ANTICIPATORY ACTION PLAN

For Drought in Ethiopia

Living document during the 2020-2021 pilot phase
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1. Introduction

Drought in Ethiopia

Ethiopia is highly vulnerable to climate-related shocks and stresses, more frequently to seasonal droughts, erratic rainfalls and prolonged dry spells. The country's vulnerability is caused not only by its biophysical factors – arid and semi-arid regions, waterlogging, bush fires, land erosion, deforestation, pest infestations such as the desert locust and fall armyworm – but also by its socio-economic factors, such as high population growth, rapid urbanization, dependence on agriculture, limited agriculture investment, poverty, conflict-induced spikes in internal displacement and others. Consequently, a limited climatic shock now has a greater impact on the most vulnerable households than a few years ago while at the same time extreme weather hazards are more frequent.

Ethiopia is regularly hit by droughts: Since 1953, Ethiopia has experienced droughts and floods every decade, largely due to the impact of El Niño, La Niña and Indian Ocean Dipole (IOD) weather events.[1] Climate change and global warming have increased the frequency and the severity of these events in Ethiopia. The drought of the mid-1980s caused many deaths with estimates ranging from half a million to over a million (Porter and Dercon 2010). In comparison the droughts in 2002 and 2011 caused many fewer deaths. In 2002 failure of rains in August and September caused an estimated 11.3 million Ethiopians to be at risk of severe food shortages and 3 million at risk of significant shortages by December (Gilligan and Hoddinott 2007). In 2011, 4.5 million Ethiopians needed food in the second half of 2011, on account of rain failures in the first half of the year (Joint Government and Humanitarian Partners' Document 2012).

In 2015-2016, the impact of the worst El Niño in 50 years was strong in the central and northern part of the country. More than 10 million people depended on relief food assistance, household and community resilience was eroded while vulnerability increased. This was followed in 2017 with a severe Indian Ocean dipole-induced drought in south and southeastern Ethiopia, which led to 8.5 million Ethiopians needing relief food assistance. Droughts not only provoke food and nutrition insecurity, they also limit access to water for people and animals, increase the burden of waterborne diseases, can lead to displacements and other coping mechanisms due to increased protection risks, school dropouts, and other effects.

Rationale for Anticipatory Action

There is broad agreement for the international humanitarian sector to move from a largely responsive approach to an anticipatory approach. Planning in advance for the next disaster, putting the response plans and the funding in place before a disaster, releasing the funds to act to reduce the impact of a disaster and therefore limit humanitarian needs. An anticipatory approach leads to a more effective, efficient and dignified response. It also protects hard-won development gains.

[1] Drought years in Ethiopia include the 1973-74 drought in Tigray-Wollo (today's Tigray and eastern Amhara) invigorated the student movement that led to the downfall of the imperial regime, and the 1984-5 drought (the Ethiopian famine) led to the armed revolt against the *Derg*, and contributed to the rebel groups' overthrow of the military junta. Additional drought years include 1997-8, 2004-5, 2008-9 and 2011 droughts.

Objectives of Anticipatory Action

Anticipatory action is fundamentally different from humanitarian response and development programming in that anticipatory humanitarian actions are actions taken in *anticipation* of a crisis, either before the shock or at least before resulting humanitarian needs have manifested themselves in slow-onset situations. The objective of anticipatory actions is to mitigate the impact of the shock. They are therefore only implemented if there is a high probability of such a shock occurring, and the implementation is extremely time critical.

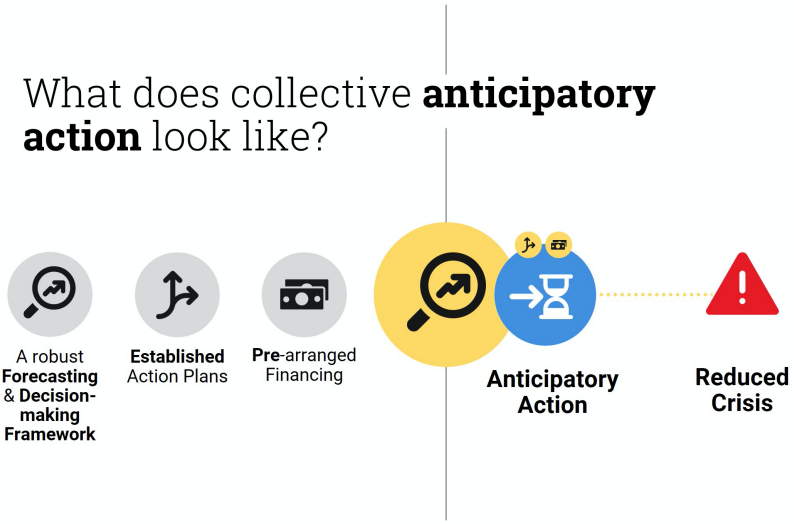
Anticipatory action therefore requires proactive measures to get ahead of major shocks to mitigate their potential impacts on vulnerable populations. Anticipatory action has three core components designed to maximize the speed and effectiveness of interventions, including:

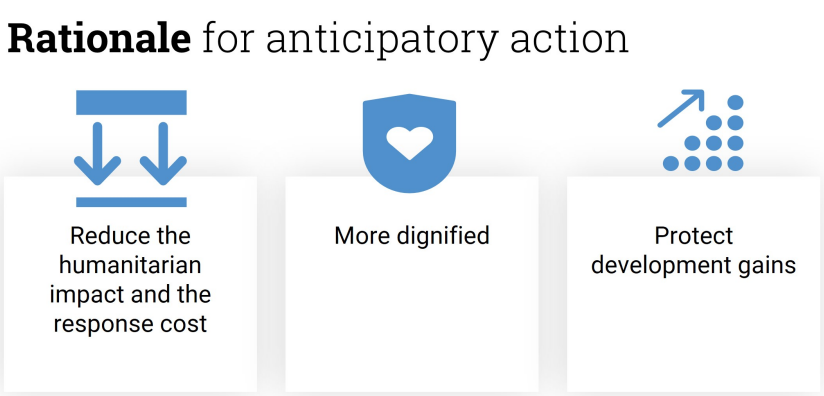
(i) robust forecasting (to define triggers/parameters) and country-level decision-making processes linked to
(ii) pre-agreed activities, and
(iii) pre-committed financing;

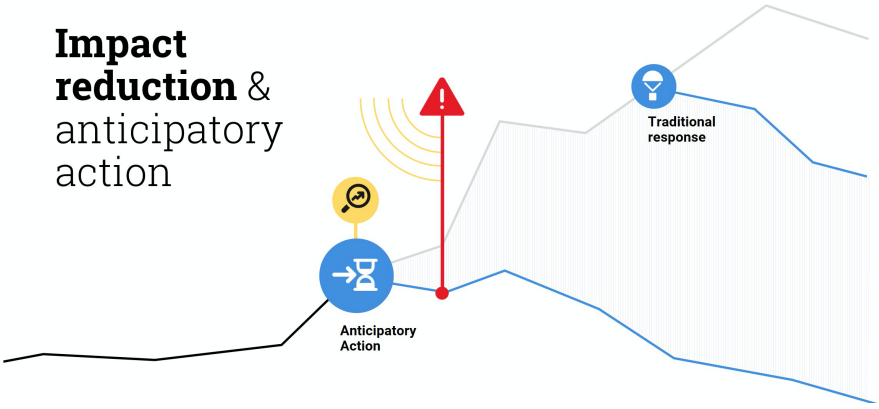
There is a compelling case for anticipatory action in Ethiopia:

1. Anticipatory action helps to **prevent and reduce human suffering**, as interventions mitigate the shock impact and reduce humanitarian needs; and
2. Anticipatory action helps to **protect hard-won development gains and enhances resilience.**

Anticipatory action differs from early response. Early response, however fast and timely, is a type of reactive intervention that is triggered after a hazard has occurred to address emerging or fully manifested humanitarian needs. Anticipatory Action is also intended to be distinct from risk reduction and response preparedness. Risk reduction is often integrated into development work and does not wait for early warning, while response preparedness is focused on improving the speed and effectiveness of the emergency response. In contrast to seasonal preparedness activities, resilience building or climate adaptation, anticipatory action is in response to a *specific, imminent* high-probability shock.







Core principles of the plan

Multi-sectoral: Partners should prioritize multi-sectoral, co-targeted interventions when possible to maximize synergies. The bundled delivery of services [such as school feeding and locating water services at a school] can have multiplier effects. (not only a food security response)

Centrality of protection: Designing interventions ahead of time allows for a much higher quality of programming in general and to ensure the centrality of protection in particular.

It is critical that anticipatory actions are planned, implemented, monitored and evaluated through the protection lens. In line with the IASC centrality of protection policy, and the principle of "leaving no one behind" (2030 agenda), all partners implementing anticipatory interventions have the responsibility to ensure that their response will not aggravate the exposure of communities to risks of violence, insecurity, extortion and exploitation. Anticipatory actions must also ensure that they benefit all communities (local communities, displaced communities, returnees, and refugees) based on their needs, with due attention given to obstacles linked to gender, age, disability or social affiliation. Finally, actions are required to prevent further risks of violence which droughts could trigger, and the resulting displacement and humanitarian dependency.

Accountability to affected populations (AAP): Humanitarian actors in Ethiopia will continue to demonstrate their commitment to Accountability to Affected Populations (AAP) through this anticipatory action framework. Partners engaged in the implementation of the anticipatory action framework are responsible for the integration of AAP approaches in their activities. This includes making all efforts to solicit, hear, and act upon the voices and priorities of affected people (including the most marginalized and at-risk women, men, girls and boys) in a coordinated manner, before, during, and after anticipatory action. It also means ensuring that community feedback leads to corrective action in future anticipatory action. Integrating AAP also includes ensuring communication with affected communities on anticipatory action, on how they can provide feedback and how this has been taken into account.

Localization: All partners involved in the implementation of any of the pre-defined interventions outlined in this anticipatory action framework are also expected to honour the EHCT's commitment towards localization. Equitable partnerships with local actors building upon their long-term relationships and trust with communities during anticipatory action is crucial.

Cash where possible: Cash should be systematically considered as a response option: Humanitarian actors should work together to ensure that cash is the preferred and default form of assistance where markets and operational contexts permit. Cash should be systematically considered on an equal footing with in-kind assistance to determine the appropriateness of different response modalities.

Development Co-Benefits: The World Development Report 2017 found that many countries are richer not because they have grown faster than poorer ones, but because they have had fewer episodes in which crisis or conflict shrank their economies. Short-term impacts can disguise longer-term impacts, because losses can make households permanently poorer by undermining their capacity to recover.

Making development finance and humanitarian finance complement each other to reduce suffering and address the root causes of problems. Therefore, partners were encouraged to

think through how the design of an anticipatory intervention could, where possible, generate development co-benefits, for example so that the quality of repair of boreholes ensures water supplies beyond the crisis. In this respect, the importance of integrating the anticipatory action plan into the overall humanitarian/development architecture in Ethiopia and ensuring alignment with other relevant planning frameworks, was broadly agreed and emphasized.

Linkages to the Humanitarian Programme Cycle

Anticipatory action is best understood as one tool among several for addressing crisis risk, in this case the risk of a drought-induced humanitarian crisis. Other tools - which should be applied in complementarity - include insurance, for example, and also contingency finance like the CERF Rapid Response Window or the Ethiopia Humanitarian Fund.

The Humanitarian Programme Cycle includes opportunities to strategically analyze the risks facing Ethiopia and decide which tool is the most appropriate for addressing different types of risks. While the Humanitarian Response Plan (HRP) plans for the most likely scenario, the Anticipatory Action Framework targets a drought event that has a moderate likelihood, but whose impact would be severe or critical.

The risk analysis undertaken in the Humanitarian Needs Overview is intended to help with the planning for the HRP, but it can also complement risk analysis undertaken to prepare for, anticipate and mitigate the impact of hazards outside of the scope of the ongoing response.

The IASC Emergency Response and Preparedness (ERP) approach offers a simple methodology to identify and rank hazards and to help Humanitarian Country Teams to prepare for potential high-impact events outside the scope of the HRP that would overwhelm current response capacities. Depending on the severity of the scenario and operational context the Humanitarian Country Team is advised to either:

a) Include costed preparedness actions and proposed response actions **in the HRP**;
b) Develop a separate costed **contingency plan** which includes preparedness and response actions based on the country context and risk profile;
c) Where appropriate levels of quality risk monitoring, response capacity and available financing are in place, field teams can identify humanitarian actions which can **mitigate** the humanitarian impact of a predicted out-of-the-ordinary hazard and can be implemented before this impact has fully materialized in anticipation of a potential crisis to mitigate its potential impact (**anticipatory action**). Depending on the context prevention programming and anticipatory humanitarian actions can be i) included in the HRP, ii) included within a Contingency Plan and referenced in the HRP, or iii) as a separate anticipatory action plan/framework that is referenced in the HRP.

Preparedness. The ERP provides an agreed framework that allows Humanitarian Country Teams to identify high-impact risks, take actions to enhance preparedness, and flag gaps in capacity so the right support can be mobilized. The ERP approach is designed to ensure that the humanitarian community in a given country has a shared and updated understanding of

risks and a joint plan for enhancing preparedness. The approach has three main components: 1) risk analysis and monitoring; 2) Minimum Preparedness Actions (MPAs), which are a set of activities that every Humanitarian Country Team should review and implement where needed to establish a minimum level of emergency preparedness within the country; and 3) Advanced Preparedness Actions (APAs), which are designed to take a Humanitarian Country Team from 'preparedness' to 'readiness', and contingency planning when required. While risk analysis, monitoring and minimum preparedness measures are relevant in all contexts, advanced preparedness and **contingency planning** only becomes necessary once a specific moderate or high risk has been identified.

Contingency Planning in its simplest terms is a snapshot of humanitarian partners' capacities and approaches to meeting the immediate needs of affected communities as the result of a likely shock. A good inter-agency contingency plan can help the implementation of **Anticipatory Action** should an out-of-the-ordinary event be forecasted to take place and trigger the provision of assistance before humanitarian needs have fully manifested.

2. Ethiopia Crisis Timeline

A collective analysis of drought risk is key to understanding the impact of such an event, that is how humanitarian needs develop following a poor rainy season (or two consecutive poor seasons) and who is most at risk in this scenario. This analysis determines the selection of actions that have the biggest chance to reduce the impact of drought and the identification of thresholds to trigger the actions.

Understanding drought

This Anticipatory Action Framework aims to mitigate the impact of hydrological, agricultural and socioeconomic drought.

Consider the drought definition of the National Oceanic and Atmospheric Administration (NOAA): "Drought is the absence of water. It is a creeping phenomenon that slowly sneaks up and impacts many sectors of the economy, and operates on many different time scales. As a result, the climatological community has defined four types of drought: 1) meteorological drought, 2) hydrological drought, 3) agricultural drought, and 4) socioeconomic drought. Meteorological drought happens when dry weather patterns dominate an area. Hydrological drought occurs when low water supply becomes evident, especially in streams, reservoirs, and groundwater levels, usually after many months of meteorological drought. Agricultural drought happens when crops become affected. And socioeconomic drought relates to the supply and demand of various commodities to drought."[2]

The evolution of the humanitarian impact of drought

Water deficit for human consumption

Between starvation and death is disease: After water sources dry up, people are forced to consume contaminated water, raising the risk of communicable diseases. Cholera outbreaks

[2] See https://www.ncdc.noaa.gov/monitoring-references/dyk/drought-definition

occur within 2-3 weeks after water sources have dried up, and measles outbreaks after 3-4 months. The exposure to disease results in an increase in malnutrition and child mortality. The lack of clean water also disrupts the provision of public goods, like education in schools, and healthcare in hospitals and clinics. Commercially purchased water is more expensive and people who are forced to buy are accumulating debt. Having to travel further to access water also exposes the population, especially women and girls, to SGBV.

Water deficit for agricultural production

Insufficient water to grow crops reduces the yield and thus the income of the farmers. In addition, there are reduced agricultural labor opportunities for casual workers, reducing their income. A poor harvest leads to food scarcity, which drives up food prices and reduces purchasing power in both rural and urban areas. This leads to reduced food consumption, and rising food insecurity and poor nutrition. Collapse in livelihoods and disruption in the provision of public goods also lead to displacement out of rural areas. Many crop pests become more prevalent during a drought (e.g. Fall Armyworm, aphids), and compound the already severe production losses faced by farmers during a drought.

Water and fodder shortage for animal consumption

Depleted pasture and limited water results in poor livestock body conditions, reducing their price and breeding. Herds start shrinking [due to lower reproduction rates and deaths], representing the loss of livelihood assets and related food sources such as meat and milk, leading to rising child malnutrition. The concentration of weak animals around water points makes them more prone to animal disease outbreaks which can lead to export bans for livestock, which accounts for the majority of export, reducing their price and hard currency income. Also when livestock fall ill, their products are unsafe for human consumption (milk, meat). Competition over scarce water and pasture causes conflict and further displacement.

Crop prices and labor

There is a clear seasonality in the impact of weather shocks on grain prices. The immediate impact of drought on prices shows the importance of acting quickly after a drought when markets are not well integrated in order to prevent the inflationary effects from impacting welfare[3]. Limited rural labour markets in Ethiopia means that farms typically rely on family labour and there are few employment opportunities outside the farms.

3. Forecast and Triggers

A trigger mechanism enables the automated activation of the framework and release of pre-agreed financing. It alleviates the uncertainty around when action is warranted while not prescribing the geographical location of the response.

The trigger mechanism consists of a combination of food security and climatic triggers so as to activate the framework in response to drought-related food insecurity. It is based on

[3] Ruth Hill & Habtamu Fuje, July 2020, "What is the impact of weather shocks on prices? Evidence from Ethiopia", shared by the author.

reaching a threshold related to the percentage of the population in certain phases in the Integrated food security Phase Classification (IPC) as well as the presence of dry conditions.

Trigger Definition

The mechanism is a two-step determination tool: it firstly determines projected humanitarian need as captured by a food security index and secondly determines whether drought conditions are projected. An activation would only trigger if both criteria (food insecurity and drought) are met.

Food Insecurity

The trigger leverages short-term (3-month) and long-term (6-month) projections. The food security criterion is met whenever either set of projections meet the criterion.

Trigger description

One of the following two conditions should be met:

1) At least 20% population of one or more ADMIN1 regions projected at IPC4+
2) At least 30% of ADMIN1 population projected at IPC3+ AND increase by 5 percentage points in ADMIN1 pop. projected in IPC3+ compared to current state

Drought

We propose to leverage seasonal rainfall forecasts from ICPAC, NMA, NMME or IRI as well as the analysis of food insecurity drivers published by Global-IPC or FEWSNET (see below for more information on the data sources.)

Trigger description

One of the following two conditions should be met:

1) At least 50% probability of below average rainfall from at least two seasonal rainfall forecasts
2) Drought named as a driver of the deterioration of the situation in food security report

Mechanism Specifications

- The trigger mechanism aims to determine *when* but does not dictate *where* a response should be deployed.
- The Anticipatory Action Framework should activate under the scenario of a single region meeting the threshold.
- Funding through the Anticipatory Action Framework would not be released more than once a year even if the threshold is crossed multiple times.
- The mechanism specifics are evaluated as part of a pilot and may be revised as learnings suggest they should be.

Data Assumptions

- Both FEWS NET-IPC or Global-IPC are informative data sources for the food security indicator. Using both takes advantage of each index's strengths and mitigates the other's limitations.
- The Framework should be activated if either data source meets the threshold.

- Sources of drought indicators include the IGAD Climate Prediction And Applications Centre (ICPAC), Ethiopian National Meteorological Agency (NMA), North American Multi-Model Ensemble (NMME) and International Research Institute for Climate and Society at Columbia University (IRI) as well as the outlooks published by Global-IPC and FewsNet.
- The most recently updated projections available at the time of the evaluation should be prioritised.

4. Pre-identified anticipatory actions

Anticipatory actions will aim to interrupt the pathways outlined in the crisis timeline section by targeting populations most at risk of being impacted by a shock. The following criteria were applied to select actions:

1) **Anticipatory character**: is the action effective in preventing or reducing the humanitarian impact of drought?
2) **Feasibility – lead time**: is it possible to carry out the action effectively with the available forecast lead time, i.e. in the window of opportunity?
3) **Feasibility – agency capacity**: Do the agency and its IPs have the institutional capacity (thematic, logistic, administrative, financial, human resources) to implement the action effectively given the lead time and scale?

Priority interventions

The identified anticipatory action can be categorized in two ways:

Activities that prevent or mitigate the potential impact.

Sustain clean water provision for animals and humans by rehabilitating water points, optimal water capture and storage, and safe hygiene practices

Drought will result in shortage of water that forces animals and humans to consume contaminated water and travel longer distances to access those, leading to communicable disease outbreaks, malnutrition and increased mortality, displacement, asset loss in case of loss of livestock and conflict risk. Sustaining the supply of clean water and good hygiene practices, will help mitigate potential water scarcity during a drought situation by increasing access to clean water, and mitigate the secondary impact of such a shortage [displacement and disease outbreaks caused by water scarcity].

Sustain food production for human consumption through the distribution of drought tolerant or short season seed varieties, the promotion of new varieties like green gram and reduction of severe losses due to pests

During drought, most crop varieties perform poorly due to limited moisture, high temperatures, salinity and higher incidences of pests and diseases. This package would include a cereal and a pulse that mature faster and perform better under drought conditions than seeds usually distributed to farmers in emergency. This will ensure optimal yield by farmers (compared to no yield in the event of severe drought where mono-cropping is practiced). Fall Armyworm prevalence is higher during drought, and control efforts have proven to reduce crop losses by a significant margin

Sustain animal productivity in times of crisis through livestock supportive treatment campaign and provision of supplementary feeds

With worsening drought conditions, livestock illness and disease can spread rapidly, reduce animal productivity, kill livestock in large numbers and ultimately deplete a major food source for much of the affected population. A countrywide treatment campaign can become necessary to treat a critical mass of livestock against common illness and bacterial disease that spread quickly during drought (e.g. parasites, respiratory and skin infections). While reducing the rate of disease spread and morbidity, the treatment quickly boosts animals' body condition, milk production and overall energy to move, feed and remain a viable asset. Providing livestock supplementary feeds will boost livestock production [particularly milk yield], resulting in rapid improvements to household food supply and nutrition. Feed resources will save livestock and the lives of people who depend on livestock for daily milk supply [and other animal products] to survive.

Activities that stabilize and protect vulnerable people and contain worsening conditions

Stabilize purchasing power of the vulnerable people through cash transfers

During a drought shock casual agricultural labor opportunities decline, agricultural yields fall and livestock conditions deteriorate reducing income for farmers and pastoralists. At the same time, food prices rise, reducing purchasing power for vulnerable households who will be forced to liquidate their assets. Those households that will be supported with agricultural inputs, animal feed and health will be provided unconditional cash transfers to meet immediate needs and invest in productive activities.

Contain and rapidly respond to any communicable disease outbreaks by standing up/re-activating Rapid Response Teams

There is a very clear causal link between drought and increased morbidity and mortality rates of several diseases, and this is further exacerbated by drought related displacement. While the causal link between drought and communicable diseases such as acute watery diarrhoea (AWD) and measles as well as acute malnutrition is well established, managing these illnesses puts considerable pressure on the health system This jeopardises resilience and development gains and risks creating a secondary healthcare crisis that can drive populations further into crisis.

Keep children in school through cash and water access

Food insecurity and the depletion of livelihoods leads to school dropouts. This is due to a lack of income and means to pay for school fees at household level, creating a situation in which children are compelled to drop out of schools and contribute to income-generating activities. By providing households with school children with cash for school fees / priority purchases, children will continue their education and protection risks will be lowered. Adequate water supplies in schools also lower the risk of children dropping out, in particular adolescent girls and thereby mitigates protection risks.

Improving nutrition practices to protect the nutritional status of the most vulnerable people

Drought leads to increased food insecurity and malnutrition, in particular among children under 5. Through MIYCF practices, vulnerable households will be equipped with the knowledge and skills towards adequate nutrition through engaging parents/caregivers on adequate child feeding and caring practices as well as on hygiene and sanitation. Early case screening will support timely referral of acute malnutrition which will improve treatment outcomes and prevent the health system from becoming overwhelmed.

Support to community-based conflict mitigation

Drought creates competition over land and triggers new and longstanding land disputes in various communities. Furthermore, areas of Ethiopia most often affected by drought are rural and arid where pastoralist share grazing land often based on clan affiliation and the decisions of traditional arbitration mechanisms. By capacitating existing traditional arbitration mechanisms, land disputes and housing, land and property issues can be mitigated before the onset of the shock can exacerbate conflict and violence around these issues. Risks of displacement and destitution of excluded communities are reduced.

Distributing essential dignity items to women and girls

Not only is gender-based violence expected to increase during the lean season, the economic effect of drought also negatively impacts the ability of specific groups to meet their basic protection needs. The distribution of dignity kits to women and girls will ensure that they have continuous access to hygiene and dignity items without having to resort to negative coping strategies as a way of gaining the money to purchase these goods.

Mainstreaming protection, including child protection and gender-based violence prevention.

While drought leads to a deterioration of the protection environment for the entire affected population, its impact is disproportionately felt by women, children, the elderly and people with disabilities. To ensure indiscriminate access to services, including specialized services for groups deemed at greater risk, protection partners will provide training and guidance material to implementors across all anticipatory action sectors. Among other interventions, protection partners will conduct awareness raising trainings for implementers of anticipatory actions, conduct rapid risk assessments and monitoring and update referral pathways to effectively respond to child- or GBV-related protection concerns.

Summary of interventions and key information

Cluster	Anticipatory Action	Aim	Lead time	Cost Estimate
AGRICULTURE	Seed and cash (short-cycle / drought tolerant crop and fodder production inputs and cash)	Reduce risk of malnutrition and loss of livelihood	3 months	USD 90 per HH (comprising USD 50 of in-kind agricultural inputs and USD 40 of cash [one-off distribution])
	Animal health treatment	Reduce risk of malnutrition and loss of livelihood	3 months	USD 0.5 per animal (max 35 goats /sheep or 5 cattle per HH)
	Livestock supplementary feed (animal feed and cash)	Reduce risk of malnutrition and loss of livelihood	4 months	USD 80 per HH (comprising USD 40 of in-kind animal feed and USD 40 of cash [one-off distribution]. Feed sufficient to keep two core breeding animals alive.
WASH	Rehabilitation of non-functioning water schemes	Ensure access to clean / safe water for consumption	2 months	USD 14 per person (excluding operational and management costs)
	Preposition and distribution of NFIs	Reduce risk of disease outbreaks	1.5 months	USD 2.5 per person (excluding operational and management costs)
	Hygiene promotion	Reduce risk of disease outbreaks	4-6 weeks	USD 1.20 per person (excluding operational and management costs)
EDUCATION	Water provision in schools (tanks and trucking)	Reduce risk of school drop outs	1 month	USD 1,500 per school (500 learners) / USD 3 per learner per semester
	Cash for education	Reduce risk of school drop outs	1 month	USD 50 per household
NUTRITION	Promote, protect, and support Maternal, Infant, and Young Child nutrition	Reduce risk of malnutrition	1 month	USD 5 per IYCF beneficiary (one off)
	MUAC screening	Reduce morbidity and mortality through early referral	1 month	USD 5,000 per screening round per woreda
HEALTH	Strengthening Rapid Response Teams (RRTs)	Prevent and control health impacts of drought	2-3 months	USD 2,480 per woreda for 3 months
PROTECTION	Identification / capacitating of existing Traditional Arbitration Mechanisms	Reduce risk of escalation of conflict and violence	3 months	USD 122,500 per woreda / USD 77 per person
	Distributing dignity kits	Reduce risk of GBV	1-2 months	USD 20 per kit (USD 40,000 for 2,000 kits)
	Awareness raising about child protection	Protect children from negative coping mechanisms	1 month	USD 23 per person reached
	Mainstreaming protection (including GBV & child protection) across AA sectors	Mitigate protection risks for affected population including persons with specific needs, women, children and older persons	2-3 months	USD 218,800

Seasonal calendars of anticipatory actions

To achieve maximum impact and mitigate humanitarian needs arising as a result of the extraordinary drought shock, activities must be well timed in line with the crisis timeline. The calendars in Annex II detail when interventions should take place if the triggers are reached in case of a projected poor rainy season (Kiremt, Belg, Gu, Karan, Deyr) in four geographical areas across Ethiopia.

Ensuring readiness for a timely implementation of anticipatory action

The success of anticipatory action depends on the timely delivery of the interventions. This is frequently hampered by several factors, the requirement to assess needs, mobilise funds, deploy staff, operationalize partnerships, and establish supply pipelines in order to deliver at scale (including procurement, transportation to and distribution of relief assistance in the affected area).

Over time anticipatory action and humanitarian response readiness should ideally become an integral part of the contingency planning process in compliment to longer term prevention and mitigation activities undertaken by the Government and development partners. Delays are often the result of operational and/or capacity gaps (lack of access due to impact on transport infrastructure or security concerns, or the unavailability of key items in-country, lack of expertise of staff in-country), it is critical that every effort is made to address these challenges ahead of time and thereby minimize the gap in the initial response.

In the detailed annexed anticipatory action sheets, clusters have outlined key considerations relating to readiness for each intervention. This should inform further analysis discussions in Ethiopia, including:

- How will the priority needs be met? (e.g. What goods and/or services can be provided to meet the need. Could it be through more than one activity).
- Logistically how will the activity be delivered?
- Who are the partners that you will work with to undertake the activity?
- What operational cross-cutting issues and/or opportunities are there to align with other sectors/clusters or agencies.

5. Pre-committed financing

This framework for anticipatory action seeks to serve as an overview of the anticipatory actions that are most likely to help mitigate the impact of a drought shock, stabilize vulnerable people and prepare for scale up for humanitarian action. The framework is intended to enable bilateral donors and pooled funding instruments to pre-commit finance and disburse funding when the above outlined triggers are reached. Donors could include but are not limited to the CERF, the World Bank's Crisis Response Window (CRW), the IFRC DREF, the Start Network, the Government of Ethiopia, bilateral donors, and UN Agencies'

internal reserve funds. Each of these could finance part of this plan when the need arises within their own established criteria and in complementarity.

Donors who have pre-committed funding to this plan are listed in Annex III. Details are also included on their respective funding release processes.

6. Execution of the plan

Activation

Once the trigger has been met, the following process will take place to activate the plan.

Step 1: Trigger validation

Indicative timeline: 1-2 days

Who is involved: The RC/HC decides, OCHA to provide coordination support. Government and CLA are consulted. EHCT is informed.

Key questions:

- Is there any country-level data that disagrees with the forecast?
- Was the trigger mainly reached because of drought? (if not, many of the pre-agreed activities will not be useful)

Step 2: Rapid analysis of projected impact

Indicative timeline: 2 days

Who is involved: RC/HC leads with support of OCHA. Key actors for the implementation of the pre-agreed plan may be consulted.

Key questions:

- What is the potential scope and scale (number of people affected and locations)?
- Which pre-agreed activities can be activated (have not missed the window of opportunity for anticipatory action)?
- Are there indications that the pre-agreed activities would not be the right ones?
- How much will donors contribute to the activated plan? (re-confirmation of pre-committed funding envelope)
- What is the indicative cost of implementing the pre-agreed activities / action plan (i.e. requirement and timeline)?
- Is the capacity in place (readiness) to implement the pre-agreed action plan or parts of it (i.e. to help define the financial ask)?
- Are there access restrictions and how to mitigate those?

Step 3: Re-calibration of Anticipatory Action Plan

Indicative timeline: 3 days

Who is involved: RC/HC leads with support of OCHA. Meetings take place with ICCG, DRMTWG and EHCT.

Key questions:

- Which activities need to be prioritized and which locations and vulnerable groups will be targeted?

- Are any adjustments needed to the pre-agreed plan to address the potential [drought]? If yes, what are they? Such changes – if any - should be minimal and in line with the objective of the plan.
- How will the overall funding envelope from donors be prioritized towards the activities to maximize impact?
- Which organizations are best placed to deliver the prioritized activities?

Implementation

The anticipatory action plan will be implemented by the Ethiopia Humanitarian Country Team under the leadership of the Humanitarian Coordinator, in collaboration and coordination with the Disaster Risk Management Technical Working Group (DRMTWG), respective line ministries, regional bureaus, the National Disaster Risk Management Commission (NDRMC) and development partners. Operational intersectoral coordination will be done by the Inter Cluster Coordination Group (ICCG). National partners play a key role during the preparation and possible triggering of the plan and in the operation of the anticipatory action plan.

7. Evaluation and learning

The pilot will offer three main ways to enhance learning for anticipatory action: process learning, agency specific monitoring and evaluation, and an independent evaluation of the pilot once activated.

Once activated, an ad-hoc pilot learning, monitoring and evaluation committee will be convened by OCHA to coordinate the independent evaluation and to enable sharing of results from each agency monitoring and evaluation. Unless otherwise agreed, the committee will be dissolved after the completion of an independent evaluation.

Process learning (or Action Learning Review)

Process learning activities are designed to capture how all supported anticipatory action pilots are being designed and implemented in real-time. This allows OCHA and its partners to capture qualitative data on the benefits of the process, as well as timely learning about how the process undertaken supports high-quality anticipatory action frameworks and (in the event the trigger is reached) effective implementation. The process learning consists of two components:

Component 1 – Action Learning Reviews: With the support of the Centre for Disaster Protection (CDP), OCHA will conduct two “action learning reviews” with HQ and in-country partners. These are 30-90 minute facilitated sessions intended to efficiently capture lessons from the pilot roll-out process and provide an opportunity for reflection and feedback among partner organizations. They are designed to rapidly document learning on what is working well, what is being learned, and what needs greater attention going forward. Action learning reviews are designed to draw on the knowledge, experience and capabilities of partners through skilled questioning to produce new and actionable learning.

Each action learning review is structured according to three hypotheses co-developed by CDP and OCHA that are of immediate concern and interest for the successful roll-out of the pilot. Participants identify to what extent each hypothesis is holding true, and what has facilitated or been a barrier to that. The ensuing discussion captures critical and actionable learning on each hypothesis, as well as where consensus or disagreement exists. This facilitates structured and transparent conversations about the pilot roll-out process with partners and allows OCHA to document learning in real-time.

Component 2 – Qualitative interviews: In addition to the information gathered through action learning reviews, the independent evaluator will collect qualitative data on how to do AA in real-time through 8-10 stakeholder interviews with people closely involved in the process. These interviews include OCHA staff, as well as partners at the HQ and country level (ideally with a 50/50 country-level representation). Interviews will be conducted at the completion of the AA Plan, and following AA being triggered (in the event this occurs).

A final Lessons Learned Report (presented in the form of a PPT) will provide cumulative findings from the action learning reviews, key informant interviews and a desk review of relevant documents.

Agency specific monitoring and evaluation

Each agency will use its existing monitoring systems to collect and track data on implementation progress and outputs achieved. Minimum indicators will be agreed upon triggering of the framework. Any findings will be shared with the ad-hoc pilot learning, monitoring and evaluation committee.

Independent evaluation

If the pilot is triggered, OCHA will commission an independent evaluation to gather and analyse data documenting the results.[4] Based on a Theory of Change (ToC) that establishes the rationale for OCHA's pilots and the anticipated results, evaluators will track indicators to capture intermediate outcomes from implementing anticipatory action. The ad-hoc pilot learning, monitoring and evaluation committee, chaired by OCHA, will oversee the evaluation.

[4] The final arrangements of procuring an independent evaluator are to be decided.

Annexes

These annexes are linked to the information we have for the current anticipatory action pilot. Annex I refers to the pre-determined action plans which clusters have worked on with their NGO partners and line ministries. Annex II details when interventions should take place if the triggers are reached in case of a projected poor rainy season (Kiremt, Belg, Gu, Karan, Deyr) in four geographical areas across Ethiopia. Finally, Annex III provides an overview of the donors who have pre-committed funding towards this plan, and the details of their respective funding release processes.

I. Anticipatory Actions – cluster intervention sheets

Available upon request.

II. Anticipatory Actions – seasonal calendars

(from next page onwards)

Western agriculture areas – *Kiremt* rains

$$	Disbursement of CERF funding
	Lead time
	Provision of assistance/core implementation
	Post Distribution Monitoring

Seasonal info & forecasts		**Jan**		**Feb**		**Mar**		**April**		**May**		**June**		**July**		**Aug**		**Sep**		**Oct**		**Nov**		**Dec**	
Forecast publications	*ICPAC seasonal forecast*			!						!						!						!			
	IPC publication									!												!			
	FEWSNET publication			!				!				!				!				!				!	
Seasons	*Kiremt rains*																								
	Meher planting & harvest																								
	Lean season																								
Cluster	**Anticipatory actions**	**Jan**		**Feb**		**Mar**		**April**		**May**		**June**		**July**		**Aug**		**Sep**		**Oct**		**Nov**		**Dec**	
Agriculture	Farming inputs and Cash				$$																				
	Animal health treatment				$$																				
	Livestock feed and Cash					$$																			
Nutrition	Promote, protect, and support maternal, infant and young child nutrition							$$																	
	MUAC screening							$$																	
WASH	Rehabiliation of non-functioning water schemes		$$																						
	Distribution of NFIs		$$																						
	Hygiene promotion		$$																						
Health	Strengthening rapid response teams (RRTs)													$$											
Protection	Identification / capacitating of existing traditional arbitration mechanisms				$$																				
	Awareness raising about child protection													$$											
	Mainstreaming protection across AA sectors incl GBV & child protection						$$																		
	Distribution of dignity kits									$$															
Education	Water provisions in schools													$$											
	Cash for education													$$											

Belg receiving areas – *Belg* rains

$$	Disbursement of CERF funding
	Lead time
	Provision of assistance/core implementation
	Post Distribution Monitoring

Seasonal info & forecasts		**Jan**		**Feb**		**Mar**		**April**		**May**		**June**		**July**		**Aug**		**Sep**		**Oct**		**Nov**		**Dec**	
Forecast publications	*ICPAC seasonal forecast*			!						!						!						!			
	IPC publication									!												!			
	FEWSNET publication			!				!				!				!				!				!	
Seasons	*Belg rains*																								
	Belg planting & harvest																								
	Lean season																								
Cluster	**Intervention/Activity**	**Jan**		**Feb**		**Mar**		**April**		**May**		**June**		**July**		**Aug**		**Sep**		**Oct**		**Nov**		**Dec**	
Agriculture	Farming inputs and Cash																			$$					
	Animal health treatment																			$$					
	Livestock feed and cash																					$$			
Nutrition	Promote, protect, and support maternal, infant and young child nutrition																								$$
	MUAC screening																								$$
WASH	Rehabiliation of non-functioning water schemes																	$$							
	Distribution of NFIs															$$									
	Hygiene promotion																	$							
Education	Water provision in schools																						$$		
	Cash for education																						$$		
Health	Strengthening rapid response teams (RRTs)							$$																	
Protection	Identification / capacitating of existing traditional arbitration mechanisms																					$$			
	Awareness raising on child protection							$$																	
	Mainstreaming protection across AA sectors incl GBV & child protection																						$$		
	Distribution of dignity kits	$$																							

Belg receiving areas – *Kiremt* rains

$$	Disbursement of CERF funding
	Lead time
	Provision of assistance/core implementation
	PDM

Seasonal info & forecasts		**Jan**		**Feb**		**Mar**		**April**		**May**		**June**		**July**		**Aug**		**Sep**		**Oct**		**Nov**		**Dec**	
Forecast publications	*ICPAC seasonal forecast*			!						!						!						!			
	IPC publication									!												!			
	FEWSNET publication			!				!				!				!				!				!	
Seasons	*Kiremt rains*																								
	Meher planting & harvest																								
	Lean season																								
Cluster	**Intervention/Activity**	**Jan**		**Feb**		**Mar**		**April**		**May**		**June**		**July**		**Aug**		**Sep**		**Oct**		**Nov**		**Dec**	
Agriculture	Farming inputs and Cash (Kiremt)				$$																				
	Animal health treatment (Kiremt)				$$																				
	Livestock feed and cash (Kiremt)					$$																			
Nutrition	Promote, protect, and support maternal, infant and young child nutrition																								$$
	MUAC screening (Kiremt)									$$															
WASH	Rehabiliation of non-functioning water schemes (Kiremt)	$$																							
	Distribution of NFIs (Kiremt)		$																						
	Hygiene promotion (Kiremt)			$$																					
Education	Water provision in schools (Kiremt)												$$												
	Cash for education (Kiremt)												$$												
Health	Strengthening rapid response teams (RRTs) (Kiremt)														$$										
Protection	Identification / capacitating of existing traditional arbitration mechanisms (Kiremt)					$$																			
	Awareness raising on child protection							$$																	
	Mainstreaming protection across AA sectors incl GBV & child protection (Kiremt)							$$																	
	Distribution of dignity kits (Kiremt)										$$														

Northern pastoral areas – *Gu* & *Diraac/Sugum* rains

$$	Disbursement of CERF funding
	Lead time
	Provision of assistance/core implementation
	PDM

Seasonal info & forecasts		**Jan**		**Feb**		**Mar**		**April**		**May**		**June**		**July**		**Aug**		**Sep**		**Oct**		**Nov**		**Dec**	
Forecast publications	*ICPAC seasonal forecast*			!						!						!						!			
	IPC publication									!												!			
	FEWSNET publication			!				!				!				!				!				!	
Seasons	*Gu & Diraac/Sugum rains*																								
	Lean season																								
Cluster	**Intervention/Activity**	**Jan**		**Feb**		**Mar**		**April**		**May**		**June**		**July**		**Aug**		**Sep**		**Oct**		**Nov**		**Dec**	
Agriculture	Farming inputs and cash (Gu/ Diraac)																						$		
	Animal health treatment (Gu/Diraac)																						$		
	Livestock feed and cash(Gu/Diraac)																							$	
Nutrition	Promote, protect, and support maternal, infant and young child nutrition																			$ $					
	MUAC screening (GU/Diraac)																					$			
WASH	Rehabiliation of non-functioning water schemes (Gu/Diraac)																		$						
	Distribution of NFIs (Gu/Diraac)																			$					
	Hygiene promotion (Gu/Diraac)																				$				
Education	Water provision in schools (Gu/Diraac))																						$		
	Cash for education (Gu/Diraac)																						$		
Health	Strengthening rapid response teams (RRTs) (Gu/Diraac)							$																	
Protection	Identification / capacitating of existing traditional arbitration mechanisms (Gu/Diraac)																						$ $		
	Awareness raising on child protection (Gu/Diraac)							$																	
	Mainstreaming protection across AA sectors incl GBV & child protection (Gu/Diraac)																								$ $
	Distribution of dignity kits (Gu/Diraac)		$																						

Northern pastoral areas – *Karan/Karma* rains

$$	Disbursement of CERF funding
	Lead time
	Provision of assistance/core implementation
	PDM

Seasonal info & forecasts		**Jan**		**Feb**		**Mar**		**April**		**May**		**June**		**July**		**Aug**		**Sep**		**Oct**		**Nov**		**Dec**	
Forecast publications	*ICPAC seasonal forecast*			!						!						!						!			
	IPC publication									!												!			
	FEWSNET publication			!				!				!				!				!				!	
Seasons	*Karan/Karma rains*																								
	Lean season																								
Cluster	**Intervention/Activity**	**Jan**		**Feb**		**Mar**		**April**		**May**		**June**		**July**		**Aug**		**Sep**		**Oct**		**Nov**		**Dec**	
Agriculture	Farming inputs and cash (Karan/Karma)							$																	
	Animal health treatment (Karan/Karma)							$																	
	Livestock feed and cash (Karan/Karma)							$																	
Nutrition	Promote, protect, and support maternal, infant and young child nutrition																			$ $					
	MUAC screening (Karan/Karma)									$															
WASH	Rehabilitation of non-functioning water schemes (Karan/Karma)	$																							
	Distribution of NFIs (Karan/Karma)		$																						
	Hygiene promotion (Karan/Karma)			$																					
Education	Water provision in schools (Karan/Karma)															$									
	Cash for education (Karan/Karma)															$									
Health	Strenghtening rapid response teams (RRTs) (Karan/Karma)																					$			
Protection	Identification / capacitating of existing traditional arbitration mechanisms (Karan/Karma)						$ $																		
	Awareness raising on child protection (Karan/Karma)													$											
	Mainstreaming protection across AA sectors incl GBV & child protection (Karan/Karma)								$ $																
	Distribution of dignity kits (Karan/Karma)										$														

Southern pastoral areas – *Gu/Genna* rains

$$	Disbursement of CERF funding
	Lead time
	Provision of assistance/core implementation
	PDM

Seasonal info & forecasts		**Jan**		**Feb**		**Mar**		**April**		**May**		**June**		**July**		**Aug**		**Sep**		**Oct**		**Nov**		**Dec**	
Forecast publications	*ICPAC seasonal forecast*			!						!						!						!			
	IPC publication									!												!			
	FEWSNET publication			!				!				!				!				!				!	
Seasons	*Gu/Genna rains*																								
	Lean season																								
Cluster	**Intervention/Activity**	**Jan**		**Feb**		**Mar**		**April**		**May**		**June**		**July**		**Aug**		**Sep**		**Oct**		**Nov**		**Dec**	
Agriculture	Farming inputs and cash (Gu/Genna)																					$$			
	Animal health treatment (Gu/Genna)																					$$			
	Livestock feed and cash (Gu/Genna)																							$$	
Nutrition	Promote, protect, and support maternal, infant and young child nutrition																							$$	
	MUAC screening (Gu/Genna)										$$														
WASH	Rehabiliation of non-functioning water schemes (Gu/Genna)																$$								
	Distribution of NFIs (Gu/Genna)																			$$					
	Hygiene promotion (Gu/Genna)																			$$					
Education	Water provision in schools (Gu/Genna)																					$$			
	Cash for education (Gu/Genna)																			$$					
Health	Strengthening rapid response teams (RRTs) (Gu/Genna)							$$																	
Protection	Identification / capacitating of existing traditional arbitration mechanisms (Gu/Genna)																					$$			
	Awareness raising on child protection (Gu/Genna)							$$																	
	Mainstreaming protection across AA sectors incl GBV & child protection (Gu/Genna)																							$ $	
	Distribution of dignity kits (Gu/Genna)			$$																					

Southern pastoral areas – *Deyr* rains

$$	Disbursement of CERF funding
	Lead time
	Provision of assistance/core implementation
	PDM

Seasonal info & forecasts		**Jan**		**Feb**		**Mar**		**April**		**May**		**June**		**July**		**Aug**		**Sep**		**Oct**		**Nov**		**Dec**	
Forecast publications	*ICPAC seasonal forecast*			!						!						!						!			
	IPC publication									!												!			
	FEWSNET publication			!				!				!				!				!				!	
Seasons	*Deyr/Hageya rains*																								
	Lean season																								
Cluster	**Intervention/Activity**	**Jan**		**Feb**		**Mar**		**April**		**May**		**June**		**July**		**Aug**		**Sep**		**Oct**		**Nov**		**Dec**	
Agriculture	Farming inputs and cash (Deyr)											$													
	Animal health treatment (Deyr)											$													
	Livestock feed and cash (Deyr)											$													
Nutrition	Promote, protect, and support maternal, infant and young child nutrition																							$ $	
	MUAC screening (Deyr)																								$
WASH	Rehabilitation of non-functioning water schemes (Deyr)							$																	
	Distribution of NFIs (Deyr)									$															
	Hygiene promotion (Deyr)									$															
Education	Water provision in schools (Deyr)													$											
	Cash for education (Deyr)													$											
Health	Strenghtening rapid response teams (RRTs) (Deyr)																					$			
Protection	Identification / capacitating of existing traditional arbitration mechanisms (Deyr)											$ $													
	Awareness raising on child protection (Deyr)																			$					
	Mainstreaming protection across AA sectors incl GBV & child protection (Deyr)													$ $											
	Distribution of dignity kits (Deyr)																	$							

III. Pre-committed funding and its release processes

For the initial pilot phase, funding has so far been committed by:

- the Central Emergency Relief Fund (CERF)

In the next section, we will describe the funding release processes of the donors who have pre-committed to finance this anticipatory action plan. As other donors commit financing, their respective funding release processes can be detailed here too.

CERF

The Central Emergency Relief Fund (CERF), established by the UN General Assembly in 2005, enables humanitarian responders to deliver life-saving assistance by providing rapid and flexible funding when it is needed most. CERF funds allow humanitarian actors to kick-start relief efforts immediately through a coordinated and prioritized response, and help partners scale up their relief operations in underfunded emergencies to avoid critical gaps. UN organizations are directly eligible to receive CERF funding and implement grants in partnership with local and international non-governmental organizations (NGOs), host governments and Red Cross/Red Crescent societies. To move the humanitarian system towards a more anticipatory way of working, the Emergency Relief Coordinator with donor endorsement has committed funding from CERF to pilot collective anticipatory action and generate proof of concept.

Principles and assumptions

Anticipatory action should build on and reinforce existing and functioning structures, and not build parallel systems. The design of the finance allocation process aims to delegate authority to the field, increase responsibility and accountability by all stakeholders. It is meant to be simple, quick and predictable.

Funding release process

The following lays out the steps that would be taken in order to disburse funding from CERF and implement the pre-defined activities. A pre-condition is that the steps described in the activation process (detailed in Section 6: Execution of the Plan) have been completed. This includes that the pre-agreed trigger thresholds have been reached (according to the pre-agreed forecasting framework) and validated, a rapid analysis of projected impact has taken place, and the action plan has been re-calibrated.

a) Preparation and submission of CERF application

Indicative timeline: 5-6 days
Who is involved: OCHA office compiles information from anticipatory action plan and rapid impact analysis into chapeau and projects. Cluster coordinators, working closely with the relevant agencies, update sections in projects as necessary. HC submits to CERF secretariat (anticipatory action plan is annexed to application).

b) Due diligence and disbursement approval

Indicative timeline: 10 days
Who is involved: The CERF secretariat reviews the application and together with OCHA Ethiopia and agencies ensure that proposals adhere to CERF regulations. Funding is disbursed following approval of projects by the Emergency Relief Coordinator.