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EMERGENCY RESPONSE PREPAREDNESS (ERP)

RISK ANALYSIS AND MONITORING
MINIMUM PREPAREDNESS
ADVANCED PREPAREDNESS
AND CONTINGENCY PLANNING

DRAFT FOR FIELD TESTING

IASC
Inter-Agency Standing Committee

This BETA Version of the Guidance Module was prepared by the Task Team on Preparedness and Resilience of the Inter-Agency Standing Committee (IASC). The Group is composed of representatives from IASC UN agencies, the International Federation of the Red Cross and NGOs.

The BETA Version will be revised and finalised in 2016 to take account of feedback from practitioners and further development in guidance and tools.

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List of acronyms

4W	Database: Who does What Where and When
CAP	Consolidated Appeal Process
CADRI	Capacity for Disaster Reduction Initiative (UN)
CERF	Central Emergency Response Fund
CHF	Common Humanitarian Fund
CLA	Cluster Lead Agency
COD	Common Operational Dataset
CP	Contingency Planning
EDG	Emergency Directors' Group
ERC	Emergency Relief Coordinator
ERP	Emergency Response Preparedness
EWM	Early Warning Monitoring
FOD	Fundamental Operational Dataset
FTS	Financial Tracking Service
GCLA	Global Cluster Lead Agency
HC	Humanitarian Coordinator
HCT	Humanitarian Country Team
HIR	Humanitarian Indicator Registry
HNO	Humanitarian Needs Overview
HPC	Humanitarian Programme Cycle
HRP	Humanitarian Response Plan
IARRM	Inter-Agency Rapid Response Mechanism
IAES	Inter-Agency Emergency Simulation
IAHE	Inter-Agency Humanitarian Evaluation
IASC	Inter-Agency Standing Committee
IFRC	International Federation of the Red Cross and Red Crescent Societies
IOM	International Organization for Migration
L3	Level three emergency response
MPA	Minimum Preparedness Actions
MIRA	Multi-Cluster/Sector Initial Rapid Assessment
MTG	Monitoring Technical Group
NGOs	Non-Governmental Organizations
OCHA	Office for the Coordination of Humanitarian Affairs
OPR	Operational Peer Review
OPS	Online Projects System
RC	Resident Coordinator
SOP	Standard Operating Procedures
UNCT	United Nations Country Team
UNDAC	United Nations Disaster Assessment and Coordination Team
UNDAF	United Nations Development Assistance Framework

Preface

The IASC Task Team on Preparedness and Resilience has developed the 'Emergency Response Preparedness' (ERP) approach to enable the international humanitarian system to apply a proactive approach to emergency preparedness. The ERP guidance builds on the importance placed by the IASC Transformative Agenda on preparedness on both the programmatic and financial side and, in particular, for HCT and IASC organizations to act on specific early warning indicators to engage in inter agency contingency planning and other coordinated preparedness actions to improve collective response readiness. The ERP approach can be complementary to development action, e.g. through an UNDAF, that seeks to build national and local resilience, including preparedness capacity – especially where international and national capacity can be closely coordinated. The ERP replaces the 'Inter-Agency Contingency Planning Guidelines for Humanitarian Assistance' as developed in 2001 and updated in 2007.

Introduction

The primary aim of the ERP approach is to optimise the speed and volume of critical assistance delivered immediately after the onset of a humanitarian emergency.

In the majority of emergencies, external support can take days and in some cases weeks to arrive. Therefore, it is vital that there is a plan in place, based on the available in-country capacity, to deal with the initial phase of an emergency.

This package provides practical guidance to assist Resident/Humanitarian Coordinators¹ and humanitarian country teams² in preparing to respond to potential emergencies with appropriate humanitarian assistance and protection. These guidelines are a tool to:

- Develop a common understanding of risks and to develop a system to monitor those risks to ensure early action is taken when required.
- Establish a minimum level of multi-hazard preparedness.
- Take additional action, including the development of contingency plans for specific risks that can be used as the basis for initial planning reflected in Flash Appeal to meet the differentiated needs of an affected population in the first 3-4 weeks of a humanitarian emergency.

The ERP focuses on situations in which the scale of the potential emergency requires the concerted action of a number of agencies/organizations.

1 RC/HCs as per GA res 46/182 "should facilitate the preparedness of the United Nations system and assist in a speedy transition from relief to development."

2 This guidance is written specifically for agencies/organizations involved in providing coordinated international assistance and protection to populations affected by emergencies. In most countries there is a standing body, usually a UN Country Team, led by the Resident/Humanitarian Coordinator, which serves as a forum for these agencies/organizations. For the purpose of these guidelines, this forum is referred to as a Humanitarian Country Team. While participation varies, Humanitarian Country Teams include UN Agencies, International Organizations, the International Red Cross and Red Crescent Movement and NGO representatives.

NOTE

This guide has been designed to be as lean and as user-friendly as possible, in order to be useful to practitioners irrespective of the resources and time available. Throughout this guide, the reader will find Key questions. These are intended to help the country team focus their thinking on the practical matters of greatest importance to successful preparedness at each stage of the ERP approach.

These guidelines are premised on the understanding that governments hold the primary responsibility for providing humanitarian assistance to women, girls, boys and men and sub-groups of the population in need.³ The ERP outlines how the international humanitarian community can organize itself to support and complement national action.

The ERP enables the humanitarian community to state its capacity and the value it can add to national response.

The extent of involvement of national and subnational authorities depends on the context. In all situations, emergency response preparedness should be based on knowledge of the planning, capacities and systems of national and local authorities. This should be complemented with a knowledge of the underlying inequalities and vulnerabilities influencing risk susceptibility and resilience of women, men and their communities in a given context and guided by the principles of neutrality and impartiality.

The ERP design reflects the IASC Transformative Agenda's aim to deliver effective relief and protection to affected people by strengthening humanitarian leadership, streamlining coordination, and enhancing accountability. It is part of the Humanitarian Programme Cycle (HPC). In countries with ongoing emergencies, the ERP approach should be mainstreamed in the humanitarian response planning process.

The ERP approach serves as a guide for preparing for all emergencies (both slow and sudden onset) requiring a coordinated response, during which the Resident/Humanitarian Coordinator is responsible for ensuring that response preparedness efforts of relevant organisations are inclusive and coordinated.

The international procedures for surveillance, preparedness, assessment, and management of public health emergencies of international concerns is set out in the International Health Regulations (2005)⁴ and led by WHO. The ERP will guide the preparedness for the management of potential humanitarian relief requirements arising with these crises.

There is always an opportunity cost involved in preparedness as it puts demands on time and resources. The ERP approach is intended to be flexible and resource- light so that it can be tailored to the capacity of the country team.

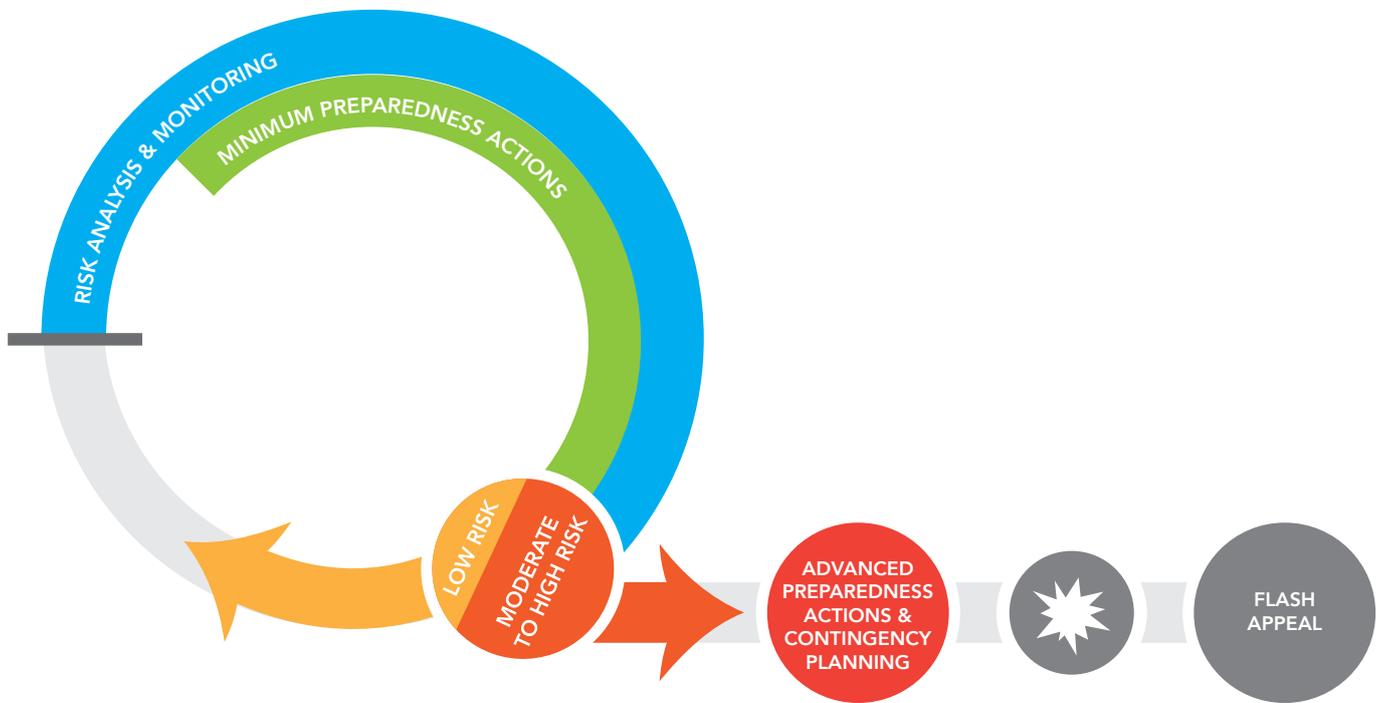
3 "Each State has the responsibility first and foremost to take care of the victims of natural disasters and other emergencies occurring on its territory. Hence, the affected State has the primary role in the initiation, organization, coordination, and implementation of humanitarian assistance within its territory." GA Resolution 46/182

4 See the definition of public health emergencies of international concerns and the agreed international procedures under the international health regulations: www.who.int/ihr/procedures/pheic/en/; www.who.int/ihr/public_health_concerns/en/

Section 1

Three Elements of Emergency Response Preparedness (ERP)

Figure 1
Emergency Response Preparedness (ERP) Cycle



Three Elements of ERP

ERP is a continuous process, divided into three key elements.

1

Risk Analysis and Monitoring

A clear and common understanding of the risks which may trigger a crisis significant enough to require a coordinated humanitarian response is fundamental to the entire ERP process. Analysis informs the planning while monitoring ensures that the process is responsive to emerging risks. The risk analysis process identifies the hazards that could trigger a crisis and ranks them by impact and likelihood. The risk ranking determines whether thresholds are low, medium, or high. Development of a contingency plan (see Section 3 – Advanced Preparedness Actions and Contingency Planning) is recommended when risk thresholds are determined to be medium or above.

In parallel, risk monitoring should be undertaken using indicators identified as part of the risk analysis process. Monitoring provides early warning of emerging risks which in turn allows for early action, such as tailoring the contingency plan and where possible taking action that could mitigate the impact of the emerging risk.

2

Minimum Preparedness Actions (MPA)

Minimum Preparedness Actions are a set of activities that every country team must implement in order to establish a minimum level of emergency preparedness within the country. The MPAs are not risk or scenario-specific and usually do not require significant additional resources to accomplish. Minimum Preparedness Actions include risk monitoring, establishment of coordination and management arrangements, preparing for joint needs assessments, response monitoring, information management, and establishing operational capacity and arrangements to deliver critical relief assistance and protection. Implementing MPAs will make a fundamental difference to eventual response and provide flexibility to respond to different types of emergencies.

3

Advanced Preparedness Actions and Contingency Planning

Advanced Preparedness Actions (APAs) and Contingency Planning (CP) are two sets of complementary activities that should be initiated together to plan for specific risks when risk analysis and monitoring indicate moderate or high risk.

Advanced Preparedness Actions are designed to advance HCT readiness to respond to specific risks. Unlike the MPAs, the APAs are risk-specific. They build on the MPAs already in

Although risk analysis is undertaken by most HCTs as part of preparedness, very few put in place risk monitoring, which results in a lack of early warning and most importantly early action.

The MPAs are a reversed engineered approach – they look at what the core elements of a successful response are and then work backwards to identify what preparedness actions are needed to achieve those positive response outcomes.

place. The APA checklist (see Annex 3), includes essential preparedness actions that complement and support the contingency planning process.

A contingency plan sets out the initial response strategy and operational plan to meet the humanitarian needs during the first three to four weeks of an emergency. A contingency plan addresses what could happen and what might be needed; actions to take and resources required and gaps to be bridged. It lays the ground for a Flash Appeal, if required.

Figure 2

Key principles of the ERP approach

- ✦ The Emergency Response Preparedness (ERP) approach should be practical. It should focus on needs; what we have and how to bridge the gaps. It looks at how we might reach affected people with assistance. In other words, the ERP is a process of asking and answering a set of critical operational questions.
 - ✦ The ERP should be flexible. HCTs should prioritise actions in light of capacity within the country to undertake preparedness.
 - ✦ Risk analysis and monitoring are key to dynamic and responsive preparedness.
 - ✦ Simulations and other such tools should regularly be applied to ensure the emergency readiness of HCTs to carry out the action plans developed through the ERP process. In this way problems can be anticipated, sources for relief items can be identified in advance and roles and responsibilities of different actors can be better understood. The chances of good coordination will be greatly improved.
 - ✦ The ERP should be participatory. Planning is most effective when all those who will be required to work together are engaged in the process from the start.
 - ✦ Strategic leadership by the RC/HC and strong commitment from heads of Agency at country level to making staff and resources available to support the process are vital to the success of an ERP. The success of the ERP process depends on each and every member of the HCT.
-

Who is involved

All actors likely to take part in a response are required in ERP planning. The approach is:

- Led by a Resident/Humanitarian Coordinator.
- Managed by a Humanitarian Country Team.
- Supported by an inter-cluster/sector coordination group and clusters/sectors.
- Inclusive of a broad range of actors, including at sub-national level.
- Supports of the national authorities, who have primary responsibility for affected people.

The ERP approach has three inter-related levels of action:

Figure 3
Different levels of preparedness

INTER-AGENCY

Builds the over-arching framework to guide the collective action of all potential humanitarian responders

SECTOR/CLUSTER

Defines how agencies will work together to achieve sector-specific objectives

ORGANIZATION-SPECIFIC

Describes how the organization's response will be delivered

Note: The ERP approach does not define the form of Agency-level planning.

Note on refugee and 'mixed situation' operations: *The Joint UNHCR-OCHA Note on Mixed Situations: Coordination in Practice* clarifies leadership and coordination arrangements in the situation where a complex humanitarian emergency or natural disaster is taking place, a Humanitarian Coordinator has been appointed, and a UNHCR-led refugee operation is also underway. The Note sets out the respective roles and responsibilities of the UNHCR Representative and the HC, and the practical interaction of IASC coordination and UNHCR's refugee coordination arrangements, to ensure that coordination is streamlined, complementary and mutually reinforcing.⁵

5 The Joint Note can be found at: <http://www.humanitarianresponse.info/en/programme-cycle/space/document/joint-unhcr-ocha-note-mixed-situations-coordination-practice>. UNHCR's Preparedness Package for Refugee Emergencies (PPRE) uses the same approach as the ERP.

Management Accountability

Systems for management support and accountability will differ depending on the degree of humanitarian system involvement. Figure 4 illustrates the different approaches taken in different contexts.

Figure 4
Management Accountability

In countries where IASC humanitarian coordination structures are in place

The HC working with the HCT and country level clusters/ sectors should lead the Emergency Response Preparedness process and is responsible for ensuring that response preparedness efforts of relevant organisations are inclusive and coordinated.

In countries where IASC humanitarian coordination structures are not in place

The Resident Coordinator (RC) should work with the UN country team and national authorities to implement the ERP. The RC should encourage the input and participation of IFRC and NGOs, including women's organisations, active in the country, to ensure that their humanitarian capacities and expertise are recognized, and that they can contribute fully. In-country coordination mechanisms may need to be expanded for this purpose.

For further support, please contact OCHA regional offices.

OCHA Regional Office for the Pacific

Tel: +679 331 6760
Fax: +679 330 9762
ochapacific@un.org

OCHA Regional Office for the Middle East and North Africa

Tel: +2 02 24535691/96
Fax: +2 02 24535683
ocharomena@un.org

OCHA Regional Office for West and Central Africa

Tel. : +221 33 869 85 00
Fax : +221 33 869 85 27
ocharowca@un.org

OCHA Regional Office for Asia and the Pacific

Tel: +66 2288 1234
Fax: +66 2288 1043
ocha-roap@un.org

OCHA Regional Office for East Africa

Tel: +254-20-762-2166
Fax: +254-20-762-2632
ochakenya@un.org

OCHA Regional Office for Latin America and the Caribbean

Tel: +507 3171748
Fax: +507 3171744
ocha-rolac@un.org

OCHA Regional Office for the Caucasus and Central Asia

Tel. +7 727 312 26 43
rocca@un.org

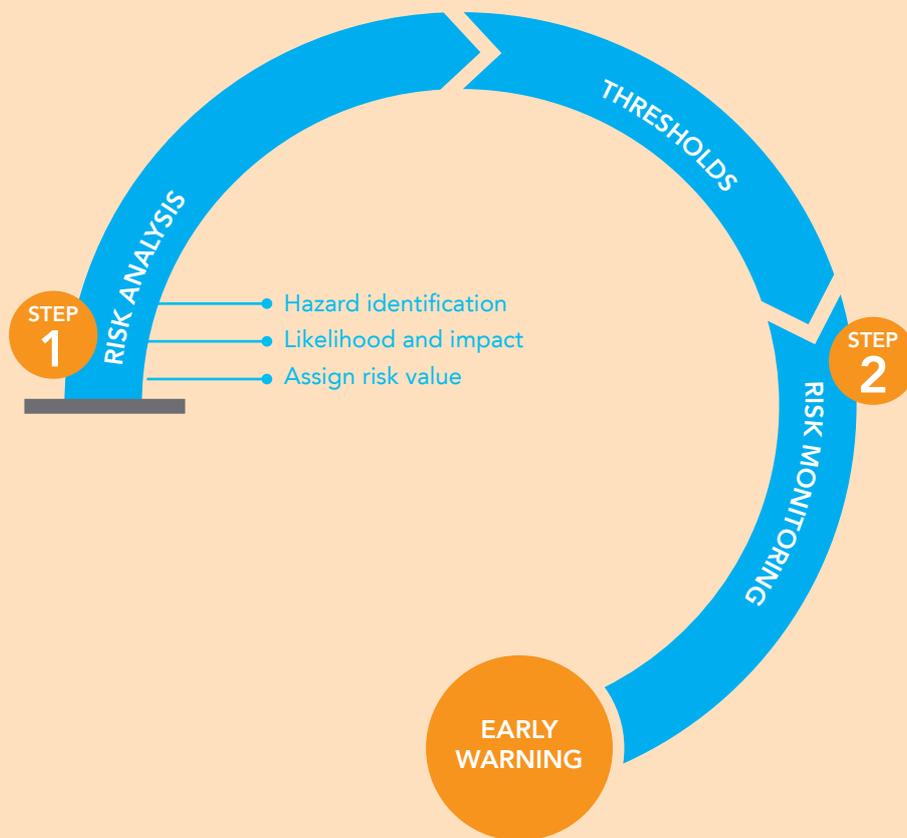
OCHA Regional Office for Southern Africa

Tel: +27 11 517 0000
ocharosa@un.org

Section 2

Risk Analysis and Monitoring

Risk Analysis and Monitoring



WHEN

The ERP process should begin with risk analysis. Risk analysis and monitoring should be an ongoing process. However, an overall review of risk analysis involving all partners should be carried out at least once a year.

TERMINOLOGY

HAZARD

A shock, natural or man-made, with negative humanitarian consequences.

LIKELIHOOD

The probability of a hazard occurring.

IMPACT

The humanitarian consequences of a hazard, if it occurs.

RISK

An attribute of a hazard representing the combination of likelihood and impact.

RISK ANALYSIS

The process of determining the likelihood and impact of a hazard in a defined period, and consequently the risk that the hazard possesses.

ALERT

A short term, high certainty notice that hazard occurrence is imminent, that provides a scenario for short term no regrets early action.

To the extent possible national authorities and other national actors should be engaged in the risk analysis process to ensure common understanding of risk.

The first step of ERP is to assess the risks that all or part of the country's population face and which might require a coordinated humanitarian response. Risk analysis is an essential component of the ERP as it provides both a common understanding and a prioritization of the risks that could require a humanitarian response. All risks ranked medium or higher need to be monitored to ensure that the planning process remains responsive to changes in the risk context of the country.

The following section outlines the steps that are required to undertake risk analysis and monitoring at the country level. More detailed guidance and examples, as well as useful links, can be found in Annexes 1-2.

STEP 1

Risk Analysis

Existing risk analysis developed by national authorities, humanitarian or development agencies, and local or international research institutions should be considered and taken into account.

- a. Risk analysis begins with identifying potential hazards that may affect the country. For the purpose of ERP, the focus is placed on the following five threat categories which have potential humanitarian consequences:
 1. Natural hazards, either hydro-meteorological (floods, landslides, storms, droughts) or geophysical (earthquake, volcanic eruption, tsunami).
 2. Armed conflict and civil unrest.
 3. Epidemics and pandemics.
 4. Drastic changes in the socio-economic environment, such as a surge in prices of essential goods, restrictive government legislation such as export and import bans.
 5. Serious violations of international human rights law and international humanitarian law.
 6. Environmental hazards (industrial accidents, severe pollution).
- b. Once the hazards have been identified, they are ranked twice on a scale of 1 to 5; once to reflect their perceived impact and the second time for likelihood of occurrence⁶. Multiplying these two variables will give a product indicating the gravity — low, medium or high — of a given risk. Figure 5 provides guidance on assessing impact and likelihood and rating gravity. When the ranking is complete, it should be entered into the Country Risk Graph (see Annex 1) that will form the basis of the country risk profile.

⁶ In the absence of an international standard for risk assessment, the ERP uses a risk assessment methodology adapted from UN DSS security risk management

Figure 5
Impact and Likelihood Scales

IMPACT	LIKELIHOOD
<p>Negligible (1) Minor additional humanitarian impact. Government capacity is sufficient to deal with the situation.</p>	<p>Very unlikely (1) A remote chance of an event occurring in the current year, from 0-5%. e.g. Seasonal hazards that have happened once or less in the last twenty years.</p>
<p>Minor (2) Minor additional humanitarian impact. Current country level inter-agency resources sufficient to cover needs beyond government capability.</p>	<p>Unlikely (2) The event has a low chance of arising in the current year, from 5 to 15% e.g. Seasonal hazards that have happened one to three times in the last twenty years.</p>
<p>Moderate (3) Moderate additional humanitarian impact. New resources up to 30% of current operations needed to cover needs beyond government capacity. Regional support not required.</p>	<p>Moderately likely (3) The event has a viable chance of arising in the current year, from 15-30%. e.g. Seasonal hazards that have happened two or three times in the last ten years, or once or twice in the last five years.</p>
<p>Severe (4) Substantive additional humanitarian impact. New resources up to 50% of current operations needed to cover needs beyond government capacity. Regional support required.</p>	<p>Likely (4) The event has a significant chance of arising in the current year, from 30-50%. e.g. Seasonal hazards that happen every second or third year, e.g. two times in the last five years.</p>
<p>Critical (5) Massive additional humanitarian impact. New resources over 80% of current operations needed to cover needs beyond government capacity. L3-scale emergency.</p>	<p>Very Likely (5) The event has a positive chance of arising, over 50% e.g. Seasonal hazards that have happened three or more times in the last five years, or five or more times in the last ten years.</p>

RISK = IMPACT x LIKELIHOOD

LOW: 1-7

MEDIUM: 8-14

HIGH: 15-25

STEP
2

Risk Monitoring

A risk monitoring mechanism should be applied for all hazards that have been identified in the risk analysis. The ERP focuses on specifics i.e. indicators monitored in relation to risks identified. These indicators need to be analysed individually or collectively for tipping points that will trigger decision-making. Monitoring these indicators through available early warning mechanisms and tools will enable the Humanitarian Country Team to decide whether it has reached a threshold that requires an increased level of preparedness.

- a. Risk monitoring should be indicator-based and follow a regular, structured process. Each risk in the ERP risk profile should be assigned a set of indicators, with at least one person or entity tasked with monitoring the indicators for each hazard.

Indicators should be checked on a scheduled basis. The timing will depend on the availability of new information, the nature of the hazard being monitored as well as the trend of the risk. If the risk is rising, for example, indicators should be checked more frequently.

- b. For risk monitoring purposes, hazards in the risk graph are divided into three categories. This is important to determining when a hazard poses a risk that will require additional preparedness. These actions are:

Seasonal hazards, such as floods, cyclones, and drought, which pose a risk at regular, predictable times of the year

Evolving hazards, such as armed conflict, serious human rights violations, economic hazards, and pandemics. The risk that these hazards pose changes irregularly over time

Static hazards, such as earthquakes, volcanoes and tsunamis, pose the same level of risk all the time. Static hazards are unique in that the time of their occurrence is impossible to predict.

For each of these categories there is a different way of determining if and when additional action is required.

KEY QUESTIONS

1. Who is responsible for monitoring each risk?
2. How will they communicate changes in hazard context to the HCT?
3. What indicators will be monitored, with what frequency, and fed by what information source?

KEY QUESTIONS

1. When in the year do seasonal hazards occur, and how much advance notice is required to implement CP and APAs?
2. Which seasonal hazard poses the highest risk?
3. What sources will be used to trigger short term alerts to imminent hazard events?

SEASONAL HAZARDS

These are hazards which have a regular cycle, such as floods, cyclones, and drought. The key objective for seasonal hazards is to ensure that Advanced Preparedness Actions (APAs) are implemented, and contingency plans (CPs) are updated before the seasonal/scheduled hazard onsets.

Set an action date one to two months before the start of the season/event in question for each seasonal hazard ranking 10 or higher on the risk graph.⁷ This action date should align with the national authorities' plans where applicable. The action date is a set day when APAs and CPs should be implemented or reviewed.

⁷ For seasonal forecasts, contact national weather services or the World Meteorological Organisation (WMO) www.wmo.int

KEY QUESTIONS

1. Ahead of time: what resources are available to monitor evolving hazards?
2. Periodically: is there a viable possibility of a hazard needing a coordinated international response in the next two months?

For droughts, where relatively high confidence long-term early warning is possible (i.e. when rain fails), if possible, implementing programmatic responses may be preferable to developing APAs and a CP.⁸

EVOLVING HAZARDS

These are hazards with levels of risk that change irregularly over time, such as armed conflict, serious human rights violations, economic hazards and pandemics. Evolution of these hazards should be monitored to identify the tipping point when the risk is heightened.

Hazards such as electoral violence might be more easily managed by following the guidance for seasonal risks because they tend to occur at predictable intervals

- c. Indicators will vary according to the hazard being monitored. The ideal indicator is an event that always happens before a hazard event occurs, and never at any other time. Unfortunately, such indicators are rarely found, but the principle is important. Indicators that frequently happen regardless of whether or not a hazard event subsequently occurs are of no use. Generic guidance for indicators for evolving hazards covered by the ERP are available in Annex 2, as well as selected potential information sources at the global level. In many cases local sources, including national services, will be most useful. The generic indicator guidance should be used to identify context-specific indicators for each hazard in a risk profile.

Country teams should review the risk posed by each evolving hazard poses as a regular HCT meeting agenda point. The objective here is to decide whether or not there is a need implement APAs and to develop a specific contingency plan.

STATIC HAZARDS

These hazards pose the same level of risk consistently over time, such as earthquakes, volcanic eruptions and tsunamis. Even though they rank as high-risk, the exact timing of occurrence is impossible to anticipate. As such, it is usually not possible to monitor risks of this type.

8 For drought forecasts, see Famine Early Warning Systems Network (FEWSnet) www.fews.net

Reporting Risk and Highlighting Early Warning

A brief communication should be sent to the OCHA Regional Office when a country team initiates development or review of APAs and contingency plans. This information will go to the IASC Emergency Directors Group, and the IASC Task Team for Preparedness and Resilience for appropriate follow-up action and support. In consultation with HCTs, the EDG supported by an inter-agency group of experts monitors situations and suggests preparedness actions for specific risks.

This communication should include:

- A description of the hazard
- The best available estimate of the level of risk the hazard poses
- Planned actions to elevate readiness
- Assistance needed to ensure readiness

Implementing Risk Analysis and Monitoring

STEP 1

Hazard identification

As a first step the HCT should initiate a process to identify the potential hazards that may affect the country. Where possible, and appropriate, the HCT should invite government partners and other stakeholders, such as academics, technical experts, and representatives of local communities, to take part in the hazard identification process. Examples and guidance on undertaking hazard identification is available at:

www.humanitarianresponse.info/programme-cycle/space/preparedness-guidance

STEP 2

Risk ranking

When the hazard identification process is complete, all hazards should be ranked by their perceived impact and likelihood of occurrence. Risk = Impact X Likelihood. Using the risk graph in Annex 1 risks should be ranked from low to high. Further examples and guidance is available at:

www.humanitarianresponse.info/programme-cycle/space/preparedness-guidance

STEP 3

Defining thresholds

The HCT should use the risk ranking to define risk thresholds and judge if additional preparedness action is to be taken i.e. implementation of the Advanced Preparedness Actions and development of contingency plans. It is recommended that a HCT should set a threshold of a risk value of 10 or higher as a measure of when additional preparedness action is required (see Figure 5).

STEP 4

Risk monitoring

A risk monitoring mechanism should be established to track all hazards identified. Particular attention should be given to hazards with a risk ranking of 10 or higher. Monitoring updates should be a standing item on the HCT agenda. Risk Monitoring is one of the Minimum Preparedness Actions (MPAs). Please see the MPA checklist in Annex 3 for further guidance and examples.

Section 3

Minimum Preparedness Actions (MPAs)

Minimum Preparedness Actions (MPAs)

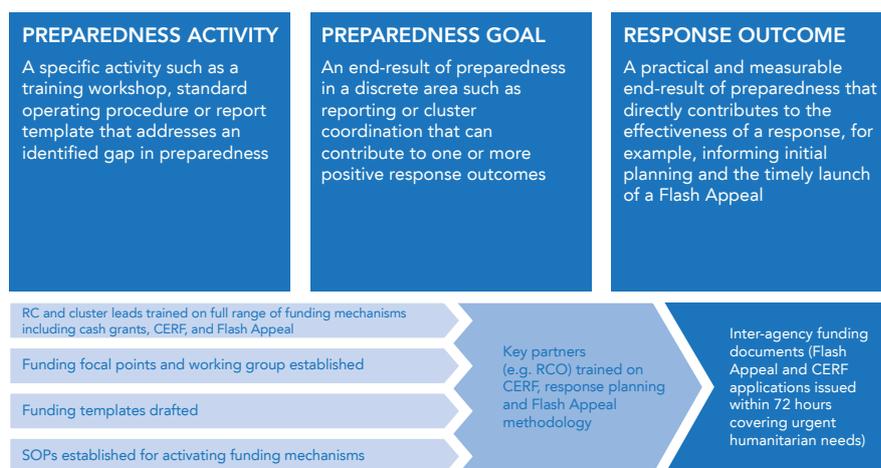


WHEN

The Minimum Preparedness Actions (MPAs) are an ongoing set of activities. A scheduled review of the MPAs should be included in the HCT's work plan. It is recommended that the MPAs are reviewed and updated at least once a year or if risk analysis and monitoring indicate an emerging risk or when there is a significant turnover of core agency staff.

The MPAs represent a set of core preparedness activities that need to be undertaken to achieve positive outcomes in the initial emergency response phase. The MPAs focus on practical actions to improve inter-agency response, accountability and predictability. The MPAs also promote more effective coordination between humanitarian actors that takes into account the perspective of affected populations through situation (baseline) and needs analysis including gender analysis and collection of sex and age disaggregated data.

HOW MINIMUM PREPAREDNESS ACTION (MPAs) ARE DEVELOPED



The following section outlines the steps required to implement MPAs at country level. The MPA checklist, as well as links to relevant guidance and examples can be found in Annexes 3-4.

Purpose

- To establish a standard of minimum emergency preparedness through which a HCT can maintain and measure its level of response readiness.
- To lay the foundation for a rapid build-up of emergency readiness, should a risk become imminent.
- To provide a basic operational readiness to enable response to a sudden-onset emergency.

The MPAs are divided into the following categories (see Annex 3 for full MPA Checklist):

a. Risk Monitoring

Risk monitoring should be a continuation of *Risk Analysis and Monitoring*, process within the framework of the Minimum Preparedness Actions. The MPA Checklist outlines key actions to be taken to ensure that risk monitoring regularly takes place to keep the preparedness alive to emerging or developing risks.

KEY QUESTIONS

1. Is there a clear and common understanding of the potential hazards which may trigger a crisis requiring a coordinated humanitarian response?
2. Is there a schedule for seasonal hazards, and a system to monitor changes in the risk posed by evolving hazards?

b. Coordination & Management Arrangements

Clearly defined coordination and accountability mechanisms are critical for effective humanitarian response. A clear understanding of roles and responsibilities enables individuals, teams and organizations to establish working relationships that can make all the difference during a crisis. It is also critical to establish appropriate linkages with government counterparts and other key partners. MPAs under this section identify the key activities for ensuring a coherent coordination system in the event of an emergency.

KEY QUESTIONS

1. Are humanitarian partners, government, and other key stakeholders familiar with the international humanitarian system and architecture?
2. Have appropriate humanitarian coordination mechanisms been agreed upon?
3. Are there effective coordination and communication mechanisms in place between the HCT and government/civil society /donors?
4. Have public information focal points been identified and trained?

c. Needs Assessment, Information Management and Response Monitoring Arrangements

Coordinated needs assessments that provide a common understanding of the priority needs of the affected population lays the foundations for a coherent and efficient humanitarian response. It is also critical that a system for response monitoring is in place. Response monitoring consists of establishing systems and procedures that measure who receive aid (disaggregated by sex and age), what aid is delivered to them and what results are achieved. Underpinning this is information management, which is the systematic process of collecting, processing, verifying, and analysing sex- and age- disaggregated data and information, and disseminating relevant information to humanitarian stakeholders

KEY QUESTIONS

1. Are humanitarian partners, government, and other key stakeholders familiar with the key elements of the IASC guidance on needs assessments, information management, and response monitoring?
2. Is key pre-crisis sex- and age-disaggregated data and information being collected to create a baseline and situation analysis, including gender and diversity analysis that will help to inform any future emergency response?

Although every crisis is different, the initial critical relief needs tend to be very similar and therefore it is possible to develop a standard relief package in advance.

and the affected populations and beyond. MPAs under this section identify the key activities that need to be undertaken ahead of time to ensure these arrangements can be implemented in an emergency.

d. Operational Capacity and Arrangements to Deliver Relief and Protection

The ability to respond in the immediate aftermath of an emergency depends on the level of operational readiness in place. Experience shows that in most emergencies there is an initial assistance gap as major response operations on average take at least three to four weeks to reach full capacity. Operational preparedness aims to reduce this gap to the extent possible and indicates the minimum level of readiness that should be in place to deliver humanitarian assistance and protection in a principled and accountable manner. This section is aimed primarily at sectors/clusters, the MPA checklist includes actions to identify the response capacity of sector/cluster partners (including national capacity i.e. government local NGOs and the private sector); availability and location of critical relief items; and systems for procurement, transportation and distribution of critical relief items.

KEY QUESTIONS

1. Have all relevant actors, including the private sector, in the specific cluster/ sector been identified and is their capacity known and mapped?
2. Are all partners aware of the key principles for humanitarian response including:
 - a. The centrality of protection and ensuring a human rights-focused perspective⁹
 - b. Accountability to affected populations, including effective two-way communication with affected communities.
 - c. Humanitarian principles.
 - d. Gender equality is fully mainstreamed into humanitarian programmes.¹⁰
3. Has consideration been given to suitable contents for a basic emergency relief package, including the possible use of cash transfers and vouchers (with due consideration of cultural or gender equality implications or preferences)?
4. Have basic supply chain requirements, such as location of relief stocks, suppliers, and logistics, been considered?

9 Statement by the IASC Principals on The Centrality of Protection in Humanitarian Action: <https://www.humanitarianresponse.info/system/files/documents/files/IASC%20Principals%20Statement%20on%20the%20Centrality%20of%20Protection.pdf>, and the Secretary-General's Human Rights Up Front initiative, <http://www.un.org/sg/rightsupfront/>

10 IASC Gender Equality Policy Statement 2008

Implementing the MPAs



STEP 1

Context and gap analysis

As a first step the HCT should undertake a gap analysis to establish the current level of preparedness. A set of key questions (see above) have been developed to guide HCTs in implementing the MPA checklist. These questions provide a basis for discussion within the HCT/sector/cluster to identify the gaps in preparedness. They are designed to gather essential background information and help to identify special requirements and operational constraints.

1.2.3

STEP 2

Prioritization

Based on the output of the gap analysis, the HCT should prioritise which are the most pressing MPAs to implement first. All country teams have constraints on their capacity to implement preparedness; therefore, it is essential that the prioritisation process has the backing and buy-in of all those involved in implementing the MPAs.



STEP 3

Implementation

The HCT should develop a work plan to implement the MPAs based on agreed prioritization. The MPA Checklist (see Annex 3) serves as a guide for this process.



STEP 4

Recording actions taken

It is very important that accountabilities, deadlines and actions taken are recorded so that the HCT can clearly monitor the level of minimum preparedness that has been achieved. The MPA templates (see Annex 4) can be used for this purpose.

Section 4

Advanced Preparedness Actions and Contingency Planning

Advanced Preparedness Actions and Contingency Planning



WHEN

The IASC system adopts a forward leaning “no regrets” approach to preparedness action, especially once thresholds that have been identified through risk analysis are met. This would normally occur when a risk is categorized as “Medium” (a score of 8 or higher in the risk ranking, see Section I – Risk Analysis and Monitoring). The CP should be updated and modified when more specific information (locations, likely humanitarian impact, etc.) becomes available.

Contingency Planning is a process, in anticipation of potential crises, of developing strategies, arrangements and procedures to address the humanitarian needs of those adversely affected by crises.⁹

One plan or multiple plans? In most cases the major elements of a CP (coordination arrangements, composition of the relief package, procurement and logistics arrangements) are common to a variety of potential emergencies in a country. Only in cases where a fundamentally different humanitarian response is required (e.g. because the affected areas are geographically very different) should separate CPs be developed.

The planning process has two components. The first is Advanced Preparedness Actions (APAs) designed to guide a HCT to an advanced level of readiness to respond to a specific risk. Unlike the MPAs, the APAs are risk-specific. They build on the MPAs already in place. The APA checklist includes essential preparedness actions though not specifically linked to the development of a contingency plan, they aim to complement and support the contingency planning process.

The second component is Contingency Planning (CP). This process sets out the initial response strategy and operational plan to meet critical humanitarian needs during the first three to four weeks of an emergency. The CP reflects the decisions taken by all partners involved in the planning process. A CP should seamlessly transform into a Flash Appeal if the emergency occurs.

The following section outlines the steps required to undertake risk analysis at country level. More detailed guidance and examples, as well as useful links, can be found in Annexes 5-6.

ADVANCED PREPAREDNESS ACTIONS (APAs)

The APAs are divided into the same categories as the MPA and follow the same implementation process (see Section 3).

Objectives of the APAs are as follows:

- To increase the HCTs emergency preparedness level, in view of a 'moderate risk', to one of emergency readiness.
- To guide the HCT and sector/clusters in identifying elements that are essential for responding to a potential crisis, which in turn will support the drafting of a Contingency Plan.
- To identify additional resource requirements, both human and financial.
- To feed into emergency preparedness planning carried out by national authorities.

The HCT should refer to the Advanced Preparedness Action checklist (see Annex 5) for guidance on steps to be taken to increase readiness to respond to an emerging risk.

CONTINGENCY PLANNING

The objective of the CP is to:

- Foster a common understanding of all partners involved on the anticipated scope of the emergency, the possible humanitarian needs and the nature and scope of the planned operational response.
- Clearly explain the sector/cluster response strategy to the imminent needs of the affected population with the first weeks of an emergency.

11 Choularton, Richard, Contingency Planning and Humanitarian Action: A Review of Practice. HPN Network Paper No. 59, March 2007. Available online at www.odihpn.org

- Reflect specific challenges/gaps in the potential response; To communicate anticipated funding requirements.
- Support the timely drafting of a Flash Appeal in the event of an emergency.

Figure 6
Key principles of contingency planning

- Contingency planning should be simple and easy to carryout. The task should not be confined to specialists: all staff that are likely to be involved in the response should participate. Ownership and understanding are essential when it comes to operationalizing a response.
- The contingency plan needs to be specific rather than generic. Hence the importance of linking the plan to risk analysis and monitoring to provide more specific information to frame the plan.
- Contingency plans should result in efficient, effective and equitable use of resources to meet humanitarian needs appropriately. Although written plans are important, without a good process contingency planning may be simply ignored and end up shelved or filed away unused. The document itself is a record of the decision-making process undertaken ahead of time that answers questions and assigns accountability.

Elements of the Plan (see Annex 7 for template (including key questions) and an example of a CP):

A contingency Plan contains the following sections:

a **Situation and Risk Analysis (including gender and diversity analysis)**

This section provides a summary of what is likely to happen, the likely impact, and the capacity to respond. It also contains the main planning assumptions used to develop a contingency plan.

RISK ANALYSIS

- High risk of conflict in province x because of increased sectarian tensions
- Conflict in the region will lead to the displacement of 100,000 people
- 50,000 are likely to stay with host families
- The remaining 50,000 will need emergency shelter
- The government can provide shelter for 25,000 people

b Response Strategy

This section outlines what the plan hopes to achieve. Based on the situation and risk analysis a response strategy is developed. The response strategy contains two main elements. First objectives are set based on the information from the risk analysis. Second, response/interventions are developed to meet these objectives.

Good objectives are essential to a successful plan. Objectives should be specific and clearly linked to risk analysis & planning assumptions.

Risk Analysis	Objective	Response
Conflict in the region will lead to the displacement of 100,000 people. 50,000 are likely to stay with host families. The remaining 50,000 will need emergency shelter. The government can provide shelter for 25,000 people	Meet the shelter needs of 25,000 people	Provide plastic sheeting for 5,000 households

c Operational Delivery

While the response strategy defines what is to be achieved; operational delivery defines appropriate interventions and how they will be implemented (e.g. using local NGOs in partnership with local government to distribute relief items), and the steps required (e.g. Logistics and needs assessments). This section is presented in the form of **cluster summary plans**, which included an overview of the operational actions need to meet the cluster/sector objectives.

Plans need to be based on a realistic understanding of existing response capacity. In many contingency plans, it is assumed that sufficient response capacity exists or can be quickly put in place. However, insufficient effort is made to determine what this entails. As a result, contingency plans can give the impression that a crisis can be managed, when in fact it is likely to far outstrip the response capacity that can be provided

d Coordination & Management Arrangements

This section sets out the coordination and management structures that are need to support the response.

Establishing clear mechanisms for accountability and coordination is critical to effective humanitarian response. These mechanisms need to be discussed and agreed before the crisis strikes.

e **Operational Support Arrangements (Coordinated Needs Assessment/Information Management/Response Monitoring)**

This section sets out the arrangements to support operations. The specific needs for operational support will become evident as the contingency plan is developed.

f **Preparedness gaps and actions**

This section outlines the preparedness gaps identified during the planning process. Gaps identified should be reviewed and prioritized and responsibilities and timelines for actions to address the gaps should be assigned.

Throughout the planning process, specific preparedness actions or issues requiring follow-up should be identified and recorded.

g **Funding Requirements**

This section should contain two budgets: an indicative budget for the planned response and a budget for preparedness actions. Preparing indicative budgets has several benefits. Firstly it gives a clear indication to both HQ and donors of what support is likely to be required and the likely scale of the response being planned. Secondly it ensures that time is not lost in issuing appeals for funding if a response is required.

MAINTENANCE

The contingency planning process does not end with the production of the plan. The plan must be reviewed and updated on a regular basis. It is particularly important that the plan be thoroughly reviewed when there is a change in the situation, signalled by **risk monitoring** or a change in the institutional environment, such as a significant change in membership or leadership of the Humanitarian Country Team. Ongoing involvement in followup of the CP should be part of the work plans of participating organizations and individuals

Simple **simulation exercises** are valuable in familiarizing those who will take part in a humanitarian response with the coordination and response mechanism envisaged in the plan. They also help to test planning assumptions and response systems. Simulations may be used as part of the regular schedule for review and updating of the contingency plan.

Implementing APAs and Contingency Planning

STEP 1

APAs

To implement the APAs please refer to the steps for implementing the MPAs at the end of Section 3. Please refer to Annex 5 and 6 for the full list of APAs and templates.

STEP 2

Developing a contingency plan

The HCT should establish a work plan and timeline for the development of the plan. Accountability and deadlines for completing various section of the plan should be agreed and assigned. Given that the HCT, under the leadership of the RC/HC, has the overall responsibility for the contingency plan regular consultation should take place and actions should be guided. Additional guidance can be found in Annex 5.

STEP 3

Addressing Preparedness Gaps

Preparedness gaps that are identified during the planning process should be addressed. Again this should be undertaken in a systematic manner with accountability and deadlines agreed and assigned.

STEP 4

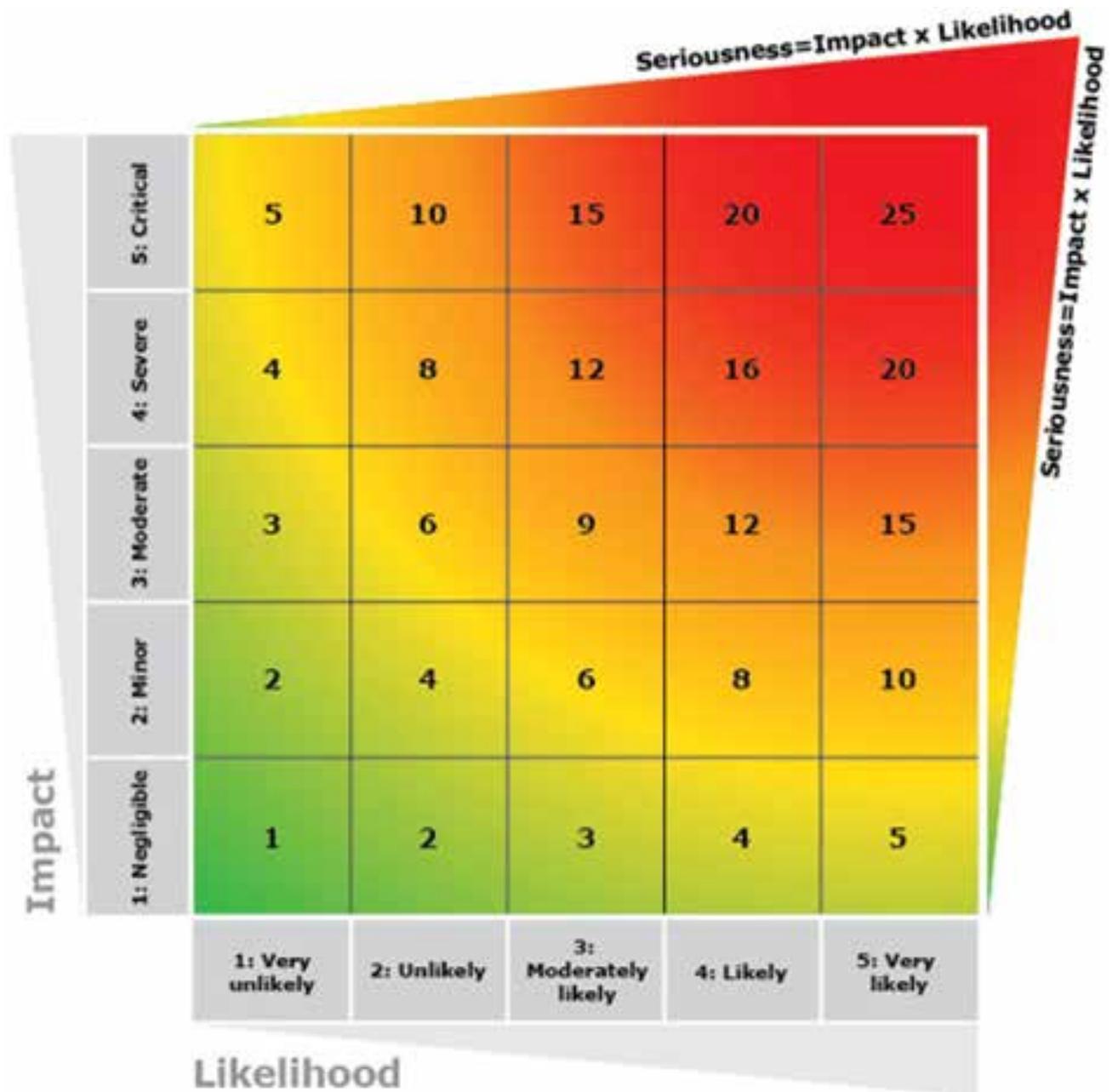
Testing the Contingency Plan

A schedule for regular testing and reviewing of the plan should be agreed. This schedule should be tied with Risk Monitoring. Tools such as simulations should be used to test the plan. See Annex 5 for further guidance.

ANNEXES

Annex 1

Risk Graph



Annex 2

Generic Risk Monitoring Indicators for Evolving Hazards

Indicators will vary according to the hazard being monitored. The ideal indicator is an event that always happens before a hazard event occurs, and never at any other time. Unfortunately, such indicators are rarely found, but the principle is important. Indicators that happen frequently regardless of whether or not a hazard event subsequently occurs are of no use. Generic guidance for indicators for evolving hazards, as well as selected potential information sources at the global level, are below. For information, in many cases local sources, including national services, will be most useful. The generic guidance should be used to identify context specific indicators for each hazard.

Armed Conflict

Indicators	Information Sources
<ol style="list-style-type: none"> 1. Identify reasons that conflict is not worse than it already is, and then identify indicators that suggest that these barriers to violence are eroding. What needs to change for the situation to have a different (worse) impact? 2. Identify the main drivers of conflict, and monitor these as trends with related indicators. 3. Consider actor intent and capability, and identify indicators related to changes in these. 4. Monitor trends in low-level violence, looking for escalation. 	<ol style="list-style-type: none"> 1. UNDSS 2. ReliefWeb www.reliefweb.int 3. International Crisis Group www.crisisgroup.org 4. Private sector analytical firms, e.g. Maplecroft, Control Risks 5. Trusted international/local news sources 6. ACLED (quantitative data on conflict in Africa) www.acleddata.com

Epidemics and pandemics

Information Sources

Reports and trends of infections (World Health Organisation www.who.int/csr/don/en/)

Serious human rights violations

Indicators	Information Sources
<ol style="list-style-type: none"> 1. Statements of intent by state or non-state actors 2. Rising trends in violations 3. Hate speech by political or community leaders 4. Overt and organised discrimination 5. Systematic desecration of symbols 	<ol style="list-style-type: none"> 1. OHCHR: www.ohchr.org 2. Amnesty International: www.amnesty.org 3. Human Rights Watch: www.hrw.org

Economic Hazards: Price spikes, drops in purchasing power, government restrictions

Indicators	Information Sources
<ol style="list-style-type: none"> 1. Upward price trends in important commodities, e.g. food and fuel 2. Downward employment trends 3. Damage to critical economic sectors 4. Occurrence of severe natural or conflict hazards 5. Changes in the international economy 6. Statement of government intent 7. Legislative processes 8. Local and international news sources, especially those with a financial focus 9. Direct government communications 	<ol style="list-style-type: none"> 1. FEWSnet: www.fews.net 2. WFP ALPS: foodprices.vam.wfp.org/ALPS-at-a-glance.aspx 3. WFP Food Security: www.wfp.org/food-security 4. FAO GIEWS: www.fao.org/Giews/english/gfpm 5. FAO Food Price Index: www.fao.org/worldfoodsituation/foodpricesindex 6. Local and international news sources, especially those with a financial focus

Annex 3

MPA Checklist

RISK MONITORING

Risk Monitoring Mechanism

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Appoint Early Warning (EW) Focal Points	
<input type="checkbox"/>	Establish EW monitoring and analysis system, including action dates for seasonal hazards	HPG: Risk in Humanitarian Action: towards a common approach?: http://goo.gl/w7qhXw Humanitarian Early Warning Service (HEWS): www.hewsweb.org/hp
<input type="checkbox"/>	Establish situation analysis (baseline), including gender analysis to identify underlying inequalities and vulnerabilities influencing risk susceptibility of the women and men and their communities	Index for Risk Management (INFORM): inform.jrc.ec.europa.eu
<input type="checkbox"/>	Ensure evolving risk discussion is a standing item on the HCT agenda	

COORDINATION & MANAGEMENT ARRANGEMENTS

Basic Guidance

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Familiarize humanitarian partners, government, and other key partners with the following: <ul style="list-style-type: none"> Humanitarian principles, 	Guide on Humanitarian Principles: http://goo.gl/423OjJ Transformative Agenda Protocols: http://goo.gl/pKgttA Protection from Sexual Abuse and Exploitation: http://goo.gl/43tZwD
	<ul style="list-style-type: none"> humanitarian architecture and 	A guide to International Humanitarian Architecture: http://goo.gl/ZqSwq7
	<ul style="list-style-type: none"> international response tools 	A guide to International tools and services: www.unocha.org/publications/asiadisasterresponse United Nations Disaster Assessment and Coordination (UNDAC) : www.unocha.org/what-we-do/coordination-tools/undac/overview International Search and Rescue Advisory Group (INSARAG): www.insarag.org Environmental emergency support: http://goo.gl/mqSBmL

HCT

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Establish an inclusive Humanitarian Country Team (HCT) including the participation of NGOs and Red Cross/ Crescent	<p>IASC Guidance for HCTs: http://goo.gl/vEU2jN</p> <p>Handbook for RCs and HCs on Emergency Preparedness and Response: http://goo.gl/Bgz9zW</p> <p>ToR for a HC: http://goo.gl/TLHPUf</p>

Government (incl. Civ/Mil)

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Ensure that clear procedures/protocols are in place between the HCT and the Government for requesting/ accepting international assistance	A guide to International tools and services: www.unocha.org/publications/asiadisasterresponse
<input type="checkbox"/>	Ensure that all humanitarian agencies are aware of the respective Government coordination structures for emergency response	
<input type="checkbox"/>	Clarify if the government intends to use military assets in emergencies and establish clear protocols for cooperation/coordination	Guidance on Civil Military Protocols: http://goo.gl/vrpKyy
<input type="checkbox"/>	Ensure that requirements such as custom clearances, visas, and access to affected populations are established and clear to all relevant stakeholders	<p>ICRC handbook on Enhancing protection for civilians in armed conflict and other situations of violence: http://goo.gl/1Cj6rq</p> <p>Humanitarian Access in Situations of Armed Conflict - Field Manual Version 1.0: www.alnap.org/resource/7605</p> <p>Protection for Conflict-Induced IDPs: Assessment for Action: www.unhcr.org/48849ac12.html</p> <p>Humanitarian Negotiations with Armed Groups: A manual and guidance for practitioners (OCHA 2006): http://goo.gl/VFFkuS</p> <p>Logistics Support: Customs facilitation: http://goo.gl/DzTgwU</p>

NGOs/Civil Society

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Establish a proper and functioning communication system with local NGOs and civil society, including women's organisations, to ensure the timely flow of information before and during an emergency	Principles of Partnership: http://goo.gl/HEcYkw

Donors

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Compile a list of contacts for in-country donors and technical focal points to be contacted	Link to Resource Mobilization Guidance and Best Practice: http://goo.gl/O500oo

Public Communication & Advocacy

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Identify and familiarise PI Focal Points with the IASC guidance on Public Information	Reporting Handbook Link to be created

NEEDS ASSESSMENT/INFORMATION MANAGEMENT/RESPONSE MONITORING

Assessments

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Ensure humanitarian and government partners are familiar with the IASC operational guidance on needs assessments	Link to Needs Assessment Guidance and Tools: http://goo.gl/TyubxP
<input type="checkbox"/>	Harmonise assessment methodologies, reporting requirements, tools and templates including sex and age disaggregated data and gender-responsive information	Link to Needs Assessment Guidance and Tools: http://goo.gl/TyubxP

Information Management

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Familiarise humanitarian partners with the IASC operational guidance on emergency Information Management	Link to IM Guidance and Tools: www.humanitarianresponse.info/topics/imwg
<input type="checkbox"/>	Develop common data preparedness sets (CODs) and fundamental operational data (FODs), including sex and age disaggregated data and gender-responsive information	Link to CODs and FODs Guidance and Tools: www.humanitarianresponse.info/applications/data

Response Monitoring

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Ensure humanitarian partners are familiar with the IASC guidance on response monitoring	Link to Response Monitoring Guidance and Tools: http://goo.gl/Xz309E

OPERATIONAL CAPACITY AND ARRANGEMENTS TO DELIVER RELIEF AND PROTECTION

Operational Principles

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Ensure that sector/cluster partners are familiar with the following; <ul style="list-style-type: none"> The centrality of protection 	IASC Guidance on Protection: http://goo.gl/aaohcB
	<ul style="list-style-type: none"> Relevant sector/cluster procedures and standards 	Essential Protection Guidance and Tools: http://goo.gl/YbgRWi
	<ul style="list-style-type: none"> Guidance on Accountability to Affected Populations (AAP) and Communicating with affected Communities (CwC) 	Global Clusters: www.humanitarianresponse.info/clusters/global
		Guidance on AAP: http://goo.gl/xgzVcS
		WASH Cluster Guidance on AAP: washcluster.net/topics/accountability-to-affected-population
		Guidance on CwC: www.cdacnetwork.org

<ul style="list-style-type: none"> IASC Gender Equality Policy Statement 2008 and Gender Handbook 	<p>IASC gender equality policy statement, 2008: http://goo.gl/0NZ4tk</p> <p>Gender Handbook: http://goo.gl/uVbSPB</p>
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Partners

MINIMUM PREPAREDNESS ACTIONS (MPAs)	TOOLS/ GUIDANCE
<input type="checkbox"/> Establish an inclusive sector/cluster groups including the participation of NGOs and Red Cross/Crescent	<p>Overview of the Cluster System: www.humanitarianresponse.info/clusters</p> <p>IASC Cluster Reference Module: http://goo.gl/ZSCloM</p>
<input type="checkbox"/> Identify and map the respective response capacities of sector/cluster partners, including government	<p>WASH Cluster guidance on capacity mapping: washcluster.net/topics/capacity-mapping</p>
<input type="checkbox"/> Establish a proper and functioning communication protocol with the relevant government sector counterpart	<p>IASC Cluster Reference Module: http://goo.gl/ZSCloM</p>
<input type="checkbox"/> Initiate discussions with potential private sector partners on what kind of contribution could they provide in a humanitarian response	<p>A guide to Public-Private Partnerships: business.un.org/en/documents/257</p> <p>Humanitarian Response and the Private Sector: http://goo.gl/cgxd6i</p>

Humanitarian Assistance Services

MINIMUM PREPAREDNESS ACTIONS (MPAs)	TOOLS/ GUIDANCE
<input type="checkbox"/> Identify what a basic relief assistance package might consist of, taking into account cultural practises, gender considerations and climatic conditions	<p>Global Clusters: www.humanitarianresponse.info/clusters/global</p> <p>Sphere Handbook: www.sphereproject.org/handbook</p>
<input type="checkbox"/> Evaluate the feasibility of using cash and voucher programmes during the emergency response phase (with due consideration to gender issues and implications)	<p>Guidance on Cash Transfers: www.cashlearning.org</p> <p>Food Security and Agriculture Cluster cash-vouchers guidance and examples: foodsecuritycluster.net/content/cash-vouchers</p>

Supply Chain

MINIMUM PREPAREDNESS ACTIONS (MPAs)	TOOLS/ GUIDANCE
<input type="checkbox"/> Identify local suppliers of items to be included in a basic relief assistance package	<p>Global Logistic Cluster: www.logcluster.org</p>
<input type="checkbox"/> Identify key logistical requirements to transport relief items	<p>Global Logistic Cluster: www.logcluster.org</p>

Safety & Security

MINIMUM PREPAREDNESS ACTIONS (MPAs)	TOOLS/ GUIDANCE
<input type="checkbox"/> Establish Business Continuity Plans	<p>Recommendations to the IASC WG from the IASC WG Staff Security Task Force: http://goo.gl/XiB8bM</p> <p>Good Practice on Operating in Complex Security Environments: http://goo.gl/tHZVrg</p>

Annex 4

MPA Checklist Template

● Done
 ● Deadline set
 ● To be initiated

RISK MONITORING

Risk Monitoring Mechanism

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Appoint Risk Monitoring Focal Points	● ● ●			
<input type="checkbox"/>	Establish EW monitoring and analysis system, including action dates for seasonal hazards	● ● ●			
<input type="checkbox"/>	Establish situation analysis (baseline), including gender analysis to identify underlying inequalities and vulnerabilities influencing risk susceptibility of the women and men and their communities	● ● ●			
<input type="checkbox"/>	Ensure evolving risk discussion is a standing item on the HCT agenda	● ● ●			

COORDINATION & MANAGEMENT ARRANGEMENTS

Basic Guidance

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Familiarize humanitarian partners, government, and other key partners with the following: <ul style="list-style-type: none"> Humanitarian principles, humanitarian architecture and international response tools 	● ● ●			

HCT

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Establish an inclusive Humanitarian Country Team (HCT) including the participation of NGOs and Red Cross/Crescent	● ● ●			

Government (incl. Civ/Mil)

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Ensure that clear procedures/protocols are in place between the HCT and the Government for requesting/accepting international assistance	● ● ●			
<input type="checkbox"/>	Ensure that all humanitarian agencies are aware of the respective Government coordination structures for emergency response	● ● ●			
<input type="checkbox"/>	Clarify if the government intends to use military assets in emergencies and establish clear protocols for cooperation/coordination	● ● ●			

<input type="checkbox"/>	Ensure that requirements such as custom clearances, visas, and access to affected populations are established and clear to all relevant stakeholders	  			
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NGOs/Civil Society

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Establish a proper and functioning communication system with local NGOs and civil society, including women's organisations, to ensure the timely flow of information before and during an emergency	  			

Donors

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Compile a list of contacts for in-country donors and technical focal points to be contacted	  			

Public Communication & Advocacy

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Identify and familiarise PI Focal Points with the IASC guidance on Public Information	  			

NEEDS ASSESSMENT/INFORMATION MANAGEMENT/RESPONSE MONITORING

Assessments

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Ensure humanitarian and government partners are familiar with the IASC operational guidance on needs assessments	  			
<input type="checkbox"/>	Harmonise assessment methodologies, reporting requirements, tools and templates including sex and age disaggregated data and gender-responsive information	  			

Information Management

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Familiarise humanitarian partners with the IASC operational guidance on emergency Information Management	  			
<input type="checkbox"/>	Develop common data preparedness sets (CODs) and fundamental operational data (FODs), including sex and age disaggregated data and gender-responsive information	  			

Response Monitoring

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Ensure humanitarian partners are familiar with the IASC guidance on response monitoring	  			

OPERATIONAL CAPACITY AND ARRANGEMENTS TO DELIVER RELIEF AND PROTECTION

Operational Principles

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	<p>Ensure that sector/cluster partners are familiar with the following;</p> <ul style="list-style-type: none"> The centrality of protection Relevant sector/cluster procedures and standards Guidance on Accountability to Affected Populations (AAP) and Communicating with affected Communities (CwC) IASC Gender Equality Policy Statement 2008 and Gender Handbook 				

Partners

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Establish an inclusive sector/cluster groups including the participation of NGOs and Red Cross/Crescent				
<input type="checkbox"/>	Identify and map the respective response capacities of sector/cluster partners, including government				
<input type="checkbox"/>	Establish a proper and functioning communication protocol with the relevant government sector counterpart				
<input type="checkbox"/>	Initiate discussions with potential private sector partners on what kind of contribution could they provide in a humanitarian response				

Humanitarian Assistance Services

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Identify what a basic relief assistance package might consist of, taking into account cultural practises, gender considerations and climatic conditions				
<input type="checkbox"/>	Evaluate the feasibility of using cash and voucher programmes during the emergency response phase (with due consideration to gender issues and implications)				

Supply Chain

	MINIMUM PREPAREDNESS ACTIONS (MPAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Identify local suppliers of items to be included in a basic relief assistance package				

<input type="checkbox"/>	Identify key logistical requirements to transport relief items	● ● ●			
Safety & Security					
	MINIMUM PREPAREDNESS ACTIONS (MPAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Establish Business Continuity Plans	● ● ●			

Annex 5

APA Checklist

RISK MONITORING

Contingency Planning (CP)

	ADVANCED PREPAREDNESS ACTIONS (APAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Establish and convene an inter-agency contingency response planning task force, with government participation if appropriate	http://...
<input type="checkbox"/>	Develop a contingency plan for the imminent emergency, including situation (baseline) and gender analysis to inform planning and response monitoring	

COORDINATION & MANAGEMENT ARRANGEMENTS

HCT

	ADVANCED PREPAREDNESS ACTIONS (APAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Check whether the Minimum Preparedness Actions are in place and updated	http://...
<input type="checkbox"/>	Review the RC/HC Standard Operating Procedures for First 72-Hour Response so that responsibilities for each action point can be assigned	
<input type="checkbox"/>	Review the requirement for requesting additional coordination resources from regional/HQ level. Consider pre-deployment of an UNDAC team if appropriate	

Government

	ADVANCED PREPAREDNESS ACTIONS (APAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Contact the emergency Focal Point in the government to access national emergency response plans and assess the anticipated scope for international assistance	http://...
<input type="checkbox"/>	Agree on a response coordination structure, at national, provincial, and district level between the HCT and the government	
<input type="checkbox"/>	Identify the government emergency Focal Point at provincial and district level	

Link to Local NGOs/Civil Society

	ADVANCED PREPAREDNESS ACTIONS (APAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	In case of possible internal displacement, reach out to community leaders, women's organisations and local authorities in eventual host communities, to identify their concerns, resources and possible assistance needs. Consult women and men equally	http://...

Donors

	ADVANCED PREPAREDNESS ACTIONS (APAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Organize a briefing for in-country donors	http://...

Public Communication & Advocacy

	ADVANCED PREPAREDNESS ACTIONS (APAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Put in place a protocol on how media issues should be handled at country level, and identify a spokesperson	http://...
<input type="checkbox"/>	Start developing risk-specific talking points and Q&As for RC/HC and HCT	
<input type="checkbox"/>	Ensure that lists of national and international media and media contacts in the country are up-to-date	

ASSESSMENT/INFORMATION MANAGEMENT/RESPONSE MONITORING

Assessments

	ADVANCED PREPAREDNESS ACTIONS (APAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Ensure there is a rapid assessment mechanism in place (agreed questionnaire, methodology, reporting requirements including sex and age disaggregated data and gender responsive information and logistical arrangements; trained assessment teams)	http://...

Information Management

	ADVANCED PREPAREDNESS ACTIONS (APAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Ensure that specific plans for collecting, managing, analysing and sharing information has been included in plans for needs assessment, operational response and monitoring	http://...
<input type="checkbox"/>	Establish contact management system that can effectively manage information on incoming emergency response staff	
<input type="checkbox"/>	Establish an inter-agency web platform suitable for managing information in an emergency, such as www.humanitarianresponse.info	

Response Monitoring

	ADVANCED PREPAREDNESS ACTIONS (APAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Develop a standard matrix that can be used to track inputs (tents, food, water, medical supplies, etc.) and outputs delivered (tents, food, water, medical supplies), to whom (disaggregated by sex) in the first days of the emergency	http://...
<input type="checkbox"/>	Develop initial Response Monitoring Framework to facilitate timely preparation and monitoring in case of crisis	

OPERATIONAL CAPACITY AND ARRANGEMENTS TO DELIVER RELIEF AND PROTECTION

Operational Principles

	ADVANCED PREPAREDNESS ACTIONS (APAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Ensure there is a clear protection strategy in place. Ensure appropriate prevention and response mechanisms for sexual and gender based violence	http://...

<input type="checkbox"/>	Ensure that a beneficiary complaints and feedback mechanisms are established and functional	
<input type="checkbox"/>	Establish two-way consultation and communications systems to support information provision to and feedback from affected communities and identify female and male community influencers in high-risk communities	

Partners

	ADVANCED PREPAREDNESS ACTIONS (APAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Identify potential local partners, including women's organisations, in the areas likely to be affected to support distribution of relief items	http://...
<input type="checkbox"/>	Identify and address any urgent training needs of cluster/ sector and local partners i.e. standards for distribution, Protection from Sexual Exploitation and Abuse (PSEA)	
<input type="checkbox"/>	Contact with private sector partners and identify possible areas of support	

Humanitarian Assistance Services

	ADVANCED PREPAREDNESS ACTIONS (APAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Clearly establish the existing response capacities in-country, and how beneficiaries can be assisted with these capacities. Identify and quantify the resource gaps	http://...
<input type="checkbox"/>	Based on situation and gender analysis identify the most appropriate activities needed to reach potential beneficiaries (including vulnerable groups)	
<input type="checkbox"/>	Agree on composition of relief assistance packages taking into account cultural practises, gender considerations and climatic conditions	
<input type="checkbox"/>	Decide on possible distribution strategy and beneficiary selection criteria based on situation and gender analysis	
<input type="checkbox"/>	Based on the analysis of the potential risk and the initial relief requirements estimated by the sector/cluster, review the need for pre-positioning	

Supply Chain

	ADVANCED PREPAREDNESS ACTIONS (APAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	For priority relief items, develop a comprehensive sourcing strategy and procurement plan for good and services, including: <ul style="list-style-type: none"> • Compile a comprehensive stock list of sector/ partners stocks of priority relief items. Include the location of the relief stocks. • In-country procurement; • International strategic stockpiles; • Other international procurement 	http://...
<input type="checkbox"/>	If stocks are being brought from outside the country, ensure that custom and importation procedures are understood. Identify the timeline for arrival of stocks	
<input type="checkbox"/>	Identify key transport, logistics and distribution requirements that will needed to implement the initial relief response in line with the sector/cluster strategy	
<input type="checkbox"/>	Hold an inter-agency logistics coordination meeting to determine existing logistics capabilities and additional needs	

<input type="checkbox"/>	Compile a list of local/regional transport and logistic suppliers that have capacity to continue during an emergency	
<input type="checkbox"/>	Review the need for air support, including United Nations Humanitarian Air Service (UNHAS) deployment	
Safety & Security		
	ADVANCED PREPAREDNESS ACTIONS (APAs)	TOOLS/ GUIDANCE
<input type="checkbox"/>	Review security plans to see that they are up-to-date and relevant for the area of planned operation	http://...
<input type="checkbox"/>	Review Business Continuity Plans to see that they are up-to-date and relevant for the area of planned operation	

Annex 6

APA Checklist Template

● Done
 ● Deadline set
 ● To be initiated

RISK MONITORING

Contingency Planning (CP)

	ADVANCED PREPAREDNESS ACTIONS (APAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Establish and convene an inter-agency contingency response planning task force, with government participation if appropriate	● ● ●			
<input type="checkbox"/>	Develop a contingency plan for the imminent emergency, including situation (baseline) and gender analysis to inform planning and response monitoring	● ● ●			

COORDINATION & MANAGEMENT ARRANGEMENTS

HCT

	ADVANCED PREPAREDNESS ACTIONS (APAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Check whether the Minimum Preparedness Actions are in place and updated	● ● ●			
<input type="checkbox"/>	Review the RC/HC Standard Operating Procedures for First 72-Hour Response so that responsibilities for each action point can be assigned	● ● ●			
<input type="checkbox"/>	Review the requirement for requesting additional coordination resources from regional/HQ level. Consider pre-deployment of an UNDAC team if appropriate	● ● ●			

Government

	ADVANCED PREPAREDNESS ACTIONS (APAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Contact the emergency Focal Point in the government to access national emergency response plans and assess the anticipated scope for international assistance	● ● ●			
<input type="checkbox"/>	Agree on a response coordination structure, at national, provincial, and district level between the HCT and the government	● ● ●			
<input type="checkbox"/>	Identify the government emergency Focal Point at provincial and district level	● ● ●			

Link to Local NGOs/Civil Society

	ADVANCED PREPAREDNESS ACTIONS (APAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	In case of possible internal displacement, reach out to community leaders, women's organisations and local authorities in eventual host communities, to identify their concerns, resources and possible assistance needs. Consult women and men equally	  			

Donors

	ADVANCED PREPAREDNESS ACTIONS (APAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Organize a briefing for in-country donors	  			

Public Communication & Advocacy

	ADVANCED PREPAREDNESS ACTIONS (APAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Put in place a protocol on how media issues should be handled at country level, and identify a spokesperson	  			
<input type="checkbox"/>	Start developing risk-specific talking points and Q&As for RC/HC and HCT	  			
<input type="checkbox"/>	Ensure that lists of national and international media and media contacts in the country are up-to-date	  			

ASSESSMENT/INFORMATION MANAGEMENT/RESPONSE MONITORING

Assessments

	ADVANCED PREPAREDNESS ACTIONS (APAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Ensure there is a rapid assessment mechanism in place (agreed questionnaire, methodology, reporting requirements including sex and age disaggregated data and gender responsive information and logistical arrangements; trained assessment teams)	  			

Information Management

	ADVANCED PREPAREDNESS ACTIONS (APAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Ensure that specific plans for collecting, managing, analysing and sharing information has been included in plans for needs assessment, operational response and monitoring	  			
<input type="checkbox"/>	Establish contact management system that can effectively manage information on incoming emergency response staff	  			
<input type="checkbox"/>	Establish an inter-agency web platform suitable for managing information in an emergency, such as www.humanitarianresponse.info	  			

Response Monitoring

	ADVANCED PREPAREDNESS ACTIONS (APAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Develop a standard matrix that can be used to track inputs (tents, food, water, medical supplies, etc.) and outputs delivered (tents, food, water, medical supplies), to whom (disaggregated by sex) in the first days of the emergency	  			
<input type="checkbox"/>	Develop preliminary Response Monitoring Framework to facilitate timely preparation and monitoring in case of crisis	  			

OPERATIONAL CAPACITY AND ARRANGEMENTS TO DELIVER RELIEF AND PROTECTION

Operational Principles

	ADVANCED PREPAREDNESS ACTIONS (APAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Ensure there is a clear protection strategy in place. Ensure appropriate prevention and response mechanisms for sexual and gender based violence	  			
<input type="checkbox"/>	Ensure that a beneficiary complaints and feedback mechanisms are established and functional	  			
<input type="checkbox"/>	Establish two-way consultation and communications systems to support information provision to and feedback from affected communities and identify female and male community influencers in high-risk communities	  			

Partners

	ADVANCED PREPAREDNESS ACTIONS (APAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Identify potential local partners, including women's organisations, in the areas likely to be affected to support distribution of relief items	  			
<input type="checkbox"/>	Identify and address any urgent training needs of cluster/sector and local partners i.e. standards for distribution, Protection from Sexual Exploitation and Abuse (PSEA)	  			
<input type="checkbox"/>	Contact with private sector partners and identify possible areas of support	  			

Humanitarian Assistance Services

	ADVANCED PREPAREDNESS ACTIONS (APAs)	STATUS	DUE DATE/TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Clearly establish the existing response capacities in-country, and how beneficiaries can be assisted with these capacities. Identify and quantify the resource gaps	  			
<input type="checkbox"/>	Based on situation and gender analysis identify the most appropriate activities needed to reach potential beneficiaries (including vulnerable groups)	  			

<input type="checkbox"/>	Agree on composition of relief assistance packages taking into account cultural practises, gender considerations and climatic conditions	  			
<input type="checkbox"/>	Decide on possible distribution strategy and beneficiary selection criteria based on situation and gender analysis	  			
<input type="checkbox"/>	Based on the analysis of the potential risk and the initial relief requirements estimated by the sector/ cluster, review the need for pre-positioning	  			

Supply Chain

	ADVANCED PREPAREDNESS ACTIONS (APAs)	STATUS	DUE DATE/ TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	For priority relief items, develop a comprehensive sourcing strategy and procurement plan for good and services, including: <ul style="list-style-type: none"> • Compile a comprehensive stock list of sector/ partners stocks of priority relief items. Include the location of the relief stocks. • In-country procurement; • International strategic stockpiles; • Other international procurement 	  			
<input type="checkbox"/>	If stocks are being brought from outside the country, ensure that custom and importation procedures are understood. Identify the timeline for arrival of stocks	  			
<input type="checkbox"/>	Identify key transport, logistics and distribution requirements that will needed to implement the initial relief response in line with the sector/cluster strategy	  			
<input type="checkbox"/>	Hold an inter-agency logistics coordination meeting to determine existing logistics capabilities and additional needs	  			
<input type="checkbox"/>	Compile a list of local/regional transport and logistic suppliers that have capacity to continue during an emergency	  			
<input type="checkbox"/>	Review the need for air support, including United Nations Humanitarian Air Service (UNHAS) deployment	  			

Safety & Security

	ADVANCED PREPAREDNESS ACTIONS (APAs)	STATUS	DUE DATE/ TIMEFRAME	LEAD	ACTIONS TAKEN
<input type="checkbox"/>	Review security plans to see that they are up-to-date and relevant for the area of planned operation	  			
<input type="checkbox"/>	Review Business Continuity Plans to see that they are up-to-date and relevant for the area of planned operation	  			

Annex 7

Contingency Plan

Introduction: How to Use This Template

This template can be used to create a Contingency Plan (CP) at the country level. A CP document is a record of the decisions taken during the planning process and is not an end in itself. It reflects decisions and commitments towards future actions, and therefore must involve senior decision makers with the appropriate authority.

The CP must reflect agreement among partners (including government authorities, UN, NGO and civil society partners involved in the expected response, as appropriate in the context).

Completing this CP template and the planning process will result in the following:

- ✦ A clear and practical context specific response strategy;
- ✦ An analysis of needed resources to adequately manage the planned for scenario;
- ✦ Re-allocation of existing resources, or additional resources, when required and appropriate;
- ✦ An appropriate and timely response towards the protection of affected women, men, boys and girls, including meeting their basic needs.

The final CP document must not be overloaded with too many details and overly complex response planning. Detailed operational plans per sector or highly detailed resource inventories, maps, and other supporting documentation should be included in the Annexes at the end of this document.

The final CP without the annexes should be 20 pages or less.

LEGEND:

Blue text = Annotations for planners, (template users will delete the blue script and replace it with their own when creating their actual CP)

Black text = CP structure, main headings, key tables and matrices.

