cross and Red Crescent Societies, Geneva, English, French, Spanish

#### Do You Know What Technical Aids Are?

International Federation of Red Cross and Red Crescent Societies, Geneva, English, French, Spanish, Arabic

#### Social Welfare News

International Federation of Red Cross and Red Crescent Societies, Geneva, English, French, Spanish, Arabic

#### Information and Dissemination

- 51. For Red Cross and Red Crescent staff and volunteers dissemination means spreading the knowledge of International Humanitarian Law (IHL) and of the Fundamental Principles and ideals of the Movement. Dissemination is necessary to ensure that the IHL and the Fundamental Principles are understood, accepted and respected, and it is aimed at promoting and facilitating the humanitarian work based on them.
- 52. What is disseminated comes under two main headings:
  - International Humanitarian Law, in particular, the 1949 Geneva Conventions and their 1977 Additional Protocols; in certain cases, the dissemination of IHL may be linked with that of other branches of law, such as human rights or refugee law;
  - the Fundamental Principles together with the Movement's ideals, activities and historical background.
- 53. The objectives of dissemination are:
  - To limit the suffering caused by armed conflicts and by situations of disturbances and tension, through knowledge of and respect for IHI.
  - To ensure that humanitarian activities are carried out in safe conditions, and in particular that Red Cross and Red Crescent workers are respected, so that effective assistance can be provided to the victims;
  - To strengthen the Movement's identity and image, and to enhance its unity by promoting knowledge and understanding of its principles, history, structures and activities;

- To help nurture a spirit of peace and promote respect for humanitarian values.
- 54. The dissemination is mainly the responsibility of:
  - Civilian and military *authorities* of the States Party to Geneva Conventions, who have an obligation to implement and disseminate the 1949 Geneva Conventions and 1977 Additional Protocols:
  - The *National Societies*, which must provide training for their own members and encourage, assist and, when necessary, stand in for the state authorities in dissemination of International Humanitarian Law; The *ICRC*, whose mandate includes upholding the Fundamental Principles and promoting and developing International Humanitarian Law, and which has the primary responsibility for dissemination at the international level:
  - The *Federation*, which assists the ICRC in the promotion and development of International Humanitarian Law and co-operates with it in supporting the National Societies in their programmes of dissemination of the IHL and the Fundamental Principles.
- 55. As defined within the International Red Cross and Red Crescent Movement, there are eight main *target groups* for dissemination: the armed forces, National Societies, government circles, universities, schools, medical circles, the mass media, and the general public. Depending on the particular situation, dissemination activities should focus on all or some of these groups.
- 56. Dissemination is most relevant and productive when related to and integrated into other community-oriented activities carried out by National Societies. The basic rule in dissemination is to use the means of communication and teaching methods and aids best suited to a particular cultural environment, level of knowledge and available resources. Each National Society alone or in co-operation with the authorities concerned should first assess the needs and resources required and then draw up a dynamic but realistic plan of action. The objective for dissemination activities or units to be set up or strengthened within each National Society and for links between complementary dissemination, public information and public relations activities to be strengthened, is also important in order to ensure the implementation of a plan of action for dissemination.
- 57. One area of dissemination that needs more creative attention is with regard to and within Federation operations. Much of our development in the last few years has been in more technical areas and we have perhaps to some extent lost sight of the fundamental importance of the Red Cross/Red Crescent Principles and of their dissemination. What is needed is, on the one hand, to promote the concept of defining action and taking decisions based on the Principles and to bring them more clearly into focus within operations; and, on the other hand, to take the opportunities that exist within operations to disseminate the Principles and humanitarian values more effectively.
- 58. Dissemination should not therefore necessarily be seen as a separate activity or programme but rather a question of taking opportunities within the existing structure of operations to disseminate the Red Cross message. In practical terms this can translate into actions such as: including a basic Red Cross/Red Crescent message form within food parcels distributed to families or at distribution centres, providing information on the Movement and the Principles to local authorities in the affected areas, including the relevance of the Principles in defining the extent or development of a specific operation in a press statement or interview etc.

The Geneva Conventions

The Emblems

The Fundamental Principles

The ICRC

The Identity Statement

Key Messages about Federation

Dissemination in Relief Operations

Relief Supply Distribution System

## Further reading

#### **European Dissemination Seminar**

1994, Federation, English, French, Spanish

Basic Rules of International Humanitarian Law to be used by Red Cross and Red Crescent First Aiders

25 p. ICRC/Federation, 1993, English, French, Spanish, Arabic, Portuguese, Russian

Guidelines for the '90s, Dissemination of international humanitarian law and of the principles and ideals of the Movement

#### Study Guide of the International Red Cross and Red Crescent Movement

Booklets, ICRC Federation, 1990, English, French, Spanish, Arabic.

#### Manual for the Use of National Societies in Time of Armed Conflicts

1986, French, English, Spanish

#### Practical Guide on Dissemination for National Societies

Henry Dunant Institute 1983, English, French, Spanish

#### The Role of National Societies in Armed Conflicts

Henry Dunant Institute, English, French, Spanish

### **Youth Programmes**

#### The Federation's Youth Policy

59. The Federation Youth Policy refers to *youth and young people* as the group within the age range of 5 to 25 years (children 5-10 years, adolescents 11-15 years, young adults 16-25 years).



- 60. Young people have a key role to play in the provision of the Movement's services. Young people have contributed over the years as an exceptionally good volunteer force within the Movement. They have a lot of energy, motivation and the time to give. They are in an ideal position to identify the needs of young people and other groups within the community. They are one of the best sources of volunteers to work in relief, long-term development, health and other National Society programmes.
- 61. Young people are also an important target group, both in the membership and in the wider community. Many health and other programmes have young people as the main target group. Young people are also particularly vulnerable to disasters, underdevelopment and wars.
- 62. Young people have a role in the leadership and the management of the Movement. They have creativity and idealism that complements experience of other members. Wherever they are brought into the management process, new solutions are usually found in new and interesting ways.
- 63. The young people of today will lead the Movement of tomorrow. When young people are involved in decision-making and leadership a sizeable percentage of them stay within the Movement. In order to ensure the future of the Movement and develop effective leadership especially at the local level of National Societies young people need to be involved and trained as leaders.
- 64. Young people need support and motivation. They can sometimes be marginalised within society because of their social position. To realise their full potential within the Movement time and resources need to be invested in them.
- 65. At the National Society's level Youth Policy is implemented through: programmes relevant to the needs of the community, structures at the local level which involve youth volunteers in these programmes at all stages, training programmes which address the needs of youth volunteers technical skills training, organisational and leadership training and personal development training.
- 66. Federation Secretariat assists National Societies and delegates to heighten the involvement of youth volunteers and to meet the needs of young people who are among the most vulnerable. The Secretariat Youth Unit facilitates regional and sub-regional networking (identification of common needs and development of solutions), provides sub-regional and individual training (including training in

leadership, organisational development and general youth topics), organises regional Youth Directors' Meetings or Youth Summits providing opportunities for National Society representatives to set the youth priorities in their regions, facilitates access to a Youth Fund and associated mini-project scheme (National Societies and Delegations can apply to the mini-project scheme for financial support of up to CHF 5,000 for local youth projects).

#### **Working with Youth Volunteers**

- 67. The delegates working with youth volunteers within a National Society needs to be alert to a number of potential pitfalls. They should not work *only* with the youth section of the National Society. Youth volunteers are easy to work with, they are motivated, well trained and eager to get on. It might not always be as easy to work with other sections of the Society. So one should be careful not to marginalise the youth section by giving them exclusive attention, thus cutting them off from the rest of the National Society.
- 68. *Incentives* to motivate volunteers should be used carefully, especially in relief programmes. This can cause problems if the incentives cannot be continued by the National Society when external support is removed. Youth volunteers have time, energy and training already, so they are an obvious source of labour. They are often recruited, called *volunteers* and paid a per diem. The programme works well, but then it finishes, and these youth volunteers may stop working for the National Society. Therefore delegates should always seek advice of National Society personnel and other youth organisations in the community.
- 69. One possible alternative is to recruit youth volunteers for a programme as a *temporary paid staff*. Volunteers will be then chosen first, because they are volunteers. They will be paid for working for the particular programme, and when it finishes, they return to being volunteers, knowing that the next time the Society needs staff, volunteers will again have first preference. This may motivate them to continue working as volunteers.

Vulnerability and Capacity Assessment

Organisational Development

Resource Development

Information and Dissemination

Delegation-recruited Staff

Managing Projects

**Development Cooperation Policy** 

Development Programme Funding

Relief Supply Distribution System

## Further Reading

#### Asian Youth Leaders' Handbook

International Federation of Red Cross and Red Crescent Societies, Geneva, Regional delegation, Kuala Lumpur, 1994, 57 p. English

#### Youth Policy and Strategy

International Federation of Red Cross and Red Crescent Societies, Geneva, 1992, English, French, Spanish, Arabic

#### A Basic Leadership Training Course for Red Cross /Red Crescent Youth

Manual, International Federation of Red Cross and Red Crescent Societies, Geneva, 1992, 39 p. English, French

#### Youth Action for Life. Environment Training Manual

1992, Nairobi, Kenya, English, French, Spanish, Arabic

#### African Youth Leaders' Handbook

International Federation of Red Cross and Red Crescent Societies, Nairobi, Kenya, 1991, 28 p. English, French, Portuguese

#### Let's Get Organised! Guidelines for Organisational Development of Red Cross/Red Crescent Youth

International Federation of Red Cross and Red Crescent Societies, Geneva, English, French, Spanish, Arabic

From Needs to Action. Red Cross/Red Crescent Youth Working in the Community

International Federation of Red Cross and Red Crescent Societies, Geneva, English, French, Spanish, Arabic

#### Red Cross/Red Crescent International Youth Fund

International Federation of Red Cross and Red Crescent Societies, Geneva, 1992, English, French, Spanish, Arabic

#### Red Cross/Red Crescent Youth in Action – Promoting Blood Donation

Geneva, English, French, Spanish, Arabic

## **Strengthening National Societies**



## Chapter XVII - Managing Projects

**General Approach** 

**Identifying Possibilities** 

**Planning the Project** 

**Preparing the Project Proposal** 

Implementing the Project

**Evaluating the Project** 

## **General Approach**

#### **Project Cycle**

- 1. The main steps in a project cycle are:
  - *Identifying possibilities*: exploring the problem, identifying priority needs and deciding how to address them with available internal and external resources.
  - *Planning the project*: examining various alternatives, clarifying goals and agreeing on objectives, choosing the most appropriate course of action, working out what resources (material, financial, human) are required to implement the project.
  - *Preparing project proposal*: presenting project goals, objectives, plan of action and funding needs in one document, based on the outcome of the planning process. Presenting the project to all parties involved with a view to securing required resources.
  - *Implementing the project*: working together on the project, putting agreed plans into action, ensuring constant progress monitoring and making necessary adjustments.
  - *Evaluating the project*: reviewing project efficiency and effectiveness, the impact of project implementation on solving initially identified problems, and learning from project experience.

#### Role of the Delegate

- 2. The role of the Federation delegate in project planning, management and implementation is usually determined by the division of responsibilities and respective operational roles of the Federation and the Operating National Society. The specific role and responsibilities of a delegate within a given programme/project is usually specified in his or her job description and mission instructions.
- 3. In most cases the projects are planned, managed and implemented by the Operating National Societies with Federation delegates acting as advisors, facilitators, or providing necessary managerial (organisation, finance, reporting etc.) and technical expertise and ensuring monitoring. Therefore, usually *the delegates are not supposed to directly implement or manage projects*. There may be instances when the Federation directly implements projects and programmes. Delegates may then be assigned planning, managing and implementing responsibilities. However, even then their National Society counterparts, staff and volunteers working for the project should be involved in its planning, monitoring and implementation as much as possible.
- 4. The sections that follow describes some *general principles* for planning and managing programmes and projects in areas of possible Red Cross and Red Crescent involvement: disaster relief, post-disaster rehabilitation and reconstruction, disaster preparedness, long-term development projects etc. These can be used by both direct project managers which in most cases will be Operating National Society staff and Federation delegates, supporting them with advice and expertise. As most projects are directly implemented by Operating National Societies, this section also addresses some typical planning- and implementation-related problems, that may be faced by delegates working with the Operating National Societies.

People working in international relief and development come from many different backgrounds. One's own experience and assumptions about planning, managing and implementation can be very different from those of a person from another culture. Planning without taking such differences into account and without proper cultural adjustment can lead to unrealistic expectations and to overlooking the real needs of beneficiaries.

Planning should never start and end in an office or committee meeting. No project can succeed without full involvement and commitment of beneficiaries and communities in all stages of planning and implementation. Projects planned for people and not with people are unlikely to work in the long run as people will never maintain what they feel they do not need.

It is important to find out what the beneficiaries really think about the problem and about how to address it. The most important needs as people perceive them, will not always match those considered by outsiders (or even actually be) the most important. And it can be very difficult to mobilise a community's support for something it considers "secondary" and less important. The needs the community considers most important may have to be tackled first.

Working with communities one should not assume that they are homogeneous. The community will always consist of different groups with their own – possibly conflicting – needs and interests. As no project can equally meet all different needs and interests in the community, the level of support from different community groups will usually vary.

A proposed project may sometimes threaten the interests of certain groups or affect existing power structures within the community. Therefore the real reasons for support or rejection of a project by different groups should always be analysed. Project ideas should be extensively discussed with all the groups, making sure that the most vulnerable are heard.

Talking with people, one should always be careful not to impose one's own ideas. Try to avoid making statements, listen and ask questions instead. Questions should be formulated with care, avoiding those that may imply a particular pre-determined response. Remember that in some cultures an affirmative answer to a question may be given only out of culturally-determined politeness and not real agreement.

Experience shows that the level of community commitment often declines with time. Therefore it is more practical to plan the works requiring large-scale community involvement to take place in the initial stages of project implementation.

The importance of the gender of the people involved should not be overlooked. Both men's and women's respective needs need to be taken into account. However, women are often both the main beneficiaries and the most active participants in a project. While acknowledging traditional roles and divisions of labour between men and women, it should be ensured that women are consulted and involved as much as possible in all phases of the project, and that the project does not make the situation of women worse, and, if possible, improves it.

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## **Identifying Possibilities**

- 5. Planning is basic to any human activity. Though sometimes presented as a complicated process, in most cases it simply requires the application of common sense, essentially asking and answering the following questions: What is the problem? What has to be done? How will it be done? Who is going to do it? How long will it take? What resources are needed? And where to get them? Proper answers to these questions will usually form a solid basis for proper project planning.
- 6. It is helpful to start by identifying the *origin* of the problem to be solved. It is particularly important, because the real problem is often not what it may appear on the surface, and a misconception at this stage could result in wrong goals and objectives for the entire project. What effects it has on the community? How serious it is? What caused it? What has been done to solve the problem and why it did not work? Has there been a similar experience elsewhere in the country or region within or outside the Federation and what was done there? Is a *new* project really necessary, or could the problem be addressed in some other way?
- 7. At the next step the *needs* arising from the problem should be identified, and it should be decided, which are most urgent. It is advisable, however, not to focus on urgent needs exclusively: there may be some less urgent, but no less important ones. Vulnerability and

capacity assessment should be carried out, ensuring that affected communities and potential beneficiaries fully participate in identifying their priority needs. Potential beneficiary groups need to be clearly identified, making sure that the project addresses the needs and increases capacities of the most vulnerable. Based on the assessment results, various alternative courses of action should be looked at and the best one for meeting priority needs should be chosen.

- 8. In order to avoid duplication, the proposed project should be well co-ordinated with the activities of the Government and other NGOs. Project goals must always be in line with the Fundamental Principles of the Movement, as well as with the priorities of the National Society's Development Plan and major Federation policy guidelines.
- 9. At the next step the *capacity* of the Operating National Society to address the identified needs should be realistically assessed. Can the Society meet all or only some of the identified needs? Can it tackle the causes of the problem or only its consequences? Even with the support of sister National Societies, Federation and the ICRC, unmet needs often tend to outstrip available resources, and sometimes even a very important and urgent need cannot be met until a National Society further develops its operating capacity.
- 10. Where the National Society decides to broaden its activities in response to needs, such new projects should be *sustainable* i.e. maintained to continue providing services to beneficiaries without permanent external support. Usually very few projects are immediately sustainable; most require some kind of external assistance both to get them started and in their later phases. But sooner or later the external support will end. So it should be planned in advance, when and how it will end. The external support should not be suddenly taken away, but rather gradually scaled down over time, being replaced by local involvement. If possible, new projects should be linked to the existing ones. It should also be noted, that the true guarantee of sustaining a project is the continuing interest and involvement of beneficiaries.

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## **Planning the Project**

#### **Goals and Objectives**

- 11. The next step is to define the ultimate goal and the more specific objective(s) through which this goal will be reached. The goal is what one wants to achieve eventually, finally. The objective is a specific target or position which one seeks to reach on the way to an ultimate goal. This can be done by answering the following questions: *What is to be achieved by implementing the project? What steps have to be taken to implement it?* The answer to the first question gives the goal the expected end result of the project. The second answer provides the objectives the steps leading to the goal.
- 12. Not more than one ultimate goal should be set. The objectives should be precise and specific, making sure that reaching them will lead to achieving the final goal. Everyone involved in the project should know its goal: this will enable project staff to take initiative, verify their actions and be flexible, still remaining within the project framework.
- 13. Then the *actions* to be taken for reaching the objectives should be defined. What *resources* (or inputs) are needed to carry out the actions? What will be the concrete *results* (outputs) of the actions? Already at that stage potential difficulties should be anticipated, and the conditions required for success of these actions should be estimated.
- 14. From the very beginning concrete quantifiable *indicators* of progress towards objectives need to be identified. The information and statistics that show the situation *before* the start of the project (for instance, economic and demographic data, nutritional and health status of population, morbidity and mortality rate etc.) should be collected. This *base-line* data can be used later to measure progress at each stage of the project. Indicators of *quality* are also important for tracking progress. Though usually more difficult to formulate, in fact these are indicators chosen to show whether the problem will have been partially or completely solved as a result of the project's implementation.
- 15. Before continuing, it is useful to check again whether the project addresses the true needs of the most vulnerable. Is it realistic, supported by the community, sustainable, in line with local economic, social and cultural conditions? Does it conform in every aspect with the Fundamental Principles of the Red Cross and Red Crescent? The National Society's Development Plan? The Framework for Development Co-operation? Other important policy guidelines? If the draft passes this test, the planner can proceed with preparing a detailed plan of action.

#### Plan of Action

16. The plan of action details how the actions are to be carried out, and the exact material and human resources that will be required. Where necessary, sub-plans for the different stages of project implementation could be prepared. As much information as possible should be assembled on the required material resources – including their availability, quality, quantity and other specifications. Timetables or schedules for the planned action should be *realistic*: it is helpful to rely on past experience of local work in judging this. Things that could cause delays need to be anticipated, and alternative timetables for these prepared. It may be useful to make a detailed plan of action only for the first phase, as, most probably it may need to be adjusted for the second and subsequent phases based on the lessons learnt during the first one.

#### Responsibilities

- 17. Specifying responsibilities for tasks is a vital part of project planning and implementation. Who will do what? Who will be responsible? Who will report to whom? The roles of all those working on the project, from top to bottom, should be specified as clearly as possible. Detailed job descriptions for every post should be prepared, clearly indicating all the reporting lines on an organisational chart. In doing so existing Operating National Society's management structures should be taken into account, and, if necessary, gradually improved.
- 18. It is very important to distinguish between the responsibility for making policy decisions and monitoring the project overall often held by committees and the responsibility of managers for implementing the project. Managers should have enough freedom for taking day-to-day decisions. The management structure must allow for regular progress reports to go out to all involved in the project. As much responsibility as is practical should be given to the people working on the project, making sure at the same time, that they are given the means to carry it out. It should, however, be noted that delegating responsibility and authority is not a common practice in some countries.

#### **Project Staff**

- 19. Most of the permanent paid staff for a project are usually recruited or selected by a National Society, from among its own personnel. The project could also present the National Society with an opportunity for recruiting new people that add new skills to the National Society. the number of paid staff recruited especially for a project should be kept to a reasonable *minimum*. However, wherever a position has material or financial responsibilities it is to be considered that such a post be filled by an experienced staff member.
- 20. One should be realistic about using *volunteers*. Any task requiring more than half-time commitment cannot usually be done voluntarily for long, and incentives may be necessary to keep people on the job. It is advisable to call people who are paid even if only per diem or daily allowance *temporary paid staff* and not volunteers; otherwise it may be misleading for both the National Society and for donors.

#### Monitoring and Reporting

21. In the detailed plan of action, monitoring and reporting for the project should be described. How and by whom will the project be monitored? Against what progress indicators? Who will prepare the reports? How often? To whom are they to be submitted? The exact reporting requirements, preferably with samples, should be specified, taking into account particular requests by funding partners. All parties involved should clearly understand and accept the requirements laid down. The reports should reflect the progress indicators earlier identified and the reporting description should say how objectives are being achieved. Monitoring, auditing and evaluation procedures should also be specified.

#### **Budget**

22. Project budget should also be included in the plan. This will show how much money is needed to implement the project and to meet objectives. *All projects involving the Federation are to be budgeted according to standard Federation procedures*. But even for other projects, the Federation chart of accounts can be used as a budgeting check-list. The costs of needed resources should be shown in the local currency. The budgeted costs should allow for inflation – especially on long-term projects – and contingency amounts for unforeseen expenses should be included. Running costs of auditing and evaluation must be included. Long-term project plans also need to include a breakdown of the budget year by year.

#### **Project Funding**

- 23. At the next step, expenses that could be covered by the Operating National Society or local donors should be identified. If internal or local resources are not sufficient, the decision needs to be taken on whether or not to scale down the project, readjust its goals and objectives, or to request external support. Anticipated income could be taken into account while planning project expenses, but should not determine it: expense figures should be readjusted only when it becomes obvious that required funds cannot be found. Sometimes people may think that it is better to ask for more funds than needed, anticipating poor donor response in advance. Such practice, however, rarely brings results; not only does it adversely affect planning process it may also be detrimental to the National Society's credibility.
- 24. With the budget drawn up, it may be worthwhile again to go over the whole project more critically, looking for weak points or possible negative effects. *Even an attractive looking plan can and should be revised or even abandoned, if it is found to be flawed*: time spent on planning is never wasted as long as lessons are learned.

#### Planning in Emergencies

In an emergency the situation changes quickly and actions must be taken just as quickly. Project proposals need to be presented without delay to obtain funds. And there is often too little time to assess the problem in detail and look closely at all its aspects.

However, the lack of time should not be used as an excuse for not thinking things through. Planning in an emergency situation has to be based more on estimates and, accordingly, will need regular adjustment as implementation takes place.

Many emergency operations tend to be transformed into long-term rehabilitation programmes and many last longer than expected. Therefore none of the planning steps mentioned above should be missed out. They should simply be done more quickly, paying more attention to co-ordination with the numerous aid agencies usually involved in emergency relief operations.

In planning any emergency operation one should always look for the local ways to cope with emergencies: Disasters are often seasonal (floods, for instance) and the affected communities may have fairly adequate response mechanisms, sometimes not so obvious to an outsider. Each community has the primary responsibility for its own well-being, and relief efforts should not take this responsibility away. Relief operations should, as much as possible, avoid introducing new sophisticated products and technologies: such programmes are rarely sustainable without long-term outside support.

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## **Preparing the Project Proposal**

#### **Proposal Contents**

- 25. With completion of the above steps, the preparation of the project proposal for funding is just a matter of setting them out in writing. The aim of the proposal is to present the funding partner or partners with the importance of the problem and to convince them that the project proposal really addresses it. The proposal should also confirm for the potential donor that the project has been carefully thought over and has therefore a good chance of being successful.
- 26. Consequently, when writing the proposal one should make sure that everything important is presented in it. It should not be assumed that the reader knows the project as well as those who planned it: therefore, the decisions and the reasons behind them need to be explained. However, the proposal should be brief, containing only the information directly related to the project. The situation should be described as it is, with the main conclusions supported by facts or estimates based on facts, not just guesswork.
- 27. The proposal needs to clearly illustrate the Operating National Society's *capacity* to implement the project. Therefore the Society's intended inputs (funds, personnel and equipment) should be listed, making it clear that external support will only be a part of the total of resources needed for the project. The proposal should preferably contain some explanations as to how the project will be financed, when the outside funding is over; this will give an idea of the project's sustainability. It is also helpful to look at the finished proposal as if a stranger to it, attempting to anticipate questions that could be raised about any of its aspects, and adjusting the proposal to answer them before they are even raised.
- 28. Proposal-writing can also be used as another opportunity for project appraisal: if it is found out that some planning stages were missed or some questions were left unanswered, one can always revert back and clarify them. Again, if a major fault in the project is found, one should not hesitate to radically change (or sometimes even drop) it, even at this stage.

**Project Proposal Forms** 

Pre-designed forms and formats often requested for project descriptions and proposals should be used with care. They can be useful as a check-list of things to be thought about, but should not take the place of the actual thought process. Some forms may be designed primarily with donor requirements in mind and not adjusted to the particular situation or culture of the project. In this case they may be filled in mechanically, without really accepting their rationale. Consequently, instead of encouraging thinking, such proposal-writing can become just a "form-filling" exercise having limited direct impact on the project. Here the role of the Federation is vital. A delegate can act as an "interpreter" assisting the Operating National Society to "translate" its plan into a coherent project format and funding proposal, meeting the requirements of the Participating National Societies or other project partners.

#### **Project Agreements**

- 29. When the project requires substantial bilateral or multilateral external assistance from the Federation or Participating National Societies or both, the obligations and responsibilities of all parties involved should be formalised in a written agreement, usually called the *development contract*. This is mainly for development projects, but similar contract-type agreements may be used for long-term rehabilitation programmes. It is advisable to make similar agreements when receiving substantial assistance from partners outside the Movement.
- 30. The development contract may contain elements common to both the work plan and the project proposal such as brief descriptions of the project goal and objectives, the plan of action, budget, reporting and evaluation arrangements. However, its principal purpose is to detail the *roles and responsibilities* of the main parties in project implementation. The development contract may go by a number of names, including *letter of understanding* or *intent, contract, agreement* or *accord*; whatever it is called though, the important thing is that it is a document legally binding on all parties. If all or some of these responsibilities are already covered in the work plan or budget proposal, these documents can simply be referred to in the development contract and enclosed as an integral part of it.
- 31. In drafting such a contract it is preferable to describe roles and responsibilities of the partners as explicitly as possible, and to avoid leaving any "grey" areas that may allow for differing interpretations. It is important that all parties to the development contract understand and interpret its provisions in the same way. To avoid confusion, the parties should be defined by their official names. The contract should also specify starting and expiry dates, as well as the procedures for changing its provisions and the settlement of differences or disputes between those party to it. To be valid the contract must be signed by authorised representatives of all parties.

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## Implementing the Project

#### Monitoring

- 32. Projects are seldom implemented without unforeseen complications. Identifying and quickly eliminating these complications can be done only if the project implementation is properly monitored. *Monitoring* primarily means watching the efficiency of project implementation. It concentrates on project inputs and outputs, checking on work progress against earlier identified indicators, and examining reasons for any differences between actual and planned results. Monitoring will show where actions are or are not in line with the project goals and objectives, and where adjustments need to be made to the plan. During the entire implementation period actual expenses should be constantly compared with those budgeted for: such financial monitoring is one of the easiest ways to identify deviations from the plan. It is also important that monitoring focuses on project objectives themselves, verifying if they are still valid for achieving the ultimate project goal.
- 33. Monitoring is usually done by both direct project managers and their superiors. Wherever a Federation delegate is involved, monitoring can be one of the principal tasks of the Federation delegate. It is important, however, that delegates do not take this responsibility over from project staff; a delegate's role is rather to ensure that on-going monitoring is properly done at all levels.
- 34. Field visits are the essential part of monitoring. They give an ideal opportunity to find out what is going on directly from implementing staff and project beneficiaries, to check earlier reports and demonstrate to both project staff and beneficiaries the continuous interest in the project. Monitoring, however, should not be limited to checks and control only; it is a process of discussions and consultations with all parties involved, primarily aimed at identifying problems and looking together for solutions.

#### **Adjusting the Plans**

- 35. Bringing a project to implementation takes time, and the problem and needs addressed by the project plan may have changed by the time the project is being implemented. If this happens, the plan itself should be changed accordingly. As project implementation involves commitments (including financial ones) of all the partners, such changes may not always be easy to agree upon. However, it is always the plan that should be adjusted to the reality, not the other way round. It is better to alter, radically change or even to abandon a plan that no longer corresponds to the needs of beneficiaries.
- 36. It is important that no changes are unilaterally made by only one party to the project; any such changes must be agreed by all parties to the original agreement. It will also be much easier to make such adjustments, if the procedures for reporting and agreeing on changes have been already written up in the project documents.

#### Reporting

- 37. Regular and accurate reporting is very important during project implementation, both as a management tool and to keep the parties to the project informed. Reports summarise the results of monitoring, and give the information about progress of project implementation as compared to earlier identified progress indicators. They should be brief, but with sufficient level of detail to help the reader understand the project context. It is particularly important to report regularly (even if not much progress was planned or made), always meeting the reporting deadlines. It is also helpful to briefly describe in the report the priorities and plans for next reporting period.
- 38. Though Participating National Societies and other funding partners may ask for reports in different formats (which are, in turn, determined by reporting requirements of a particular funding agency, often a governmental one), usually all want just differently formulated answers to the same basic questions: What was intended to be done? Has it been done? If not, why not? and What is to be done next? As long as this basic information is available, it can be put into most of the specific formats. However, if a particular reporting format has been agreed upon, it should be followed. If no special formats have been requested, the standard Federation reporting requirements and procedures are to be applied.

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## **Evaluating the Project**

#### **Types of Evaluation**

- 39. *Evaluating* means to systematically establish the relevance, efficiency, effectiveness and impact of the project both in relation to its goals and objectives, and compared to similar projects of the National Society, Federation or other agencies (through a system of benchmarking, for instance). Using the information picked up by monitoring, evaluation makes it easier to improve those parts of the project still in progress and aids future planning, programming and decision making. It does not "put the project on trial" but is a management tool and an opportunity to learn.
- 40. The project should be evaluated during implementation (*ongoing* evaluation) and on completion (*final* evaluation). Ongoing evaluation is usually carried out by those managing the project, who look at whether the problem to be tackled originally has changed since the start of the project. The relevance of the objectives is assessed, along with their achievement or the failure to achieve them. Final evaluation is done immediately on completion of a project or programme and measures actual results against the goal set, analyses reasons for success or failure, and draws lessons for the future.
- 41. During critical phases of implementation *interim* evaluations can be done for adjusting the plan for subsequent phases. After the project has been completed and its full benefits and impact are expected to be known, an *ex-post* evaluation may be carried out. This is a special study usually organised on an ad-hoc basis with specific terms of reference. Its costs can rarely be covered from the original budget and must be separately funded. An ex-post evaluation is most apt for unusually large, complex or innovative projects or programmes, and is particularly valid for long-term development projects, where the final benefits may not be known for years after project completion.

#### **Evaluation Process**

42. Evaluation should be planned into the project from the start. For it to be productive, *what* is to be evaluated and *when* should be established right away, with project goal, objectives and implementation indicators specified.

43. Before starting an evaluation, its goals and scope should be clearly defined. It should be clear, whether the whole project or only its particular objectives are being evaluated. It is particularly important to make sure that the necessary base-line data collected at the outset of the project is available, so that the project's actual impact could be properly evaluated. It is also helpful to keep in mind who the evaluation is for – funding agencies, representatives of beneficiaries, the Government or all these – taking their special requirements into account.

#### **Evaluation Team**

- 44. The evaluation is usually done by an *evaluation team*, formed to include experts in the areas to be examined, as well as the project's implementors, supporters and beneficiaries. The team should not be too large preferably not more than seven people. It should have a good gender mix to help monitor the impact of the project on meeting the needs of women and to assess their involvement at various stages in the project cycle.
- 45. When choosing the team for evaluating the projects with Federation participation, it should be decided whether to include *outsiders* to the Federation in it. Outsiders can provide additional expertise and objectivity but they cost money and time. Usually the larger the evaluated project, the less critical the evaluation costs will be, and more can be invested in outside expertise. Therefore outsiders' involvement is best suited to final and ex-post evaluations. The team leader, even if from the Federation, should preferably be an outsider to the project.
- 46. The team needs to make a detailed evaluation plan covering methods, timing and cost of the evaluation; it may need to spent some time together in the field before starting evaluation to carry test runs of methods to be used. The team can start by looking at the available data, then decide whether more information is needed, and, if necessary, proceed to gather it through rapid appraisals, statistical surveys, interviews and questionnaires etc.

#### **Evaluating Project Structures**

47. Normally it is equally important to look at both *what* was or was not done, and *how* it was (or why it was not) done. Consequently, evaluation should include analysis of the *organisation* for the project. Is the system behind the project able to set workable objectives, and is its communication and co-ordination efficient? Is the organisational structure used for the project flexible enough to be adapted to new changing conditions? Are decision-making and authority lines clear? Is there an effective *control* system for tracking the disbursement of finance and capital items and the provision of services? Is the system geared to avoid and solve conflict – either within itself or with other organisations? The importance of these issues will vary from project to project, but they will all exist and will be worth examining.

#### **Evaluation Report**

- 48. The evaluation report should contain a description of what the project has achieved or failed to achieve. It should give reasons why the project's goal and objectives have or have not been achieved and a set of recommendations on how to improve this and similar future projects.
- 49. If the report recommendations are accepted, they should to be acted on. Ongoing evaluations may require immediate action; final and ex-post evaluation recommendations may be built into the next round of project planning and implementation. Major evaluations should include an ex-post review to determine whether earlier recommendations were taken up and acted on.

<u>Auditing</u>

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## Further Reading

Measuring the Process: Guidelines for Evaluating Social Development

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Projects: How to Plan and Manage

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Development Contracts: How to Draft and Review

Guidelines. International Federation of Red Cross and Red Crescent Societies, Geneva, 1993

Project Evaluation: A Guide for NGOs

#### **Evaluating Social Development projects**

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#### Monitoring and Evaluation: UNICEF Policy and Procedures Manual

UNICEF, New York, 1990

#### **Qualitative Evaluation and Research Methods**

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#### The Collection, Analysis and Use of Monitoring and Evaluation Data

by D.J. Casley and K. Kumar, The World Bank, 1988

#### The Management Book by R. Field

League of Red Cross and Red Crescent Societies, Geneva, 1985

#### Assessing Development Projects: An Approach to Evaluations as if People Mattered

by M. Carr, G. de Crombrugghe, M. Howes, COTA, Brussels, 1984

#### Guide to Planning and Evaluating NGO Projects

NORAD, Oslo

## **Strengthening National Societies**



## Chapter XVIII - Development Cooperation

**Development Cooperation Policy** 

**Country and Regional Cooperation Agreement Strategies** 

**Development Programme Contracts** 

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## **Development Cooperation Policy**

#### 1. Purpose

The purpose of this policy is to outline how National Societies and the Federation Secretariat work with each other to strengthen the programmes and the overall capacity of National Societies. It builds on the experience gained since 1990 in working with the Principles and Rules for Development Cooperation and is guided by the overall objective of working effectively as a Federation, one of the key underlying concepts of the International Federation's strategic planning.

This policy, together with the Development Policy adopted in 1995, replaces the Principles and Rules for Development Cooperation. The Development Policy indicates what is to be done and why it is to be done. This present Development Cooperation Policy states how it is to be done, and by whom.

#### 2. Scope

This policy applies to mutual assistance related to all development activities between National Societies and the Federation Secretariat on the international, regional or sub-regional levels. International Federation policy related to relief situations is set out in the Principles and Rules for Disaster Response and the Emergency Response Policy.

#### 3. Definition of development and of development cooperation

Development in the Red Cross and Red Crescent context is defined in the 1995 Federation Development Policy as the process by which communities, families and individuals grow stronger, can enjoy fuller and more productive lives, and become less vulnerable and the strengthening of National Red Cross and Red Crescent Societies so they can carry out their humanitarian mandate.

Development cooperation refers to the systems and procedures that National Societies use to plan, implement, monitor and evaluate the support provided to carry out development activities as defined above in line with Federation development cooperation objectives.

#### 4. Objectives of development cooperation

The objectives of International Federation development cooperation are:

- to provide well planned assistance to strengthen the capacity of a National Society to improve the effectiveness of its programmes for the most vulnerable people in its country;
- to foster a sense of partnership and mutual learning between National Societies and the Federation Secretariat through support for such programmes;
- to promote long term sustainability by ensuring that external assistance not only supports programmes in sectors such as health, social welfare and disaster preparedness, but is harmonised with systematic efforts to develop a Society's human and financial resources:
- to promote the equal participation of men and women in National Society development activities at all levels;
- to ensure that development programmes are accountable to those they aim to assist, as well as to those who provide the financial and other resources for implementation.

#### 5. Organising principles

Development cooperation within the International Federation is provided in a spirit of partnership, mutual support and respect between the three main partners: the operating National Society (ONS), one or more participating National Societies (PNS), and the Federation

Secretariat. In addition, the ICRC is an important partner that will in many cases be active in supporting an ONS within its particular areas of competence. Furthermore, ONS have skills and competencies, not least in their network of branches and volunteers, that can be shared with others. Federation development cooperation therefore seeks to maximise opportunities for regional cooperation between National Societies.

Development cooperation can take many forms, ranging from limited project assistance from a single PNS to complex multi-PNS support over many years. The working as a Federation concept implies that PNS and the Federation Secretariat view each other not as independent actors, but as integral parts of the overall effort to assist the ONS in its capacity building.

National Societies act as spokespersons for the populations, vulnerable groups and the National Societies they work with, drawing attention to their humanitarian and development needs and intervening in their favour. National Societies also encourage and foster commitment and solidarity on the part of society and the public authorities for enhanced development cooperation.

Governments are important partners in development cooperation. In its own country, the National Society has a recognised role as an auxiliary in the emergency and also health and social sectors. Similarly, many PNS work closely with their governments to mobilise financial support for international activities. In both cases, it is important that the National Society works actively to build up a positive but independent relationship with its government.

The Federation and National Societies also favour the involvement of other bodies – private companies, foundations, civic organisations – in international cooperation activities through twinning, sponsorship or other methods that help mobilise resources and promote social participation. In their relations with such bodies, National Societies shall ensure respect for their operating criteria and for this present policy.

An ONS may also receive support for its development activities from non Red Cross or Red Crescent international aid organisations in its country. The Federation Secretariat can assist in fostering such linkages, and when an ONS enters into such arrangements it will inform the Federation Secretariat and the National Society of the country concerned. Development assistance from a PNS should be channelled through the ONS of a particular country. A PNS should not, without the full consent of the concerned ONS, support a non Red Cross or Red Crescent partner outside its own country.

#### 6. Roles and responsibilities of partners

#### The Operating National Society

The ONS has the responsibility for planning and managing all aspects of its own development. It will work to ensure that all its activities are included in a strategic development plan, adapted to its situation, that sets out its main objectives and how they are to be achieved. For programmes seeking external assistance, it will produce specific programme plans and budgets based on the strategic priorities in its development plan.

In seeking external assistance the ONS will recognise the concerns of its partners, and will provide mutually agreed upon opportunities for their involvement in programme planning and monitoring. In order to ensure transparency, the ONS will provide timely narrative and financial reporting on all the external assistance it receives from its partners.

The ONS will give priority to ensuring that it is able to cover its core costs in terms of personnel and administrative expenditures needed to ensure the proper functioning of its organisation. PNS and the Federation Secretariat will support strategies and programmes designed to ensure the financial sustainability of the ONS.

#### **Participating National Societies**

Assistance offered by a PNS will always be in line with the priorities and objectives of the ONS as described in its strategic development plan. This assistance can be in the form of finance, material, training and technical assistance, and should include a balanced mixture of programme and institutional development elements. It is also important that PNS assistance be consistent and long-term. Each PNS should formulate a clear strategy for international cooperation in consultation with the Federation Secretariat and its regional priorities.

The PNS will indicate any special reporting requirements for the assistance it provides. As far as possible, it should be prepared to accept the normal reporting provided by the ONS. Where there is more than one PNS working with the same ONS, the different PNS and the ONS should establish mutually agreed programme management and reporting systems.

Recognising the desire of many PNS to be active partners in the development process, a PNS may become involved in one or more of the following areas as a partner to the ONS:

- assisting in the formulation of programme proposals;
- providing any required technical assistance, including training;
- advising on programme management procedures and reporting formats;
- participating in programme monitoring and evaluation.

PNS recognise the need for coordination of the external assistance they provide to ensure effectiveness, coherence and sustainability. They agree not to impose their own priorities or programmes on an ONS, and accept that the Federation Secretariat, or on occasions one of the PNS, has a coordinating role in advising on and guiding their assistance.

#### Federation Secretariat

The main responsibilities of the Federation Secretariat in development cooperation are to promote and facilitate assistance between National Societies, to encourage the appropriate involvement of ICRC, and to play a leadership role in coordinating such assistance. It should not primarily play a major implementing role in development assistance, but rather serve as the architect of cooperation bringing all partners closer together in a coherent and planned manner to meet the needs of the ONS.

In playing this architect role the tasks of the Federation Secretariat at the global level are:

- assisting Societies to carry out assessments of their capacities and needs in each region;
- designing approaches and standards in the main sectoral areas of National Society work;
- compiling data and setting priorities on a regional level for supporting the respective national strategic development plans;
- initiating and promoting well planned and coherent cooperation in support of an ONS, and reporting on all resources it receives for these purposes;
- leading efforts to identify new sources of support for development cooperation;
- monitoring cooperation and promoting learning between the various partners;
- representing the Federation in international for aregarding development issues.

At the field level, the Federation Secretariat operates through its country and regional delegations. The key tasks that delegations will perform in partnership with an ONS seeking development assistance are:

- helping the ONS carry out an assessment of its capacities and needs;
- assisting the ONS to draw up a strategic development plan adapted to its situation;
- helping the ONS prepare specific programme/project proposals as needed, and actively encouraging the mobilisation of appropriate and transparent external assistance;
- designing, coordinating and reporting on appropriate regional programmes;
- monitoring and advising on the support being provided by external partners;
- providing technical support in defined and agreed areas;
- promoting two-way cooperation between the ONS and other Societies in the region;
- helping the ONS organise periodic partnership coordination meetings.

#### 7. Mechanisms for development cooperation

#### National Society development plan

Each National Society should produce a comprehensive and realistic strategic plan based on a prior analysis of its national context and its strengths and weaknesses. This plan should then be the basis for all development cooperation with that Society. The length and complexity of such a plan should be adapted to the situation and needs of the Society. It should as a minimum set out the basic mission of the Society, identify the needs and capacities of the vulnerable populations to be assisted, and describe the Society's overall objectives and key programmes, including the steps needed to strengthen its organisation to achieve these aims.

When an operating Society does not yet have a strategic plan, early attention should be given by the Federation Secretariat and interested PNS to helping that Society with the process of developing a plan adapted to its context. All external projects and partnership activities should be developed on the basis of the Society's assessment of its strengths and weaknesses and related to its strategy for what its key programme areas should be.

#### Specific programme or project descriptions

A Society should develop specific programme descriptions and budgets for the activities for which it seeking external assistance, either on its own or with support from the Federation Secretariat or a PNS. Such programme/project descriptions should be based on the priority programmes identified in its strategic plan. They should be formulated using sound programme planning methodology as outlined in the Federation's guidelines or similar approaches. Proposals developed in programme sectors such as health, social welfare and disaster preparedness should describe how they are linked to other programme areas. They must also take into account the institutional development needs of the Society and address issues of sustainability.

#### Development cooperation agreements and development contracts

Development contracts should be established for all specific development assistance programmes between an ONS, a PNS, the Federation Secretariat or any other external partner. The contract should set out the objectives, the roles and responsibilities of all the partners, the funding arrangements, reporting requirements, and evaluation and auditing provisions. The existing Federation guidelines provided guidance on the drafting of such contracts.

In situations where there are more than two PNS providing long-term support to an ONS, a defined cooperation mechanism will be established. Such a partnership grouping will be formalised by establishing a common development cooperation agreement. The purpose of such an agreement is to ensure the commitment by all partners to working towards common goals in a coherent and structured cooperation in the interests of increased effectiveness and cost efficiency. The agreement will link external assistance clearly to supporting the overall development plan of the ONS, and will outline the complementarity of the assistance to be provided by the different partners. It will also describe the coordinating responsibility of the Federation Secretariat or any other designated external coordination agency, and the common standards and systems that all partners agree to follow. Such cooperation agreements will need to be supplemented by specific programme contracts between the ONS and its individual partners supporting different elements of its development plan.

#### Partnership coordination meetings

One element of such structured partnerships groupings will the holding of coordination meetings at suitable intervals. These will be designed to bring the partners together in a structured way to review progress in working towards the mutually agreed goals. The operating Society should be responsible for organising these meetings with support from the Federation Secretariat. All partners should attend such meetings to share experience, adjust programme approaches where needed, and work towards enhancing common approaches and continuity in the interests of the ONS.

Several other forms of regional cooperation can be developed. These may take a variety of different forms according to the needs of the respective National Societies including cross border cooperation, partnerships, etc. and should be implemented according to approved coordination procedures.

#### Monitoring, evaluation and auditing arrangements

Good systems for monitoring and evaluating progress in achieving objectives are an essential part of Federation development cooperation practice. Programmes should be monitored and evaluated not only to assess how far they are achieving their immediate objectives, but also in terms of terms of helping the ONS develop its overall capacity and accountability.

All partners have a responsibility to ensure that proper monitoring and evaluation of programmes is carried out. However because of its responsibility for overall coordination, the Federation Secretariat should always be involved with such exercises. Thereafter it has the responsibility for ensuring that the lessons learnt are shared with all partners, and for building institutional memory for the benefit of others working in similar situations.

Accounts and independent audits are essential elements of all development cooperation activities. If funds are transferred to an ONS by the Federation Secretariat, an independent auditor shall be designated or approved by the Federation Secretary General.

## **Country and Regional Cooperation Agreement Strategies**

- 1. At the start of 1999, the Federation Secretariat launched a process of developing country and regional cooperation agreement strategies (CAS). These cooperation agreement strategy documents are intended to define the overall external assistance required for a particular National Society or group of Societies.
- 2. The purpose of a CAS is to:
  - present an overall strategy for all aspects of Federation assistance / cooperation with a particular country/region, highlighting its relation to Strategy 2010 – the Federation's key strategy document for this decade;
  - encompass all forms of assistance / cooperation provided by the Federation Secretariat, bilateral cooperation between National Societies, and support from the ICRC;
  - present to donors and other external partners the Federation's National Society development activities, showing the links between longer-term humanitarian response and capacity building programmes;
  - assist in the mobilisation of more stable and long-term funding and permit the rational allocation of limited Federation human and financial resources.
- 3. A CAS should aim to have a four year horizon, with a focus on expected results to be achieved in a two year time frame with indicative targets for the second two year period. It will be open to revision whenever the conditions in the country or region have changed to an extent that the basic directions of the previous cooperation agreement strategy may no longer be valid. Within the CAS, longer-term humanitarian assistance programmes will probably need to be updated on an annual basis while more developmental or capacity building programmes should be updated every two years.
- 4. Although this new approach was launched in 1999, it builds on the work that the Federation Secretariat, through its regional departments and country and regional delegations, has undertaken in recent years to improve its longer-term programme plans to implement the Strategic Work Plan for the Nineties and the declarations of respective regional conferences.
- 5. The first versions of these CAS have been summarised in the Federation's new Strategies and Programmes Appeal 2000 2001. They have also been shared widely with interested participating National Societies, together with the more detailed related programme descriptions that set out the Federation Secretariat plans and budgets in the different core areas.
- 6. The current country and regional formats are set out on the following pages, with a brief explanation of the elements that should be included. A regional strategy should be prepared in a similar way to a country one; it should include country cooperation agreement strategies for those Societies (as required) where there is no country delegation and incorporate a regional cooperation / networking component.
- 7. With the experience being gained, it is intended to develop and improve the existing CAS to make them truly inclusive and reflect all the different support elements. It is therefore likely that the current basic format will also evolve, but in a way that builds on what has already been developed.

#### 1 - National context

#### 1.1 - Socio-economic and humanitarian evaluation

Provide a brief overview of the country's social, economic and political context, i.e. historical perspective, current country situation, political analysis, and conflict analysis (where appropriate).

Include basic (statistical) indicators on these various issues and describe wherever possible expected trends for the near future. These indicators could include macro-economic environment, demographic changes, under 5 mortality, disease and epidemic prevalences, vaccination coverage, poverty indicators, literacy levels etc. and projected trend in these data. (Use UNDP Human Development Report as source for all statistical information – available from all UNDP country offices or on its web site.)

#### 1.2 - Vulnerability analysis

Provide a brief assessment of the vulnerability profile of the country with the principal hazards and capacities of communities to cope with such hazards. Any vulnerability indicator used by the Federation and/or other partners and organisations should be cited.

#### 1.3 - Analysis of the funding and assistance / cooperation environment

Describe the profile of major donor activities and priorities in the country. It should include an analysis of major institutional actors' roles in the country (EU, UN, NGOs), as well as the position of the Red Cross / Red Crescent in relation to them.

#### 2 - National Society Context

Provide an overview of the current situation of the NS in the country. Outline the programme and capacity building priorities of the National Society based on its development plan (or similar planning document). A summary or updated version of what is presented through the Partnerships in Profile-book can be presented, to which readers will be referred for further detail. Also reference should be made to relevant elements of regional conference declarations. Furthermore, give a short review of past assistance by the Movement to the NS and major relief operations over the last four years. This should be complemented by an overview of successes and failures, as well as 'lessons learned'.

Note: this section should contain the programmes and priorities of the National Society, not of the Delegation.

#### 3 - Priorities and objectives for Federation assistance / cooperation

State the overall aims and principal results over the planning period of Federation assistance/ cooperation with the respective NS. These overall aims and expected results should relate clearly to the issues raised in sections 1 and 2 above.

Explain briefly how this assistance will be provided and how the Federation will add value through, for example, technical assistance, advice/ coordination regarding PNS inputs, knowledge gained through monitoring/ evaluation, networking with other organisations, etc. Include in this section Federation activities to build external relations, linkages to other organisations (government ministries, donors, IOs, commercial bodies) and for what purposes (collaboration, technical support, PR and profiling, policy development and resource mobilisation), and improvement of communications in order to reach the objectives set out earlier.

#### 4 - Priority programmes for Federation assistance / cooperation

In this section list the Federation's programmes (put forward and carried out by the Federation's Country Delegation) for the time frames indicated. Include programmes in which the Federation Secretariat provided and will provide technical cooperation, and for which external financial support is sought. The programmes should be in accordance with the four core areas of the Federation's new Strategy 2010, complemented by programmes aimed at institutional/resource development (supportive for future capacity of the National Society for carrying out programmes in the core areas).

Programmes outside the core areas but meeting the aforementioned cooperation criteria which are to be continued should be included under 'other programmes', but a strategy to gradually phase out of these should be included.

For all programmes, the main objectives should be listed.

#### 4.1 - Disaster response

In this section include the ongoing, longer term relief operations (including rehabilitation, disaster preparedness, health and capacity building elements specially related to the relief operations)

perspective: 1+1 year

#### 4.2 - Disaster preparedness

In this section include programmes re. disaster preparedness that are not directly linked to a specific disaster.

perspective: 2+2 year

#### 4.3 - Health education and services

Include programmes that provide health services and promote the importance of health at the primary level. Include programmes in this section that are not directly linked to a specific disaster.

perspective: 2+2 year

#### 4.4 - Promotion of humanitarian values

Through a greater focus on this area, the Red Cross / Red Crescent Society can make a significant impact on the behaviour of public authorities, business and individuals who can influence the Red Cross / Red Crescent capacity to act. Proposed programmes will have to recognise different operational contexts, including elements undertaken in peace time, those that are particularly relevant to communities at risk of conflict and elements of particular relevance to communities emerging from conflict where rehabilitation and reconciliation represent the primary drivers. The programmes may well include activities fostering the promotion of humanitarian values for Red Cross / Red Crescent workers and, for example, youth programmes. Activities in this area will complement and support the dissemination work of the ICRC.

perspective: 2+2 year

#### 4.5 - Organisational and resource development

These programmes are aimed at developing the organisational and resource base of the National Society, in order to make it better equipped for management of programmes in the core areas. The programmes included here are not directly linked to a specific disaster.

perspective: 2+2 year

#### 4.6 - Other programmes

Included here programmes outside the scope of the aforementioned areas. However there might be valid reasons for a Delegation's assistance in these. They should, however, be accompanied by an exit strategy, since Federation support to programmes outside the core areas will be gradually phased out. The programmes should not be directly linked to a specific disaster.

perspective: 2+2 year

#### 5 - National Society activities currently supported by donors, particularly those within the Movement

The Federation Secretariat-coordinated assistance (through the Country Delegation) may not be the only or even the largest source of support for the priority programmes determined through the analysis outlined in the previous section. A general review of the support given by other donors (and its likely duration) should be provided in order to ensure the maximum possible level of complementarity – particularly of members of the Movement. Information on funding provided through bilateral assistance to the National Society programmes (i.e. not Federation assistance programmes), should be included in this section, but should be excluded from the budget (see section 8).

table 1: overview of the programmes for strategy implementation

programme sector	programme(s)	other donor(s)	output
			indicatortarget

disaster response

disaster preparedness

health education and services

promotion of humanitarian values

organisational and resource development

other programmes

#### 6 - Resource mobilisation strategy

In this section give an outline of the principal current sources of funding for Federation supported national activities and programmes. Furthermore a strategy for resource mobilisation should be proposed for the programmes, including development of local funding opportunities.

#### 7 - Criteria and process for evaluating the assistance cooperation strategy and assessing possible risks

The Cooperation Agreement Strategy should outline a general approach to how objectives planned through the Country Cooperation Agreement Strategy will be monitored and evaluated. This should include baseline assessments, proposed indicators of performance and external review. (The approaches and methods demand the development of output-oriented indicators, minimum standards and proposed targets to be included at various levels in each of the programmes. This should be done as part of the more detailed planning documents

that have to be prepared.)

Furthermore an analysis of critical assumptions should be included, in which possible obstacles and/ or barriers for the success of the Cooperation Agreement Strategy will be presented. These obstacles may be internal (to the organisation) as well as external.

#### 8 - Budget overview

All proposed programmes, including programmes which receive combined support from Federation and other donors (PNSs, NGO, etc.) should be listed in the framework below. Include an indicative budget – a more detailed budget will be required as part of the more detailed planning documents. Figures to be included here should relate to the direct expenditure that these programmes will have to incur; provisions for cost-recovery should not be considered at this stage.

table 2: budget overview of the programmes for strategy implementation

programme sector	programme(s)	budget
		200120022003
disaster response		
disaster preparedness		
health education and services		
promotion of humanitarian values		
institutional and resource development		
other programmes		
programme coordination and management		
total		

#### Framework for a Regional Cooperation Agreement Strategy

#### 1 - Regional context

#### 1.1 - Socio-economic and humanitarian evaluation

Provide a brief overview of the region's social, economic and political context, i.e. historical perspective, current regional situation, political analysis, and conflict analysis (where appropriate).

Include basic (statistical) indicators on these various issues and describe wherever possible expected trends for the near future. These indicators could include macro-economic environment, demographic changes, under 5 mortality, disease and epidemic prevalences, vaccination coverage, poverty indicators, literacy levels etc. and projected trend in these data. (Use UNDP Human Development Report as source for all statistical information – available from all UNDP country offices or on its web site.)

#### 1.2 - Vulnerability analysis

Provide a brief assessment of the vulnerability profile of the region with the principal hazards and capacities of communities to cope with such hazards. Any vulnerability indicator used by the Federation and/or other partners and organisations should be cited.

#### 1.3 - Analysis of the funding and assistance / cooperation environment

Describe the profile of major donor activities and priorities in the region. It should include an analysis of major institutional actors' roles in the region (EU, UN, NGOs), as well as the position of the Red Cross / Red Crescent in relation to them.

#### 2 - National Societies Context

Provide an overview of the current situation of the NSs in the region. Outline the programme and capacity building priorities of the National Societies based on their development plan (or similar planning document). A summary or updated version of what is presented through the Partnerships in Profile-book can be presented, to which readers will be referred for further detail. Also reference should be made to relevant elements of regional conference declarations. Furthermore, give a short review of past assistance / cooperation by the Movement to NSs and major relief operations over the last four years. This should be complemented by an overview of successes and failures, as well as 'lessons learned'.

Note: this section should contain the programmes and priorities of the National Societies, not of the Delegation.

#### 3 - Priorities and objectives for Federation cooperation

State the overall aims and principal results over the planning period of Federation assistance / cooperation with the respective NSs. These overall aims and expected results should relate clearly to the issues raised in sections 1 and 2 above.

Explain briefly how this assistance / cooperation will be provided and how the Federation will add value through, for example, technical assistance, advice/ coordination regarding PNS inputs, knowledge gained through monitoring/ evaluation, networking with other organisations, etc. Include in this section Federation activities to build external relations, linkages to other organisations (government ministries, donors, IOs, commercial bodies) and for what purposes (collaboration, technical support, PR and profiling, policy development and resource mobilisation), and improvement of communications in order to reach the objectives set out earlier.

#### 4A - Priority programmes for Federation regional cooperation

In this section list the Federation's programmes (put forward and carried out by the Federation's Regional Delegation) for regional cooperation for the time frames indicated. Include programmes in which the Federation Secretariat provided and will provide technical assistance, and for which external financial support is sought. The programmes should be in accordance with the four core areas of the Federation's new Strategy 2010, complemented by programmes aimed at institutional/ resource development (supportive for future capacity of the National Societies for carrying out programmes in the core areas).

Programmes outside the core areas but meeting the aforementioned cooperation criteria which are to be continued should be included under 'other programmes', but a strategy to gradually phase out of these should be included.

For all programmes, the main objectives should be listed.

#### 4.1 - Disaster response

In this section include the ongoing, longer term relief operations (including rehabilitation, disaster preparedness, health and capacity building elements specially related to the relief operations)

perspective: 1+1 year

#### 4.2 - Disaster preparedness

In this section include programmes re. disaster preparedness that are not directly linked to a specific disaster.

perspective: 2+2 year

#### 4.3 - Health education and services

Include programmes that provide health services and promote the importance of health at the primary level. Include programmes in this section that are not directly linked to a specific disaster.

perspective: 2+2 year

#### 4.4 - Promotion of humanitarian values

Through a greater focus on this area, the Red Cross / Red Crescent Society can make a significant impact on the behaviour of public authorities, business and individuals who can influence the Red Cross / Red Crescent capacity to act. Proposed programmes will have to recognise different operational contexts, including elements undertaken in peace time, those that are particularly relevant to communities at risk of conflict and elements of particular relevance to communities emerging from conflict where rehabilitation and reconciliation represent the primary drivers. The programmes may well include activities fostering the promotion of humanitarian values for Red Cross / Red Crescent workers and, for example, youth programmes. Activities in this area will complement and support the dissemination work of the ICRC.

perspective: 2+2 year

#### 4.5 - Organisational and resource development

These programmes are aimed at developing the organisational and resource base of the National Societies in the region, in order to make them better equipped for management of programmes in the core areas. The programmes included here are not directly linked to a specific disaster.

perspective: 2+2 year

#### 4.6 - Other programmes

Included here are programmes outside the scope of the aforementioned areas. However there might be valid reasons for a Delegation's assistance / cooperation in these. They should, however, be accompanied by an exit strategy, since Federation support to programmes outside the core areas will be gradually phased out. The programmes should not be directly linked to a specific disaster.

perspective: 2+2 year

4B - Priority programmes for Federation assistance to / cooperation with individual National Societies at country level

In this section list the Federation's programmes (put forward and carried out by the Federation's Regional Delegation) for assistance at country level for the time frames indicated. Include programmes in which the Federation Secretariat provided and will provide technical assistance, and for which external financial support is sought. The programmes should be in accordance with the four core areas of the Federation's new Strategy 2010, complemented by programmes aimed at institutional/resource development (supportive for future capacity of the National Society for carrying out programmes in the core areas).

Programmes outside the core areas but meeting the aforementioned cooperation criteria which are to be continued should be included under 'other programmes', but a strategy to gradually phase out of these should be included.

For all programmes, the main objectives should be listed.

#### 4.1 - Disaster response

In this section include the ongoing, longer term relief operations (including rehabilitation, disaster preparedness, health and capacity building elements specially related to the relief operations)

perspective: 1+1 year

#### 4.2 - Disaster preparedness

In this section include programmes re. disaster preparedness that are not directly linked to a specific disaster.

perspective: 2+2 year

#### 4.3 - Health education and services

Include programmes that provide health services and promote the importance of health at the primary level. Include programmes in this section that are not directly linked to a specific disaster.

perspective: 2+2 year

#### 4.4 - Promotion of humanitarian values

Through a greater focus on this area, the Red Cross / Red Crescent Society can make a significant impact on the behaviour of public authorities, business and individuals who can influence the Red Cross / Red Crescent capacity to act. Proposed programmes will have to recognise different operational contexts, including elements undertaken in peace time, those that are particularly relevant to communities at risk of conflict and elements of particular relevance to communities emerging from conflict where rehabilitation and reconciliation represent the primary drivers. The programmes may well include activities fostering the promotion of humanitarian values for Red Cross / Red Crescent workers and, for example, youth programmes. Activities in this area will complement and support the dissemination work of the ICRC.

perspective: 2+2 year

#### 4.5 - Institutional and resource development

These programmes are aimed at developing the institutional and resource base of the National Society, in order to make it better equipped for management of programmes in the core areas. The programmes included here are not directly linked to a specific disaster.

perspective: 2+2 year

#### 4.6 - Other programmes

Included here programmes outside the scope of the aforementioned areas. However there might be valid reasons for a Delegation's assistance / cooperation in these. They should, however, be accompanied by an exit strategy, since Federation support to programmes outside the core areas will be gradually phased out. The programmes should not be directly linked to a specific disaster.

perspective: 2+2 year

#### 5 - National Society activities currently supported by donors, particularly those within the Movement

The Federation Secretariat-coordinated cooperation (through the Regional Delegation) may not be the only or even the largest source of support for the priority programmes determined through the analysis outlined in the previous section. A general review of the support given by other donors (and its likely duration) should be provided in order to ensure the maximum possible level of complementarity – particularly of members of the Movement. Information on funding provided through bilateral cooperation for the National Society programmes (i.e. not Federation assistance / cooperation programmes), should be included in this section, but should be excluded from the budget (see section 8).

table 1: overview of the programmes for strategy implementation

programme sector	programme(s)	other donor(s)	output
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disaster response

disaster preparedness

health education and services

promotion of humanitarian values

organisational and resource development

other programmes

#### 6 - Resource mobilisation strategy

In this section give an outline of the principal current sources of funding for Federation supported regional activities and programmes. Furthermore a strategy for resource mobilisation should be proposed for the programmes, including development of local funding opportunities.

#### 7 - Criteria and process for evaluating the assistance strategy and assessing possible risks

The Cooperation Agreement Strategy should outline a general approach to how objectives planned through the Regional Cooperation Agreement Strategy will be monitored and evaluated. This should include baseline assessments, proposed indicators of performance and external review. (The approaches and methods demand the development of output-oriented indicators, minimum standards and proposed targets to be included at various levels in each of the programmes. This should be done as part of the more detailed planning documents that have to be prepared.)

Furthermore an analysis of critical assumptions should be included, in which possible obstacles and/ or barriers for the success of the Cooperation Agreement Strategy will be presented. These obstacles may be internal (to the organisation) as well as external.

#### 8 - Budget overview

All proposed programmes, including programmes which receive combined support from Federation and other donors (PNSs, NGO, etc.) should be listed in the framework below. Include an indicative budget – a more detailed budget will be required as part of the more detailed planning documents. Figures to be included here should relate to the direct expenditure that these programmes will have to incur; provisions for cost-recovery should not be considered at this stage.

table 2: budget overview of the programmes for strategy implementation

programme sector	programme(s)	budget
		200120022003
disaster response		
disaster preparedness		

health education and services

promotion of humanitarian values

institutional and resource development

other programmes

programme coordination and management

total

## **Development Programme Contracts**

- 8. Development Programme Contracts define the respective roles and responsibilities of the partners when one National Society provides substantial support to another. The Participating National Society needs to know what results are to be expected from its support; the Operating National Society needs to know what assistance it can count on. A written agreement makes things clear for all concerned.
- 9. The Development Programme Contract is normally prepared by the Operating National Society and the donor Societies together with the Federation. The role of the Federation is to ensure that the Contract is consistent with eventual other Development Programme Contracts signed by the Operating National Society, as well as with the Development Cooperation Policy.

10. A Development Programme Contract normally covers only a part of the priority needs indicated in a Development Plan. It should be clearly linked to the Development Plan and be programme- or project-specific. An Operating National Society will have only one Development Plan, but can have several Contracts, depending on how many Participating National Societies support its development activities.

#### What Must Go into a Development Programme Contract

- Define the parties clearly and correctly
- Refer to the project plan.
- State the period of the contract and its starting date.
- Give clear project/programme goals and objectives.
- Define the main roles and responsibilities of the parties to the contract.
- Specify the contributions of the Participating National Society and Operating National Society, including reference to the budget. Indicate responsibilities for management, monitoring, reporting and evaluation.
- State responsibilities for financial management & reporting and auditing.
- Indicate how the Contract might be changed.
- Provide for settlement of differences and for cancellation of contract.
- Conclude with the signatures of the parties' authorised representatives.

Reporting

**Development Planning and Cooperation** 

Preparing the Project Proposal

Implementing the Project

**Development Cooperation** 

Development Programme Funding

## **Development Programme Funding**

- 11. The channels for providing development programme support are various. However, they basically take the form of either direct contact between National Societies (bilateral cooperation) and/or the use of the Federation Secretariat as an intermediary for coordination, monitoring and reporting tasks (multilateral assistance). Whatever form of cooperation is used though, all partners should preferably follow the standards, criteria and funding mechanisms for cooperation set out in the *Development Cooperation Policy*. This will ensure that all this assistance contributes to the overall development of the National Society in a planned and co-ordinated way.
- 12. In the development field, *bilateral* assistance represents the most common and largest type of cooperation. Direct bilateral cooperation between Societies has a number of advantages. Development programmes require continuity and long-term commitment in order to succeed. Bilateral agreements allow Societies to establish a relationship that can develop over time, building confidence between the partners. Such partnership can lead to a deeper understanding of the issues and problems being addressed by the development programme, which in turn can lead to a stronger commitment on the part of the Participating National Society.
- 13. While bilateral assistance is efficient in many ways, experience has shown that there can also be a number of potential drawbacks to this form of cooperation unless it is carefully structured. These programmes may often be donor-driven and do not respect the priority needs of Operating National Societies. They may frequently strengthen one particular programme or areas without considering the capacity of the National Society as a whole. Sometimes there may be a duplication of effort with programmes co-ordinated by the Federation Secretariat or another National Society. Bilateral assistance may also create dependence on outside assistance from only one PNS, thus reducing the ONS's capacity for self-reliance over time. These potential problems, however, can usually be avoided through transparency and co-ordination between the partners, strict compliance by all partners with the Operating National Society's priorities and support for the National Society's core structures as a part of every programme budget.
- 14. When an ONS has several partners assisting it with development, the need for co-ordination becomes more acute. This *multilateral* cooperation can be achieved in several ways. For instance, a consortium of PNS can be established with one PNS having a leading and co-ordinating role while keeping the Federation Secretariat informed of progress. Alternatively, the funds could be transferred from all the PNS to the Federation Secretariat, which would then coordinate and manage the development cooperation programme.
- 15. In addition to coordinating development cooperation programmes, the Federation Secretariat can assist development of the National Societies directly, through development funds Development Fund, Empress Shôken Fund and by promoting and publicising development needs and plans of National Societies.
- 16. The Federation *Development Fund* was established in 1990 to "strengthen the capacities of those National Societies defined as in greatest need, normally as an outcome of the economic and social situation of the country in which they are placed or because of the vulnerability of the people of that country to disasters". The objective of the Fund is primarily to strengthen the human resource capabilities of the National Societies.

- 17. Allocations from the Development Fund can be requested for programme identification and planning, or for programmes and project implementation. Funds for programme identification can be provided as seed money (feasibility studies, production of Development Plans, Development Programme Contracts, with maximum allocation CHF 15,000) or for pilot projects (maximum allocation CHF 30,000 per year). Support for programme and project implementation can be requested for human resources (training, advisory services, human resource development, financial management and fund-raising), organisational infrastructure development, disaster preparedness, research and policy (development of professionally and culturally appropriate policies and guidelines).
- 18. Applications to the Development Fund can be submitted by National Societies, the Federation, including Delegations, and the ICRC. All applications must be made in writing and submitted to the Federation Secretary General, who will notify applicants of a decision within three months.
- 19. The *Empress Shôken Fund*, created in 1912 by the Empress of Japan, allocates contributions to National Societies for projects related to disaster preparedness, health, blood transfusion services, youth activities, first-aid and rescue programmes, social welfare, and dissemination. Many National Societies have been able to improve their services to the community thanks to allocations from this fund. Preference is given to developing Societies, especially those that have least benefited from the Fund, or are in greatest need. Applications for assistance should be submitted to the *Secretary, Joint Commission of the Empress Shoken Fund*, *c/o International Federation of Red Cross and Red Crescent Societies*, *Geneva*, before December 31, and the grants will be announced on April 11 of the following year.
- 20. During a large relief operation funds can also be allocated towards strengthening the capacity of the National Society in order to secure the smooth running of the operation. These funds are normally to be used for transport, warehousing, administration, training etc. However, opportunities should always be sought to include, in a relief appeal budget, training needs for National Society staff in relief programme skills, management, planning, finance and other such areas that will benefit the National Society's development in the long-term. The same applies for funds that sometimes remain after the relief operation is over. Usually these funds are used for disaster prevention and preparedness.
- 21. The Pledge Management System described under the *Federation Disaster Response*, *Funding of Operations* sub-chapter below is also applicable to *development programme funding*.

Reporting

Resource Development

**Disaster Preparedness** 

Planning the Project

Preparing the Project Proposal

**Development Cooperation Policy** 

Emergency Relief Appeals

Development within Relief

**Development Programme Contracts** 

## **Disaster Response**



## Chapter XIX - Disaster Response Programme Components

**Humanitarian Charter and Minimum Standards in Disaster Response** 

**Disaster Effects** 

**Needs Assessment, Targeting Beneficiaries** 

**Water and Sanitation** 

**Food and Nutrition** 

**Food Donation Policy** 

**Shelter** 

Construction

**Relief Health** 

**Social Welfare in Relief** 

**Tracing in Emergencies** 

**Dissemination in Relief Operations** 

**Population Movements** 

**Beneficiary Registration System** 

**Relief Supply Distribution System** 

**Development within Relief** 

## **Humanitarian Charter and Minimum Standards in Disaster Response**

#### Introduction to the Sphere Project

- 1. The International Federation is one of the leading humanitarian agencies piloting the Sphere project the Humanitarian Charter and Minimum Standards in Disaster Response. The purpose of the Humanitarian Charter and the Minimum Standards is to increase the effectiveness of humanitarian assistance, and to make humanitarian agencies more accountable. It is based on two core beliefs; first, that all possible steps should be taken to alleviate human suffering that arises out of conflict and calamity, and second, that those affected by a disaster have a right to life with dignity and therefore a right to assistance.
- 2. Sphere is about advocacy on behalf of beneficiaries and about measuring the impact of aid in the five core sectors of disaster response: water and sanitation; nutrition; food aid; shelter and site planning; and health services. The Sphere manual itself is the result of more than two years of inter-agency collaboration to frame a Humanitarian Charter, and to identify Minimum Standards to advance rights set out in the Charter. These standards cover disaster assistance in water supply and sanitation, nutrition, food aid, shelter and site planning, and health services. Taken as a whole they represent a remarkable consensus across a broad spectrum of agencies (over 200).
- 3. Each Minimum Standard has a set of key indicators for measuring performance, which if used skillfully and with respect for cultural diversity, will genuinely make aid organisations more accountable to beneficiaries. More details on the Sphere project are available on its web site <a href="http://www.sphereproject.org">http://www.sphereproject.org</a> where you will also find the complete text of the manual in the currently available languages including French, Spanish, English and Russian.
- 4. Since early 2000 with the publication of the Sphere handbook, the Federation, through its network of National Societies, has been raising awareness of the Humanitarian Charter and the Minimum Standards and promoting their use, particularly in the start-up of new emergency operations and in the monitoring and evaluation of on-going operations. Initially, particular emphasis is being placed on

piloting the Sphere in three disaster-prone regions: Central America and the Caribbean, Southern Africa and South Asia.

- 5. The Humanitarian Charter and Minimum Standards have been incorporated into training courses for new delegates, National Society staff and volunteers. A "field school" approach was successfully tried out over a three-day period in May, 2000 at the Osire refugee camp in Namibia where Red Cross staff and volunteers learned about Sphere in a canvas classroom and put the teaching immediately into practice in the daily work they were doing with Angolan refugees including food distribution, shelter, water and sanitation. It is intended to replicate this approach elsewhere following positive feedback from the participants about how it helped them to improve their job performance.
- 6. While particular attention is being paid to the roll-out of Sphere in these three regions, support and encouragement are also available from the Federation Secretariat to other parts of the world in the form of advice, handbooks, videos, training and training materials. National Societies are being encouraged to use regional and sub-regional gatherings as fora for presenting the Sphere project and for encouraging the adoption of the Humanitarian Charter and Minimum Standards by integrating them into their own standard operating procedures and providing appropriate training. There follows two extracts from the Sphere manual including the Humanitarian Charter and an annex which summarises the Minimum Standards; for the key indicators and guidance notes on critical issues please refer to the actual text either in hard copy or on the web.

#### The Humanitarian Charter

Humanitarian agencies committed to this Charter and to the Minimum Standards will aim to achieve defined levels of service for people affected by calamity or armed conflict, and to promote the observance of fundamental humanitarian principles.

The Humanitarian Charter expresses agencies' commitment to these principles and to achieving the Minimum Standards. This commitment is based on agencies' appreciation of their own ethical obligations, and reflects the rights and duties enshrined in international law in respect of which states and other parties have established obligations.

The Charter is concerned with the most basic requirements for sustaining the lives and dignity of those affected by calamity or conflict. The Minimum Standards which follow aim to quantify these requirements with regard to people's need for water, sanitation, nutrition, food, shelter and health care. Taken together, the Humanitarian Charter and the Minimum Standards contribute to an operational framework for accountability in humanitarian assistance efforts.

#### 1. - Principles

We reaffirm our belief in the humanitarian imperative and its primacy. By this we mean the belief that all possible steps should be taken to prevent or alleviate human suffering arising out of conflict or calamity, and that civilians so affected have a right to protection and assistance.

It is on the basis of this belief, reflected in international humanitarian law and based on the principle of humanity, that we offer our services as humanitarian agencies. We will act in accordance with the principles of humanity and impartiality, and with the other principles set out in the Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organisations in Disaster Relief (1994).

The Humanitarian Charter affirms the fundamental importance of the following principles:

#### 1.1 - The right to life with dignity [1]

This right is reflected in the legal measures concerning the right to life, to an adequate standard of living and to freedom from cruel, inhuman or degrading treatment or punishment. We understand an individual's right to life to entail the right to have steps taken to preserve life where it is threatened, and a corresponding duty on others to take such steps. Implicit in this is the duty not to withhold or frustrate the provision of life-saving assistance. In addition, international humanitarian law makes specific provision for assistance to civilian populations during conflict, obliging states and other parties to agree to the provision of humanitarian and impartial assistance when the civilian population lacks essential supplies.

#### 1.2 - The distinction between combatants and non-combatants [2]

This is the distinction which underpins the 1949 Geneva Conventions and their Additional Protocols of 1977. This fundamental principle has been increasingly eroded, as reflected in the enormously increased proportion of civilian casualties during the second half of the twentieth century. That internal conflict is often referred to as 'civil war' must not blind us to the need to distinguish between those actively engaged in hostilities, and civilians and others (including the sick, wounded and prisoners) who play no direct part. Noncombatants are protected under international humanitarian law and are entitled to immunity from attack.

#### 1.3 - The principle of non-refoulement [3]

This is the principle that no refugee shall be sent (back) to a country in which his or her life or freedom would be threatened on account of race, religion, nationality, membership of a particular social group or political opinion; or where there are substantial grounds for believing that s/he would be in danger of being subjected to torture.

#### 2. - Roles and Responsibilities

2.1 - We recognise that it is firstly through their own efforts that the basic needs of people affected by calamity or armed conflict are met,

and we acknowledge the primary role and responsibility of the state to provide assistance when people's capacity to cope has been exceeded.

- 2.2 International law recognises that those affected are entitled to protection and assistance. It defines legal obligations on states or warring parties to provide such assistance or to allow it to be provided, as well as to prevent and refrain from behaviour that violates fundamental human rights. These rights and obligations are contained in the body of international human rights law, international humanitarian law and refugee law. (See sources listed below.)
- 2.3 As humanitarian agencies, we define our role in relation to these primary roles and responsibilities. Our role in providing humanitarian assistance reflects the reality that those with primary responsibility are not always able or willing to perform this role themselves. This is sometimes a matter of capacity. Sometimes it constitutes a wilful disregard of fundamental legal and ethical obligations, the result of which is much avoidable human suffering.
- 2.4 The frequent failure of warring parties to respect the humanitarian purpose of interventions has shown that the attempt to provide assistance in situations of conflict may potentially render civilians more vulnerable to attack, or may on occasion bring unintended advantage to one or more of the warring parties. We are committed to minimising any such adverse effects of our interventions in so far as this is consistent with the obligations outlined above. It is the obligation of warring parties to respect the humanitarian nature of such interventions.
- 2.5 In relation to the principles set out above and more generally, we recognise and support the protection and assistance mandates of the International Committee of the Red Cross and of the United Nations High Commissioner for Refugees under international law.

#### 3. - Minimum Standards

The Minimum Standards which follow are based on agencies' experience of providing humanitarian assistance. Though the achievement of the standards depends on a range of factors, many of which may be beyond our control, we commit ourselves to attempt consistently to achieve them and we expect to be held to account accordingly. We invite other humanitarian actors, including states themselves, to adopt these standards as accepted norms.

By adhering to the standards set out in chapters 1-5 we commit ourselves to make every effort to ensure that people affected by disasters have access to at least the minimum requirements (water, sanitation, food, nutrition, shelter and health care) to satisfy their basic right to life with dignity. To this end we will continue to advocate that governments and other parties meet their obligations under international human rights law, international humanitarian law and refugee law.

We expect to be held accountable to this commitment and undertake to develop systems for accountability within our respective agencies, consortia and federations. We acknowledge that our fundamental accountability must be to those we seek to assist.

#### Sources

The following instruments inform this Charter:

- Universal Declaration of Human Rights 1948.
- International Covenant on Civil and Political Rights 1966.
- International Covenant on Economic, Social and Cultural Rights 1966.
- The four Geneva Conventions of 1949 and their two Additional Protocols of 1977.
- Convention on the Status of Refugees 1951 and the Protocol relating to the Status of Refugees 1967.
- Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment 1984.
- Convention on the Prevention and Punishment of the Crime of Genocide 1948.
- Convention on the Rights of the Child 1989.
- Convention on the Elimination of All Forms of Discrimination Against Women 1979.
- Guiding Principles on Internal Displacement 1998.

#### Summary of the Minimum Standards

This section provides an overview of the minimum standards for each of the five sectors described in chapters 1-5: water supply and sanitation, nutrition, food aid, shelter and site planning, and health services. Each chapter provides indicators, guidance notes and contextual information, all of which are essential to the interpretation and application of the standards.

Minimum Standards in Water Supply and Sanitation

#### 1 Analysis

Analysis standard 1: initial assessment

Programme decisions are based on a demonstrated understanding of the emergency situation and on a clear analysis of the health risks and needs relating to water supply and sanitation.

Analysis standard 2: monitoring and evaluation

The performance of the water supply and sanitation programme, its effectiveness in responding to health problems related to water and

sanitation, and changes in the context are monitored and evaluated.

Analysis standard 3: participation

The disaster-affected population has the opportunity to participate in the design and implementation of the assistance programme.

#### 2 Water Supply

Water supply standard 1: access and water quantity

All people have safe access to a sufficient quantity of water for drinking, cooking and personal and domestic hygiene.

Public water points are sufficiently close to shelters to allow use of the minimum water requirement.

Water supply standard 2: water quality

Water at the point of collection is palatable, and of sufficient quality to be drunk and used for personal and domestic hygiene without causing significant risk to health due to water-borne diseases, or to chemical or radiological contamination from short term use.

Water supply standard 3: water use facilities and goods

People have adequate facilities and supplies to collect, store and use sufficient quantities of water for drinking, cooking and personal hygiene, and to ensure that drinking water remains sufficiently safe until it is consumed.

#### 3 Excreta Disposal

Excreta disposal standard 1: access to, and numbers of toilets.

People have sufficient numbers of toilets, sufficiently close to their dwellings to allow them rapid, safe and acceptable access at all times of the day and night.

Excreta disposal standard 2: design and construction

People have access to toilets which are designed, constructed and maintained in such a way as to be comfortable, hygienic and safe to use.

#### **4 Vector Control**

Vector control standard 1: individual and family protection

People have the means to protect themselves from disease vectors and nuisance pests when they are estimated to be a significant risk to health or well-being.

Vector control standard 2: physical, environmental and chemical protection measures

The number of disease-bearing vectors and nuisance animals that pose a risk to people's health and well-being are kept to an acceptable level.

Vector control standard 3: good practice in the use of chemical vector control methods

Vector control measures that make use of pesticides are carried out in accordance with agreed international norms to ensure that staff, the people affected by the disaster and the local environment are adequately protected, and to avoid creating resistance to pesticides.

#### 5 Solid Waste Management

Solid waste management standard 1: solid waste collection and disposal People have an environment that is acceptably free of solid waste contamination, including medical wastes.

Solid waste disposal management 2: solid waste containers/pits

People have the means to dispose of their domestic waste conveniently and effectively.

#### 6 Drainage

Drainage standard 1: drainage works

People have an environment that is acceptably free from risk of water erosion and from standing water, including storm water, flood water, domestic wastewater and wastewater from medical facilities.

Drainage standard 2: installations and tools

People have the means (installations, tools etc.) to dispose of domestic wastewater and water point wastewater conveniently and effectively, and to protect their shelters and other family or communal facilities from flooding and erosion.

#### 7 Hygiene Promotion

Hygiene promotion standard 1: hygiene behaviour and use of facilities

All sections of the affected population are aware of priority hygiene practices that create the greatest risk to health and are able to change them. They have adequate information and resources for the use of water and sanitation facilities to protect their health and dignity.

Hygiene promotion standard 2: programme implementation

All facilities and resources provided reflect the vulnerabilities, needs and preferences of all sections of the affected population. Users are involved in the management and maintenance of hygiene facilities where appropriate.

#### 8 Human Resource Capacity and Training

Capacity standard 1: competence

Water supply and sanitation programmes are implemented by staff who have appropriate qualifications and experience for the duties involved, and who are adequately managed and supported.

Minimum Standards in Nutrition

#### 1 Analysis

Analysis standard 1: initial assessment

Before any programme decisions are made, there is a demonstrated understanding of the basic nutritional situation and conditions which may create risk of malnutrition.

Analysis standard 2: response

If a nutrition intervention is required, there is a clear description of the problem(s) and a documented strategy for the response.

Analysis standard 3: monitoring and evaluation

The performance and effectiveness of the nutrition programme and changes in the context are monitored and evaluated.

Analysis standard 4: participation

The disaster-affected population has the opportunity to participate in the design and implementation of the assistance programme.

## 2 General Nutritional Support to the Population

General nutritional support standard 1: nutrient supply

The nutritional needs of the population are met.

General nutritional support standard 2: food quality and safety

Food that is distributed is of sufficient quality and is safely handled so as to be fit for human consumption.

General nutritional support standard 3: food acceptability

Foods that are provided are appropriate and acceptable to the entire population.

General nutritional support standard 4: food handling and safety

Food is stored, prepared and consumed in a safe and appropriate manner, both at household and community level.

## 3 Nutritional Support to Those Suffering From Malnutrition

Targeted nutritional support standard 1: moderate malnutrition

The public health risks associated with moderate malnutrition are reduced.

Targeted nutritional support standard 2: severe malnutrition

Mortality, morbidity and suffering associated with severe malnutrition are reduced.

Targeted nutritional support standard 3: micro nutrient deficiencies

Micro nutrient deficiencies are corrected.

#### 4 Human Resource Capacity and Training

Capacity standard 1: competence

Nutrition interventions are implemented by staff who have appropriate qualifications and experience for the duties involved, and who are adequately managed and supported.

Capacity standard 2: support

Members of the disaster-affected population receive support to enable them to adjust to their new environment and to make optimal use of the assistance provided to them.

Capacity standard 3: local capacity

Local capacity and skills are used and enhanced by emergency nutrition programmes.

Minimum Standards in Food Aid

#### 1 Analysis

Analysis standard 1: initial assessment

Before any programme decisions are made, there is a demonstrated understanding of the basic conditions that create risk of food insecurity and the need for food aid.

Analysis standard 2: monitoring and evaluation

The performance and effectiveness of the food aid programme and changes in the context are monitored and evaluated.

Analysis standard 3: participation

The disaster-affected population has the opportunity to participate in the design and implementation of the assistance programme

#### 2 Requirements

Requirements standard

The food basket and rations are designed to bridge the gap between the affected population's requirements and their own food sources.

#### 3 Targeting

Targeting standard

Recipients of food aid are selected on the basis of food need and/or vulnerability to food insecurity.

## 4 Resource Management

Resource management standard

Food aid commodities and programme funds are managed, tracked, and accounted for using a transparent and auditable system.

#### 5 Logistics

Logistics standard

Agencies have the necessary organisational and technical capacity to manage the procurement, receipt, transport, storage and distribution of food commodities safely, efficiently and effectively.

## 6 Distribution

Distribution standard

The method of food distribution is equitable, and appropriate to local conditions. Recipients are informed of their ration entitlement its rationale.

## 7 Human Resource Capacity and Training

Capacity standard 1: competence

Food aid programmes are implemented by staff who have appropriate qualifications and experience for the duties involved, and who are adequately managed and supported.

Capacity standard 2: local capacity

Local capacity and skills are used and enhanced by food aid programme

Minimum Standards in Shelter and Site Planning

#### 1 Analysis

Analysis standard 1: initial assessment

Programme decisions are based on a demonstrated understanding of the emergency situation and on a clear analysis of people's needs for shelter, clothing and household items.

Analysis standard 2: monitoring and evaluation

The performance and effectiveness of the shelter and site programme and changes in the context are monitored and evaluated.

Analysis standard 3: participation

The disaster-affected population has the opportunity to participate in the design and implementation of the assistance programme.

#### 2 Housing (shelter)

Housing standard 1: living quarters

People have sufficient covered space to provide protection from adverse effects of the climate. They have sufficient warmth, fresh air, security and privacy to ensure their dignity, health and well-being.

#### 3 Clothing

Clothing standard

The people affected by the disaster have sufficient blankets and clothing to provide protection from the climate and to ensure their dignity, safety and well-being.

#### 4 Household Items

Household items standard 1: items for households and livelihood support

Families have access to household utensils, soap for personal hygiene and tools for their dignity and well-being.

Household items standard 2: environmental concerns

Fuel economic cooking implements and stoves are made available, and their use is promoted.

#### **5 Site Selection**

Site standard 1: site selection

The site is suitable to host the number of people involved.

Site standard 2: site planning

Site planning ensures sufficient space for household areas and supports people's security and well-being. It provides for effective and efficient provision of services and internal access.

Site standard 3: security

Site selection and planning ensures sufficient personal liberty and security for the entire affected population.

Site standard 4: environmental concerns

The site is planned and managed in such as way as to minimise damage to the environment.

## 6 Human Resource Capacity and Training

Capacity standard 1: competence

Shelter and site interventions are implemented by staff who have appropriate qualifications and experience for the duties involved, and who are adequately managed and supported.

Capacity standard 2: local capacity

Local skills and capacity are used and enhanced by shelter and site programmes.

Minimum Standards in Health Services

#### 1 Analysis

Analysis standard 1: initial assessment

The initial assessment determines as accurately as possible the health effects of a disaster, identifies the health needs and establishes priorities for health programming.

Analysis standard 2: health information system – data collection

The health information system regularly collects relevant data on population, diseases, injuries, environmental conditions and health services in a standardised format data in order to detect major health problems.

Analysis standard 3: health information system - data review

Health information system data and changes in the disaster-affected population are regularly reviewed and analysed for decision-making and appropriate response.

Analysis standard 4: health information system – monitoring and evaluation

Data collected is used to evaluate the effectiveness of interventions in controlling disease and in preserving health.

Analysis standard 5: participation

The disaster-affected population has the opportunity to participate in the design and implementation of the assistance programme.

#### 2 Measles Control

Measles control standard 1: vaccination

In disaster-affected populations, all children 6 months to 12 years old receive a dose of measles vaccine and an appropriate dose of vitamin A as soon as possible.

Measles control standard 2: vaccination of newcomers

Newcomers to displaced settlements are vaccinated systematically. All children 6 months to 12 years old receive a dose of measles vaccine and an appropriate dose of vitamin A.

Measles control standard 3: outbreak control

A systematic response is mounted for each outbreak of measles within the disaster-affected population and the host community population.

Measles control standard 4: case management

All children who contract measles receive adequate care in order to avoid serious sequelae or death.

## 3 Control of Communicable Diseases

Control of communicable diseases standard 1: monitoring

The occurrence of communicable diseases is monitored.

Control of communicable diseases standard 2: investigation and control

Diseases of epidemic potential are investigated and controlled according to internationally accepted norms and standards.

## **4 Health Care Services**

Health care services standard 1: appropriate medical care

Emergency health care for disaster-affected populations is based on an initial assessment and data from an ongoing health information system, and serves to reduce excess mortality and morbidity through appropriate medical care.

Health care services standard 2: reduction of morbidity and mortality

Health care in emergencies follows primary health care (PHC)+ principles and targets health problems that cause excess morbidity and mortality.

#### 5 Human Resource Capacity and Training

Capacity standard 1: competence

Health interventions are implemented by staff who have appropriate qualifications and experience for the duties involved, and who are adequately managed and supported.

Capacity standard 2: support

Members of the disaster-affected population receive support to enable them to adjust to their new environment and to make optimal use of the assistance provided to them.

Capacity standard 3: local capacity

Local capacity and skills are used and enhanced by emergency health interventions.

## **Disaster Effects**

#### **Hasards and Disasters**

- 8. *Hasards* are sudden or slow-onset events which disrupt the lives of people and communities. The hasard may be natural (drought, floods, earthquakes) or it may be based in man-made factors (conflicts, environmental and technological degradation, political and economic deprivation etc.). More and more hasards become a result of man-made effects exacerbating a natural phenomenon (such as deforestation increasing the risk of flooding, drought triggered by adverse agricultural practices etc.).
- 9. Not every hasard having an adverse effect on communities becomes a disaster. Disasters are a *combined result* of hasards and vulnerabilities (the long-term factors which adversely affect the ability of a community to respond to hasards). Disaster only happens when it exceeds the adjustment capacity of the affected communities and individuals and their ability to cope with crisis. Therefore a disaster is fundamentally a socio-economic phenomenon. It is an extreme state of everyday life in which the continuity of community structures and processes temporarily fails.
- 10. Disasters will usually have direct and indirect, as well as short- and long-term impact on individuals, communities, systems and services. This distinction is particularly important for planning relief and rehabilitation programmes.

## **Food Insecurity**

- 11. Most famines are caused by conflict or drought. Famines are usually long-term disasters, occurring only after an extended period (sometimes several years) when resources, food stocks and coping mechanisms become exhausted. In conflict-related famines, the point at which disaster is triggered is when people are no longer able to grow food, trade is prevented, and civilians can no longer move to areas where food is available. In drought conditions famine will follow when all possible coping mechanisms have been exhausted; however, as people will gradually reduce their own rations trying to conserve food supplies, this moment may be difficult to identify.
- 12. In most rural communities the loss of one harvest will not cause immediate famine. People will try to eat less, conserving whatever food stocks exist. Those with available resources are likely to travel to more distant markets to find cheaper supplies. Food will be borrowed and old debts will be called in. Alternative crops suitable for drought conditions will be grown, while wild "famine foods" (usually regarded as too nutritionally poor to be worth consuming) will be collected, bartered or sold. To obtain money for food people will sell their labour rather than work on their own unproductive land. They may also sell family and household possessions or animals. Rising (relatively or absolutely) food prices and falling prices of other products and services, including animals and labour, are the most reliable *famine indicators*.
- 13. As conditions worsen, the family will break up, with children being sent to wealthier or distant relatives and male family members travelling to towns or areas where work may be found. Finally, entire families may migrate in search of food. As famine deepens, birth rates go down; as soon as people can see an improvement on the way a good rainy season or work income birth rates will go up again.



- 14. Repeated droughts will have a strong impact on livestock through shortages of water and fodder or higher prices. This will have a serious effect on nutrition, especially for nomadic peoples. Poor nutrition lowers resistance to disease, while water shortages can increase the incidence of water-borne diseases as people resort to drinking the most polluted water. Long droughts also attack the environment by the direct destruction of vegetation, desiccation of soil, and erosion by wind or water; and through increasing pressure from livestock and people, including the destruction of trees for fodder or for firewood, charcoal or building materials.
- 15. The long-term impact of drought may lead to changes in farming methods, especially in the conservation of water, planting of drought-resistant crops, and a shift towards low-risk farming strategies. Lack of animals and forage may force herders to move around less or become completely settled. There will also be a gradual drift of people out of rural areas into towns, especially if government policies and subsidies have kept urban food supplies cheap.

#### **Floods**

- 16. Floods happen as a result of an increase in rainfall, the melting of snow or a lessening of rivers' capacity to absorb or channel water safely. Floods may be *seasonal* (due to the regular annual rise of river water) or flash floods, caused by localised events (storms or sudden snow melts due to hot weather). Floods may be also caused by dam breaks.
- 17. The various factors leading to floods often include environmental degradation in river catchment areas, overgrazing, poor farming techniques and deforestation, reducing the ability of the soil to absorb water and increasing soil run-off. Flood conditions can also be caused or worsened by a lack of protective measures (dikes or flood embankments), the sedimentation of river beds and inadequate construction techniques or materials. There are clear risks in siting settlements, industry and agricultural activities in flood plains close to river courses or valley bottoms. But the flood plains are fertile and for many especially the poor there is no alternative but to farm the land and accept the risk.
- 18. In large river basins, flooding is typically seasonal, and water levels generally rise and fall slowly. Several days' or even weeks' warning may be possible, giving time to move food, livestock and possessions to safer areas. Local communities will usually try to evacuate themselves and their property to higher ground, as well as securing what they are forced to leave behind. An important exception will often be the poorest farmers without secure rights to their land and for whom evacuation may mean losing their sole source of livelihood. Flash floods are far more difficult to predict, and evacuation is not usually possible. Warnings will depend on the efficiency of local weather forecasts and communication systems.
- 19. Flash floods, or flooding in narrow valleys where the force of the water is great, can be very destructive, washing away houses and crops, drowning people and livestock, eroding soil, including river banks and dikes, and interrupting communications and transport. Flash floods can cause a large number of deaths from drowning, especially among the young, old and weak, but relatively few serious injuries. Slow flooding causes few deaths or injuries.
- 20. Flooding can increase public health risks from malaria and other diseases (chest, skin and gastro infections) some weeks later. Dead animals, human corpses, or damaged sewerage systems may contaminate ground water supplies when flood waters recede. Drinking water supplies are often badly affected. Food shortages are likely, if crops, animal fodder and food stocks are damaged. Flooding may disrupt logistics and communications, blocking road and rail links, bringing down telephone lines and radio aerials, and damaging motor vehicles and boats. As flood waters recede, heavy silting and water-logging may badly damage the productivity of the land.
- 21. As flood waters recede, there will be short-term needs for food, safe water, clothes, temporary shelter and basic sanitation. Longer-term needs will include reconstruction and control of disease vectors, such as mosquitoes. If food or crops have been lost but tools and seeds are available, immediate replanting may be possible. If boats and nets have not been lost, fish may provide additional food.

## **High Winds**

22. The term *high winds* covers a range of phenomena with different names in different parts of the world. These include typhoons, hurricanes, cyclones, tornadoes, tropical storms and tsunamis (tidal-waves).



- 23. The disaster threatens when a weather system of cyclical, high-speed winds (100-300 kph), accompanied by heavy rain and sharp differences of atmospheric pressure, forms over an area usually at least 100 km in diameter. Humid air twists up from warm sea water into cooler air, moving the storm forward at 10-50 kph. It increases strength until it passes over land or cooler water, which reduces the build-up of energy. In the northern hemisphere the wind circulates anti-clockwise and storms generally move north-west, while circulating clockwise and generally moving south-west in the southern hemisphere.
- 24. Reduced pressure at the centre of the storm depression can cause sea levels to rise by up to one metre, and the high winds themselves also build up waves. The slope of the sea bed up to the shore slows water going back into deeper areas and increases the volume of water surging onto the shore. The effect is increased by tides, particularly spring tides, when water levels can rise by up to eight metres, and heavy rains can create flash floods.
- 25. *Tropical storms*, the commonest form of high wind and the cause of storm surges, occur in ocean areas at latitudes close to the equator when water temperatures reach 27°C. They are tracked by meteorological surveillance and internationally coordinated warning organisations, giving opportunities for early warnings. Forecasts of general landfall areas (where the storm will hit land) are possible one or two days in advance. But accurate landfall predictions are not usually possible until a few hours before, as storms can change speed and direction unpredictably, especially as they approach coastlines.
- 26. Tropical and sub-tropical countries are the most exposed to high winds. Most vulnerable are human settlements in exposed, low-lying coastal areas or near hills and mountains prone to landslides. Poor quality housing with structures of little weight or stability increase the risk of damage and loss of life. Lack of trees, which act as wind breaks, and protective works, such as dikes or embankments, increase vulnerability.
- 27. The high winds alone cause few casualties, usually from flying debris. However, storm surges can cause a high loss of life, although with relatively few severe injuries. Storm surge flooding can also increase public disease risks. Apart from creating breeding conditions for malarial mosquitoes, flood waters may temporarily contaminate wells and other ground water supplies, while animal bodies, human corpses or sewage can cause longer-term contamination. Damage to standing crops and food stores often means food shortages until the next harvest. Tropical storms and storm surges severely disrupt communications and supplies, blocking road and rail links and preventing air traffic movement until the weather calms.
- 28. As soon as the winds calm down and flood waters recede, the local community will begin searching and salvaging. In the short term, they will require temporary shelter, food, safe drinking water, clothes and help with transport and communications, in the longer term help with rebuilding, and support for agriculture and fisheries will be required.

## **Earthquakes**

- 29. Earthquakes occur where the seismic stresses build up due to the movement of tectonic plates. The main seismic activity belts are most frequent around the Pacific Ocean and through the Himalayan-Mediterranean belt. Earthquakes are potentially very destructive events, yet long recorded experience and modern research shows that proper disaster preparedness measures can make a great difference in the level of damage, deaths and injuries.
- 30. The science of predicting earthquakes is improving but is not yet very accurate. Far simpler is to predict the type and extent of damage in a vulnerable area, with implications for building legislation and quality. Vulnerability to earthquakes is increased by the poor siting of settlements, industry, dams or roads near fault lines in the earth's crust, on ground prone to slippage, or on soils that amplify ground vibrations. Other factors relate to the quality of design, planning, the materials or methods used in construction often determined by the level of development in the vulnerable communities (similar factors apply to landslides).
- 31. Seismic events are measured on two scales: *Richter* scale records the energy released at the epicentre on a log scale, so that small differences in Richter figures represent very large differences in the energy involved; *Mercalli* scale measures the extent of physical damage over surface area on a linear-style scale from I to XII, I being imperceptible and XII corresponding to complete destruction.
- 32. Earthquakes cause tremors (ground shaking), liquefaction (upward movement of moisture creating quicksand-like soil conditions), and ground failure and rupture (cracks and horizontal displacement of land). The most common and damaging effect in inhabited areas is from tremors. Damage and destruction comes to human settlements, buildings and infrastructure including bridges, roads, railways, water treatment plants, pipelines, power generating equipment and transmission lines, and dams. Large earthquakes may be followed by

*aftershocks* over several hours or days. Structures weakened by the first shocks can be further damaged by aftershocks and are vulnerable both to nearby earthquakes and to low frequency resonance from distant earthquakes. The first impact can lead to a range of *secondary* effects such as fires, landslides and the release of dangerous materials, in addition cutting water, gas, electricity and communications.

- 33. *Casualty* rates can be high, especially in areas of high population density, where the ground is sloping or unstable, streets are narrow, or buildings are not quake-proof. While in the past there were more people injured than killed by an earthquake, now due to changes in building materials and techniques there are usually more killed than injured. The numbers of casualties are usually higher at night (when people sleep indoors) and lower in lightweight or properly reinforced housing such as wood-frame homes.
- 34. Modern materials and methods, such as pre-cast concrete structures if not built properly concentrate the impact of earthquakes, crushing and killing immediately. However, those who survive do so relatively unhurt in "voids" or spaces in the ruins of collapsed houses, waiting to be dug out by rescue workers. After initial confusion, those who are able will search for relatives or friends. Most injured and trapped survivors will be rescued by local people *without* any outside assistance. There is little time to rescue people alive: 50% of the trapped and injured will die within 6 hours, 95% within 48 hours. Rescue operations can require appropriate heavy lifting equipment, fire-fighting crews, transport and portable communications.



- 35. As well as obvious *injuries* such as cuts, bruises, fractures, and spinal damage, earthquakes cause two particular types of injuries. *Crush syndrome* occurs when the crushed parts of the body release toxins into the blood which can cause sudden kidney failure some hours after the injury or following release from under the debris. *Pneumonitis* comes from inhaling dust, which is more common in adobe buildings.
- 36. Earthquakes may have an immediate negative impact on public *health* due to destruction of infrastructure, reduction in health personnel and increased workload on those who are left. As soon as communications are restored, these problems can be rapidly resolved. However, health problems may arise due to exposure to cold, secondary flooding or when survivors are sometimes temporarily massed in camps. If unsanitary conditions develop, endemic diseases may increase rapidly. Interruption of water supplies leading to use of contaminated water can lead to outbreaks of water-borne diseases.
- 37. Problems with *water* supplies are likely because of damage to pipelines, including possible contamination from damaged sewerage systems, damage to dams or open wells, or the impact on the water table, leading to reductions in supplies from wells or surface springs. Irrigation and *food* distribution may be disrupted, but unless the earthquake is linked to flooding, there is unlikely to be loss of food stocks or standing crops. In the aftermath, communities will salvage what they can from their ruined homes and build shelters, and their needs will include medical assistance to the injured, safe water and shelter materials.

Vulnerability and Capacity Assessment

**Disaster Preparedness** 

Needs Assessment, Targeting Beneficiaries

**Food and Nutrition** 

Water and Sanitation

Shelter

Relief Health

# Potential Emergency Needs

Adapted from Assisting in Emergencies. Resources Handbook for UNICEF Field Staff, UNICEF 1986

	Famine Drought	Floods	High Winds	Earthquakes	Refugees	Conflicts
Vater and Sanitation				]		
sistribution, Storage, Treatment				1		
Rehabilitation/development of sources		2	2	1		2
xcreta disposal		U		U		
Sarbage disposal		U		U		
Personal hygiene		U		U		
ector control				U		
ood and Nutrition						
Short-term general distribution						-
ong-term general food distribution		R		U		
Supplementary/therapeutic feeding						
Agricultural production				3		
Nutritional surveillance						
Shelter						
Emergency shelter			С	С		С
Construction		4				
Blankets		С	С	С	С	С
Household fuel						
Household items (cooking utensils etc.)		4				
lealth						
Health personnel				5		
Reconstruction, transport and equipment						
Medical supplies				5		
mmunisation	_					
Diarrhoea control						
Surveillance for communicable diseases						-
Social Welfare and Tracing		<u></u>	<u> </u>		<u> </u>	
Community social services						-
Jnaccompanied children						
Schools/education						
Fracing						
Needs frequently experienced				Needs primari	ly in urban areas	U
Needs sometimes experienced				Needs prima	rily in rural areas	R
Needs rarely arise				Depe	ending on climate	С

- 1. Only if ground water flows changed
- 2. If wells or usual surface sources are contaminated or inaccessible
- 3. If major irrigation works are damaged
- 4. Only for flash floods
- 5. First few days only for casualty treatment

# Further Reading

## Disaster Management: a Disaster Managers Handbook

by N. Carter, Asian Development Bank, Philippines, 1991

## Assisting in Emergencies

A Resource Handbook for UNICEF Field Staff by R. Ockwell, UNICEF, 1986

## http://www.sphereproject.org

The Sphere Project: Humanitarian Charter and Minimum Standards in Disaster Response

## Natural Disasters, Acts of Man or Acts of God?

by A. Wijkman, L. Timberlake, Earthscan, UK, 1985

## Handbook for Emergencies

Part I: Field Operations, UNHCR, Geneva, 2000, English, French, Spanish

## Partnership: A Programme Management Handbook for UNHCR's partners

UNHCR, 1996

## http://www.unhcr.org

UNHCR Partnership guides (operational guidelines and resources), Resources for Partnership and Nutrition

#### http://www.unicef.org

UNICEF publications 1987-2002

# **Needs Assessment, Targeting Beneficiaries**

## **Needs Assessment in Emergency**

38. It is never possible to gather all the information necessary to mount a perfect relief operation before the operation starts. In the first few hours and days of a disaster, decisive action is necessary. In reality, the available information is quickly gathered, some guesses based on past experience are made, an initial plan is put together and the relief operation starts. This could mean expenditure that will later prove unnecessary, but it may make a difference between saving lives and failing to save lives.

39. As the operation gets under way, better information comes to hand, the plan is revised and the operation adjusted to suit the emerging picture. This process of constantly surveying the situation and adjusting to it goes on until a more stable situation is reached.

## **Emergency Needs Assessment Check-List**

#### General

- What is the type of disaster?
- When it occurred?
- What region(s) / area(s) are affected?

#### **Effects**

- What is the nature of damage?
- Are major cities and towns affected? If yes, to what degree?
- Is the infrastructure (housing, roads, electricity, water supply, communications etc.) affected?
- How is the situation developing? Are any secondary effects expected (after-shocks, floods, fires, avalanches, dam-breaks, mud-slides etc.)?

#### People

- How many people are assumed to be affected?
- What percentage of the overall population is affected in the area?
- What is the sex/age composition and average family size of affected population?
- How many people are assumed dead, injured, missing, homeless, hospitalised?
- Were any people evacuated? If yes, how many, where, and what are their needs?
- What was the social/economic situation of the affected population before the disaster?
- Estimated damage to food reserves, crop and livestock of the population?

#### Action taken

- What actions have been taken by national and local authorities?
- What actions have been taken by the Operating National Society?
- What actions have been taken by local and/or international NGOs?
- What assistance has already been offered, announced or delivered by sister National Societies?
- Has any relief coordination mechanism been established at the national or local level?

#### Needs

- What are the immediate unmet needs in water, sanitation, shelter, food, non-food items (clothes, blankets, cooking utensils etc.), health (medical supplies, equipment, facilities)?
- What kind of assistance may need to be provided within the coming three months?

#### Resources

- What material, human and financial resources are available locally?
- What transport and storage facilities (commercial, government, RC/RC) are available locally?
- · Availability, location and condition of roads, railways, harbours and airports?
- · What should be supplied from outside the country?
- What is the capacity of the ONS to carry out the relief operation?

#### **Telecommunications**

- How can communication be established within disaster affected area, between disaster area and ONS headquarters, between ONS headquarters and the Federation, between disaster area and Federation?
- What telecommunications equipment is required (telex, fax, telephone, radio etc.)?

## The Hierarchy of Needs

- 41. In all disaster response there is a hierarchy of needs priority tasks that need to be set. Needs assessment should be clearly focused on the needs in this order of priority:
  - The first is to provide basic life support needs: drinking water and sanitation, adequate food, appropriate medical assistance, shelter (through housing and clothing) and fuel (for cooking and heating);
  - The second is to *protect* disaster victims from physical violence and aggression, particularly in disasters involving refugees and internally displaced persons;
  - The third is to address the *psychological and social stress* caused by the disaster, providing the victims with psychological and social support
- 42. National Societies and the Federation are invariably active at the first level, occasionally at the second and increasingly at the third. Once there is confidence that the basic life support needs are being dealt with, then other less urgent but important ones can be addressed.
- 43. In earthquakes and high-wind disasters, the survey is usually most effective when starting with an assessment of *losses* personal losses, damage to infrastructure, loss of food stocks etc. However, loss assessment cannot provide a picture of remaining local capacities unless a base-line data of the pre-disaster situation is available. Therefore it is often more important (especially in case of population movements) to assess what is *available* and *not available*: this provides a basic picture of needs and remaining local capacities at the same time.
- 44. At a later stage, rehabilitation needs may have to be surveyed so that disaster victims can be assisted to return to a normal and, hopefully, less vulnerable life. In situations where the return to normality is unlikely or only likely at some distant point in the future, the longer-term welfare needs of the disaster-affected population may have to be assessed. This is often the case with refugee populations and victims of complex disasters.

## **Assessing Capacities**



45. Though people and communities have different vulnerabilities in relation to different risks, people in a precarious economic situation will usually be much more vulnerable to the immediate and longer-term effects of disasters. At the same time any individual or community – even the most vulnerable – will always have certain capacities: resources, skills and knowledge they possess, can develop, mobilise or have access to, which allow them to have more control over shaping their own future. To be successful, any relief, rehabilitation and development programmes should always be built on strengthening the capacities of affected people.

46. Capacity assessment must be carried out in parallel with the needs assessment. Here are six key questions to be asked:

- What is the capacity of the disaster-affected *community* to see to its own needs?
- What is the capacity of the local *branches* of the National Society to meet the needs?
- What is the capacity of the local and national *authorities*?
- What is the capacity of the *National Society* as a whole?
- What are the capacities of *other relief organisations*, national and international, governmental and non-governmental?
- What is the capacity of the *Federation* to provide assistance through the National Society?

## **Targeting Beneficiaries**

47. Whilst the most vulnerable are always the target of any National Society or Federation-assisted relief programme, it is not until one has a good picture of the needs and capacities in a disaster situation that a true assessment can be made of *who* is most vulnerable. In practice, National Societies may not have total freedom in choosing whom they target their assistance at. They may be allocated a sectoral role or a geographical area to cover by the local authorities. They may only have capacity in certain areas. They may find other agencies already addressing the needs.

48. Given this, these key questions are to be asked in deciding who the target beneficiaries should be:

- Taking into account total needs and capacities available, which individuals, families and communities are *most affected* by the disaster and *least able to recover* from its impact using their own means?
- Given the known strengths of the National Society, its local branches and the Federation, which particular needs are we *most suited* to provide for?
- Given the relief already being provided, or planned by other bodies, where can we bring additional value to the overall relief effort?
- It is also vital to decide *how many people* ought to be assisted. Is the programme aimed at helping all the disaster victims, or a particular percentage, a particular site, or a set number of people?

## The Survey

49. A thorough and well-conducted survey leading to a clearly prepared and realistic plan of action provides the best basis for an effective operation. On the other hand, a poor survey will lead to inappropriate and ineffective action and endless operational problems.

50. The survey has four important roles:

- To *collect* relevant information on the needs of the disaster victims and this is important on the structures and capacity of the National Society and the affected community itself to meet those needs;
- To systematically *analyse* this information;
- To make a *recommendation* on whether action is needed or not, and if so, what form of action, again taking into account and using local capacities;
- To prepare an operational plan and a survey budget.
- 51. The composition of a *survey team* is a critical consideration. It should normally cover a range of skills, including specialists as well as general managers. It should in particular include experts in logistics and staffing and management structures needed to run the operation. Wherever possible, the survey team must include Operating National Society representatives covering some of these functions or providing local knowledge of the area and the situation of the National Society.
- 52. The *survey report* fulfils two functions. It acts as a basis for the National Society and the Federation to plan and implement the relief operation, and it informs others about the scale, urgency and nature of the disaster being addressed. It may also provide a base-line data

about the status of the affected population *before* the relief operation started, which is crucial for assessing its impact later. Survey reports should always be in writing. However, in the interests of speed, critical results may also be communicated by word of mouth, telephone or radio.

#### Coordination

- 53. In any relief operation, there will be many different agencies involved international NGOs, local organisations, United Nations and Government organisations. The initial assessment and plans for an operation need to be clear about what coordinating mechanisms are being put in place and what role the National Society and the Federation will have in these mechanisms.
- 54. Coordination is even more important, as the provision of all basic services (water, food, medical care and shelter) depends on the supply lines. Often the Federation or the Operating National Society controls only the end of the supply line: in-camp food and non-food distributions, the running of a health post, the distribution of water etc. It depends therefore on the rest of the supply line food items from the World Food Programme (WFP), drugs from UNICEF, tents and blankets from other donors to carry out its work. Even where technically responsible only for point-of-delivery services, the Federation and the Operating National Society should always ensure that supply lines are safe and secure.
- 55. It is a fact that today the vital role of the international media cannot be ignored. Assessment teams should be ready to talk to and assist the media, after due consultation with the Head of Delegation and the National Society.

## Needs Assessment Survey Report Outline

#### 1. Maps of the country and disaster area

#### 2. Executive Summary.

A simple description of the disaster being addressed, the nature of the programme planned and the resources needed.

#### 3. The Survey.

Who did the survey and when?

#### 4. Background.

A short country profile explaining the current political and economic situation and the status and role of the National Society in the country. An analysis of the genesis and impact of the present disaster and any local or international relief efforts already under way.

## 5. The affected population.

Describe the affected population, indicating also its age/sex composition. For a displaced population, describe also the new host population.

#### 6. Needs and resources

- Water and sanitation. Describe also possible sources of water, possible distribution and storage systems, anticipated problems.
- Food, including food resources available, transportation, storage and distribution possibilities.
- Medical needs, including health and medical resources available locally.
- Shelter. Specify also if there is a need for clothing and blankets.
- Fuel. Is it needed for cooking or heating? What fuel is available? Is there a potential problem with fuel shortages leading to deforestation?

#### 7. Capacities

- Of the affected population. What potential skills and resources does the potential population have to help with providing relief?
- Of the local area and community. What local services exists which can be used? What is the local transport and storage infrastructure like?
- Of the National Society. What are the capacities of the local National Society branches and the Society as a whole?
- Of other organisations. What other organisations (local, governmental, international and non-governmental) are doing? What relief are they likely to provide? What mechanisms are being put in place to coordinate the efforts of all the relief organisations?

## 8. Security Situation.

Brief description of present and potential security problems that may affect any action to be taken.

#### 9. Strategy

- National Society Strategy. Does the National Society have a strategy (on paper or otherwise) for its overall work. If so describe it and show how the projected disaster response operation will interface with it.
- Strategic Aim of Federation Assistance. What does the National Society and the Federation really want to achieve with this
  programme. Are there any overall concepts which will have to be followed? Who are the target beneficiaries?

## 10. Programme Implementation

- Federation Operational Concept. Is there a need for a delegation? What functions will the delegation perform? How will it function? How will it be structured? How will it relate to Operating and Participating National Societies, the government, UN, other NGOs?
- Co-ordination. Describe what mechanisms are in place to coordinate the aid effort and how the proposed Federation programme will fit in with them.
- Programme Implementation. Briefly describe the goal, objectives, activities, coverage and cost of each project to be undertaken.
- Financial framework. Provide a consolidated budget for each project and the overall operation.
- Time frame. Outline immediate actions needed, actions in the next six months and longer term actions

#### 11. Annexes.

Possible annexes include National Society profile, country profile, maps of affected area(s), description of main activities of other agencies, contact names and addresses, needs assessment data, etc.

**United Nations Agencies** 

Vulnerability and Capacity Assessment

Managing Projects

**Disaster Effects** 

Food and Nutrition

Water and Sanitation

<u>Shelter</u>

Relief Health

Social Welfare in Relief

Population Movements

Development within Relief

Emergency Relief Appeals

# Further reading

## The OXFAM Handbook of Development and Relief

by D. Eade, S. Williams, OXFAM, UK, 1995

## Engineering in Emergencies

A practical guide for relief workers, by J.Davis and R. Lambert, IT Publications on behalf of RedR, London, 1995

## Famine, Needs Assessment and Survival Strategies in Africa

by D. Keen, OXFAM Research Paper 8, Oxford, 1993

Natural Disasters, Acts of Man or Acts of God?

by A. Wijkman, L. Timberlake, Earthscan, UK

Disaster Management: a Disaster Managers Handbook

by N. Carter, Asian Development Bank, Philippines, 1991

http://www.ifrc.org/what/response/dmis.asp

Federation's disaster management information system

http://www.unchr.ch

## **Water and Sanitation**

## **Water Quantity**

- 56. Water is essential for human life and health. People can survive without food longer than without water. There is often not enough clean, drinkable water available in emergencies, and this can create a major health hazard. Therefore, an adequate supply of clean drinking water is one of the first priorities in any disaster situation.
- 57. Less water for people directly affects their health. As the water supply is reduced, clothes cannot be washed, personal hygiene suffers, cooking utensils cannot be properly cleaned nor food properly prepared, and there is not enough water to replace that which the body loses naturally. Less water results in more skin disease, eye infections, diarrhoeal diseases and dehydration.
- 58. The human body's *basic water requirements* depend on climate, work-load and other environmental factors. The minimum requirement varies from between 3-10 litres a day. In emergency situations an individual needs at least 5-7 litres of drinking water a day, as well as 15-20 litres in addition to this for cooking, hygiene and washing clothes.
- 59. Overall *community needs*, however, are not limited only to those of its individual members. The overall community health and sanitation needs, as well as water needs for cattle should be taken into account. Correct supplementary and therapeutic feeding will be impossible unless sufficient water is available for the preparation of food and for personal hygiene.

# Daily Water Requirements in Refugee Emergency

Please check the minimum figures in the Sphere Project, Water Supply and Sanitation, available in all delegations or on the website www.sphereproject.org.

The minimum requirement varies from between 3-10 litres a day. In emergency situations an individual needs at least 5-7 litres of drinking water a day, preferably 15-20 litres for cooking, hygiene and washing clothes. Additional needs are as follows:

Out-patient health centres	5	litres/patient/day
In-patient health centres	40-60	litres/patient/day
Hospitals with laundry facilities	250	litres/patient/day
Staff accommodation	50	litres/person/day
Religious centres (mosques)	5	litres/visitor/day
Feeding centres	30	litres/person/day
Bovine cattle	25	litres/head/day
Horses/mules	20	litres/head/day
Goats/sheep	15	litres/head/day
Pigs	10	litres/head/day
Chickens	10	litres/day/100

## The Chain of Delivery

Water is not usually consumed directly from the source. It needs to be transported, stored, often purified and distributed before it can be used by the beneficiaries. All along this chain of delivery, the water has to be protected from contamination by garbage, human and animal faeces, urine and waste. If even one link in the chain is broken or weak, people will not receive enough safe water and their health will suffer.

- Water source
- · Water purification and treatment
- Transportation of water from source to consumption site
- Storage of water at consumption site
- Distribution of water to families and individuals
- Storage of water at the family/household level
- . Use of water by the family and individual.



- 60. The main sources of water are found on the surface including streams, rivers and lakes or lie underground, or come from rain water. Water from open sources is rarely pure and if used directly, is likely to require treatment. It is generally preferable to use *ground water*, especially that coming from springs, which has already passed through the soil's natural filter. Rain water is reasonably pure, but it is an unreliable water source, as it cannot usually be collected in quantities sufficient for disaster response. Rain water can be used as a water source only in areas with adequate and reliable year-round rainfall, especially during the rainy season, when surface water is particularly likely to be contaminated.
- 61. Disasters can destroy or pollute existing water sources. In big urban or industrial centres, pollution may result from the destruction of chemical factories or sewage systems especially in an earthquake. Therefore, following disaster, *all* available sources of water, including springs, wells, bore-holes and deep wells, rivers, lakes and ponds, must be thoroughly assessed for the quantity and the quality of their water, and its accessibility. The capacity of a source to provide water for an entire disaster-affected population may vary from season to season
- 62. All available water sources must be *protected* as soon as possible following a disaster to avoid their pollution. In a refugee situation they should be protected primarily from human excreta. And if necessary, they should be covered or fenced off specially for the safety of children.

## Water Quality

- Modern technology nowadays makes it possible to provide pure (bacteriologically germ-free) water in disaster situations, for
  instance through Emergency Response Units. However, where it is not possible, it should be noted that water-borne diseases
  coming from drinking not quite *clean* water are usually less serious than those resulting from a lack of water. Therefore a large
  amount of reasonably safe water is preferable to a small amount of very pure water.
- If the water quality is unknown, always assume that all water available especially that from the open sources is contaminated. Take immediate action to stop further pollution and reduce contamination.
- Rainwater, groundwater from springs and wells, or water from municipal or private systems is usually of better quality than surface water from rivers, lakes and other open sources.
- Quality is primarily important for drinking water. Water for cooking, hygiene, laundry and animals can usually be of inferior quality.
- Regular testing of water quality has to be carried out throughout the whole operation, in particular at the end of the distribution line.

#### **Water Treatment**

- 63. The most serious threat to the safety of water supply is contamination by *faeces*. Water treatment may become a complicated and costly process, requiring specialised professional knowledge. Therefore avoid if at all possible the taking of water from sources that need treatment. If this is unavoidable, water treatment should be restricted to where it is absolutely essential.
- 64. *Covered storage* is the simplest method of improving water quality. *Sand filtration* is an effective method of water treatment. *Chemical disinfecting* on a large scale is usually recommended when storage or filtration cannot meet needs. *Water purification tablets* can often be the only way to treat water, and are therefore widely used. *Boiling* of water is not at all appropriate for large-scale water treatment.
- 65. Technology and equipment for water provision should be simple, reliable and familiar to the country. To be effective, water treatment has to be combined with improved personal hygiene and environmental health practices.

## **Transporting Water**

66. Water always has to be transported from the water source to the place of consumption or distribution. If the source is nearby, the affected population will do it and portable water containers (jerry-cans, buckets etc.) may have to be provided. When choosing containers, prefer those traditionally used by the population. And, if possible, the same containers should also be used for household storage of water.

67. Long-distance transportation of large amounts of water usually requires quite sophisticated equipment and should therefore be avoided as a long-term solution. The availability of adequate water should be one of the major criteria in selecting sites for temporary or semi-permanent settlements. Tanker trucks, available locally, normally carry fuel, so if hired for hauling water, they must be cleaned thoroughly before use.

## Storing and Distributing Water



68. It will nearly always be necessary to store water in covered tanks between the source and distribution points. A certain amount of water always has to be temporarily stored in households. The affected population may have to be provided with water containers (jerry-cans, buckets etc.). The containers should be portable and sufficiently lightweight to be easily carried by women or children when full, as in most cases they are also to be used for collecting and carrying water. It is also important to provide containers that can be easily filled from the distribution point taps. Household storage should be sufficient to enable families to store enough water to last until the next distribution.

69. Beneficiaries should have easy but controlled access to water. Where people have to fetch water from considerable distances, they tend either not to fetch enough for limiting disease, or to collect it from closer, possibly contaminated sources.

70. Water can be distributed to beneficiaries in a number of ways, depending on local conditions. Uncontrolled access of individuals to primary water sources should be discouraged. A distribution system should have enough sources and/or outlets for the population it serves

71. Water distribution sites should be identified based on the following factors:

- Possibility to ensure a fair and equal distribution of water;
- Easy access and turn-around space for tankers;
- Good drainage from the distribution point;
- Availability of space for storage to give a 24-hour reserve;
- Possibility to develop the site for ease of off-loading, increased storage and improved distribution.

72. Tankers are expensive to run and should be used to transport water, not to distribute it. Only where tankering is the immediate emergency water supply solution, tankers may have to discharge directly into individual containers. Otherwise they should not off-load directly into individual family containers, which takes a long time, but into static storage tanks which can be done much more quickly. Static tanks should be set up as soon as possible. Consider fitting extra discharge pipes to the tanker to speed off-loading.

73. The advantages of erecting static tanks at distribution sites are:

- The tankering operation can be separated from queues and possible unrest; people do not need to queue for so long to collect water because they can use taps fed continuously by the tanks;
- Reduced tanker turnaround time (as tankers can discharge more quickly into tanks than into individual containers) means that more
  water can be delivered. If sufficient water is already being delivered, the number of tankers can be reduced. Higher flow rates can be
  achieved by using large diameter hoses, several hoses for discharge or both. On flat terrain, gravity discharge restricts the height of
  the receiving tank. Pumps can be used to lift water to an elevated tank, if necessary.
- A tankered water supply is vulnerable to tanker and pump breakdowns, fuel supply problems, and heavy rain preventing tanker
  movement along the supply route. Static tanks provide a reserve of water for when there is a break in supply. The greater the storage
  at the distribution site the better;
- The storage of water can have a beneficial effect on the quality of water. Suspended solids in turbid water have time to settle in the

storage tanks, tanks, however, need regular cleaning to remove the settled solids. The number of water-borne pathogens significantly decreases during storage.

- 74. It is extremely important to be ready and organised for the first distribution. People will be anxious about getting their share of water at the first delivery. Establish a well-organised distribution system: ensure that people know there will be a regular distribution, use stewards and roped queues to control crowd waiting for water, ease anxiety and avoid overloading one site by arranging that, with the first delivery of water on the first day, all the tankers arrive at their allotted sites and deliver at the same time. Try to build up adequate stocks of water quickly.
- 75. In many countries household water is delivered and used mostly by women and children. This has to be taken into account in designing and implementing any water supply system. Water points should be located in places accessible to women whose customs might hinder their movements. The pumps should be easy to handle. Facilities for washing clothes and for separate bathing, culturally accessible for women, should also be planned.

## **Waste and Drainage Water**

76. Waste and drainage water can be contaminated with harmful vectors and agents of communicable diseases, and can consequently pollute water sources. Along with providing water that can be used by people, this used and sullied water must be constantly monitored. Stagnant water should be avoided due to potential danger of vector-transmitted diseases (i.e. malaria). Waste water generated in the community can be usefully recycled to water livestock, irrigate vegetable gardens or to flush latrines.





# Supplying Water to Refugees

- In refugee camps it is often necessary to construct a whole water supply system (intakes, pumping sets, treatment and storage facilities, distribution pipeline networks, service points, transport and drainage outlets) for the collection, treatment, storage and distribution of potable water.
- Most refugee assistance programmes tend to be long-term. Therefore refugee water supply systems should from the very beginning be designed and constructed accordingly, also taking into account the needs of potential new arrivals and local resident population.
- Locally available resources, materials and refugee labour should be used as much as possible. Pumping requirements should
  always be calculated to be minimal. Maximum use should be made of gravity flow for treatment, water delivery and distribution. And
  refugees should be trained in the maintenance and repair of the system.

## **Sanitation**

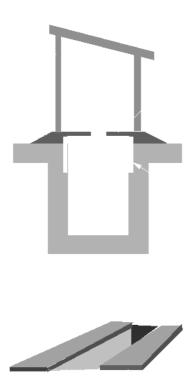
- 77. Sanitation covers the provision of safe water, as well as the disposal of human excreta, waste water and garbage, insect and rodent control, safe food-handling, site drainage etc. All these are closely interrelated and should be addressed together.
- 78. Sanitation conditions also directly affect people's health. Proper sanitation is like water, with which it is directly linked a top priority in disaster situations. Particularly when the disaster-struck community is displaced from its normal environment.
- 79. The key to reducing health hazards is proper disposal of human excreta. As this is usually the major source of water contamination, all water sources must be kept free of human waste by being separated from sanitation facilities.
- 80. Poor sanitation can lead to the following diseases:

- Faecal-Oral diseases transmitted by faecal-oral route, where the pathogen is in the water used for drinking or alimentation (Cholera, Typhoid, Diarrhoea, Dysentery, Hepatitis, Ascariasis). They can be water-borne or water-washed;
- Water-washed diseases which are related to poor hygiene but are not faecal-oral nor water-borne (skin infections scabies, leprosy, eye infections trachoma, conjunctivitis; louse-borne typhus);
- Water-based transmitted infections, when the pathogen needs an aquatic intermediate host (Guinea worms, Schistomiasis, Clonorchiasis);
- Water-related insect vector-transmitted diseases, when the agent is transmitted by insects that breed in water, or live and bite near water (Malaria, Filariases, Yellow Fever, Trypanosomiasis).

## **Basic Preventive Measures**

The following simple measures can help to reduce or even eliminate the diseases associated with poor sanitation:

- Protect water sources.
- · Dispose of excreta and build latrines.
- Clean up and create a garbage collection and disposal system.
- Educate the affected population in basic hygiene.
- Train Red Cross or Red Crescent workers in community health and sanitation.
- · Carry out vector control and protection.



## **Disposing of Excreta**

- 81. The safe disposal of human excreta is *more* important than the disposal of animal wastes, because more diseases affecting humans are transmitted by human waste. Human faeces is more dangerous than urine. To prevent the contamination of water sources, excreta disposal should always be localised as soon as possible.
- 82. The choice of an excreta disposal system will mainly be determined by traditional sanitation practices. In constructing latrines, one should always take into account local sanitation practices, methods of anal cleaning, preferred position (sitting or squatting), the need for

privacy, segregation of sexes and other groups, cultural taboos, special orientation of latrines etc. The latrines should be safe for children and must be able to be used at night.

83. Latrines will only be used if culturally acceptable, clean, easily and safely accessible. If people have to walk a considerable distance to a latrine, they will defecate in a more convenient location regardless of the hazard to health. It is also necessary to ensure that the latrines are cleaned on a regular basis.

## Waste Water and Garbage

- 84. Waste disposal is often overlooked in emergency situations. Probably because of the scarcity of resources, disaster victims are thought to re-use every single item, including small tins or cartons. This is only partially true, and disaster victims have waste which must be properly buried or burnt according to their culture or environment.
- 85. Poor garbage disposal increases the risk of insect- and rodent-borne diseases. Disposal should be accomplished by burial at designated locations or removal of garbage from the area. Burning of garbage on site should be avoided. Particular attention should be exercised in the disposal of all medical waste (medicines, needles, scalpels, syringes, dressings, amputates etc.), especially as children can easily get infected while playing with them. If possible, an incinerator for health installations should be found or constructed.
- 86. Waste water is created by washing, bathing and food preparation. The sources of waste water must be identified and drainage provided. Washing should be separated from the sources of drinking water, and special washing areas identified when necessary.

#### The Dead

87. Dead bodies (human or animal) left in the open do present a health risk, especially if the cause of death was cholera, typhus, plague or other contagious disease. Therefore they should be disposed of as soon as possible. Dead bodies must be protected from flies, rodents, animals and birds. For human bodies, wherever possible the traditional burial methods should be used. Burial is the simplest and best method, if acceptable to the community and physically possible. Purely health considerations provide no justification for cremation, which requires considerable amounts of fuel.

#### **Water and Sanitation Mission Assistant**

88. A Water and Sanitation Mission Assistant CD-Rom, distributed early March 2001 to Regional and Country Delegations and Operating National Societies, provides important documents for the work of Wat-San delegates, their counterparts and Health / Wat-San National Society Staff. It is of equal interest for Technical / Logistics Services of National Societies and for those involved in the procurement of equipment as it includes the joint Federation-ICRC catalogue on Wat-San emergency equipment. The CD-Rom will be up-dated periodically. Some of the documents are / will be published on the Internet. The March 2001 version of the Wat-San CD-Rom includes:

- Working documents:
  - o Delegate's briefing pack
  - o Project Management tools
  - o Equipment catalogues
  - o Latrines SanPlat approach
  - o PHASR (Participatory Hygiene and Sanitation Transformation)
  - o Emergency Response Units (ERU)
- Slide shows:
  - o Pictures of works
  - Presentations
- Knowledge base:
  - o Background information
  - o Standards (WHO, Sphere)
  - o Addresses and contacts

Disaster Effects

Needs Assessment, Targeting Beneficiaries

Food and Nutrition

Shelter

Relief Health

Population Movements

Emergency Response Units

# Further Reading

## Engineering in Emergencies

A practical guide for relief workers, by J.Davis and R.Lambert, IT Publications on behalf of RedR, London, 1995

## Rural Water Supplies and Sanitation

by P. Morgan, The Macmillan Press LTD, 1994 London and Basingstoke, English

## Public Health Engineering in Emergency Situations

MSF, France, 1994

## **Guidelines for Drinking Water Quality**

WHO Geneva, 1993, English, French

## A Guide to the Development of On-site Sanitation

WHO Geneva, 1992, English

## **UNHCR Water Manual for Refugee Situations**

Programme & Technical Support Section, Geneva 1992, English

## Water Supply and Sewerage

McGraw-Hill Book Co.- Singapore, 1991, English

#### Sanitation without Water

Macmillan Education, Hong Kong, 1989, English

## Assisting in Emergencies

A Resource Handbook for UNICEF Field Staff. United Nations Children's Fund, Geneva, 1986, English.

## Hand Dug Wells and their Construction

Intermediate Technology Publications Ltd., London, 1981, English.

## Handbook of Gravity-Flow Water Systems for Small Communities

by Thomas D.Jordan. Intermediate Technology Publications Ltd., London, 1980, English.

## Water Treatment Glossary

Lexique Technique de l'Eau, Français-Anglais, English-French, Degrémont

#### Water Treatment Handbook

Vol.1-2, Degrémont, English, French

## Water and Sanitation Mission Assistant CD-Rom

International Federation of Red Cross and Red Crescent Societies, March 2001

## **Food and Nutrition**

## **Food Security**

89. The Federation recognises that food security is of supreme importance in maintaining and improving the nutritional status of millions of people who suffer from persistent hunger and malnutrition, and the many others threatened by it. Targeting the most vulnerable, as stated in Federation policy, demands attention to food security issues in all countries at both the local and national levels.

90. Food security means the access by *all people* at *all times* to the food needed for an active and healthy life. Food security and adequate nutrition benefit both the individuals and the country's economic development. For a *country* to have food security, there must be sufficient food supplies at both the national and local levels, stability of food supplies from one harvest to another, and households with

the means to obtain food.

- 91. At the *household level*, food security is the ability to secure, either from the household's own production or through purchases, food adequate to meet the dietary needs of the household members. This will depend on the food available to the household being of sufficient variety, quality and safety, being shared according to individual needs, and on each family member having good health to be able to benefit nutritionally from the food.
- 92. *Food insecurity* leads to much human suffering. Apart from inflicting pangs of hunger and damaging the body, its other physical, social and economic effects include substantial productivity losses due to reduced work performance, a lowering of the ability to think and school performance, and reduced income earnings. Such a wide range of effects underlines the interdisciplinary nature of the food and nutrition assistance programmes, and requires that most of the Delegation members participate in planning and implementation of such programmes.
- 93. Food emergencies come about when populations do not have adequate access to food. They can be either chronic or acute. The acute emergency requires immediate intervention in the form of emergency food aid programs. Depending on available resources, the Federation may provide assistance to meet food needs arising from emergency situations or through development projects. Both types of assistance are often co-ordinated with other agencies, particularly the World Food Program (WFP) a United Nations programme for global food aid and the United Nations High Commissioner for Refugees (UNHCR), which co-ordinates most refugee assistance programmes.

## Strategies for Food Assistance

- Choose strategies for providing food assistance according to the particular needs of each situation and target population group.
   Approach will be different if the needs are localised in particular geographical areas, or are nation-wide; if the needs are concentrated in either rural or urban areas, or equally in both; and if populations are dispersed, or concentrated in particular areas or camps (refugees /displaced persons);
- Priority should be given to ensuring that all households have access to adequate basic food supplies. Additional supplementary
  feeding may be needed to meet the special needs of the malnourished and to safeguard the nutritional health of other vulnerable
  groups. But the value and success of programmes will be compromised if basic supplies are not secured;
- Determine the length of time the food aid is likely to be needed at the outset of the operation. Although any immediate needs must be quickly met in any case, the overall approach taken may be very different depending on whether only short and/or long-term food aid is required. Try to provide free relief distributions only for the minimum period necessary. Where appropriate, always consider organising Food-for-Work programmes, exchanges against beneficiaries' own produce and market support;
- Try to avoid or minimise possible disincentive effects of prolonged distributions, and avoid creating dependency.

## Types of Food Aid

94. Food assistance will not be needed where disasters have no major effect on food stocks or crops, or where the effect is very localised, and when people are able to draw on their own savings or food reserves. There are three main types of food assistance for the most common situations:

- Short-term relief. The need for short-term food relief, rapidly followed by rehabilitation and development activities, is typical of many "sudden" disasters, including floods, earthquakes, high winds, fires, pest attacks, short-term civil disturbances etc. Food stocks can be destroyed, normal food supply and marketing systems disrupted, and crops damaged or lost. The aid might be required for only a few days which is the case with many earthquakes or up to the next harvest, when subsistence farmers and agricultural labourers have totally lost food stocks and crops;
- *Deferred assistance*. Assistance deferred until just before the next harvest, for example will be the case following events which have damaged but not totally destroyed crops or food stocks, as in many floods, storms and localised droughts;
- Long-term assistance. Here, assistance is provided over a long period and combines both relief and self-reliance development activities. Over time, the balance shifts progressively away from relief. This type of assistance applies to emergencies due to successive crop failures and most situations involving refugees or displaced people.
- 95. The balance between relief and more productive applications of food assistance, and the rate at which the balance can be shifted towards the latter, depends on many factors. These include the initial health and nutritional condition of the people, the possibilities for growing food or engaging in other income generating activities, government policies, security situation etc.

# Food Aid Target Groups

Different groups within the main population will have different degrees of vulnerability, different needs and different capacities for food self support. In setting priorities for emergency food aid, these groups along with their strengths and weaknesses should be distinguished and considered separately. Such groups include:

- Refugees who have fled across national frontiers for fear of persecution or for reasons of survival;
- Displaced people who have left their homes and means of livelihood and moved within the territory of their own country;
- Returnees people who were refugees or displaced but are now returning to their original homes and may need temporary help to re-establish themselves;
- Rural landless farm labourers and, in some cases, artisans unable to find any employment;
- Small farmers those with small holdings who normally meet most of their own subsistence needs and who may sell small quantities of produce;
- Urban populations, particularly the poor, and those who depend for their livelihood on casual labouring and petty trading the so-

- called "third sector activities":
- Vulnerable groups within each of these distinct population groups. Depending on the circumstances the following might be
  considered to be nutritionally vulnerable: infants, young children, pregnant women, nursing mothers, unaccompanied children,
  widows, elderly people without family support, disabled people.

# **Deciding What Food is Needed**

96. Any initial assessment of the food situation must include assessment of the nutritional requirements of the target beneficiaries. This ought to cover estimates of production and purchases from revenues available to them, the important consideration of weaning food preparation for very young children, and the availability of local milling and other food preparation facilities. Cost and time considerations will often be decisive in large, logistically complex operations.

97. The food distributed should meet the beneficiaries' nutritional requirements, taking into account other foods available to them. Distributed food should be:

- Available for timely distribution;
- Fit for human consumption;
- Nutritionally suitable;
- Culturally acceptable;
- Readily usable by the beneficiaries;
- Convenient for transport, storage and distribution;
- Cost-effective:
- Local as far as possible, without upsetting local market prices;
- Accompanied by complementary foods, making palatable meals possible;
- Given along with fuel, cooking utensils and, for whole grain, with mill or grinding facilities.

98. The main aim of food assistance is that beneficiaries obtain a *balanced diet*. In practice this may be difficult – particularly during the first few days after a sudden emergency. Priority then should be given during this crucial stage to providing adequate nutritional energy, mainly through the distribution of cereals in readily usable form. A full set of basic foods – a food basket – should be distributed as soon as possible (especially in the case of refugees and displaced persons, arriving malnourished and in poor health) to ensure adequate quantities of protein and fats as well as energy.

99. The usual food basket for general distribution in relief actions consists of:

- An appropriate staple food, usually a cereal such as maize, wheat, rice, millet or sorghum;
- A *protein-rich* food, such as legumes (lentils, beans, peas, etc.) or groundnuts;
- A rich source of energy, for example vegetable oil.

100. Where a population is more-or-less totally dependent on relief for more than three months, complementary foods providing essential *vitamins* and *minerals* should also be provided in order to prevent deficiency diseases. Every effort must be made to provide fresh fruits and/or vegetables or cash to purchase them. Where a specific nutrient deficiency can be anticipated, it is of vital importance to supply the relevant nutrients in sufficient quantities to help prevent the disease (e.g. Vitamin C in areas where scurvy is likely due to lack of fresh fruits or vegetables). Salt, sugar, spices or tea are often added to improve the palatability of meals.

## Whole Grain or Flour?

Cereals constitute the major part of all emergency food aid distribution, and in certain cases are the only commodity required. When wheat or maize is the preferred cereal, the choice is between whole grain cereal and flour. Here are their advantages and disadvantages.

The whole grain cereal contains more micronutrients, has a longer shelf life, less losses during handling, and is more easily recuperated and rebagged if bags tear. And cheaper per tonne than flour. However, wheat needs to be milled before it can be used by households and loses weight in milling, although the husk can then be used for animal feed or fuel. Maize, on the other hand, can generally be pounded by households with less loss.

Flour can be used directly, but is subject to greater loss and spoilage during handling, transport and storage. It can be fortified with vitamins and minerals either before shipping (though it will cost more and may delay shipment) or at the local level if equipment and supplies are available.

Where milling or grinding facilities can be assured at the community level – without exploitation of beneficiaries by mill owners – whole grains are generally preferred. However, if transport capacity is severely limited or supplies have to delivered by air (excluding airdrops) the delivery of flour will be more effective in terms of the quantity of nutritional energy delivered. And some vitamin and mineral fortified flours may be important for food aid dependent populations until other local food providing the same micronutrients can be obtained.

#### **Uniform Standards**

- 101. Though absolute standardisation may be neither possible nor appropriate, the following principles should be generally followed in any food assistance programme:
  - Similar rations should be given by all organisations engaged in general food assistance to different communities in generally similar

- conditions covered by a programme. Competition between agencies must be avoided;
- Provisions for refugees and the displaced persons should not be in excess of what is available to the surrounding local population, who should also be provided for if necessary;
- Essentially the same aid should be given to similar refugee groups in similar situations in different neighbouring countries;
- Uniform criteria for starting up food assistance in any form is essential. Equally important is to agree on exit criteria at the start of such programmes.

## **Meeting Energy and Nutrition Needs**

102. Different individuals have different nutritional requirements depending on their age, sex, height, weight, climate, physical activity level and other factors. The following average requirements are used as a basis for planning of food requirements for affected populations, and they have been agreed by international agencies involved in food aid:

- *Energy*. The minimum average requirement is 2,100 kcals per person per day. This is to be considered a maintenance-level ration only, to help avoid immediate deterioration of the nutritional status. This may be increased with 100-200 kcals/person/day if there is widespread malnutrition i.e. malnutrition not limited to young children. When people must engage in heavy work (such as construction or early stage of agricultural settlement), the energy requirement increases to 2,500-3,500 kcals. If the people are exposed to cold, the requirement increases, especially if there is no adequate shelter and blankets. The requirement may also be modified if the demographic composition is unusual for example, if the proportion of adult males is unusually high or low. If people were already malnourished or otherwise ill before a disaster, if the displacement period has been long and difficult or if there is a lot of disease among disaster-affected communities, higher energy intakes will have to be ensured to rehabilitate the victims and provide sufficient energy and nutrients for children's catch-up growth;
- Fats and Oils. A minimum of 10% of the energy provided should be in the form of fats or oils. Depending on the fat or oil content of other items in the diet, 15g 40g of edible fat or oil may be required. In cold climates, this must be increased during the winter;
- *Protein*. From 10%-12% of the energy should be in the form of protein, the actual amount depending on the quality of the protein in the foods consumed. 52g 63g of protein may be required to give the minimum of 2,100 kcals of energy;
- *Vitamins and minerals*. The minimum daily requirement of all essential micronutrients, or vitamins and minerals, must be assured in the diet.



## A Typical Food Aid Ration

For a population without access to food from other sources, the minimum average nutritional requirements of 1,900 kcal/person/day may be met by distributions based on the following daily intake or ration:

- Basic Foods Complementary Foods
- 400 g cereal flour 30 g fortified cereal blend
- 60 g pulses 15 g sugar
- 20 g oil or fat 5 g salt

Depending on the particular commodities, the above diet would provide: 1,840-1,990 kcals, 50-60g protein (11-12% of energy requirements) and 25-32g fat (12-14% of the energy).

	CALORIC AND NUT	RITIONAL VALU	ES OF CO	MMON FOODS					
		per 100 G edible substa	ance						
FOOD	Energy - Kcal	Protein - G	Fat - G	Retinol - Vitamin A - mG	Vitamin C - mG				
	CEREALS								

Maize, whole grain	362	9,5		0	0
Maize, flour	362	9,2	4,0	50-150	0
Wheat, whole grain	321	11,5	2,0	0-3	0
Wheat, flour	350	10,0		0	0
Millet, flour	365	7,6	2,0	0	0
Sorghum, flour	353	7,6	2,4	0	0
Sorghum, whole grain	344	10,0		0	0
Rice, polished	363	7,0	0,6	0	0
Rice, parboiled	364	7,0	0,6	0	0
Oats, without husks	368	12,0	7,1	0	0
		STARCHY FOOD	) S	J	
Bananas	119	1,0	0,2	37,5	10
Cassava, fresh	135	1,0	0,2	5,0	30
Platain (false bananas)	128	1,0	0,3	30-175	20
Potatoes	72	2,0	0,1	2,0	18
Sweat Potatoes	114	1,5	0,2	12	30
Taro	106	2,0	0,25	1,6	5
Yams, fresh	104	2,0	0,2	1,6	10
		PULSES		<u> </u>	
Horse Beans, dried	328	25,0	1,2	10,8 - 21,6	0
Chickpeas, dried	346	20,0	3,4 - 5,0	30,0 - 45,0	0
Groundnuts, fresh	333	15,0	25,0	0 - 1,8	10
Groundnuts, dried	548	23,4	45,3	0 - 2,5	0
Groundnuts, fried	613	26,4	49,0		0
Lentils, dried	339	24,0	1,4	17,0 -25,0	0
Mungbeans, dried	341	24,0	1,1	9,0 - 21,0	0
Soja beans, dried	385	35,0	18,0	33,0 - 63,3	0
		VEGETABLES		<u> </u>	
Horse Beans Sprouts	104	13,3	0,6	5,0 - 12, 0	30
Soja bean Sprouts	58	5,5	1,2	4,0	10
Okra	33	2,0	0,2	23,0 - 31,0	25
Onions	32	1,5	0,2	5,0 - 33,0	50
		FRUITS			
Avocado	230	1,9	23,5	12,0 - 88,0	15
Mango	56	0,5	0,3	313 - 533	30
Рарауа	39	0,6	0,1	93 - 158	50
		FATS and OILS			
Butter	717	0,7	52,0 - 83,0	620 -730	0
Ghee	873	0,3	97,8	298	0

Palm oil (red)	938	0	98,7	6,000-9,410	0
Groundnut Oil	924	0	99,4	0	0
Soya Oil	917	0	98,6	0,6	0
			FISH		
Sweet water, no bones	124	18,0	5,74	1,0 - 66,0	0
Salt water, no bones	101	17,5	3,46	0 - 38,0	0
Dried fish, salted	372	79,2	2,5	0	0
		N	IEAT		
Beef, lean	174	20,6	10,2	15	0
Pork, lean	376	14,1	35,0	0	0
Chicken	133	20,6	5,6 - 7,2	10 - 56	0
		MILK and M	ILK PRODUCTS		
Cow milk	65	3,3	3,8	23,0 - 38,3	1,5
Low Fat milk powder	371	35,0	0,97	0 - 12,0	0
Full Fat milk powder	506	25,2	26,2	218 - 253	0
Yoghurt, skimmed milk	76	3,5	0,1	0	0
		SI	JGAR		
SUGAR, white	400	0	0	0	0
		E	GGS		
EGGS	158	13,0	11,2	220 - 400	0

	Full rations based on RICE as a staple food											
	Quantity	Energy	Protein	Needed for 1,0	000 people (MT)							
	grams	Kcal	grams	for 10 days	for 1 month							
Rice	400	1 330	28	4	12							
entils.	80	280	20	0,8	2,4							
Beans	80	250	17	0,8	2,4							
Edible Oil	50	450		0,5	1,5							
'egetables	100	50	2	1	3							
Sugar	30	110		0,3	0,9							
Salt	5			0,05	0,15							
otal	665	2 220	50	6,65	19,95							
pproximately	670	2 200	50	6,7	20							
		Full rations base	ed on MAIZE as a staple food									
	Quantity	Energy	Protein	Needed for 1,0	000 people (MT)							
	grams	Kcal	grams	for 10 days	for 1 month							

Maize	400	1 400	37	4	12
Beans	80	250	17	0,8	2,4
Edible Oil	50	450		0,5	1,5
Vegetables	100	50	2	1	3
Sugar	30	110		0,3	0,9
Salt	5			0,05	0,15
Total	665	2 260	56	6,65	19,95
Approximately	670	2 200	55	6,7	20
		Full rations based	d on WHEAT as a staple food		
	Quantity	Energy	Protein	Needed for 1,0	000 people (MT)
	grams	Kcal	grams	for 10 days	for 1 month
Wheat	400	1 330	40	4	12
Peas	80	240	17	0,8	2,4
Edible Oil	50	450		0,5	1,5
Vegetables	100	50	2	1	3
Sugar	30	110		0,3	0,9
Salt	5			0,05	0,15
Total	665	2 180	59	6,65	19,95
Approximately	670	2 200	60	6,7	20
		Full rations based	d on MILLET as a staple food		
	Quantity	Energy	Protein	Needed for 1,0	000 people (MT)
	grams	Kcal	grams	for 10 days	for 1 month
Millet	400	1 260	30	4	12
Groundnuts, dry					
	60	340	14	0,6	1,8
Edible Oil	60 50	340 450	14	0,6 0,5	1,8
			2		
Vegetables	50	450		0,5	1,5
Edible Oil  Vegetables  Sugar  Salt	50	450 50		0,5	1,5
Vegetables Sugar	50 100 30	450 50		0,5	1,5 3 0,9

## **Anthropometric Measurements**

103. To measure the level of malnutrition – acute or chronic – different anthropometric measurements are used. In general, anthropometric measurements are conducted:

- To assess prevalence of malnutrition in a community or population (initial assessment);
- To monitor the impact of relief programmes through nutritional status of a community or population (follow-up, surveillance);
- To monitor the impact/relevance of interventional through nutritional status of individuals attending a specific rehabilitation programme.

104. In emergency situations the following anthropometrical measurements are used: *Weight for Height* (W/H) and *Middle-Upper-Arm Circumference* (MUAC). W/H method is useful in monitoring individual growth, especially where the correct age assessment is not

possible. However, it is time consuming and requires certain experience. MUAC measurements are rapid and easy to do with very simple equipment, but they are valid only for certain age groups and not suitable for individual growth monitoring. Whatever method is used however, the measurements should be supervised by a competent nutritionist.

105. Anthropometric measurements are usually conducted on children, as hazardous effects (inadequate medical care, food shortages, disease etc.) will be rapidly reflected on their growth. Usually the children of 6-59 months old and of 65-109 cm height are included in the measurements: this selection needs to be respected to allow the comparison of results of different nutritional evaluation.

106. Three indicators can be used:

- the prevalence of *global malnutrition* expressed as percent of children with W/H under 2Z-scores (or 80% of median) and/or oedema. Global nutrition consists of moderate and severe malnutrition
- the prevalence of *moderate malnutrition* expressed as percent of children with W/H < 2 and ≥ 3Z-scores (or <80% and > 70% of median)
- the prevalance of severe malnutrition expressed as percent of children with W/H below 3Z-scores (or below 70% of median) and/or oedema.

Note that median method shows lower prevalence than results expressed in Z-score

107. Children with Mid Upper Arm Circumference ("MUAC") below 12.5 cm are malnourished, with those between 12.5-11.0 cm classified as moderately malnourished and those < 11.0 cm severely malnourished. Note that MUAC is only used for rough screening.

108. If the results of anthropometric measurements show a prevalence of >10% malnourished, relief action should be planned. If the prevalence is >15%, immediate action is required (see tables below).

## **Supplementary Feeding**

109. Supplementary feeding is organised for selected individuals – malnourished or particularly at risk nutritionally – in addition to general food distribution. It is done either at feeding centres, where selected beneficiaries receive a prepared meal and eat it on the spot, or through distribution of additional dry rations. Supplementary feeding ought to aim at providing an additional 350-500 kcals of energy, including 15-20 g of protein, per day.

110. The following principles should be observed in any supplementary feeding programme:

- Surveillance systems must be established to monitor nutritional needs of the population
- Must have clear admission, discharge and follow-up criteria
- Supplementary feeding rations should provide extra energy and protein and vitamins and minerals lacking in the general diet or ration of the beneficiaries concerned;
- Food ought to be culturally acceptable and able to be readily used to prepare food especially suitable for malnourished young children;
- Cooking utensils and fuel must also be made available, as well as facilities for milling or grinding whole grains where used;
- Locally relevant health and nutrition education should always be included in a supplementary feeding programme;
- When the majority of supplementary feeding beneficiaries will be young children, the food is best given as a thick porridge: easily digestible but dense in nutrients. The ingredients used for the porridge must be energy- and nutrient-dense and low in bulk when prepared:
- The possible underlying cause(s) of malnutrition should be identified and addressed.

111. During the difficult early stages of an emergency – when it may be difficult to handle a variety of commodities and obtain appropriate mix of suitable quick-cooked items – the use of pre-cooked or processed cereal blends may be justified. If they are used, the following should be considered:

The base cereal should be one that is familiar to the beneficiaries;

The "instant", pre-cooked or extruded versions are particularly convenient, but are also very expensive and rarely available at short notice;

The use of such items should be restricted to particularly difficult situations – when the disadvantages of unfamiliarity and cost are clearly outweighed by the convenience factor;

Dried Skimmed Milk (DSM) can be a valuable and convenient protein-rich food for supplementary feeding. However, it should only be used under the strictest hygiene and control of its reconstitution into liquid form.

## **Therapeutic Feeding**

112. Therapeutic feeding is a medical treatment and should be provided *only* under medical supervision. The aim is to rehabilitate very severely malnourished children who in many cases are also suffering from underlying infectious diseases such as tuberculosis, measles, worms/parasites and malaria. Since the general health of these children is very fragile, they need to be fed precise quantities of a specially prepared food, usually composed of dried skimmed milk, oil and sugar.

- 113. Depending on the rate of nutritional recovery, this diet will have to be changed gradually so that it comes to resemble a supplementary feeding scheme. Therapeutic feeding should be introduced only where nutritional specialists are available.
- 114. The following principles should be observed in any therapeutical feeding programme:
  - very clear criteria to admission, discharge like food appetite, no diarrhoea, fever, parasite infection or other untreated illness, follow-up and monitoring.
  - there is a mean weight gain of > 8g/kg/person/day
  - nutritional and medical care is provided according to well established protocols
  - that key indicators are used for a stable and successful programme:
    - o proportion of discharged who have died is < 10%
    - o proportion of discharged recovered is > 75%
    - o proportion of defaulters is < 15% (a defaulter is someone who has not attended the programme for > 48 hrs)

# Use of Milk in Emergency Relief Actions

- Milk is to be distributed only to those populations who traditionally rely on milk and only under strictly controlled and hygienic conditions:
- Milk must neither be used as an item for general distribution (dry rations) nor as a "take-away supplement";
- Donations of milk for Red Cross/Red Crescent relief actions should only be made following a specific appeal for the same through the Red Cross/Red Crescent;
- The Red Cross/Red Crescent will not use unsolicited donations of milk if it is not certified that it can be used according to bullet point 1. Donors will be advised that they should withdraw their donation or that it will be safely disposed of;
- The Red Cross/Red Crescent will not supply or distribute Dried Skimmed Milk that has not been fortified with vitamin A;
- The Red Cross/Red Crescent will not supply or distribute milk in tins or pre-packaged in liquid or semi-liquid form.

## Safe Use of Milk in Emergencies

- 115. Milk and milk products (non-fresh cow's milk that is powdered, evaporated, condensed or otherwise modified) are versatile food commodities. They are rich sources of many essential nutrients, have a high protein quality (but relatively low in energy) and can be consumed at all ages. In disaster situations, when food is missing, milk has frequently been requested or donated in various forms for distribution to affected populations. However, indiscriminate distribution of milk in relief actions may have many insidious effects: from technical and logistical (transportation and storage,) to health hazards (dilution, germ contamination and lactose intolerance). It may also change dietary habits in the communities where milk is not a traditional item, creating new needs and contributing to unnecessary and detrimental economic pressures.
- 116. *Contamination*. Where large populations need to be provided with food, preparation, distribution and adequate conservation of large quantities of reconstituted milk pose serious logistical, technical and health problems. In disaster situation, provision of adequate quality and quantity of water is not always met. Cleaning of containers and utensils for preparing the milk is thus made difficult. The water used for the dilution of the milk powder may also be contaminated.
- 117. If the milk is drunk immediately after reconstitution, it is probably not more dangerous than the already contaminated water. But if it is left for a short time (one hour or more) at "room" temperature, the bacteria will multiply dramatically. These will cause severe diarrhoea and dehydration, often fatal in children. Since disaster victims hardly ever have access to refrigeration and in most cases will be reluctant to dispose of half-consumed tins of milk or the remains of an undrunk cup of reconstituted milk powder, health hazards are almost unavoidable.
- 118. *Dilution*. When powdered milks are distributed from large sacks in emergency relief actions, it is unlikely that the recipients receive proper guidance on appropriate dilution. Instructions written on tins or sacks of milk powder are often written in an unfamiliar language or otherwise unintelligible. Different brands/types of milk powder require different dilution of water. Instructions given, if any, are unlikely to be changed with different consignments of milk powder. Children whose main source of food is overdiluted milk powder may become malnourished due to lack of energy and nutrients. Children who are constantly fed underdiluted milk powder can become dangerously ill as a result of high concentration of salt.
- 119. *Lactose intolerance*. In many regions of the world, lactose intolerance is widespread in the adult population. This is due to the lack of lactase enzyme needed to digest the sugar in milk (lactose). Young children have the enzyme as long as they are breastfed or consume milk. As soon as they stop drinking milk the production of lactase ceases. Therefore milk should not be distributed to people who are not used to consuming it because it may cause serious digestion, nutrition and health problems (from abdominal discomfort to diarrhoea) especially in older children and adults.
- 120. Since milk products are potentially dangerous and pose serious health hazards if improperly used, National Societies and the Federation should carefully consider the need for milk and the ways that it will be used in relief operations before requesting, donating, accepting or distributing milk consignments. When an Operating National Society sees a real need for milk in emergency relief that cannot be satisfied by safer, traditional food commodities and appeals for such, it must be prepared to take responsibility for ensuring its safe preparation, distribution and use.
- 121. Where people traditionally use milk (including tinned condensed milk) in their diets, it is acceptable to provide milks under controlled and hygienic conditions. The safest way to use milk powder is to add it to a cooked porridge or soup for "on-the-spot" feeding ("wet" feeding). The milk will then be useful, can be absorbed and represents a safe source of protein and some vitamins and minerals.

"Wet" feeding also facilitates family participation and sharing of responsibilities However, it is costly in terms of personnel, time, resources and facilities required and may limit afflicted people to the position of mere food recipients. Therefore it should only take place under very special conditions, for a limited period of time, where distribution of dry rations is not possible or practical.

- 122. *Dried Whole Milk* (DWM) can be reconstituted and distributed in liquid form for immediate consumption and under controlled and strict hygienic conditions in feeding centres. However, responsibility for feeding the family and rehabilitating malnourished children should rest within the family as much as possible. This will also help avoid the costly establishment and running of feeding centres.
- 123. *Dried Skimmed Milk* (DSM) must be reconstituted only by adding appropriate quantities of edible oil and sugar to make it palatable and to increase its very low energy content before using it in liquid form. DSM must always be Vitamin A and D enriched. DSM in sacks with no information on Vitamin A enrichment must not be used.
- 124. *Management of milk supplies*. Powered milk in air-tight sacks or sealed tins should have a shelf- life of at least one year, except for DSM fortified with vitamin A which has a shelf-life of six months. This requires careful supervision of supplies. Damaged sacks or tins should not be salvaged. Milk which has passed the expiry date, as well as contaminated milk, must not be used for human consumption and must be safely disposed. As with any other food with high water content, liquid or semi-liquid milks should not be distributed since the high transportation costs cannot be justified.

# Breast Feeding

Breast milk as **food** is often forgotten in feeding programmes. But it is particularly important in emergencies. Women need to be encouraged to breast feed as long as possible in these situations. The following points are to be remembered:

- In general the Federation recommends exclusive breastfeeding for babies until they are 4-6 months' old; continued breastfeeding with adequate complementary foods is recommended for up to 2 years;
- HIV positive women should follow the same principle until when a safer alternative can be ensured by agencies providing foods;
- Distribution of breastmilk substitutes should be discouraged. Any such distribution should be undertaken with extreme caution;
- Even sick and malnourished mothers can produce breast milk if given enough food and support. Allow extra rations for breastfeeding mothers: it is not necessary to produce more milk, but helps to conserve mother's own strength:
- Feed the mother to build up her body's stores of nutrients. It may take 2-3 weeks for milk to flow well;
- Sometimes a woman's breast milk seems to have dried up. Encourage her to believe that she can produce breast milk again;
- If a baby has to be artificially fed for a time, prepare the feed freshly each time. Do not prepare it in advance. Watch the child carefully for signs of infection;
- . Never allow the use of feeding bottles;
- Sometimes women are willing to breast feed another baby where the mother has died or is unable to produce milk herself. This could be done by a lactating mother in addition to breast feeding her own baby, or by a mother willing to continue breastfeeding if her own baby has died or is already weaned. Encourage women to do this and, if possible, give them extra rations. Many women can produce enough milk to breast feed two or more babies.
- In emergencies where women are already breast-feeding their infants, they should continue to do so.

**United Nations Agencies** 

Vulnerability and Capacity Assessment

Community-Based Health Programmes

Disaster Effects

Needs Assessment, Targeting Beneficiaries

Water and Sanitation

Food Donation Policy

Relief Health

Population Movements

Development within Relief

Code of Conduct for Disaster Relief

Relief Supply Distribution System

## The Management of Nutrition in Major Emergencies

WHO/International Federation of Red Cross and Red Crescent Societies, Geneva, 1996

## First Aid in Community. A Manual of Red Cross and Red Crescent Volunteers

International Federation of Red Cross and Red Crescent Societies, Geneva, 1994

## Food Aid in Emergencies: Operational Procedures

World Food Programme, 1993

# Guide for Planning Operations for Refugees, Displaced Persons and Returnees - From Emergency Response to Solutions

International Federation of Red Cross and Red Crescent Societies, 1993

# The John Hopkins and Red Cross / Red Crescent Public Health Guide for Emergencies, First Edition CD-Rom

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Chapter 3: Minimum Standards in Nutrition, revision 1999

	1	Percents of M	edian			
		reicents of w	ediaii			
Length	Median	85%	80%	75%	70%	60%
49 cm	3.2 kg	2.7 kg	2.6 kg	2.4 kg	2.3 kg	1.92 kg
49,5	3,3	2,8	2,6	2,5	2,3	1,98
50	3,4	2,9	2,7	2,5	2,4	2,04
50,5	3,4	2,9	2,7	2,6	2,4	2,04
51	3,5	3	2,8	2,6	2,5	2,1
51,5	3,6	3,1	2,9	2,7	2,5	
52	3,7	3,1	3	2,8	2,6	2,22

52,5	3,8	3,2	3	2,8	2,6	
53	3,9	3,3	3,1	2,9	2,7	2,34
53,5	4	3,4	3,2	3	2,8	
54	4,1	3,5	3,3	3,1	2,9	2,46
54,5	4,2	3,6	3,4	3,2	2,9	
55	4,3	3,7	3,5	3,2	3	2,58
55,5	4,4	3,8	3,5	3,3	3,1	
56	4,6	3,9	3,6	3,4	3,2	2,76
56,5	4,7	4	3,7	3,5	3,3	
57	4,8	4,1	3,8	3,6	3,4	2,88
57,5	4,9	4,2	3,9	3,7	3,4	
58	5,1	4,3	4	3,8	3,5	3,06
58,5	5,2	4,4	4,2	3,9	3,6	
59	5,3	4,5	4,3	4	3,7	3,18
59,5	5,5	4,6	4,4	4,1	3,8	-,
60	5,6	4,8	4,5	4,2	3,9	3,36
				4,2	4	5,50
60,5	5,7	4,9	4,6			2.54
61	5,9	5	4,7	4,3	4,1	3,54
61,5	6	5,1	4,8	4,5	4,2	
62	6,2	5,2	4,9	4,6	4,3	3,72
62,5	6,3	5,4	5	4,7	4,4	
63	6,5	5,5	5,2	4,8	4,5	3,9
63,5	6,6	5,6	5,3	5	4,6	
64	6,7	5,7	5,4	5,1	4,7	4,02
64,5	6,9	5,9	5,5	5,2	4,8	
65	7	6	5,6	5,3	4,9	4,2
65,5	7,2	6,1	5,7	5,4	5	
66	7,3	6,2	5,9	5,5	5,1	4,38
66,5	7,5	6,4	6	5,6	5,2	
67	7.60	6,5	6,1	5.70	5,3	4,56
67,5	7,8	6,6	6,2	5,8	5,4	
68	7,9	6,7	6,3	5,9	5,5	4,74
68,5	8	6,8	6,4	6	5,6	
69	8,2	7	6,6	6,1	5,7	4,92
69,5	8,3	7,1	6,7	6,2	5,8	
70	8,5	7,2	6,8	6,3	5,9	5,1
70,5	8,6	7,3	6,9	6,4	6	
71	8,7	7,4	7	6,5	6,1	5,22
71,5	8,9	7,5	7,1	6,6	6,2	-,=
. 1,3	5,5	,,5	<b>,</b> , ,	0,0	0,2	

72	9	7,6	7,2	6,7	6,3	5,4
72,5	9,1	7,7	7,3	6,8	6,4	
73	9,2	7,9	7,4	6,9	6,5	5,52
73,5	9,4	8	7,5	7	6,5	
74	9,5	8,1	7,6	7,1	6,6	5,7
74,5	9,6	8,2	7,7	7,2	6,7	
75	9,7	8,2	7,8	7,3	6,8	5,82
75,5	9,8	8,3	7,9	7,4	6,9	
76	9,9	8,4	7,98	7,4	6,9	5,94
76,5	10	8,5	8	7,5	7	
77	10,1	8,6	8,1	7,6	7,1	6,06
77,5	10,2	8,7	8,2	7,7	7,2	
78	10,4	8,8	8,3	7,8	7,2	6,24
78,5	10,5	8,9	8,4	7,8	7,3	
79	10,6	9	8,4	7,9	7,4	6,36
79,5	10,7	9,1	8,5	8	7,5	
80	10,8	9,1	8,6	8,1	7,5	6,48
80,5	10,9	9,2	8,7	8,1	7,6	
81	11	9,3	8,8	8,2	7,7	6,6
81,5	11,1	9,4	8,8	8,3	7,7	0,0
						6.70
82	11,2	9,5	8,9	8,4	7,8	6,72
82,5	11,3	9,6	9	8,4	7,9	
83	11,4	9,6	9,1	8,5	7,9	6,84
83,5	11,5	9,7	9,2	8,6	8	
84	11,5	9,8	9,2	8,7	8,1	6,9
84,5	11,6	9,9	9,3	8,7	8,2	
85	12	10,2	9,6	9	8,4	7,2
85,5	12,1	10,3	9,7	9,1	8,5	
86	12,2	10,4	9,8	9,1	8,5	7,32
86,5	12,3	10,5	9,8	9,2	8,6	
87	12,4	10,6	9,9	9,3	8,7	7,44
87,5	12,5	10,6	10	9,4	8,8	
88	12,6	10,7	10,1	9,5	8,8	7,56
88,5	12,8	10,8	10,2	9,6	8,9	
89	12,9	10,9	10,3	9,7	9	7,74
89,5	13	11	10,4	9,7	9,1	
90	13,1	11,1	10,5	9,8	9,2	7,86
90,5	13,2	11,2	10,6	9,9	9,2	
91	13,3	11,3	10,7	10	9,3	7,98
91	13,3	11,3	10,7	10	9,3	7,90

91,5	13,4	11,4	10,8	10,1	9,4	
92	13,6	11,5	10,8	10,2	9,5	8,16
92,5	13,7	11,6	10,9	10,3	9,6	
93	13,8	11,7	11	10,3	9,7	8,28
93,5	13,9	11,8	11,1	10,4	9,7	
94	14	11,9	11,2	10,5	9,8	8,4
94,5	14,2	12	11,3	10,6	9,9	
95	14,3	12,1	11,4	10,7	10	8,58
95,5	14,4	12,2	11,5	10,8	10,1	
96	14,5	12,4	11,6	10,9	10,2	8,7
96,5	14,7	12,5	11,7	11	10,2	0,1
						0.00
97	14,8	12,6	11,8	11,1	10,3	8,88
97,5	14,9	12,7	11,9	11,2	10,4	
98	15	12,8	12	11,3	10,5	9
98,5	15,2	12,9	12,1	11,4	10,6	
99	15,3	13	12,2	11,5	10,7	9,18
99,5	15,4	13,1	12,3	11,6	10,8	
100	15,6	13,2	12,4	11,7	10,9	9,36
100,5	15,7	13,3	12,6	11,8	11	
101	15,8	13,5	12,7	11,9	11,1	9,48
101,5	16	13,6	12,8	12	11,2	
102	16,1	13,7	12,9	12,1	11,3	9,66
102,5	16,2	13,8	13	12,2	11,4	9,84
103	16,4	13,9	13,1	12,3	11,5	
103,5	16,5	14	13,2	12,4	11,6	
104	16,7	14,2	13,3	12,5	11,7	10,02
104,5	16,8	14,3	13,4	12,6	11,8	
105	16,9	14,4	13,6	12,7	11,9	10,14
105,5	17,1	14,5	13,7	12,8	12	
106	17,2	14,6	13,8	12,9	12,1	10,32
	17,4	14,8	13,9	13	12,2	
107	17,5	14,9	14	13,1	12,3	10,5
107,5		15	14,1	13,3	12,4	
108	17,8	15,2	14,3	13,4	12,5	10,68
						10,00
108,5	18	15,3	14,4	13,5	12,6	40.00
109	18,1	15,4	14,5	13,6	12,7	10,86
109,5	18,3	15,5	14,6	13,7	12,8	
110	18,4	15,7	14,8	13,8	12,9	11,04
110,5	18,6	15,8	14,9	14	13	

111	18,8	16	15	14,1	13,1	11,28
111,5	18,9	16,1	15,1	14,2	13,3	
112	19,1	16,2	15,3	14,3	13,4	11,46
	19,3	16,4	15,4		13,5	,
113	19,4	16,5	15,5	14,6	13,6	11,64
	19,6	16,7	15,7	14,7	13,7	11,04
						14.00
114	19,8	16,8	15,8	14,8	13,8	11,88
	19,9	16,9	16	15	14	
	20,1	17,1	16,1		14,1	12,06
115,5	20,3	17,3	16,2	15.2.00	14,2	
116	20,5	17,4	16,4	15,4	14,3	12,3
116,5	20,7	17,6	16,5	15,5	14,5	
117	20,8	17,7	16,7	15,6	14,6	12,48
117,5	21	17,9	16,8	15,8	14,7	
118	21,2	18	17	15,9	14,9	12,72
118,5	21,4	18,2	17,1	16,1	15	
119	21,6	18,4	17,3	16,2	15,1	12,96
119,5	21,8	18,5	17,4	16,4	15,3	
120	22	18,7	17,6	16,5	15,4	13,2
120,5	22,2	18,9	17,8	16,7	15,5	
121	22,4	19,1	17,9	16,8	15,7	13,44
121,5	22,6	19,2	18,1	17	15,8	
122	22,8	19,4	18,3	17,1	16	13,68
122,5		19,6	18,4	17,3	16,1	
	23,3	19,8	18,6	17,5	16,3	13,98
123,5		20	18,8	17,6	16,5	10,00
						14.00
	23,7	20,2	19	17,8	16,6	14,22
124,5		20,4	19,2	18	16,8	
	24.20	20.60	19.40	18.20	16.90	14.52
125,5	24,4	20,8	19,6	18,3	17,1	
126	24,7	21	19,7	18,5	17,3	14,82
126,5	24,9	21,2	19,9	18,7	17,5	
127	25,2	21,4	20,1	18,9	17,6	15,12
127,5	25,4	21,6	20,4	19,1	17,8	
128	25,7	21,8	20,6	19,3	18	15,42
128,5	26	22,1	20,8	19,5	18,2	
129	26,2	22,3	21	19,7	18,4	15,72
129,5	26,5	22,5	21,2	19,9	18,6	
130	26,8	22,8	21,4	20,1	18,7	16,08

# Directions for measuring children who are less than 85 cm in length

The measuring board is placed horizontally on the ground or on a table;

- With the help of one or two assistants, place the baby barefoot and without head covering on the measuring board with the head against the fixed (non-movable) end;
- An assistant holds the baby's head so that the eyes are pointed straight up and applies gentle traction to bring the top of the child's head into contact with the fixed end of the measuring board;
- The measurer holds the child's knees together and pushes them down against the tabletop with one hand or forearm, fully extending the child. With the other hand, the measurer slides the movable footboard to the child's feet until the heels of both feet touch the footboard;
- The measurer then immediately removes the child's feet from contact with the footboard with one hand (to prevent the child from kicking and moving the footboard) while holding the foot board securely in place with the other hand;
- The measurer reads the measurement to the nearest 0.5 cm;
- The recorder then writes the measurement clearly on the form;
- The measurer then looks at the recorded value on the form to be sure that it is correct.

# Directions for measuring children who are 85 cm or more in height

- Place a measuring board in a vertical position on a flat surface;
- Have the mother (or assistant) remove any footwear or headgear on the child and lead the child to the measuring board;
- Place the child so that the shoulder blades, buttocks and heels are touching the vertical surface of the measuring board. The feet
  must be flat on the floor, slightly apart, legs and back straight and arms at sides. The shoulders must be relaxed and in contact
  with the measuring board. The head usually is not in contact with the measuring board. Tell the child to stand "straight and tall" and
  look straight ahead:
- One assistant (the recorder) checks that the child stands flat footed with the knees fully extended. The shoulders and buttocks should be in line with the heels:
- The movable headboard is then brought to rest firmly on the crown of the child's head by the measurer while the head is held so that the child's eyes point straight ahead;
- The measurer reads the measurement to the nearest 0.5 cm;
- The recorder then writes the measurement clearly on the form;
- The measurer then looks at the recorder value on the form to be sure that it is correct.
- Children who are over 85 cm in height who are too sick to stand may be measured lying down, but 1 cm should be subtracted from
  the measured length before using this table.

Prepared by HHS, PHS, CDC, CHPE, Nutrition Division, Atlanta, Georgia 30333

WFH = weight for height

BMI= weight (kg) / Height (m)2 (for adults)

MUAC = Mid Upper Arm Circumference screening of children 6 months-5 years old

	Z-se	core table	
	Global malnutrition	Moderate malnutrition	Severe Malnutrition
Children 6.0-59.9 months	< -2Z scores WFH or 80% median WFH or < 12.5cm MUAC +/or nutritional oedema	-3 to < -2Z scores WFH or 70% to < 80% median WFH or 11.0 to < 12.5 cm MUAC	< -3Z scores WFH or < 70% median WFH or < 11.0 cam MUAC +/or nutritional oedema
Children 5-9.9 years	< -2Z scores WFH < 80% median WFH +/or nutritional oedema	-3Z to < -2Z scores WFH or 70% to <80% median WFH	< -3Z scores WFH or < 70% median WFH +/or nutritional oedema
Adults 20.0-59.9 years	BMI < 17 +/or nutritional oedema	16 to < 17 BMI	

# **Food Donation Policy**

#### Introduction

125. Food supplies are frequently part of the Red Cross/Red Crescent response to emergencies. However, it is essential in each situation to first establish that *food supply is a correct response* and then that the composition is defined and described after an adequate comprehensive survey. In every instance it is necessary to ensure that food donations are culturally and nutritionally appropriate for the affected population and that the costs of their purchase, transportation, storage and distribution is kept to a minimum.



126. Food which is inappropriate for whatever reason causes suffering for the victims of the disaster, embarrassment and frustration for those responsible for distribution and brings well earned discredit on the agency responsible for the donation. Thus it is the ICRC/Federation's responsibility to ensure as far as possible that any appeal for food assistance is both necessary and appropriate before sharing that appeal with National Societies and other donors. The ICRC/Federation in co-ordination with other relevant agencies are also responsible for establishing the energy and nutrient content of the rations, indicating the suitable food items to achieve this. They must also ensure that the response is in line with policy and that distributions of each donation are carried out fairly, efficiently and economically.

127. All offers of food assistance must be cleared by ICRC/Federation and accepted by the Operating Society.

# **General Principles**

128. Foods should be appropriate to the beneficiaries to:

- Meet nutritional needs;
- Maintain traditional food habits;
- Avoid waste and large scale sale on black markets;
- Economise on scarce fuel;
- Avoid creation of new tastes;
- Avoid dependency on external food resources;
- Avoid disruption of local markets.

129. Local knowledge on each emergency situation will be the basis for the establishment of the food ration. Together with the National Society a comprehensive survey should be carried out to ascertain the present nutritional status of the affected population and, if possible, the previous level, as well as to establish food requirements suitable in both type and amount. Other local relevant agencies should always be consulted and contact should be established with local nutritional expertise.

- 130. The ICRC/Federation action and the food that it will provide will be determined by consideration of needs (as determined above) and the action of other agencies. Contacts with all relevant government departments and with other agencies both locally and at headquarters must be made to gather and exchange information which will promote co-ordination.
- 131. Purchase of local foods in the country or in the region providing it does not disrupt the market or effect the market prices, must always be considered in the early planning of food aid. This will make it possible to provide traditional foods and will usually be more cost-effective than sending foods from donor countries. This may be particularly necessary in the early stages of a relief action.
- 132. Information on local foods and their use is always available in country, at institutions or in specialist organisations. ICRC/Federation have a responsibility to ensure access to these sources and to provide advice suitable to each situation. Clearance and comments must be sought from each operational Society.
- 133. National Societies proposing to provide food other than that requested *must* seek the clearance of the ICRC/Federation. The Red Cross nutrition policy will otherwise be jeopardised, the consistent approach disrupted and confusion created.
- 134. As outlined in Rule 27 of *The Principles and Rules for Red Cross Disaster Relief*, unsolicited food donations may be used at the discretion of the operating National Society. They may be sold and the cash paid to the relief operation account and used for a more beneficial purpose for the affected population. The ICRC/Federation must, however, be informed about such transactions.

135. The ICRC/Federation should explicitly register separately gifts in response to Federation appeals and those not in response.

136. In certain circumstances changes in the operational situation and/or a very large provision of certain items by donors may lead to a situation where it is desirable for the effective management of the operation, to exchange requested food items provided in abundance for others which are in scarce supply. In this case:

- The National Society/ICRC/Federation *must* consult with donors before making any exchanges;
- Care must be taken by the National Society/ICRC/Federation to avoid situations where exchanged food items become available for sale or are distributed to groups other than needy civilians and re-bagging should be considered;
- Subject to the above, donors are urged to respond positively and quickly to such requests.
- 137. Excess supply or imminent expiry date are *not* sufficient reasons to accept cheap or free food.

#### Recommendations

- 138. Food in unmilled form especially cereals is preferable. Food in unmilled form have usually longer shelf life, higher nutritional value, more identifiable taste and lower cost.
- 139. Donors of whole grains should ascertain that local milling facilities are available. Displaced persons and refugees need special consideration. Whole grains must be milled to release full food value. Some traditional methods retain more nutrients and should therefore be encouraged and supported.
- 140. Protein requirements should preferably be supplied by cereals, beans, peas and lentils. Due to lack of understanding with regard to quality and amount of protein contents of some vegetables, especially those mentioned, requests are often made for expensive fish or meat products. Local fish or meat may be a preferred option when available, but imported varieties should be avoided.
- 141. Long term food relief should include small quantities of locally purchased food items which add the traditional flavour to the meals e.g. spices (red pepper, etc.), condiments (fish and soya sauce), dried fruits and vegetables. While these food items may be of negligible nutritional value, they improve the palatability and acceptability and so encourage consumption of nutritious food.
- 142. Salt and sugar are necessary food items in most dietary habits. Salt is especially essential in hot climates. In addition, sugar and salt are the main ingredients in the home-made solution given to prevent dehydration from diarrhoea.
- 143. Tea and coffee may also be considered. Tea and coffee are essential in the social habits in many areas of the world. Their high psychological/social value make them important components in the food baskets.
- 144. The shelf life of food should normally be at least 6 months after arrival in the country and stored in such a way to keep the food quality in terms of taste texture and nutritional content. Packages of food should be labelled with production date and expiry date. Donated foods must be packaged so they can withstand hot, humid climates and rough handling. Guidelines to good warehouse management should be provided and followed to prevent unnecessary wastages.
- 145. Fortified foods must be accurately and clearly labelled.
- 146. All food should be in appropriate packages and clearly labelled in the official international languages used by the recipients regarding its contents or ingredients and instructions for use. This facilitates the acceptability from a cultural point of view and ensures proper usage. This is particularly important for tinned foods and blended dried foods in sacks.
- 147. The National Society purchasing is responsible for ensuring that the specifications and quality of the donation are met.
- 148. Metric measuring containers should accompany the first food donation. These will assist in identifying local containers which have equivalent volume and so ensure adequate equal rations.
- 149. Provision of fuel and improvement to the water supply must at times be considered. This problem is particularly important when disaster victims migrate and congregate in one area. Methods used should be familiar, economical and the community should be able to maintain them.
- 150. Cooking utensils for the family use of the type commonly used should be provided where necessary. Displaced and refugee families are most likely to be in need. Preparation of meals in a family setting must be encouraged and supported.

# **Restricted Use**

- 151. Pre-cooked or instant foods (e.g. instant C.S.M.) that require reconstitution with cold water before consumption should be avoided. They are expensive and require special instructions and supervision in preparation. Clean water is necessary for the safe use of these products, and when this is not available there are increased health hazards. They may be used very occasionally in porridges/stews in the initial phase of an operation and where fuel is scarce.
- 152. Certain foods produced in industrialised countries should be used restrictively and only in exceptional situations when well monitored. Those concerns are especially true for:
  - Milk products. Milk products are the subject of a special ICRC/Federation policy as in "The Use of Artificial Milk in Relief

Actions", 1985. These are of special concern when used in infant feeding, and are the subject of the International Code of Marketing of Breastmilk Substitutes (WHO), 1981;

• *Biscuits*. "High protein" or "high energy" biscuits are very often the only available food for nutritional rehabilitation. Their use, however, should be carefully considered for therapeutic and rehabilitation feeding as a temporary solution.

#### Not recommended

153. Liquids and foods with high water content should not be included in food aid. Energy dense foods, i.e. solid, dry or powdered foods and oil provide maximum nutritional contributions per weight and volume and therefore have lower transportation costs.

154. Certain foods are inappropriate in relief operations. Donors should never consider the consignment of any of the following items:

Canned baby foods, canned fruits, vegetables, cheese and soups, canned or bottles juices and syrups. These goods have a higher water content (see above). They are also unfamiliar and processed;

- Confectionery. These product are too sweet and change eating habits, especially in children;
- Frozen or refrigerated foods. Storage facilities do not exist;
- Slimming products. Food which is low in energy and high in bulk is not suitable;
- Breastmilk substitutes, processed weaning food. Donations are against the code mentioned in paragraph 150.;
- Military-type survival rations. These rations are unfamiliar food.

155. The ICRC/Federation and National Societies should not undertake to conduct acceptability trials of food products on behalf of manufacturers.

#### **Evaluation**

156. The effects of food donations should be evaluated. This should be based on the principles outlined in paragraph 1.

The European Union

Needs Assessment, Targeting Beneficiaries

**Food and Nutrition** 

Development within Relief

Principles and Rules for Disaster Relief

Code of Conduct for Disaster Relief

Supply Management

# **Shelter**

#### General

157. The destruction of people's homes and other buildings by disasters such as earthquakes, storms, floods and fires, the creation of unsafe conditions through damage to buildings, and the abandonment of homes by people fleeing the danger... This is when the need to provide shelter is greatest.



158. While lack of shelter may not immediately endanger life (except in harsh weather), it is an important factor determining general living conditions. Without the protection from cold, wind, rain and heat, human health will inevitably deteriorate. Space for living and storing belongings, the need for privacy and the physical and emotional security that shelter brings are equally important. Shelter meets these needs, gives a psychological effect of "belonging" and minimum stability, provides a physical point of reference for the social unit - whether it be family, kinship group or community - as well as for the provision of other services.

159. *Shelter is not an immediate necessity for survival*, but expertise is required for determining what to provide and where to provide it. Shelter can also be costly and time consuming to deliver. Therefore providing shelter may not be a normal National Society activity in most countries. However, support is often given to communal or government efforts at giving shelter, and this support may include building materials, tools, skills, site preparation and transport. While the basic need for shelter is the same in most emergencies, the solutions will vary according to conditions. And the options in each case will need to be considered carefully.

#### **Shelter Needs Assessment**

- 160. It is important to determine shelter needs rather than damage. Damage assessment is necessary to quantify losses, determine the nature of the losses and later identify beneficiaries of permanent housing. This is best left to the authorities, as it may require expertise to determine safety of damaged but not collapsed buildings.
- 161. During an emergency it is important for the Red Cross or Red Crescent to know how many people will be displaced from their homes as well as the number of those who do not have access to alternative shelter. In an earthquake for example people who have fled from undamaged houses may refuse to return to them out of fear of new quakes; flooded houses may not be able to be occupied until a long time after a flood. These and similar conditions increase the number of homeless beyond those indicated by damage figures. On the other hand, as there may be alternative shelter possibilities (host families, undamaged buildings etc.) shelter needs can actually be smaller than the number of people displaced from their homes may indicate.
- 162. The *family* is normally taken as the unit of measurement but unaccompanied minors and people left alone should not be left uncounted. The idea and average size of the family varies from culture to culture and from country to country. This information will be important in deciding on the number of shelters, and their size and character.
- 163. The risk of *secondary* or subsequent *disasters* should be taken into account. Secondary disasters such as land slides following earthquakes and floods, or subsequent disasters such as waves of refugees or repeated floods or floods following cyclones, can vastly increase the numbers of homeless.
- 164. It should be determined *what shelter is already available*. Most people take refuge with relatives, neighbours or friends where possible. There may be existing building stock that can be made available. Their safety, appropriateness and capacity is to be verified, as well as the willingness of the people to move into them, and the willingness of the host population to accept them.
- 165. An estimate of *for how long* the temporary shelter may be required is to be made. This is not easy unless the disaster is a recurrent one such as seasonal floods or storms. Past experience, government policies on reconstruction and, in the case of displaced populations, the host government attitude can be useful for judging.
- 166. *Sites* for shelters are to be chosen. If temporary shelter is to be provided, site selection becomes a key issue. Availability, safety, security and protection, water supply, drainage and sanitation, fire risk, accessibility, environmental conditions, distance to services, to land or work, surface area, land ownership and rights are all critical factors in selecting sites. Depending on the conditions and type of disaster namely, whether it is urban, rural, nature or conflict-based these factors will be important. Land and site selection should be recognised as an integral part of shelter policy. Particular attention should be given to assessing the situation for the landless and tenants, as their return to normal housing may create problems. In the case of refugees, the attitude of the host government will also be a critical factor in site selection.
- 167. It is important to observe what people are doing for themselves. This is a good indicator of what is acceptable to the population. Where, how and with what they are building? Who is recovering fast and who is being left out and why (because of lack of labour,

materials or land)? These groups and their needs should be identified.

- 168. From the very beginning it is important to determine what *construction materials* are locally available (materials, labour, quantities, distance to site, local prices etc.) and what are to be provided by others. One should aim to fill in the gaps geographically or in the type of provisions. Respective contributions for timing and consistency should be discussed with the others. Different shelter policies for the same population should be avoided, as people may resent variations in quality. Self-help may be rejected if there are ready-made alternatives on offer. Official policy for reconstruction or repatriation may affect the approach to and the quality of shelter provision.
- 169. Shelter for *services* as well as for families should be found. Disasters leave not only people but sometimes critical services "homeless". It is important to define what else needs to be protected or provided with a temporary shelter facility for the functioning of the community and services: health facilities, warehouses, shelter for animals, educational facilities, bakeries, laundries, official, religious and registration facilities etc.
- 170. Organisational structures for shelter provision (how beneficiaries will be selected, how the shelters or materials will be distributed by local leaders, officials, other agencies, family heads etc.) are to be determined. Already at that stage ownership of housing/shelter provided should be identified.
- 171. It should also be defined what expertise is needed. While knowledge of the conditions and some skills will be available locally or within the displaced population, there may also be a need for specialised input in site and material selection, construction and planning. When the population is displaced to previously unknown areas local knowledge may become inadequate.
- 172. *Longer-term* shelter needs are to be assessed. Although extended temporary settlement is not desirable it may become inevitable. Shelters and locations appropriate for the short-term settlements may not be fit for long-term use. Other emerging needs should be assessed as well, including security, additional material for repairs and extensions, changes in climate, shelter for long-term services such as clinics, post offices, banks and workshops, site conditions, and the situation of the landless, unaccompanied minors, aged people etc.

# Sizing Shelter

For a displaced population, the World Health Organisation recommends a minimum of 30 square meters per person, plus the necessary land for communal and agricultural activities and livestock. When circumstances do not allow this allocation of space, it can be reduced to 10 square meters. In very difficult situations like mountainous or urban areas the space unit can be reduced to 5 square meters. Of this, 3.5 square meters is the *absolute minimum* floor space per person in emergency shelter.

#### **Shelter Strategies**

- 173. *Moving in* with friends and relatives is an option often taken by the affected population itself. Lack of transport facilities or cash for access to commercial transport may cause problems for some groups, if friends and relatives are not in the immediate vicinity or accessible by walking. However, where residing with host families is prolonged, inconveniences for both host families and displaced persons may accumulate and new shelter needs for people who stayed with relatives for a while, but had to move, may arise at a later stage.
- 174. *Existing buildings* can be a viable option, especially in urban areas or where disaster impact is concentrated in certain areas. Factors to be checked include how long the buildings will be available, their safety and security, their location in relation to services, land or work, their suitability space for animals, storage of belongings and animal food, facilities for privacy, sanitation and water etc. and their cultural acceptability. The policy in the past of separating women and children for immediate sheltering in existing building stock has proved unsuccessful. Families should be kept together as much as possible.



175. *Tents*remain a relatively effective and flexible relief item that can be brought into the disaster area. Despite their advantages over imported shelters, tents are still expensive items compared to available local materials. Climatic factors and family size should be taken into account when selecting the type of tent. In general, family-size tents are culturally more acceptable than large ones that accommodate several families. As with imported shelters, care needs to be taken in selecting who will go into tents when availability is limited.

176. In the past, too high a priority has been placed on the need for importing prefabricated, temporary housing. Experience has proven

that this is not an appropriate solution. Such units are costly and take too long time to put in place for emergency shelter needs. Housing is generally a high-cost item. Once limited resources are put into this type of shelter, there is a tendency to regard them as permanent. This may deny the occupants permanent housing or delay reconstruction because of lack of funds. Furthermore, standard shapes may fail to meet different cultural needs, family sizes and living habits. Local people can have very little involvement in designing or making them. Skilled labour to assemble prefabricated units usually has to come from outside. Non-local materials used in such units also make repairs and further extensions difficult. Therefore, imported shelter should be considered *only* in cases where no other solution is possible and the risk of climatic exposure is high.

177. However, some of these units could be useful for housing special services or communal facilities. When provided, the possibility that they may become permanent should be considered in selecting site and plot size, in light of possible future extensions. Where they are seen by the affected population as representing the best shelter solution and cannot be provided to all in need, criteria will have to be developed for selecting beneficiaries - for example, those who do not have able-bodied family members, unaccompanied women, children, the aged etc.

178. *Distributing building materials* is often the most feasible and effective way of supporting the efforts of the affected population to find shelter for itself. Some materials utilised for temporary shelter can be reused for permanent shelters. Priority should be given to supplying locally available materials, or, if available, those traditionally used by the affected population. Non-local materials should only be brought in if local materials are not available or are climatically inadequate, or not durable enough for longer-term use. However, such locally available materials (wood, bamboo) should be used with care, so that increased shelter demand does not further contribute to possible deforestation. The distribution of simple tools for site preparation and building work as well as items for tying and fixing may also be considered.

179. Surplus of building materials for future *extensions and repairs* should be considered. The stockpiling of shelter materials helps to avoid price increases due to high demand, although it does require large warehouse space and investment. However, stockpiling should only be considered where disasters are recurrent, commercial stockists are not reliable and disaster sites are known to be inaccessible. Price increases might be inevitable but group purchasing with other agencies and demands for price controls by the authorities can limit these. Where local commercial markets for building materials are physically and financially accessible to the affected population, distribution through the markets could be taken as an option. Price control or subsidy by the authorities, or the saturation of markets with goods may become necessary.

180. Distribution of materials may not be appropriate with some urban population groups who may not have the basic skills for building. Equally, additional labour support may need to be arranged for the physically disadvantaged if they are not socially supported.

181. *Production of building materials*. Simple machines to produce concrete or earth blocks, traditional tools to make bricks, stone cutters, and rubble crushers (after earthquakes) have been shown to be useful in supporting the initial efforts of communities to rebuild. A real advantage can be that both the production facilities and the materials recycled can be used for providing housing on a permanent basis. The allocation and ownership of such devices and a system for their distribution have to be carefully considered. Locally known materials, and production methods and tools that do not require sophisticated skills and rigorous training are to be preferred.

182. *Self-help*. If there is a need to be involved in shelter provision beyond emergency measures, organise communities for self help towards more permanent solutions. This has many advantages, creating jobs and helping to reduce a "relief dependency" attitude. However, it requires technical expertise, long-term commitment and organisational capacity. Skills training may also be necessary.

183. *Financial support* has not proven a viable option for meeting emergency shelter needs, as there is often a tendency to spend the money on more urgent needs. But in the long-term, access to some form of credit for the poor can be a useful way of improving emergency shelters or moving towards more permanent solutions.

# Supporting Community Efforts to Find Shelter

- Support people's approach. If people are already building with what is available do not build alternative shelters, rather give materials to improve theirs, help to salvage, give transport, provide training etc.;
- Provide what cannot be done by them. If people are moving in with relatives or using available buildings, help them to do so more
  easily. Support the disadvantaged;
- Provide what is not available materials, tools, labour, skills, transport, credit, organisation;
- Consult with people. Shelter is not only a physical but also a social, cultural and emotional need. Ask people how and where they would like to live.

### **Non-food Items**

184. The most common non-food relief items needed following disasters are described below. It is important to remember that the needs may change - especially those related to climate - depending on the time of the event as well as the duration of its effects. The non-food items should be provided in order of priority: for example, cooking utensils are necessary only when people have access to fuel and food.

- *Blankets*, heavy or light should be one of the first items considered. Temperature differences and changes should be taken into account in choosing the type of blanket. Young children and elderly may require additional protection. Blankets may also be used as doors, for privacy and for floor coverings. Providing warm blankets may also reduce the need for extra fuel (used for heating);
- *Plastic sheeting* can be used to provide shelters, stores, workshops, feeding centres, hospitals etc., as well as ground sheets and temporary cover for food stocks. It is primarily used as roofing material. As the key to adequate shelter especially in a warm climate is provision of a roof, provision of plastic sheeting as roof material will often be an immediate priority after a disaster.

However, eventual environmental pollution that can be created by used plastic should be taken into account while choosing the appropriate roof material;

- In floods and hurricanes drying *clothes* becomes a problem even the few that are saved. After earthquakes people may return to rescue possessions. But in most disasters, some clothes will need to be provided. Cultural and climatic appropriateness of what is provided is essential. In principle, the provision of used clothes is *not* encouraged, but some National Societies may have a stock and the facilities to clean and repair clothes. In some cultures, clothing materials would be more appropriate than clothes (sarees for example). Check the size of the pieces of material needed, as sizes can vary even from region to region, even in the same country;
- In most emergencies, there is usually a need to bring water from a source. *Water containers* with handles or shaped for easy handling will be necessary for carrying the water. Plastic buckets are widely used by local people. Separate containers for storage may also be necessary. Boiling can be done in pots from cooking sets;
- Family *cooking sets*. Pots should be appropriate for boiling water and cooking food; mugs and plates should be made of durable material. Local customs in what is provided for cooking and eating are to be observed;
- Soap and other hygiene items;
- Some source of light may be necessary to continue household chores especially if days are short. Hurricane *lamps* or lanterns are practical, especially when it is windy. Special consideration for lighting may become necessary in refugee camps where security is an issue, especially where women need protection, e.g. near latrines;
- Fuel distribution may become necessary in severe climatic conditions and for cooking. After floods and hurricanes, dry wood or coal may not be available. Possible environmental destruction from cutting trees for fire wood can also be controlled by fuel distribution. In some situations, open fires may not be possible or desirable for safety or security reasons. Simple stoves or similar devices should be provided;
- *Floor coverings*. In emergencies, people often have very few household items, therefore, most activities take place on the floor. In severe climatic conditions or heavy rain, dampness from the floor can increase health risk. Woven mats, simple plastic sheets or other locally available floor coverings may become necessary, especially for elderly people and children;
- Mosquito nets may be considered during the malaria season if shelter conditions permit.



185. As with shelter provision, when supplying non-food items, one should always provide what is locally appropriate, customary and available before considering anything new or from outside. Before making any procurement it should be ensured that the items are acceptable to the recipient population. Local standards of quality should be followed. The only exception is when the local customs or materials present other risks such as to health, either in normal or changed conditions, and when alternatives are cheaper or more effective.

# When Providing Shelter...

- Establish a clear position on shelter provision, either authorised by the authorities or defined by the National Society;
- Be clear on the role of the key agencies, their standards and policies those of the UNHCR, for example, in refugee situations;
- Where available, use information on past similar events for predicting shelter needs, including locations, numbers, actions, understanding of local customs for building, land use and tenure and how the affected population might respond;
- Look at the feasibility of stockpiling some materials. But don't forget the extra storage capacity that will be needed;
- Search out sources of locally obtainable supplies, and establish quantities available, prices and pre-arrangements;
- Stick to local standards for non-food items;
- Find out sources and availability of transport and of locally available materials and skills;
- Check the availability of safe building stock in high risk areas;
- If evacuation is the norm, such as in floods and storms, identify land suitable for building on and arrange public information for evacuation;
- Set up training in basic skills for local production and management of shelter provision;
- Fix standards for camp design and shelters.

Disaster Effects

Needs Assessment, Targeting Beneficiaries

**Population Movements** 

Development within Relief

Code of Conduct for Disaster Relief

# Further reading

#### The Oxfam Handbook of Development and Relief

by D. Eade and S. Williams (editors), Oxfam, UK and Ireland, 1995

# Engineering in Emergencies

A practical guide for relief workers, by J. Davis and R. Lambert, IT Publications on behalf of RedR, London, 1995

#### Disaster Rehabilitation and Reconstruction Policy

International Federation of Red Cross and Red Crescent Societies, Geneva, 1993

#### Rehabilitation and Reconstruction

by Y. Aysan and I. Davis, United Nations Disaster Management Training Programme, 1992

#### Some Lessons of Rehabilitation: Red Cross Response to 1985 Mexico Earthquake

by T. Drabek, University of Denver, 1989

# Evaluation of the Federation Response to the Armenia Earthquake 1988

by Y. Aysan, E. Ricci, T. Shore, R. Stephenson, University of Pittsburgh

#### Shelter After Disaster

United Nations, New York, 1982

# UNHCR Handbook for Emergencies

Geneva, 1982, English, French, Spanish

# Plastic Sheeting: its Use for Emergency Housing and Other Purposes

by J. Howard, R. Spice, Oxfam, 1981

# Construction

# **Before Starting to Build**

186. Relief operations, particularly in the rehabilitation or reconstruction phase, and some development programmes, may involve an apparent need for construction of buildings and other structures. The construction work of the Federation falls into three main groups: emergency relief, reconstruction/rehabilitation and development/disaster preparedness.



187. *Emergency relief* projects usually involve construction of emergency shelter, housing, water supply, sanitation and warehousing facilities, distribution centres, roads etc. *Reconstruction* and *rehabilitation* projects can involve the building of schools, health posts, hospitals, old aged persons homes, orphanages, community centres, administrative and office blocks. Projects aimed at improving the *disaster preparedness* capacity of the host country or the National Society or both may be considered. As well, infrastructure for servicing these - roads, water supply, sewerage, electricity and telecommunications systems - may be needed.

188. However, construction is a highly technical and specialised field in which many factors - such as site selection, soil conditions, design, tendering etc. - must be carefully weighed and considered by specialists in the early stages. Construction projects demand detailed feasibility studies, rather technical project descriptions and often complex project agreements. They often require long-term involvement and substantial funding, both for construction and maintaining the completed project as well.

189. Because of this, it is essential to have answered the following questions *before* starting a construction project: is a building really needed? is a new building the right answer? are there any cheaper, more efficient and sustainable solutions? If it is decided to build, and after getting the Federation Secretariat go-ahead, the construction projects should be implemented as quickly as possible. Cost over-runs should be avoided or kept to an absolute minimum. This way, victims of disasters and other beneficiaries will receive the maximum benefit from the project.

190. Federation delegations should *not* try to manage a construction project on their own. The major responsibility for this should be left to a professional engineer. A special construction delegate can be requested to be assigned to the project, or advice can be sought through a regional construction delegate. Should it not be possible, another alternative is to seek the professional services of a local architectural or engineering consulting firm. For single projects of over CHF 5 million, or for relief programmes with a number of smaller projects, it is wise to employ a competent engineer, who will work directly with the Regional Department in Geneva.

191. The following section aims at providing guidelines on handling construction projects in the field. This covers a wide variety of project types undertaken by the Federation. Although written primarily for relief situations, most of the points made below also apply to development.

#### Responsibilities and Reporting Lines

192. Normally the construction projects should be implemented by the Operating National Societies. In such cases it is advisable that a professional engineer/architect is employed by the National Society to coordinate such projects and, if necessary, to act as a counterpart to the Federation construction delegate. Wherever the Federation is involved, the responsibility for coordinating implementation of the construction projects lies with the respective Regional Department. The construction delegate reports to it through the Head of country delegation. When a Regional delegation or Regional construction delegate is involved in the construction project, reporting lines may need to be changed accordingly.

193. It is beneficial that as many responsibilities as possible - within the limits of the Federation authorisation procedures - are passed to the Head of country and/or Regional delegation, and from them on to the construction delegate. This delegation of authority should be clearly reflected in the construction delegate's mission instructions.

# Main Responsibilities of a Construction Delegate

- Carry out a field survey and report on needs and available resources;
- Recommend projects, prepare project proposals or programmes if required;
- Advise on the appointment of appropriate consultants, contractors and the construction methods to be adopted;
- Propose a suitable type of construction contract;
- Carry out pre-construction planning;
- · Assist in the tender procedure up to award;
- Follow up on preparation of designs, drawings and tender documents;
- · Liaise with local authorities and National Societies concerned;
- Ensure all necessary documents, titles, permits etc. are obtained;
- · Agree the setting out of on-site works;
- Agree programme with contractor and deal with any contractual variations in accordance with the contract;
- Arrange for procurement of materials from other countries if necessary;
- Manage and supervise construction projects ensuring that the safe methods of construction are utilised;
- Monitor and report on the progress of the works, quality of workmanship and compliance with specifications;

- Check valuations of work and approve/ arrange payments to contractors or consultants.
- 194. Once appointed, the construction delegate should be briefed in detail on his/her duties, responsibilities and authority. The need to cooperate with the different parties in the implementation of the project should be emphasised. In negotiations with external contractors or consultants, they should also be informed of the division of responsibilities and authority within the Federation.
- 195. Throughout this section, the terms *authorise* and *approve* are used. Any such authorisation and approval in relation to construction projects should be made in writing, and should be in accordance with the Federation *Procedures for Authorisation of Financial Commitments and Procurement* and *Procedures for Authorisation of Federation Commitments of Financial Nature and Procurement in the Field*.

#### **Contractual Parties**

- 196. There are three main parties in a typical construction contract: the *client*, the *contractor* and the *consultant*. Depending on the project's size and complexity and the amount of time to complete it, more than one consultant or contractor may be required. On smaller projects it may be possible to altogether avoid using a consultant, and day labourers may be a reasonable alternative to contractors.
- 197. The construction contract is concluded between the client and the contractor. Depending on the circumstances, the Federation, or the Operational National Society, or both will act as the client. The client should also have a contract with the consultant. The construction delegate usually acts on behalf of the client, and has the major task of seeing to it that the project is managed in the Federation's interests. The construction delegate therefore should in principle be professionally qualified as a chartered engineer/architect, or having equivalent qualification legally allowing him/her to work in building construction.
- 198. To avoid confusion, the term *construction delegate* is to be used in all project-related documents. Other titles, such as engineer, architect, project manager or technical representative, should be avoided. The term *consultant* should be used in reference to the consulting engineer, outside architect and/or quantity surveyor.

#### **Contract Types and Conditions**

- 199. There are a great many types of contracts used in the construction industries of both developed and developing countries. Some of these are the Standard Admeasurement contract, the Turnkey contract, the Cost-Reimbursement contract and the Target Cost contract. Different contract types can be combined if need be. The type of contract best suited to the situation should be chosen.
- 200. There are several different kinds of contractual conditions relating to international construction. The *International Form of Contract*, issued by the FIDIC (International Federation of Consulting Engineers) is recommended as a set of good general contract conditions for building and civil engineering works. However, the current (fourth) edition has been written primarily for consultants, certain amendments may have to be introduced to any contract conditions based on it, so as to safeguard the client's interests.
- 201. Agreements with consultants should be based on international or local by-laws, on existing formats, or on both. In many countries there are standard forms of agreement, approved by governments, which most consultants follow. It is advisable to adopt these local formats, but to revise them to suit particular projects and conditions. It is also recommended that negotiations with consultants be led by the construction delegate, but in the presence of the Head of Delegation, National Society officials and, if possible, a representative of the Federation Secretariat.
- 202. The following basic points ought to be covered in any consultancy agreement between the Federation and a consulting firm contracted to carry out construction works on behalf of the Federation:
  - The scope of the works, with site layouts specifying site constraints;
  - The programme of works, the production of drawings and of specifications;
  - Material specifications, including limitations if any on materials to be used;
  - Respective obligations of the client and the consultant;
  - Professional indemnity insurance for design;
  - Liability of the consultants;
  - Conditions of termination of services;
  - Fees and terms of payment.

#### **Local Construction Agreements**

- 203. Where an Operating National Society implements a construction project, acts in the capacity of the client in a project, or has other construction-related contractual responsibilities, construction or financial commitments, the construction delegate should safeguard the Federation's interests, and assist and advise the National Society in all areas related to the project.
- 204. When the Federation is involved in a project together with an Operating National Society, clear and unambiguous agreements specifying the Federation's role and responsibilities need to be prepared by the construction delegate and approved by the Federation Secretariat. The Federation's financial commitment to any other contractors needs to be limited, should obligations by parties in the host country turn out not to be fulfilled. The construction delegate should closely monitor and report on the works and their effect on the overall construction programme.

205. It is essential that adequate provision be made early in the project by the National Society to deal with social factors relating to the eventual occupation of houses, the use of facilities and other similar factors arising on completion of the project.

# **Feasibility Study and Project Preparation**

206. Most construction projects have five distinct phases. They are:

- Feasibility Study and Project Preparation;
- Design and Drawings;
- Tender Preparation and Appraisal/Contract Negotiation;
- Award and Construction:
- · Handover.
- 207. During feasibility study and project preparation due note should be taken of local climatic, social, cultural and religious factors that could affect construction, as well as of local construction practices and techniques. The possibility of using local materials, equipment, labour or construction organisations where practical should be looked at. If such a possibility exists, and the local construction techniques are compatible with project requirements they should be considered preferable. The beneficiaries themselves are also to be involved in construction works wherever possible, especially in housing projects.
- 208. Wherever *local materials* are planned to be used for large-scale construction projects refugee camps, for example one should make sure that, taking into account new and growing needs, the materials will be available in sufficient quantities throughout the year. As any large-scale purchases are likely to provoke price increases, this should be allowed for in the project budget.
- 209. The selection of *sites* for construction projects should take into account ground conditions, accessibility (especially during the rainy season), availability of water, sewerage, electricity and communications where applicable. Nearby rivers should receive particular attention: during rain they may become impassable. In selecting new sites for refugee camps, previously uninhabited areas should be avoided: there are usually good reasons for the land not being occupied by the local population (endemic diseases, lack of fresh water etc.).
- 210. Discussions should be held with relevant local *authorities* and verified by visits to potential sites. Care should be taken not to ignore the religious beliefs or traditional land rights of local communities. Particular attention is required when identifying *owners* of the land or those entitled to give permission for construction. Even land in the most remote and empty-looking areas almost always has an owner. The hierarchy of local authorities needs to be identified to make sure that those signing the agreements are empowered to authorise and implement the works. Time scales should be realistic, taking into account local construction and work practices.
- 211. Based on the assessment results, an *initial programme of projects* can be prepared and recommendations made by the construction delegate and the Head of Delegation to the Regional Department for consideration. This programme should describe the types of buildings, their approximate size, room layout, necessary infrastructure requirements and possible methods of construction. If different phases of the construction are to be implemented by different contractors, then their respective roles, responsibilities and programmes must be clearly defined to limit their effect upon each other.
- 212. To avoid problems arising later, the construction delegate should carry out the right amount of *preconstruction planning*, trying to foresee potential obstacles. The initial programme should be kept flexible. Due to the technical complexity of most construction projects, their proper preparation inevitably takes time. Meanwhile, needs may change or be taken care of by other agencies. Therefore constant contact should be kept with other aid organisations to be aware of their projects and plans.
- 213. An overall construction *project proposal* defining the full scope of works should be prepared by the Operating National Society and/or the construction delegate, and presented by the Head of Delegation to the Secretariat for approval. Whenever this work is done by the construction delegate, the Operating National Society should be fully involved at all stages. In addition to usual project proposal data (location, type of project, plan of action etc.) the construction project proposal should in particular cover the estimate of professional fees and expenses for contractors and consultants, equipment and infrastructure requirements and the possibility of using local materials, labour and techniques.

# **Design and Drawings**

- 214. Design is a *crucial* phase in any construction project. Depending on the project scale, the following design options could be used:
  - For *simple* emergency relief projects or minor reconstruction works, where the construction delegate is an experienced and qualified engineer or architect, he or she can prepare the detailed designs, drawings and any required tender documents, either alone or together with engineers from other agencies that might be involved (the UNHCR, for example, in the case of refugee camps);
  - For *larger* projects, a local design institute or authority could be approached. This can maximise local knowledge, but may lead to delays if there are conflicting priorities. Formal meetings with the group concerned should be arranged by the construction delegate and the results reported back to the Regional Department. Any agreement reached should preferably be confirmed in writing. An approach of this kind needs to be handled with care, and closely followed up by the construction delegate;
  - For still *more complex* projects, the services of a recognised consulting engineer, a firm of architects and/or quantity surveyors ought to be sought from within the host country. Only in exceptional circumstances should international firms based abroad be employed. The National Society or the Federation will need to enter into a consultancy agreement with these companies then;
  - Sometimes it may become necessary to employ the services of a design and building contractor on what are commonly known as

*turn-key* projects. These require much preparation - at a minimum, sketch layouts to be produced, and room and equipment schedules to be presented to potential contractors, so that they could make a detailed design and submit the tender.

215. In all the above instances, the budget limit should be known, and where possible a cost estimate in Swiss francs per square metre be given to the designers.

# **Tender Preparation and Appraisal/Contract Negotiation**

216. In the case of major reconstruction works or new development projects it is strongly recommended that the project be contracted to local or -> depending on project size and funding - international contractors. In selecting the most competitive and suitable consultants or contractors, the Federation Secretariat will arrange where appropriate a national or international *tender* competition. Circumstances will determine the number of potential competition participants to be prequalified. For most projects a tender period of four to six weeks is considered adequate; for emergency rehabilitation programmes (such as water supply, sanitation, temporary or semi-permanent shelter etc.) the period may have to be shorter.

# Inviting Contractors to Submit Tenders

The following points need to be covered when inviting contractors to submit tenders, and these points will subsequently be put into the contract when awarded:

- Definitions and terms used within the tender or contract;
- Description of works and Bills of Quantities;
- Programme for works and financial expenditure profile;
- Obligations of the contractor and the client (Federation, or National Society, or both);
- Drawings, specification of materials and standards of construction;
- Tender price, tender period and terms of payment;
- Details of plant and labour resources (supervisors and manual labour);
- Building permit and other licences;
- Advance for mobilisation, Advance Bond and recovery of advance;
- Transport of materials and people in the field;
- . Inspection and testing procedures;
- Insurance of works, persons and property;
- Performance Bond for the works;
- Maintenance period and warranty;
- Bonuses and penalties, conditions relating to late completion or extension of time;
- Termination of contract;
- Arbitration (local or international);
- Handover upon completion.
- 217. The *appraisal* of the tender proposals should assess not only costs, but also the quality of the products, workmanship and programme being offered, as well as the reliability of the contractor offering them. This task is subjective due to a variety of specifications, materials and construction standards available. A two-tier envelope system comprising technical and financial proposals, and using a points system, can be used to assess these aspects objectively. A certain degree of flexibility is required and there will always be an opportunity for negotiation with the most favourable contractors.
- 218. It may sometimes appear better to enter into a *fixed price* contract, so that the Federation can know the final contract sum prior to awarding the contract. However, this form of contract passes risk to the contractor, who is likely then to raise the price. Because of this, it may not be the most cost-effective method, particularly with a contractor who is unfamiliar with the country. It is recommended that as many potential risks as possible delays by other contractors, local authorities' approvals be identified and clearly defined in the contract agreement. If appropriate, parameters to keep tender costs to a minimum should be stated in the contract. An overall contingency fund of about 10% of contract value can be kept in reserve to cover unforeseen circumstances, and should be included in the total construction budget.

#### **Materials and Equipment**

219. It needs to be clearly defined in all contract documentation who is responsible for equipment and materials. The contractor should normally be made contractually responsible for equipment and materials from purchase to final completion and handover. Ideally the Federation should at no time be responsible. If this should prove to be impossible, suitable measures must be taken to insure the materials and equipment and to physically safeguard them at all times.



- 220. In countries where there are severe shortages of building materials, consideration may be given to importing them. It is recommended that any *imports* of materials or equipment be arranged by the contractor. The Federation's role could then be limited to facilitating payment in foreign currency, arranging for exemptions of customs duty and taxes etc.
- 221. The *inspection* of materials should be undertaken by an expert whose comments will be acted upon. It may be appropriate for inspections to be made at loading by an independent body.

#### **Contract Award and Construction**

- 222. Once the tender proposals have been looked at and a tender report has been presented to the Federation or National Society, the awarding of the contract should proceed without delay. The successful contractor will then sign a contract agreement with the client (the Federation or the National Society); where payment is made directly by the Federation, the Federation should be the client.
- 223. As soon as construction starts, the construction delegate should begin regular visits to the site (once a month, at least) to *monitor* progress. If the contract is awarded to a local contractor, this monitoring, especially of the quality of the workmanship, becomes even more important. In a number of countries there are sometimes very few legal means to keep local contractors to their contractual obligations. This can be especially difficult in cases where advance payments are made.
- 224. The construction delegate should prepare a *monthly report* on the project's progress, including the quality of workmanship, any legal or contractual problems, payments and cash flow status. It is of benefit to hold a formal monthly progress meeting in the host country attended by representatives of the contractors, the National Society, the construction delegate and by the Head of Delegation. In this way, areas of conflict or potential problems can be identified and settled in time.

#### Handover

- 225. As soon as possible after a project is started, the handover procedure ought to be prepared. It should be agreed and signed by authorised representatives of the Federation, the National Society, the contractors, and recipients (beneficiaries, local authorities etc.)
- 226. At the handing over of the project, a "snag list" is to be compiled of all the defects which the contractor will be asked to rectify. Only when all such defects have been rectified, will the contractor become entitled to receive the balance of his retention money. The maintenance period should only start after all defects are rectified.

National Society Operational Roles

Responsibilities and Reporting Lines

Disaster Preparedness

Managing Projects

Needs Assessment, Targeting Beneficiaries

Shelter

Population Movements

Responsibilities and Agreements in Relief Operations

# Further Reading

# Engineering in Emergencies

#### Disaster Rehabilitation and Reconstruction Policy

International Federation of Red Cross and Red Crescent Societies, Geneva, 1993

#### Rehabilitation and Reconstruction

by Y. Aysan and T. Davis, United Nations Disaster Management Training Programme, 1992

# **UNHCR Handbook for Emergencies**

Part I: Field Operations, Geneva, 2000, English, French, Spanish

#### Shelter After Disaster

United Nations, New York, 1982

#### **Relief Health**

# **Principles**

227. Basic health care needs are *similar* in most disasters. The delegate needs to know about the different health-related aspects of a relief operation, including how water, sanitation, food, shelter and other environmental factors affect physical and mental health. There are common denominators, but there are also unique problems requiring specific action.



- 228. Water and sanitation, food, control of epidemics, shelter and basic health care are fundamental to survival and are the vital components in relief. Sufficient access to safe water, good sanitation, food and shelter prevents people from falling sick, and should in principle be tackled *before* starting purely health programmes. The next areas of concern, each of roughly equal importance, are social reactions, security, psychological trauma and mental health, reproductive health and the tracing of family members and dependants.
- 229. The urgency with which needs are identified and dealt with can make the difference between a disaster and a catastrophe. An initial survey and assessment of the situation identifying needs is vital, and should be carried out in parallel with the provision of immediate, basic aid. This demands a high degree of preparedness on the part of the Federation and good judgement on the part of delegates involved in the response.
- 230. In disaster situations there are both immediate and long-term health effects and risks, requiring different approaches. Short-term effects (such as injury, lack of water, epidemics etc.) require prompt action. Long-term effects (sanitation problems, communicable diseases, food security, the destruction of traditional social systems, disrupted schooling, the growth of dependence etc.) can cause new health problems thus delaying or complicating return to normal life.
- 231. Assistance provided by the Federation must aim at not creating "privileges" and should be at a level possible for the local authorities to continue when international contributions come to an end.

# **Assessment for Emergency Health Response**

232. To meet the immediate emergency health needs of disaster victims the following steps are to be taken:

- Ensure that the Operating National Society has its Government's authorisation to take action;
- Ensure coordination with the Government, the United Nations and other international agencies, and Non-Governmental Organisations (NGOs):
- Make a rapid assessment of safe water and sanitation, nutrition and shelter needs;
- Make a rapid epidemiological assessment of the affected population;
- Identify vulnerable groups in need of special attention.

- Identify stress factors and signs of stress;
- Ensure access to safe water, shelter and food;
- Prevent and control epidemics
- Set up basic health care administrative and management structures addressing PHC, establish reporting procedures;
- Set up continuous monitoring of morbidity and mortality (Health Country System);
- Set up nutritional monitoring system(s);
- Set up a Primary Health Care (PHC) programme;
- Set up a community care programme.

# Rapid Needs Assessment

- Number of affected people requiring assistance. This figure will determine all other estimates and calculations and, therefore, needs to be established as precisely as possible;
- Water needs. Calculate to provide a minimum of 15 litres of potable water per person per day the target should be 20 litres per
  person per day, for hospitals 40-60 litres per inpatient and staff per day. Find water sources, assess the need for transporting
  water; Cholera Centres need >60 litres per patient per day.B
- Nutritional needs. Set a full ration, mixed diet, giving a minimum of 2,100 kcals per person per day. Survival energy level for an adult is a minimum of 1,000 kcals per day. For supplementary feedings add what is needed to reach the total of 2,100 kcals per person per day, as well as special food to treat severely malnourished;
- Sanitation needs. Plan for a ratio of 1 latrine for 20 people (the minimal acceptable ratio is 1 for 100 people). Decide how to deal with solid waste (including that from hospitals, laboratories etc.) and garbage. Identify the need and methods for vector control flies, rats, mosquitoes etc.;
- Basic Health care needs. Epidemiological pattern including risk for epidemics (see below)
- Shelter needs. Calculate one tent for 4-6 people ideally of the same family. Decide, whether you need summer or winter tents. Do they have to be impregnated? Can locally made huts be used instead? Is extra roof (plastic sheets) for protection against heat or rains needed? Should canvas floor be included? Is shelter heating planned? If yes, with kerosene or diesel stoves?
- Fuel needs. Access of people to firewood and/or other fuel for cooking/heating is often overlooked in the needs assessment. There is no general rule for calculating the needs, since climate, traditions and quality of fuel varies considerably. Assessment should specify what type of fuel is appropriate, where to get it, and how to transport and distribute it.

Note: This assessment establishes the total needs. External assistance is calculated after local capacity has been established.

# **Health and Epidemiological Assessment**

233. The overall objective of epidemiological assessment is to identify immediate health and nutritional problems, and the factors directly and indirectly affecting health, by gathering information on the following:

# Rapid Epidemiological Assessment

- Population composition, including vulnerable groups such as children under five years of age, women, the elderly etc.:
- Population nutritional status. Based on this nutrition programme priorities can be established;
- Normal diet, breast feeding, possible cultural taboos;
- Mortality and morbidity. This data will help in identifying any serious health problems;
- Disease patterns, their trends and quantification profiles, in particular communicable diseases and their transmission;
- · Stress factors and signs of stress;
- Condition of people before the disaster, as compared to their actual health status;
- Possible regrouping to maintain social structures families, clans, leadership;
- In case of refugees and displaced persons: their livestock, shelter, utensils and other possessions that can be used;
- Local capacity; access to water, sanitation, food, shelter, harvest, vegetation, fire wood, communications and transport;
- Availability of trained health care staff, community workers among the affected population;
- Local health care capacity.
- Health care capacity of the Operating National Society, its branches and volunteers.

#### **Provision of Primary Health Care**

234. In general the primary health care (PHC) provided in emergency situations should be basic and at a level comparable to that of local health services. Assess the *capacity* of local health care system and explore possibilities to support it before looking into possible establishment of a Federation health care programme. Estimate the immediate and - when possible - long-term health care *needs* by identifying the size of the target population, target areas and by coordinating the planned Federation action with that of other agencies involved.

235. Health programmes should aim at establishing a proper health care at the district level soonest. The system must have a broad based country health approach, with clinics and hospitals. All estimates therefore should be based on that assumption. WHO Essential Drug lists and WHO Standard Treatment as well as reporting Protocols should be used. Make a rough estimate of the basic health care and organisational structure needed for providing health care on the following basis:

- One *clinic* cares for 10,000-30,000 people (basic care including rehydration of diarrhoeal cases, some overnight beds, immunisation, maternal and child health care);
- One *health centre* cares for 50,000 people (outpatient clinic covers all areas, delivery and maternal and child health care, inpatients with minor ailments, simple laboratory facilities);
- One *district/referral hospital* with basic services cares for 150,000 500,000 people (referrals only are admitted, laboratory, possible X-ray services and surgical capacity for emergencies, outpatient department for referrals and follow-up);
- One *New Emergency Health Kit* (NEHK 98) covers 10,000 people for 3 months. It is suitable for the clinic, but does not cover immunisation. It can also be used as a basis for starting up at a health centre;
- One complete Federation *Cholera Kit* covers the treatment of 1,000 patients.
- 236. Establish a crude PHC *organisation* corresponding to the identified health care needs, including contingencies. Establish referral criteria. Establish co-ordination mechanisms with other relief agencies and local health authorities. Identify *premises* and or modules suitable for addressing the immediate health care needs; locate premises suitable for a pharmacy.
- 237. Estimate preliminary needs for *staffing*, considering the local capacity for the most important posts for which high quality staff are required medical co-ordinator, medical supply logistician, (primary health care planner), and water and sanitation specialist. *Do not steal the best professional from local authorities*.
- 238. Draw up lists of essential drugs and medical materials for all levels of health care, adapted to identified needs. Establish a *medical supply line* and a simple drug control system. Create regular requisition routines for drugs and medical materials. Estimate possible need for *vaccines* and establishment of cold chain (usually in cooperation with UNICEF). Recruit members from affected population to form Health Information Teams (HIT) to slowly build up health education and basic community health workers' system.
- 239. Establish *outpatient and inpatient treatment protocols* for the most common diseases like diarrhoea, respiratory tract infections, malaria etc. in agreement with the operational partners (UNHCR, NGOs etc.).
- 240. Establish Health Monitoring System (HMS) ensuring that morbidity and mortality of most frequent diseases and cases of possible epidemics are followed/detected. This is a good tool for planning of health services, based on observed trends and epidemic threats. HMS must be compatible with other agencies reporting systems (HCR, WHO, etc.) and based on WHO standard reporting formats.

# Control of Diarrhoeal Diseases (CDD) and Acute Respiratory Infections (ARI)

- 241. Diarrhoeal diseases and acute respiratory infections (ARI), which commonly kill a huge number of people particularly children are even more menacing in a disaster situation. To deal with such diseases:
  - Ensure the immediate availability of Oral Rehydration Salts (ORS), intravenous fluids and appropriate antibiotics. ORS are available in NEHK 98 and Cholera kits;
  - Train all health care staff and community health workers in prevention, CDD and ARI health education and in how to recognise serious signs of the diseases, as well as in how to treat and refer patients. The Cholera kit also contains a health education component that can be used for that.

# **Epidemic Control**

The most common sources of infection and dissemination of communicable disease are drinking water, food contaminated during or after preparation, seafood, fruit and vegetables. Vectors including flies, mosquitoes, flees and rats play a significant role in causing epidemics. To prevent such diseases:

- Ensure that water is safe. Water quality can be improved by simple covered storage (especially in high temperatures) and sand filtration. Chemical disinfection usually by adding chlorine is recommended only when storage and filtration cannot meet the requirements:
- Boiling is the surest method of making water safe. Note that in areas situated well above the sea level, water will boil below 100°C and will have to be boiled for one more minute per every 1,000 m of altitude. However, neither boiling nor water purification tablets are appropriate for large-scale water treatment;
- 1 litre of clear water can be made safe for drinking (to provide 1% concentration of chlorine) by using 33 g of bleaching powder or chlorinated lime, or 15 g of calcium hypochlorite (70%), or sodium hypochlorite (5%);
- Ensure that all raw food products are fresh, especially vegetables, which are often improperly grown, fertilised and handled. Cook all foods well. Eat foods when still hot. Never store prepared foods overnight;
- Pay close attention to kitchen hygiene, dish washing and washing of hands before preparing food. Encourage everyone to be careful about their hygiene especially hand hygiene;
- Make sure there are sufficient numbers of well protected latrines. See that garbage is disposed of or burnt on a daily basis;
- Protect foods from flies and other insects. Find possible breeding places of flies, burn them daily or, if this is not effective, spray them regularly. Take measures to keep the rat population under control;
- Monitor problems with lice, bed bugs, fleas and other vectors and take measures to control them where necessary. However, note that many of the vector control chemicals are poisonous;
- Where possible, drain, spray or place fish in ponds and other water reservoirs, that are not necessary for the safe water supply (the fish eat mosquito larvae);
- Malaria. Even where there are increased numbers of confirmed cases, prevention and treatment must be adjusted to the need of the population. First line basic treatment should be provided. Strongly encourage the use of mosquito nets should the people accept the use of them.

#### Cholera

242. Not all diahorrea automatically means cholera. However, in emergencies the possibility of cholera outbreaks is quite high and should always be suspected. Identify whether it is cholera by rectal swab using for example, Cary Bair, TCBS agar or KIA media. If such media are not available, use a sterile cotton swab, soak it in liquid stool, place it in a sterile plastic bag and send it immediately to a laboratory. Have the sero type identified and the sensitivity test done as soon as possible.

243. If just *one* case of cholera is identified, *all* cases of serious diarrhoea should be treated as genuine cholera cases. Basic preventive and therapeutic measures are to be taken, using the Federation Cholera Kits (one for 1,000 patients) - see below - , and a specialist is to be called. At the same time water, food, latrines and garbage should be checked to identify potential sources of contamination. Health education provided by community health workers focused on hygiene and peripheral use of ORS is a major component in cholera prevention.

244. Nearly all cholera cases can be treated with oral rehydration and only a few require intravenous fluid for about 24 hours. There are new oral vaccines tested to be much more effective than the old types. Local vaccination in emergencies is still questionable. The mass use of drugs for prevention is not effective either; selectively the following drugs can be used: **DOXYCYCLINE**, **TETRACYCLINE**, **TRIMETOPRIM-SULPHA** or **FURAZOLIDONE**. **ERYTHROMYCINE**, **CHLORAMPHENICOL** or **CIPROFLOXACINE** may be used when the above mentioned drugs are not available or if the cholera bacteria is found to be resistant - see below "Emergency Health Kit Supplementary Unit, anti-infective drugs".

# **Immunisation During Emergencies**

245. There is an increased risk for vaccine-preventable diseases in crowded and unsanitary conditions. Poor health and - especially - poor nutrition contribute to high mortality from communicable diseases preventable by vaccine, including measles, meningitis, typhoid fever, typhus etc.

246. In every disaster situation therefore the following actions are to be taken before any epidemics actually start:

- Ensure that target population is imunised against measles urgently. Immunisation against measles, targeting 100% of children under five. Check if the local population is poorly covered. The children vaccinated when they are aged less than six months need a booster at between 9-12 months for lifelong protection. Note also that accidental additional boostering is not harmful;
- Make contact with UNICEF if possible;
- Establish monitoring system necessary for identification of communicable diseases;
- Establish (or ensure access to) the cold chain equipment (refrigerators, transport cool boxes etc.) and train health workers according to needs. See that syringes, needles, cold boxes for transport and vaccines are available;
- Set up an immunisation programme, covering tuberculosis, diphtheria, whooping cough, tetanus, poliomyelitis and measles, targeting in emergencies children under 14 years old, with top priority to those under five and newly-born babies;
- Ensure preparedness for epidemics of cholera and meningitis;
- Involve the community in monitoring, health education and action.

# **Drugs in Emergencies**

247. During emergencies and relief situations, medicines and medical supplies of varying qualities and origins are often donated. Large numbers of medicines mixed up in the same consignments, poor documentation and descriptions in many different languages easily create logistical and distribution problems. To avoid this:

- Plan emergency health action, by using the standard drug lists (WHO *Essential Drug List*) and health kits, e.g. WHO *New Emergency Health Kit* (see below), to cover the basic health needs of 10,000 people for 3 months, and *Federation Cholera Kits* (see below) to cover treatment of 1,000 patients;
- Immediately draw up standard drug lists for the operation. Each list must be made available to the Federation as soon as possible so that it can be sent out to all potential donors. There are globally accepted guidelines for drug donations which must be disseminated and adhered to by donors;
- Always use the generic names of drugs, not the manufacturer's brand names;
- Find out what can be safely and regularly purchased locally, and what has to be purchased via Geneva or elsewhere;
- Make sure there are reserves of drugs and that preparedness for possible outbreaks of diseases such as cholera is built into the programme at an early stage;
- Organise separate medical store, establishing simple ordering and stock control systems. In the store again use only generic names of the drugs, indicating their expiry dates on the bin cards;
- Set up a cold chain as soon as possible vaccination has to get started early;
- Instigate standard WHO treatment procedures for the common diseases.

In relief situations, the regular nutritional monitoring of the children under five is a good indicator of a community's nutritional status. There are a variety of other indications, some of which are listed below:

- To find nutritional trends and changes in the community do continuous *growth monitoring* in Maternal-and-Child-Health and underfive clinics, and through community health worker home visiting. Measuring weight-for-height (W/H) method gives the best indicator of acute malnutrition:
- To find out how wide-spread malnutrition is in the community, do proper *nutrition surveys* among the whole population. Assessment only of patients turning up at health care facilities is a poor indicator of the nutrition situation;
- To identify malnourished children for selective or therapeutic feeding, do a *rapid nutrition screening* using W/H method if there is time, otherwise making clinical assessment using Mid-Upper-Arm-Circumference (MUAC), through campaigns or community health workers. Assessment at clinics only is again a poor measuring instrument: malnutrition is often associated with people afflicted with poverty and social problems groups who do not come to clinics often enough;
- If reliable results are required for assessing prevalence of malnutrition, well-trained specialists must organise and set up a surveying and monitoring system. Survey reports must describe the socio-economic and health situation of the population as well as the survey methods. And clear recommendations should be presented.

# Therapeutic/Supplementary Feeding

248. To be efficient, the therapeutic/supplementary feeding programmes require:

- Clear definitions of target group(s) with clear admission and discharge criteria;
- Specification of caloric intake and its composition;
- Clear methods for identifying and monitoring specific contributory factors such as socio-economic problems, incidence/prevalence
  of disease like diarrhoea, malaria, worms, etc.;
- Health and nutrition education component, concentrating on importance of breast feeding, appropriate weaning, nutrition during
  pregnancy and lactation, importance of immunisation, management of diarrhoea, mother and child health care, safe water,
  household hygiene and sanitation, vector control etc.

# **Community Health Care**

249. Immediately following the emergency a community health programme that mobilises the affected people and selects and trains health workers from the communities should be initiated through:

- Establishment of Health Information Teams (HIT) and use of community health workers (CHW) and home visitors (approx 1/1000 refugees) with clear job descriptions, assigning them to specific geographical areas;
- Giving out health information to establish effective outreach and early referrals essential for disease monitoring and control, as well as early case finding of the seriously ill and identification of vulnerable individuals and groups;
- Focusing on prevention and control of diseases like diarrhoea, respiratory tract infections, sexually-transmitted diseases, AIDS and malaria. Successively tuberculosis, reproductive health etc. should be included;
- Setting up strong links and coordination with existing nutrition programmes, maternal-and-child health centres and clinics, and exploring the use and training of Traditional Birth Attendants (TBA).

250. Health Information Teams, Traditional Birth Attendants and Community Health Workers should primarily be mobilised for:

- Identification of vulnerable individuals or groups;
- Basic prevention and health education covering nutrition, care of simple ailments, hygiene and sanitation, water, use of oral rehydration salts etc.;
- Basic health surveillance reporting births, deaths and sickness, and follow up on tuberculosis, deliveries, treatment for malnutrition etc.:
- Treatment of minor illness (conjunctivitis, scabies etc.);
- Safe births at home and referrals when needed;
- Referrals for immunisation, to the maternal-and-child health clinics, selective feeding etc.

251. Reproductive health care in emergencies - 80% of maternal deaths in developing countries are of limited number of causes and preventable. In emergency situations, the incidence increases, partly because of additional complications like malnutrition, marital trauma, violence and much increased complications of unsafe abortion. To reduce the maternal morbidity and mortality in emergency situations, the setting up of a reproductive health service is urgent to cover:

- obstetric emergencies/delivery care
- ante and post natal care
- family planning services
- prevention and cure of sexually transmitted diseases including HIV/AIDS
- sexual violence
- · adolescent sexual health
- other issues like complications after unsafe abortion.

#### The New Emergency Health Kit (NEHK 98)

- 252. NEHK was *not* specifically designed for emergency phase of disasters, but it is successfully used as a starting kit. In emergencies, after the initial phase, specific local requirements have to be pinpointed as soon as possible and an essential drug list established, based on specific needs.
- 253. Introduced in 1988 and revised in 1998, the NEHK 98 is designed to meet very basic health needs for 10,000 people for 3 months. It consists of 10 Basic Units (45 kg and 0.2 m3 each) each covering the needs of 1,000 people, and 1 Supplementary Unit (410 kg, 14 boxes, 2 m3) for 10,000 people. The total weight of NEHK 98 is about 860 kg, and its volume is about 4 m3.
- 254. *Basic Units* are for the provision of the most basic health care and allow for a Health Post to be set up. There are no injectables. The *Supplementary Unit* is more advanced and must be used by trained health workers or physicians. All supplies are disposable to limit risks of contamination with Hepatitis and HIV. The Supplementary Unit does not contain the same drugs or supplies found in the Basic Units and therefore they should be used together.

#### The Cholera Kit

255. One Cholera Kit is designed to treat 1,000 cases, combining preventive and curative measures. It is made up of 8 Volunteer Units, providing material for Health Education on Cholera, 4 Medical Units A (for treatment: with antibiotics etc.), and 2 Medical Units B (for infusion). Because the vast majority of cholera cases are mild, requiring only oral rehydration, intravenous fluids are not included in the Medical Unit A, but provided separately in Medical Unit B. The medical units can be used separately, but by professional health workers only. The Volunteer Unit, on the other hand, can be used by anyone - as its name suggests. The oral rehydration salts are provided in the Volunteer Units only.

# **Emergency Response Units (ERU)**

256. Since 1995 the following health care Emergency Response Units (ERU's) are available:

**Basic Health Care** ERU. Basic, essential curative health care in emergency situations, where local medical facilities are insufficient or have been destroyed, as well as a base for community health care for a population of approximately 20,000-30,000 per unit. It comprises 2 New Emergency Health Kits, 3 nurses and 1 technician, self-supporting for one month. It caries 10-20 "overnight beds" for observation cases.

**Referral Hospital** ERU. First level medical referral unit in case of emergencies during which medical facilities are insufficient and/or have been destroyed, aimed at restoring district health care. The unit has a capacity of 120-150 beds serving a population of about 150,000 during initial emergency phase and up to 250,000 later. It basically covers surgery, obstetrics, paediatrics, adult care and infectious disease, and includes necessary means of transport and communications. The hospital should also serve as part of a district-type autonomous medical system with no secondary referral. The unit is self-contained for one month.

There are **Specialised Water** ERUs servicing 10,000-15,000 people and hospitals, dispensaries, feeding centres, etc. and **Mass Water** and **Sanitation** ERUs aiming at servicing up to 40,000 persons/day.

**Emergency Response Units** 

# Further Reading

#### The Oxfam Handbook of Development and Relief

by D. Eade and S. Williams (editors), Oxfam, UK and Ireland, 1995

#### Engineering in Emergencies

A practical guide for relief workers, by J. Davis and R. Lambert, IT Publications on behalf of RedR, London, 1995

#### Health Laboratory Facilities in Emergency and Disaster Situations

WHO, 1994

# First Aid in Community. A Manual of Red Cross and Red Crescent Volunteers

International Federation of Red Cross and Red Crescent Societies, Geneva, 1994

# Manuel d'Utilisation des Désinfectants dans les Situations de Réfugiés

UNHCR, 1994

#### Clinical Guidelines, Diagnosis and Treatment Manual

Médecins Sans Frontières, Hatier, Paris, 1999 (4th Edition)

# Essential Drugs: Practical Guidelines

Médecins Sans Frontières, Hatier, Paris, 1999 (3rd Edition)

#### Guidelines for Cholera Control

WHO. 1992

# Surgery at the District Hospital: Obstetrics, Gynaecology, Orthopaedics and Traumatolog

by John Cook, WHO, 1991

#### Medical Care of Refugees

Editors R.H. Sandler, T.C. Jones, New York and Oxford, Oxford University Press, 1987

#### Assisting in Emergencies

# A resource Handbook of UNICEF Field staff. UNICEF, 1986

#### The New Emergency Health Kit 98

WHO and 8 major relief agencies including the International Federation of Red Cross and Red Crescent Societies

#### Guidelines for Drug Donation

WHO with inter-agency consultation (rev. 1999)

#### International Drug Price Indicator Guide (Annual Editions)

Drug Management Programme, Management Science and Health

# Refugee Health: An Approach to Emergency Situations

Médecins sans Frontières, 1997

#### Handbook for Emergencies

UNHCR. 2000

# A Resource Handbook for UNICEF Field staff.

UNICEF, 1986

# UNHCR Handbook for Emergencies. Part One: Field Operations.

UNHCR, Geneva 1982

# International Drug Price Indicator Guide (Annual Editions)

Drug Management Programme, Management Science for Health

# The John Hopkins and Red Cross / Red Crescent Public Health Guide for Emergencies, First Edition CD-Rom

By Saade Abdallah, MBChB, MPH and Gilbert Burnham, MD, PhD The John Hopkins School of Hygiene and Public Health, 2000

#### Useful Website Addresses

**SPHERE** 

Humanitarian Charter and Minimum Standards in Disaster Response

http://www.sphereproject.org

DMIS - Federation Disaster Management Information System

http://www.ifrc.org/what/response/dmis.asp

Reuters

http://www.alertnet.org The IASC / Norwegian Refugee Council IDP Global Database http://www.tornado.jstechno.ch/nrc/nrcdefault.htm UNHCR homepage http://www.unhcr.ch UNHCR REFWORLD site http://www.unhcr.ch/refworld/welcome.htm Overseas Development Institute Relief and Rehabilitation Network http://rrn@oneworld.org/odi/rrn/index.html Australian Government Department of Migration Affairs Site http://www.immi.gov.au The Political Science site of Amazon.com http://www.polisci.com/index.htm South Eastern Europe Reconstruction Site http://www.seerecon.org European Council of Refugees and Exiles http://www.ecre.org/index.htm A complete list and sets of texts for the principle Human Rights Conventions http://www.tufts.edu/fletcher/multi/humanrights.htm USCR - US Committee for Refugees http://www.refugees.org CDC http://www.cdc.gov/CDC OCHA Relief Web http://www.reliefweb.int OCHA Regional Network Africa http://reliefweb.int/IRIN ERU http://www.ifrc.org/what/response/eru **FACT** http://www.ifrc.org/what/response/fact ICRC homepage

http://www.icrc.org

WHO

http://www.who.int/home/sitemap

WHO statistical system

http://who.int/whois

Pan American Health Organisation

http://www.paho.org

Community-Based Health Programmes

**Disaster Effects** 

Needs Assessment, Targeting Beneficiaries

Water and Sanitation

Food and Nutrition

**Shelter** 

Social Welfare in Relief

**Tracing in Emergencies** 

Population Movements

Emergency Response Units

Principles and Rules for Disaster Relief

Code of Conduct for Disaster Relief

# The New Emergency Health Kit 98

Basic Unit (for 1,000 persons for 3 months)				
Drugs	•			
Acetylsalicylic acid, tabl. 300 mg	tab	3,00		
Aluminium hydroxide, tab. 500 mg	tab	1,000		
Benzyl benzoate *(1), lotion 25%	bottle 1 litre	1		
Chlorhexidrine *(2) (as digluconate) 5%	bottle 1 litre	1		
Chloroquine, tabl. 150 mg base	tab	2,000		
Ferrous sulphate + folic acid, tab 200 + 0.25 mg	tab	2,000		
Gentian violet, powder	25 g	4		
Mebendazole, tab 100g	tab	500		
Oral rehydration salts	sachet for 1	1 200		
Paracetamol, tab 100 mg	tab	1,000		
Sulfamethoxazole + trimethoprim, tab 400 + 80 mg (cotrimoxazole)	tab	2,000		
Tetracycline eye ointment 1%	tube 5 g	50		
Renewable Supplies				
Absorbent cotton wool	kg	1		
Adhesive tape, 2.5 cm x 5 m	roll	30		
Bars of soap (100 - 200 g)	bar	10		
Elastic bandage (crepe), 7.5 cm x 5 m	unit	20		
Gauze bandage, 7.5 cm x 5 m	roll	200		
Gauze compresses, 10 cm x 10 cm, 12 ply, non-sterile	unit	500		
Ballpens, blue or black	unit	10		
Exercise book A4, hard cover	unit	4		
Health card + plastic cover	unit	500		
Small plastic bags for drugs	unit	2,000		
Protective glove, non sterile, disposable	unit	100		
Notepad (A6)	unit	10		
Thermometers Celsius/Fahrenheit	unit	6		
Treatment guidelines for basic list	unit	2		

#### Equipment

Nail brush, plastic, autoclavable

Bucket, plastic, approx. 20 litres	unit	2
Gallipot, stainless steel, 100 ml	unit	1
Kidney dish, stainless steel, approx. 26 x 14 cm	unit	1
Dressing set *(3) (3 instruments + box)	unit	2
Dressing tray, stainless steel, approx. 30 x 15 x 3 cm	unit	1
Drum for compresses, approx. 15 cm H, diam. 14 cm	unit	2
Foldable jerrycan, 20 litres	unit	1
Forceps Kocher, no teeth, 12 - 14 cm unit 2		
Plastic bottle, 1 litre	unit	3
Syringe Luer, disposable, 10 ml	unit	1
Plastic bottle, 125 ml	unit	1
Scissors straight/blunt, 12 - 14 cm	unit	2

<sup>\*(1)</sup> According to WHO recommendations benzyl benzoate solution 25% concentration is being supplied. The use of 90% concentration is not recommended.

- \*(3) Dressing set (3 instruments + box): 1 stainless steel box approx. 17 x 7 x 3 cm
- 1 pair surgical scissors, sharp/blunt, 12 14 cm
- 1 kocher forceps, no teeth, straight, 12 14 cm
- 1 dissecting forceps, no teeth, 12 14 cm

# The Supplementary Unit

(for 10,000 persons for 3 months)		
Drugs		
Anaesthesics Ketamine, inj. 50 mg/ml,	10 ml/vial	25
Lidocaine *(1), inj. 1%	20 ml/vial	50
	20,	
Analgesics		
Morphine inj. 10mg/ml	1 ml/ampoule	50
And allowers		
Anti-allergics	tob	100
Prednisolone, tab 5 mg Epinephrine (adrenaline), see respiratory tract	tab	100
Epinephinie (adrenamie), see respiratory tract		
Antidotes		
Naloxone inj. 0.4 mg/ml	1 ml/ampoule	20
Anti-epileptics		
Diazepam, inj. 5 mg/ml	2 ml/ampoule	
Phenobarbital,	50 mg tab	1,000
Anti-infective drugs		
Moxicilline, tab 250 mg scored,	tab	3,000
Ampicillin *(2), inj. 500 mg/vial	vial	200
Benzathine benzylpenicillin, inj. 2.4 MIU/vial	vial	50
Benzylpenicillin, inj. 5 million/vial	vials	250
Chloramphenicol, caps 250 mg	caps	2,000
Chloramphenicol, inj. 1 g/vial	vial	500
Metronidazole, tab 250 mg	tab	2,000
Nystatin*(3), non-coated tablet	100,000IU/tab	
D:O vaginal tablet	100,000IU/tab	•
Procaine benzylpenicillin *(4), inj. 3-4 MU/vial	vial	750
Quinine *(5), inj. 300 mg/ml	ml/ampoule	100
Quinine sulphate, tab 300 <mg< td=""><td>tab</td><td>3,000</td></mg<>	tab	3,000
Sulfadoxine + pyrimethamine *(6), tab 500 mg + 25 mg	tab	300
Doxycycline *(7), tab 100 mg	caps or tab	2,000

<sup>\*(2)</sup> Chlorexidrine 20% needs distilled water for dilution, otherwise precipitation may occur. 5% solution is WHO standard. Alternatives include the combination of chlorexidrine 1.5% and cetrimide 15%.

Blood (drugs affecting )		
Folic acid, tab 1 mg	tab	1,000
Tollo dold, tab Tillig	tab	1,000
Cardiovascular drugs		
Methyldopa *(8), 250 mg	tab	500
Hydralazine, inj. 20 mg/ml	1 ml/ampoule	20
Dermatological		
Polyvidone iodine 10% *(9), sol., 200 ml	bottle	10
Silver sulfadiazine cream 1%, 50gm tube	tubes	30
Benzoic acid 6% + salicylic acid 3% ointment, 40gm tube	tubes	25
Diuretics	0.1/	00
Furosemide, inj. 10 mg/ml	2 ml/ampoule	
Hydrochlorothiazide, tab 25 mg	tab	200
Gastro-intestinal drugs		
Promethazine, tab 25 mg	tab	500
Promethazine, inj. 25 mg/ml	2 ml/ampoule	
Atropine, inj. 1 mg/ml	1 ml/ampoule	
7. (10 pino, 11). 1 mg/m	i illi/allipodio	00
Emergency contraceptives		
Ethinylestradiol 50 microgrammes + levonorgestrel 250 microgrammes	pack of 4	100 packs
	·	'
Oxytoxics		
Oxytocin, inj 10 IU/ml	1 ml/ampoule	200
Psychotherapeutic drugs		
Chlorpromazine, inj. 25 mg/ml	2 ml/ampoule	20
Respiratory tract (drugs acting on)		
Salbutamol, tab 4 mg	tab	1,000
Aminophylline, inj. 25 mg/ml	10 ml/ampoule	e 50
		e 50
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml	10 ml/ampoule	e 50
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10)	10 ml/ampoule	50 50
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle	10 ml/ampoule 1 ml/ampoule 500 ml/bag	≥ 50 50 200
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/bag	200 100
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle Glucose, inj. sol. 50%	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/bag 50 ml/vial	200 100 200
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/bag	200 100
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle Glucose, inj. sol. 50%	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/bag 50 ml/vial	200 100 200
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10)  Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle Glucose, inj. sol. 50%  Water for injection 10 ml/plastic	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/bag 50 ml/vial	200 100 200
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle Glucose, inj. sol. 50% Water for injection 10 ml/plastic	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/bag 50 ml/vial vial	200 100 20 200 200 200 2,000
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle Glucose, inj. sol. 50% Water for injection 10 ml/plastic  Vitamins Retinol (Vitamin A), caps 200.000 IU	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/bag 50 ml/vial vial	200 100 20 2,000 4,000
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle Glucose, inj. sol. 50% Water for injection 10 ml/plastic  Vitamins Retinol (Vitamin A), caps 200.000 IU	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/bag 50 ml/vial vial	200 100 20 2,000 4,000
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle Glucose, inj. sol. 50% Water for injection 10 ml/plastic  Vitamins Retinol (Vitamin A), caps 200.000 IU Ascorbic acid, tab 250 mg	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/bag 50 ml/vial vial	200 100 20 2,000 4,000
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle Glucose, inj. sol. 50% Water for injection 10 ml/plastic  Vitamins Retinol (Vitamin A), caps 200.000 IU Ascorbic acid, tab 250 mg  Renewable Supplies Scalp vein infusion set, disposable, 25 G (diam. 0,5 mm) Scalp vein infusion set, disposable, 21 G (diam. 0,8 mm)	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/bag 50 ml/vial vial caps tab	200 100 20 20 2,000 4,000 4,000
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle Glucose, inj. sol. 50% Water for injection 10 ml/plastic  Vitamins Retinol (Vitamin A), caps 200.000 IU Ascorbic acid, tab 250 mg  Renewable Supplies Scalp vein infusion set, disposable, 25 G (diam. 0,5 mm) Scalp vein infusion set, disposable, 21 G (diam. 0,8 mm) IV placement canula, disposable, 18 G (diam. 1,7 mm)	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/bag 50 ml/vial vial caps tab	200 100 200 200 2,000 4,000 4,000 300 100 15
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle Glucose, inj. sol. 50% Water for injection 10 ml/plastic  Vitamins Retinol (Vitamin A), caps 200.000 IU Ascorbic acid, tab 250 mg  Renewable Supplies Scalp vein infusion set, disposable, 25 G (diam. 0,5 mm) Scalp vein infusion set, disposable, 21 G (diam. 0,8 mm) IV placement canula, disposable, 18 G (diam. 1,7 mm) IV placement canula, disposable, 22 G (diam. 0,9 mm)	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/vial vial caps tab unit unit unit unit	200 100 20 2,000 4,000 4,000 300 100 15 15
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle Glucose, inj. sol. 50% Water for injection 10 ml/plastic  Vitamins Retinol (Vitamin A), caps 200.000 IU Ascorbic acid, tab 250 mg  Renewable Supplies Scalp vein infusion set, disposable, 25 G (diam. 0,5 mm) Scalp vein infusion set, disposable, 21 G (diam. 0,8 mm) IV placement canula, disposable, 22 G (diam. 0,9 mm) IV placement canula, disposable, 22 G (diam. 0,9 mm) IV placement canula, disposable 24 G (diam. 0,9 mm) IV placement canula, disposable 24 G (diam. 0,7 mm)	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/vial vial caps tab unit unit unit unit unit	200 100 200 200 2,000 4,000 4,000 300 100 15 15 15
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle Glucose, inj. sol. 50% Water for injection 10 ml/plastic  Vitamins Retinol (Vitamin A), caps 200.000 IU Ascorbic acid, tab 250 mg  Renewable Supplies Scalp vein infusion set, disposable, 25 G (diam. 0,5 mm) Scalp vein infusion set, disposable, 21 G (diam. 0,8 mm) IV placement canula, disposable, 18 G (diam. 1,7 mm) IV placement canula, disposable, 22 G (diam. 0,9 mm) IV placement canula, disposable, 24 G (diam. 0,7 mm) Needle Luer IV, disposable, 19 G (diam. 1,1 mm x 38 mm)	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/vial vial  caps tab  unit unit unit unit unit unit unit	200 100 20 2,000 4,000 4,000 300 100 15 15 15 1,000
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle Glucose, inj. sol. 50% Water for injection 10 ml/plastic  Vitamins Retinol (Vitamin A), caps 200.000 IU Ascorbic acid, tab 250 mg  Renewable Supplies Scalp vein infusion set, disposable, 25 G (diam. 0,5 mm) Scalp vein infusion set, disposable, 21 G (diam. 0,8 mm) IV placement canula, disposable, 18 G (diam. 1,7 mm) IV placement canula, disposable 24 G (diam. 0,9 mm) IV placement canula, disposable 24 G (diam. 0,7 mm) Needle Luer IV, disposable, 19 G (diam. 1,1 mm x 38 mm) Needle Luer IM, disposable, 21 G (diam. 0,8 mm x 40 mm)	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/vial vial caps tab unit unit unit unit unit unit unit unit	200 100 200 2,000 4,000 4,000 300 100 15 15 15 1,000 2,000
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle Glucose, inj. sol. 50% Water for injection 10 ml/plastic  Vitamins Retinol (Vitamin A), caps 200.000 IU Ascorbic acid, tab 250 mg  Renewable Supplies Scalp vein infusion set, disposable, 25 G (diam. 0,5 mm) Scalp vein infusion set, disposable, 21 G (diam. 0,8 mm) IV placement canula, disposable, 18 G (diam. 1,7 mm) IV placement canula, disposable, 22 G (diam. 0,9 mm) IV placement canula, disposable, 24 G (diam. 0,7 mm) Needle Luer IV, disposable, 19 G (diam. 1,1 mm x 38 mm) Needle Luer IM, disposable, 21 G (diam. 0,8 mm x 40 mm) Needle Luer SC, disposable, 25 G (diam. 0,5 mm x 16 mm)	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/vial vial caps tab unit unit unit unit unit unit unit unit	200 100 20 2,000 4,000 4,000 300 100 15 15 15 1,000 2,000 100
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle Glucose, inj. sol. 50% Water for injection 10 ml/plastic  Vitamins Retinol (Vitamin A), caps 200.000 IU Ascorbic acid, tab 250 mg  Renewable Supplies Scalp vein infusion set, disposable, 25 G (diam. 0,5 mm) Scalp vein infusion set, disposable, 21 G (diam. 0,8 mm) IV placement canula, disposable, 18 G (diam. 1,7 mm) IV placement canula, disposable, 22 G (diam. 0,9 mm) IV placement canula, disposable, 19 G (diam. 1,1 mm x 38 mm) Needle Luer IV, disposable, 21 G (diam. 0,8 mm x 40 mm) Needle Luer SC, disposable, 25 G (diam. 0,5 mm x 16 mm) Spinal needle, disposable, 20 G (90 mm - diam. 0,9 mm)	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/vial vial caps tab  unit unit unit unit unit unit unit uni	200 100 20 2,000 4,000 4,000 300 100 15 15 15 1,000 2,000 100 25
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle Glucose, inj. sol. 50% Water for injection 10 ml/plastic  Vitamins Retinol (Vitamin A), caps 200.000 IU Ascorbic acid, tab 250 mg  Renewable Supplies Scalp vein infusion set, disposable, 25 G (diam. 0,5 mm) Scalp vein infusion set, disposable, 21 G (diam. 0,8 mm) IV placement canula, disposable, 18 G (diam. 1,7 mm) IV placement canula, disposable, 22 G (diam. 0,9 mm) IV placement canula, disposable, 29 G (diam. 0,7 mm) Needle Luer IV, disposable, 19 G (diam. 1,1 mm x 38 mm) Needle Luer SC, disposable, 21 G (diam. 0,8 mm x 40 mm) Needle Luer SC, disposable, 20 G (90 mm - diam. 0,9 mm) Spinal needle, disposable, 22 G (40 mm - diam. 0,7 mm)	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/vial vial caps tab unit unit unit unit unit unit unit unit	200 100 200 200 2,000 4,000 4,000 300 100 15 15 15 1,000 2,000 100 25 25
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle Glucose, inj. sol. 50% Water for injection 10 ml/plastic  Vitamins Retinol (Vitamin A), caps 200.000 IU Ascorbic acid, tab 250 mg  Renewable Supplies Scalp vein infusion set, disposable, 25 G (diam. 0,5 mm) Scalp vein infusion set, disposable, 18 G (diam. 1,7 mm) IV placement canula, disposable, 18 G (diam. 1,7 mm) IV placement canula, disposable, 22 G (diam. 0,9 mm) IV placement canula, disposable 24 G (diam 0,7 mm) Needle Luer IV, disposable, 19 G (diam. 1,1 mm x 38 mm) Needle Luer IM, disposable, 21 G (diam. 0,8 mm x 40 mm) Needle Luer SC, disposable, 25 G (diam. 0,5 mm x 16 mm) Spinal needle, disposable, 20 G (90 mm - diam. 0,9 mm) Spinal needle, disposable, 22 G (40 mm - diam. 0,7 mm) Syringe Luer resterilisable, nylon, 2 ml	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/vial vial  caps tab  unit unit unit unit unit unit unit uni	200 100 20 200 2,000 4,000 4,000 300 100 15 15 15 1,000 2,000 100 25 25 20
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle Glucose, inj. sol. 5%, with giving set and needle Glucose, inj. sol. 50% Water for injection 10 ml/plastic  Vitamins Retinol (Vitamin A), caps 200.000 IU Ascorbic acid, tab 250 mg  Renewable Supplies Scalp vein infusion set, disposable, 25 G (diam. 0,5 mm) Scalp vein infusion set, disposable, 21 G (diam. 0,8 mm) IV placement canula, disposable, 22 G (diam. 0,9 mm) IV placement canula, disposable, 22 G (diam. 0,9 mm) IV placement canula, disposable, 24 G (diam. 0,7 mm) Needle Luer IV, disposable, 21 G (diam. 0,8 mm x 40 mm) Needle Luer IM, disposable, 25 G (diam. 0,5 mm x 16 mm) Spinal needle, disposable, 20 G (90 mm - diam. 0,9 mm) Spinal needle, disposable, 22 G (40 mm - diam. 0,7 mm) Syringe Luer resterilisable, nylon, 2 ml Syringe Luer resterilisable, nylon, 5 ml	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/vial vial caps tab unit unit unit unit unit unit unit unit	200 100 200 2,000 4,000 4,000 300 100 15 15 15 1,000 2,000 100 25 25 20 100
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle Glucose, inj. sol. 50% Water for injection 10 ml/plastic  Vitamins Retinol (Vitamin A), caps 200.000 IU Ascorbic acid, tab 250 mg  Renewable Supplies Scalp vein infusion set, disposable, 25 G (diam. 0,5 mm) Scalp vein infusion set, disposable, 21 G (diam. 0,8 mm) IV placement canula, disposable, 22 G (diam. 0,9 mm) IV placement canula, disposable, 22 G (diam. 0,9 mm) IV placement canula, disposable, 24 G (diam. 0,7 mm) Needle Luer IV, disposable, 19 G (diam. 1,1 mm x 38 mm) Needle Luer IM, disposable, 25 G (diam. 0,8 mm x 40 mm) Needle Luer SC, disposable, 25 G (diam. 0,5 mm x 16 mm) Spinal needle, disposable, 22 G (dom. 0,5 mm x 16 mm) Spinal needle, disposable, 22 G (40 mm - diam. 0,9 mm) Syringe Luer resterilisable, nylon, 2 ml Syringe Luer resterilisable, nylon, 5 ml Syringe Luer resterilisable, nylon, 5 ml Syringe Luer resterilisable, nylon, 10 ml	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/vial vial caps tab  unit unit unit unit unit unit unit uni	200 100 200 2,000 4,000 4,000 300 100 15 15 15 1,000 2,000 100 25 25 20 100 40
Aminophylline, inj. 25 mg/ml Epinephrine (adrenaline), inj. 1 mg/ml  Solutions correcting water, electrolyte and acid-base disturbances *(10) Compound solution of sodium lactate (Ringer's Lactate), inj. sol., with giving set and needle Glucose *(11), inj. sol. 5%, with giving set and needle Glucose, inj. sol. 5%, with giving set and needle Glucose, inj. sol. 50% Water for injection 10 ml/plastic  Vitamins Retinol (Vitamin A), caps 200.000 IU Ascorbic acid, tab 250 mg  Renewable Supplies Scalp vein infusion set, disposable, 25 G (diam. 0,5 mm) Scalp vein infusion set, disposable, 21 G (diam. 0,8 mm) IV placement canula, disposable, 22 G (diam. 0,9 mm) IV placement canula, disposable, 22 G (diam. 0,9 mm) IV placement canula, disposable, 24 G (diam. 0,7 mm) Needle Luer IV, disposable, 21 G (diam. 0,8 mm x 40 mm) Needle Luer IM, disposable, 25 G (diam. 0,5 mm x 16 mm) Spinal needle, disposable, 20 G (90 mm - diam. 0,9 mm) Spinal needle, disposable, 22 G (40 mm - diam. 0,7 mm) Syringe Luer resterilisable, nylon, 2 ml Syringe Luer resterilisable, nylon, 5 ml	10 ml/ampoule 1 ml/ampoule 500 ml/bag 500 ml/vial vial caps tab unit unit unit unit unit unit unit unit	200 100 200 2,000 4,000 4,000 300 100 15 15 15 1,000 2,000 100 25 25 20 100

Syringe Luer, disposable, 10 ml	unit	200
Syringe conic, connector (for feeding), 60 ml	unit	20
Feeding tube, CH5-6 (premature baby), disposable	unit	20
Feeding tube, CH8, 40 cm, disposable	unit	50
Feeding tube, CH16, 125 cm, disposable	unit	10
Urinary catheter (Foley), no 12, disposable	unit	10
Urinary catheter (Foley), no 14, disposable	unit	5
Urinary catheter (Foley), no 18, disposable	unit	5
Surgical gloves sterile and resterilisable no 6.5	pair	50
Surgical gloves sterile and resterilisable no 7.5	pair	150
Surgical gloves sterile and restrerilisable no 8.5	pair	50
Safety box for disposal of used syringes and needles, 5 liters	unit	20
Sterilisation test tape (for autoclave)	roll	2
Sodium dichloroiso cyanurate (NADCC) tabs 1,67g	tab	1,200
Thermometer (oral/rectal) Celsius flat	unit	10
Spare bulb for otoscope	unit	2
Batteries R6 alkaline AA size (for otoscope)	unit	6
Urine collecting bag with valve, 2000 ml	unit	10
Glove, examination, latex non sterile, small	unit	100
Glove, examination, latex non sterile, medium	unit	100
Glove, examination, latex non sterile, large	unit	100
Suture, synthetic absorbable, braided, size DEC.3 (00) with cutting needle curved 3/8, 30 mm triangular	unit	144
Tape, umbilical, non sterile 3 mm wide x 100 m	spool	1
Surgical blade (surgical knives) no 22 for handle no 4	unit	50
Razor blade	unit	100
Tongue depressor (wooden, disposable)	unit 	100
Gauze roll 90 m x 0.90 m	oll 	3
Gauze compresses, 10 x 10 cm, 12 ply, sterile	unit 	1,000
Mucus extractor, disposable	unit	5
Fauinment		
Equipment  Apron, utility plastic, reusable	unit	2
Apron, utility plastic, reusable	unit	2 4
Apron, utility plastic, reusable Clinical stethoscope, dual cup	unit	4
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal)	unit unit	4 1
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm	unit unit unit	4 1 2
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult)	unit unit unit unit	4 1 2 4
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable	unit unit unit unit unit	4 1 2 4 2
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult	unit unit unit unit unit unit	4 1 2 4 2
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult Scale hanging 25 kg x 100 g (Salter type) + 3 trousers	unit unit unit unit unit unit	4 1 2 4 2 1 3
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult Scale hanging 25 kg x 100 g (Salter type) + 3 trousers Tape measure,mid upper arm circumference (MUAC)	unit unit unit unit unit unit unit unit	4 1 2 4 2 1 3 10
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult Scale hanging 25 kg x 100 g (Salter type) + 3 trousers Tape measure,mid upper arm circumference (MUAC) Towel HUCK, 400 x 500 mm	unit unit unit unit unit unit unit unit	4 1 2 4 2 1 3
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult Scale hanging 25 kg x 100 g (Salter type) + 3 trousers Tape measure,mid upper arm circumference (MUAC) Towel HUCK, 400 x 500 mm Tape measure (cm/mm)	unit unit unit unit unit unit unit unit	4 1 2 4 2 1 3 10 2
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult Scale hanging 25 kg x 100 g (Salter type) + 3 trousers Tape measure,mid upper arm circumference (MUAC) Towel HUCK, 400 x 500 mm Tape measure (cm/mm) Drum for compresses, H : 10 cm, diam. 15 cm	unit unit unit unit unit unit unit unit	4 1 2 4 2 1 3 10 2 5
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult Scale hanging 25 kg x 100 g (Salter type) + 3 trousers Tape measure,mid upper arm circumference (MUAC) Towel HUCK, 400 x 500 mm Tape measure (cm/mm) Drum for compresses, H : 10 cm, diam. 15 cm Otoscope + set of reusable paediatric speculums	unit unit unit unit unit unit unit unit	4 1 2 4 2 1 3 10 2 5 2
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult Scale hanging 25 kg x 100 g (Salter type) + 3 trousers Tape measure,mid upper arm circumference (MUAC) Towel HUCK, 400 x 500 mm Tape measure (cm/mm) Drum for compresses, H : 10 cm, diam. 15 cm	unit unit unit unit unit unit unit unit	4 1 2 4 2 1 3 10 2 5 2 2
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult Scale hanging 25 kg x 100 g (Salter type) + 3 trousers Tape measure,mid upper arm circumference (MUAC) Towel HUCK, 400 x 500 mm Tape measure (cm/mm) Drum for compresses, H : 10 cm, diam. 15 cm Otoscope + set of reusable paediatric speculums Tourniquet Dressing tray, stainless steel, approx. 30 x 20 x 3 cm	unit unit unit unit unit unit unit unit	4 1 2 4 2 1 3 10 2 5 2 2 2
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult Scale hanging 25 kg x 100 g (Salter type) + 3 trousers Tape measure,mid upper arm circumference (MUAC) Towel HUCK, 400 x 500 mm Tape measure (cm/mm) Drum for compresses, H : 10 cm, diam. 15 cm Otoscope + set of reusable paediatric speculums Tourniquet	unit unit unit unit unit unit unit unit	4 1 2 4 2 1 3 10 2 5 2 2 2
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult Scale hanging 25 kg x 100 g (Salter type) + 3 trousers Tape measure,mid upper arm circumference (MUAC) Towel HUCK, 400 x 500 mm Tape measure (cm/mm) Drum for compresses, H : 10 cm, diam. 15 cm Otoscope + set of reusable paediatric speculums Tourniquet Dressing tray, stainless steel, approx. 30 x 20 x 3 cm Kidney dish, stainless steel, approx. 26 x 14 cm	unit unit unit unit unit unit unit unit	4 1 2 4 2 1 3 10 2 5 2 2 2 1 2
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult Scale hanging 25 kg x 100 g (Salter type) + 3 trousers Tape measure,mid upper arm circumference (MUAC) Towel HUCK, 400 x 500 mm Tape measure (cm/mm) Drum for compresses, H: 10 cm, diam. 15 cm Otoscope + set of reusable paediatric speculums Tourniquet Dressing tray, stainless steel, approx. 30 x 20 x 3 cm Kidney dish, stainless steel, approx. 26 x 14 cm Scissors straight/blunt, 12/14 cm	unit unit unit unit unit unit unit unit	4 1 2 4 2 1 3 10 2 5 2 2 2 1 2 2
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult Scale hanging 25 kg x 100 g (Salter type) + 3 trousers Tape measure,mid upper arm circumference (MUAC) Towel HUCK, 400 x 500 mm Tape measure (cm/mm) Drum for compresses, H : 10 cm, diam. 15 cm Otoscope + set of reusable paediatric speculums Tourniquet Dressing tray, stainless steel, approx. 30 x 20 x 3 cm Kidney dish, stainless steel, approx. 26 x 14 cm Scissors straight/blunt, 12/14 cm Forceps Kocher no teeth, 12/14 cm	unit unit unit unit unit unit unit unit	4 1 2 4 2 1 3 10 2 5 2 2 2 1 2 2 2 2
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult Scale hanging 25 kg x 100 g (Salter type) + 3 trousers Tape measure,mid upper arm circumference (MUAC) Towel HUCK, 400 x 500 mm Tape measure (cm/mm) Drum for compresses, H : 10 cm, diam. 15 cm Otoscope + set of reusable paediatric speculums Tourniquet Dressing tray, stainless steel, approx. 30 x 20 x 3 cm Kidney dish, stainless steel, approx. 26 x 14 cm Scissors straight/blunt, 12/14 cm Forceps Kocher no teeth, 12/14 cm Abscess/suture set *(12) (7 instruments + box)	unit unit unit unit unit unit unit unit	4 1 2 4 2 1 3 10 2 5 2 2 2 1 2 2 2 2 2
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult Scale hanging 25 kg x 100 g (Salter type) + 3 trousers Tape measure,mid upper arm circumference (MUAC) Towel HUCK, 400 x 500 mm Tape measure (cm/mm) Drum for compresses, H : 10 cm, diam. 15 cm Otoscope + set of reusable paediatric speculums Tourniquet Dressing tray, stainless steel, approx. 30 x 20 x 3 cm Kidney dish, stainless steel, approx. 26 x 14 cm Scissors straight/blunt, 12/14 cm Forceps Kocher no teeth, 12/14 cm Abscess/suture set *(12) (7 instruments + box) Delivery set	unit unit unit unit unit unit unit unit	4 1 2 4 2 1 3 10 2 5 2 2 2 1 2 2 2 2 1
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult Scale hanging 25 kg x 100 g (Salter type) + 3 trousers Tape measure,mid upper arm circumference (MUAC) Towel HUCK, 400 x 500 mm Tape measure (cm/mm) Drum for compresses, H : 10 cm, diam. 15 cm Otoscope + set of reusable paediatric speculums Tourniquet Dressing tray, stainless steel, approx. 30 x 20 x 3 cm Kidney dish, stainless steel, approx. 26 x 14 cm Scissors straight/blunt, 12/14 cm Forceps Kocher no teeth, 12/14 cm Abscess/suture set *(12) (7 instruments + box) Delivery set Dressing set *(13) (3 instruments + box)	unit unit unit unit unit unit unit unit	4 1 2 4 2 1 3 10 2 5 2 2 2 2 1 2 2 2 2 2 2 1 5
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult Scale hanging 25 kg x 100 g (Salter type) + 3 trousers Tape measure,mid upper arm circumference (MUAC) Towel HUCK, 400 x 500 mm Tape measure (cm/mm) Drum for compresses, H : 10 cm, diam. 15 cm Otoscope + set of reusable paediatric speculums Tourniquet Dressing tray, stainless steel, approx. 30 x 20 x 3 cm Kidney dish, stainless steel, approx. 26 x 14 cm Scissors straight/blunt, 12/14 cm Forceps Kocher no teeth, 12/14 cm Abscess/suture set *(12) (7 instruments + box) Delivery set Dressing set *(13) (3 instruments + box) Pressure steriliser, 15 litres (type: Prestige 7503, double rack	unit unit unit unit unit unit unit unit	4 1 2 4 2 1 3 10 2 5 2 2 2 2 2 2 2 2 2 1 5
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult Scale hanging 25 kg x 100 g (Salter type) + 3 trousers Tape measure, mid upper arm circumference (MUAC) Towel HUCK, 400 x 500 mm Tape measure (cm/mm) Drum for compresses, H : 10 cm, diam. 15 cm Otoscope + set of reusable paediatric speculums Tourniquet Dressing tray, stainless steel, approx. 30 x 20 x 3 cm Kidney dish, stainless steel, approx. 26 x 14 cm Scissors straight/blunt, 12/14 cm Forceps Kocher no teeth, 12/14 cm Abscess/suture set *(12) (7 instruments + box) Delivery set Dressing set *(13) (3 instruments + box) Pressure steriliser, 15 litres (type: Prestige 7503, double rack Additional rack Public Health Care 2 ml/5ml, ref. Prestige 7531	unit unit unit unit unit unit unit unit	4 1 2 4 2 1 3 10 2 5 2 2 2 2 2 2 2 2 2 1 5 1 2 2 2 1 2 2 2 2
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult Scale hanging 25 kg x 100 g (Salter type) + 3 trousers Tape measure, mid upper arm circumference (MUAC) Towel HUCK, 400 x 500 mm Tape measure (cm/mm) Drum for compresses, H : 10 cm, diam. 15 cm Otoscope + set of reusable paediatric speculums Tourniquet Dressing tray, stainless steel, approx. 30 x 20 x 3 cm Kidney dish, stainless steel, approx. 26 x 14 cm Scissors straight/blunt, 12/14 cm Forceps Kocher no teeth, 12/14 cm Abscess/suture set *(12) (7 instruments + box) Delivery set Dressing set *(13) (3 instruments + box) Pressure steriliser, 15 litres (type: Prestige 7503, double rack Additional rack Public Health Care 2 ml/5ml, ref. Prestige 7531 Pressure steriliser, 20-40 litres with basket (type UNIPAC 01.560.00)	unit unit unit unit unit unit unit unit	4 1 2 4 2 1 3 10 2 5 2 2 2 2 1 2 2 2 2 1 5 1 1 2 1 2 1 2
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult Scale hanging 25 kg x 100 g (Salter type) + 3 trousers Tape measure, mid upper arm circumference (MUAC) Towel HUCK, 400 x 500 mm Tape measure (cm/mm) Drum for compresses, H : 10 cm, diam. 15 cm Otoscope + set of reusable paediatric speculums Tourniquet Dressing tray, stainless steel, approx. 30 x 20 x 3 cm Kidney dish, stainless steel, approx. 26 x 14 cm Scissors straight/blunt, 12/14 cm Forceps Kocher no teeth, 12/14 cm Abscess/suture set *(12) (7 instruments + box) Delivery set Dressing set *(13) (3 instruments + box) Pressure steriliser, 15 litres (type: Prestige 7503, double rack Additional rack Public Health Care 2 ml/5ml, ref. Prestige 7531 Pressure steriliser, 20-40 litres with basket (type UNIPAC 01.560.00) Kerosene stove, single burner (type UNIPAC 01.700.00)	unit unit unit unit unit unit unit unit	4 1 2 4 2 1 3 10 2 5 2 2 2 1 2 2 2 2 1 5 1 2 2 2 1 2 2 1 2 2 1 1 2 2 1 2 2 1 2 2 2 1 2
Apron, utility plastic, reusable Clinical stethoscope, dual cup Obstetrical stethoscope (metal) Plastic sheeting, PVC clear, 90cmx180cm Sphygnomanometer (adult) Razor non disposable Scale for adult Scale hanging 25 kg x 100 g (Salter type) + 3 trousers Tape measure, mid upper arm circumference (MUAC) Towel HUCK, 400 x 500 mm Tape measure (cm/mm) Drum for compresses, H : 10 cm, diam. 15 cm Otoscope + set of reusable paediatric speculums Tourniquet Dressing tray, stainless steel, approx. 30 x 20 x 3 cm Kidney dish, stainless steel, approx. 26 x 14 cm Scissors straight/blunt, 12/14 cm Forceps Kocher no teeth, 12/14 cm Abscess/suture set *(12) (7 instruments + box) Delivery set Dressing set *(13) (3 instruments + box) Pressure steriliser, 15 litres (type: Prestige 7503, double rack Additional rack Public Health Care 2 ml/5ml, ref. Prestige 7531 Pressure steriliser, 20-40 litres with basket (type UNIPAC 01.560.00) Kerosene stove, single burner (type UNIPAC 01.700.00) Water filter with candles, 10/20 litres (type UNIPAC 56.199.02)	unit unit unit unit unit unit unit unit	4 1 2 4 2 1 3 10 2 5 2 2 2 1 2 2 2 2 1 5 1 2 2 2 2 1 5 1 1 2 2 3 1 1 2 2 3 1 3 1 3 1 3 1 3 1 3

- \*(1) 20 ml vials are preferred, although 50 ml vials may be used as an alternative
- \*(2) Ampicillin tablets and injections to be used only in neonates and pregnant women
- \*(3) For the treatment of oral candidiasis
- \*(4) The association procaine benzylpenicillin 3 MU and benzylpenicillin 1 MU (procaine penicillin fortified), is used in many countries and may be included as an alternative
- \*(5) For the treatment of cerebral and resistant malaria cases. Intravenous injection of quinine must always be diluted in 500 ml glucose 5%
- \*(6) For the treatment of resistant malaria strains (check national protocols)
- \*(7) For the treatment of cholera and chlamydia infections
- \*(8) For the treatment of hypertension in pregnancy
- \*(9) Polyvidone iodine has been chosen because the use of iodine tincture in hot climates may result in toxic concentrations of iodine by partial evaporation of the alcohol
- \*(10) Because of the weight, the quantity of infusions included in the kit is minimal, look for local supply, once in the field.
- \*(11) Glucose 5%, bag 500 ml, for dilution of quinine/injection
- \*(12) Abscess/suture set (7 instruments + box):
  - 1 stainless steel box approx. 20 x 10 x 5cm
  - 1 dissecting forceps with teeth, 12 14 cm
  - 1 kocher forceps with teeth, straight, 12 -14 cm
  - 1 Pean forceps straight, 12 14 cm
  - 1 pair surgical scissors sharp/blunt, 12 -14 cm
  - 1 probe, 12 -14 cm
  - 1 Mayo-Hegar needle holder, 18 cm
  - 1 handle scalped, no 4
  - \*(13) Dressing set (3 instruments + box)
  - 1 stainless steel box approx. 17 x 7 x 3 cm
  - 1 pair surgical scissors sharp/blunt, 12 14 cm
  - 1 kocher forceps, no teeth, straight, 12 14 cm
  - 1 dissecting forceps, no teeth, 12 14 cm

#### The Cholera Kit

# (for treating 1,000 patients)

A full Cholera Kit consists of three units: Unit for Volunteers (8), Medical Unit A (4) and Medical Unit B (2)

# **Volunteer Unit**

packets of ORS	1,500
jugs (1 litre) for prepared ORS	20
cups, plastic	50
soaps, bars	200
cresol, concentrated, desinf floors etc.	25 litres
chlorine, desinf linen, hands	50 litres
buckets, to prepare desinf	10
gloves, rubber, reusable	50 pairs

#### **Medical Unit A**

Doxycycline tabs 100 mg ( three tabs single dose treatment)	500
Tetracycline tabs 250 mg ( 4x3days)	2,000
Furazolidone 100 mg ( for pregnant )	300
Co-trimaxazole syr 125 mg/5ml ( for children )	20 btls
gloves, reusable, size 6 and 7	50
plastic bottles ( for one litre of ORS )	25
graded containers, 10 litres for preparation of ORS	10
naso gastric tubes, size 5 and 8	20
naso gastric tubes, size 10 and 16	20

#### **Medical Unit B**

Intravenous solutions, lines etc. to be used in centres, supervised by doctors. ORS can usually be taken on second day.

5

Ringer's Lactate, 1000 cc with iv-lines	250
syringes, 10 cc, disposables	100
syringes, 5 cc, disposables	100
needles, G18 and 20, disposables	200
scalp vein needles/butterflies, G 21	50
Miscellaneous items	
cotton wool	1 kg
adhesive tape	20 rolls
alcohol	1 ltr
trays	5
scissors, straight, blunt	5

# Social Welfare in Relief

### **Main Objectives**

forceps, rounded

257. The Social Welfare policy adopted by the Federation's General Assembly of November 1999 establishes the basis of Red Cross and Red Crescent action in emergency operations. It can be found under "The International Red Cross and Red Crescent Movement, The Federation, Policies" on the Federation website, http://www.ifrc.org.



258. Social welfare programmes often constitute an important component of a relief operation. Depending on the needs, they can deal with psychological, psycho-social support and individual and collective counselling, as well as organising and supporting various activities (kindergartens, sewing groups, literacy classes, home craft industries, sports, social outreach programmes, vocational training etc.). The main objectives of a social welfare programme within relief operations are:

- To identify the needs of the most vulnerable groups and to assist them the meet their basic and specific psycho-social needs;
- To organise community and social support systems for people with special needs such as persons with disabilities, elderly persons, small children, single parents, nursing and pregnant mothers, the socially handicapped (migrants, refugees and internally displaced persons, prisoners, new poor, street and battered children, families with problems, etc.) and those whose family problems may have been accentuated by disasters;
- To help restore a sense of community and normality to the affected population and to support them to re-establish their cultural patterns and traditional coping mechanisms;
- To promote self-reliant activities which enable the vulnerable groups to become self-sustaining and independent as soon as possible.

259. Psycho-social support to relief workers, who - like the victims - are vulnerable to stress, is an extremely needed service and is increasingly becoming an important aspect of social welfare programmes in relief. Social welfare delegates may play an important role in providing this service to their fellow delegates. However, due to their primary responsibility to support disaster victims and cultural

diversity within the delegation, social welfare delegates will usually be able to provide only limited support to other delegates.

260. A social welfare programme in a relief operation - as any other Red Cross/Red Crescent programme - can be carried out by the Operating National Society (if necessary, supported by the Federation delegation) or directly by the delegation. While initiating a social welfare programme one should, however, be fully aware that such programmes are usually long-term (as individual counselling or improving social structures of the communities require long-term operation and commitment).

# **Basic Principles**

The following principles should be followed when implementing social welfare programmes within relief operations:

- Social welfare assistance should be integrated into the relief operation from the very beginning;
- The standards of social welfare assistance within relief operation should be as close as possible to those normally available for the affected community;
- Wherever possible social welfare assistance should be integrated into the existing structures of the Operating National Society in order to build its capacity to cope with similar needs in the future;
- As social welfare programmes are usually long-term, initially assessed needs may change over time. The needs should therefore be re-assessed at a regular basis and new priorities be set to ensure that the assistance is provided in the most appropriate way.

#### **Programme Components**

261. Components of a social welfare programme in relief operation may differ within each country and region, as the programmes are tailored to specific needs of particular beneficiary groups. The main elements, however, include:

- *Counselling*. Providing counselling helps with diffusing stress the individuals might have experienced in the aftermath of disaster, thus preventing it from developing into a post-traumatic stress disorder;
- *Information*. Uncertain about their present and future well-being, disaster victims need information (for instance, about their relatives, services available etc.). When information is not available from an official source, rumours fill void, creating tensions and sometimes leading people into inappropriate actions. The lack of information in the long-term can lead to severe stress, resulting in anxiety, depression, conflicts in families, self-destructive and anti-social behaviour;
- *Education*. When the disaster consequences are predicted to last for a long time, and where large numbers of children are affected, a basic education programme should be considered to decrease their future vulnerability;
- *Tracing* and *family reunification*. One of the priorities in the social welfare programme within relief operation is to restore disrupted family contacts as soon as possible. The family is the basic social unit in almost all societies and it plays a key role in meeting needs and solving problems of the community;
- Activities as one of the key elements in helping people to keep their sense of dignity, self-sustainment and to prevent isolation. Social welfare programmes often encompass various activities as means of generating a sense of community, communication, and as an opportunity to have social exchanges and learn new skills;
- *Training* of National Society social welfare workers and volunteers at all levels in organisational, counselling and resource building skills.

Managing Stress

Vulnerability and Capacity Assessment

Social Welfare

Needs Assessment, Targeting Beneficiaries

Relief Health

Tracing in Emergencies

Development within Relief

Population Movements

# Further Reading

Working with Victims of Organised Violence from Different Cultures: Red Cross and Red Crescent Guide

by S. Kane, International Federation of Red Cross and Red Crescent Societies, Geneva, 1995, English, French, Spanish, Arabic

Guidelines for Red Cross and Red Crescent Social Welfare Work in Disasters

International Federation of Red Cross and Red Crescent Societies, Geneva, 1989, English, French, Spanish, Arabic

### Guidelines for Tracing in Disasters

International Federation of Red Cross and Red Crescent Societies, Geneva, English, French, Spanish, Arabic

### Guide on Community Red Cross Work

International Federation of Red Cross and Red Crescent Societies, Geneva, English, French, Spanish

#### Social Welfare Policy

International Federation of Red Cross and Red Crescent Societies, http://www.ifrc.org

# **Tracing in Emergencies**

# **Purpose**

262. Tracing is a traditional activity of the Movement. Its *purpose* is to provide information on, and to exchange news between, family members during emergencies, when normal communications have broken down, thus contributing to alleviating the anxiety and psychological suffering of the affected people. The main tasks of a tracing service are:

- To trace missing persons and ensure the follow-up of tracing requests in emergencies;
- To provide information or to exchange news among family members during emergencies, when normal means of communication have broken down:
- To facilitate reunification of separated members of families;
- To issue where necessary "travel documents", health and welfare reports, certificates of imprisonment, hospitalisation or death.



263. Depending on the circumstances, tracing can be developed by the ICRC through its Central Tracing Agency, or by the National Societies with the assistance of the ICRC Central Tracing Agency or the Federation.

#### Role of the ICRC

264. In accordance with the Geneva Conventions, the ICRC ensures the operation of the *Central Tracing Agency*, dealing with tracing activities in situations of armed conflicts and other situations, requiring action by a specifically neutral and independent institution. The Agency's main tasks are to obtain and record all information which might enable identification of dead, wounded or missing persons and to pass the information on to next of kin; to facilitate correspondence between separated family members when other means of communication have been interrupted; to trace people who are missing or of whom their relatives have no news; to issue various documents, such as certificates of captivity or death, and travel papers.

265. Usually the ICRC is not directly involved in tracing following natural disasters and emergencies in peace time. According to the Agreement between the ICRC and the Federation (Article 10), the ICRC - in cooperation with the Federation - promotes and encourages the establishment in the National Societies of tracing services capable of taking action in the situations of relief operations and armed conflicts, acts as an adviser to the National Societies and coordinates tracing operations with regard to technical methods and procedures.

#### **Role of the Federation Secretariat**

266. The Federation Secretariat, supporting National Societies in their disaster preparedness activities, should ensure that tracing forms part of the National Society development plan, and that the responsibilities of the authorities and the National Society are clearly defined in a national disaster preparedness plan. Following a disaster, the Federation Secretariat, acting as a coordinating centre and clearing house, shall facilitate contacts between the Operating National Society and National Societies requesting tracing information.

#### **Role of the National Society**

267. Acting in accordance with the Fundamental Principles, as an auxiliary to the public authorities, National Societies can play an important - sometimes even a leading role - in tracing during emergencies. Like other types of assistance provided by the Movement, tracing is a specialised field requiring thorough preparation and know-how. Therefore, establishment and development of a tracing service prior to disaster is so important and should be a part of a National Society disaster preparedness programme. As any other components, it should be coordinated with the respective governmental services, with the role of the National Society in tracing preferably specified in the national disaster preparedness plan.

268. Following an emergency, the National Society of the affected country should assess the tracing needs and, if necessary, mobilise its tracing service to respond - in cooperation with the local authorities - to local and international tracing requests. The National Society tracing service should immediately establish contact with the local authorities and medical institutions to obtain the lists of the dead and injured, and to set up a round-the-clock telephone /telefax service to respond to tracing requests.

269. After the first moment of confusion and anguish following a disaster many people will be able to re-establish contact with their families without any special assistance. Therefore, a delay of 24-48 hours should be kept prior to the acceptance of tracing requests. This will enable the National Society to concentrate its efforts on tracing only the really missing people. As soon as the tracing service is operational, the contact phone numbers and addresses should be made available to the public through media.

#### **Methods and Forms**

270. Rescue and immediate support to disaster-affected persons takes priority over the implementation of tracing service tasks. To avoid unnecessary tracing requests and to reduce the workload on the tracing service, both the affected persons and inquirers should be encouraged - where possible - to contact their relatives using normal public communication channels. Tracing requests can be made after the anxious person does not receive any news after restoration of normal communications. The enquirers should be requested to inform the National Society immediately if they receive any news about the sought person, so that the tracing request can be cancelled.

271. Tracing can be effective only if as many personal details as possible about enquirers and sought persons are available. Methods and forms for tracing should be standardised and as simple as possible. All data must be centralised in the card index and/or computerised. For registration and treatment of tracing requests the use of the following forms (see the forms below) is recommended:

- *Information/registration card*. It is used for registration of injured, sick, dead, sheltered and evacuated persons, and contains all relevant information on affected persons with the sources of information indicated. This information can also be presented in the listed form. Lists of people receiving assistance could be used as an initial source of information;
- Red Cross/Red Crescent postcard. It can be used to enable individuals from the affected area to quickly inform the relatives about their condition. The cards can be distributed to the affected population and collected by mobile post offices or the Red Cross/Red Crescent tracing service;
- *Tracing request*. One side of this form is completed with the personal details of the sought person, and the other side with the details of the enquirer. If made in duplicate, it can be used for filing requests both by the name of the sought person and by the name of the enquirer.

272. Tracing requests from abroad should be forwarded through the sister National Societies to the affected National Society only if the latter can accept and process them. Such requests should be accepted only if the sought person is known to have been staying in the affected area recently; there exists a close relationship between enquirer and the sought person and they are normally in regular contact; the enquirer is able to give all details necessary for a tracing request; and if there is no other possibility of tracing.

273. Incoming news should be forwarded to the enquirer as quickly as possible. Bad news must be communicated in person by trained/qualified National Society personnel.

The ICRC

The Seville Agreement

Relief Health

Social Welfare in Relief

**Population Movements** 

Development within Relief

# Further reading

Family Tracing: a Good Practice Guide

Development Manual 3, by L. Bonnerjea, Save the Children, London, 122 p. 1994, English

Social Services in Refugee Emergencies

# Guidelines for Tracing in Disasters

League of Red Cross and Red Crescent Societies, International Committee of the Red Cross, 16 p. Geneva, 1989, Arabic, English, French, Spanish

# Guidelines for Red Cross and Red Crescent Social Work in Disasters

League of Red Cross and Red Crescent Societies, Geneva, 1988, Arabic, English, French, Spanish

# Central Tracing Agency

International Committee of the Red Cross, Geneva

Also refer to useful <u>websites</u> mentioned above.

	TION / REGISTF				
Nar	me and Address of the Nation	al Society			
Full name of the sought pers	son (as expressed locally)				
Sex O male O female					
Date of birth	Place of birth	Nationality			
Home address (street, No, I	ocality, telephone):				
Present address (street, No	, locality, telephone):				
O Uninjured	O Injured	O Deceased			
Source of information					
Further remarks					
Date	Locality				
	Locality				
		CENT DOCTO	ADD -		

	RED CROSS / RED CRESCENT POSTCARD
	Name and Address of the National Society
To:	Full name

	Full address (street, No, locality, telephone)
From:	Full name
	Full address (street, No, locality, telephone)
	Date
	O I am in good health - O I am anxious for news
Text	

		TRACING RE	QUEST (	CARD
Name a	nd Address	of the National Society		
SOUGH	T PERSON	I		
Full nan	ne (as expre	essed locally)		
First nai	me of father			
Mother's	s full name			
Sex	O male	O female		
Date of		O Terriale		
Date of	oirtn	Place of birth		Nationality
Occupa	tion			
Last kno	wn address	s (street, No, locality, telep	hone):	
Date of	last news			
ENQUIF				
ruli nan	ie (as expre	essed locally)		
	birth			
Date of		Place of birth		Nationality
Date of				
	ship to the	sought person		

Full address (street, No, locality, telephone):	
Remarks	
Date of enquiry	

# **Dissemination in Relief Operations**

### **Dissemination as a Programme Component**

- 274. Just as dissemination of the Fundamental Principles and humanitarian values should be an integral part of all National Society programmes, so too it should be considered a component of every disaster response operation, whether it be local, national or international.
- 275. Dissemination should not be seen as a separate activity or programme but rather a question of taking opportunities within the existing structure of operations to disseminate the Red Cross/Red Crescent message. What is needed in particular is, on the one hand, to promote the concept of defining action and taking decisions based on the Fundamental Principles and to bring them more clearly into the focus within operations; and, on the other hand, to take the opportunities that exist within operations to disseminate the Principles and humanitarian values more effectively. In practical terms dissemination within a disaster response programme can be outlined in the following related areas of action:
- 276. *Briefing, training and team-building*. In addition to basic training which a delegate will have undergone, the Head of Delegation should ensure that all members of the delegation fully understand the Fundamental Principles and their responsibility to act at all times in accordance with them. While briefing new delegates reference should be made to the Principles, particularly as related to the particular operation and with regard to the delegate's specific tasks. Sometimes it may also be necessary to provide delegates with more focused training in the International Humanitarian Law.
- 277. *Decision-making*. With operations becoming more and more complex, the Principles should be fully used as a guide for decision-making, especially on the issues where no other specific guidelines are available. Using Principles as guidelines for action in crisis situations may also help the delegates to somehow distance their emotions and personal values, especially while having to make a difficult choice.
- 278. *Respect of the emblem*. Delegations should have all vehicles, buildings, equipment, supplies and personnel properly identified by the Red Cross or Red Crescent emblem, or Federation logo, and should ensure that other organisations, companies or private individuals are not violating the rules for the use of the emblem. Delegates working under the auspices and emblem of the Movement must therefore ensure that their actions are in respect of the Principles, and that they are seen to be acting in accordance with them.
- 279. *Media relations*. Any contacts with media could be used for disseminating the knowledge of the Principles. Even in the most hectic situations reference to the Principles can provide a strengthening of the action and image of the Red Cross/Red Crescent and provide a stronger message connected to reality of an actual operation. Delegates should try wherever possible to highlight the Principles and humanitarian values of the Movement as a determining factor in the way the Federation is organised and carries out its work. In a similar way, a reference to the Principles and humanitarian values can add credibility and interest in a report to donors which may be used in a national or local news story and which may help to convince the existing donors to extend their support or to attract new and potential donors.
- 280. Dissemination to beneficiaries in short-term operations. Every attempt should be made to consider how basic messages about the work and Principles of the Movement could be disseminated during a relief operation. Relief supplies provided within the operation should be clearly labelled; in transportation and distribution this labelling should be made visible. Messages in the local language could be included in family food parcels, posters could be displayed in refugee camps or at distribution points, messages could be printed on durable cooking utensils or water containers. Local Red Cross/Red Crescent volunteers and/or workers involved in distribution could be given assistance to share information about the Red Cross/Red Crescent with the beneficiaries, as well as their families and friends. Attention should be also paid to providing clear and concise information on the nature and organisation of operation to local officials and the local population.
- 281. Dissemination to beneficiaries in longer-term operations. For longer-term operations (for instance, refugee assistance programmes), dissemination additional effort could be put into establishing a programme to inform the beneficiaries of the work of the Red Cross/Red Crescent. This should be done wherever possible in cooperation with the local Red Cross and Red Crescent Society volunteers and the refugees who were members of the Red Cross in their own country. A budget for the information/dissemination programme component should be included in the appeal.
- 282. Dissemination of the Fundamental Principles and humanitarian values should be done in such a way that it is not misinterpreted by other organisations, the media and the beneficiaries as a straight promotion of the Movement or self-serving propaganda. It should be clear that the messages transmitted focus on explaining the Fundamental Principles which guide the Movement's actions and ensure the protection and assistance to the most vulnerable.

#### **Working in Complex Emergencies**

- 283. Traditionally, disaster relief or response has meant providing basic life support services for a short period until the disaster victims can return to "normality". Disasters were seen as temporary setbacks on the slow road to development. However, since the mid-1980s, the Federation has found itself involved in a new type of disaster. These are the *complex emergencies*. Here, the disaster is not a temporary blip on the rising graph of development, but a catastrophic breakdown of economic, social and political systems, often accompanied by great violence. In such circumstances, there is little prospect of a rapid return to normality. Relief is no longer auxiliary to other services, but becomes the main external service the disaster-affected communities depend upon. Relief programmes become open-ended, often going on for years.
- 284. In complex emergencies National Societies often find themselves being asked to take on roles which formerly would have been performed by Government (providing welfare services, supplying drugs for the national health system, caring for internally displaced persons etc.) Such complex, extensive and expensive programming will no longer be free from the political pressures that bypassed traditional relief. Disaster response is today increasingly seen as an arena where governments play out their foreign and domestic policies.
- 285. In such circumstances National Societies and delegates need more than ever to practise the Fundamental Principles, ensuring that the relief programmes aim first and foremost to alleviate the suffering of the most vulnerable and do so in a way that does not increase their vulnerability to future disasters. Working in complex emergencies also forces Red Cross and Red Crescent to face many dilemmas. Two critical ones are: 1) how the Red Cross and Red Crescent assistance relates to political efforts to resolve the problems behind complex emergencies and 2) how the issue of justice when providing humanitarian assistance should be tackled.
- 286. *Political* action or *humanitarian* action? Despite the end of the cold war, the international community as yet seems unable to apply resolute collective action and leadership to what are in essence political crises about peace and security, justice and resources. Instead, humanitarian action frequently funded by governments directly or via the UN becomes an alternative to or substitute for efforts to seek and find political solutions. How should the Federation deal with this?
- 287. Our adherence to the Fundamental Principle of *humanity* means that the Federation should both alleviate human suffering and act as the international mouthpiece on behalf of the most vulnerable. Therefore the Federation should work on, defining clearly the objectives and limits of its action, but press publicly for political action to address the causes. In other words, to provide assistance locally and to advocate for change globally.
- 288. *Justice* or *humanitarianism*? In many complex emergencies where we are assisting mass refugee or internally displaced populations, those populations will contain people who have committed grave acts of human rights abuses. They or others may still be committing such acts in the refugee camps, or they may be planning and organising for future acts. How should we treat them and react to their alleged crimes, past, present or future?
- 289. The Federation believes that humanitarian agencies have to first and foremost act and think as humanitarians. As the starting point for all humanitarian aid, the *Code of Conduct for NGOs in Disaster Relief*, states in its first principle: "The humanitarian imperative comes first. The right to receive humanitarian assistance, and to offer it, is a fundamental humanitarian principle which should be enjoyed by all citizens of all countries. As members of the international community, we recognise our obligation to provide humanitarian assistance wherever it is needed."
- 290. The essence of this dilemma lies in the difference between taking a stance of "humanity" and one of "justice". Our role as a neutral agency is to provide assistance, not to judge who is guilty. Thus, we cannot set ourselves up to "judge" by reporting alleged past atrocities, even if directly witnessed, to the appropriate authorities, even if asked to. We should of course respect the laws of the county and should not prevent the course of normal justice: one way of resolving the dilemma might be to recommend to the victims or their relatives to inform the proper authorities (national judicial authorities or international enquiry bodies such as the UN investigations or the UN Tribunal). Equally, we cannot judge by providing one group and arbitrarily withholding assistance from another. Just as on a battle field, our duty is to treat all who need assistance regardless of their history.

The Emblems

The Fundamental Principles

Communicating the Federation's Messages

**Development Cooperation** 

Information and Dissemination

Population Movements

Code of Conduct for Disaster Relief

Relief Supply Distribution System

# Further Reading

#### World Disasters Report 1995

Editors N. Cater, P. Walker; Martinus Nijhoff, Netherlands, English, French, 1995

#### World Disasters Report 1994

Editors N. Cater, J.-P. Revel, D. Sapir, P. Walker; Martinus Nijhoff, Netherlands, English, French, 1994

#### European Dissemination Seminar

1994, Federation, English, French, Spanish

# Basic Rules of International Humanitarian Law to be used by Red Cross and Red Crescent First Aiders

25 p. ICRC/Federation, English, French, Spanish, Arabic, Portuguese, Russian, 1993

#### Humanitarian Action in Times of War: A Handbook for Practitioners

by L. Minear, T. Weiss, Lynne Rienner, USA, 1993

#### Humanitarianism Across Borders: Sustaining Civilians in Times of War

Editors T. Weiss, L. Minear, Lynne Reinner, USA, 1993

#### Guidelines for the '90s

Dissemination of international humanitarian law and of the principles and ideals of the Movement. (Leaflet ICRC/Federation), English, French, Spanish, Arabic, 1992

# Study Guide of the International Red Cross and Red Crescent Movement

Booklets, ICRC Federation, English, French, Spanish, Arabic, 1990

### Manual for the Use of National Societies in Time of Armed Conflicts

French, English, Spanish, 1986

#### Practical Guide on Dissemination for National Societies

Henry Dunant Institute, English, French, Spanish, 1983

#### The Role of National Societies in Armed Conflicts

Henry Dunant Institute, English, French, Spanish

# **Population Movements**

#### The Role of the Federation and National Societies

291. Movements of refugees and displaced persons are caused by conflict and civil unrest, persecution or discrimination threatening people to such an extent that they choose to leave their homes and seek refuge elsewhere. Therefore helping these people demands much more than in other disaster situations - the strictest adherence to the Fundamental Principles, particularly those of *impartiality*, *neutrality* and *independence*, as this work is usually done in a politically very sensitive climate.

292. The International Red Cross and Red Crescent Movement, and the Federation for its part, has resolved to act vigorously for those involved in population movements by working to:

- Seek support for legal protection for refugees, displaced persons and returnees;
- See that the safe and voluntary return of refugees to their home countries is ensured;
- Focus attention on the psychological problems and care needed for the most vulnerable particularly refugee children;
- Enhance self-reliance in refugee camps, thus reducing the risk of dependency syndrome;
- Take account of the needs of the local population in areas where refugees, displaced persons and returnees arrive;
- Provide training and information for National Societies in handling the problem;
- Co-operate with governments, the United Nations High Commissioner for Refugees (UNHCR) and other organisations.

293. The Federation Strategic Work Plan for the Nineties in particular calls for increased advocacy and the pursuit of lasting solutions to

the problems facing refugees, displaced persons and returnees, while considering the needs of host communities.

294. Due to their almost universal presence, National Societies can potentially deal with refugee and returnee problems both in the country of origin and in the country of asylum (or host country). This also allows the Federation to remain on alert and respond during all phases of a refugee crisis - from early warning and emergency response to lasting solutions. National Societies must base their response to refugees *exclusively* on the needs and vulnerabilities of the people who have fled. The official recognition of their status as refugees is important but should *not* be a precondition for Red Cross/Red Crescent assistance.

# **Refugees and Displaced Persons**

295. **Refugees** are those seeking asylum in another country; **displaced persons** are those who try to find safety in another part of their own country. Working with both groups, it is important to understand that distinction, as it implies significant difference in their internationally recognised status, i.e. rights or lack of rights and other social or political factors.



296. Refugee status is determined based on the *1951 United Nations Refugee Convention*. Recognition of this status is an issue between the host government and the UNHCR. Refugees recognised as such under the 1951 Convention, are legally protected by international law and can usually obtain long-term assistance and support through UNHCR. Displaced persons, though protected as civilians in terms of the 1949 Geneva Conventions and 1977 Additional Protocols when staying within the zones of conflict, will often lack such protection and assistance outside such zones, and therefore may often become more vulnerable in the long-term.

297. However, both the refugees and the displaced persons may be equally in need of protection and humanitarian assistance, especially at the initial phase of the crisis. Therefore, despite the difference in their legal status, the Red Cross and Red Crescent makes *no* distinction between them in terms of humanitarian assistance, the priority being only the urgency of needs. Both groups can be assisted by either the ICRC, or the Federation, depending on whether they are physically staying within (ICRC) or outside (Federation) the zones of armed conflict.

298. Refugee populations can be dispersed and not only concentrated in clearly defined areas or settlements. They may not even seek official recognition as refugees, being ignorant of procedures or frightened of involvement with authorities. These people are often very vulnerable to abuse and exploitation, and the political dimensions of working to help them require particularly sensitive handling.

# **Phases in a Population Movement Crisis**

299. In the country of origin, there are three *main phases*: disturbances threatening people, the outbreak of crisis causing people to flee (within the country or crossing the border) and leaving those behind in great risk, the return home.

300. In the country of asylum, a refugee operation evolves through four main phases (similar for internally displaced, even though no borders are crossed): emergency preparedness, emergency response, temporary settlement, the search for durable solutions (voluntary repatriation, settlement in the country of asylum and resettlement to a third country).

301. In reality these phases tend to overlap. Movements of refugees and displaced persons are dynamic and unpredictable. People in search of safety or autonomy may spend months, years or even decades awaiting solutions. New waves may arrive after the first influx. Premature return to an unstable home situation can finish in the renewed flight of the same people. Incoming new waves of refugees and displaced persons are the sign of a conflict's intensity and long duration, making the situation of those who have taken flight even more fluid and uncertain. Planning must be flexible and always ready for new circumstances.

# **Local Populations in Refugee Crisis**

302. The needs and vulnerabilities of people other than the refugees must be recognised during a refugee or displaced persons operation. Local populations can themselves be disadvantaged by the arrival of refugees, returnees and the displaced in their area. Though there may be positive effects for the local economy, an extra burden is often placed on often limited resources such as wood for fuel, water and health services, often leading to tensions and hostilities.

303. The National Society of a host country should always try to integrate its services to the refugee population with those to the vulnerable among its own national population. Strengthened community services reaching both groups in areas where there are refugees should be developed where possible. This will also make it easier for refugees who cannot return to their home country to remain in the

# Principles for Assistance to Refugees and Displaced Persons

- Refugee assistance programmes tend to become the long-term ones. Consequently the decisions made at an early stage will
  usually have a long-lasting impact on subsequent phases;
- There should be a comprehensive approach to assistance, covering not only delivery of emergency relief aid, but also health and social services, water and sanitation, and dissemination should be introduced whenever possible;
- Beneficiaries should participate in decision-making on relief aid through all phases. Particular attention should be paid to a balanced representation of women and men during needs assessment and among the relief and health staff;
- A community-based approach should be adopted, with emphasis on self-organisation, self-reliance and capacity-building for the
  most vulnerable through special attention to women and children;
- Refugee assistance programmes should be used to further strengthen the National Society's capacity at national and branch level to reinforce overall disaster preparedness and response capacity;
- Red Cross/Red Crescent registration of refugee beneficiaries should be done for distribution purposes ONLY. Under no
  circumstances should it be confused with that of UNHCR or, sometimes, Government, which have legal implications for the status
  of the registered person.

# **Emergency Preparedness**

304. If there are indications of potential population movements, the Development Plan of the National Society concerned should include a refugee and displaced persons component under its disaster preparedness section. This needs to be treated with discretion and formulated diplomatically because of the issue's political sensitivity.



305. When warning signs of population movement are detected in a nearby region, the National Society should establish a working group or committee. This group will monitor the situation, evaluating the political, economic and social climate and sharing its findings with the Federation. As the crisis develops, the committee will move to draw up a plan of action. Given that women make up a large part of the refugee and displaced populations worldwide, it is important to include women in such working group to take into account specific needs and circumstances of women.

# Planning Refugee Assistance Programme

- Patterns of vulnerability in a refugee crisis may quickly change and those most at risk may have been overlooked or neglected. Therefore after identifying initially the most vulnerable groups, keep on monitoring for potential new ones;
- In a refugee crisis changes and unpredictable events can occur at any time. So be flexible in planning the response and contingency;
- Based on the analysis of the gender-specific roles and needs of the refugees, plan the activities which enhance their skills and participation and reduce their dependency on outside resources;
- Look at how the external resources can be replaced gradually by local resources to reduce costs, promote local inputs and ease acceptance of the refugee population by the local people over an extended period of time;
- Ensure, through training and operation, that the National Society can build its competence and experience both at the national and branch levels for the benefit of the local population as well as the refugees;
- Think how to limit environmental damage caused by the refugee crisis;
- Check how each action will fit into the overall programme of the Government and the international lead agency, normally the UNHCR.

306. Once the main emergency phase is over, the relief programme needs to be consolidated, taking into account: the changing conditions in the home country - whether conducive to voluntary return; the readiness of the country of asylum to provide protection and support to the refugees for an extended period of time; the changing composition of the refugee population due to new arrivals or the early return of some; changing patterns of vulnerability; and the refugees' own expectations about their future.

# **Protection Support**

307. A lack of legal protection makes refugees and displaced persons more vulnerable than victims of natural disasters. They often have neither voice nor vote, neither in their country of origin nor in the host country, as they have lost their civic rights.

308. Protection of refugees and displaced persons as civilians within the *zones of conflict* will usually be the responsibility of the ICRC. The main responsibility for protecting refugees in *non-conflict areas* is with the government of the host country, and the UNHCR at the request of the Government. However, being in direct contact with arriving refugees and displaced persons, the National Society of the host country, supported by the Federation, should be active in seeking the support of the host Government in protecting these people's rights in accordance with internationally recognised standards.

309. Where the Government denies the refugees the right of asylum, the host country's National Society can play an important role in promoting refugee protection. National Societies should actively seek the support of governments with a view to ensure that a decision to deny asylum is taken only within the framework of fair and proper procedures, and, if assistance to such people is given by National Societies, the governments respect their adherence to the Fundamental Principles (Council of Delegates, Budapest, 1991). Special attention must be paid to the gender-related protection risks, i.e. different ways in which a person's gender, youth or age may expose him or her to different kinds of abuse.

310. At any time during a refugee and displaced persons operation, the beneficiaries may decide, or be forced, to return home. Delegates and National Societies involved must help to ensure that any return is voluntary and takes place in dignity and safety, both in terms of safe travel to their home areas, and safe living there after arrival. A regular voluntary repatriation programme for refugees requires the agreement of the UNHCR as well as the governments of both the country of asylum and of origin.

# **Protection Support Procedures**

- Identify threats and risks, assess protection needs of the most vulnerable;
- Refer protection tasks to competent national and international authorities;
- Resist all and any pressure to tolerate protection abuse and train staff and volunteers in protection support;
- Apply and promote the Fundamental Principles in support of the right of refugees and displaced persons to seek asylum and safety;
- Act as mediator between refugees and displaced persons and the host population to support protection;
- Share without delay any information about apparent violations of basic human rights with the Federation Secretariat. If appropriate, consult with the ICRC, the National Society, UNHCR and the Government authorities. Where the UNHCR has no office, the United Nations Development Programme (UNDP) representative in the country will convey the information to the UNHCR.

# Working with the UNHCR

- 311. Although National Societies may sometimes work alone with Federation support, particularly in the early stages of a refugee emergency, most refugee operations are coordinated by UNHCR at the request of the host Government.
- 312. The question of the nature of the arrangements between a National Society working with or without Federation support and UNHCR is complex. On the one hand, UNHCR is a major actor in the refugee field and traditionally it is the UN agency with which the Federation has had the closest contacts and relations. On the other hand, in complex emergencies, the UN is on occasion implementing an "integrated approach" in which the political, military and humanitarian dimensions of its actions become closely associated under one direction. This can place UNHCR in a difficult situation as it may no longer be perceived as neutral and impartial by the host government and population. It may be seen instead as part of the same UN that is using military action, sanctions, etc. In such cases the Red Cross/Red Crescent risks compromising its own independence and the perception of its neutrality and impartiality if it is an informal implementing partner of the UNHCR.
- 313. Thus, the full observance of the Red Cross/Red Crescent policy on refugees as adopted at the International Conference in Manila (1981) is extremely important. The relevant paragraph says: "It is the responsibility of each National Society to inform the League and/or ICRC of any negotiations likely to lead to a formal agreement between the Society and the UNHCR. The League and/or ICRC should be associated with the Society in the negotiations and concur with the terms of agreement." Following carefully this procedure enables the Federation or the ICRC not only to assist in discussing the technical aspects of the agreement, but also to judge the appropriateness of having a formal agreement at all. As a general rule, it is more appropriate to have formal agreement in a stable situation where the UNHCR seeks a partner to assist it in helping an established refugee population, than in a highly volatile situation, where the frontiers of conflict and the operational responsibilities of the Federation and ICRC may rapidly evolve.
- 314. From the perspective of the National Society, it may often be interesting to have an agreement with UNHCR. It may be seen to make effective use of the National Society capacity in service delivery, to reinforce its position as an important agency in the eyes of its own government and people, and to provide the necessary resources. These are substantive points. In cases where the Federation or the ICRC is not in favour of such a formal agreement between the National Society and UNHCR, it is therefore essential the Federation can deliver substantial support to the National Society itself. Otherwise it may be seen as asking the National Society to forego an important role in partnership with UNHCR without providing it with the support necessary to play a role in the situation. Other points to be born in mind when considering National Society agreements with the UNHCR are set below.

The UNHCR usually proposes to its cooperating partners to sign standard agreements, which specify special reporting and accounting requirements. Sometimes it can also be done by an exchange of letters or memoranda of understanding, laying down the main boundaries of cooperation. The key points to keep in mind while negotiating such agreements are listed below.

- Wherever the National Society accepts to work on a UNHCR-coordinated programme as a partner, it should make sure that its independence and adherence to the Fundamental Principles of the Movement are respected;
- The activities set out in the agreement must reflect the operational strengths of the Society. The National Society concerned should negotiate out any provisions of the agreement should it infringe the Fundamental Principles, the National Society's independence or policies;
- Financial, human and material resources to be provided by both parties under the agreement must be clearly defined;
- Responsibilities must be clear who is accountable for what and to whom;
- If the National Society's internal reporting and accounting system need to be adjusted to the UNHCR requirements, appropriate equipment and training should be provided by UNHCR;
- The National Society, Federation and the UNHCR should consult regularly to plan and assess joint projects. Any important decisions, having direct or indirect impact on the National Society's programme components, should be taken only in consultation and in agreement with it:
- The Society should ensure that no agreement or sub-agreement with the UNHCR is signed by one of its local or provincial branches:
- Should the Federation be involved in the programme, its specific responsibilities, distinct from those of the National Society, should
  be clearly specified in the agreement. The delegation will then co-sign the agreement. If the Government of the host country is
  involved, it may also be a co-signatory.

# **Voluntary Repatriation**

- 315. The long-term goal of any refugee assistance programme is to prepare the refugee population for a durable solution, and voluntary repatriation is considered to be the best of these. Refugees may return home spontaneously, without any official help. For large numbers however, organised repatriation programmes should be considered, involving the governments of home and host countries, the UNHCR, the National Societies on both sides of the border, the UNDP and other international and local non-governmental organisations.
- 316. The repatriation process normally has *three stages*: preparing for departure, and transport to the border of the home country; reception in the home country and transport to home areas; the welcome in home communities and provision of the immediate necessities of life. Reintegration will take place in a final rehabilitation, reconstruction or long-term reconciliation phase.
- 317. Return and repatriation is not only a logistical problem. Refugees and returnees are not a helpless mass of people. Their capacities as well as their vulnerabilities need to be addressed as part of the process of preparing them to return home. The idea of returning to the home country may give rise to ambivalent feelings. Refugees may be relieved after a long period of waiting in uncertainty. On the other hand, returning to a disrupted life or society or an uncertain future can be traumatic.
- 318. The home country's National Society should first concentrate on the returnees' immediate needs for assistance and safety, along with the recruitment and training of staff and volunteers to support them. Both host and home National Societies need to consult closely together and with the Federation, in preparing the repatriation programme. Branches of the home National Society in the home country in areas receiving returnees will be essential for reintegration. Above all, there must be a community-based approach to serving equally the needs of returnees, the vulnerable resident population and the internally displaced.

# Going Home?

The following questions should be considered by the National Societies of both host and home country in preparing for a refugee return programme:

- What is the situation in the home country? Will the refugees return to continuing conflict? Might they be subject to persecution or discrimination? Are there threats to their safety, such as renewed outbreak of violence or land mines?
- What are conditions like in the local home areas? What assistance will be needed by the home National Society to help the returnees re-establish themselves?
- To what extent have the private assets of refugees been destroyed or expropriated at home during exile?
- What basic supplies will the returnees need upon arrival (food, blankets, tools, housing materials, seeds, cash or credit)?
- What are the material and social conditions of the resident and displaced population who remained in the home country? What might this local population need once the refugees have returned?
- What is the attitude of the local population to the refugees? Do they welcome their return? Are there likely to be serious tensions between them? What can be done to reconcile them?

The Fundamental Principles

**United Nations Agencies** 

National Society Planning

Disaster Preparedness

Needs Assessment, Targeting Beneficiaries

Water and Sanitation

Food and Nutrition

Relief Health

Social Welfare in Relief

**Dissemination In Relief Operations** 

Development within Relief

**Emergency Response Units** 

Code of Conduct for Disaster Relief

Beneficiary Registration System

# Further Reading

# Engineering in Emergencies

A practical guide for relief workers, by J. Davis and R. Lambert, IT Publications on behalf of RedR, London 1995

# **UNHCR Handbook for Emergencies**

UNHCR, Geneva 2000

# A Handbook: Working with Refugees and Asylum-Seekers

League of Red Cross and Red Crescent Societies, Geneva 1991

# Guide for Planning Operations for Refugees, Displaced Persons and Returnees - From Emergency Response to Solutions

International Federation of Red Cross and Red Crescent Societies, December 1993

# Repatriation Guidelines for National Red Cross and Red Crescent Societies

PERCO/International Federation of Red Cross and Red Crescent Societies 1999

# The Movement, Refugees and Displaced Persons

Jointly prepared by ICRC/International Federation of Red Cross and Red Crescent Societies, Council of Delegates, Birmingham 1993

### Protecting Refugees - A Field Guide for NGOs

Jointly prepared by UNHCR and the Norwegian Refugee Council 1999.

# **Guiding Principles on Internal Displacement**

Edited by Francis Deng, OCHA 1998

### A Humanitarian Practitioner's Guide to International Human Rights Law

by William G. O'Neill, Occasional paper #34 published by the Thomas J. Watson Institute for International Studies

# http://www.alertnet.org

Reuters

# http://tornado.jstechno.ch/nrc//nrcdefault.html

The IASC/Norwegian Refugee Council IDP Global Database

# http://www.unhcr.ch

**UNHCR Homepage** 

http://www.unhcr.ch/refworld/welcome.htm UNHCR REFWORLD site http://rrn@oneworld.org/odi/rrn/index.html Overseas Development Institute Relief and Rehabilitation Network http://www.immi.gov.au/ Australian Government department of Migration Affairs site http://www.polisci.com/index.htm The Political Science site of Amazon.com http://www.seerecon.org/ South Eastern Europe Reconstruction Site http://www.ecre.org/index.html European Council on Refugees and Exiles http://www.tufts.edu/fletcher/multi/humanrights.html A complete list and set of texts for the principle Human Rights Conventions http://www.refugees.org/ USCR - US Committee for Refugees http://www.cdc.gov/CDC http://www.reliefweb.int OCHA Relief Web http://reliefweb.int/IRIN OCHA Regional Network Africa http://www.ifrc.org/what/response/eru ERU http://www.ifrc.org/what/response/fact **FACT** http://www.icrc.org ICRC Homepage http://www.who.int/home/sitemap WHO http://who.int/whois WHO statistical system http://www.paho.org Pan American Health Organisation

# Responsibility for Registration



- 319. The identification and proper registration of beneficiaries is indispensable to any efficient operation. In fact, a number of later problems (security, logistics etc.) can be avoided, if the registration is done properly. Though sophisticated registration in one-time disaster relief actions may neither be possible nor necessary, in longer-term assistance programmes it can often become crucial to the operation's success.
- 320. Registration may be the responsibility of the central government, local authorities, the UNHCR (for refugees), any other agency involved in the operation, or of the Operating National Society and/or the Federation delegation. Whoever has this responsibility though, it is important that it be clearly assigned to *one* agency, and that all other operational partners be aware of this. If, for operational reasons, several agencies are involved in the registration, all of them should follow the same registration criteria and procedures.
- 321. In view of the importance of registration, it may be advisable for the Operating National Society and/or the delegation to assume the responsibility for registering beneficiaries for their operation/programme (or a part of one). This can make control of distribution easier and will help to avoid problems resulting from others' mistakes. However, the National Society and/or the delegation should assume responsibility for the registration only if able to ensure sufficient control of the whole process, without risking exposure to unacceptable political pressures.
- 322. When registration is not performed by the Operating National Society or the delegation, they should ensure that both are closely involved in determining the registration criteria, contents and design of the registration documents and deciding other important matters that may affect the Red Cross/Red Crescent part of the operation. The National Society and the delegation should also ensure that their position on these issues is fully taken into account by the agency(ies) doing registration.
- 323. The Red Cross/Red Crescent registration of beneficiaries for distribution should not be confused with registration done by the UNHCR or the Government. The latter may have legal implications for the status of a registered person (such as right of asylum, repatriation or resettlement in another country, etc.), while the Red Cross registration simply entitles the registered individuals to a fixed amount of relief supplies within a set period of time.

# **Registration Methods**

- 324. There are a variety of methods for identifying and registering beneficiaries. They should be chosen depending on the country, type of disaster, kind of intervention (emergency, long-term relief, rehabilitation etc.), the operational role of the Federation, the Operating National Society and other agencies involved. In an emergency relief operation, the beneficiaries may be registered not individually, but by village, settlement, town or area. Beneficiaries in longer-term operations refugees, for example are usually registered by family, with the name of each family or household head and the number, names and ages of family members clearly indicated.
- 325. Every beneficiary family should be registered on a *beneficiary list* or *card*. If the beneficiary card format needs to be adapted for a specific operation, printing food rations or non-food distribution criteria on the cards should be avoided the rations or distribution criteria may change later, and this can cause problems during distributions.
- 326. It is also important to register beneficiaries by sex particularly single women and female household heads, who are likely to be numerous and in need of special protection and safety measures. The family structure may also impact on the distribution of food and cooking utensils. Wrong ideas about family structures may result in women and children receiving fewer supplies, being overlooked in development and self-help projects, exposed to violence or harassment etc.

# **Ration Cards**

- 327. When beneficiaries do not possess any official identification documents such as passports or identity cards, each family registered and entitled for relief supplies should receive a *ration card*. This should indicate the name of the family head, the number of family members, the village or settlement where the family is registered, and the distribution point where it is to receive its supplies.
- 328. The ration card is kept by the beneficiary and serves only for identification during distributions. It should always be numbered and the number correspond to that on the beneficiary list or card kept by the distributing agency. To avoid confusion, numbers should never be repeated: as a general rule there should be no two cards with the same number issued during the whole operation. To avoid the sale or trafficking of ration cards, replacing lost or stolen cards should be avoided unless an efficient system of excluding such cards from

circulation is introduced.

329. To prevent serving the same ration twice during the distribution, no ration should be issued upon presentation of a ration card only: ration cards should always be compared with beneficiary list or beneficiary card kept by a distributing agency (where the evidence of issue - beneficiary signature, thumb print etc. - should be marked). To ensure that no double serving occurs, ration cards could be marked or punched.

# Things to Watch Out for in Registration

- Relief supplies, especially those coming from abroad, may have considerable value on the local market, As the registered beneficiaries receive such supplies free of charge, the registration is always a very delicate issue and needs to be handled with care.
- Official figures cannot always be relied upon, In many countries correct demographic or population statistics may be non-existent
  or seriously outdated, The Government, local authorities or community leaders may sometimes be tempted to exaggerate the
  number of beneficiaries for political or other reasons, Polygamous families may attempt to register their members separately, The
  affected communities may tend to distribute relief supplies in the same amounts to every family, sometimes ignoring the greater
  need of the most vulnerable.
- Registration teams, especially when locally-recruited, can come under serious pressure from communities, community leaders and local authorities, These pressures can be reduced by increasing the independence of the registration teams for example, by sending a team from one area to register in another, by adding outsiders to the team etc.
- Registration for longer-term relief programmes is often based on information provided by the affected communities themselves,
   When communities become familiar with the way registration is carried out, they may be tempted to provide incorrect information,
   Therefore registration should be done correctly from the very beginning,
- For longer-term operations the registration information should be repeatedly checked, This can be done by physically checking the households or refugee families, comparing the registered names of family members with those quoted by the family head during distribution, by looking out for large-scale commercial sales of distributed relief supplies etc.
- Federation delegations (whether involved in the registration or not) should not disclose any registration figures without consulting the local authorities or agencies in charge of registration, In cases of obvious abuse, the delegation should consult the Federation Secretariat before taking any initiative.

United Nations Agencies

**Population Movements** 

Relief Supply Distribution System

Forms and Reports for Warehousing and Distribution

# **Relief Supply Distribution System**

### **Distribution Systems**

330. >Depending on the type of operation, distributions of relief supplies can be organised along the following main lines:

- *Direct* distribution. Relief items are handed over directly *to the beneficiary*, usually to the family head. This system allows for efficient control of the flow of relief supplies to the final beneficiary and should therefore be implemented whenever possible. However, it is time-consuming and requires a complete distribution infrastructure and considerable numbers of trained staff.
- Indirect distribution. The relief items are handed over to representatives of the community, village etc., who are then entrusted with the final distribution to individual members of their community or group. This system implies more beneficiary involvement in the distribution process and permits quicker distribution of more supplies to more beneficiaries. Wherever this system is used though, a deviation of food in favour of some community group or individuals may occur. While local customs and traditions in sharing supplies among community members is to be respected, additional control and check mechanisms should be introduced to ensure that individual beneficiaries do receive their rations.
- Donations to *institutions*. Goods are given to institutions such as hospitals and orphanages, that will use the supplies to support their normal activities. Although this system is logistically the simplest of the three, it requires greater control to ensure that supplies do reach the end beneficiaries.



- 331. Beneficiary communities should be directly involved in choosing the appropriate distribution system and setting it up from the very beginning. It is particularly important to involve women in this process to make sure that their specific needs are satisfied. Local customs, habits and traditions (preferred food, food storage, cooking practices etc.) must be taken into account. Beneficiary involvement in organising and managing distributions contributes to avoiding a number of potential problems during actual distributions.
- 332. The choice of a particular distribution system for an operation or programme will depend on a number of *factors*: the nature of the disaster, the type of assistance provided, the planned time-span of an operation, the total number of beneficiaries, their location, age/sex composition, weather conditions and time of the year, the terrain and road conditions, the availability of transport and personnel, security etc. All these factors will largely determine distribution frequency and schedules. Whatever system is chosen though, it should be convenient for the beneficiaries, simple, manageable and logistically rational, allowing for proper distribution, stock control and security.
- 333. Setting up distribution systems gives a good opportunity for strengthening relief capacities of the Operating National Society, which should not be overlooked. National Society staff and volunteers should be directly involved in designing and developing the distribution system, as well as in planning and organising distributions at all levels.
- 334. Whenever an Operating National Society and/or the delegation is involved in distribution of relief supplies, it is advisable that they design an appropriate distribution system themselves from the start of an operation. However, it may so happen, that the National Society and/or delegation comes into an operation, or takes it over from another agency, when a distribution system has already been developed and used for some time. In such a case the system should not be changed immediately as long as it allows reasonable stock control and reporting. Such a system should be improved gradually, as the beneficiaries, distribution staff and other agencies have all grown accustomed to it, and may need time to readjust to the new one.
- 335. While setting up a distribution system a clear policy on handling empty sacks, cans or other food containers should be established, agreed and strictly followed by all the agencies involved. Empty containers could be either distributed to beneficiaries or collected and monetised by the distributing agency. Certain donors (EU, USAID) have their own policy on using empty containers which should also be taken into account.

#### **Distribution Points/Centres**



- 336. The location of a distribution centre will mainly be determined by the number of beneficiaries in the area, availability of warehousing, site access and security considerations. Usually it will be in a big town or a central village, traditionally used as a trade, transport and services centre. Within a refugee assistance programme, distribution centres will normally be at the camps, with one or more per camp depending on the number of beneficiaries. To be manageable, a distribution centre should preferably serve not more than 10,000 beneficiaries.
- 337. Red Cross/Red Crescent distribution points/centres should be clearly and visibly marked as such by the Federation logo or the Operating National Society's emblem.
- 338. The location of a centre should be determined based on its convenience for the beneficiaries as well as on logistical considerations; otherwise it may become logistically impossible to serve all beneficiaries in time. In principle, unnecessary movements of people to and from centres should be avoided. In longer-term assistance programmes, especially where people are used to carrying supplies over long

distances, a *ration-shop* system may be adopted. This is a central and permanently functioning centre (warehouse), where beneficiaries come to receive regular, usually monthly, supplies.

# **Planning Distributions**

- 339. Sound planning is essential for effective distribution. Depending on the nature of the emergency, type of assistance, beneficiaries' habits and customs, specific donor requirements and other factors, supplies can be distributed one time only (normally immediately after the disaster in the case of non-food items) or regularly weekly, every second week, monthly etc. (in the case of food items or donations to institutions). Except for the ration-shop system, generally speaking, the more frequent the distribution, the more convenient it is for the beneficiaries and the more complicated logistically.
- 340. The numbers of beneficiaries to be served during distribution should be provided by the agency responsible for registration. These numbers should always be indicated per distribution centre. The number of beneficiaries may vary substantially due to people's movements, and should therefore be adjusted before every regular distribution.
- 341. The results of distribution planning are summed up in the *requisition note*. The Requisition note is the principal operational planning document. It is issued before every regular distribution indicating for what period the supplies are to be distributed, the rations (food) or distribution criteria (non-food), the number of beneficiaries and required amount of supplies per distribution point. Signed by the officer in charge of the operation (Relief/Logistics delegate, National Society programme officer, disaster relief coordinator etc.), it authorises the central or regional warehouse storekeeper to issue the supplies to distribution points.

### **Food Rations**

- 342. Rations should be determined based on the assessment of the nutritional needs of the affected population, the current and planned availability of food (both local and external) and on logistical considerations. The rations should always be set in consultation with the beneficiaries, the Government, local authorities and the other relief agencies involved in the operation.
- 343. Where the Operating National Society and/or delegation is distributing food, they should always be directly involved in ration setting. As it will be the Operating National Society personnel or delegates, who will be directly exposed to any potential problems resulting out of mistakes in setting rations, this very important decision should be taken only in consultation or in agreement with the National Society and/or Federation delegation.
- 344. The Operating National Society and/or delegation should ensure that the rations adopted for the operation conform to the Federation's nutritional policy. Where due to the lack of supplies the ration proposed may be *lower* in quantity or nutritional value than that normally recommended by the Federation, efforts should be made to obtain additional food supplies through the Secretariat, or prioritise certain vulnerable groups (children, elderly etc.) ensuring their full rations. No rations lower that those defined by the Federation's nutritional policy should be accepted by the delegation without prior authorisation from the Secretariat.
- 345. Rations for long-term operations especially in refugee situations should also be determined taking into account the nutritional standards of the local population. If this is not possible or acceptable, some forms of complementary assistance to the local population should be planned. Beneficiary initiatives aimed at increasing their own food self-sufficiency vegetable gardens for example should always be encouraged and where possible supported by providing agricultural tools, seeds, plants etc.
- 346. *Modification of rations* during the operation may be potentially risky for security reasons and may negatively affect the image of the distributing agency. Any such modification should be treated with extreme care in consultation with all agencies involved. Representatives of beneficiaries at all levels should be involved in discussions and decision-making. Should the rations have to be cut, an extensive information campaign among the beneficiaries explaining the reasons for it should be organised before this decision is implemented; active beneficiary involvement in planning and organising such campaign is a crucial factor for its success.
- 347. When specifying or adjusting rations it should be noted that due mainly to the culturally-determined ways families share food a general ration increase do not necessarily lower malnutrition among specific groups, and particularly among children. The problem of malnutrition should be addressed mainly by organising supplementary and/or therapeutic feeding for such groups. Distribution of supplementary rations should, if possible, be physically separated from the general food distribution in order to avoid problems that may be caused by the difference in rations. This could be done by, for instance, distributing supplementary rations through hospitals, health and feeding centres, or having a different distribution schedule for those groups.
- 348. Sometimes beneficiaries *sell* part of the distributed food or use it for bartering against other necessary food or household items. Whenever this happens on an individual basis, it may indirectly indicate that a particular food item is valued less by the beneficiaries, or that the rations may need to be adjusted. At the same time the situation should be closely monitored to prevent possible corruption and the large-scale sale of relief supplies.

# Organising distribution

349. Efficient distribution is only possible with the active participation and support of the beneficiaries themselves. All affected communities have traditional structures - leaders, chiefs, committees etc. - which, unless completely disrupted by disaster, should be fully involved in selecting an appropriate distribution system and organising distributions. Workers, distributors, warehouse watchmen and security personnel can be provided by the beneficiary communities. Their services should normally be on a voluntary unpaid basis, as a community contribution to the assistance programme. As a general rule, storekeepers and distribution point managers should preferably be recruited from non-beneficiaries.

- 350. Beneficiaries should be informed in advance (usually some days before) of the date and time of a distribution. This information will usually be passed on through community leaders and/or the traditionally used local means of transmitting public messages.
- 351. Distributions should be scheduled so as to *avoid long queues and crowds*. If more than one settlement/village/community is served at a distribution point, they should be advised which will be served first, second and so on. During distributions, especially the first few, the beneficiaries should be informed about the food rations and of their exact entitlement; usually the entitlement should be posted at the distribution centre. Access to water and sanitation facilities at the distribution point should be considered if the beneficiaries have to queue and wait for a long time.
- 352. The distribution area should be separated from the storage facilities preferably by distance, wall or fencing. Access to this area should be restricted only to those authorised to enter: the storekeeper, the distribution point manager, distributors, workers, security personnel, and individual beneficiaries or groups who are receiving their supplies. The distribution area should have only one entrance and one exit, both manned by security personnel.
- 353. The distribution itself should be organised so that beneficiaries cannot move back through the distribution area after receiving their supplies. Beneficiaries should wait *outside* the distribution area to be called to collect their supplies. When called, they should present their identity or ration cards to a registration desk set up at the entrance. After the cards have been checked, they may proceed to the distribution area, collect their supplies and leave through the exit gate, as illustrated below:



- 354. When food rations are distributed to every family, distribution centres should be equipped with scales, scoops and measures. To speed up the distribution process, rations can be issued to a community leader or a group of family heads, who can then distribute them to their group members outside the distribution area.
- 355. During distributions, a number of individual beneficiary problems may need to be resolved. To avoid disruptions and disorganisation, a specially designated community or local authority representative, together with a member of the distribution and/or registration team, should handle these problems on an individual basis outside the distribution area.

# Maintaining Security of Distribution

- Any distribution of relief supplies can pose a security problem, The risk can be more or less serious, but it will always exist. However, by taking a few simple precautionary measures, it can be considerably reduced,
- The local authorities should always be informed of the exact time and place of the distribution, It should be done well in advance to enable them to take normal precautions or special security measures. The representatives of the local authorities authorised to initiate action should it be necessary should either be present at the distribution points or should be easily reached,
- The distribution of relief supplies often attracts criminals, especially in and around towns, Wherever possible the distribution points should be located outside of towns and big cities,
- In general, the better organised the distribution, the more secure it is, Disorganised distributions may provoke fears among beneficiaries that some of them will be missed out, They may then attempt to secure their share by attacking the distribution area or the warehouse. Disorganised distribution also facilitates stealing: though criminals usually start, when others see it they may be tempted to follow.
- Many security problems at distribution points arise from misunderstandings and lack of information, When people do not know
  what is going on, they can become nervous and aggressive, Therefore, before distribution the beneficiaries should be clearly
  informed about how it will be conducted, who is to be served first, what they will receive and what is expected of them, If changes
  are made during the distribution, beneficiaries should be immediately informed, Never refuse to deal with individual or group
  requests or questions, but these should not also be allowed to block distribution, Sufficient supply for the distribution day should be
  available to avoid unrest,
- Masses of people concentrated in one place always present a security risk, Beneficiaries should be discouraged from massing in
  one place by scheduling distributions, dispersing the roll-call, registration and distribution stations, Long waiting, even in organised
  queues, should be avoided,
- The most critical moment for security is the end of distribution, The distribution team should be prepared to evacuate immediately after the last registered beneficiary has been served, In cases of real danger to National Society or Federation staff, distribution should be stopped immediately and the distribution team withdrawn to safety: never to the warehouse, but quickly (by car) away from the distribution centre, leaving the supplies behind if necessary,
- Should such an incident happen and if no improvement in security follows, the Operating National Society and/or the delegation in consultation with the authorities, other involved agencies and the Secretariat should decide on whether to continue serving this

- particular distribution centre.
- Security personnel for distribution centres should preferably be chosen from the beneficiaries themselves, The physical presence
  of properly identified Federation delegates or other Red Cross/Red Crescent representatives is important for maintaining order and
  preventing possible police violence,
- The presence of police or military personnel (often offered or provided by the authorities) should be kept to a reasonable minimum: sometimes they may tend to resolve problems by force, thus provoking disturbances instead of preventing them, Police or soldiers may sometimes attempt to get relief supplies for themselves. These situations should be handled with extreme care and patience, trying to negotiate first with the security team and diplomatically appealing to their superior if necessary.

# The Beneficiary Distribution List

- The beneficiary distribution list is based on the registration carried out by the Federation, Operating National Society, other relief agencies or the local authorities.
- The list is the basic supporting document confirming that the relief supplies have reached the beneficiaries. It should clearly indicate the amount of supplies distributed to each and every family and ought to be signed or thumb-marked by each family head. This form can also be used as a master list copied before every distribution and the copy used for controlling the quantities distributed.
- The figure in the *number of beneficiaries* column should always include the family head, whose name is mentioned on the list. Every family or household should thus receive the quantity of supplies corresponding exactly to the number of people listed.
- Wherever beneficiary cards are used for the same purpose as beneficiary lists, the lists may be used for statistics, cross-checking purposes or for roll-calls during distributions.
- To be able to identify beneficiaries during distributions, beneficiary distribution lists should be used in conjunction with *ration cards*, kept by every beneficiary, family or household and presented during distributions to identify the beneficiaries.
- When distribution points keep stock at hand, monthly reconciliation of receipts, balance and amounts distributed (see *Distribution Reports* and *Consignment Note*) should be made. Random interviews with beneficiaries should be conducted to verify if distribution list data is correct.

+	-C	International Fede	eration of Red C	cross an	d Re	d Cr	esce	nt S	ocieties
_		Delegation							
		J							
		BENEFIC	CIARY DIST	RIBUT	ION	LIS	Т		
Di	stributior	point / centre							
Se	ettlement	(town, village,dist	rict,camp etc.)						
Da	ate / Peri	od							
	Card	Name of family /household head	No. of Benef.	Distribu	ted re	elief	sup	olies	
	Number	, nouseners nous			Signature				
1									
2									
3									
4									
5									
6									
7									
8									
9									
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11						
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ТО	TAL					

# The Beneficiary Card

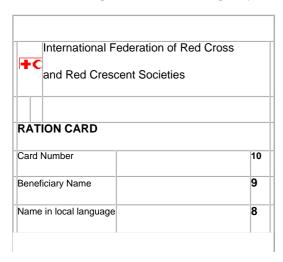
- Beneficiary cards are compiled in the same way as the beneficiary distribution list, i.e. based on the registration. They are used at distribution points to control the distribution of relief goods to beneficiaries.
- The cards may be used in place of the beneficiary list and *in this role serve as the basic supporting document confirming that relief supplies have reached beneficiaries*. Like the list then, they should clearly indicate the amount of supplies distributed to every family and be signed or thumb-marked by the family head.
- The beneficiary card has two sections. The *upper* section is to be completed based on the registration: it contains basic information on the beneficiary family. The *lower* section is used for recording the quantity of relief supplies distributed to a family. As the beneficiary signs on it for relief supplies, the beneficiary card *should be kept at the distribution point*.
- To be able to identify beneficiaries during distributions, the beneficiary card should be used in conjunction with *ration cards* kept by every beneficiary, family or household and presented during distributions to identify the beneficiaries.

<b>+c</b>	International Federation of Red Cross and Red Crescent Societies									
	Delegation	1								
ı										
BENEFICIARY CAF	RD									
eneficiary Card No.										
lame of family / househ	old head									
Number of family / house	ehold men	nbers								
Settlement (town, village	,district,ca	amp etc.)								
Distribution point / centre	•									
Names of family membe	rs Age	Sex	Names of family members	Age	Sex					

Distribution date	Dis	stributed rel	ief supplies		Beneficiary Signature

### **Ration Card**

- To be able to identify beneficiaries during distributions every beneficiary, family or household should have a *ration card*. Ration cards should specify the name of the head of family/household (or an individual beneficiary), the number of dependants (family size), the settlement (village, district, town, camp etc.) where they are from as well as the distribution point where they are entitled for relief supplies.
- To prevent falsification all *ration cards should be numbered*; the number should correspond to that under which beneficiaries are registered in the beneficiary list or by beneficiary card. The number can include both figures and letters, and can therefore contain a code for a distribution point or any other additional information.
- The ration card is kept by the beneficiary and presented by him or her at each distribution to be compared with the beneficiary card or the beneficiary list kept by the distributing agency.
- To ensure that no double serving occurs and to prevent falsification, the ration cards could be marked as "served" during each distribution using the principle of *punching* (by a puncher, or a simple nail). The figure corresponding to the number of family members can also be punched. Such a card should preferably be produced on durable (if possible, plastic) material.
- The items to be distributed could either be printed in full or all items could be allocated a code letter (A wheat flour, B vegetable oil, C beans, D sugar, E blankets etc.) It is important, that all involved in the distribution are clear about the allocation of the code letter. The code letter should remain the same throughout the operation.
- The validity of the card should preferably be limited to a certain number of distributions (weeks, months etc.) after which the card should be replaced. This will consequently allow periodic checking of the registration figures.



	1	2	3	4	5	6	7	8	9	10	11	12	7
A													6
В													5
С													4
D													3
E													2
F													1

The Emblems

Vulnerability and Capacity Assessment

Information and Dissemination

Food and Nutrition

Population Movements

Development within Relief

Code of Conduct for Disaster Relief

Warehousing

Beneficiary Registration System

Controlling Supplies' Movement

Forms and Reports for Warehousing and Distribution

# **Development within Relief**

# Programming Relief for Development - capacity building within relief

356. Many past relief programmes have helped people to survive, but have at times failed to draw on local capacities and thus have left people equally, or even more vulnerable to the next disaster. Therefore ways of doing relief that build for the future need to be found. To ensure that a relief programme is carried out in a developmental way, it should incorporate the following nine key characteristics (based on the recommendations of a 1995 Copenhagen workshop on this topic):

### A - Building on capacities as well as addressing vulnerabilities

The need to access vulnerabilities is recognised as being important, but relief programmes that deliberately seek out and work with capacities, skills, resources and organisational structures within the disaster survivors, will be more effective than those that assume the survivors are a passive, helpless, recipient community.

# B - Identifying the needs and capacities of the diverse groupings of disaster survivors

Developmental relief programmes recognise that the survivor population is made up of many groups with different capacities, vulnerabilities and needs. The relief programme is shaped to address these diverse groups and their capacities as well as their different needs.

### C - Participation

Developmental relief programmes deliberately involve disaster survivors in the decision making process which empower them to retake charge of their lives. Even in particularly difficult situations, such as relief to large scale displaced populations a beginning may be made by engaging diverse community leaders in the assessment of the situation, and identifying the resources that they have available to cope.

While disaster survivors should always be consulted, there at the same time needs to be realism in what can be expected from their immediate full participation. Aspects to consider include how representative community leaders really are, their mental and physical

condition as well as (especially in sudden big-scale disasters) limited available time for setting up fully participatory decision-making processes.

### D - Accountability

In relief programmes, agencies traditionally see themselves as being accountable upwards, towards their headquarters and donors, but they should also practice accountability towards the disaster survivors. At a minimum, information on the planning, execution and expected duration of the relief programme should be openly shared with the programme beneficiaries.

### E - Strategies based on the reality of the disaster faced

Relief programmes address many difference types of disasters, those triggered by natural events, those which develop slowly over vast areas of a country, those caused by war and economic collapse. Developmental relief programmes adapt their strategies to suit the environment of the disaster rather than relying solely on pre-packaged delivery derived from a model of only one type of disaster.

#### F - Decentralised control

A developmental relief programme allows management decisions to be taken as close to the beneficiary population as possible.

### G - Demonstrating a concern for sustaining livelihoods

Developmental relief programmes are concerned with what comes after relief as well as how the relief programme is carried out. They provide assistance that complements rather than competes with the normal means of livelihood of the disaster survivors.

### H - Building on local institutions

Imposed relief programmes can undermine local structures, often use them without strengthening them and often abandon them after the relief operation. Developmental relief programmes look to work with local institutions and build their capacities to carry on humanitarian work after the need for relief has passed.

It should be noted that while there needs to be full co-operation with other local institutions, more mid- to long term capacity building measures within the RC/RC Movement are limited to the RC/RC organisation itself.

### I - Setting sustainable standards services

Relief programmes often set in motion the development of service and welfare systems, in health, education and water provision which will need to carry on after the relief ends. These should be of a standard and provided in a manner which has a realistic chance of being sustained after the relief operation ends. Refer also to the SPHERE standards.

### Programming Federation assisted response operations for development

357. The nine principles outlined above could be applied to any relief programme by any agency. As well as this general approach, there are more specific actions a Federation delegation needs to take because of its unique relationship with the Operating and other National Societies and the disaster services.

358. The Federation's purpose is to assist the Operating National Society in implementing activities which improve the situation of the most vulnerable in the country. Where an Operating National Society lacks the capacity - in a major disaster for instance - the Federation and the delegates may have to actually do the work. However, this situation should not go on for long. A long-term development approach needs to be taken as soon as possible following a disaster. The following aspects might help in implementing such an approach:

### 1. Avoid building parallel structures without consultation with and agreement of National Society

Locally available capacities should be used. If the Operating National Society does not have sufficient capacity to carry out a large-scale operation, measures need to be taken to safeguard its existing capacity for ongoing (development) work as well as to get agreement for the setting up of a "separate" operational structure.

The type of operational structure to be set up depends to an extent on the nature of the disaster: in a slow onset disaster like a drought it should be easier to involve the National Society in setting up and implementing a response operation than in a sudden big scale disaster such as an earthquake.

### 2. Include key stakeholders (e.g. PNS and local authorities) in all phases from planning to evaluation

An implication of this, in particular for large sudden disasters is that all National Societies involved need to accept and respect the lead coordination role of the Federation's Secretariat in such a situation.

### 3. Introducing and/or reviewing and improving agreements

It is in particular important to clarify roles and responsibilities of each Party involved as well as who controls which resources and at what time.

# 4. Consider rehabilitation plans with the National Society as soon as possible

### 5. Defining exit or transition strategies

An aspect of this is agreeing as early as possible on a realistic time frames for outside interventions.

# **Developing National Society Capacities within and for Relief**

What will we leave behind us after the delegation's mission is over? That is the question to be asked before even starting a relief operation. A relief operation is usually an excellent opportunity to support or strengthen the Operating National Society, developing its capacities in some of the following areas and ways:

### 1. Use operations for skills, management and leadership (human resource) development

Technical areas for human resource development include basic management, accountancy, planning, warehouse management, public relations, media work. Ways of doing so are chiefly on the job-training and more formal training workshops.

Effective human resource development requires having a coherent and mid-term delegation strategy, i.e. a human resource development strategy that does NOT change with every new delegate. Also, human resource development should be seen as a 2-way street, i.e. operations should also be used for Federation and PNS staff capacity building

### 2. Identify areas for and promote systems and structure development

Use operation as an opportunity for setting up new branches as well as reinforcing existing ones.

A variety of logistics and procurement systems - for vehicles, telecommunications, relief goods or warehousing - can be introduced during a relief operation. Through the operation, the Operating National Society can get good exposure to how the bidding system for procurement works, as well as to the follow-up needed to ensure good delivery, planning of stocks, organisation of adequate logistics to receive the material, control and final payment. The operation also gives the opportunity to suggest, improve or install various monitoring, evaluation, auditing and accounting systems.

Each National Society needs to respect the accounting system of their country but they may need to be informed or trained in the Federation system and take on responsibilities like financial reporting. Systematic budgeting, planning and reporting is often a weak point - a good system could assist the Operating National Society to improve its ability to manage operations, produce internationally accepted reports, improve its credibility and better organise its structure.

All such systems, developed or improved during an operation, may become a real asset for the National Society provided that it succeeds in maintaining and developing them after the delegation leaves. This can be achieved both through ensuring that National Society counterparts are fully involved in designing and implementing the systems, and through formal training of National Society staff in using them.

# 3. Use disaster as opportunity to introduce reforms and / or to trigger an organisational change process

An important assumption is that the National Society is ready / willing to undergo some change. If this is the case, possible action steps / points to consider include:

- review response and lessons learnt (e.g. through a SWOT analysis) and use as a basis for future planning;
- strategic planning as startingpoint for a more comprehensive organisational change process
- review relation with authorities and define ways of improving it;
- how can national society play a greater role in civil society
- explore fund-raising opportunities for more long-term work, e.g. setting aside a percentage of the response budget for capacity building measures.

Reporting

Vulnerability and Capacity Assessment

Organisational Development

Disaster Preparedness

Managing Projects

Needs Assessment, Targeting Beneficiaries

Population Movements

Code of Conduct for Disaster Relief

# Further Reading

# The Oxfam Handbook of Development and Relief

by D. Eade and S. Williams (editors), Oxfam, UK and Ireland, 1995

Projects: How to plan and Manage

Guidelines, International Federation of Red Cross and Red Crescent Societies, Geneva, 1993

Rising for the Ashes: Development Strategies in Time of Disaster

by M. B. Anderson, P.J. Woodrow, Westview Press, Paris, UNESCO, 1989

Disaster Mitigation: A Community Based Approach

by A. Maskrey, Oxfam, Oxford, 1989

# Disasters and Development

by F. Cuny, Oxford University Press, 1983

[1] - Articles 3 and 5 of the Universal Declaration of Human Rights 1948; Articles 6 and 7 of the International Covenant on Civil and Political Rights 1966; common Article 3 of the four Geneva Conventions of 1949; Articles 23, 55 and 59 of the Fourth Geneva Convention; Articles 69 to 71 of Additional Protocol I of 1977; Article 18 of Additional Protocol II of 1977 as well as other relevant rules of international humanitarian law; Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment 1984; Articles 10, 11 and 12 of the International Covenant on Economic, Social, and Cultural Rights 1966; Articles 6, 37, and 24 of the Convention on the Rights of the Child 1989; and elsewhere in international law

[2] - The distinction between combatants and non-combatants is the basic principle underlying international humanitarian law. See in particular common Article 3 of the four Geneva Conventions of 1949 and Article 48 of Additional Protocol I of 1977. See also Article 38 of the Convention on the Rights of

[3] - Article 33 of the Convention on the Status of Refugees 1951; Article 3 of the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment 1984; Article 22 of the Convention on the

# **Disaster Response**



# Chapter XX - Federation Disaster Response System

**Disaster Response System** 

**Disaster Response Tools** 

Standard Operating Procedures For The Use Of Field Assessment And Co-ordination Teams (FACT)

**Emergency Response Units** 

**Emergency Relief Appeals** 

**Cooperation Methods** 

**Guidelines for Project Delegation** 

**Responsibilities and Agreements in Relief Operations** 

**Funding of Operations** 

Principles and Rules for Red Cross and Red Crescent Disaster Relief

**Code of Conduct for Disaster Relief** 

**Armed Protection of Humanitarian Assistance** 

# **Disaster Response System**

- 1. The role of the Federation Secretariat (with its delegations) in disaster response is defined in the Federation Constitution as "coordination of action and mobilisation of resources for international relief". The action is guided by the Principles and Rules for Red Cross and Red Crescent Disaster Relief, by the Code of Conduct, by Strategy 2010 and various other policies guiding sectoral interventions, such as in health.
- 2. The Federation's operations are also conducted within the framework of more specific policies and procedures internal to the Secretariat. Such procedures, covering the areas of reporting, logistics, personnel (including Rules of Conduct for Field Personnel), representation, relations with National Societies and other agencies etc., are dealt with in separate chapters. The procedures for financial management of operations are to be found in the Secretariat Procedures Manual. All staff and delegates must be aware of the policies and procedures guiding their work and it is the responsibility of the Head of Delegation and Head of the Regional Department to ensure this. Job performance will be measured, amongst other things, in terms of compliance with such procedures.
- 3. At the Secretariat level, responsibility and accountability for disaster response action rests with the *Disaster Management and Coordination Division (DMC)*. Working in close collaboration with the Programme Coordination Division and its Regional Departments, it is responsible for launching Federation actions in relief situations and handling them by providing coordination and support to the National Societies involved in the first short term relief phase. Normally DMC through its Heads of Operations would manage an operation for a maximum period of three months then hand over the managerial duties to the Head of Regional Department ensuring smooth continuum from relief to rehabilitation and development. The Head of Operations can remain involved in the operation in an advisory/support role as requested. DMC and PC, however, depend on the Advocacy and Communication (ACD) and Knowledge Sharing (KSD) and Monitoring and Evaluation (MED) Divisions for certain aspects of their work.
- 4. *Task Forces* are a management tool to improve emergency response coordination and planning, as well as to ensure efficient cooperation within the Secretariat and with the field and National Societies. The Director, Disaster Management and Coooperation decides when a Task Force will be established. A Task Force may be established for major new emergencies, for very complex emergencies. Task forces are lead by the Operations Managers.
- 5. Within the Secretariat's developing matrix organisation, the reporting lines between "technical department" functions at the Secretariat in Geneva for example personnel, finance, logistics, health, development, communication and their corresponding function in the field organisation will be dotted, meaning that consultations, and advice on technical issues shall take place directly, while keeping the respective supervisors, to whom they have a straight reporting line, informed. However, any issues that have financial and/or managerial implications must always involve the accountable manager(s), i.e. the Head of Delegation or Head of Department, Deputy Head or Desk Officer.

6. The actors in the Federation's response system are the Secretariat, the National Societies (as donors and as operators) as well as Governments, the UN system and ICRC (as partners and donors). All are crucial to the success of our operations.

# **Disaster Response and Operation Management**

- 7. National Red Cross and Red Crescent Societies, their local branches and network of volunteers are the first line disaster responders within the Red Cross and Red Crescent Movement. In their auxiliary role they support the local and national authorities like rescue and welfare services. When the National Societies and their available resources are overwhelmed, they have both right and duty to request assistance from the International Federation the Federation Secretariat may also take an initiative to offer assistance to a National Society and victims of a disaster.
- 8. The International Federation learns about a disaster through an alert or such an assistance request by the operating National Society or a message from a monitoring station or as often happens through the international media.
- 9. Disaster Management and Co-ordination Division (DMC) will assign in consultation with the concerned Regional Department one of the Heads of Operations to manage the international disaster response in the case of a disaster. Three Heads of Operations cover the areas of Africa and Middle East, Americas and Pacific, and Asia and Europe. The Head of Operation takes on the management of major and/or complicated disaster situations with the help of a specific Task Force in which the concerned Regional Department of the Programme Co-ordination Division and technical service departments are represented. The Head of Operation may also offer or he may be requested to provide managerial help when a Desk Officer or a Regional Department has at the same time a multitude of smaller operations or tasks going on.
- 10. Normally the Head of Operation would manage an operation for a maximum period of three months then hand over the managerial duties to the Head of Regional Department ensuring smooth continuum from relief to rehabilitation and development. Head of Operations can remain involved in the operation in an advisory/support role as requested.
- 11. Once the assessment is carried out and a proposal is delivered to the responsible manager, a decision will be made on the course of action to be taken. The assessment will not exceed a maximum of two weeks after the first response action is taken. The decision on action to be taken will be made on the basis of the proposal to cover the needs identified, particularly for the most vulnerable people, an estimation of available funding and donor reactions, the available infrastructure, and the response from other organisations. At this stage, methods of implementation and cooperation will be decided on. The Head of Delegation where an in-country delegation exists, or the person in charge on behalf of the Federation to participate in the process, will always take part in such decisions.
- 12. Operational budgets, planning frameworks and detailed programme descriptions must be presented at this point in the operational planning. Agreements with partners and the Operating National Societies must be proposed to Geneva and all the necessary administrative arrangements undertaken in order to ensure that the operation is set on firm ground.
- 13. It is important to recall that the basic philosophy of the Federation is to strengthen the international network of National Societies and the local structures. Hence, in the operational planning, consideration must always be given to ensuring that the (Operating) National Society taking part in an operation is supported, so that it might maintain (and improve if possible) its own operational structures. In practice this will include such support as training of staff, improving skills in various related areas, replacement of temporary external infrastructure used to meet operational needs etc.
- 14. The Federation will primarily give priority to being active in the following sectors of relief action: shelter and non food relief support (such as blankets, clothing etc.), health at primary level, relief infrastructure and logistics, water and sanitation, camp management, food distribution, social work facilitation. It shall always conduct a information/training programme on the Fundamental principles of the Red Cross and Red Crescent and the values of the Red Cross/Red Crescent. Any other sectoral involvement will require special consideration. Once again, it must be recalled that Red Cross/Red Crescent action is based on a special philosophy, and disseminating and living this philosophy as a role model in action is an important part of our plan of action.

Federation Secretariat

Strategy 2010

Federation Policies

Planning Programmes and Operations

Responsibilities and Reporting Lines

Reporting

**United Nations Agencies** 

Performance Management and Evaluation

Needs Assessment, Targeting Beneficiaries

**Emergency Response Units** 

Responsibilities and Agreements in Relief Operations

Principles and Rules for Disaster Relief

Code of Conduct for Disaster Relief

# **Disaster Response Tools**

15.1. Based on the initial disaster assessment of the operating National Society with the help of possible Country or Regional Delegation, the National Society requests assistance from the International Federation. To support the immediate disaster response of the National Society and its volunteers, the DMC may allocate funds from the *Disaster Response Emergency Fund* (DREF) of the International Federation. The DREF fills the gap between the onset of a disaster and donor response to an appeal; it also supports many minor disasters for which appeals are not launched. DREF funds can be released at any time for any disaster and does not require an appeal to be launched.

When the initial information indicates that resources from the sister Societies and other donors are required to meet the needs of the people and the National Society in the disaster stricken country, the *Preliminary Appeal* may be launched based on the initial assessment, disaster and response history of the given country and the overall knowledge on the type of the disaster. Preliminary appeal allows the partners to channel their resources in a co-ordinated manner from the onset of an operation and it also indicates that the International Federation is collecting more information to establish the detailed plan of action and budget for the relief and eventual rehabilitation phases of the disaster response operation and to eventually launch the *Emergency Appeal*.

To support the operating National Society and possible Country Delegation in the disaster affected country, the Federation may send a *Field Assessment and Co-ordination Team* (FACT) to make a detailed, sectoral impact and needs assessment; plan of action for international relief and start the co-ordination of the implementation of the Red Cross and Red Crescent relief operation. FACT mission consist of three or more experienced disaster managers possessing variety of skills and trained in the same methodology. Their deployment, which normally takes 6-24 hours after an alert, is based on an agreement with the operating National Society and they work in close collaboration and partnership with the representatives of the Society, the delegation and any other parts of the Movement in the country. A mission is normally 2-6 weeks and the FACT co-operates with other like-minded and professional assessment and co-ordination efforts like UNDAC.

As a rapid response to major disasters the International Federation may deploy *Emergency Response Units* (ERU) to deliver needed services to the affected population or to support the operation structures. The units were developed and standardised by the National Societies and the Federation Secretariat utilising the Movement experience with the field hospitals and national response units. The National Societies have their ERUs packed ready-to-use in a self-contained manner for one month. The personnel is specifically trained to handle their ERU and to supervise the needed local staff. The deploying National Society is prepared to obtain funding for a four month operation and to support the operating National Society and Federation operation even beyond that. The ERUs delivering services to the population are basic health clinic, referral hospital, mass water and sanitation unit, and specialised water unit. Operation support ERUs are logistics unit, telecommunication unit, and technical support unit.

The help of the neighbours and organised regional response capacity is often quick and adequate to respond to the needs of the people suffering from a disaster. The Federation Secretariat has started together with National Societies and Regional Delegations the training programme to develop Regional Disaster Response Teams (RDRT). The main tasks of the teams are to assist the operating National Society in assessment and initial co-ordination in medium size disasters. RDRT acts as a regional, cross-border partnership arrangement for disaster preparedness and disaster response.

In this perspective, host governments and host National Red Cross / Red Crescent Societies have an important task of promoting a working environment, which allows the Federation delegates to carry out their mission responsibilities and functions. The overall responsibility for the security and safety thus lies with the preventive actions of the host governments and National Red Cross / Red Crescent Societies.

National Red Cross / Red Crescent Societies staff as well as bilateral delegates are offered the benefit of Federations's security management within the delegations wherever the Federation is "lead agency".

The Federation is developing a web-based *disaster management information system* (DMIS) which aims to boost operational readiness, monitor potential and ongoing disasters and to give Red Cross and Crescent disaster managers around the world, the data they need to make informed decisions. These aims are outlined in the strategic directions document that accompanies the 2001-2002 Federation appeal.

The new Disaster Management Information System contains features such as:

- Carefully chosen organised external web links.
- Templates and style sheets for the most common reports and appeals.
- Disaster status and preparedness, classified by country.

The DMIS site will continue to evolve. It is envisaged as a common

working tool to monitor disaster trends and early warning signs, share operational information on ongoing relief actions, access databases of reliable maps, financial status reports, available delegates and emergency workers, and as a vehicle for the interchange of ideas and experience.

The site can be accessed on the public web site at "http://www.ifrc.org/what/response/dmis.asp". It will soon be available on CD-Rom for easy reference and for access from areas where connectivity is low or difficult. Please note that this site is not open to the public, but restricted to the Red Cross and Red Crescent staff and a number of selected non-governmental partners.

# Standard Operating Procedures For The Use Of Field Assessment And Coordination Teams (FACT)

# **Background and Objectives**

16. Field Assessment and Co-ordination Teams (FACT) are a part of the system put in place to improve disaster and emergency response by the International Federation of the Red Cross and Red Crescent Societies. FACT are multinational assessment and relief implementation co-ordination teams made up of trained and selected National Society and Secretariat staff chosen for their technical competence, regional knowledge and ability to quickly and professionally respond to disaster situations. The intention is to enlarge the FACT membership to include regional and sub-regional competencies. These teams, after having been alerted, are available at short notice (within 24 hours) to go to the scene of a disaster or emergency and carry out an assessment of needs in support of the National Society of the stricken country. They are also empowered to help the host National Society immediately start the required response to the disaster. The team is available for a period of up to 1 month and is totally self supporting for that period. This 1 month period of time is available for the recruitment of alternative structures to continue the support on a longer term basis for the National Society should it be required.

17. The Disaster Management and Co-ordination division of the Federation Secretariat is responsible for the co-ordination and support of FACT in all areas. This includes the alert for deployment, the selection of the size and technical capabilities of the team, the duration of the stay and continuous technical monitoring and evaluation of the deployments and related activities. The development of standards and procedures for different FACT will continue during the first 2 year period. For that purpose, the Federation Secretariat has recruited a FACT Officer for the support of FACT who will be responsible to the Operations Managers.

18. National Red Cross and Red Crescent Societies, which support the FACT process (members) will be invited on an annual basis to review the effectiveness of the FACT deployments and will be asked to assist in the development of the procedures. A FACT working group of 6 people nominated by the supporting National Societies will act as a governing body for FACT and will meet as required to discuss in order to develop further the FACT standards and the rapid response mechanisms. This will in time become supported by regional and sub-regional committees representing a wide consortium of National Societies.

# **Emergency Response Units**

19. Emergency Response Units (ERUs) have been developed as part of the Federation's strategy to improve rapid response capacity whilst ensuring National Societies' involvement in these programmes. These comprise trained groups of specialists together with their equipment, ready to operate at short notice, and capable of being deployed and operating in a self-contained manner for a maximum period of one month before being integrated into the delegation.



20. The following ERU's are currently available to take on the responsibility for the implementation of tasks assigned to them in major relief operations upon the request of the Federation Secretariat.

- Specialised Water Unit. From raw water, this mobile system can produce, store and distribute about 120,000 litres per unit per day. In contrast to the mass water unit, this system is designed to support a small hospital plus feeding centres and dispensaries with higher quality water as well as to provide basic water needs for between 15,000 to 20,000 people. Alternatively, the system is often used to bridge the gap before mass water treatment facilities can be made available;
- Mass Water and Sanitation Unit. Sanitation facilities for large populations along with essential environmental health actions within relief operations. Capacity: 40,000 beneficiaries per unit;
- Basic Health Care Unit. To provide a base for Community Health Care. The Unit will provide basic, essential curative, preventive

and community health care in emergency situations, where local medical facilities are insufficient or have been destroyed. If possible, existing health care structures should be assisted, rehabilitated and/or further developed;

- Referral Hospital Unit. To serve as a first level medical referral unit when local medical facilities are insufficient or have been destroyed. The Referral Hospital ERU must be able to function as part of a district-type autonomous medical system, with no secondary referral;
- Logistics Unit. To improve the logistics management of disaster response operations in the field. To record and report when relief consignments arrive and continue to monitor and control through the storage and dispatch process. The unit can also prepare the way for other incoming ERUs.
- Technical Support Unit. This Unit comprises a team of qualified people who assist other ERU teams by unloading equipment and supplies, erecting tents and organizing office spaces.
- *Telecommunications Unit*. On arrival, a telecommunications ERU sets up communications within a disaster area linking the Secretariat in Geneva with the Federation delegation and and connecting field offices with each other.
- 21. The decision to deploy ERUs will be taken by the Director, Disaster Management and Coordination. This decision will be made upon the recommendations of the Head of Operations concerned, or a Task Force established for the operation, as an integral part of the Federation's disaster response. These recommendations will be based upon consultations with both National Society, and delegation where one exists. The Director or Task Force shall show that they have fully taken into account the advice of the relevant technical experts.
- 22. The dispatching National Society is responsible for:
  - The professional qualifications of the members of the team;
  - Ensuring that personnel are available for despatch within the agreed time frame;
  - Ensure that the previously agreed composition of teams is respected;
  - That team members have a good working knowledge of the language agreed for their unit.



- 23. The initial team will be made available for a minimum period of four weeks, with the understanding that the deploying National Society will remain responsible for maintaining the ERU in the field for a period of four months. All expenses relating to salaries, insurance, benefits and travel to and from the country of operation will be borne by the deploying National Society for this period of time.
- 24. National Societies will provide the ERU personnel, material, spare parts and the replacement of material as their contribution to the operation.
- 25. As soon as is practicable and one month after deployment at latest, the ERU will become integrated into the delegation. At this moment in time a formal handover of responsibility should take place. This should be recorded in writing by both Team Leader and Head of Delegation and should state the terms under which the handover is taking place.
- 26. The ERUs are capable of functioning without logistical, financial or other material support from the delegation for a period of one month. Until the end of the 4th month, the deploying National Society continues to be responsible for the provision of personnel and the running costs, although the ERU will receive normal support from the Federation delegation. Until handover occurs, no local employees shall be hired by the ERU other than daily paid labour. After the end of the 4th month at latest the Federation delegation assumes responsibility for all aspects of the work of the ERU.
- 27. Members of ERUs report exclusively to the ERU Team Leader. All members have the status of delegates and shall sign the Federation Rules of Conduct. Security regulations as established by the Head of Delegation shall be applicable to ERU staff from the moment they are deployed. The Team Leader reports to the Head of Delegation.
- 28. Given the responsibility of National Societies to maintain the ERU for the first four months, Team Leaders are authorised to communicate directly with their National Society headquarters on financial, technical and administrative matters, in consultation with the Head of Delegation.

Needs Assessment, Targeting Beneficiaries

Water and Sanitation

Relief Health

Population Movements

Information Systems

Disaster Response System

# **Emergency Relief Appeals**

# **Appeal Process**

- 29. The Federation disaster response system is based on *International Relief Appeals*. The Appeal preparation process normally goes through some or all of the following stages:
  - National Society's Request to launch the Appeal;
  - Alert;
  - Preliminary Appeal;
  - Federation Appeal.
- 30. Depending on the nature of the disaster and the degree of urgency, an Appeal may be launched immediately, without an alert or preliminary appeal. However, the agreement of the Operating National Society (ONS) to launch the Appeal must always be obtained prior to it being launched.
- 31. The *request* to launch an international relief Appeal is made by the ONS to the Secretariat. If there is a Federation delegation in the country, it can assist the National Society in preparing the request to the Federation. A minimum of data must be provided to the Secretariat to allow the Appeal to be launched. The request should therefore follow the Federation Appeal format as closely as possible: the format can be used as a check-list of information to be provided. The National Society should provide additional information where available, such as survey results, Government reports, press clippings and maps. A budget estimate based on the Federation chart of accounts should also be included, indicating what the Society can itself contribute to the operation, in terms of personnel, transport, warehousing, cash or other contributions.
- 32. When the Federation becomes aware of an impending disaster through a cyclone warning or reports of unusually heavy rains, for example or learns of a situation that could develop into an emergency, such as a politically tense or potential drought situation, it may launch an *Alert*, to alert potential donors and National Societies providing personnel and material assistance. Based on the information received from the ONS or delegation, or other sources, the Alert describes the situation and makes an estimate of potential needs of vulnerable groups. The Operating National Society should be informed about an Alert. The Alert should, if possible, give an indication as to whether or not it is intended to launch an Appeal.
- 33. A *Preliminary Appeal* is launched by the Federation Secretariat at the request or with the agreement of the National Society concerned, as soon as possible after the disaster occurs. It is usually issued in circumstances where it is judged best not to delay the mobilisation of international assistance with a professional needs assessment or preparation of a detailed plan of action and budget.

### The Federation Appeal

- 34. The Federation Secretariat launches an Appeal *only* at the request, or with the agreement of the National Society of the affected country. The appeal text is drafted by the Secretariat, based on the information received from the Operating National Society and delegation as appropriate. Appeals are sent to potential donor National Societies for action, and to diplomatic missions, UN agencies, NGOs and other interested bodies for information and coordination purposes.
- 35. A number of Governments (via respective National Societies) often require that the Government of the disaster affected country launches an international appeal, in order to respond to a Federation appeal. At times though the Federation may exceptionally launch an appeal without such a background. This requires an excellent data and information input as well as follow up but shall be done if it is decided that the situation so requires. It should also be noted that by taking the lead in launching the appeal the Federation can mobilise the required assistance more rapidly and efficiently.
- 36. A National Society requesting the Federation to launch an international relief Appeal may wish to organise a local or national appeal to raise funds from among its own population. When soliciting aid through diplomatic channels or from other international sources, the National Societies should always ensure that such requests are in line with the Federation Appeal, and that the above-mentioned sources are properly informed about it.

# The Federation Appeal Format

In the event of a sudden disaster, the initial drafting of an Appeal by Federation delegates in the field in co-operation with the National Society may have to be made before all of the information requested below is available, The right balance between urgency and comprehensiveness will differ, but the intention should always be to provide as many of the following details as possible.

### Appeal Title

The title of the Appeal should indicate the country and the type of disaster, for instance: Central African Republic: Sudanese Refugees,

### Appeal Date

The date when the report was compiled and sent to Geneva,

### 1. THE DISASTER

- 1.1 What has happened? What is the type or nature of the disaster? (Wind Strength/Richter Scale, etc.)
- 1.2 Where has the disaster occurred? Be as precise as possible in describing the area affected and measuring its geographical scope. Is the area inaccessible, densely populated, economically poor, mainly agricultural or urban, jungle, wetland, arid, mountainous?
- 1.3 When did the disaster occur? How long did it last? Is it still going on? When is it likely/predicted to stop?
- 1.4 Who has been affected by the disaster? How many people? What kinds of people (old, children, urban/rural, ethnic or other identifying factors where pertinent)? How many have been killed and injured? For population movements, how many more people are expected to move?
- 1.5 Why were these victims affected? Most often due to geographical proximity, obviously, but were there any other reasons?
- 1.6 What other political, social and economic factors are likely to affect the relief operation? What other geographical, social, ethnic considerations should be or have been considered in drawing up the relief plans and in their forthcoming implementation?

### 2. THE RESPONSE SO FAR

- 2.1 Government action, What has been the government's response to the disaster? Describe a) its publicly announced reaction, statements and plans; b) its concrete actions so far, Who is being used by the government: local authorities, police and the emergency services, civil defence forces, the army?
- 2.2 Red Cross/Red Crescent action: a) National Society b) Federation c/ ICRC
- 2.3 Other agencies' action: a) UN agencies b) Local and International NGOs
- 2.4 Coordination, Has a special co-ordination body been set up? If so, describe its members, frequency of meeting, effectiveness so far, etc, If not, is one planned? Highlight any problems or factors affecting the ability of the local authorities and humanitarian agencies to co-ordinate their response to the disaster effectively and efficiently.

#### 3. THE NEEDS TO BE MET

- 3.1 Needs assessment, Has a detailed assessment of the needs of all victims been carried out? By whom? If not, when is such a study likely to be undertaken? Has the National Society/Federation carried out its own assessment? Why were these victims and needs selected? Which needs will be covered by UN agencies, humanitarian agencies and NGOs (not including the National Society/Federation)?
- 3.2 Immediate needs, What needs have the National Society/Federation identified, or been granted responsibility for meeting? How quickly must these needs be met? What are the most urgent requirements?
- 3.3 Anticipated later needs, Evaluate later needs after the initial emergency phase, When will this consolidation phase begin? How long is it likely to last?

# 4. RED CROSS OBJECTIVES

- 4.1 Operational objectives, List clear, detailed, realistic operational objectives in order of priority,
- 4.2 Phases of the operation, Identify different phases of the operation, their likely timeframe and the varying objectives for each phase:

What are the expected project benefits? Why are these objectives selected?

Why is the proposed solution appropriate?

What alternatives were considered but rejected, and why?

Are there any specific objectives related to the operational or institutional development of the Operating National Society that could be set because of ONS involvement in the relief operations?

#### 5. NATIONAL SOCIETY/FEDERATION PLAN OF ACTION

- 5.1 Phase One/Emergency Phase, Indicate proposed starting date and proposed finishing date, What is to be done? (Specify type of assistance, target beneficiary types and numbers), How is it to be done? (Specify ports/airports of entry; logistical details; personnel required) who is to do it? (Outline division of responsibility between the NS and the Federation, including who has responsibility for coordinating the operations) When is it to be completed? For internal management purposes only: who is responsible for reporting? how often will reporting take place?
- 5.2 Phase Two, Indicate proposed starting date and proposed finishing date, What is to be done? How is it to be done? Who is to do it? When is it to be completed? For internal management purposes only: who is responsible for reporting? how often will reporting take place?

Repeat for as many phases as planned,..

- 5.3 Capacity of the National Society, What is the administrative, managerial and operational strength and expertise of the NS headquarters' staff and of the staff and volunteers in the branches near the disaster? What resources of the National Society can be utilised? Has a local appeal been launched? What is the availability of trained and untrained volunteers?
- 5.4 Present Capacity of the Federation in the country, What are the immediate personnel, logistical and equipment needs of the delegation to be operationally effective? What will those needs be in later phases of the operation?
- 5.5 Evaluation, How will an evaluation of the programmes be carried out? Who will conduct the evaluation? When will it be undertaken?

#### 6. IMMEDIATE ACTION

- 6.1 Operating National Society/Federation delegation, What will be the priority action of the NS/Federation delegation between now and the next report?
- 6.2 Federation Secretariat, Clearly specify immediate action/needs/support required from Geneva,
- 6.3 National Societies and other donors, Clearly specify what is expected from donors in kind, services and cash (how much),

#### **ANNEXES**

A. BUDGET SUMMARY. The budget summary will be prepared by the Secretariat, but in order to do that a detailed budget is needed, Use the following table as a model and give sufficient details so that potential donors understand exactly what is needed. As much as possible use the Federation Logistics Service's standard list of items (units/prices) in the calculations.

Budgets should be prepared using Secretariat standard budgeting format, following the Federation's chart of accounts:

- Supplies;
- · Capital Expenditure;
- · Transport and Storage;
- Personnel Expenses;
- Travel and Related Expenses:
- Information Expenses;
- Administrative Expenses (including audit and evaluation);
- · Communications,

Fotal Appeal amount in cash and kind ,
ess cash on hand ,
Net request cash and kind

All major budget items should be explained, Relief supplies should be listed item-by-item, clearly indicating what can be purchased locally/within the region, and what is requested in kind, The Appeal budget is presented in Swiss francs (CHF) but drafts can be presented in any currency, However, indicate the exchange rate with CHF.

- B. MAP. If possible draw a draft map of the region showing where the disaster occurred, where RC branches/delegations are located, flows of population, geographical factors that will affect the operations etc, Maps boost a reader's opportunity to picture, and therefore empathise with the disaster situation.
- C. DELEGATION ORGANIGRAM. If possible draw an organigram of the lines of authority and areas of responsibility of the proposed Federation delegation,
- D. SUPPORTING PAPERS. Include any relevant supporting papers, such as nutritional assessments, geological surveys, press clippings, etc, (these may be too bulky to attach to the appeal, but we could tell donors that they are available).
- E. DISTRIBUTION LIST. A note or Annex will be attached by the Secretariat to the final appeal showing to whom the Appeal has been directly sent,

Planning Operations

Reporting

**United Nations Agencies** 

Development Programme Funding

Needs Assessment, Targeting Beneficiaries

Disaster Response System

Cooperation Methods

Guidelines for Project Delegation

Responsibilities and Agreements in Relief Operations

**Funding of Operations** 

Principles and Rules for Disaster Relief

# **Cooperation Methods**

- 37. One of the Secretariat's highest priorities is to find new ways and means of effectively mobilising the resources of its member National Societies, in particular by using the specialised capacities of National Societies in international co-operation.
- 38. In order to work as a Federation and to maximise the Federation's resources and capacity, the Secretariat is looking for flexible methods of implementing its operations beyond the first emergency response phase.
- 39. For example, within the overall framework of an operation planned and managed by the Secretariat and a Federation delegation, it is not only possible but desirable to delegate responsibility for certain specific functions or projects to a National Society. This will give the National Societies a clear role, responsibilities and opportunities to use their capacities and to achieve greater visibility in their own countries. The Secretariat may also request National Societies to carry out specific functions, such as purchasing, transport of relief goods, training of delegates for specific assignments (in addition to Basic Training Courses) depending on capacities and interest of the National Societies concerned.
- 40. The decision on which components of a particular programme should be delegated and to whom rests with the Secretariat. The Head of the Regional Department in collaboration with Operations Manager is responsible for decisions on delegation of project implementation.
- 41. Delegates in the field should at all times assist the Operations Manager in DMC and / or Desk Officers in Programmes Coordination in identifying components of the overall operation or additional needs that could be covered through project delegation. However, delegations should not engage in direct negotiations with Participating National Societies, unless specifically instructed to do so.
- 42. The concept of project delegation is not limited to relief operations. It is being developed for long-term programme implementation as well.

National Society Operational Roles

Strategy 2010

Federation Policies

The Participating National Society

Emergency Relief Appeals

**Guidelines for Project Delegation** 

Responsibilities and Agreements in Relief Operations

Principles and Rules for Disaster Relief

### Introduction

### Definition

- (1) **Project delegation** refers to the situation where a National Society takes the lead responsibility for the implementation of a project or regional/sectoral programme which forms part of an overall Federation operation and undertakes to secure funding for this project.
- (2) These Guidelines are to be considered as general conditions for project delegation. For each delegated project/programme the contract should be threefold:
  - The General Guidelines for Project Delegation (present document), providing the general basis for project delegation;
  - The agreement/contract itself, comprising specific conditions (management structures, personnel, reporting requirements etc.);
  - The detailed project/programme description.

### Aim of the Project Delegation

(3) The general aim of project delegation is to put into practice the theme of working as a Federation by maximising the use of resources available from Participating National Societies to ensure the most effective assistance to the greatest number of people. Project delegation is seen as a means of doing this by giving to a Participating Society specific responsibility for the management of a part of an operation, thus using its capacities and enabling it to achieve greater visibility and resources.

### The Nature of Federation Operations and the Possibilities for Project Delegation

- (4) Federation operations are by definition a co-operative effort between the National Societies which make up the Federation and the Secretariat which represents them.
- (5) Effectiveness in Federation operations depends primarily on good overall needs assessment, operational planning, operational management and reporting, as well as National Society resources in cash, kind and services. Planning and management, which are the core element of operations must be set as a priority if responsibilities within an operation are to be effectively delegated.
- (6) Within the overall concept of project delegation, three broad models can be identified:
  - a) a Participating National Society (PNS) takes responsibility for a *service project* within the overall operation of the Federation (for example, management of a group of health centres);
  - b) a PNS takes responsibility for a *specific function* within the overall operation of the Federation (for example, the telecommunications sector, the transport sector);
  - c) a PNS takes responsibility for implementation of all or several aspects of the Federation operation *within a given region*. This may include the purchase and delivery to the affected country of certain supplies needed within the operation, drawing on resources obtained directly from a donor or transferred to it by the Secretariat. (This is only applicable if the ONS agrees on the planned regional approach and the PNS agrees on a minimum of common standards of service).

# **Operation Guidelines**

#### General

- (7) At the policy level the Federation Secretariat, directly or through its Heads of Delegation, shall retain the ultimate responsibility, in consultation with the Operating Society, for all decision-making and representation concerning the overall operation of which the project is a part.
- (8) The objectives, terms and conditions of implementation of a delegated project shall be established within the framework for existing Federation policies, including the Principles and Rules for Red Cross and Red Crescent Disaster Relief, and the overall objectives of the specific operation. Proposals to delegate responsibility shall be discussed and agreed beforehand between ONS, Federation Secretariat or delegation, and PNS. On each case where project delegation is applied a specific project description shall be prepared as well as an agreement between the Federation Secretariat and the PNS, defining responsibilities and specific aspects of administration and management structures.

### Personnel

- (9) The person responsible for the project at field level from a Participating Society shall be nominated by the PNS, following agreement with the ONS (whenever feasible) and the Federation Secretariat that he/she has the necessary skills and experience and qualifications. He/she shall report directly to the Head of Federation delegation, or the person nominated by him/her. With PNS agreement, he/she may be entrusted with responsibilities beyond the management of the delegated project. With the agreement of the Federation Secretariat and the PNS, he/she may be nominated as a member of the Federation delegation.
- (10) The Federation Secretariat/delegation, the ONS and the PNS shall agree on the number and functions of other PNS personnel to be involved in the project. The PNS shall be responsible for their recruitment, salaries, travel, insurance. Responsibility for arrangements and financing of per diem and housing shall be decided for each specific project.

- (11) All personnel recruited by PNS shall sign the Federation Rules of Conduct.
- (12) Mission instructions the personnel receives will include special regulations concerning reporting procedures.
- (13) In case of a breach of the Rules of Conduct or serious failure in performance by one of the PNS delegates, the Head of the Federation delegation may, following appropriate consultation with the PNS project leader and/or with the PNS headquarters, decide on the termination of the mission of that PNS delegate. In such cases the practical arrangements for the termination of the mission will be made by the PNS.
- (14) When considering the hiring of local staff for project, the PNS Project leader shall always consult with the Head of Delegation and the ONS on the need, desirability and terms and conditions to be offered and shall harmonise these with those offered by the ONS/Federation.
- (15) The Federation shall organise, either at the Secretariat or in a delegation, briefing and, if required, training sessions for National Society staff members before each departure on mission, and debriefing sessions on each return from mission.

### Security

(16) The Head of the Federation delegation shall be responsible for the establishment of security procedures for all expatriate personnel involved in the operation. He/she shall draw on advice/experience of Operating and Participating Society personnel in doing this, but is solely authorised to make decisions with regard to security matters for all expatriate personnel involved in the operation.

### **Emblem**

- (17) The PNS (its staff, premises, means of transport and its written and visual communications) shall at all times display the logo of the Federation as an indicative device. The Federation logo may be displayed together with the emblem and the name of the PNS equally used as an indicative device.
- (18) The modalities for such use by the PNS of its name and emblem shall be determined on an ad hoc basis by the PNS and the Federation Secretariat.

### Project Management, Finance and Reporting

- (19) The Federation Head of Delegation shall provide administrative, management and logistic support to the PNS project. Specific provisions for this shall be agreed for each project, including for reporting requirements.
- (20) The PNS project leader shall at all times keep the Head of the Federation delegation informed on progress of the project and shall participate in Federation delegation management meetings and processes.
- (21) The PNS shall normally be responsible for the full funding of the budget of the project delegated to it for the full period of the project. In addition, the PNS shall contribute to the overall costs of the ONS operation supported by the Federation. As a minimum, services supplied by the ONS or the core Federation delegation shall be covered.
- (22) Depending on the nature of the overall operation and the project, one of two models may be adopted with regard to accounting and reporting:
- a) The PNS establishes its own account for project management and banking for the specific project, deals with all accounts and reports including audit. In this case copies of these reports in one of the official working languages of the Federation shall be provided to the Head of the Federation delegation.
- b) The PNS transfers funds to the Federation Secretariat which then feeds the PNS project through its in-country delegation account. In this case the PNS project leader is responsible for reporting to the Federation Head of Delegation and the Federation delegation/Secretariat is responsible for reporting to the PNS.
- (23) The PNS shall be responsible for reporting to its institutional donors.
- (24) In addition to the above, general reporting on progress of the delegated project shall also be made by the Federation within the context of its general reporting to donors. Expenses incurred by the PNS in the execution of the project, within its agreed budget shall be included as contributions to the overall Federation operation in this reporting.
- (25) The PNS shall not sign any agreements outside the scope of the delegated project with third parties locally without consulting with the Federation Head of Delegation/ONS.

### Media

- (26) The Federation together with the Operating National Society, has the overall responsibility for media relations with regard to all aspects of the operation.
- (27) Whilst the importance of the need for specific media coverage of the PNS project shall be recognised, specific arrangements with regard to this will be agreed upon between the PNS project leader and the Head of the Federation delegation.

### Changing Circumstances / Project Closure

(28) In case of an outbreak of conflict in the country of operation affecting the delegated project, the Federation, together with the Operating and Participating Society, shall discuss with the ICRC arrangements in line with the Seville Agreement for the continuation, change or termination of the project.

#### Evaluation/Audit

(29) Projects delegated or sub-contracted may be audited and/or evaluated either separately or as a part of an overall evaluation of the Federation operation. In the latter case, the Federation Secretariat is responsible for consultation on, and the establishment of terms of reference for the audit or evaluation and for its organisation.

The Emblems

Strategy 2010

**Federation Policies** 

Responsibilities and Reporting Lines

Reporting

The Operating National Society

The Participating National Society

Field Personnel: Rules and Regulations

Delegation-Contracted Staff

Managing Projects

Emergency Relief Appeals

Responsibilities and Agreements in Relief Operations

Funding of Operations

Principles and Rules for Disaster Relief

Code of Conduct for Disaster Relief

Cooperation Methods

# Responsibilities and Agreements in Relief Operations

### Responsibilities in Relief Operations

- 43. The *general* responsibilities of both the Federation and National Societies in relief operations are defined by the Principles and Rules for Red Cross and Red Crescent Disaster Relief, the agreement between the Federation and the ICRC, and the Federation's Constitution. As a general rule, *specific* responsibilities of all the parties involved in a particular operation should always be made clear in a written agreement.
- 44. One of the strengths of the Red Cross and Red Crescent Movement is its network of nearly 180 National Societies. However, for a number of reasons, the capacity of each Society to fulfil its humanitarian mandate varies from one country to another. The lack of resources needed for relief operations is often offset by donations from the international community channelled through the Federation.
- 45. Implementation of an operation is the sole responsibility of the National Society. The Federation's functions are limited to those outlined in the Principles and Rules for Red Cross and Red Crescent Disaster Relief, and those agreed upon in an operation-specific agreement, signed between the National Society of the disaster-affected country and the Federation Secretariat.
- 46. Upon request or consent of the Operating National Society, the Federation through its internationally-launched Appeal can mobilise the necessary resources to implement the actions agreed upon. The funds raised may then be either transferred to the Operating National Society directly or through the delegation.
- 47. When the funds are transferred directly to the National Society it is obliged to account for, report on and audit the use of those donations in accordance with the Principles and Rules for Red Cross and Red Crescent Disaster Relief. If a Federation delegation is

present in the disaster-affected country, funds and other resources will be transferred to the delegation, which is then responsible to ensure the use of the resources as per agreement between the National Society and the Federation Secretariat.

- 48. The Federation remains ultimately accountable to the donor community for the use of the contributions in cash, kind and services received through the Federation, even when the programme is fully implemented by the National Society.
- 49. According to the Principles and Rules for Red Cross and Red Crescent Disaster Relief, the Federation, at the request of the Operating National Society and with its cooperation, may assume the local direction and implementation of a relief operation "when the administrative organisation of the Society in the stricken country does not enable it to meet the situation" (Article 19).
- 50. The decision to implement an operation directly by the Federation is taken by the Secretariat at the request of, or in consultation with, the National Society. The advice of the Federation delegates (if present) will, however, be needed in order to identify the infrastructure required for implementation.
- 51. In this case, full accountability for the operation is the Federation's responsibility including all internal authorisation procedures, financial accounting and personnel management etc.
- 52. Though *joint operations* of the Federation and National Societies are not defined in any standard regulations, in practice this type of operation is quite common. In order to avoid situations of unclear responsibilities and conflicting interpretations of roles, the roles and responsibilities of the Federation and a National Society in joint operations *must* be specified in a separate agreement or, if necessary, a number of agreements.

# **Agreements in Relief Operations**

- 53. The relief operations involving the Federation and National Societies are complex. It is, therefore, imperative to define the roles and responsibilities of the partners for an operation in a separate written agreement between the Federation Secretariat and the National Society.
- 54. The term agreement should be understood in a broad sense; the document itself may be called Memorandum of Understanding, Letter of Understanding, or Contract as long as it defines responsibilities and is legally binding for the Federation and the National Society. The general agreement may be supplemented by project descriptions or addendum, defining in detail responsibilities for certain parts of the programme.
- 55. Though this might be difficult in an emergency relief situation, an agreement should always be established as soon as it becomes clear that the operation will develop into a longer-term programme. As a general rule, rehabilitation programmes/projects, especially concerning construction, should *not* be started without an approved and signed agreement.
- 56. The provisions of the existing rules of the International Red Cross and Red Crescent Movement must form an integral part of any agreement. To avoid misunderstanding this should be clearly mentioned in the text of the agreement. In any case, no agreement may contain provisions contradicting those of the Principles and Rules for Red Cross and Red Crescent Disaster Relief and/or Development Cooperation.
- 57. All agreements must be reviewed by the Secretariat prior to signature. They must be signed by the Secretary General of the Federation or a person authorised by him/her.

# Agreement Format

If no standard formats are available, the following points should be covered in any agreement, If necessary, other aspects should be added in particular circumstances.

- Statement (usually in the introduction), that the relief operation or programme is governed by the Statutes of the International Red Cross and Red Crescent Movement, the Constitution of the International Federation of Red Cross and Red Crescent Societies and Principles and Rules for Red Cross and Red Crescent Disaster Relief, and that the parties fully acknowledge their respective roles and responsibilities as laid down by the above documents;
- Responsibilities of the National Society in the implementation of the operation;
- Responsibilities of the Federation in the implementation of the operation;
- Federation's role in mobilising the necessary resources and the limitations of its responsibilities;
- Description of the decision making and the approval process for operation / programme plan and budget, Responsibility for planning and monitoring of the operation/programme;
- If necessary, specific conditions for transfers of funds and other resources from the Federation to the National Society;
- Detailed requirements for reporting on operational and financial matters (formats, frequency, etc,) from the National Society to the Federation (and vice-versa if applicable);
- Frequency and procedure of audits by the auditors appointed by the Federation;
- Operation/programme evaluation process;
- Status and roles of the Federation delegates, their reporting lines and responsibilities in relation to the Operating National Society;
- The National Society's obligation to arrange with the local authorities for all permits, authorisations, etc, necessary for the operation, the Federation delegation and the Federation delegates;
- Legal ownership of fixed assets, stocks etc, brought into the country for the operation. The property held by the delegation and assets brought into the country remain with the Federation, unless and until a different procedure is agreed upon and documented in writing. Any such arrangements must be planned and approved by the Secretariat;
- Procedures for disposal of fixed assets, stock etc, brought into the country of operation;

• Lifetime of the agreement and modalities for its termination or extension.

Federation Delegations

Fixed Assets

The Seville Agreement

Legal Relationships

**Development Cooperation Policy** 

Managing Projects

**Development within Relief** 

Disaster Response System

Emergency Relief Appeals

Cooperation Methods

Guidelines for Project Delegation

Principles and Rules for Disaster Relief

Supply Management

# **Funding of Operations**

- 58. All Federation operations as well as those financed by the Federation but implemented by a National Society, are financed by *voluntary* donations/contributions. These donations or contributions are generally solicited through an Appeal, launched by the Secretariat at the request, or with the consent, of the Operating National Society. Spontaneous donations may, in certain cases, be allocated to operations.
- 59. For immediate disaster relief assistance in emergency situations, the Secretary General of the Federation can allocate a contribution from the Disaster Relief Emergency Fund; wherever this is the case the regulations of the Fund have to be followed.
- 60. All Federation staff contribute to its fund-raising efforts by representing the Federation and providing information on its activities. The main responsibility for funding the Federation operations is with the Federation Secretariat. The desk officers, the Heads of Regional Departments and the Directors are in contact with donor National Societies, the European Union (through the Liaison Office in Brussels) and other institutions and donors to ensure the required funding.
- 61. The Heads of Delegation shall in their respective countries approach the embassies of potential donor countries and the local representatives of major donors (ECHO, USAID, WFP etc.) and present the Federation appeal or project proposal to them. In doing this it is important to make it clear to the embassy personnel that this field approach is *complementary* to the official Federation Secretariat approach to the National Societies and through them to governments. In all cases the Head of Delegation should keep the Secretariat well informed about progress of discussions.
- 62. Some embassies and donor organisations (especially governmental development agencies) may have funds that they can directly donate to local organisations. National Societies should use this additional source of financial resources. Wherever the National Society applies for such funds the Head of Delegation should support it, facilitating the contacts with the embassies and other organisations.
- 63. In some operations Participating National Societies may seek assistance from delegations to identify projects or needs which do not match the Federation's priorities for the operation and are outside the scope of the Federation Appeal. In general, delegations should not engage in seeking funds for projects and programmes *outside* the Federation Appeal, unless specifically requested and authorised by the Secretariat to do so. However, the Head of Delegation may refer such offers to the Operating National Society and, if it is interested, may facilitate an arrangement between the Participating and Operating National Societies without liabilities and reporting requirements for the Federation, but with its support and coordination offered
- 64. All delegates *must* ensure that any discussions in the field with regard to funding involve the Head of Delegation. The Head of Delegation must inform the respective Regional Department about any funding initiatives on the part of Participating National Societies, UN agencies, Governments, NGOs etc. known to the delegation.
- 65. Locally received contributions should be accounted for as income in the Federation delegation's monthly accounts, when donated to the Federation, and by the National Society in the project accounts, when donated directly to the National Society.

- 66. The Secretariat should inform the delegation regularly on the funding situation of the operations and projects. The delegation and the National Society should immediately inform the Federation Secretariat on all local contributions/donations. The Regional Departments and the delegation must ensure that the Relationship Management Department (RM) and the Technical Departments of the Secretariat are fully informed on contributions in cash, services and kind in order to guarantee correct statistical and financial records and updates.
- 67. A number of initially planned purchases of commodities or equipment can be replaced in the course of an operation by donations in kind. Possibilities of this kind should be explored both by the Secretariat and the delegation; they must keep each other well informed in order to avoid duplication and misrepresentations.

# The Pledge Management System

- 68. The Pledge Management System has been designed to improve the management of contributions in cash, kind and services through a better definition of contractual responsibilities of the donor, secretariat, delegation and operating national society. It clarifies programme objectives, payment schedules and reporting requirements.
- 69. As from January 1st 1999 it became compulsory for regional departments to accompany all pledges with a Pledge Management Note.
- 70. This document lays out the basic responsibilities and procedures regarding Pledge Management Notes.

### 1. Origin of the pledge

Pledge management notes can originate from 3 different sources:

1.a Donor completes the PMN (most current situation)

Pledge management notes are filled out by donors, as soon as they intend to pledge for funds. The signed PMN are sent by the Donor to the Operational Departments concerned in Geneva which analyses the information. At this stage the PMN is a negotiating tool which can be changed according to the needs of the 2 parties involved. Almost any element of the PMN can be negotiated, it includes the payment schedule (dates and amounts) and the operating time frame in relation to the payment schedule. In case of earmarking, feasability should be assessed in regard to other donations. If a donation requires pre-financing, precise budget analysis should be performed to see whether the donation is sustainable financially.

When the Desk Officer is in agreement with the Donor's proposal, he/she signs the PMN. The document is sent to the Operations Funding and Reporting Department (OFR) which enters data in FABS (Financial, Appeals and Budget System) in co-operation with Operations Finance (who validate the coding). A copy of the PMN is sent to the Delegation. It is optional for the Delegation to share the PMN with the ONS.

Programme support recovery is automatically charged on this contribution according to the Programme Support guidelines of 12-01-2000.

1.b Desk Officer completes the PMN

When a donor announces a pledge to a desk officer without filling out a PMN, the responsibility of completing Pledge Management Notes lies with the Desk Officer. Once the PMN is completed, it should be sent to the Donor for signature. When fully completed and signed, OFR records the PMN in the system. Copy of the PMN is sent to the Delegation.

To avoid delays, provisional booking of a pledge can be made when the donor announces the pledge on another document than the PMN (e.g. a fax) and the Desk officer has signed the PMN. Obtaining the signature of the Donor on the PMN will be the next step (as described above).

1.c The Delegation completes the PMN

When a pledge is directly received in the field, it is the Delegation's responsibility to fill out the PMN and send it to the Desk Officer. From this point, the procedure will be identical to the one described in 1.b.

### 2. Donor's signature

The PMN is an agreement between 2 parties, the Donor and the Federation Secretariat, therefore the signature is a crucial element of the PMN, if not signed by the Donor, the value of the document is nil. There are however three cases where the donor signature is not necessarily needed on the PMN:

- 1) when there is a signed contract, e.g. with ECHO,
- 2) when a donation is made directly to a Delegation through an Embassy without specific donor requirements,
- 3) when a donor does not pledge through a Red Cross/Red Crescent Society (e.g. PRM).

Level of authorisation to sign a PMN on the behalf of the Federation:

a) Standard spending and reporting conditions:

The desk officer signs the PMN up to CHF 500'000.

The Head of a Regional Department signs pledges for amounts exceeding CHF 500 000.

#### b) Specific Donor requirements:

When the Donor wishes specific earmarking, spending conditions or reporting requirements which exceed Federation standards, the signature of the Director of Regional Department is needed above CHF 50'000 (equivalent to the level of authorisation for expenditure).

### 3. The Pledge reference number

When the information concerning a pledge is entered, the system allocates a unique pledge reference number for that pledge. When the input is completed, a copy of the pledge management note with the unique reference number is returned to the Operational Department. It is the responsibility of the Operational Department to communicate the reference number together with the signed PMN to the Donor, as soon as possible. A standard fax has been designed by RM for this purpose (see description below and attachment). The pledge reference number should be indicated in all correspondence and most importantly on the bank transfer. A copy of the signed pledge management notes has to be sent to the Delegation. This is the responsibility of the Regional department.

### 4. Contributions based on invoices issued by the Federation

When invoices are issued to donors, in order to receive contributions, (e.g. to cover the actual cost of a Delegate), these invoices will be entered into FABS and linked to the contribution upon receipt.

### 5. Exchange Rates/CHF Values

The value of a contribution is the CHF equivalent of the contribution received at the time of the transfer. It is important to note that reporting should be done upon the actual contribution value, i.e. CHF equivalent. Delegations will receive this information directly from the Financial Monitoring Report available in the field via the Extranet. Where the exchange rate difference between the estimated pledge value and actual value affects the agreed budget or plan of action, the Secretariat should agree with the donor on the use of the surplus or on how to make up for the deficit.

#### 6. Reallocations

A donor pledge/contribution may not be reallocated to another project code without an agreement by the donor - except for unearmarked pledges that are booked under general appeal codes and are afterwards reallocated to specific project codes. All reallocations must be noted on the FABS Pledge record. Operations Accounting must validate coding of any reallocations.

### 7. Revisions

Any revision to a PMN (e.g. project period, reporting dates, reallocations, budget revisions etc.) must be agreed by both parties and presented to RM to revise the original pledge record. The original information will also be retained.

# 8. Data and reports available

The Financial Monitoring Report (FMR) which is directly accessible in field Delegations is directly linked to FABS and CODA. Information concerning pledges and contributions are updated daily and will soon be updated in "real time". Additional reports which are now available on FABS will soon be developed on the FMR such as the "Operations Pledge Reports" which gives full pledge history, as well as the "Reports Due" or the "Payments Due" reports. These are additional management tools which are meant to help Delegates and field staff.

The Pledge Management System is designed to define responsibilities and to improve transparency between funding and receiving parties. It cannot solve all problems - these require a close partnership between the secretariat and the donor.

These preliminary procedures will develop as we gain experience of this new system. Your comments are welcomed by RM dept (Pledge Development Senior Officer).

	International Federation of Red Cross and Red Crescent Societies											
		Pledg	ge Managem	ent Notes (PMN)								
Do	nor to complete											
	Country of Opera	ition										
1	Donor			Funding Sc	ource							
2	Pledge Amount	Local		CHF								
	1	, ,		1	'							

Date of announcer	nent			Opera Timefi	ting ame	from		to	
Appeal type	EA n	•		Relief			Devel	opment	
Programme/projec	t title			I			1		1
Earmarked funds		No		Yes		Specify			
			Standard Federa Reporting			Other (specify)			
Payment schedule	date		amount			currency		CHF	
I	date		amount			currency		CHF	
Payment via	J	Secreta	ariat		Other	(specify)		l	
Contacts	PNS			Secre	ariat		Deleg	ation	
	J.	I		ı		J	J	I	
Item(s)				local			CHF		
Date of arrival	Due			Receiv	/ed				
Comments									
Project Code	Project Code			Activity Code			Donor Code		
I	J	Name			Signa	ture	1	Date	
or									
eration Secretariat									
	Appeal type Programme/project Earmarked funds Requested reportir Payment schedule Payment via Contacts  Item(s)  Date of arrival  Comments  Project Code	Programme/project title  Earmarked funds  Requested reporting  Payment schedule date  date  Payment via  Contacts  PNS  Item(s)  Date of arrival  Due  Comments	Appeal type	Appeal type	Appeal type	Appeal type	Appeal type	Appeal type	Appeal type

Federation Delegations

Federation Finances

**Auditing** 

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Guidelines for Project Delegation

Principles and Rules for Disaster Relief

Code of Conduct for Disaster Relief

# Principles and Rules for Red Cross and Red Crescent Disaster Relief

The Principles and Rules for Red Cross and Red Crescent Disaster Relief, first approved by the XXIst International Conference of the Red Cross (Istanbul, 1969) and with the subsequent revisions and additions, govern all Red Cross and Red Crescent relief operations.

The obligations and requirements spelled out in this document are binding for the Federation and the National Societies. As they have been adopted by the International Conference at which governments participate and vote, they can be of great value in negotiations with

governments on, for example, the Red Cross and Red Crescent right to maintain its own reception and distribution channels.

The latest revised version of the Principles and Rules, endorsed by the XXVI International Conference (Geneva, 1995) reads as follows:

# **Basic Principles**

### 1. Field of application

- 1.1. The present Principles and Rules apply to disasters resulting from natural or other calamities.
- 1.2. Every disaster relief operation carried out in a country where there is war, civil war, or internal disturbances, shall be regulated by the provisions of the Agreement of 1989 between the ICRC and the Federation, or by any subsequent such agreement.
- 1.3. However, Articles 24 to 29 of the present Principles and Rules shall also apply to situations described under paragraph 1.2.

### 2. The duty to assist

- 2.1. The Red Cross and Red Crescent in its endeavour to prevent and alleviate human suffering, considers it a fundamental right of all people to both offer and receive humanitarian assistance. Hence it has a fundamental duty to provide relief to all disaster victims and assistance to those most vulnerable to future disasters.
- 2.2. We recognise that in helping disaster victims to survive, relief programmes must also look to the future and ensure that people are not left more vulnerable to the future disasters. Where ever possible, relief programmes should attempt to build upon the capacities of those being assisted, involve them in the management and implementation of the programme and act with a sense of accountability towards the beneficiaries.

### 3. Role of the Red Cross and Red Crescent

3.1. Prevention of disasters, assistance to victims and econstruction are first and foremost the responsibility of the public authorities. The International Federation of Red Cross and Red Crescent Societies (hereinafter referred to as a Federation<sup>[1]</sup>) will actively offer assistance to disaster victims through the agency of the National Society in a spirit of cooperation with the public authorities. In principle, Red Cross and Red Crescent help is of a complementary and auxiliary nature and is given primarily in the emergency and reconstruction phase. However, if circumstances require and provided the Red Cross and Red Crescent is assured of the necessary resources and means, it may undertake longer-term disaster assistance programmes. Such programmes should be designed to reduce vulnerability to disasters, and prepare for future possible disasters.

# 4. Coordination

- 4.1. Considering that assistance to disaster victims requires coordination at both national and international levels, the Red Cross and Red Crescent, whilst remaining true to its Principles, should, in the implementation of its programme, endeavour to take into account the help given by other national and international organisations.
- 4.2. Considering the Federation's position as one of the leading disaster response agencies, the National Society should offer its service to their disaster affected government to assist with the coordination of NGO disaster relief. The Federation should support such endeavours.

### 5. Role of the Federation

- 5.1. The Federation acts as the information centre for its member Societies regarding situations caused by disaster and coordinates, at the international level, the assistance provided by National Societies and the Federation or channelled through them.
- 5.2. The Federation should also support National Societies in their contacts with their governments with a view to establishing and developing their position and role in disaster preparedness and response.

# 6. Preparedness and mutual aid

- 6.1. It is the duty of National Societies to prepare themselves to give assistance in the event of a disaster.
- 6.2. In view of the solidarity binding them together they shall help one another when faced with a situation exceeding the resources of any one Society.
- 6.3. In assisting each other in this way, while respecting the independence of each other and the sovereignty of the stricken country, National Societies contribute to the strengthening of friendship and peace among peoples.

### 7. Ways and means of assistance

- 7.1. Red Cross and Red Crescent assistance to victims is given without any distinction as to sex, nationality, race, religion, social condition or political opinion. It is made available solely on the basis of the relative importance and urgency of individual needs.
- 7.2. Red Cross and Red Crescent relief is administered with economy, efficiency and effectiveness. Its utilisation is the subject of reports, including audited accounts of income and expenditure, reflecting a true and fair view of the operation.

# **Disaster Preparedness**

#### 8. National relief plan

- 8.1. In order to cope with the effects of disaster, each country should have a national plan outlining an effective organisation of relief. If such a plan does not exist, the National Society should instigate its establishment.
- 8.2. The national plan shall assign to all sections of the community public services, Red Cross and Red Crescent, voluntary agencies, social welfare organisations and qualified persons precise tasks in the fields of disaster prevention, relief and reconstruction.
- 8.3. To ensure rapid mobilisation as well as complete and effective use of material and personnel resources, the national plan should envisage coordination through the establishment of a centralised managing body. Such a body should be able to provide authoritative information on the effects of a disaster, its evolution and the needs.

#### 9. Preparedness of the National Society

- 9.1. The extent of the Red Cross and Red Crescent relief programme depends on the magnitude of the disaster, the needs already covered by others and the responsibilities delegated to the National Society by its government or by the national relief plan.
- 9.2. Each National Society must prepare itself to assume the responsibility devolving on it in the case of disaster. It must establish its own plan of action, adapt its organisation accordingly, recruit, instruct and train the necessary personnel and ensure the availability of the reserves in cash and kind which it might need in the emergency phase of a relief operation. Such plans must be regularly reviewed and capacity further developed in the light of experience.
- 9.3. All National Societies face the possibility of responding to disasters beyond their capacities. National Societies should therefore make preparations for receiving and managing international assistance provide by the Federation.
- 9.4. National Societies should make every effort to obtain facilities from governmental or private transport services in their countries for the rapid transport, whenever possible free or at reduced rates, of relief supplies, including goods in transit, for disaster victims.
- 9.5. National Societies should also endeavour to obtain from their governments exemption from all taxes and customs duties, concerning the entry into and transit through the country, of funds and relief supplies intended for the victims of disasters.
- 9.6. Furthermore, they should seek to obtain travel facilities and the quick granting of visas for Red Cross and Red Crescent personnel taking part in relief operations.

# 10. Preparedness of the Federation

10.1. The Federation will endeavour to assist National Societies with their organisation and preparedness for relief actions. In particular by offering them the services of technically qualified personnel (delegates) and by contributing to the instruction and training of their personnel. It will encourage and facilitate exchanges of information between Societies so that the experience of some will be of benefit to others. It will encourage investment by Federation members in disaster preparedness activities in the most disaster prone countries.

# 11. Agreements on mutual assistance

- 11.1. As part of their disaster preparedness strategy, National Societies should endeavour to conclude agreements on future mutual assistance in the event of disaster, with the National Societies of neighbouring countries. The Federation shall be informed.
- 11.2. For the most disaster prone countries, the Federation shall endeavour to negotiate pre-disaster agreements with the National Society of the disaster prone country aimed at enhancing the disaster preparedness activities of the Operating National Societies and improving the timeliness and effectiveness of Federation response to major disasters. Where appropriate these agreements may be tripartite, involving a Participating National Society.

# **International Disaster Relief Assistance**

#### 12. Initial information

12.1. To enable the Federation to act as the disaster information centre, National Societies shall immediately inform it of any major disaster occurring within their country, including data on the extent of the damage and on the relief measures taken at the national level to assist victims. Even if the National Society does not envisage appealing for external assistance, the Federation may, in the spirit of Federation solidarity, send a representative(s) to the disaster affected area to gather information and assist the National Society in dealing with the international dimensions of the disaster.

## 13. Use of the Disaster Relief Emergency Fund

13.1. In accordance with its rules, as amended by the 1991 General Assembly, the Disaster Relief Emergency Fund may be used by the Federation to finance emergency pre-disaster activities or initial emergency response to disasters.

## 14. Request for assistance and appeal

- 14.1. Any request from a National Society of a stricken country for international assistance shall be addressed to the Federation. Such a request must contain an overview of the situation in the disaster area, the number of persons to be helped and the nature, quantities and priorities of relief supplies needed by the National Society.
- 14.2. On receipt of such a request, the Federation will, when conditions call for it, launch an Appeal to all National Societies or, depending on the circumstances, to a certain number of them. No Appeal will be launched by the Federation without a request from the National Society of the stricken country or without its agreement.
- 14.3. The Federation may, however, take the initiative to offer assistance, even though the National Society has not asked for it. The National Society will consider such offers with urgency and goodwill, bearing in mind the needs of the disaster victims and the spirit in which such offers are made.

#### 15. Relations with the international news media

- 15.1. Since the media can have a major influence on public support for a relief operation and the generation of funds, the National Society of a stricken country should make every effort, consistent with the efficient conduct of the relief operation and any regulations laid down by the authorities, to facilitate journalists' coverage of an emergency situation.
- 15.2. When a disaster situation attracts large-scale international media interest, the Federation may assign a delegate, or delegates, to assist the National Society in coping effectively with the requirements of the media and responding to the public information needs of Participating National Societies and the Federation's Secretariat in Geneva.

#### 16. Regular communication of information

16.1. The National Society of the stricken country will keep the Federation informed on the development of the situation, the relief given and the needs still to be met. The Federation will forward this information to National Societies to which the Appeal had been made.

#### 17. Information on assistance

17.1. When, as a result of a Federation Appeal or as a result of mutual agreement or other special circumstances, a National Society gives assistance to the Society of a stricken country it will immediately inform the Federation. Such information will contain the amount of gifts in cash and all available data on gifts in kind, including quantity, value and means of transportation.

## 18. Implementation of Federation assistance

- 18.1. When a National Society is in receipt of international assistance, the Federation may assign to that National Society a representative or a team of delegates, whose name or names will be communicated to it as rapidly as possible and whose number will depend on the magnitude of the disaster.
- 18.2. Where technical assistance personnel are provided, the Head of Delegation will be responsible for the judicious and effective utilisation of the team of experts with a view to helping the National Society with such activities as the reception, warehousing and distribution of relief supplies received from abroad, as well as information, communication and all other activities that will contribute to the effectiveness both of the relief operation itself, undertaken by the National Society involved, and of the assistance of sister Societies.
- 18.3. All staff assigned by the Federation will have the task of assisting the National Society and not of taking over its basic responsibilities.
- 18.4. The Representative or Head of Delegation shall be given all necessary communication facilities for the swift dispatch to the Federation, of all the information likely to enable it to back up its Appeals to National Societies and inform them as fully as possible on the needs resulting from the disaster and then on the use made of the relief received. He/she should advise the National Society concerned of the measures taken and foreseen, both by the Federation and National Societies, which are giving their support.

#### 19. Execution entrusted to the Federation

19.1. When the administrative organisation of the Society in the stricken country does not enable it to meet the situation, the Federation, at the request of that Society and with its cooperation, may assume the local direction and execution of the relief action.

# 20. Representatives of Participating Societies

- 20.1. Participating Societies wishing to send representatives to the spot, particularly to collect information material to enhance public support for the relief actions, shall obtain the prior agreement of the central headquarters of the National Society of the stricken country. They should also inform the Federation.
- 20.2. Any such representatives will be bound by the Rules of Conduct for Federation field personnel and shall report on their actions to the Federation Representative or Head of Delegation.

#### 21. Foreign personnel

21.1. All personnel provided by Participating Societies to assist in the implementation of the operation, will be placed under the direction of the Federation, when the direction and execution of the relief operation have been entrusted to it.

#### 22. Transmission and forwarding of relief

- 22.1. Assistance donated by a National Society to a stricken country shall always be sent through Red Cross and Red Crescent channels, either direct to the National Society or through the intermediary of the Federation. Funds sent to the Federation will be specifically earmarked for the disaster for which they are contributed and will either be sent to the National Society of the stricken country or, with its concurrence, be utilised by the Federation according to the needs of the relief operation.
- 22.2. National Societies and the Federation may agree to transmit relief from non-Red Cross sources to a stricken country. In such cases, the relief will be utilised by the National Society or, with its concurrence, by the Federation in conformity with the present Principles and Rules.

#### 23. Soliciting of contributions abroad

23.1. Unless there is a previous agreement, the National Society of a stricken country will not try to obtain, either directly or indirectly, funds or any other form of assistance in the country of another Society and will not permit its name to be used for this purpose.

# Accounting and Auditing for Joint or Separate Federation and/or ICRC Operations

#### 24. Principle of accountability

National Societies receiving gifts from sister Societies, the Federation, the ICRC or any other source in the context of a joint or separate Federation and/or ICRC operation or programme must conform to the following rules as regards accounting and auditing:

#### 24.1. Gifts in cash

#### 24.1.1. Bank accounts

The Operating Society shall open in its own name a special bank account whose sole purpose shall be to receive all the funds and cover all the expenditure of the operation / programme. It shall not be used for any other transactions. There shall be one bank account per operation / programme. If for unforeseen reasons, it is not possible to open a separate bank account, a separate cash ledger should be maintained per operation / programme.

#### 24.1.2. Financial reporting

The Operating Society shall render a periodic account of the funds held by it for the operation /programme showing: opening balance brought forward from the previous period; income from all sources during the current period; actual disbursements during the period and the closing balance for the period. The periodicity of these reports shall be established in the agreement, but under no circumstances should be less than quarterly. Additional information required for the following period comprises: anticipated income, an estimate of expenditure and cash requirements. The Federation and/or the ICRC would in that way be prepared to give consideration to making an appropriate supplementary advance in cash.

- 24.1.2.1. The actual disbursements charged to the operation / programme shall be shown in a detailed statement which, together with copies of vouchers for all amounts debited and recapitulatory bank statements, shall be submitted promptly to the Federation and/or the ICRC local delegation, no later than the end of the following month. In the event of such reports not being submitted, the local delegation should take appropriate steps to assist the Operating Society in producing the necessary report. In exceptional circumstances, where monthly reports are not forthcoming, the Federation and /or the ICRC may decide on the suspension of the financial assistance.
- 24.1.2.2. In recognising the importance of financial reporting, the Federation and /or the ICRC shall undertake to provide or make available technical assistance to the Operating Society in order to ensure the timely production of accurate and complete financial reports. Such reports should be regarded both as a management tool for the Operating Society, and as a reporting service to the Federation.

# 24.1.3. Auditing

Auditing is a normal, integral step in any professionally managed operation. In the interest of sound financial administration, the National Society's accounts related to the operation / programme shall be audited at least yearly by auditors designated by the Federation and/or the ICRC. The cost of the audit will be met from the funds available for the operation / programme. This audit shall result in the Auditor's Report and a Management Letter. The said results shall be communicated to the National Society and, if necessary, corrective actions to be taken shall be indicated. In the exceptional event when no corrective action have taken place, the Federation and/or the ICRC may consider suspension of financial assistance.

#### 24.2. Gifts in kind

Where gifts in kind are made, records of the stocks showing the origin and use of such contributions shall be submitted monthly and upon completion of the operation / programme

#### 25. Exceptional Rules of Procedures

- 25.1. The Federation and /or the ICRC may, in certain exceptional circumstances, not be fully satisfied with the way in which resources for Federation and/or the ICRC operations and programmes are managed and accounted for by either Participating or Operating Societies.
- 25.2. In such circumstances, the Federation and/or the ICRC is authorised to entrust a qualified Federation and/or the ICRC representative

to look into the matter.

25.3. The National Society in question be it operating or participating, shall ensure that the Federation and /or the ICRC representative, has access to such records of the Society as the Federation and /or the ICRC representative considers necessary for the purpose of their task.

#### 26. Use made of gifts

26.1. A National Society which benefits from the assistance of sister Societies will give the Federation's and/or ICRC's Representative or Head of Delegation the opportunity to see, on the spot, the use made of the gifts received.

#### 27. Unsolicited relief supplies

- 27.1. If a National Society wishes to send relief supplies which are not mentioned in the Appeal launched by the Federation and/or ICRC, it shall first obtain the agreement of the National Society of the stricken country or of the Federation and/or ICRC. When there has been no Appeal but a National Society nevertheless wishes to send relief supplies to the Society of a stricken country, the previous agreement of that Society is also required and the Federation and/or ICRC shall be informed.
- 27.2. In the absence of such an agreement, the receiving National Society is free to use unsolicited relief supplies at its own discretion, without being bound by the provision of Article 29.3.

#### 28. Donating supplies while receiving assistance

28.1. A National Society in receipt of international assistance for its own country shall not contribute assistance of a similar nature to a sister Society without the prior authorisation of the Federation and/or ICRC.

#### 29. Use of gifts

- 29.1. Gifts sent to a National Society may only be used for the purpose designated and will serve in the first place to give direct assistance to the victims.
- 29.2. An Operating Society may in no event use cash gifts to cover administrative expenses included in its ordinary budget, nor may it transfer cash gifts donated to it to another organisation or group for use by that organisation or group.
- 29.3. If in the course of a relief operation it becomes necessary to sell or exchange a part of the goods received, the donors will be consulted through the Federation and/or ICRC. The funds or goods thus obtained may only be used for the relief action.

# 30. Relief balances

30.1. Goods or funds remaining on hand after the termination of a relief action may be; used for subsequent rehabilitation activities, used for Society disaster preparedness activities, transferred to other priority programmes, or returned to the Participating Society. All such use of funds or goods should take place under an agreement between the National Society of the stricken country and the Federation after consultation by the Federation with the Participating Societies concerned.

#### **Final Provisions**

#### 31. Obligations

31.1. A National Society which accepts spontaneous or special assistance is bound to conform to the obligations laid down in the present "Principles and Rules" even though it has not requested assistance within the terms of Article 12.1.

XXIst, XXIInd, XXIIIrd, XXIVth, XXVth and XXVIth International Conferences of the Red Cross, Istanbul (1969), Tehran (1973), Bucharest (1977), Manila (1981), Geneva (1986), Geneva (1995).

The Fundamental Principles

National Society Operational Roles

<u>Auditing</u>

Fixed Assets

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Disaster Preparedness

**Development Cooperation Policy** 

Disaster Response System

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Responsibilities and Agreements in Relief Operations

**Funding of Operations** 

Code of Conduct for Disaster Relief

# **Code of Conduct for Disaster Relief**

- 71. The Federation and seven other major international relief agencies (International Committee of the Red Cross, Caritas International, Catholic Relief Services, International Save the Children Alliance, Lutheran World Federation, Oxfam and the World Council of Churches) have drawn up the first-ever Code of Conduct governing the behaviour of international relief workers. The Code represents an important step forward in the setting of internationally-agreed standards in humanitarian work. It was endorsed by the General Assembly and the Council of Delegates (Birmingham, 1993) and welcomed by the International Conference (Geneva, 1995), the latter having in particular invited all States and National Societies "to encourage NGOs to both abide by the principles and spirit of the Code and consider registering their support for the Code with the International Federation."
- 72. The Code of Conduct seeks to guard standards of behaviour for NGOs. It seeks to maintain the high standards of independence, effectiveness and impact to which disaster response NGOs and the International Red Cross and Red Crescent Movement aspires. It is a voluntary code, enforced by the will of organisation accepting it to maintain the standards laid down in the Code. In the event of armed conflict, the present Code of Conduct will be interpreted and applied in conformity with international humanitarian law.
- 73. The Code sets out ten principles covering humanitarian relief operations. Three annexes deal with relations of humanitarian organisations with host governments, donor governments and intergovernmental organisations.
- 74. Humanitarian organisations can affirm their commitment to the Code by sending a registration form to the Federation Secretariat, where a register of all signatories is held. The form comes with the Code in a small booklet, copies of which are available from the Secretariat in all four Federation languages.
- 75. Delegates should use the Code in three ways. Firstly, to govern their own work. Secondly, delegates should encourage all National Societies to abide by the Code. Finally, delegates should take every opportunity to inform those organisations not already familiar with the Code, of its existence.

# The Code's ten principles

### 1. The Humanitarian imperative comes first

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

2. Aid is given regardless of the race, creed or nationality of the recipients and without adverse distinction of any kind. Aid priorities are calculated on the basis of need alone

Wherever possible, we will base the provision of relief aid upon a thorough assessment of the needs of the disaster victims and the local capacities already in place to meet those needs. Within the entirety of our programmes, we will reflect considerations of proportionality. Human suffering must be alleviated whenever it is found; life is as precious in one part of a country as another. Thus, our provision of aid will reflect the degree of suffering it seeks to alleviate. In implementing this approach, we recognise the crucial role played by women in disaster prone communities and will ensure that this role is supported, not diminished, by our aid programmes. The implementation of such a universal, impartial and independent policy, can only be effective if we and our partners have access to the necessary resources to provide for such equitable relief, and have equal access to all disaster victims.

## 3. Aid will not be used to further a particular political or religious standpoint

Humanitarian aid will be given according to the need of individuals, families and communities. Not withstanding the right of Non Governmental Humanitarian Agencies (NGHAs) to espouse particular political or religious opinions, we affirm that assistance will not be dependent on the adherence of the recipients to those opinions. We will not tie the promise, delivery or distribution of assistance to the embracing or acceptance of a particular political or religious creed.

4. We shall endeavour not to act as instruments of government foreign policy

NGHAs are agencies which act independently from governments. We therefore formulate our own policies and implementation strategies and do not seek to implement the policy of any government, except in so far as it coincides with our own independent policy. We will never knowingly - or through negligence - allow ourselves, or our employees, to be used to gather information of a political, military or economically sensitive nature for governments or other bodies that may serve purposes other than those which are strictly humanitarian, nor will we act as instruments of foreign policy of donor governments. We will use the assistance we receive to respond to needs and this assistance should not be driven by the need to dispose of donor commodity surpluses, nor by the political interest of any particular donor. We value and promote the voluntary giving of labour and finances by concerned individuals to support our work and recognise the independence of action promoted by such voluntary motivation. In order to protect our independence we will seek to avoid dependence upon a single funding source.

### 5. We shall respect culture and custom

We will endeavour to respect the culture, structures and customs of the communities and countries we are working in.

#### 6. We shall attempt to build disaster response on local capacities

All people and communities - even in disaster - possess capacities as well as vulnerabilities. Where possible, we will strengthen these capacities by employing local staff, purchasing local materials and trading with local companies. Where possible, we will work through local NGHAs as partners in planning and implementation, and cooperate with local government structures where appropriate. We will place a high priority on the proper coordination of our emergency responses. This is best done within the countries concerned by those most directly involved in the relief operations, and should include representatives of the relevant UN bodies.

# 7. Ways shall be found to involve programme beneficiaries in the management of relief aid

Disaster response assistance should never be imposed upon the beneficiaries. Effective relief and lasting rehabilitation can best be achieved where the intended beneficiaries are involved in the design, management and implementation of the assistance programme. We will strive to achieve full community participation in our relief and rehabilitation programmes.

#### 8. Relief aid must strive to reduce future vulnerabilities to disaster as well as meeting basic needs

All relief actions affect the prospects for long term development, either in a positive or a negative fashion. Recognising this, we will strive to implement relief programmes which actively reduce the beneficiaries' vulnerability to future disasters and help create sustainable lifestyles. We will pay particular attention to environmental concerns in the design and management of relief programmes. We will also endeavour to minimise the negative impact of humanitarian assistance, seeking to avoid long term beneficiary dependence upon external aid.

# 9. We hold ourselves accountable to both those we seek to assist and those from whom we accept resources

We often act as an institutional link in the partnership between those who wish to assist and those who need assistance during disasters. We therefore hold ourselves accountable to both constituencies. All our dealings with donors and beneficiaries shall reflect an attitude of openness and transparency. We recognise the need to report on our activities, both from a financial perspective and the perspective of effectiveness. We recognise the obligation to ensure appropriate monitoring of aid distributions and to carry out regular assessments of the impact of disaster assistance. We will also seek to report, in an open fashion, upon the impact of our work, and the factors limiting or enhancing that impact. Our programmes will be based upon high standards of professionalism and expertise in order to minimise the wasting of valuable resources.

# 10. In our information, publicity and advertising activities, we shall recognise disaster victims as dignified humans, not objects of pity

Respect for the disaster victim as an equal partner in action should never be lost. In our public information we shall portray an objective image of the disaster situation where the capacities and aspirations of disaster victims are highlighted, and not just their vulnerabilities and fears. While we will cooperate with the media in order to enhance public response, we will not allow external or internal demands for publicity to take precedence over the principle of maximising overall relief assistance. We will avoid competing with other disaster response agencies for media coverage in situations where such coverage may be to the detriment of the service provided to the beneficiaries or to the security of our staff or the beneficiaries.

The Fundamental Principles

**United Nations Agencies** 

Non-Governmental Voluntary Agencies

**Development Cooperation Policy** 

Vulnerability and Capacity Assessment

Needs Assessment, Targeting Beneficiaries

Food Donation Policy

**Dissemination In Relief Operations** 

Development within Relief

Disaster Response System

Principles and Rules for Disaster Relief

Armed protection of Humanitarian Assistance

Relief Supply Distribution System

# **Armed Protection of Humanitarian Assistance**

# **Basic Principle**

- 76. The Council of Delegates and the 26th International Conference (Geneva, 1995) noted that the security of the operations and personnel of the ICRC, the National Societies and the international Federation is based on their adherence to the Fundamental Principles and that they do *not* use armed protection unless confronted with exceptional circumstances and not without the approval of the authority in control of the territory concerned." This basic principle concerns above all the use of armed escorts.
- 77. There might be situations in which human lives may be saved only by accepting an armed escort because the refusal of such an escort would lead to the paralysis of humanitarian activities, and consequently the possibility that the victims would die. In such cases, the principle of humanity requires that the components of the Movement thoroughly assess the situation, attempt to find the best solution and, in certain circumstances, accept changes to their normal operating procedures.
- 78. However, the use of armed escorts may affect the image of all the components of the Movement, now and in the future, and place in jeopardy the acceptance of the emblem and the future possibility of access and action by other components of the Movement in that area. In other words, the armed protection may help get one aid convoy through but eventually jeopardise the operation as a whole.
- 79. Any component of the Movement working with an armed escort may endanger the other components and must therefore be aware of its responsibility in this regard. ICRC and Federation delegations must obtain formal *written* approval from their respective headquarters prior to using armed escorts.
- 80. When the need for an armed escort is being discussed by National Societies, prior consultation with the Geneva-based institutions must be the rule before taking the final decision on using an armed escort in order to protect the neutrality and independence of the whole Movement. A thorough review of the minimal conditions under which armed escorts might be used must be submitted as part of this consultation.
- 81. Clear distinction must be kept between the Federation's humanitarian action and political/military interventions.

# Criteria for Accepting an Armed Escort

- 82. For those situations in which recourse to armed escort is the only means of conducting humanitarian activities and ensuring the delivery of assistance to the victims, these are the minimal conditions under which armed escorts might be used:
  - The needs are so pressing (e.g. saving lives on a large scale) as to justify an exceptional way of operating, and can be met only with the use of an armed escort;
  - The Movement's component concerned is sure that the use of an armed escort will not have a detrimental effect upon the security of the intended beneficiaries;
  - The component concerned is the most capable of covering the identified needs, as there is no other agency or body external to the Movement that is in a position to carry out the same activities or to cover the same needs;
  - Armed protection is being considered primarily for its deterrent value and not for its fire-power, recognising the extreme reluctance with which the Movement would condone the use of violence and the threat of violence to deter attack;
  - The party or authority controlling the territory through which the convoy will pass and in which the humanitarian assistance will be delivered has given its full approval to the principle and modalities of an armed escort. Should this approval be withdrawn, the situation must be reassessed and negotiations must once again take place;
  - The escort is intended to provide protection against bandits and common criminals in situation of general law-and-order breakdown. There should be no risk of confrontation between the escort and the actual parties to the conflict or organised armed groups which control part of the area through which the humanitarian convoy has to travel.

# Criteria for Deciding the Composition and the Behaviour of the Armed Escort

83. In a normal situation, the authority controlling a territory ensures security and maintains law and order. When this is not possible and the use of an escort becomes necessary, it should be seen as a preventive measure, its main feature being the deterrent effect. In such a case, the concerned component of the Movement must find a contractor, who is able to provide the escort and agrees to work according to these general guidelines and the component's directives.

- 84. Depending on the situation, the escort may be provided for by a reputable private company, the police or military personnel. Members of the escort must not be Movement staff and are not allowed to display the emblem. They must travel in vehicles that are identifiably different from those of the Red Cross and Red Crescent and that are not marked with the emblem.
- 85. Members of the escort must receive strict instructions from their employers, who are under contract with a component of the Movement, particularly as regards the use of weapons and rules of engagement. These instructions must also be conveyed to the concerned component. That component must reserve the right at all times to give directions regarding matters such as schedule, itinerary or speed of the convoy. Weapons must only be used in self-defence, i.e. when the convoy is under attack and there is no other way to save the lives of the people in the convoy. Those using weapons must strictly respect the principle of proportionality as laid down by the international standards on the use of force and firearms by law-enforcement officials.
- 86. Technical questions such as the type of weaponry to be used must be directly dealt with by the security organisation under contract, but with a view to avoiding any confusion as regards the humanitarian nature of the convoy.

#### **Armed Escorts and the United Nations**

- 87. The Movement often has to work in situations in which peace-keeping or peace-enforcement operations are being carried out by or authorised by the United Nations Organisation under either Chapter VI or Chapter VII of the UN Charter. The reality today is that in many instances, and not only when clear enforcement actions under Chapter VII are under way, such forces may not be perceived as neutral by the warring parties and may even be considered as hostile. As a result, the neutrality of other organisations associated with them is also called into question. Since the Movement has to maintain its independence and its neutrality and to ensure that its operations are perceived as independent and neutral, any situation that could lead to confusion must be avoided.
- 88. Therefore, the Movement should not avail itself of armed protection for its operations when this is offered by UN troops during an enforcement action under Chapter VII or when it is possible that the United Nations Organisation will sooner or later be considered as a party to the conflict by the local population or by the belligerents.

# **Protection of Installations and Security for Distribution Sites**

89. The general principles outlined above also apply to the armed protection of fixed assets and security of distribution sites. However, ensuring the security of fixed assets and distribution sites is easier than that of convoys. The components of the Movement should first look to the law-enforcement authorities of the country or area concerned to provide protection as part of their normal duties. In most instances this would be the local police force. If the local authority is not able to provide sufficient protection, then a reputable private security company should be approached and contracted to provide it.

The Emblems

The Fundamental Principles

Fixed Assets

**United Nations Agencies** 

Security Regulations

Code of Conduct for Disaster Relief

<u>Vehicles</u>

Warehousing

Relief Supply Distribution System

Controlling Supplies' Movement

<sup>&</sup>lt;sup>[1]</sup>In the Federation, the organisation of disaster relief actions belongs to the attributions of the Secretary General assisted by the Secretariat

# **Disaster Response**



# **Chapter XXI - Logistics**

**Vehicles** 

**Supply Management** 

Warehousing

**Controlling Supplies' Movement** 

Forms and Reports for Warehousing and Distributions

**Logistics Quality Control** 

**Conversion Tables** 

# **Vehicles**

# **Basic Principles**

- 1. The importance of vehicles in Federation operations is clear. Hardly any operation can function without their use for the transport of relief goods; most delegates need a vehicle to carry out their tasks. Nevertheless, the Federation policy is *to keep the number of vehicles it owns in the field to as few as possible*. This is often done through the use of National Society vehicles and the contracting of local transport and carriers.
- 2. In practice, this usually leads to the Federation owning only the vehicles used by delegates. However, in countries without enough local transport or carriers, the Federation may have to operate its own fleet of trucks and in exceptional cases even a vehicle workshop. In these situations the Federation will employ delegates as vehicle fleet and workshop managers who will have particularly important responsibilities in large or long-term relief operations.
- 3. The concept of leasing vehicles has proven to be the most cost effective initiative which perhaps has been demonstrated best in the Balkan region and also during the emergency phase of disasters occurred during the past two years.

# **Manual for Vehicle Fleet Management**

4. The Logistics Department Manual for Vehicle Fleet Management contains all the rules, regulations and need-to-know information for Vehicle Fleet Management in the Federation. All staff using Federation vehicles are referred to the SOP Manual and are encouraged to familiarise themselves with the content.

#### Standard Vehicles

- 5. The most important and change in relation to vehicles and vehicle management is the recent introduction of the standard list of vehicles.
- 6. The system of holding stock vehicles (see Vehicle Leasing Programme below) has proven to be very effective in case of urgent requests for vehicles in emergency situations and has shown that vehicles can be anywhere in the world within 48 hours after the request is approved and finalised.
- 7. By the introduction of standard vehicles we had the opportunity to influence changes in the vehicle design based on experience from the field. In some cases it resulted in quite important changes in the chassis giving a stronger and therefore safer vehicle.
- 8. The trend today has gone in the direction of "common users" being increasingly interested in 4 wheel drive vehicles as the family vehicle. This fact has made it more difficult to influence changes in the vehicle design as the main market now is families and thus the design will change more towards comfort rather than real off road capabilities. For that reason a test program for new vehicle types and models has been introduced and is being carried out as a joint program together with ICRC Logistics.
- 9. The Standard Catalogue for Vehicles (Edition 2001-2002) is a joint Standard Vehicle Catalogue (Federation/ICRC) and also has a wider spectrum of vehicle types, models, to respond to the field requirements and to continue to standardise the vehicle fleet of the Federation.

#### Maintenance

- 10. In terms of maintenance the advantages with standardised vehicles are obvious. Standard spare parts for a limited number of vehicle models ensure a better spare part preparedness. The present brand and type of vehicles has given the probably best coverage of spare parts in terms of local availability.
- 11. The development of standards for maintenance has made it possible to describe the service and intervals for service which meets the needs we have.
- 12. Another advantage of the standardisation is that our delegates and maintenance staff have to familiarise themselves with a relatively small number of vehicle types which in turn gives a higher degree of expertise and as a result fewer accidents.

# **Vehicle Leasing Programme**

13. All light vehicles operated by Federation delegations must be leased from the Vehicle Leasing Programme. Specific operational conditions may apply in certain delegations where the purchase of vehicles is the only option. In such cases technical approval must be obtained from the Logistics/Fleet Base U.A.E. 13. Any questions relating to vehicles and the leasing concept should be forwarded to the relevant RLU (if present) or the decentralised Logistics/Fleet Base U.A.E., which is co-ordinating and managing all aspects of the Federation Vehicle Leasing Program out of Abu Dhabi, United Arab Emirates (U.A.E.).

# **Transport Management System**

- 14. The Transport Management System (TMS) is the Federation's standard computerised system for vehicle fleet management. It is to be used whether a delegation has one or one hundred vehicles.
- 15. The TMS has been developed to provide a full database of vehicle assets and can produce a variety of different reports according to user needs.
- 16. In planning terms it allows the logisticians to closely monitor the vehicle status of the fleet and at a more centralised level to plan for consolidated purchases of vehicles.
- 17. All delegations are to be aware of the existence of the TMS and in the absence of a logistician it is the responsibility of the HOD to appoint a staff responsible for it.
- 18. Delegations which are currently running the TMS version 1.0b should upgrade to TMS version 2.0

# The following basic principles govern the use of Federation vehicles:

- No Federation vehicle shall be used for a purpose not in accordance with the Red Cross and Red Crescent Principles.
- No Federation vehicle shall be driven by a person without a valid driving licence.
- · Local legislation must be respected at all times.
- · All Federation vehicles must be insured.
- · All Federation vehicles must be adequately controlled.

# **Using Vehicles**

- 19. Detailed *Rules for the Use of Vehicles* must be prepared for each delegation and approved by the Head of Delegation, provided to each delegate before he or she is allowed to drive, posted in the delegation (and in the Sub-delegation, if it exists) and at the vehicle fleet base. These rules should be adapted to local conditions, operational requirements and laws and customs of the host country. The rules should stress security (speed-limits, wearing of seat-belts, spacing in convoys, etc.), authorised drivers and passengers, driver responsibilities and penalties for violating the rules. All drivers must sign a copy of the rules and the signed copies should be kept in driver files.
- 20. In many areas *local drivers* should be used for driving Federation vehicles, as they best know the roads, driving conditions and habits. The Head of Delegation will decide when delegates may drive. Vehicles are not intended to be allocated to individual delegates. However, where possible, each vehicle should be assigned to a particular driver responsible for its upkeep; in exceptional cases a "pool" of users can be formed on condition they assume common responsibility for "their" vehicle. Each driver must be clearly informed of the particular risks covered by insurance.
- 21. A photocopy of every authorised *driver's licence* (whether it be a delegate, local employee or an authorised driver from the Operating National Society) must be kept at the delegation in the Drivers File.



- 22. Recruiting drivers must include not only work references or recommendations, but practical tests made on roads and tracks, controlled and objectively approved by experienced professional drivers. All drivers should be employed with the longest trial period permitted by the local employment legislation. Suitability of delegates to drive appropriate vehicles must also be evaluated by a qualified person.
- 23. Every vehicle displacement outside the operational area (as defined by the Head of Delegation) must be subject to a *Mission Order* (see sample) signed by the Head of Delegation or other person authorised by him/her. A copy of the Mission Order is to be handed to the vehicle fleet manager before the vehicle leaves.
- 24. Federation vehicles are intended to be used for operations. Any possible *use for personal reasons* must be approved in writing in advance by the Head of Delegation. Authorisation must clearly indicate limits on vehicle usage and specify ways in which the vehicle may be used for personal reasons. Delegates may not drive any *motorcycles* without permission from the Head of Delegation, the latter taking this decision in consultation with the Secretariat.
- 25. Any *transport of people or merchandise* in the Federation vehicles except within the scope of an operation is not allowed. This rule must be displayed in the interior of the vehicle readable by passengers in the language(s) of the country indicating the personal responsibility of the driver for its violation. Any case of emergency such as the need to transport a pregnant woman, an injured person, or when forced (under armed threat) to transport merchandise or people must be the subject of a detailed report to the Head of Delegation.
- 26. All Federation vehicles must have a *log book*. Log books should include the vehicle's weight loaded/unloaded, towable weight, authorised load, authorised number of persons to be carried, tyre pressures on roads and tracks with/without load. All journeys, fuel purchases and maintenance are to be recorded in it. Log books must also contain an accident report form and local instructions on completion of this form. All drivers must be instructed on the use of the log book.
- 27. It is important that all drivers fill in their log books with care. The aim of the log book is not just to check the use of fuel. Every anomaly detected through log-book information can enable the vehicle fleet manager to diagnose mechanical problems *before* breakdowns. Over long distances and in naturally hazardous areas (deserts, forests, mountains etc.) a breakdown can place the lives of driver and passengers in real danger.
- 28. For safety reasons (in case of a breakdown) any Federation vehicle departing the local area (as defined by the Head of Delegation) should be equipped with the items listed below. This list should be complemented according to terrain conditions notably for mountainous regions and cold countries and may include such items as sleeping bags etc.:
  - An adequate reserve supply of drinking water;
  - Survival ations;
  - A powerful orch with spare batteries or an inspection lamp adaptable to the car battery;
  - A detailed map of the region to be covered;
  - A compass;
  - A medical kit for urgent treatment.
- 29. Every driver is responsible for his or her vehicle's load and must have the power to decide on the transport both of passengers their number and seating, especially forbidding all dangerous positions or overloading of the vehicle and of goods, including the limit of the weight and the distribution of the goods in the vehicle for assuring good balance and road-holding.
- 30. In case of an accident, it is preferable to have the accident report made out by a local authority, although this is not always easy to arrange. Ensure you comply with local laws before moving your vehicle after an accident. A piece of chalk kept inside the vehicle to mark the positions at the moment of collision will allow the moving of the vehicles to restore normal circulation and avoid further collisions. Photographs will also help the insurance company determine responsibility for the accident. *Never* make or sign any admission of error by a Federation driver, as this could later create legal problems.

- The oil level and the water level in radiator and batteries. Note that in hot countries battery water evaporates very rapidly.
- The level of the brake fluid.
- Lights and indicators
- . Condition and tension of the fan belt
- Tyre pressures (cold). Tyre pressure must be corrected and reset according to whether travel is on a road or on a sand track.
   Spare tyres should also be checked.
- The cleanliness of the air and fuel filters should be checked daily in a very dusty environment.
- The cleanliness of the vehicle. All vehicles should be cleaned on a regular basis.

In the case of heavy vehicles, the driver may be accompanied by an assistant who can lend a hand to change a wheel or when bogged down. If the assistant carries out the daily checks, this must be done in the presence of the driver, who retains responsibility.

# **Before Departure**

- 31. Before each departure on mission, the head of the convoy or the driver must carefully examine with the vehicle fleet manager the route to be taken, to determine:
  - Quantity of fuel necessary and the supply points;
  - Emergency spare parts needed;
  - Special authorisation or passes required;
  - Means of communication in the event of a problem arising;
  - Sum to be advanced for the mission.
- 32. Before departure, the driver must verify the load is secured and properly documented, as well as the contents of the document pocket, which must contain:
  - Driving licence;
  - The original of the vehicle registration papers (photocopies certified by the authorities may be accepted in certain countries);
  - The insurance certificates and additional clauses if necessary;
  - The mission order:
  - The Waybill (s) or donation certificate(s) for the cargo;
  - The log-book;
  - The fuel vouchers;
  - A list of important addresses and telephone numbers delegation, National Society headquarters, branches, insurance company and its agents, garages, relief posts etc.;
  - Accident report form;
  - A copy of the inventory of the load;
  - A piece of chalk and a pen.
- 33. The transporting of *emergency fuel* inside or on the outside of the vehicle should be avoided unless absolutely necessary. The insurance companies may refuse to pay for any damage and the risk of fire is increased. It is forbidden to load the interiors of lorries with barrels of fuel together with food rations due to the risk of contamination.

# **Organising a Vehicle Fleet**

- 34. The management of the vehicle fleet is the responsibility of the Head of Delegation. He/she can delegate this authority to the vehicle fleet manager (if any), who may be a delegate or a local employee.
- 35. It is important that, from the moment of his/her arrival in the field, the vehicle fleet manager makes useful contacts. These preliminary steps will save precious time later and avoid disagreements with local authorities. The most important of these contacts are:
  - The labour service (regarding labour legislation);
  - The police (traffic regulations);
  - Customs (modes of clearing, conditions of removal);
  - Garages and service stations (vehicle maintenance and repair);
  - Port and/or airport authorities (regulations);
  - The fire brigade (fire precautions);
  - The sanitation service (transport of dangerous products);
  - The insurance company (definition of guarantees, additional clauses);
  - Local suppliers (prices, available stocks of spare parts, tyres, batteries, fuel, lubricants, tools, etc.).
- 36. The vehicle fleet manager should establish an Index Card for each vehicle and a list of all the vehicles. Vehicle Index Card is very important. It will allow the delegation and the Secretariat to transmit all needed information to the suppliers for verification of references entered in the order for spare parts. If there is any information missing, it should be completed as soon as possible. The chassis number or vehicle identification number (VIN) are vital in this process. All leased vehicles are identified by the leasing code number, e.g. GVABE 136, UAEAB 056, GVANB 019. For non leased vehicles a code number could be assigned to each vehicle: for example HU.BUD.034 where HU stands for country (Hungary), BUD for location (Budapest), 034 for the fleet number.
- 37. Each vehicle must have an individual *file* which contains all necessary documentation relating to that vehicle. This documentation

should include shipping documents, registration documents, gift certificates, accident reports, insurance documentation etc. By using this system, if and when the vehicle is transferred, sold or reallocated all the necessary documentation will move with the vehicle.

- 38. To avoid *theft* attempts, the deterrent measures listed below could be useful. Drivers must be made aware that the actions mentioned below should be taken, and that theft on their part will inevitably lead to dismissal and possibly legal action.
  - To use anti-theft devices such as steering or gearbox locks, car alarms, locks on spare tyres etc.;
  - To make the list of manufacturer's numbers on tyres, with a copy kept by the driver (especially for lorries);
  - To mark batteries indelibly;
  - To check vehicle's fuel consumption regularly, using the log book;
  - To seal off the connections to odometers on dashboard and gearbox to discourage cheating on distances covered.
- 39. It is vital that *keys* are adequately controlled. All keys must be labelled with the registration or the Federation fleet number and locked in a safe place. The keys used in daily operation should be used in conjunction with a key board in the appropriate office.
- 40. All vehicle manufacturers provide information and recommendations on the use and *maintenance* of the vehicle. Approved spare parts must be used. It is vital that recommended service intervals are adhered to, as this will not only prolong the life of the vehicle but will also ensure operational reliability. The vehicle fleet manager must not simply hand manufacturers' information and recommendations on the use and maintenance of the vehicle to drivers particularly when written in a language the driver cannot understand. All relevant rules must be explained.
- 41. As part of the monthly reporting process kilometrage and *fuel consumption* must be entered into the TMS for each vehicle. Fuel consumption figures must be based on a litres per 100 kms basis. Vehicles outside of a normal range must be examined.
- 42. All Federation vehicles should be marked only with the Federation logo (the red cross and red crescent on a white background in a rectangular box) with the writing *International Federation of Red Cross and Red Crescent Societies* in an appropriate language. Field vehicles should carry one Federation logo on each front door and one on the bonnet. Town vehicles should adopt the same standard but using the logo of a smaller size. Where possible the standard Federation logo stickers (obtainable from the Secretariat) should be used. All markings must be removed if the vehicle is sold.

# Parking Rules

The vehicle fleet manager should set rules for parking vehicles, They can include the following rules:

- All the vehicles should be parked at the fleet base, or within a protected compound at the Delegation premises or delegates'
  houses, Any exceptions to this rule should be authorised by the Head of Delegation.
- For security reasons and fire safety, the vehicles should always be parked with the front of the vehicle facing exits, and with enough space between it and the next vehicle to avoid the fire spreading,
- The chief vehicle attendant must have access to a complete set of keys to vehicles for their quick evacuation in case of fire at night,
- If vehicles are parked in an open space, it should be verified that truck awnings (covering the loading bed) have been firmly tied down, to avoid rain water collecting and rotting and tearing the material,
- Parking vehicles at night in places where their presence may give the public a bad impression of the Red Cross and Red Crescent (bars, night clubs etc.) should be avoided.
- When vehicles are parked, all fitted security devices must be used.

The Emblems

Fixed Assets

Regulations for Field Personnel (Delegates)

Security Regulations

**Delegation-Contracted Staff** 

Armed protection of Humanitarian Assistance

+C	International Federation of Red Cross and Red Crescent Societies
	Delegation
	VEHICLE INDEX CARD
Federation Code	

Registra	ion No.	7
 	Key No.	-
	Make	_
	Model	
Number	of seats	-
(	Chassis	-
Eng	gine No.	_
Eng	ine size	
Voltage 12	2v / 24v	_
Fuel diesel	/ petrol	
Gross vehicle	weight	1
Date of manu	ıfacture	-
Date re	eceived	-
Val	ue CHF	_
Vali		
	Donor	
Geneva ins	surance	-
Date	expired	-
Local ins	surance	_
Date expired		
Comments		-
+C	nternational Federation of Red Cross and Red Crescent	
T C	Societies	

+ C	Societies	ration of Red Cross and Red Crescent
	Delegation	
	MIS	SION ORDER
Within the	activities of the operati	on/programme undertaken
by the Fed	deration in	the following persons:
by the Fed	deration in	the following persons:
	deration in	the following persons:
1	deration in	the following persons:
1 2	deration in	the following persons:

6				
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must go to		with Fede registratio	ration vehicle, n No	
Departure date	<b>)</b>			
note, as well as accomplishmen military autho	hey will transport mer s all equipment and m nt of their mission. Th rities of the regions ssible to facilitate an	aterials ne e Federat and coun	ecessary for the ion thanks all civi tries crossed for	lian and doing
Done at				
Date			Signature	

+ C	nternational Federation of Ro	ed Cross and Red Crescent	Societies
	Delegation		
	VE	HICLE LOG- BOOK	
	VE	ENICLE LOG- BOOK	
			Page
Туре	Make	Model	Serial No.
License pla	te Chassis No.	Motor No.	Cabin No.
Nalagata/drive	r responsible	Federation vehicle N	0.

Date	Mileage	Journey	Description of journey				Maintenance
	km	km		Station	Litres	Price	

# **Supply Management**

- 43. Procurement means the purchase of goods and services, as well as the contracting hiring or renting of services, including those that generate a recurring cost. The Head of Delegation is responsible for procurement in the field. The delegates should ensure that all required authorisations are in place before procurement takes place.
- 44. The procurement procedures including levels of authorisation are available in the Secretariat Procedures Manual, Section 6, which can be found in all delegations and is regularly updated, as well as the six pages summary of procurement procedures according to final authorisation level produced by the Logistics and Resource Mobilisation Department. All relevant staff in Delegations are requested to familiarise themselves with the latest version of the manual to ensure compliance with the procedures.
- 45. In terms of authorisation procedures, procurement in the field is in four categories, each with its own authorisations:
  - Expenditures;
  - Purchases of supplies and equipment (including relief supplies);
  - Procurement of capital items;
  - Contracting for services (including those generating recurring cost).
- 46. Expenditures are all minor expenses not in excess of CHF 1,000. The Head of Delegation formally defines in writing the level of authorisation for expenditure for each delegate. In the absence of a formal procedure, the limit per item is CHF 200. Running costs, i.e. purchases from the same supplier which occur over a period of time under agreed terms, are considered as purchases of supplies and equipment.

# **Purchases of Supplies and Equipment**

- 47. For all purchases above CHF 1,000, a Logistics Requisition (Purchase Request) form is filled in by the requesting delegate. A purchase order, formal contract with the vendor, is issued for every procurement above CHF 1,000.
- 48. After approval of the Procurement Requisition by the Head of Delegation, *quotations* from a minimum of three different suppliers are to be requested, received and compared based upon price, quality, time of delivery, terms of payment and previous experience (if any) with the suppliers. This process, known as Comparative Bid Analysis (CBA) should be formalised in the delegation, prepared by the Logistics delegate (or other delegate responsible for procurement) and reviewed and approved by the Head of Delegation.

IFRC LOGISTICS SERV	ICE								COMF	PARATIVE	BID AN	IALYSIS	(CBA)				
Project Code: Commodit	y Details:								Quotation Request (QR) N°:								
Budget CHF:									Count	ry:							
Name of supplier																	
Quotation reference and date																	
Currency of quote		currency				currency				currency				currency			
Rate of exchange			,	,	,				,								
Description of items	Quantity	Unit Price	TOTAL	CHF Unit price		Unit Price	TOTAL	CHF Unit price	CHF Total	Unit Price	TOTAL	CHF Unit price	CHF Total	Unit Price	TOTAL	CHF Unit price	CHF Total
Freight																	
CPT																	
Insurance estimate																	
Inspection estimate																	
GRAND TOTAL																	
Shipping terms																	
Country of origin (items)																	
Weight estimated																	
Volume estimated																	
Delivery promised (FOB)																	

Arrival date site estimated										
Terms of payment										
Bid validity date										
Meets IFRC required specifications										
Comments:										
Date										
Recommended vendor:										
Reason:										
Prepared and submitted by	Prepared and submitted by:									
Purchasing Officer	Purchasing Officer									
Head of Delegation										

- 49. Based on these quotations, the Head of Delegation makes a written decision on where the order will be placed, and authorises the purchase by signing the Purchase Order. When the decision is based on factors other than price, these factors will be evaluated and included with the bid analysis.
- 50. For items included in approved programmes the approval of operational budget constitutes approval for purchases of up to CHF 50,000 by the Head of Delegation. All Procurement Requisitions of over CHF 50,000 have to be formally approved at a authorised level. The same goes for purchases of items *not* included in the approved operational budget which are above CHF 10,000. For the expenditure authorisation levels see Procedure 6.3.02, Annex A, of the Secretariat Procedures Manual.

# **Local Purchasing**

- 51. Local purchasing procedures shall be consistent with all other guidance in the Handbook and procedures provided in the Secretariat Procedures Manual. Local purchasing is intended to be local, i.e. it is to be made within the geographic area covered by the delegation and the bids solicited should be from local suppliers. In any event in which three competitive bids cannot be obtained locally, the requirement will be forwarded to the Secretariat's Logistics and Resource Mobilisation Department for advice, approval or competitive bids.
- 52. The delegate will conduct an analysis of local bids received. Selection criteria include cost, quality of the commodity, timeliness of delivery, service available (if appropriate), demonstrated reliability of the vendor, terms of payment, and such other local considerations as may apply. Procurement of any other than the lowest cost option must be justified based upon analysis of other criteria. Local procurements over CHF 20,000 must be received in sealed bids, and a record will be kept of the meeting in which bids are opened; it should be signed by each of the participants.

# **Procurement of Capital Items**

- 53. Capital items requiring special authorisation procedures are:
  - Immovable (real) property (land, building, apartments, etc.);
  - Vehicles (cars, trucks, etc.);
  - Computer equipment (hardware and software) of a value greater than CHF 1,000;
  - Telecommunications equipment of a value greater than CHF 1,000.
- 54. Procurement Requisitions for capital items are sent by the Head of Delegation to the Secretariat in Geneva to be approved:
  - For immovable property by the Secretary General;
  - For vehicles by the Head, Regional Department and Head, Logistics and Resource Mobilisation Department;
  - For computer and telecommunications equipment by the Desk officer, Head, Information Systems Department.
  - 55. With approval received, quotations from a minimum of three different suppliers must be requested, received and compared. On the basis of the quotations, the Head of Delegation proposes his or her choice for approval as per paragraph 5.
- 56. Upon receipt of the formal approval, the Head of Delegation signs the Purchase Order for procurement of respective capital items.

# **Commodity Tracking System**

- 57. In order to ensure adequate commodity tracking for the benefit of all stakeholders ( PNS, ONS, supplier, Federation etc. ) a coding of all in kind donations and purchases has been implemented.
- 58. The coding system allows for accurate tracking of goods in the process of procurement, transport, warehousing and to the end at distribution. Having the coding system in place it allows for a better, faster and a more accurate reporting to the donors.
- 59. The practical implications for the logisticians is the ability to better plan for the logistics transport and warehousing, allowing Fleet Managers to utilise their vehicle fleet in the best possible way.
- 60. The commodity tracking system is a centralised system connected to a centralised data base. The commodity tracking number in it's structure has a donor code, recipient country, year, chrono number. Each tracking number is unique and follow the consignment until the final distribution by relief.

- 61. Any donor having the intention to send "in kind" donations in favour of an appeal must contact Geneva Logistics to obtain a commodity tracking number prior to shipment of any goods. This number must appear on all the shipping documents and on the goods e.g. on boxes, bags etc.
- 62. The system also reinforces the link with Relief as the tracking number is included in the distribution report.

# **Contracting for Services**

- 63. Services include the hiring of local personnel, the rental of premises, houses or apartments, rental or leasing of vehicles, planes, equipment etc. They may generate recurrent costs or be a one-time expenditure. In any event contracts are required and the standard procedures for procurement should be followed.
- 64. The Head of Delegation is authorised to contract services, including those generating recurring cost, where the items are included in the approved operational budget and the cost per year is not in excess of CHF 50,000. For the amount of over CHF 50,000 a year, authorisation is required according to the levels of authorisation mentioned in paragraph 2 above.
- 65. Contracting of services *not* included in the approved operational budget have to be approved at the authorised level. The amounts indicated in the Secretariat Procedures Manual, Levels of Authorisation, correspond to the authorised annual cost for services.
- 66. Services generating recurring cost (e.g. rentals. maintenance, etc.) should *not* be contracted for a period exceeding one year. Exceptions to this rule have to be formally approved by:

the Head, Regional Department the Director, Disaster Management and Coordination Division or the Director, Programme Coordination Division the Secretary General for contracts of 13 months to 2 years

for contracts of 2 to 5 years

for contracts over 5 years

67. Where services are unique such as water or aerial port operations, plane leasing, ocean carriage and so forth, the Logistics and Resource Mobilisation Department should be contacted for assistance in negotiating such contracts.



International Federation of Red Cross and Red Crescent Societies

# LOCAL PURCHASE ORDER

(bon de commande)

DELEGATION	ADDRESS	<b>NO: prenus</b> товсовота в мас попременя выма	OKKESPOKEDICE smerpandinari
TO (a):		SCAL Account	.A CODES
ATTENTION:		Activity	
		Donor	
FROM:		Project	
		DATE	
QUANTITY	DESCRIPTION	UNIT PRICE	TOTAL
SPECIAL INSTRU	CTION		
(instructions speci:			
PAYMENT LEGERS WITH	N 30 DAYS GF (MYGICE, reendribens de parament, 30 jours e avapben de	rectures	
NAME & TITLE:	SIGNATURE IN BLOCK LETTER:		
(nom & position:)	(signature:)		
originationreleaser i verse	RETURN TOFMAKERWITH MAKKET I MURILOMETE DERARTHENT I ASLLOWERE C partnersiburce sake bildene i Makkepartnersignikus i juhakeluskaren sakhak JASE ORDER IS ONI YAN ID DIJI YAN INDONESED SIKNAK	eler cze sesenie	

International Federation
of Red Cross and Red Crescent Societies

Logistic Service

							LOGIS	TICS RE	QUISI	TION						
	Procuren								Log	istics Re	ef. Nº.					
	Cost Esti		only													
	Transpor	t														
	Leasing															
	Insurance															
	Inkind Mo	JIIIOIII	ıg													
То			Logistic	e Sorvio					\ccou	nt Nº.						
Assign	ned to	:	Logistic	3 Jei vic						t Ref./De	ant					
From	ieu to	:								y Code	БРГ					
Date		:								code						
Date								<u> </u>	201101	0000						
								(	Count	rv						
										. ,						
Quantity	y Units			S	PECIFICA	TIONS						Budgetary	Limit (CHF	)		
		Regu	irements m	ust be clear	lv specifie	ed and a copy	of the fie	ld request	Unit	Price Total I	Price					
					attache	ed										
									_							
									_							
Desired of	date arrival						Trar	nsported by		Land		Sea			Air	
										From:			To:			
For vehi	cle leasing:			Leasing pe	riod		months		.easing							
									late							
	Payment T	erms:		Monthly		Quarterly		Annually								
				,		,										
Consign	ee address:															
(full addr	ess/ tel+fax,															
Contact ii	idino)															
Delivery	address:															
(if different	from Consignee a	ddress)														
(full addr	ess/ tel+ fax,															
contact n	ame)															
Cleari	i <mark>ng Agent</mark> ddress/ tel	t l∓ fav)														
(run u	adi 000/ 10/	ii iux)														
Goods in	n transit			Yes	No											
Notify	,															
(if oth	er than															
Consi																
			r													
Packi	ng															
			(e.g. prepack	ed, on pallets	in container	, etc.)										

Shipping Marks				
(on documents)				
	(e.g. marking "trai	nsit", "donated by", "Donor Ref.", etc.)		
Shipping Marks				
(on goods)				
	(e.g. marking "trai	nsit", "donated by", "Donor Ref.", etc.)		
Special				
requirements				
A., 1				
Attachment(s)				
(please list)				
			-	
Authorizations:		Name	Date	Signature
Pagnangible Officer				
Responsible Officer:				
Head of Department:				
			,	,
Finance Department <b>or</b> Operati Service (for field projects) The s	ons Accounting			
Finance Department certifies th	at the coding is			
correct and that the funds are a	vailable			
A				
Authorized by:				

# **Importing Commodities**

- 68. Relief goods and related equipment are not always available in the countries where operations are on-going, often having to be sent from overseas. Upon initial receipt, the quantity and quality of the goods need to be checked, customs, phytosanitary or other inspections need to be cleared, arrangements for terminal clearance (onward transportation) and interim warehousing need to be made. The proper reception of these goods requires specialised professional skills not always available in the Operating National Society or the Federation delegation.
- 69. It is therefore recommended to entrust a *forwarding agent* (freight forwarder) with the execution of all import formalities and the transportation of goods to the Federation delegation or Operating National Society warehouse. Although there is a charge for this service, it generally pays for itself in efficiency and in expediting delivery. The forwarding agent's selection should be made on the basis of the company's reputation, reliability and efficiency, and on its competitiveness. Quotes should be requested from at least three different companies to make a selection. Operating National Society as well as other international and humanitarian agencies could be consulted for recommendations. The selected forwarding agent should be given all relevant information and documents (particularly the original *Bill of Lading*).
- 70. The Federation Secretariat should advise the Operating National Society or the delegation of any arriving shipment, indicating:
  - Bill of Lading (B/L) or Air Waybill (AWB) number;
  - Exact quantity and description including origin of the goods;
  - Name of the vessel/carrier, or airline and flight number;
  - Expected or actual time of departure (ETD/ATD) and port or airport of departure;
  - Expected time of arrival (ETA) and the port or airport of discharge;
  - Insurance details;
  - Details of inspection on arrival;
  - Federation project number to which the shipment has been allocated;
  - And any other relevant information.
- 71. Shipping documents are sent to the Operating National Society or delegation by the Federation Secretariat or directly by donors or suppliers. The documents should be treated with care. The Bill of Lading represents title to the goods, and will be endorsed by the Operating National Society or delegation in favour of the forwarding agent entrusted with the reception of the shipment, "for clearance". Bills of Lading should *never* be endorsed blank "to order", as this gives title of the goods to anyone in possession of the document.
- 72. Supplier pricing information on proforma invoices or other shipping documents is to be treated as *confidential* information. It is to be released only to those who have a need for this information in the movement or clearance of Federation shipments. The unauthorised release of detailed pricing information could materially harm the supplier and be a cause for claims against the Federation.

73. Immediately upon receipt of the shipping advice, the delegation should open a file for each consignment. All shipping documents are to be kept in this file, including:

- Bills of Lading and Air Waybills;
- Proforma invoices;
- · Certificates of origin;
- Packing lists;
- Gift, inspection, insurance, phytosanitary, fumigation and any other certificates (sanctions clearance etc.);
- All correspondence (shipping advice, instructions to forwarding agent, notice of arrival of goods, notice of delivery, etc.);
- Quotes from forwarding agents where not kept in a separate file;
- Copies of all invoices;
- In the event of damage, all related correspondence.
- 74. Goods are usually shipped CPT (Carriage Paid To) except for food, which is shipped DEQ (Delivered Ex Quay) or DDU (Delivered Duty Unpaid) see chart at the end of the chapter for detailed explanation of terms. Insurance for Federation purchases is provided through the Federation's global transport insurance policy and should not be ordered unless exceptional circumstances exist. This means that the receiver the Operating National Society or delegation has to pay for unloading, customs duties and other fees, import formalities and transport to the National Society/delegation warehouse. In some countries the Red Cross and Red Crescent is exempted from government taxes, fees and duties. The forwarding agent should be informed of this and the necessary steps taken to benefit from such exemptions. If the terms of carriage require the delegation to assume responsibility for unloading the goods at an installation not controlled by the delegation or the Operating National Society, the Logistics and Resource Mobilisation Department should be contacted immediately.
- 75. The Federation Secretariat and certain donors hire cargo superintending companies (also called inspection or quality assurance companies) to inspect the quantity and quality of the goods on departure and arrival. Upon receipt of the consignment at the National Society/delegation warehouse, the delegation should advise the Secretariat, confirming the quality and quantities received, indicating any discrepancies from the shipping documents and the shipping advice. Discrepancies of any nature should be annotated on the receipt document (Bill of Lading, Air Waybill etc.) If the goods cannot be checked before signing the receipt document, this fact should be annotated on the document before signing. Copies of all signed documents should be kept.
- 76. If the shipment is being cleared to multiple locations, disposition instructions identifying which commodities (pieces, weight and cube) are going to which locations and in which priority they should be prepared. Cargo disposition instructions should include a point of contact at the receiving warehouse as well as address, phone and telefax numbers and any limitations that may affect delivery. A copy will be given to the freight forwarder if they are booking transport. Otherwise they should be used as a control for the transporter, whether it be the Operating National Society, a commercial shipper or other agency.

# **Insuring Relief Goods**

- 77. Relief supplies such as food, tents and blankets are either received from donors directly or purchased from their contributions. The Federation is held accountable for these supplies by the donors. National Societies will insure the goods which they purchase and send directly to the field. The Federation's global insurance policy will provide coverage for the supplies purchased by the Secretariat or delegations for all procurements under inco terms not including insurance. This coverage is effective for all Federation shipments (including return shipments) which are sent under a bill of lading, freight bill or similar document. Coverage ceases at first destination mentioned in the shipping document, and starts again if goods are subsequently shipped.
- 78. It is important to note that the donors still hold the Federation accountable for the relief supplies purchased by the Federation with the donors' funds, even if the relief goods have been transferred to a National Society. For this reason, insurance cover may have to be arranged by the Federation case by case, if the National Society cannot do it locally. If in doubt, the relevant Secretariat Regional Department and the Insurance Officer, Administration should be consulted.

# **Transport of Relief Goods In-Country - Field Logistics**

- 79. In-country transport by Federation delegations is done mostly by truck. The Federation does not always have its own trucks on hand, but uses National Societies', private carriers' or government vehicles. If rail is available, it is usually slower but cheaper than trucks.
- 80. A waybill must be established for every shipment by road. This document becomes the basis for paying freight forwarders, transporters and certain tolls, as well as serving as the basis for cargo accountability at the receiving warehouse. Waybills should list in as much detail as possible: all information related to the consignee, the places of delivery, the quantity and quality of the goods etc. The waybills should normally be issued in four copies:
  - One copy signed by the carrier and kept by the sender;
  - The original left by the carrier with the receiver;
  - One copy signed by the receiver and kept by the carrier;
  - One copy signed by the receiver and returned through the carrier to the sender.
- 81. The receiver signs the waybill to confirm that the consignment is complete and in good condition on arrival. In the case of loss or damage, the receiver enters a remark on the waybill stating the *actual* quantity and condition of received goods. In this case the carrier is held liable for the loss and damage. Because of the potential for fraud, when carrier waybills are used, Federation delegation goods received notes should be used whenever payment for carriage is required.

- 82. In any case when the carrier is being reimbursed a contract must be signed providing terms and conditions of carriage. When contracting carriers, quotes should be requested from *at least* 3 different companies. The choice of carrier should not only be based on prices quoted, but also on the company's reputation, reliability and efficiency. A personal inspection of potential carriers' trucking fleets, verifying the number and mechanical condition of the vehicles can aid the decision. In no case should the Operating National Society be contracted for carriage at rates exceeding those of commercial carriers.
- 83. Prices usually include the driver and his or her assistant. Although their selection is the responsibility of the carrier, their qualifications should be reviewed and the right reserved to request their replacement. Trucking cost is normally quoted *exclusive* of loading and unloading. Therefore arrangements for these services should be made by the suppliers, the delegation or National Society.
- 84. Prices are usually quoted per ton, per trip for each truck, or per truck per day. In some countries a ton/km scale is used which is the cost to move 1 ton for 1 km. All these ways of quoting have both advantages and disadvantages:

	ADVANTAGES	DISADVANTAGES
Per ton or ton/km	You pay for the actual transport of your goods irrespective of the duration of the journey and whether the truck is loaded to full capacity or not. Cost is clearly known.	Undesirable goods may be transported together with the Red Cross/Red Crescent consignment. Company may not use the most direct route (for billing)
Per trip for each truck	You have the exclusive use of the truck	It is not in the driver's interest to load the truck to maximum capacity. The size of the truck may not match the size of the load.
Per truck per day	You have the exclusive use of the truck. This is usually the best alternative for short shuttles.	The driver is in no hurry. In the event of a breakdown requiring lengthy repairs the rental fee continues to run unless otherwise specified in the contract

- 85. Although the Federation has a global insurance policy, commercial carriers remain responsible for the delivery of the shipment, in both quantity and quality. No contract for carriage should ever be made that relieves the carrier of this responsibility. Claims for loss and damage incurred when shipment is via commercial carrier must first be made with the carrier before any other coverage can be applied except for EU food aid consignments which are the responsibility of the supplier until accepted by the Federation at the agreed point of delivery.
- 86. The decision to display the *Federation logo* on commercial vehicles (usually as stickers) should be made by the Head of Delegation based upon careful consideration of all operational requirements. Generally it could be done when travelling in convoys with Federation escorts. If required for security reasons in situation of conflict or internal disturbances, flags showing the single red cross or red crescent should be used. Both the Federation logo and flags must be immediately removed when the vehicles are no longer carrying the Federation supplies.

#### Loss and Damage on Transport of Relief Goods

- 87. As mentioned earlier all relief goods and equipment should be insured against loss and damage in transit. Insurance cover may be provided by donors, the Federation Secretariat, the National Society, the Federation delegation, or the carrier. The measures to be taken in the event of loss or damage are therefore not uniform, but depend on the kind of insurance provided and the company contracted. It is also necessary that the Federation delegation is fully informed on the measures to be taken in case of loss or damage, as they have to be taken immediately upon occurrence of such an event.
- 88. All consignments must always be thoroughly inspected and checked upon arrival, particularly with respect to:

- Quantity: the number of packages or items;
- Quality: the condition of the packing and of the contents.
- 89. Waybills should never be signed before this inspection is done. Any discrepancies in quantity or quality have to be stated on the waybill and goods received note. If a thorough inspection of the goods received is not possible immediately (e.g. containers are sealed or there is a possibility of hidden damage) the receiver should state on the waybill: "Signed under reserve of verification of quantities and quality". This applies to all other documents to be signed by the receiver such as goods received notes, supplier delivery notes, etc.
- 90. All loss and damage amounting to over CHF 1,000, should be immediately reported by the delegation to the Insurance Officer, Administration at the Secretariat in Geneva, along with all information necessary for filing claims.

# **Disposing of Relief Goods**

- 91. Relief supplies such as food, blankets or tents may have to be disposed of for a number of reasons:
  - The operation is terminated;
  - The goods no longer correspond to the needs of the beneficiaries;
  - They are not acceptable to the beneficiaries for cultural or religious reasons;
  - They have been spoiled or damaged during transport or storage and (in the case of non-food items) cannot be repaired at a reasonable cost;
  - They are unfit for human consumption spoiled, infested or past expiry date (in the case of food). In some cases infested foods can be furnigated and saved; furnigation should be left to qualified companies and be contracted out.
- 92. If unfit for consumption, normally the relief supplies should be destroyed. If still in reasonable condition, the supplies can be disposed of by:
  - Transfer to the Operating National Society disaster preparedness stocks;
  - Transfer to another programme or project within the same country;
  - Transfer to a Federation delegation or National Society in another country;
  - Donation to another institution or organisation;
  - · Local sale.
- 93. The Federation is accountable to its donors for the use of donations. Therefore the donors must *always* approve any sizeable disposal of relief supplies they have funded.
- 94. The following procedures apply to the actual disposal of relief goods:
  - The Head of Delegation forwards his or her proposal to dispose of relief supplies to the Desk Officer, giving all necessary details. Spoiled food must have been tested by an expert and the relevant report should be attached to the proposal.
  - After obtaining the necessary donors' agreement and checking with Logistics and Resource Mobilisation Department whether there
    may be a need for these commodities in other operations, the Desk Officer will inform the Head of Delegation on the steps to be
    taken and authorise the disposal.
  - The actual disposal should be done according to local habits, considering its possible effects on the local economic situation. It is important to observe local legislation, especially if the goods have been purchased or imported tax-free. *In certain cases, the sale or even donation of relief goods may be illegal or impossible.* The transfer of relief items to another country is always a delicate matter and should be treated with all necessary precautions.
  - Spoiled food may not always have to be destroyed, but in certain cases can be sold or donated as animal fodder. It is important that the delegation ensures that the items will be used exclusively for animal consumption.
  - When food and pharmaceuticals are to be destroyed, it is important that a Federation delegate assists in its physical destruction to
    prevent unscrupulous agencies from reclaiming and selling contaminated products. A destruction report should be made, signed by a
    representative of the local authorities and sent to the Federation Secretariat. In some countries an official of the Ministry of Health
    must be present.
- 95. The above-mentioned procedures *do not* apply to the disposal of fixed assets such as vehicles, furniture, computers etc. and the cases where goods have been donated with the explicit purpose of generating income through sales (monetisation projects).

The Emblems

Information Systems

Filing

Fixed Assets

The European Union

Legal Relationships

**Delegation-Recruited Staff** 

Responsibilities and Agreements in Relief Operations

Principles and Rules for Disaster Relief

<u>Vehicles</u>

Warehousing

Controlling Supplies' Movement

Forms and Reports for Warehousing and Distribution

				CH	ARGES		
Incoterm	Description	Rail/Lorry Loading Costs	Rail/Lorry Freight	Air/Ship Loading Costs	Air/Sea Freight	Insurance	Buyer also pays
<b>EXW</b> Ex Works	Goods made available to buyer at seller's works	Paid by Buyer	Paid by Buyer	Paid by Buyer	Paid by Buyer	Paid by Buyer	All onward costs
FCA Free Carrier	Goods made available free on carrier (all modes)	Paid by Seller	Paid by Buyer	Paid by Buyer	Paid by Buyer	Paid by Buyer	All onward costs
FAS Free Along- side Ship	Goods made available free alongside ship	Paid by Seller	Paid by Seller	Paid by Buyer	Paid by Buyer	Paid by Buyer	All onward costs
FOB Free on Board	Goods made available once loaded safely aboard	Paid by Seller		Paid by Seller	Paid by Buyer	Paid by Buyer	All onward costs
CFR Cost and Freight	Goods delivered to a named destination.	Paid by Seller	Paid by Seller	Paid by Seller	Paid by Seller	Paid by Buyer	All onward costs
CPT Carriage Paid To	Delivered at agreed destination, all charges paid except insurance	Paid by Seller	Paid by Seller	Paid by Seller	Paid by Seller	Paid by Buyer	All onward costs
<b>DES</b> Delivered ex Ship	All charges to destination port aboard ship	Paid by Seller	Paid by Seller	Paid by Seller	Paid by Seller	Paid by Seller	Discharge, duty & onward costs
DAF  Delivered at Frontier	Goods delivered to an agreed frontier point, duty unpaid	Paid by Seller	Paid by Seller	Paid by Seller	Paid by Seller	Paid by Seller	Reloading & onward costs
<b>DEQ</b> Delivered ex Quay	All charges to destination port on the quay	Paid by Seller	Paid by Seller	Paid by Seller	Paid by Seller	Paid by Seller	All onward costs
CIF  Cost, Insurance & Freight	Goods delivered to a named destination, marine insurance paid.	Paid by Seller	Paid by Seller	Paid by Seller	Paid by Seller	Paid by Seller	All onward costs
CIP Carriage & Insurance paid to	Delivered at agreed destination, all charges paid.	Paid by Seller	Paid by Seller	Paid by Seller	Paid by Seller	Paid by Seller	Unloading & onward costs

| Delivered Duty | Delivered at agreed<br>destination, all<br>charges paid except<br>duty. | Paid by<br>Seller | Duty,<br>unloading &<br>onward costs |
|----------------|---|-------------------|-------------------|-------------------|-------------------|-------------------|--------------------------------------|
|                | Delivered at agreed destination, all charges paid.                      | Paid by<br>Seller | Unloading & onward costs             |

Буріана	tion of Common Ship	ping renns	INCOTEINIS
Incoterm	Exporters(sellers) liability	Place of delivery	Place of transfer of risk/property from selle
ExW Ex Works	All charges are borne by the buyer, including the cost of preparation and packing for shipping, unless otherwise agreed	At the sellers factory or warehouse	When the seller places goods at the buyers disposal as provided in the contract.
Free Alongside Ship	All charges incurred in delivering the goods alongside the vessel at port of loading. Buyer is responsible for loading, onward freight charges and insurance	Under Ships Hooks	When the goods are delivered alongside the vessel at the agreed bert and port.
FCA Free Carrier	All charges incurred in loading the goods on any means of transport. Buyer is responsible for onward freight charges and insurance	At the agreed place of loading.	When delivered into the custody of the carrier at the agreed location.
FOB Free on Board	All freight charges, port dues etc. until the goods are loaded on board the ship. Onward freight costs and insurance are the buyers responsibility	At the ship once safely loaded	Over ships rail at the por of loading.
CFR Cost and Freight	Freight and other charges to agreed destination port only. Insurance of goods becomes the buyers responsibility	At the named port of discharge upon receipt by the buyer of the Bill of Lading.	Over ships rail at the port of loading.
CIF  Cost, Insurance and Freight	All charges involved in delivery of the goods to a named destination including marine insurance.	At the named port of discharge (or other agreed destination)	Over ships rail at the port of loading.
CIP Carriage & Insurance paid to	Same as DCP but exporter is additionally responsible for insuring the goods	At the agreed destination aboard the transport.	Upon delivery by the sell- into custody of the first carrier
<b>CPT</b> Carriage Paid To	All charges involved in delivery of the goods to a named destination, excluding insurance.	At the agreed destination aboard the transport.	Upon delivery by the sell into custody of the first carrier.
DAF Delivered at Frontier	All charges involved in delivery of the goods to a named point at the frontier, including insurance but duty unpaid (lorry or rail).	of delivery at the	At the agreed place of delivery at the frontier.
DDP Delivered Duty Paid	All charges involved in delivery of the goods to a named destination, including insurance.	At the agreed destination aboard the transport.	At the agreed destination
DDU Delivered Duty Unpaid	All charges involved in delivery of the goods to a named destination, including insurance less duty.	At the agreed destination aboard the transport.	At the agreed destination
<b>DES</b> Delivered ex Ship	All charges to agreed destination port aboard ship. Buyer pays discharge costs and duty.	At the named port of discharge aboard ship.	On board ship at agreed port of discharge.

DEQ	All charges to agreed destination port including discharge and duty.		At the named port of discharge available to the
Delivered ex Quay		quay or pier.	buyer on the quay or pier.

# Warehousing

#### General

- 96. Every effort should be made to reduce the delay between the delivery of relief supplies and their distribution to beneficiaries. However, *every* relief operation or programme especially those involving large quantities of supplies will in practice require long- or short-term storage facilities or both. These facilities must be able to provide proper and secure storage to preserve the quantity and the quality of relief supplies for as long as the operation lasts.
- 97. Most supplies, and especially food, need to be protected from sun, rain, humidity and high temperatures. Therefore the use of open, uncovered storage areas should in principle be avoided. If this is not possible, open storage should be limited to only short periods, and only to those supplies not immediately affected by such exposure.
- 98. Typically, relief operations and programmes require the establishment of central and local warehouses; sometimes regional warehouses may also be necessary.

- 99. Central or regional warehouses are normally used for mid- to long-term storage (1-6 months) of large quantities of supplies, while local ones are for short-term placement and distribution of limited amounts of relief goods. The number of warehouses and their locations will be determined by the scale of the operation, the available transport, storage capacity, the terrain and the condition of roads. Wherever possible, goods should be moved as close to the ultimate user as possible to prevent additional cost and possible loss that occurs with double or multiple handling of commodities.
- 100. Every effort should be made to match emergency relief requirements with the long-term goals of the Operating National Society. Warehouse management gives a good opportunity to provide a basis for further development of the ONS programme, personnel training and supply management.

# **Choosing a Warehouse**

101. Usually both central (regional) and local warehouses are either provided by the Operating National Society, the Government and other operational partners (UN agencies, NGOs etc.) or are rented directly. Though buildings specially designed for storage should preferably be used as central or regional warehouses, this is not always possible. Depending on the amount of supplies and the length of time they are to be stored existing commercial warehouses or converted public, community or even private buildings can be used. Where there are no existing suitable facilities, the building of temporary or permanent warehouses should be considered. Immediate needs can be met by the use of Rub-Halls or similar temporary storage facilities.



102. When commercial warehouses are rented, a contract specifying terms and conditions must be signed. The contractors must provide proof of ownership or entitlement to rent the facilities/property.

103. In emergencies or for the short-term storage wherever no suitable facilities can be found, warehousing can be improvised - using cargo containers or tents, for example. But here special precautions have to be taken to protect the items stored in such a way. Tents should only be raised on prepared raised surfaces that are gravel-filled where possible, and surrounded by water drainage ditches. Inside, goods must be placed on pallets or ground sheets, and the stacks of goods covered with plastic sheets for added protection.

104. Ideally, a warehouse (or a building used as such) ought to be a solid building with a flat, firm floor. It should be dry and well-ventilated, and should protect against animals, insects and birds. The building should give easy access to trucks and easy loading and unloading. The warehouse must be secure against theft, having a few easily lockable doors, gates and windows, and should be electrically lit if possible. For central (regional) warehouses it is recommended to have security walls or fences around the compound, as well as special truck loading bays, separate office space, water and sanitary facilities. Barbed or razor wire fencing or other protective means may be required.

105. Locating a warehouse is in most cases pre-determined by the number of suitable available buildings. Normally existing government or commercial warehouses already exist in cities, towns or big villages next to roads. The choice then should be based on the priority needs of the particular operation (warehouse space available, closeness to beneficiaries, rental charges, security considerations etc.). When other types of buildings are used as local warehouses, particular attention has to be paid to security and accessibility. If also used as distribution points, enough secure space is needed (inside or outside, depending on type of distribution and local conditions) to be used for distribution of supplies to beneficiaries.

# Warehouse Size, Space and Volume

106. The size of the warehouse will be determined by the maximum quantity, in tonnage, of supplies to be stored there at any one time. This quantity will be determined by the number of beneficiaries covered, how long the operation will last, the distribution system chosen, and how often distributions are made (monthly, weekly etc.).

107. Depending on weight, different types of supplies occupy different *storage volumes*. For example, one metric tonne (MT) of each of the items below takes up the space in cubic metres listed at right of each item:

<ul> <li>Grain (rice, maize), flour, sugar in bags</li> </ul>	2 m3
<ul> <li>Powdered milk in bags or boxes</li> </ul>	3 m3
<ul> <li>Medicines</li> </ul>	3 m3
<ul> <li>Vegetable oil in drums or in tins</li> </ul>	1.5- 2 m <sup>3</sup>
<ul> <li>Blankets in pressed bales (approximately 700)</li> </ul>	4- 5 m3
<ul> <li>Blankets in unpressed bales</li> </ul>	8-10 m3
• Clothes	7-10 m3
<ul> <li>Tents (approximately 25 family tents)</li> </ul>	4- 5 m3
• Kitchen utensils in 35-40 kg boxes	4.5 m3

108. The size of the area occupied depends on the supplies' volume, storage height and maximum admissible load per square metre. Only about 70% of the total storage area of a warehouse ought to be taken up with goods. The remaining 30% ought to be left clear for ventilation, passage ways, handling and repacking. It is usually either impossible or impractical to fill a warehouse to the roof; therefore the storage height should be *at least* a metre lower than the height of the warehouse ceiling.

Sample area calculation

For 100 tonnes of rice with storage height = 2 metres:

1 MT of rice = 2 m3

100 MT of rice = 200 m3

Goods area: 200 m3 : 2 m = 100 m2

Total area needed: 100 m2 + 30% = 130 m2

Checking actual load per m2 = 100 MT: 100 m2 = 1,000 kg/m2

109. No more weight than specified in the warehouse leasing contract is to be stacked per square metre of storage space. The admissible load at ground-floor level will normally be 1,000-3,000 kg/m2, but on upper floors (or even on the ground floor if there is empty space beneath) it can be as low as 500-800 kg/m2. Some commodities, oil tins for example, also generate restrictions on stacking height.

# **Warehouse Preparation and Maintenance**

110. Before the warehouse is used, floors, ceilings, doors and frames should be checked, and thoroughly cleaned and repaired if necessary. The exterior should be cleared of weeds and rubbish to avoid attracting rats, mice and insects. If necessary, walls and floors can be treated with insecticides.

111. Every warehouse should be cleaned regularly (with a schedule provided and a record of cleaning maintained):

- At the end of each *day*, the floor should be swept and the sweepings disposed of;
- At the end of each week, the walls and the sides of each stack ought to be cleaned;
- At the end of each *month*, the entire warehouse is to be thoroughly cleaned.

# **Good Storage Practices**

- Before goods are received, a storage plan should be made, The simplest method is to mark the place of each stack by chalking lines on the floor,
- Keep foodstuffs separate from all other supplies in the same warehouse,
- Never store fuel, chemicals, fertilisers, pesticides or cement in the same premises as foodstuffs,
- Keep different items and packages, consignments from different sources and those arriving at different times in different stacks,
- Avoid sharing the warehouse with other agencies and especially with commercial firms, If this is not possible, fence your area off or mark your stock clearly and visibly,
- Do not store goods directly against walls, pillars or partitions, to avoid dampness and inaccessibility, Leave a corridor of about 1,20 m (also called a fire corridor) between stacks and walls and between different storage stacks
- Always stack bags or boxes in order, preferably creating interlocking layers (see illustrations below), This saves storage space, keeps packages from being damaged, facilitates handling and counting, and helps to prevent loss or theft.
- Wherever possible stack goods on pallets (or their equivalent) and not directly on the floor, to avoid their contact with water, If the number of pallets is insufficient, use those available for bagged foodstuffs, rather than canned or bottled products. If no pallets are available, stack bags on plastic sheeting.

Keep maximum stack height at 2,5 m to preserve lower-layer packages.

All supplies should in principle leave the warehouse in the same order as they arrived (first in - first out), However, if the packages are damaged, infested or damp, but still fit for human consumption, they must be distributed before older stocks and without delay to avoid further losses.

Sample standard stacking

Bags

Every layer contains 5 x 10 bags = 50 bags 14-layer stack contains 14 layers x 50 bags = 700 bags The stack weights 700 bags x 50 kg = 35 MT The stack occupies 5 m x 5m = 25 m2 The stack load per m2 is 35 MT : 25 m2 = 1.4 MT/m2

Cartons

#### **Protection of Foodstuffs**

- 112. From 5-10% of the world's cereal production is damaged or infested by animal and insect pests in storage. In sub-tropical and tropical regions these figures may as high as 20-30% of local production especially where foodstuffs are stored over a long time.
- 113. The infestation of foodstuffs not only damages the stock physically. If, just by chance, the infested food reaches beneficiaries even though the food may be still fit for human consumption the entire relief operation and the Federation's and National Society's image could be seriously harmed.
- 114. The aim of pest control is to protect and preserve the goods stored. This is done either by killing the insects during every stage of their development (eggs, larvae, chrysalis and adult), or by preventing the infestation of stocks. Pest control measures must be applied in such a way as to prevent or minimise infestation without damaging the product and causing risks to consumers.

# Basic Principles for Protecting the Stored Foodstuffs

- Inspect warehouses and stock regularly for possible infestation, Wherever possible apply preventive pest control measures.
- Consider sampling foodstuffs periodically, Take samples from different places and different layers of a stack, weigh them and count the total number of insects (1 insect per 3 kg sample indicates a light infestation, 2 insects medium, 2 to 10 heavy infestation),
- Whenever new foodstuffs are received, examine their condition to determine whether any pest control measures should be applied,
- Do not store infested foodstuffs with those still in good condition,
- Leave all chemical treatments (preventive spraying, curative fumigation) to experts or trained people, The forwarding agent or Operating National Society can assist in finding qualified experts.
- If treatment is required, try to apply it at one main location preferably the central warehouse rather than at a number of dispersed local warehouses,
- When rotating stocks, make allowance for different treatments which the foodstuffs may have undergone,

Storage of Foodstuffs and Equipment							
Supplies	How they should look	Required storage conditions in humid climate	Conservation life	Comments			

Cereals in grain	dry, ungerminated, without impurities, 15% max.	dry, cool, ventilated premises; on	approximately 6 months	Check for moisture level, odour, live parasites
	moisture content	pallets, air humidity 70% max.		
Cereals in flour	dry and not lumpy to tough, sweet odour, moisture content 15% max	same as for cereals in grain	6 months maximum	Same as for cereals in grain
Canned products	cans neither rusty nor bulging, cartons in good condition, no leakage, expiry date not exceeded	to be stacked on pallets if possible	6-12 months depending on expiry date	Check for distorted cans (bulging lids) or gases whistling out when a can is opened signify that the contents are inedible
Powdered skimmed milk in bags	dry, clean odour, ivory colour	dry, cool, ventilated, shaded space	1 year	Can be kept for 2-3 years in the dark at about 15°C
Powdered full-cream milk in bags	dry, clean odour, ivory colour	dry, cool, ventilated, shaded space	8-10 months	Sometimes in becomes hard. It does not alter its value provided that its colour and odour do not change (also valid for skimmed)
Crystallised sugar crystals	dry, granulated, no clumps, shiny, other conditions the same as for cereals	dry, ventilated for stacking	several years	Sugar quickly absorbs humidity. Dry the sugar. Damp sugar in blocks is fit for human consumption
Blankets	package, dampness	dry, ventilated for stacking		Damp blankets must be dried immediately. Watch for moths.
Clothing	package, cleanliness	dry, ventilated, for stacking		Same as for blankets
Canned powdered milk	same as all canned products	for stacking	18 months	
Tents	packaging, dampness	dry for stacking		Damp patches to be dried

# **Warehouse Personnel**

- 115. The number of warehouse staff should be kept to a reasonable minimum, depending on how much work there is. For smooth operation and security the following personnel need to be recruited: a storekeeper (where necessary, an assistant storekeeper or store clerk), a team of warehouse workers, watchmen (night-watchmen) or guards. If these services are included in the warehouse contract, regular inventory and records checks must be made by the party which rented the warehouse (Federation delegation or the Operating National Society).
- 116. The warehouse *storekeeper* is responsible for receiving incoming supplies, the release of goods for dispatch, the care of the goods in stock, keeping of records of all stock movements, organising the handling of supplies, maintaining a security system and managing all other warehouse personnel.
- 117. All storekeepers and staff at central and regional warehouses should be recruited on a *permanent paid basis*. At local warehouses, workers and watchmen could be drawn from beneficiaries or affected communities. In this case it is advisable to pay the watchmen, while efforts should be made to secure free-of-charge loading and unloading by members of the beneficiary communities. Wherever it is not

possible, beneficiaries involved in such works could receive payment for it. However, payment for services in food or any other stored items should be avoided.

# **Warehouse Security**

- 118. The stored relief supplies are usually of considerable value in terms of both their cost to the donor, and their value for the beneficiaries and the local market. So good warehouse security is an essential consideration in selecting and using a warehouse.
- 119. All means of access to the warehouse doors, gates and windows should be kept locked, preferably with padlocks bought just for this purpose. The keys are to be kept by the storekeeper only never by the watchmen! A spare set of keys should be kept at the delegation or the Operating National Society (if it contracts the warehouse). The warehouse compound should be fenced off, and open space left between the warehouse building and the fence. Clear and visible marking of the warehouse with Federation logo or a National Society emblem may also contribute to its security.
- 120. *Access* to the warehouse is to be restricted to authorised personnel only. Authorised personnel will be storekeepers, watchmen, warehouse workers, authorised National Society staff and Federation delegates. Anyone else may not enter the warehouse without permission and without being escorted by the storekeeper.
- 121. If the warehouse is also used as a distribution centre, the distribution area should be clearly separated from the storage area, so that the beneficiaries cannot enter the warehouse during distribution. No distribution to beneficiaries is to be allowed *inside* the warehouse, even in bad weather plastic sheeting or tents can be set up in the distribution area when necessary.
- 122. *Smoking* will be prohibited in the warehouse and the warehouse compound. Fire-fighting equipment must be available on site in case of fire, and a plan posted which includes escape routes and actions to be taken in the event of fire.

# **Stock Control**

- 123. The purpose and efficiency criteria of any system of stock control is simple: to know at any given moment what supplies are in the warehouse, where they come from and for those that have gone where they have gone. A system that can rapidly provide such information, confirming it with appropriate documents, will normally be good enough to meet even the most sophisticated reporting requirements.
- 124. The officer in charge of the operation, (Relief/Logistics delegate, National Society Programme Officer etc.) is to regularly inspect the warehouse, checking the physical stock against corresponding entries in the stock control documents.
- 125. As in most relief operations and programmes, stock control is closely linked with transport and distribution control. The system proposed by the Secretariat gives basic control and reporting forms for all these stages in the movement of supplies (see *Forms and Reports for Warehousing and Distribution*).

# **Basic Stock Control Rules**

- All entries and dispatches to and from the warehouse should be registered on Stock Cards and in a stock Ledger Book (or computerised programme if available), and backed by Corresponding Documents certifying either the receipt (waybill, Goods Received Note) or dispatch (Waybill) of relief supplies,
- Entries in the stock ledger are based on the information from the corresponding documents, while stock cards are updated based on the movement of physical quantities.
- For SMALLER ITEMS Stack or Bin Cards could be introduced, These will have the same format as the stock card and are fixed to the bins or shelves holding the items they describe.
- Signed originals or copies of the corresponding documents should be kept at the warehouse unless decided otherwise for control or security reasons,
- The quantity and quality of all incoming and outgoing supplies should be checked before they are accepted or sent out, Any problems or discrepancies should be stated in writing on the appropriate corresponding document.
- Any supplies from the warehouse can be dispatched only upon receipt of authorisation a Requisition Note in writing,
- Stock Report should be made monthly or, if necessary, weekly, It is compiled based on the information from the stock card and physical count, Copies of the signed documents certifying receipt or dispatch can be enclosed to it if needed.
- A Physical Inventory is to be carried out each month or more frequently if required by local conditions. Results will be noted on the stock reports and in the stock ledger.
- Regular reconciliation should be made between the stock cards, stock ledger and physical inventories. Any difference should be investigated and cleared.

Fixed Assets

Managing the Delegation

**Delegation-Contracted Staff** 

Armed Protection of Humanitarian Assistance

Supply Management

# **Controlling Supplies' Movement**

#### General

126. Every relief operation needs control over the movement of supplies from the moment they are received by a relief agency to the moment they are distributed to the beneficiaries. Experience shows that usually time is too short - particularly in emergency situations - to create from scratch a completely new control system. With this in view the Federation has developed a simple standard system to be used for controlling the movement of stocks and the distribution of relief supplies.

127. This system reflects only the *minimum* requirements to enable the Federation's commitments to beneficiaries to be fulfilled and a report made to donors. It applies to any operation in which the Federation is directly operational or supporting the Operating National Society. It is designed for use in the first phase of an operation and can be developed later into a more sophisticated system if required.

# Basic Principles of Controlling Relief Supplies' Movement

- All relief supplies should change hands only when a Corresponding Document (delivery note, goods received note, waybill, consignment note, beneficiary list or beneficiary cards) has been signed by the next recipient link in the distribution chain – the storekeeper, the driver, individual beneficiary, benefiting institution etc.
- A copy of the corresponding document should be kept by each recipient (except individual beneficiaries), The copies will normally be kept at each warehouse or distribution point unless decided otherwise.
- All corresponding documents should clearly specify the name and exact quantity of the supplies (in both kilograms and packing
  units such as bags or boxes), as well as the names of the individuals or agencies issuing and receiving them.
- Before goods are signed for, they must be counted, measured and weighted, their condition checked and if their quantity or quality is not as indicated, any discrepancy in quantity or quality is to be noted in the corresponding document.
- The responsibility of each recipient for safety, quantity and quality of supplies ends at the moment the next recipient signs for relief supplies, This responsibility is limited to the quantity and quality of supplies which the recipient notes in the corresponding document.
- All stock and distribution reports should be based on the information in the corresponding documents signed by the recipients,
- 128. To facilitate the use of this system, a set of *standard sample forms* has been designed. The use of each form is described and examples are reproduced on the following pages. It is essential that staff who are to use the forms are trained in their use *before* the start of an operation, to avoid the unnecessary work of finding and filling in gaps in the information.
- 129. The forms can either be used as they are or modified to match special conditions so long as the basic principles mentioned above are followed. Any modifications should be as simple as possible. *Complexity does not make control any easier*; the more complicated the system, the easier it may be to hide mishandlings. It should also be noted that a number of locally-recruited staff (who may not be familiar with the system or any similar procedures) will often have to be quickly trained in its use, especially in an emergency. If it is decided to modify the system, modifications should be made *before* starting to use the forms: it is normally more difficult to change them later, after the form users have been trained.
- 130. The system is designed mainly to be used *manually*. A computerised (automated) stock control system for field operations is being developed by the Federation Secretariat. If, in the meantime, the delegations have to introduce local or regional computerised systems for particular operations (where required by operational circumstances), compatibility with other Federation computer programmes should be ensured. Programme products used for any such system should be chosen in consultation with the Secretariat.
- 131. Sometimes the Federation or Operating National Society may have to take over an operation or part of one from other agencies which may have introduced different stock and distribution control systems. Any such system should not be changed immediately: Beneficiaries, locally-recruited relief workers (who may carry on under Federation or National Society authority), and other participating agencies still involved will be used to the old system. The non-Federation system should be changed only if it cannot provide the necessary information or allow proper control. Otherwise it can be gradually improved and brought into line with the Federation system.

#### **Controlling Supplies' Movement**

- 132. The following is the list of the *steps* to be taken for systematically controlling relief supplies during their movement from the central (regional) warehouse to the end beneficiaries:
- 133. When the supplies are *delivered* by the supplier (or transporter) to the warehouse:
  - The quantity and quality of the supplies are checked by the warehouse storekeeper. In addition to physical count goods should be weighted to verify quantity. In some cases these checks can be performed by a specialised surveillance company;

- Discrepancies in quantity and quality (if any) are noted on the waybill or supplier's delivery note and the goods received note;
- Where a legible copy of the waybill or delivery note is not available, or payment for supplies or transport is to be made by the Federation, a goods received note must be filled in by the storekeeper;
- The waybill or supplier's delivery note and the original of the goods received note are signed by the storekeeper;
- A copy of the waybill or the supplier's delivery note (attached to the goods received note) is filed at the warehouse.

## 134. When the supplies are *stored* in the warehouse:

- The supplies are registered on stock cards and in the stock ledger book (if maintained);
- If necessary, they are also registered on stack (bin) cards

#### 135. When the supplies are *dispatched* from the warehouse to a distribution point:

- A requisition note authorising the dispatch is received by the storekeeper;
- The waybill for dispatch in four copies is prepared by the storekeeper;
- The waybill is signed by both the storekeeper and the carrier/driver;
- The original and two copies of the waybill are given to the carrier/driver;
- One copy of the waybill is filed at the warehouse;
- The dispatched supplies are registered on stock cards and the stock ledger book;
- The supplies sent out are registered on stack or bin cards if these are maintained

#### 136. When the supplies are *received* at the distribution point:

- The quantity and quality of received supplies is checked by the distribution point's storekeeper or manager;
- Discrepancies in quantity and quality (if any) are noted on the waybill;
- The original and one copy of the waybill is signed by the storekeeper or distribution point manager, with any exceptions noted thereon;
- The waybill original is filed at the distribution point;
- A signed copy of the waybill is given to the carrier/driver.

#### 137. When the supplies are *distributed* to the beneficiaries:

- The beneficiaries sign for the supplies (or put any other evidence of receipt a thumb print for instance) on beneficiary lists and/or cards:
- The beneficiary lists/cards are filed at the distribution point.

# 138. When reporting:

- Based on the stock cards reconciled with the stock ledger showing what and how much of it was received from the suppliers and
  what and how much was dispatched to the distribution points weekly and monthly stock reports are prepared by the warehouse
  storekeeper and sent to the delegation;
- Based on waybills and beneficiary lists/cards showing what and how much was received from the warehouse and distributed to the
  beneficiaries a distribution report presenting this information is prepared by the distribution point storekeeper or manager and sent
  to the delegation.
- Based on these stock and distribution reports from all warehouses and distribution points involved, a reconciliation of both sets of
  information is performed and any discrepancies investigated. A *consolidated* monthly stock and distribution report is then prepared
  by the delegation and sent to Geneva.

# "On-the-Spot" Stock Control

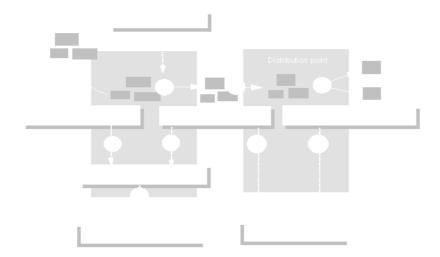
#### At the warehouse:

- Ask for the stock cards and stock ledger, the latest stock report and the originals or copies of the documents certifying receipt and dispatch of the supplies,
- Compare stock report figures with the stock card and stock ledger entries.
- Compare stock report figures for the period with those of the suppliers' delivery notes (goods received notes), requisition notes and the waybills,
- Physically compare stock one or two shelves or stacks, or two to three commodities with the stock cards, stack (bin) cards and stock ledger,
- Check if there are any commodities not registered on the stock cards or stock ledger in the warehouse, If there are any, they should immediately and preferably in your presence be removed from the warehouse,
- · Check if there are any unauthorised people in the warehouse,
- Check if the warehouse and its surrounds are clean and properly maintained,
- Note any discrepancies or inadequacies in the warehouse inspection report,

#### At the distribution point:

- Check whether the distribution schedules and the rations or amount of commodities to be distributed are posted or otherwise
  provided to the beneficiaries,
- Ask for copies of the requisition note and the waybills,

- Compare the requisition note (showing the supplies requested) with the waybill copies (showing what was actually received),
- Check how much stock has already been distributed, If this information is not available, work it out approximately from the signed beneficiary lists or cards.
- Check the stock remaining in the distribution point storage, Taking into account how much was received and how much has already been distributed, calculate whether the amounts match.
- In the case of food items, check the rations being distributed and the scoops and other measuring instruments used (if the rations are distributed individually to every family or each beneficiary),
- Check whether there are any unregistered commodities in the distribution point warehouse, If there are, they should be removed immediately,
- Talk with the beneficiaries to determine whether they have any complaints,



# Example of the stock and distribution control system (see chart above)

- 1. The delegation or the Operating National Society collects the information about the number of beneficiaries, or receives it from the Government or another agency the UNHCR, for example.
- 2. Based on the above-mentioned data the required amount of relief supplies is calculated and a purchase order is placed with the suppliers. This is normally accomplished by Secretariat Logistics Service, but could be done at the delegation level as well.
- 3. The suppliers deliver the required amount of supplies to the warehouse operated by the delegation or Operating National Society.
- 4. The copy of the suppliers' delivery note or waybill and goods received note are filed at the warehouse; the amount of received supplies is registered on the stock card and stock ledger.
- 5. The delegation or Operating National Society issues a requisition note to the warehouse to deliver a certain amount of supplies to a distribution point.
- 6. Based on the requisition note, the waybill in four copies is prepared, and the quantity required is dispatched to the distribution point.
- 7. A copy of the waybill is filed at the warehouse. The dispatched supplies are registered on the stock card and stock ledger as issued.
- 8. The requested quantity is delivered at the distribution point. A copy of the waybill is filed at the distribution point.
- 9. The supplies are distributed to the beneficiaries. Beneficiaries sign for the received supplies on the beneficiary list and/or beneficiary cards. These are filed at the distribution point.
- 10. Based on the copies of the waybills (how much was received) and beneficiary lists/cards (how much was distributed), the distribution report is prepared and sent to the delegation or Operating National Society.
- 11. Based on the stock cards and stock ledger, showing stock movement (how much was received from suppliers and how much was dispatched to the distribution points), a monthly, twice-weekly or weekly stock report is produced and sent to the delegation or the Operating National Society.

<u>Filing</u>

**Delegation-Contracted Staff** 

# Forms and Reports for Warehousing and Distributions

# **The Goods Received Note**

- The goods received note is normally used when either goods received or transport of goods is paid by the Federation. It serves as a basis for reimbursement and claims. Goods received note is supported by a copy of the carrier's waybill or supplier's delivery note.
- The goods received note is also useful as documentation (evidence of invoice) for paying suppliers, transporters or warehouses and distribution points when services are reimbursed.
- The goods received note is completed in *duplicate*, with the *original* filed at the warehouse and the *copy* handed to the carrier or supplier.
- The supplier should be requested to submit his or her copy of the goods received note to the Delegation together with the invoice.

<b>+c</b>	International	Federation	of Red Cro	ss and Red	d Crescent	Societies
	Delegation					
	J	'				
		GOODS	RECEIVED	NOTE		
GRN Nun	nber					
Warehous	se					
Received	from					
Vehicle N	0.					
Waybill N	0.					
Descriptio	n of goods	Ref. No.	Quantity	Unit	x Weight	= Total
Weight for	food items s	should be in	gross and	net weights	I	ı

Observations upon rece	eipt (if any):	
Delivered by  Received by	Signature Signature	Date
Necesived by	Cignature	Stamp

# The Stock card and the Bin Card

- Any commodities the warehouse receives or dispatches should immediately be registered by the storekeeper on the *stock card*. These entries should correspond to a goods received note, waybill or consignment note. Every single entry should bear the signature of the storekeeper.
- The same commodities from different sources or financed by different donors should be stocked separately with separate stock cards for each.
- If the stock card is kept outside the warehouse, *stack* (*bin*) *cards* should be introduced. These are basically the same stock cards pinned on shelves or stacks of respective commodities.
- Physical inventories should be conducted at least monthly by the storekeeper and the logistics delegate (or any other designated delegate) and adjustments made to the stock cards as necessary. Any other than minor discrepancies should be investigated and the results reported to the Head of Delegation and/or the Operating National Society.

+c	Internationa	al Federation	of Red Cr	oss and Re	ed Crescer	nt Societies	i		
	Delegation								
	1								
			ST	OCK CA	ARD				
Stock Card									
Warehouse									
Item									
Minimum st	ockage leve	I							
Units									
Date	Document reference	Received from or Issued to	Location or Bin		In	Out	Balance	Storekeeper's signature	
				units					
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Delegation	on							
BIN CAR	RD							
Bin Card	d Number							
Wareho	use/Bin							
Item								
Units								
Date	Document		Stock					Storekeeper's
	reference	from or Issued to	card No.		ln	Out	Balance	signature
				units				
				kg				
				units				
				kg				
				units				
				kg				
				units				
				kg				
				units				
				kg				

		units		
		kg		
		units		
		kg		
		units		

# The Requisition Note

- The requisition note is issued by the Federation Delegation (sub-Delegation) or by the Operating National Society unit responsible for an operation. It should be signed by the manager of the operation in the area concerned (Federation Relief Co-ordinator, Logistics delegate, National Society programme co-ordinator etc.)
- The requisition note is the principal document authorising any dispatch of relief supplies from the warehouse. For food distributions it is also a basic operational planning document. No supplies can be issued by the warehouse storekeeper without a correctly signed requisition note.
- The quantity of the supplies is calculated separately for every distribution point or other destination, based on the number of beneficiaries and the distribution criteria (rations in the case of food items).
- This calculation should if possible be done *both* in packing units (bags, tins, cartons etc.) and kilograms. Weight calculation eases the planning of vehicle requirements, and unit calculation aids counting and control during loading and unloading. As the calculation for food items is based on nutritionally determined rations in grams or kilograms, the number of packing units will never correspond exactly to required weight. Therefore the *actual number of packing units required should be rounded out to the nearest whole number*.
- Special care is required in calculating the quantity of oil: nutritional rations are calculated in grams, but packing units are usually bottles, tins or drums having litres as their basic unit of measurement. Oil is lighter than water, and one litre of oil weighs less than a kilogram. To avoid confusion, all logistical calculations for oil including rations where necessary should be made in litres.
- To ensure the timely delivery of relief supplies, the requisition note especially when covering a number of distribution points should be issued and delivered to the warehouse well in advance.

+(		Intern	ational Fede	ration	of Red C	cross an	d Red C	rescent	Societie	S
		Deleg	ation							
		1								
REC	QUISITI	ON NO	OTE							
Perio	od from				to					
			T.		D	-l l'-f	!			
					Requeste	d relief su	pplies			
		Number of beneficiaries								
				units						
				kg						
				units						
				kg						
				units						
				kg						
				units						

	kg				
	units				
	kg				
	units				
	kg				
	units				
	kg				
	units				
	kg				
	units				
	kg				
	1	l l	l l	,	'
	units				
TOTAL					
	kg				
			,		
Requested by		Signature	Da	ate	
		<u> </u>			

# The Waybill

- The waybill is the principal document certifying the dispatch of supplies from the warehouse and their receipt at another warehouse or a distribution point. It is also the basis for payment to drivers when they are paid or contracted.
- The waybill is prepared by the storekeeper in *four copies*. After the dispatch is registered on the stock cards, one copy is filed at the warehouse. The original and two other copies are handed over to the driver.
- On delivery of the supplies, the original and the two copies of the waybill are signed by the receiving storekeeper. The original is filed at the distribution point, one copy is kept by the carrier, and another is brought by the carrier back to the sender as a confirmation of delivery.
- No supplies should ever be transported without a corresponding waybill. If some of the despatched supplies are to be returned to the warehouse from a distribution point, a separate waybill must be issued by the distribution point storekeeper or manager.

+C	Internation Crescent S	nal Federatio Societies	on of Red (	Cross and I	Red
	Delegation	1			
WAY-BILL					
Way-bill Number					
Transporter					
Vehicle No.					
Trailer No.					
To deliver from		to			
Description of goods	Ref. No	Quantity	Unit	x Weight	= Total
	,				

			]			
		1				
	I	I	J	<u>I</u>		
Issued by	Signature		Date			
Transported by	Signature		Date			
Observation	s upon receip	pt (if any):				
Observation	s upon recei <sub>l</sub>	ot (if any):				
Observation	s upon recei	pt (if any):				
Observation	s upon recei <sub>l</sub>	ot (if any):				
Observation	s upon recei	ot (if any):				
	s upon recei	ot (if any):	Date			
Received		ot (if any):	Date Stamp			

# **The Consignment Note**

- The consignment note may be used when the Federation is not distributing supplies directly to the beneficiary, but consigns or sends them for distribution or consumption to an institution such as a hospital or orphanage.
- The consignment note serves in the same capacity as a delivery note. It only replaces the waybill when the consignee (or distributor) picks up the supplies, in which case the consignee signs for both the transporter and the receiver. It is prepared in four copies by the storekeeper. After the dispatch is registered on the stock cards, one copy is filed at the warehouse. The original and two copies are handed to the carrier/driver.
- The original of the consignment note, signed by the consignees (those to whom it has been delivered), is returned to the warehouse immediately after delivery of the goods. It is used to prepare the distribution report and then filed. Copies of the consignment note are left with the consignees and the carrier.

	International Federation of Red Cross and Red Crescent Societies
	Delegation
	OONOLONWENT NOTE
	CONSIGNMENT NOTE
Consignmer Note No.	nt
Consignee	
Transporter	
Vehicle No.	
Trailer No.	

From						
Description of goods	Ref. No.	Quantity	Unit	Weight	Total	No.of benef
				l		I
Issued by		Signature			Date	
Transported b	у	Signature				
		ı			ı	
Observations	upon receip	ot (if any):				
Received by		Signature			Date	
					Stamp	
					Stattip	

### **The Stock Report**

- Stock reports are prepared by the storekeeper or warehouse manager weekly, monthly or bi-monthly. The closing date should normally be the last day of a calendar month. All warehouses in a single operation should use the same closing day for reporting.
- The stock report is compiled using the reconciled information from the stock cards and stock ledger. The opening stock will usually be the closing stock carried-over from the previous month's report.
- The original of the stock report is submitted to the Delegation or sub-Delegation and one copy is filed at the warehouse.

#### The Consolidated Stock Report

- The consolidated stock report is compiled by the Delegation or sub-Delegation based on the stock reports received from all the warehouses. It has the same basic format as the stock report, with only separate sheets for every commodity.
- If the Operating National Society manages the separate warehouses, then it should prepare the consolidated stock report, if necessary with delegate assistance, and submit it to the Delegation.

International Federation of Red Cross and Red Crescent Societies
Delegation in
STOCK REPORT

Warehous	se							
Period fro	om			to				
Relief Sup	pplies	Units		Opening	Received	Issued	Losses*	Closing
				stock			(if any)	stock
			units					
			kg					
			units					
			kg					
			units					
			kg					
			units					
			kg					
	I		units					
			kg					
			units					
			kg					
			units					
			kg					
			units					
			kg					
			units					
			kg					
	J		units					
			kg					
* Explana	ation of losses:							
Storekeep	per			Signature			Date	
0.0.0.000				J.g. rataro				
+C	Internationa	al Federa	ation o	f Red Cr	oss and R	ed Cres	cent Soci	eties
	Delegation							
		CONSC	71 ID 4	TED OT	OCK REP	OPT		
		CONSC	JLIDA	ובטפונ	JUN KEP	OK I		
Item								
1	I							

Period from		to			
			1		
Varehouses	Openin stock	Received	Issued	Losses* (if any)	Closing stock
				, ,,	
	units				
	kg				
	units				
	kg				
	units				
	kg				
1 1	units				
	kg				
	units				
	kg				
	units				
	kg				
	units				
	kg				
	units				
	kg				
	ing				
	lunito				
TOTAL	units				
	kg				
			1		
* Explanation of losses:					
Officer-in-charge	Signat	ure	Date	Date	

# The Distribution Report and Consolidated Distribution Report

- The distribution report is prepared by the distribution point manager immediately on completion of the weekly, twice-weekly or monthly round of distribution.
- The distribution report is compiled using information from waybills (the received column) and beneficiary lists or cards (the distributed column). In the case of food, the weight of distributed items should be specified wherever possible.
- The original of the distribution report is to be sent to the Federation Delegation or sub-Delegation with a copy filed at the distribution point.
- Based on the distribution reports, the consolidated distribution report is prepared by the Delegation and sent to the Federation Secretariat. The consolidated distribution report has the same basic format as the requisition note.

+C	International Federation of Red Cross and Red Crescent Societies				
	Delegation				

		DIST	RIBUTION R	EPORT			
Distribution point/ centre	· · · · · · · · · · · · · · · · · · ·						
Number of beneficiaries							
Distribution period							
Relief Supplies	Units		Opening stock (if any)	Received	Distributed	Losses* (if any)	Closing balance
		units					
		kg					
		units					
		kg					
1 1		units					
		kg					
		units					
		kg					
1 1		units					
		kg					
, ,		units					
		kg					
, ,		units					
		kg					
. ,							
Explanation of losses:							
Distribution point manag	jer		Signature			Date	
Storekeeper (if any)			Signature			Date	
						1	

<b>+c</b>	International Federation of Red Cross and Red Crescent Societies
	Delegation
	CONSOLIDATED DISTRIBUTION REPORT

Period from			to				
	N		D:		P		
Distribution points	Number of beneficiaries		Distribute	d relief su	pplies		
		units					
		kg units					
		kg					
		units					
		kg units					
		kg					
		units					
		kg units					
		kg units					
		kg units					
		kg units					
		kg units					
		kg units					
TOTAL		unito					
		kg					
		, e					
Officer-in-charge			Signature	9		Date	
oo ondigo			J.g. latare	-			

# **Logistics Quality Control**

139. During the past years the Logistics and Resource Mobilisation Department has worked to formalise and standardise several logistics procedures e.g. procurement, warehouse procedures and vehicle management. The latest development is the Logistics Quality Control which is a standard questionnaire to be used as a tool for the logistics delegate to check whether the standard procedures are in place and if so whether the standard procedures are operating effectively.

140. There are 3 core areas covered by the Logistics Quality Control (LQC):

• Warehousing Systems Level

- Transport System Level
- Procurement System Level
- 141. LQC allows the logistics delegate to quickly identify areas requiring improvement. The result of the questionnaire will be shown as score in terms of a percentage reached.
- 142. The Logistics Quality Control will have implications on efficiency, cost effectiveness and output. Where all standard logistics procedures are shown to be operating correctly it is less likely to see waste of resources and delays.
- 143. The LQC questionnaire is available on diskette with a short introduction paper. These are available at delegations or can be obtained from the Logistics and Resources Mobilisation Department in Geneva.

# **Conversion Tables**

	CONVERSION TABLE	ES	
	nits in the first column to the equicolumn, multiply by the figure st		
10 kilometres	= 10 x 0.6214 miles	= 6.214 m	
8 feet	= 8 x 0.305 metres	= 2.44 m	
5 kilogrammes	= 5 x 2.205 pounds	= 11.01 lb	
LENGTH			
1 kilometre (km)	= 0.6214 miles (mi)	1 km	= 1,000 m
1 metre (m)	= 1.0936 yards (yd)	1 m	= 100 cm
	= 3.28 feet (ft)		
1 centimetre (cm)	= 0.394 inches (in)	1 cm	= 10 mm
1 mile	= 1.609 kilometer (km)	1 mile	= 1,760 yd
1 yard (yd)	= 0.914 metres (m)	1 yd	= 3 ft
1 foot (ft)	= 0.305 metres (m)	1 ft	= 12 in.
	= 30.48 centimetres (cm)		
1 inch (in.)	= 2.54 centimetres (cm)		
AREA			
1 square km (km2)	= 0.386 square miles (sq mi)	1 km2	= 100 ha
1 hectare (ha)	= 2.471 acres	1 ha	= 10,000 m2
1 square metre (m2)	= 1.196 square yards (sq yd)	1 m2	= 10,000 cm2
	= 10.76 square feet (sq ft)		
1 square cm (cm2)	= 0.155 square inches (sq in.)		
1 square mile	= 2.59 square km (km2)	1 sq mile	= 640 acres

	= 259.0 hectares (ha)		
1 acre	= 0.405 hectares (ha)	1 acre	= 4,840 sq yd
1 square yard (sq yd)	= 0.836 square metres (m2)	1sq yd	= 9 sq ft
1 square foot (sq ft)	= 0.093 square metres (m2)	1 sq ft	= 144 sq in.
	= 930.0 square cm (cm2)		
1 square inch (sq in.)	= 6.54 square cm (cm2)		

in.)			
VOLUME			
1 cubic metre (m3)	= 1.307 cubic yards (cu yd)	1m3	= 1,000 litres
	= 35.32 cubic feet (cu ft)		
1 cubic cm (cc)	= 0.061 cubic inches (cu in.)		
1 cubic yard (cu yd)	= 0.765 cubic metres (m3)	1cu yd	= 27 cu ft
1 cubic foot (cu ft)	= 28.32 litres	1 cu ft	= 1,728 cu in.
1 cubic inch (cu in.)	= 16.39 millilitres (ml)		
Liquid Capacity			
1 litre (I)	=0.22 UK gallons (UK gal)	1 litre	=1,000 ml
· ····· (1)	=1.76 UK pints (UK pt)	I IIII G	=1,000 mil
			-1,000 66
	=0.26 US gallons (US gal)		
	=2.11 US pints (US pt)		
1 millilitre (ml)	= 0.0675 fluid ounces (fl oz)	1 ml	= 1 cc
1 millilitre (ml)	= 0.0675 fluid ounces (fl oz)	1 ml	= 1 cc
1 UK gallon (UK gal)	= 4.55 litres (I)	1 UK gal	= 8 UK pt
	= 1.20 US gallons (US gal)		
1 US gallon (US gal)	= 3.79 litres (I)	1 US gal	= 8 US pt
	= 0.83 UK gallons (UK gal)		
1 UK pint (UK pt)	= 0.568 litres (I)	1 UK pt	= 20 fl oz
1 US pint (US pt)	= 0.473 litres (I)	1 US pt	= 16 fl oz
1 fluid ounce (fl oz)	= 28.41 millilitres (ml)		
Weight			
1 metric ton (MT)	= 0.984 long (UK) tons	1 MT	= 1,000 Kg
	= 1.102 short (US) tons	1 Kg	= 1,000 Rg
	= 1.102 short (US) tons = 2,204.0 pounds (lb)	I Ny	= 1,000 g
	- 2,204.0 pourius (ID)		

1 kilogramme (kg)	= 2.205 pounds (lb)		
	= 35.27 ounces (oz)		
1 gramme (g)	= 0.035 ounces (oz)		
1 long (UK) ton	= 1,016.0 Kilogrammes (kg)	1 UK ton	= 2,240 lb
1 short (US) ton	= 907.1 kilogrammes (kg)	1 US ton	= 2,000 lb
1 long (UK) ton	= 1.12 short (US) tons		
1 pound (lb)	= 0.45 kilogrammes (kg)	1 lb	= 16 oz
			= 453.6 g
1 ounce (oz)	= 28.35 grammes (g)		

Weight of water (at 16,7°C, 62 °F)				
1 litre	= 1 Kg			
1 UK gal	= 10 lb			
1 US gal	= 8.33 lb			
1 cu ft	= 62.31 lb			

Temperature				
	To convert from Fahrenheit (F°) to C° Centigrade (°C):		from Centigrade (C°) to F° Fahrenheit: (°F):	
Multiply by 0.555 (or 5/9) and then add 32.		Subtract 32 and then multiply by 1.8 (compared to 9/5).		
	0°F	=-17.8°C		
	32°F	= 0°C		
	50°F	= 10°C		
	68°F	= 20°C		
	98.4°F	= 36.9°C		
	104°F	= 40°C		
	212°F	= 100°C		