Operational plan template

**Purpose:** The operational Plan of Action helps the relief team to identify what they want to achieve for the beneficiaries. It sets up priorities and provides a roadmap to keep the team on track with the expected results.

A strong Emergency Plan of Action is a critical part of successful programing, as it defines the overall strategy, specific objectives and field structure of the operation. It should be prepared after the assessment phase, and be used as a tool to coordinate the operation with other components of the Movement.

**How to complete the tool:** Complete each section using the provided guidance. Also, the emergency Plan of Action should follow your organization’s structure. In addition to the narrative it should include: Logical framework, Risk matrix, HR plan, Budget and detailed Work plan.

**Content of a PoA:**

1. Summary Information
2. Situation analysis
3. Proposed emergency operational response plan
4. Budget
5. Logical framework
6. Risk matrix
7. HR plan
8. Work plan

**Complete sections**

## I. Summary Information

### Date, Location and National Society and Movement Actors involved:

### Purpose of the Plan of Action:

*Some examples include:*

* *To allow the Host National Society and all the components of the International Red Cross and Red Crescent Movement to agree on the activities and tasks that will contribute to the operation*
* *To provide a summary of activities, resources and costs for the relief (including cash) operation*
* *To provide a set of target objectives and outputs to measure the effectiveness of the response*

## II. Situation Analysis

### Description of the disaster or conflict (see IFRC and ICRC specific Plans of Action for formats)

*Provide a summary of the situation based on the information available at this time, including:*

**The type of emergency:**

**The locations:**

**The scope and size of the emergency in terms of damage and /or numbers of affected population:**

**How the situation has developed or evolved.**

### Summary of the current Movement Response

**Overview of Host National Society**

*Summarise the action already taken by the National Society to respond to the emergency. Include any information about their work in the country, CTP and in-kind specific experiences and* capacity that is relevant for the management of the operation.

**Overview of Red Cross Red Crescent Movement in country**

*Describe ICRC and/ or IFRC presence in-country and/or the region, and any partner National Societies.*

**Movement Coordination**

*Describe the expected or planned processes or protocol for coordinating RCRC Movement support to and implementation of the operation.*

**Brief Overview of non-RCRC actors in country**

*In available describe what others are doing (Government, Civil Protection/Defence, Military, UN, INGOs, local NGOs) and any specific CTP and in-kind coordination mechanisms in place, such as clusters or government coordinating body.*

### Needs analysis and feasibility assessment

*S*ummarise emergency assessment data on the immediate needs of people affected and market related assessments, stating the source and date (i.e. RCRC assessment, government figures, and other organisations’ figures)*. Explain chosen priorities from response analysis. If a cash-based response or an in-kind distribution is proposed, describe how cash transfers and in-kind distributions fit into the operation and interact with other types of intervention.*

*Remember*: *Cash is one among several possible programming tools and the objectives and outcomes of an emergency response are the same whether cash is used or not.*

*Include:*

* *Household level needs per livelihood / sector and/or household members*
* *Market assessment findings*
* *Feasibility of cash transfer programming*
* *Intervention of other actors*
* *Gaps in current response that provide rational for intervention*

*Include findings on needs assessment findings:*

* *the intended beneficiaries' assessed needs*
* *the urgency and time-frame to respond to these needs*
* *the foreseen targeting methods*
* *the beneficiaries preferences with regards to the form of the intervention (cash, kind or combination; what form of cash transfer)*
* *intra-household issues related to the control over in-kind and cash resources*
* *the usual means of accessing cash by target households*
* *market assessment findings including the availability of sufficient quantity of goods on local markets that respond to the identified needs*
* *the intended beneficiaries' physical access to markets*

*Include findings on CTP feasibility assessment findings:*

* *the performance of markets (competition between traders, linkages between markets, ability to respond to increased demand)*
* *the available financial transfer mechanisms*
* *the availability of the right quality of goods compliant with quality and health & safety & performance standards (e.g.: food-grade aluminium or stainless steel to avoid metal migration, type of paint, UV resistance level for tarpaulins, thermal & pilling resistance for blankets etc.)*

*The feasibility assessment will provide information on risks linked to:*

* *the amount of cash to be transferred in total, per beneficiary and per location*
* *the frequency of the payments*
* *the number of beneficiaries that will need to be served in each location in a given timeframe*
* *the usual way of getting cash within the country, and by targeted households*
* *the familiarity of the target population with the various existing financial transfer mechanisms such as bank accounts, ATMs, mobile banking, etc.*

### Risk Assessment

Summarize any known or anticipated risks which might impact on the implementation of the operation (i.e. the security situation, state of the roads and difficulty of access) and any CTP or in-kind specific risks identified through the Risk Matrix and mitigation activities through the Risk Register.

*Include in annex:*

* *the context related security risks identified in the risk matrix (physical security)*
* *the programmatic/operational related security risks identified in the risk matrix*
* *the institutional related risks identified in the risk matrix*

*The feasibility assessment will provide information on risks linked to:*

* *Which financial transfer mechanism is the most secure (for the institution and beneficiary)? What are the security risks?*
* *Do the existing financial transfer mechanisms have the capacity to make the payment (amount/staff/time)?*
* *What is the reliability of the existing financial transfer mechanisms (corruption and fraud risks)?*
* *The destination and transportation costs from the delivery/pay point to the beneficiary home?*
* *Are the markets at which beneficiaries will supply themselves competitive, functional and integrated?*
* *Are the items available in quality, safety and cost efficiently compared to an ICRC supply?*

## III. Proposed Operational strategy and plan

### 1. Objectives of the Operation (create a separate Logframe)

*Give a short summary of the overall objective of the operation, including preparedness for imminent crisis if appropriate or why the National Society is concentrating on certain sectors only if relevant.*

*a. Overall objective*

*b. Outcomes*

*c. Expected results*

*Examples of* ***emergency response outcomes*** *where in-kind CTP and a combination of activities can be considered based on your needs assessment and CTP feasibility assessment:*

* *Immediate household needs of the disaster/conflict affected population are met*
* *Immediate food needs of the disaster/conflict affected population are met*
* *Immediate shelter and settlement needs of the target population are met*
* *Immediate reduction in risk of waterborne and water related diseases in targeted community is achieved*
* *Economic Security/Livelihoods are protected and negative coping strategies reduced among affected populations/households*
* *Critical nutritional status of the targeted community is improved*
* *Reduced food insecurity among affected households*
* *Livelihoods are protected and negative coping strategies reduced among affected populations/households*
* *The management of the operation is informed by a comprehensive monitoring and evaluation system*

### 2. Targeted Beneficiaries

a. Number of beneficiaries and area of intervention

b. Targeting criteria (geographic, community, household and individual as applicable)

c. Analysis of beneficiary situation in relation to proposed intervention

### 3. Chosen Cash Transfer Mechanism (including Delivery Agent and Delivery method)

a. Rationale for selected cash transfer modality

b. Type of transfer mechanisms (delivery agent and delivery method)

c. Regularity of payments and cash transfer value

### 4. Risk analysis findings

*Describe the result of the risk analysis and include in annex*

a. Main identified risks in the Risk Register Template

b. Mitigation measures

### 5. Distribution Plan

*Create a detailed workplan/Gantt chart indicating timelines for activities and include in annex*

### 6. Accountability to beneficiaries / stakeholders

*Describe the intended beneficiary accountability system*

a. Beneficiary / Stakeholders communication

b. Feedback and Response System

### 7. Support Services

a. Human resources (create a detailed Human Resources plan and annex)

*Personnel needed to complete the operational plan – volunteers, NS staff, surge capacity country/regional staff, delegates, etc.. Based on the specific operation, specify and reflect projected HR needs and include the costs in the operational support budget.*

b. Logistics and supply chain

*Procurement plans and tendering processes for voucher programmes*

c. Administration and Finance

*Procurement plans and tendering processes for working through financial institutions*

d. Security requirements

e. Information technologies (IT) requirements

### 8. Planning, monitoring, evaluation and reporting (PMER)

*Indicate how monitoring of the implementation will be carried out and whether an evaluation, beneficiary satisfaction survey, lessons learned workshop are planned. Include market price monitoring.*

*Indicate here any support that will be provided to monitoring and evaluation of the operation, for example:*

a. Process monitoring

b. Impact monitoring

c. Market monitoring

*Provide details of the types of reports, the audience and the frequency.*

## IV. Budget

***(refer to Movement actor specific templates and procedures)***

*Include a detailed breakdown and overall CTP and in-kind component of the budget that includes:*

* The number of beneficiaries multiplied by the amount to be paid (in the currency of payment)
* Human resources costs
* Transport costs
* Handling cost (bank or other charges)
* Administrative cost (office equipment needed)

a. Total cost of the operation:

b. Direct operational costs:

c. Support costs:

## Sample Budget Format – use excel version to help with calculations (M4 1\_1\_3 Budget template.xlsx)

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Activity** | **Account** | **Description** | **Quantity** | **Unit** | **Cost** | **Total** | **Expenditure** |
| **Outcome 1**  |
| **Output 1.1** |
| AA |  |  |  |  |  |  |  |
| AA |  |  |  |  |  |  |  |
| AA |  |  |  |  |  |  |  |
| **Total cost Output 1.1** |  |  |  |  |  |  |  |
| **Output 2** |
| AB |  |  |  |  |  |  |  |
| AB |  |  |  |  |  |  |  |
| AB |  |  |  |  |  |  |  |
| **Total cost Output 1.2** |  |  |  |  |  |  |  |
| **Outcome 2** |
| **Output 2.1** |
| AC |  |  |  |  |  |  |  |
| AC |  |  |  |  |  |  |  |
| AC |  |  |  |  |  |  |  |
| **Total cost Output 2.1** |  |  |  |  |  |  |  |
| **Output 2.2** |
| AD |  |  |  |  |  |  |  |
| AD |  |  |  |  |  |  |  |
| AD |  |  |  |  |  |  |  |
| **Total cost Output 2.2** |  |  |  |  |  |  |  |
| **Total Support Costs** |  |  |  |  |  |  |  |
| **Total Sub budget** |  |  |  |  |  |  |  |
| **Programme Support costs** |  |  |  |  |  |  |  |
| **TOTAL BUDGET** |  |  |  |  |  |  |  |

## V. Sample Logical framework format with examples (M4\_1\_1\_2 Logical framework template.doc)

|  |
| --- |
| **[Project Name] LOGFRAME** |
| **Objectives** | **Indicators** | **Means of verification** | **Assumptions** |
| **Goal** | To ensure the immediate needs of disaster/conflict affected populations are met |  |  |  |
| **Outcomes** **Examples suitable for in-kind, CTP and combined in-kind and CTP**  | * Immediate household needs of the disaster/conflict affected population are met
* Immediate food needs of the disaster/conflict affected population are met
* Immediate shelter and settlement needs of the target population are met
* Immediate reduction in risk of waterborne and water related diseases in targeted community is achieved
* Economic Security/Livelihoods are protected and negative coping strategies reduced among affected populations/households
* Reduced food insecurity among affected households
* Livelihoods are protected and negative coping strategies reduced among affected populations/households
 | * Beneficiaries’ use of cash
* Change in income and expenditure patterns
* Change in household’s sources of food or coping strategies
* Availability of items in the market
* Changes in the market prices of key commodities
 | * Post-distribution monitoring
* Market monitoring
* Final evaluation
 | Political authorities at national and local levels are willing to accept cash transfer programing in their area. No other natural disaster affects the targeted communities during the project.  |
| **Outputs****Examples suitable to achieve outcomes above** | **Immediate household needs of the disaster/conflict affected population are met**Target population has increased access to essential household items (EHI)/non-food items (NFI) through market based interventionsTarget population has increased ability to access essential household items (EHI)/non-food items (NFI)**Immediate food needs of the disaster affected population are met**Vulnerable households receive appropriate food rations(where markets cannot meet the needs)Households receive cash transfers to purchase food (where markets are functioning)Households receive essential household items that support the production of food**Immediate shelter and settlement needs of the target population are met.** Target population receives emergency shelter assistanceAffected communities receive shelter and settlement – related income generating opportunities in accordance with the livelihood strategy**Immediate reduction in risk of waterborne and water related diseases in targeted community is achieved**Target population has increased ability to access safe water that meets Sphere and WHO standards in terms of quantity and qualityTarget population has increased ability to access hygiene-related goods (NFIs)**Livelihoods are protected and negative coping strategies reduced among affected populations/households** Household income is maintained where income sources are disruptedHousehold and productive assets are protectedLivelihoods are protected and negative coping strategies reduced among affected populations/households Productive assets are replaced and retained**Reduced food insecurity among affected households** Essential household items which support the production of food are received and/or accessedHousehold income is maintained where income sources are disrupted | * Number of beneficiaries receiving cash transfers
* Number of men or women collecting cash
* Total amount of cash transferred to beneficiaries vs. planned
* Total monetary value of cash distributed
* Payments made on time / according to schedule
* Satisfaction of beneficiaries with process and methods of implementation
 | * RC registration and distribution summary forms
* Financial reports from delivery mechanism providers
* Reports from Feedback/complaints system
* Post-distribution monitoring
 | The political and security situation remains stable allowing community-level actions to be carried out.Program will not cause localized market inflationCash can be safely managed All selected areas remain accessible for M&E  |
| **Activities****Examples suitable for outputs above** | **1.** Advocacy and sensitization on cash programing**2**. Recruit and train staff and volunteers**3**. Identify and register beneficiaries for the project**4.** Identify encashment locations**5**. Train financial service providers**6.** Prepare and disseminate beneficiary and stakeholders communication (including feedback/complaint system)**7**. Prepare and distribute cash/vouchers **8.** Conduct post-distribution process and impact monitoring **9.** Carry out market monitoring**10.** Carry out end of project evaluation |  |  |  |

## VI. Sample risk matrix template (M3\_ 1\_4\_2 CTP Risk matrix template.docx)

|  |  |  |  |
| --- | --- | --- | --- |
| **Risk** *(and source of information)* | **Likelihood(1 Low-5 High)** | **Description of impact on programme (1 Low – 5 High)** | **Identified risk mitigation actions and risk owner** |
| **Contextual risk** |
| **Governmental regulations/laws** |  |  |  |
| **Security/access** |  |  |  |
| **Inflation risk caused by external factors e.g. currency devaluation,** |  |  |  |
| **Programmatic risk** |
| **Capacity related risks related to funding** |  |  |  |
| **Risks related to using third parties** |  |  |  |
| **Security risk to staff and volunteers** |  |  |  |
| **Security risk to beneficiaries** |  |  |  |
| **Corruption**  |  |  |  |
| **Conflicts within the community**  |  |  |  |
| **Inflation**  |  |  |  |
| **Institutional risk (financial, reputational and strategic risk)** |
| **Accountability, fraud & corruption risks**  |  |  |  |
| **Strategic risks for the National Society/ Movement** |  |  |  |
| **Relationship to other actors** |  |  |  |
| **Others** |  |  |  |

## VII. HR Plan sample format

*Reflect projected HR needs.*

*Consider personnel needed to complete the operational plan – this can be in-country staff, delegates, consultants, volunteers, surge capacity, etc.*

*Also consider functions and locations related to CTP or in-kind activities including:*

* Beneficiary communication and accountability system
* Feedback and response mechanism
* Database management
* Distributions (and redeeming when using vouchers)
* Process monitoring
* Market price monitoring

|  |
| --- |
| **HR planning table** |
| **Position title** | **Sector area** | **Time (months)** | **Specific roles, responsibilities, tasks** |
| **National staff** |  |  |  |
| **HQ and chapter level staff** |  |  |  |
| **Volunteers** |  |  |  |
| **International staff** *Needed full time or for specialist function* |  |  |  |
| **Other** |  |  |  |
|  |  |  |  |

## Viii. Sample work plan format (M4\_1\_1\_4 Workplan template.xlsx)

|  |  |  |  |
| --- | --- | --- | --- |
| **Activities** | **Person responsible** | **Coordination with** | **TIMELINE** |
| **Week 1** | **Week 2** | **Week 3** | **Week 4** | **Week 5** | **Week 6** | **Week 7** | **Week 8** |
| **Set-up** |
| Develop an operational plan including: logframe, risk matrix, HR plans, budget, and work plan |   |   |   |   |   |   |   |   |   |   |
| Define roles and responsibilities (SOPs) |   |   |   |   |   |   |   |   |   |   |
| Establish coordination mechanisms with other actors |   |   |   |   |   |   |   |   |   |   |
| **Beneficiary communication and accountability (BCA)** |
| Develop a BCA plan |   |   |   |   |   |   |   |   |   |   |
| Design and set up a complaint and response mechanism |   |   |   |   |   |   |   |   |   |   |
| **Service provider selection and contracting** |
| Research potential service providers |   |   |   |   |   |   |   |   |   |   |
| Conduct a tendering process to select service providers |   |   |   |   |   |   |   |   |   |   |
| Contract and define ways of work |   |   |   |   |   |   |   |   |   |   |
| **Registration and identification** |
| Plan and prepare for registration and identification |   |   |   |   |   |   |   |   |   |   |
| Register beneficiaries |   |   |   |   |   |   |   |   |   |   |
| **Distribution and Encashment** |   |   |   |   |   |   |   |   |   |   |
| Plan and organize distributions |   |   |   |   |   |   |   |   |   |   |
| Assess encashment capacity |   |   |   |   |   |   |   |   |   |   |
| Plan encashment and mobilize agents |   |   |   |   |   |   |   |   |   |   |
| Train staff and service providers |   |   |   |   |   |   |   |   |   |   |
| Carry out distributions |   |   |   |   |   |   |   |   |   |   |
| Carry out encashment |   |   |   |   |   |   |   |   |   |   |
| Encashment close-out |   |   |   |   |   |   |   |   |   |   |
| **M&E planning** |
| Develop an M&E strategy |   |   |   |   |   |   |   |   |   |   |
| Set up a whistle blowing system |   |   |   |   |   |   |   |   |   |   |
| **Programme monitoring** |
| Establish baselines |   |   |   |   |   |   |   |   |   |   |
| Encashment monitoring |   |   |   |   |   |   |   |   |   |   |
| Post-distribution monitoring |   |   |   |   |   |   |   |   |   |   |
| **Market monitoring** |
| Monitor traders |   |   |   |   |   |   |   |   |   |   |
| Monitor prices |   |   |   |   |   |   |   |   |   |   |
| **Evaluation** |
| Plan evaluation (including ToR elaboration) |   |   |   |   |   |   |   |   |   |   |