

Designing an Anticipatory Action Framework

Objective

Ultimately, the objective of the pilot is to provide a collective, more effective, timely and dignified humanitarian response ahead of a severe, out-of-the-ordinary shock.

The pilot is to achieve this by methodically combining three components: 1) A robust forecasting embedded in a clear decision-making process (the impact model). 2) Pre-agreed action plans that can fundamentally alter the trajectory of the crisis (the Action Plan). And 3) Pre-arranged finance (the money for interventions). We also maintain the importance to allow for documenting lessons and evidence through a well-defined 4) Learning component.

In process terms: The Resident Coordinator (Humanitarian Coordinator) will set the strategic objectives for the anticipatory action in [Country] in support of the broader vision set out by the Emergency Relief Coordinator. This will set the parameters towards the approval by the RC/HC and relevant heads of agencies for an anticipatory action framework and submit it to the Emergency Relief Coordinator for approval. The framework will establish when and on what basis anticipatory action will be triggered for a specific event; how much funding will go to which agency (and subgrantee/implementing partner); and what activities the funding will be used for by when.

Areas of work, roles and responsibilities

First step: Determine main focal points for AA pilot in country

- Identify main day-to-day focal point at OCHA Country Office (in-country partner facing and HQ-facing)
- Establish “AA core group”: the “coalition of the willing” of technical focal points from interested and capable agencies. Primarily UN agencies, can later include IP reps.

	Areas of Work	HCT / ICCG /sector members	AA “core group” (Entities that implement AA)	OCHA CO	OCHA HQ ¹	HC
1 – Hazards, Forecasts, Triggers	Identification of impacts/hazards <ul style="list-style-type: none"> - Identification of and consultation with key stakeholders - Desk research: <ul style="list-style-type: none"> o Magnitude of past events o Impacts o Whether event was forecasted o Previous humanitarian responses - Criteria: <ul style="list-style-type: none"> o Is the hazard forecastable? o How severe are the impacts caused by the hazard? o Is avoiding/reducing the impacts caused by the hazard a priority for the Government and the humanitarian community? o Is it a 1-in-3 to 1-in-5 year event (not seasonal)? 	informed	Support	Support	OCHA/CHD – responsible Others: Supporting through desk research & advice	accountable
	Design of trigger mechanism <ul style="list-style-type: none"> - Review of available forecasts and skills for identified hazards, criteria for example: <ul style="list-style-type: none"> o Food security data o 10-day probabilistic rainfall and temperature forecasts available by National Met Service o Probabilistic 3/6-month seasonal rainfall and temperature forecasts available by national/regional/global institutions o Historical forecast data or hind casts available, and forecast verification analyses published² o Historical forecast data for ENSO o Climate change models - Stakeholder consultations (national, regional and global experts) - Define the threshold (impact level) for triggering - Validation of trigger mechanism (includes historical data analysis) 	informed	Co-responsible	Support (coordinate & input)	Co-responsible	accountable

¹ Refers to cross-sectional pilot team (HFSA, CERF, OAD, APMB, Centre for Humanitarian Data and global level partners)

² The correct definition of a 1-in-5-year rainfall event, for example, is the amount of rainfall that has a 20 percent chance of being exceeded in any given year. It is entirely possible to observe a 1-in-5 year event in two consecutive years, or even in the same year.

	Design of trigger governance: Who triggers the pilot based on what information and how does the information flow work. (Determine forecast monitoring and alerting arrangements)	Informed	Responsible	Responsible	Support	Accountable
2 – Anticipatory Actions	Crisis timeline <ul style="list-style-type: none"> - Desk review of past events - Experts from sectors/clusters map the main relevant crisis impacts (per sector) 	consulted	Co-responsible	Co-responsible (input & coordinate)	Supporting (through desk research & global consultations)	informed
	Identifying and selecting interventions <ul style="list-style-type: none"> - Building on desk review of existing EWEA, contingency and preparedness plans, understanding of existing cash systems, etc. - Stakeholder consultations (UN agencies, NGOs, government, technical experts) - May involve workshop with AA core group and/or ICCG and/or clusters. See example workshop concept note. - Completion of intervention proposals. See example from Ethiopia for agriculture interventions. - Main selection criteria: <ul style="list-style-type: none"> o Objective: aims to <i>prevent/mitigate</i> the shock impact o Feasibility (time): possible to execute the action <i>within the given forecast lead time</i> o Feasibility (capacity): does the agency have <i>proven operational capacity</i> and experience to implement the intervention effectively given the required lead time and scale? o Eligibility: are the proposed activities in line with the donor’s mandate (e.g. CERF’s life saving-criteria). o Additional criteria to consider: social/institutional acceptability, value for money, do no harm, no regret. Costing/budgets: for AA with short windows of opportunity (i.e. time between early warning/trigger and shock/impact) <p>Key: discuss with agencies’ technical FPs (not donor relations); ensure comprehension of each intervention’s window of opportunity; be critical about operational readiness; ensure clarity about costing methodology</p>	Informed/co nsulted	responsible	coordinate	Supporting (desk research, provision of material, co-facilitation of workshops)	accountable

	<p>Activation plan:</p> <ul style="list-style-type: none"> - Clarify who will implement the actions after a trigger has been reached and create 2-3 funding scenarios (depending on severity and location of the shock) with envelope distributions and target populations - Clarify activation and funding disbursement process. See example for slow-onset drought activation process here. - Coordination with the government. - Coordination with other stakeholders (e.g. WB) 	Informed	Co-responsible	Co-responsible	Consulted/ supporting (advice)	Informed/ accountable
3 - Financing	<p>Overview of available AA finance and coordination of different, existing AA projects (if available)</p> <p>Design and pre-approval of CERF templates</p> <ul style="list-style-type: none"> - Including detailed requirements for comms, evaluation, etc - Including detailed requirements for implementing partners and logistics <p>Clarify funding sources for preparedness activities</p> <p>Strategy on crowding-in additional finance (e.g. ECW, etc).</p>	Informed	Responsible	Responsible	Support	Accountable (for CERF)
4 - Learning	<p>Learning:</p> <ul style="list-style-type: none"> - 3 learning buckets: process learning, agency M&E on delivery, independent impact evaluation - Create M&E practitioner group with M&E focal points from the agencies participating in the pilot - Ensure targeting will be documented in a way that can facilitate an impact evaluation - Include learning overview in AA framework - Insert key requirements for M&E in agency proposals. - Data sharing, including beneficiary data, for evaluations. 	Informed	Co-responsible	Co-responsible	Consulted/ supporting	accountable

Useful resources:

Red Cross/Red Crescent **Manual for Forecast-Based Financing:** <https://manual.forecast-based-financing.org>

FAQ on Early Warning Early Action by the Red Cross/Red Crescent Climate Centre:

https://climatecentre.org/downloads/modules/training_downloads/2a%20FAQ%20on%20forecast%20based%20financing.pdf