contingency Planning

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DMTP

Contents

The Purpose and Overview

This section covers the "when" and "why" of contingency planning. It looks at the popular misconceptions surrounding this activity. It considers the relationship to early warning, operations planning and needs assessment and identifies indicators which will suggest when it is prudent to initiate the planning process.

The Process

This section covers the "how" of contingency planning emphasising the importance of the process necessary to arrive at an effective plan. It describes an approach which is participatory and ongoing and suggests mechanisms which can be established in-country to update the plan and maintain the preparedness process. This process is not dissimilar to any effective planning process and as such may be applied equally to operations planning.

The Partners

This section identifies, and considers the role of, the various agencies in the planning process. It is a kind of a checklist to ensure that the appropriate actors are involved at the right stage.

The Plan

This section sets out a model format for a contingency plan. These Guidelines stress that the plan is simply a product of the process and as such is constantly changing and requiring update. Nevertheless the plan has an importance as a working tool and thus some guidance on the best approach to setting out the document is required.

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Annexes

The Preface

This publication is based on a document originally prepared by UNHCR for its staff, government and implementing partners. Their guidelines were oriented to refugee influxes and the special concerns of refugees. In this publication, the guidelines have been adapted for the use by the United Nations Country Teams.

These Contingency Planning Guidelines are written with a focus on complex emergencies for the field staff of international humanitarian assistance organisations. The typical reader of this document might be a country director of an organisation or a programme officer in a field office where there is a need to initiate contingency planning or to enhance existing planning processes. The context for the planning activities is an inter-agency forum, where participants will be from Government, the UN or non-governmental agencies.

Forward planning often takes more effort and perseverance than reactive action and, as such, is not always seen as a priority. It is hoped that these Guidelines will be a stimulus to those who have hesitated at the idea of contingency planning, and be an effective tool to those who are aware of the need, but do not know where to commence or how to proceed.

Having begun a contingency planning process one should not sit back with complacency. Do not confuse "output" with "impact". The planner should ask "Am I really prepared if an emergency erupts tomorrow?" The honest answer in often unfortunately negative. There is a danger that contingency planning becomes a mirage rather than a tangible element in preparedness. These Guidelines could equally be entitled "Guidelines for Contingency Actions" since planning without action is simply ineffective, irresponsible and even dangerous.

Just as this document demonstrates that contingency planning is a process, and as such developing and changing over time, so too are these Guidelines expected to change as staff gain new experiences and insights into the planning process. We would welcome feed-back from staff on the Guidelines and suggestions for improvements and changes.

Section 1
The Purpose and Overview

What is an Emergency

An emergency has been defined as**:**

> "Any situation in which the life or well-being of a population will be threatened unless immediate and appropriate action is taken, and which demands an extraordinary response and exceptional measures."

As will be noted from the final clause in the definition, an emergency is defined not by the size or scope of an event itself, but in the ability of existing structures and mechanisms to deal with the event. Exceptional measures require exceptional planning. The implications of extraordinary and exceptional nature of the event can be reduced through effective contingency planning.

So, what distinguishes an emergency as complex? A complex emergency has been defined as:

> an internal political crises and/or armed conflicts, complicated by an array of political, social, and economic factors

The Inter-Agency Standing Committee also defines complex emergencies as those emergencies which fall outside the mandate and competence of given UN organisations. It is further characterised as a form of human-made emergency in which the cause of the emergency as well as the assistance to the affected population is complicated by intense levels of political considerations.

Why is Contingency Planning Important

There is a growing realisation that increasingly more attention and resources are being paid to complex emergencies as compared with "stable" refugee situations or natural disasters. The problems of refugees, displaced persons and civilian populations caught in conflict have escalated to such an extent, and their complexity is such, that emergencies increasingly preoccupy humanitarian assistance agencies.

Prerequisites for rapid and effective emergency response are:

➢ planning

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> ➢ availability of standby resources (financial, human and material)
> ➢ a mechanism for rapid decision making
> ➢ taking contingency actions

All four constitute preparedness and are interdependent - one without the others will not allow for effective response. While there is still scope for enhancement, the standby resource arrangements of many UN and non-governmental agencies have improved considerably since the Gulf Crisis in 1991. Annex A contains a summary of the standby resources developed by UNHCR (summaries of other organisations to be added later or presented as a stand-alone resource).

This capacity to respond can often lie idle until the decision is made to deploy. Political, financial, logistical, security and bureaucratic constraints are amongst those which can delay deployment of standby resources. An effective mechanism to address these issues is important but is beyond the scope of these Guidelines.

Specific actions that can or should be taken at both the field and headquarters levels during the preparedness stage of contingency planning include implementation of:
- internal management mechanisms
- resource actions (preliminary identification of personnel, materiel and equipment needs)
- security and telecommunications needs
- inter-agency co-ordination mechanisms

These Guidelines concentrate on the first and last of the above prerequisites. Planning for contingencies affects the other three prerequisites since it 1. helps identify the standby arrangements that may be required, 2. assists rapid decision making, as it ensures the early availability of reliable information for policy makers, and 3. identifies which actions can be taken during the preparedness phase of a potential emergency.

Contingency Planning - A Definition

The component parts of this definition will be explained in detail in these Guidelines.

> "A forward planning process, in a state of uncertainty, in which scenarios and objectives are agreed, managerial and technical actions defined, and potential response systems put in place in order to prevent, or better respond to, an emergency or critical situation."

Principles of Contingency Planning

When involved in Contingency Planning, the practitioner should remember that Contingency Planning is:

- A dynamic <u>process</u>, focused on preparation and flexibility
- Integrated into on-going operational planning activities
- Provides useful input to managers, programming staff and emergency officers
- An integral part of all agencies preparedness activities
- Addresses only scenarios which are likely to impact humanitarian operations
- Field based

For Which Contingencies do we Plan?

The answer is, for any possible critical event. The most common is a new influx or sudden increase in a refugee or displaced persons population. There are many other contingencies for which one can plan. The way one approaches the planning process, the people involved and the content of the plan will naturally vary according to the type of critical event. These Guidelines concentrate on the refugee influx or internally displaced persons scenarios, and it is up to the planner to adapt the process, if variation is required. The list to the right is not exhaustive, but demonstrates the wide range of critical events and emergencies for which one can plan. In some cases, one may need to plan separately for more than one event occurring in one country or region.

> outbreak of civil conflict affecting civilian populations

> new influx or sudden increase in refugee population

> refoulement or expulsion

> attack on a refugee camp or internally displaced persons

> violence within a camp or settlement

> spontaneous population movements within a country

> spontaneous or organised voluntary repatriation

> camp relocation or new camp creation

> sudden shortages of funding, food or other commodities

> outbreak of an epidemic or serious health problem

> natural disaster affecting humanitarian operations and needs

> staff evacuation, threat to staff security, attack on agency premises

When should Contingency Planning Begin?

All planning begins with a situation assessment and contingency planning is no exception. In most cases field workers will know simply from experience when it will be prudent to plan. One can, as is often said, "feel it in ones fingers". It need not be a sophisticated science or computer model which triggers the planning process. Basic risk assessment and intelligence gathering analysis is normally adequate.

This being said an understanding of early warning theory is useful. Early warning is "a process of information gathering and policy analysis to allow the prediction of developing crises and action either to prevent them or contain their effects." The stages in early warning analysis are:

observe ➔ collate ➔ analyse ➔ disseminate ➔ react

This task of early warning analysis should not be the responsibility of one person alone, since accuracy is considerably enhanced through the assimilation of

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information, experiences and skills of the widest possible range of sources. Amongst these are:

> ➢ Affected population (those already uprooted as IDPs or refugees, those residing in current or potential conflict areas)
> ➢ Political entities (central & local government, opposition groups)
> ➢ Local population
> ➢ Journalists & newspapers
> ➢ Academic institutions, scientists, scholars
> ➢ International bodies (UN, NGOs, diplomatic staff)
> ➢ Local NGOs and associations

There must be some trigger to commence planning and the early warning signs of a potential critical event may be important in initiating the process. When are the signs such that one should plan for contingencies? Here, there is no hard and fast rule. Often it is simply a question of intuition mixed with experience that prompts one to recognise the need. A number of attempts have been made to "scientifically" determine when an influx or some other event requiring contingency panning is likely, but all have their limitations. Neither extreme, the intuitive nor the scientific are adequate. The best approach to early warning lies somewhere between. Nevertheless as a rule:

" It is better to plan when it is not needed,
than not to have planned when it was''

It is well worth understanding the dynamics of Early Warning. There are normally three prevailing factors:
- causes of conflict (both root causes and more immediate expressions)
- mitigating factors (coping strategies, actions that reduce conflict and/or the creation of humanitarian needs resulting from the conflict)
- triggering factors (specific events and actions that could trigger a marked increase in humanitarian needs, or constraints affecting humanitarian operations).
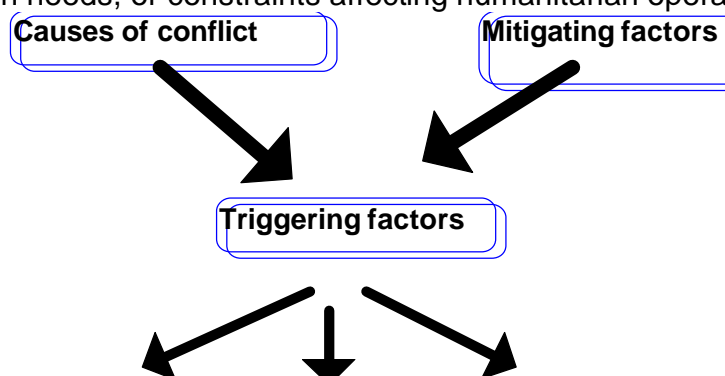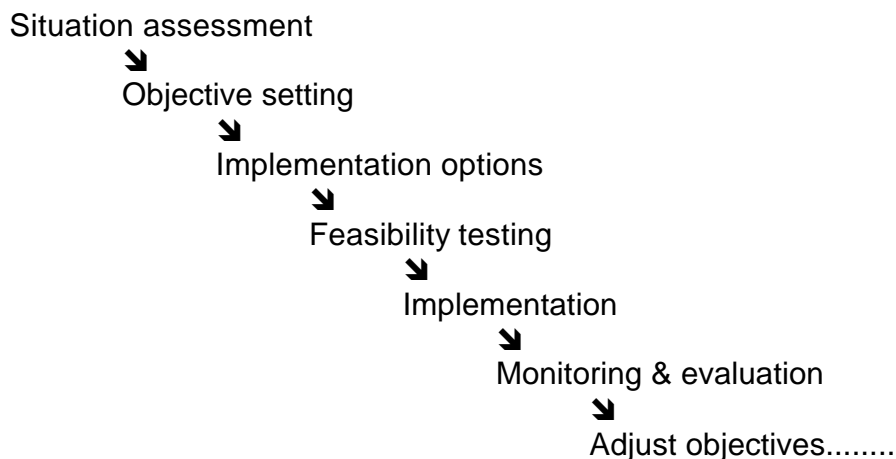

Annex B provides a list of each of these factors. They relate to flows of refugees, but are indicative of the numerous elements which may contribute to (and delay) a mass movement of persons. For other critical events, such as a natural disaster affecting a refugee camp, probability may be more scientifically determined, but the timing more

uncertain. Some sort of ongoing early warning analysis should be an integral part of any contingency planning process.

An Understanding of "Planning" Concepts is Important
There is a certain logic to the planning process. This logic can apply equally to major tasks, such as planning an overall operation to relatively minor day-to-day activities. In essence, planning comprises the following steps.

Situation assessment
     ↘
     Objective setting
        ↘
        Implementation options
           ↘
           Feasibility testing
              ↘
              Implementation
                ↘
                Monitoring & evaluation
                  ↘
                  Adjust objectives........

Planning is an ongoing activity. As can be noted from the sequence above, the planner is constantly monitoring progress and adjusting the objectives to take account of new realities.

Planning should take place in both stable and in exceptional circumstances. In an emergency, planning takes on an enhanced importance, since one must minimise mistakes as well as move forward in a systematic and speedy manner. Planning is not simply theory but a pre-requisite for action. The oft quoted comment,
    " this is an emergency, we don't have time to plan"
is ill-conceived. This being said, the whole point of contingency planning is to begin the planning before the emergency begins by mapping out objectives and strategies prior to the crisis stage.

The steps in planning will be examined in more detail in Section 2.
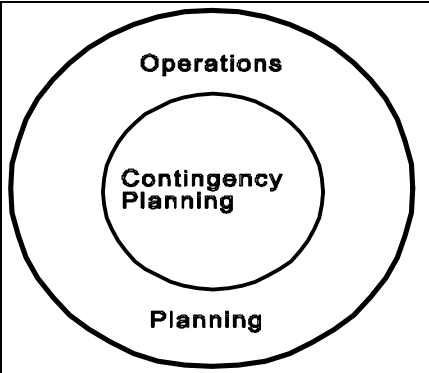
Contingency Planning and Operations Planning

There is not a great deal of difference between contingency and operations planning. Both are planning activities as described above where objectives are set and a strategy to achieve these objectives delineated. The major difference between the two, is that planning for contingencies is planning in a state of uncertainty. One must make assumptions and develop scenarios upon which planning is based. In operations planning, one observes a tangible situation and responds to it.

There are two kinds of associations between contingency planning and operations planning:

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① The continuum model where contingency planning is a stage before operations planning. In this model, the early warning signs prompt contingency planning and, should the event for which one planned, actually occur, the planning process simply changes gear and becomes operations planning. The assumptions made in the contingency planning stage are confirmed or adjusted, and then the operations planning continues, taking account of a real situation.

② In many cases however, contingency planning takes place in the midst of a (sometimes complex) operation. For example if one is planning for a renewed influx, a natural disaster affecting a camp or a sudden spontaneous repatriation, then contingency planning becomes one element of operations planning. Here there are elements of certainty and uncertainty mixed - the realities of the ongoing operation are well known but future developments for which one needs to be prepared are to be assumed.

As will be seen in the following sections of these Guidelines, the participants in the contingency and operations planning process (normally an inter-agency group) will often be the same in composition. This allows for continuity and consistency. For example, in model① it is an easy transition for a contingency planning group to adjust their modus operandi to operations planning.

Contingency Planning and Training

Some agencies are unfamiliar with the notion of contingency planning; many are well aware of its importance but approach it in different ways. The approach outlined in these Guidelines has been developed over time and through practical experience (and is generally the accepted approach of the operational United Nations agencies). It is a successful approach to the type of critical events with which humanitarian assistance organisations are faced. This does not mean it is the only approach and indeed it may not be appropriate in some circumstances. There may be times therefore when this approach needs to be explained to participants in the process. Training (or more appropriately, explanation and clarification) may therefore be a desirable element in the planning process. It is important that all participants understand the approach and are able to proceed in unison. One should avoid a situation where a misunderstanding on the best way to proceed undermines or detracts from the contingency planning process itself. Political sensitivity, cultural factors and different agency agendas may interfere with a common approach. These issues will be dealt with in Section 2.

Just as the contingency planning process might have a training element, emergency training activities in many international organisations have a contingency planning element. UNHCR runs an Emergency Management Training Programme (EMTP). It is a course for some 35 government, NGO, UNHCR and other UN agency participants held over a 12 day period in three separate regions each year. The Department of Humanitarian Affairs (DHA) has a contingency planning element in the Disaster Management Training Programme (DMTP) for which they are responsible. These guidelines are consistent with the approach taken in both the EMTP and DMTP training. WFP has its Emergency Operations Training Programme and IOM also has emergency migration training, both of which include aspects of contingency planning.

UNHCR is producing a series of Emergency Management training modules which include such subjects as early warning, needs & resources assessment, operations planning as well as contingency planning. These could be used as part of the contingency planning process to sensitise planners to the approach and ensure that all participants are taking a consistent approach.

What Contingency Planning is <u>not</u> - frequent misconceptions

As a trainer, initiator or facilitator of contingency planning, you may often hear the following statements. As will be noted later in the Guidelines, these generally result from a misunderstanding of what contingency planning involves.

CONTINGENCY PLANNING GUIDELINES

✘		Contingency planning costs money - financial resources are required in advance before planning can begin
✘		External expertise is needed - the experts must come on mission to plan. There is no local expertise
✘		It takes one major effort and once the plan is ready, little more needs to be done - one is now prepared
✘		Contingency planning is not an integral part of our work, its an exceptional activity
✘		Contingency planning is sensitive, confidential and threatening, so should not be attempted or at least should be done in secret
✘		Contingency planning creates a pull factor which encourages displacement which may have otherwise not occurred
✘		It is product oriented - stockpiles, plans, budgets are an end in themselves not a means to a successful response

The Levels of Preparedness

Within the realm of contingency planning, there are various levels of preparedness. There may be a global or general preparedness, a country or operation specific preparedness and thirdly a heightened alert. They can be expressed in the following manner:

❶	**GENERAL GLOBAL PREPAREDNESS**	The state of general preparedness in which standby arrangements are in place, staff trained, materials stockpiled and access to emergency funding assured. These arrangements are not necessarily country specific.
❷	**ENHANCED COUNTRY SPECIFIC PREPAREDNESS**	The state in which a particular country or region can be considered to be emergency prone or vulnerable to the effects of emergencies. Accordingly, contingency planning should be undertaken. While this stage applies to many countries, at this stage, the resource investment (particularly financial) will be limited.
❸	**HEIGHTENED ALERT**	The state in which the planners conclude that the situation has reached a critical stage and that action requiring an added investment in resources (stockpiling, training, fund-raising, staff standby etc.) is warranted.)

While it is difficult to quantify the level of risk at each stage, it might be useful to further concretise each level, describing level ❷ as one in which there is at least a 1 in 5 chance of a major critical event occurring and level ❸ as one where it had reached a 1 in 2 chance.

These Guidelines essentially explain the steps from the beginning of level ❷, and lead the reader through both levels ❷ and ❸. These stages are important to keep in mind since they will be very practical tools in the planning process itself. Certain preparedness tasks require few resources and are relatively easy to implement and can thus be done in stage ❷, while others would only be politically and financially viable after the heightened alert. Thus when deciding on the timing of preparedness actions one can think in terms of these "stages" or "levels" rather than in terms of "in six weeks" or "by year end" etc.

Section 2

The Process

The Process - A Definition

> "A group of people or organisations, working together on an ongoing basis to identify shared objectives and define respective actions."

Contingency planning is primarily a process. It is not a one time event, even less a "Plan". The planning process may well have a starting point but usually no end. One traditional approach to contingency planning has been to "fly in" one (or more) "experts" to draw up a plan for a potential critical event or emergency. This has its dangers:

➤ It is too much to expect one (or even several) person(s) to effectively cover all sectors and issues. The technical, policy, local and practical concerns are too diverse and complex

➤ The existence of a plan "prepared by the experts" can lead to complacency and false security

➤ There is no ownership by those not involved. That should rest with the organisations and persons who should update it and by whom it will eventually be implemented

➤ It will quickly become out of date if it relies on external inputs all the time

These pitfalls can clearly be avoided by planning collectively, marshalling the widest range of local skills and complementing these by external inputs. By reviewing and updating planning measures on a regular basis, one ensures that the preparedness measures in place are appropriate, adequate and complementary.
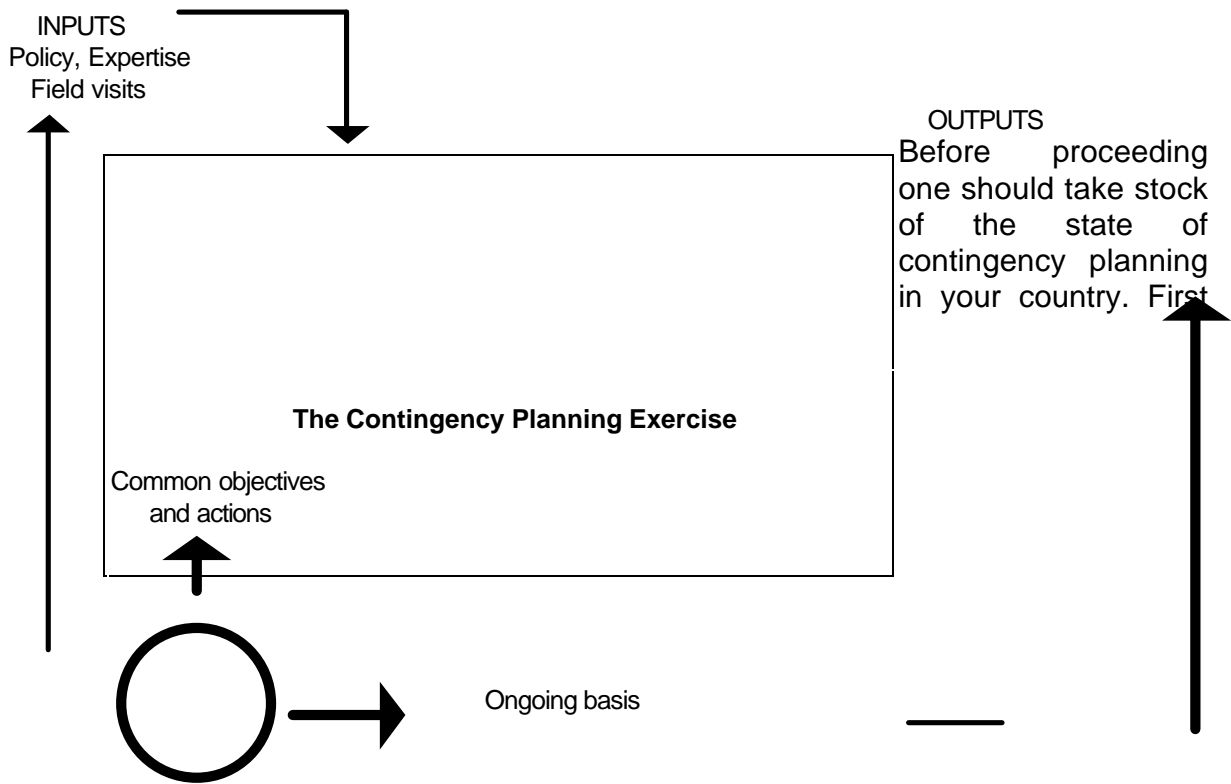
Experience has clearly shown, that reliance on the Plan alone leads to a false sense of confidence, since the Plan quickly becomes out of date. Many Plans read well but when one scratches the surface one realises that practical response measures are merely proposals rather than reality. The Plan without the process thus tends to be:

" A security blanket with a short shelf life "

How is the Process Manifest
As the definition above implies, contingency planning is best achieved through a co-operative and co-ordinated effort wherein all relevant agencies should work together, in the same direction (shared objectives) and over a period of time. Meeting once and producing a Plan is usually insufficient and the product usually inadequate. The

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process revolves around regular meetings. Inputs into these meetings include expertise, field visits, agency policy etc., while outputs include Plans, reports, budgets, actions, stockpiles etc..

INPUTS
Policy, Expertise
Field visits

OUTPUTS
Before proceeding one should take stock of the state of contingency planning in your country. First

The Contingency Planning Exercise

Common objectives
and actions

Ongoing basis

decide on the kind of emergencies or critical events for which planning may be desirable. (See the box on page 7). Then assess the state and context of planning in your country. It is likely that you find yourself in one of the situations below:

Planning

Planning, but no Inter-agency Meetings	Planning through Inter-agency Meetings
No planning No Inter-agency Meetings	Inter-agency Meetings, but no planning

Process
Where are you now?

<table>
<tr><td>Contingency Planning is already taking place through Inter-agency meetings</td><td>If you find yourself in this position, much of what is written in these guidelines will be familiar to you. There may naturally be room for improvement and these guidelines may provide you with some ideas. You may ask yourself, whether the meetings are held frequently enough, sufficiently focused on the task, are the participating agencies the most relevant, is the product adequate in light of the emergency for which</td></tr>
</table>

one is planning, should one be planning for other emergencies? Have you shared your Plans with headquarters?

<table>
<tr><td>Contingency Planning is already taking place but not in the context of Inter-agency meetings</td><td>You may already have a contingency plan. Is it up to date? Who prepared it? Was it prepared in the context of an inter-agency forum? Does the Plan include practical measures or is it a list of intentions? These are some of the questions you should ask yourself. It may well be that the Plan and the planning needs to be revitalised. If the plan has not been developed in consultation with other agencies, then it</td></tr>
</table>

may be appropriate to take a new approach on the basis of these guidelines. In essence there is always a time to evaluate the effectiveness of one's planning and take remedial action if the planning is not considered effective.

<table>
<tr><td>No Contingency Planning is taking place but there are inter-agency meetings</td><td>Where inter-agency meetings already exist it is worthwhile deciding whether the composition of the group, the working methods and the meeting frequency can be adapted or extended to add contingency planning onto the agenda. One should think carefully about this though, since the existing system may smother new initiatives in contingency</td></tr>
</table>

planning and it may be worthwhile starting afresh with a new structure and procedures. If one chooses to use the same structure, there should ideally be a distinction between the processes. It may not be an adequate enough approach to simply add contingency planning onto the agenda as a new item. If one does, it will lose its importance and the concerted energy needed for it to be effective will be lost. On the other hand, with skilful planning, one could use existing inter-agency meetings as a sounding board and eventually a spring board for new contingency planning initiatives. The endorsement of the inter-agency group would thus be most valuable.

<table>
<tr><td>No Contingency Planning is taking place and there are no inter-agency meetings</td><td>In some cases there is no existing inter-agency meeting structure yet there is considered to be a patent need for some form of contingency planning. Indeed we have seen in some countries that the commencement of contingency planning through the inter-agency process has brought agencies together for the first time, albeit with a specific agenda. The efficacy of the forum has then stimulated further inter-agency consultation in other areas. The contingency planning has in fact</td></tr>
</table>

been the ignition for broader consultation to the benefit of the country operation as a whole.

Let us assume that a new meeting structure is desirable. The first meeting sets the

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tone for the way in which the process will proceed. It does not mean that there will not be an opportunity to change the composition, the procedures and the frequency of the meetings at a later date, but it is well worth giving careful thought to laying a solid foundation.

The Contingency Planning Exercise

The Contingency Planning Exercise is a forum and opportunity for all involved agencies to participate. Each has something useful to contribute to the planning. The views of one agency may differ from others, but this will often be to the advantage of the planning process since it provides a useful forum for all assumptions to be questioned and refined. The end product is thus more realistic. While one agency may facilitate the Contingency Planning Exercise, the equal importance of each agency must be respected.

The frequency of the meetings depends very much on the circumstances. In a stable situation, meeting every 3 months is probably the norm. If the early warning signs are such that one is approaching or has entered the "alert" stage, then weekly meetings or monthly meetings will be necessary to ensure enhanced preparedness. Whatever the situation, there should be a readiness to meet at very short notice if it is demanded by the situation. The Contingency Planning Exercise will require an optimum environment and props for it to be effective. Some guidance can be found in the UNHCR publication "Learning to Train - An Introduction to Training Skills" and a checklist of the essential elements is shown on the right. This list assumes that there is a training or presentational element in the Contingency Planning Exercise, possibly a presentation on the current situation in the country of origin or on plans for refugee sites. For the inaugural Contingency Planning Exercise, for which a possible agenda is discussed below, many of these resources will be required. The usefulness of the flip-chart should not be underestimated since it provides a visual way for the facilitator or rapporteur to take notes and will generate, prompt and stimulate new ideas from the participants.

❐	Suitable meeting room
❐	Flip chart and paper & pens
❐	Overhead projector & screen
❐	Tent cards for names
❐	Refreshments
❐	Video player
❐	Electrical outlets & wiring
❐	Photocopier, computer printer
❐	Interpreter if required

The Agenda - the Inaugural Contingency Planning Exercise

In this part we will go into some detail of the agenda and content of the inaugural meeting in the contingency planning process. This is simply presented as a guide and some adaptation will always be required. Even if the process has begun in your country, the details below may stimulate some new ideas and approaches to revitalise the process.

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☞ Step 1   The Preparation

Decide on participants, venue, facilitator, agenda and send out the invitations preferably with the agenda. One could consider whether it is worthwhile including an experienced facilitator from your duty station or Headquarters. (Refer to Section 3 on The Partners for more guidance).

☞ Step 2   The Introduction

The facilitator can open the session and invite some brief opening remarks from a UN agency Representatives and/or the most senior government official. Try to keep the formality to a minimum. The facilitator can explain the objectives of the contingency planning meeting, and the agenda. It would then be appropriate to ask participants to introduce themselves and comment, if they wish on the agenda and objectives.

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**Contingency Planning
Meeting - Ruritania
6 -7 June 1997**

1. To introduce participants to the principles of Emergency planning and management.

2. To discuss the concepts of Emergency Preparedness and Response

3. To consider the concepts of Early Warning, Needs & Resources Assessment, Contingency Planning and Operations Planning

4. To begin the Contingency Planning process, culminating in the preparation of a Contingency Plan for possible emergency

5. To provide an opportunity for participants to familiarise themselves with each other and their respective agencies' capacities and needs

6. To consider the means and arrangements for future ongoing co-operation in relation to preparedness and contingency planning.

</td>
<td>

Agenda

Part One
1.   Purpose of the Contingency Planning meeting

1.   Participant Introductions and expectations

2.   An introduction to Emergency Management - Preparedness and Response

3.   Co-ordination mechanisms and actions

4.   Early Warning for emergencies

5.   An introduction to Planning, Needs Assessment & Operations Planning

6.   Contingency Planning - the process

Part Two
7.   Identifying Scenarios

8.   Policy Clarifications/Strategic Objectives

9.   Sector Objectives

10. Sector Activities - what, who, by when

12. Security and telecommunications needs

13. The way forward

</td>
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</table>

Two full days are required for this agenda, with the possibility that an optional third day may be useful. The first morning for all of part one, including a practical early warning exercise, can be followed in the afternoon by identifying the scenarios and agreeing on the policy objectives. That will give the facilitator the opportunity to type up these two elements and present them to the participants the next morning to seek their agreement and in part to recap on the previous day's discussion.

The remainder of the second day can be devoted to proceeding in as much detail as possible through each of the sectors, leaving a short time before closing, deciding on

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the next steps and the date of the next meeting.

☞ Step 3   The Training

It will be noted from the objectives and the agenda that there is a training element included. The intention is not to say, "this is how it should be done" but "this is how we find it useful to approach contingency planning". Guidance on content and overhead transparencies for this training are available in a companion Trainer's Guide.

There are some activities within the "training" segment which will be useful for subsequent discussions. Under agenda item 4 the facilitator could explain the global emergency preparedness arrangements of UNHCR (as described in Annex A). Then ask each of the agencies present to describe their preparedness arrangements. A second exercise could be to turn the theory of Early Warning into a practical exercise for your specific anticipated emergency. Give the participants a work-sheet like the one to the right and take some minutes for each person to identify 3 or more factors in each section. The indicators are listed in Annex B and this will help participants in undertaking the exercise. Then, in plenary, take say 3 indicators for each box from each participant, to arrive at an indicative pattern. Use the flip chart to record the results. It should be mentioned that this is not a scientific exercise, but is intended

Early Warning Worksheet

Country_____**Influx From**_____

List the factors in order of importance

Factors
Factors Prompting Emergency 1. 2. 3. 4. 5.
Mitigating Factors 1. 2. 3. 4. 5.
Triggering Factors 1. 2. 3. 4. 5.

simply to get a better appreciation of how early warning factors interact. It does, nevertheless, already introduce the participants to the actual country issues at this early stage in the process.

☞ Step 4   Scenario Identification

Based on their own experience, early warning indicators, reliable commentary etc. the emergency planners should develop possible or likely scenario(s). This activity is the most intuitive, yet one of the most important, since this lays the basis for all further planning. In establishing scenarios one will inevitably make assumptions, and while these will be based on the experiences and knowledge of a range of persons, there will inevitably be an element of unpredictability.

" The only predictable thing about a scenario is that it will be wrong "

This may be true, but it doesn't really matter that much. It is important to settle for one

or more scenarios for planning purposes and if the influx is smaller, one knows one is well prepared, and if it is greater, one immediately realises the importance of taking urgent corrective action. The scenario is in effect a kind of benchmark.

For scenario conceptualisation:

➢ consider all possibilities (be imaginative)

➢ settle for a limited number of options only (3-4 options are the norm) otherwise the planning process will be too complicated

➢ use the concept of "worst case/best case"

➢ consider probability

➢ decide whether to plan for multi-scenario, worst case or another option

If time is available divide into two or more groups of some 6-8 persons and task each group to arrive at a likely scenario(s). Then in plenary compare and then synthesise these into one or more agreed scenarios. Alternatively immediately begin the discussion (brainstorming) process in plenary using the flip chart to record the conclusions. Remember to keep scenarios to a minimum since one will need to undertake detailed planning for all scenarios. If there are regional variations with different scenarios for each region, the scenario setting exercise will need to be organised to take account of these variations.

In order to structure the scenario discussions, some headings will be desirable. These will of course differ depending on the type of event for which one is planning, but for a civil conflict the headings could be those shown in the box. Annex D gives an example of a refugee influx scenario. Most elements are self explanatory, except for the "emergency response trigger" which perhaps deserves some explanation. There are various levels of preparedness which will help the planning process (global preparedness, country preparedness and alert). The next stage is the actual response. It is well worthwhile to identify, in advance, the indicators which manifest this stage so that time is not lost

> - ◆ Location of conflict
> - ◆ Total planning figure
> - ◆ Location of settlements
> - ◆ Anticipated movements
> - ◆ Settlement arrangements
> - ◆ Emergency response trigger
> - ◆ Expected profile of affected population

discussing "when" the emergency actually begins. Some call this the declaration of the emergency. The planners need to know when to mobilise the response arrangements. In some cases it will be quite obvious but very often there is a temptation to say "lets wait and see if the situation deteriorates further" rather than acting immediately. There is a danger if the response threshold keeps moving, to a more extreme level than is prudent. See Annex D for an example of a response trigger.

☞ Step 5   Policy/Strategic Objective Identification

The planners need to have some vision of the direction of the overall operation. To the extent possible this should be a shared vision. It is not unusual for the various partners to hold different policy approaches to a particular problem. If these can not be reconciled at least they should be known and understood by all parties. Nevertheless an effort should be made to agree on some overall principles through establishing overall objectives for the response operation. All activities undertaken in the plan will need to be consistent with these overall objectives.

The overall objectives can simply be accomplished by brainstorming in plenary. In order to divert any open conflictual debate some effort may be required prior to the meeting to find a formula acceptable to all parties. This will not normally be necessary though, since as can be seen from the example in Annex D, the policy objectives are normally of a general nature and non-controversial.

☞ Step 6   Sector Objective and Activity Identification

This is the most substantive and detailed part of the meeting. For each sector the participants should agree, in as much detail as time will permit, on the:

➢   sector objectives including standards

➢   activities/tasks

➢   who is responsible for implementing the task

➢   time frame for implementation

The simplest, as well as the most participatory, way to approach this task is to proceed sector by sector using the flip chart to record the views of the participants. It is a good idea to distribute the sector considerations (Annex C) before hand. Certain agencies will clearly have a more prominent role in some sectors (UNICEF for water, WFP for food and Logistics, etc.) and it may be worthwhile explaining to these agencies what will be expected of them in the Contingency Planning Exercise so that they have some time to prepare their inputs in advance. Leave the "management" sector for the end since it falls into place more easily once one knows what one needs to manage and co-ordinate. Stress that this is not a "pledging conference" and that it is not necessary for agencies to commit themselves to a task if they are unable to at that stage. Their role at this stage could simply be indicative. Having recorded the inputs on the flip chart, the rapporteur can write up the Plan, adding some background information for each. (See Annex D for an example.) On the next page there is an indication of the types of raw data which will be recorded on the flip chart for later editing into the Plan.

Water

Objectives/standards/needs
15 - 20 litres per person per day. Adequate quality. Think of local population. Avoid trucking. Adequate on site storage. Protect natural water sources. Distribution system - people don't need to walk too far. GPS mapping? Suitable water containers (include in domestic items sector)

Activities	*By whom*	*by when*
Identify water sources	*Govt/UNHCR*	*Immediate*
Locate trucks *get costs*	*UNHCR/WFP*	*Immediate*
Fly in pumps, tanks, etc.	*UNHCR/NGO*	*On arrival*
Find out about drilling equip *(Army? Min of Agric.?)*	*UNHCR/Govt*	*On alert*
Management of sector *Identify agency for each zone*	*CRS/other NGO?*	*On arrival*
Set co-ordination structure	*UNHCR*	*On alert*

☞ Step 7   <u>Writing the Plan</u>

Agree with the participants that this is simply the beginning of the process. If the exercise is limited to two days, the notes taken during the meeting will be compiled into the Plan which will be shared with them for amendment and endorsement. Agree on the timing of the next meeting and the agenda for that meeting. Normally the agenda of that and subsequent meetings could have 3 standard items:

1.   Review the early warning indicators
2.   Report on actions taken by agencies in the interim
3.   Update the Plan by making amendments and additions

If possible to extend the period of the exercise, the drafting, review, and finalisation of the Plan should be part of the inaugural Contingency Planning Exercise, as well as subsequent ones. One way to do this might be to allow 2-3 days between the end of the second day and the final day. Participating agencies should get the draft Plan one day before the final meeting and come prepared to propose any last revisions or corrections.

☞ Step 8   <u>The Way Forward</u>

It would be essential for promoting follow up actions by all participating entities, at both field and headquarters levels, that the plan is accepted and presented as a consensus document (to the maximum extent possible). The follow up process will need to be actively managed by whichever lead agency is designated. Ongoing liaison is required with agencies between meetings, these meetings need to be convened as agreed and agencies ready to play their agreed part. The role of the "facilitator" is crucial here, a role which is described further in Section 3.

Process Input

If regular meetings (in plenary, and if necessary, in technical or regional sub groups) are the hub of the process, then input (see diagram on page 16) is required to ensure its effectiveness. This includes:

➢   Technical expertise and advice
➢   Results from field visits
➢   Information from the countries of origin or location of conflict
➢   Results of bilateral meetings with agencies outside the inter-agency meetings
➢   Policy statements of various agencies

It is important to gather technical inputs which are timely and appropriate. "Timely" in the sense that they come in the right sequence in the process. For example, there is little point undertaking site planning surveys before the settlement locations are agreed by all parties. Often political and strategic decisions are required prior to technical inputs. Yet, care must be taken to ensure that there are sufficient technical inputs to make reasoned political and strategic decisions. "Appropriate" in the sense that the site planner must be experienced in planning emergency settlements. The ongoing

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nature of the process approach allows for this injection of expertise at the right time and gives greater scope to the right technical experts being available, since the window of opportunity for their missions is larger.

Process Output

Output or products from the process are the physical manifestations of the planning process. These include:

➢ The Plan

➢ Projects and Budgets

➢ Standby arrangements such as stockpiles

➢ Training of potential implementing partners

➢ Preparedness checklists

These are constantly reviewed, validated and amended as the process continues.

Constraints and Dilemmas

''That's all very nice in theory, but it won't work here.
You don't understand, our situation is different. ''

Guidelines are just that, a guide. They are based on best practice often under favourable conditions. There will be constraints and reasons why they can not be applied "according to the book." Each scenario and country situation is different, hence the need for adaptation, perseverance, diplomacy and imagination. Some of the obvious constraints and dilemmas are:

The constraint	Possible ways deal with it

Political sensitivity	1. Invoke international legal instruments (1951 Convention, OAU Convention, Universal Declaration of Human Rights etc.) which specify obligations.
There is often a concern by the government and others that undertaking contingency planning will convey the wrong messages and may even be a pull factor. There may be strong pressure to undertake contingency planning in secret. The Government may not participate. Indeed, you may feel that planning may provide an opportunity for some actors to over-react and plan for exclusion or more restrictive measures than would have been the case in a sudden influx. All these considerations are valid, and this is probably the most difficult constraint to overcome.	2. Stress that contingency planning is not unique to that country but a "normal" and "expected" activity for UNHCR and the Agencies.
	3. Indicate that refugees do not move from their homes without careful consideration and considerable pressure. Thus contingency planning in itself will not be a pull factor.
	4. Develop an understanding of the lines of authority and possible problems within the hierarchy in gaining acceptance for contingency planning. Ensure approaches are made at the correct and most effective level.
	5. If the Government is hesitant in participating accept it and with their permission undertake the planning. Keep them informed and eventually when they see that it is non threatening draw them in. There may be indirect ways they can be involved such as during training sessions on emergency management.
	6. Secrecy should be avoided - it has a tendency to backfire and be counter-productive. Confidentiality is essential however. There may be a few instances where media coverage is considered part of the strategy of the Plan, but these instances are rare.
Cultural considerations	1. Consider a separate meeting with "senior managers" to explain the process and seek their endorsement (see p 26). Give the senior officials a role which conveys their status.
The "process" described in these Guidelines is characterised by participation and horizontal agency interaction. In many countries the participatory, non hierarchical approach to planning is not a familiar way of working. Often Plans are prepared by managers and handed down for implementation, technical staff do not necessarily plan with policy makers, resources are centrally managed etc. All these factors may not fit comfortably with the inter-agency participatory process.	2. At the Contingency Planning meeting, explain the ground rules so that everybody understands the method of working from the outset. In doing, so seek consensus on the agenda and the process.
	3. Find the "culturally appropriate" approach and aim for a middle way between your approach and that of the participants.
	4. Where this is a new activity for the local counterparts, there may be value in explaining that this is not new for UNHCR, which is drawing on experience and best practice elsewhere, thus giving the methodology an endorsement.

<u>Scenario complexity</u> In many countries it may be difficult to identify one or two scenarios upon which to base the planning. The existence of numerous political, racial, tribal groups or the varying geographic locations, each of which manifests different planning problems, will complicate the process. Even without this level of complexity , finding agreement on a scenario may be illusive.	1. Where there are different Geographic areas, separate planning processes may be desirable. This may be accomplished through different sub groups comprising regional or district agency representatives planning separately while the separate parts are brought together at central level in one Plan with consistent elements. The separate plans will require co-ordination through the participation in the regional meetings of at least one representative from the central planning committee. 2. Do not be tempted into selecting too many scenarios. As long as they are representative of all possibilities, the size or intensity of a problem can be adjusted, since for planning purposes the scenario simply needs to be indicative.
<u>Lack of Interest</u> Motivating agencies to participate may be a challenge. Some may not recognise the potential problem, see the need for the planning, or think that the consultative process is necessary. They may feel satisfied with their own plan if they have one. Much of course depends on attitudes and personalities of the staff.	1. The beauty of an ongoing process is that the composition of the planning partners can change over time. Begin with those prepared to participate and keep others informed. They may join the process as they note its efficacy. 2. Contact Headquarters to liaise with the Headquarters of the agency which is not participating to encourage involvement and asking that the planning process be endorsed at that level. 3. Do not take any initiatives which may lead to entrenched views which preclude future involvement.
<u>Policy Variations & Competing Mandates</u> Governments, UN Agencies and NGOs have different mandates, and amongst Government departments, UN agencies and NGOs there are often different mandates, stances and approaches. "Hidden" agendas are not unusual. These must be recognised from the outset of the dialogue. These varying viewpoints will often complicate the consultative process.	1. Diplomacy, honesty and openness are essential in the process. If agencies are concerned with "image", experience has shown that the net benefits of this kind of collective endeavour outweigh to individual gain. 2. Focus discussions at the appropriate level. Operational issues are best discussed at operational levels and may facilitate policy-level decisions where feedback and advice from the technicians is positive. 3. Diplomatic missions of donor governments will be an important ally here. These governments are very concerned about inter-agency co-operation and are enthusiastic about co-ordination mechanisms such as those described in these Guidelines.

Operational Complexity	1. One must recognise the ongoing operation and not totally ignore the existing co-ordination and management structures. It may be wise to begin with an analysis of all these structures and procedures and identify those which will contribute positively to the process of contingency planning and those which do not. Maximise the use of the former and minimise the use of the latter.
Ongoing programmes will often confuse the clarity and neatness of a contingency planning process. The preoccupation with the mounting numerous tasks of the current operation may not allow time or energy to be devoted to new tasks. Agencies have expectations of the role they may play in planned operations because that is the role that they currently play. There may be reasons why, for the sake of an effective operation there should be a change. Separating the contingency planning process from the current operation, stepping back and taking a fresh clean look at the problem is not easy.	2. Establish Guidelines or a code of conduct for the planned operation at the earliest possible stage. This will ensure that all participating agencies in the process accept the objectives, agree with the process and have acceptable standards of operation. These Guidelines will have a certain force if developed and sanctioned by an inter-agency group.

Section 3

The Partners

This section assumes that the process will involve a "group". The reasons for this have been explained earlier, but it may be worth reiterating the old adages that "many heads are better than one" and that "many hands make light work". It is not feasible for one "expert" to prepare the plan. To be effective one should marshal all the possible and available expertise so that synergy (the sum of the whole is greater than its individual parts) results. There are other direct benefits, of course, such as ownership by those who must implement the plan; and indirect benefits, such as contingency planning providing an opportunity for interagency interaction, which in itself is valuable.

This being said, the selection and management of the partners should not be random. The participants in the process are the key to effectiveness of the contingency planning. The selection of the organisations represented, and the individuals representing these organisations, is important. Before listing the possible participants, there are a few issues which need to be addressed and which require consideration when arranging participation in the process.

Optimum group size

The size of the group will in the first instance depend on the critical event for which one

is planning. Some very specific situations, such as staff or premises security, may be better handled by a small specialist group, whereas a major refugee influx would require broad representation. Normally a meeting of 20 persons would be a maximum for the meeting to be run in a fully participatory manner with the level of informality that is essential. Larger meetings tend to be cumbersome and can lead to situations where there are set statements rather than interactive dialogue. On the other hand fewer than 10 persons does not allow for a sufficient range of views. It may be necessary to convene two levels of meetings, the larger formal meeting where statements of principle and support can be made and the second level working group meeting which develops the detail.

Selection of participants

The initial selection of participating agencies requires careful thought. Keeping in mind the objective of the planning and the comments above on size, it is often better to be inclusive than exclusive. Since the group will meet periodically as part of the process, the composition need not be fixed for all future meetings. There must be scope for agencies to be added and for others to drop out according to the possible contribution to the process and benefit to the agency. By erring on the side of inclusion, the utility of each agency to the process can be determined. Those which realise that they have limited contribution value may sometimes decide to exclude themselves from subsequent meetings. Naturally the selection of agencies will depend on the nature of the critical incident for which one is planning. Some will be essential since they may be expected to have an operational or important role in the implementation stage while some may only be important in certain parts of the process.

Having determined which agencies to include, one needs to give some thought to the level of representation from each agency. In some cases there is no choice since the agency country representation may be small. It is of course up to the agencies to decide who from their office should attend. It is incumbent on the organisers to clearly explain the nature of the meeting so that the decision is based on an understanding of need. The invitation should therefore be as explicit as possible. In many cases agencies will prefer to be represented, at least at the early stages, by a senior staff member, maybe the country representative. This person could be complemented by a specialist. Thus 2 representatives from one relevant agency may be desirable. Once the process becomes more practical and routine the policy maker may withdraw.

From time to time there may be considerable value in seeking agency headquarters participation. The country desk officer from UNDP in New York, a food and logistics officer from WFP in Rome, various specialists from the Programme and Technical Support Section at UNHCR in Geneva, a water specialist from OXFAM in England etc., may be a valuable catalyst to moving forward in the planning process or injecting some technical expertise. Such persons may also be available at a nearby office in the region. In order to capitalise on the presence of these people adequate advance notice will be required.

Local technical expertise should not be overlooked. External input into the country

planning process is not always possible to arrange and at best will be sporadic, thus the early integration of local expertise, from government or local NGOs, is highly desirable.

Language abilities of the participants are an important consideration. Since the meetings are highly participatory, working with interpreters is cumbersome, disruptive and can lead to misunderstanding. At times this may not be avoided, but every effort should be made to ensure that all participants and the facilitator share a common language.

The Focal Point, the Facilitator, and the Rapporteur

These three functions are important to the success of the process and effective contingency planning. It may well be that the same person fulfils all three functions or they may be split between two or three persons. The choice depends on staff availability and skills, since each requires different competencies.

Role	Function	Competencies
Focal Point	A process is dynamic and does not drive itself. The focal point provides the impetus, the momentum to the process. The focal point needs to: ➢ monitor the early warning signs and call meetings when necessary, be conscious of the composition of the group and initiate change, identify gaps in the plan and in general maintain a watching brief over the process; ➢ co-ordinate and share information so that all parties in the process are constantly aware of the status of the planning, have up to date copies of the plan and feel truly part of the process; ➢ call and arrange meetings and identify the facilitator (if the focal point does not assume that role). Meetings must be effectively managed, with an agenda and adequate meeting discipline. Minutes may not be required if all conclusions are recorded in a the revised Contingency Plan. It is the facilitators role to ensure there is a detailed agenda, that it is shared with participants in advance of the meeting and to guide the facilitator.	Organisational skills, understanding of the contingency planning approach, positive public relations style, appreciation of how to manage meetings.

Facilitator	To facilitate meetings is an art which goes beyond chairmanship. It may well be that the meetings become routine and that a competent chair person can perform that task. Nevertheless, for the first meeting there may be a value in arranging for a facilitator. Apart from ensuring that the process begins on the correct footing, it has the added advantage of releasing others to actively participate in the planning, a task which is difficult for a non-independent facilitator. Subsequently, the logical chairperson may well be the head of one of the organisations or the chair may rotate to foster a truly co-operative arrangement or in some cases there may be a co-chair (the government and the UN). For further information on holding effective meetings refer to the UNHCR training module "Chairing and Facilitating Meetings".	Skills at facilitation and ideally a familiarity and expertise with refugee issues, the local situation, management of emergencies and contingency planning.
Rapporteur	This role involves assimilating the comments in the meetings, receiving written inputs from the partners and writing the plan. Ideally the same person should update the plan to ensure some continuity. If the plan reflects the discussion effectively, separate minutes of each meeting (except to note the date of the meeting, who participated and other practical information not reflected in the plan) are not particularly necessary.	Drafting skills, computer literacy desirable

Continuity and Permanency

The plan, the participants and the focal point provide continuity to the process. There is a danger, particularly given constant staff changes in many organisations, that the process will cease through neglect. Of course, if the threat of a critical event or emergency diminishes there is no point sustaining the process, but that must be a conscious decision, not simply a result of default.

In the selection of the participants it is worthwhile ensuring the participation of persons who will be present for some time. They should ensure handover to others if there is change in an organisation and if necessary arrange for two representatives from one organisation if one is due for rotation.

Checklist for Agency Participation

The following checklist is intended as a guide to the contingency planner when compiling the list of participants in the planning process. It is not exhaustive and each situation requires a different mix of participants. Use the list to consider each agency and their potential role. In doing so it is important to ensure coverage of the following:

➢ Are all technical sectors covered by those agencies represented?

➢ Are there sufficient local organisations with country nationals familiar with local conditions as well as political realities?

➤ Are there agencies/persons familiar with the situation in the country of origin and early warning indicators?

➤ Are all mandated agencies represented?

As a starting point, in countries with an existing UN Disaster Management Team, this group should provide the overall basis for contingency planning. While one or more agencies should feel free to call for such contingency planning, the DHA representative is responsible for making sure that such contingency planning is undertaken. This person would most often be the UN Resident Co-ordinator, but in countries where a UN Humanitarian Co-ordinator is present as the DHA representative for an ongoing complex emergency, he/she would have this responsibility. This does not mean that the UN Resident/Humanitarian Co-ordinator should necessarily be the facilitator of the contingency planning exercise - in practice, this role may often best be delegated to an individual with special expertise in this area.

In countries vulnerable to the development of complex emergencies, the UN Disaster Management Team should create a distinct contingency planning group, allowing the flexibility to widen the participation to other relevant entities and allowing UN agencies who may not have an interest in the subject to discretely withdraw. This would also enhance direct participation by staff below the Heads of Agency, who would often be the only agency representative at a regular DMT meeting.

☐ Department of Humanitarian Affairs (DHA)

> Established in 1991, DHA is charged with the co-ordination of humanitarian assistance within the UN System and in particular with natural disasters and complex emergencies. DHA's Headquarters are in New York, and it has an important office in Geneva, including the Relief Co-ordination Branch (which includes the Military and Civil Defence Unit). The Complex Emergency Division (which has a Rapid Response Unit) is in New York. DHA's involvement is important, so that the complex emergency-related planning is consistent with other humanitarian planning that is taking place. DHA has also supported the activities of Disaster Management Teams (DMT) in many countries. United Nations Disaster Assessment and Co-ordination Teams (UNDAC) have also been established by DHA to assist the Relief Co-ordinator and the DMT in rapid assessments of (primarily) natural disasters and some complex emergencies.

☐ Special Representative of the UN Secretary-General

> A Special Representative of the Secretary-General (SRSG) is sometimes appointed by the UN Secretary-General to act on his behalf in emergencies which are "complex or of exceptional magnitude." In practice, the appointment of an SRSG is normally reserved for those complex emergencies which involve the UN in major political negotiations and/or when UN peacekeeping forces are deployed. If an

SRSG is appointed, this person assumes overall responsibility for UN-system wide action and co-ordination in that country. In such situations, the UN Resident/Humanitarian Co-ordinator dealing with the complex emergency reports to the SRSG in-country, as well as directly to the UN Emergency Relief Co-ordinator/Head of DHA.

☐   UN Designated Official for Security

In each country where the UN is present, the Secretary-General designates one senior official with the title of Designated Official. The Designated Official is accountable directly to the Secretary-General, through UNSECOORD, for the security of the organisations' staff members, eligible family members and property. At most duty stations, the Designated Official will be the Resident Co-ordinator/Resident Representative of UNDP.

The responsibilities of the Designated Official include ensuring the security of all UN personnel in country, advising agency heads on security issues, co-ordinating security training, controlling the movement of personnel in areas of conflict, security planning and, if necessary, conducting the evacuation of UN staff and their dependants.

☐   Government

The involvement of the Government is critical, but often highly constrained, in complex emergencies. It is appreciated that contingency planning may be seen as politically sensitive. Nevertheless, UN agencies feel that contingency planning not only makes good sense, but the mystique and sensitivity can be diminished if it is seen as a "normal' rather than "exceptional activity." Sensitivity may be further reduced if the process is confidential, certainly from the media and the public at large. It should never be secret, for that would enhance the mystique. Even if the Government does not actively participate, they should be kept informed of the process and of the outcome. It is DHA's responsibility to ensure that this is the case. The process may start without Government participation and if the authorities are kept informed they may join in the process at some later date. The "government" is of course not simply one entity and may need to be represented by various departments (refugees, internal affairs, security & defence, transport & communications and public works) and also at different levels (central, provincial and local). It may well be that the local government is introduced to the process at regional meetings which mirror the meetings at the central level.

☐   UNHCR

Participation will normally involve the Representative, at least at the early stages of the process. In addition, the "international protection" expertise must be expected to come from UNHCR. UNHCR Geneva (or a

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neighbouring office) may have some other technical expertise to offer at the most appropriate stage in the process. UNHCR may also provide a separate rapporteur.

❑   World Food Programme (WFP)

WFP has a Memorandum of Understanding (1996) with UNHCR in which a clause states that "UNHCR and WFP will undertake contingency planning and maintain contingency plans in countries where it is deemed appropriate and warranted by the likelihood of developments that could entail major operations within the scope of the MOU. Each will seek to ensure joint participation - with others concerned - in the process, and share relevant contingency plans where they have not been able to be developed jointly."

Within the terms of the MOU, WFP is responsible for resourcing and delivery of basic food to refugee and returnee operations of over 5,000 beneficiaries as well as to internally displaced persons. Thus WFP's involvement and expertise in food resourcing, logistics, and storage is essential to the planning process and they are likely to be able to provide important information on these sectors for the planning process. WFP also has an interest in registration, site planning and distribution in order to effectively fulfil their mandate.

There are 2 sections which concern themselves with contingency planning in WFP Rome - the Augmented Logistics Intervention Team for Emergencies (ALITE) and the Emergency Support Service.

❑   United Nations Children's Fund (UNICEF)

Regarding contingency planning, UNICEF has a Memorandum of Understanding UNHCR (14 March 1996) which states "Both UNHCR and UNICEF contribute to co-ordinated UN emergency planning, normally undertaken in full co-operation with the national authorities. Within this framework, UNHCR will invite UNICEF to participate in planning for possible refugee influxes."

The specialist fields with which UNICEF is often associated within humanitarian assistance are selected health activities including immunisation, infant feeding programmes, promotion of psychosocial well-being of children traumatised by violence and conflict, assistance for unaccompanied minors, basic education, water supply and sanitation activities. In most countries UNICEF will have representation which is primarily involved in development type activities and some adaptation may be required to prepare for emergency response. Indeed the MOU states that during contingency planning "UNICEF will review with national counterparts and UNHCR ways in which its ongoing country operations

may quickly be adjusted to enable UNICEF to provide emergency assistance in pre-identified sectors."

☐ United Nations Development Programme (UNDP)

UNDP is usually (but not always) the lead UN agency in the country. As indicated above, the UNDP Resident Representative is often the DHA representative as well as the Designated Officer for security in the country. As such the UNDP representation may have a co-ordinating function and could well be involved in the planning process. Any contingency plans should dovetail with development plans and the activities of UNDP and other UN agencies involved in development activities. This association should begin at an early stage in the planning process, since decisions at this stage can often have longer term implications for development programmes. Accordingly and as a minimum, the UNDP representative should be kept informed of plans and progress if not actively participating.

☐ Other United Nations Organisations

In some countries the involvement of other United Nations organisations may be desirable. Amongst the most prominent in relation to assistance in complex emergencies are:

WHO   The World Health Organisation in health related matters.

FAO   The Food and Agricultural Organisation which undertakes food situation early warning activities and provides land usage information.

UNFPA   The UN Fund for Population Activities for issues related to reproductive health and combating sexual violence. An MOU was signed with UNFPA in June 1995.

UNCHR   The Office of the Human Rights Commissioner for early warning and human rights monitoring.

UNESCO The United Nations Educational, Scientific and Cultural Organisation has a Bureau of International Education based in Geneva which is developing programmes to assist refugees in emergency situations in the education sector. They are able to provide teaching materials and expertise.

WMO   The World Meteorological Organisation which can provide hydrological data and pertinent information on weather patterns which are important to planning;

UNRWA   The UN Relief and Works Agency for Palestinian Refugees in the Near East which has considerable experience in medical, education and relief assistance in the countries for which

UNRWA has a mandate;

❑   United Nations Peace Keeping and Special Operations

In some countries the United Nations has mobilised country or mandate specific peace keeping or special operations. Often these will be headed by a Special Representative of the Secretary General. Often they have considerable logistics resources (transport, communications and human resources) which, under certain circumstances, can be mobilised for contingency planning. One could foresee a role for these operational units in border monitoring and reporting of arrivals, internal logistics by both land and air, staff and sometimes refugee security, area mapping and communications. Since their mandates are often quite strict and well defined, the nature of their contribution needs to be discussed in each case. Some of the operations are listed below, but these are frequently changing and indicative only:

IFOR	Bosnia and Herzegovina
MINUGUA	Guatemala
MINURSO	Western Sahara
UNPREDEP	Macedonia
UNTAES	Eastern Slavonia
UNAVEM III	Angola
UNOMIL	Liberia
UNOCHA	Afghanistan
UNOMIG	Georgia
UNAUB	Iraq
UNMOT	Tajikistan
UNICIB	Burundi
UNOR	Rwanda

❑   International Organisation for Migration (IOM)

IOM works very closely with the movement of refugees and displaced persons. They have the ability to organise trucking fleets for the transport of refugees and returnees and where they have a country presence would be an asset to the planning process. In 1996 IOM worked together jointly with UNHCR in connection with the CIS Conference resulting in joint operational arrangements and a general UNHCR/IOM Memorandum of Understanding is under preparation.

❑   Inter-governmental Organisations and Regional Operations

In some regions, inter-governmental bodies have operational units which might have a role to perform in the event of an emergency. In some cases their role is similar to the special United Nations operations mentioned above, while in other instances their presence

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is intended to provide a neutral and impartial monitoring and confidence building function. They may be mobilised to assist with border monitoring, political intelligence and early warning inputs and sometimes logistics. Examples of these are:

OSCE & EU Monitors   Various Eastern European & Balkan countries
ECOWAS   Liberia
OAU   Great Lakes Region
OAS   Nicaragua

❐   International Red Cross and Red Crescent Movement

The International Red Cross and Red Crescent Movement consists of the International Committee of the Red Cross (ICRC), the National Societies (now 169 officially recognised, throughout the world) and their International Federation. The two international components of the Movement have their respective headquarters in Geneva. Although the work of all components is governed by the Movement's Fundamental Principles, each is nevertheless and independent entity. They meet regularly, in principle once every four years, with all the States party to the Geneva Conventions.

The Movement has a unique position as a neutral and independent world-wide provider of assistance and protection in countries of origin to war victims and victims of disaster. The effectiveness of its work is enhanced by the complementarity of its components.

ICRC: The International Committee of the Red Cross is the founding body of the Movement and has a specific mandate under international humanitarian law and in particular the four Geneva Conventions of 1949 and their Additional Protocols of 1997.

It works in situations of international or internal armed conflict and other situations of violence. As an independent and purely humanitarian institution, the ICRC, by virtue of its own humanitarian right of initiative or its mandate under the Geneva Conventions, brings impartial and indiscriminate assistance and protection to victims of war (i.e. to all who are entitled to benefit by the fundamental guarantees of international humanitarian law: the wounded and sick, captured combatants and civilians, and generally speaking the civilian population as a whole - including IDPs). The ICRC is consequently present on the spot, in countries of origin, often in areas inaccessible for others.

The National Societies: Within their own countries each National Red Cross or Red Crescent Society serves as an auxiliary to the public authorities in humanitarian matters. They were originally

formed to back up the armed forces' medical services in time of conflict, and must prepare in peacetime to do so. As their disaster preparedness activities have meanwhile been extended to cover both man-made and natural disasters, the National Societies may have developed contingency plans which include stockpiles of relief items, shelter arrangements, a large community volunteer force, medical facilities and logistic capacities. Any contingency plan should not only take these plans and capacities into account, but should ideally take advantage of them so as not to duplicate preparedness initiatives. Thus the advice and, where available, the support of the National Society is highly recommended. It must, however, be borne in mind that the Red Cross system works independently.

Important tasks performed by the National Societies with the help of the ICRC include tracing activities, family reunification and the distribution of Red Cross messages. Each National Society also engages in other specific activities, such as collecting blood donations, training first-aid workers and nurses, running hospitals and assisting the disabled, the young and the elderly. Some National Societies carry out programmes at the international level as well.

International Federation: the International Federation of Red Cross and Red Crescent Societies assists National Societies in the development of their humanitarian activities, especially those on behalf of vulnerable groups. By co-ordinating international relief operations in disaster situations - in particular for victims of natural disasters and for refugees outside areas of conflict - and encouraging development aid, it endeavours to prevent and alleviate human suffering.

At the Headquarters level, the International Federation is familiar with the work of the various National Societies and encourages UN agencies to seek its advice on what the National Societies can do to help.

It is present in many countries to train, support and further develop the National Society. In some cases it also engages in country operations by deploying Red Cross/Red Crescent Society expatriates and providing its newly developed "Services Packages" as an external rapid response capability primarily to meet health care and logistics needs.

☐ Non-Governmental Organisations (NGOs)

The organiser of the planning process must consider the involvement of both international and local NGOs. Frequently local NGOs are overlooked, but they often do have an excellent understanding of the affected population and local communities, know the local

languages, are often cheaper in programme implementation and their involvement often has beneficial institution building spin-offs. Their role and participation in the planning discussions often entails matching of experience and expertise with international NGOs. This kind of constructive dialogue between expatriate agencies (including UN personnel) and local agencies is essential for the production of realistic plans.

International NGOs contribute technical expertise, external funding, rapid response and can introduce valuable lessons and approaches to problems tested in other emergencies. Many UN agencies have long standing working relationships with a wide range of NGOs. The UNHCR publication "Partnership: a UNHCR Handbook for Implementing Partners" is well worth consulting as an example. It includes a chapter on Refugee Emergencies. It is unlikely that international NGOs will travel to a country to attend contingency planning sessions, so one will normally only have the opportunity to involve those agencies already present. Others may be able to respond rapidly in the event of an emergency. With this in mind it may be prudent to identify serious sector gaps in the contingency plan and share the plan and alert international NGOs which could respond. The selection of these NGOs will depend on proven rapid response capabilities, an earlier association with the country, appropriate language skills and acceptability from a nationality perspective.

UN agencies have operated effectively with a wide range of NGOs so any list would be incomplete. Nevertheless, here is a list of some of the NGOs co-operating frequently with the UN.

CARE	Logistics, distribution
IRC	Medical
LWF	Logistics, distribution
MSF	Medical, Supplementary feeding, sanitation
Oxfam	Water systems
SCF	Supplementary feeding

Some NGOs do not have an assistance role but primarily an advocacy mandate. Their role may well be different from those above but may nevertheless be useful partners in the process.

UNHCR has published an NGO Directory listing partners and those which have roles in research and advocacy. The Directory also lists the NGO by country of origin, country in which it operates as well as sector expertise. To complement this, UNHCR's Emergency Preparedness and Response Section has developed a data base to capture the emergency standby capacities (human, financial and

material) of select NGOs with a proven track record in emergency assistance activities and who have established emergency response arrangements. Together, these resources may be useful tools in identifying which NGOs could contribute to the various stages of contingency planning.

❑   Foreign Government Representation

Foreign Embassies may have the following potential roles:

(a)   The provision of information useful for early warning

(b)   The provision of funds - as potential donors they may be most interested in contingency planning initiatives. Keeping them informed may ensure more rapid funding in the event of an emergency since they will advise their capitals that the planning is serious and the operation likely to proceed on solid foundations.

(c)   The provision of bilateral assistance. This may be humanitarian assistance in the emergency stage, and some Governments are co-operating with UNHCR in "signing up" for Service Packages (see annex A for more details). Thus they may be potential partners in any operational response. Some governments may be represented in the field by government or quasi-government assistance agencies such as USAID, CIDA, ODA, GTZ and so on which may have a potential role in the planning.

(d)   An advocacy role *vis-à-vis* the Government including easing the host government reluctance to participate in contingency planning.

It may be considered that foreign embassies and other forms of representation need not be involved in the planning process itself but it is often most advisable to keep them informed through "donor mission briefings" and sharing the scenarios and the report with them. The minimal effort taken in this regard will very often pay considerable dividends.

❑   Affected and Local Population

Participation of the affected and local population in planning is desirable. Refugees are often the best, if not the only, source of information regarding the situation in the country of origin, especially if the area from where they come is remote and inaccessible. Often too, they are well aware of early warning signs of changed

circumstances in the country of origin. However, careful judgement should be used as to the extent they participate in contingency planning, given the sensitivities involved. For example, planning for a repatriation may lead to false hopes and expectations while planning for a sudden influx may lead to speculation and anxiety. On the other hand, their participation will be essential in planning for a natural disaster in a settlement or and epidemic. If, as is usually the case, it is decided that their inclusion in global planning may be counter-productive, then every effort should be made to seek their input through other types of consultation.

Section 4

The Plan

As we have seen in Section 2, the Plan is a product of the process. It has a short life since the situation is often in such a state of flux that the plan requires constant updating. That being said, some tangible record of the planning process is essential. There are other "products" of the process such as stockpiles, training, information gathering and so on. It is the plan which brings these all together in a coherent form and explains how each component is part of a the whole.

The Characteristics of a Good Plan

➢ It should be comprehensive yet not too detailed. The aim is to find the right balance between covering all the important issues yet not flooding the plan with detail.

➢ It should achieve the balance between flexibility and concrete actions. The Plan must not be too directive, restrictive and confining. One should avoid the comment "but the plan says we should do it this way". The definition of plan in this case is "intention, way of proceeding" and not "blueprint". This being said there should be adequate guidance and direction on the way to proceed.

➢ It should be well structured, easy to read and, importantly, easy to update. Much of the Plan will be action oriented, thus layout clearly showing what needs to be done, by whom and by when will certainly aid implementation.

➢ It should not contain too many assumptions. This is easy to recommend, but of course by its very nature, contingency planning is based on assumptions and predicting uncertainty. The skill is to minimise these or at least consider the level of probability in all assumptions.

➢ It should be a living document, constantly being updated, amended and improved. It is not a document which is comprehensively revised once in a while but constantly in a state of change. Size, structure and a user friendly word processing programme will facilitate this.

A Model Structure

The following is a proposed structure for a contingency Plan. It is based on a complex emergency and while the main chapter headings can be adapted to different critical events and emergencies, adaptation will naturally be required for different scenarios. Other circumstances will suggest adaptation - for example if separate regional plans are required with different scenarios and activities for different regions.

Chapter 1
> **General Situation and Scenarios**

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      i.   Current country operation
      ii.   Causes of conflict
     iii.   Mitigating factors
     iv.   Total planning figure
      v.   Anticipated in-country movement
     vi.   Location of settlements
    vii.   Settlement arrangements
   viii. Emergency response triggering factors
     ix.   Affected population profile(s)

Chapter 2

Policies and Overall Operation Objectives

      i.   Overall policy (strategic) objectives of the programme
      ii.   Comments on policy stance of various partners

Chapter 3

Objectives and Activities by Sector

      i.   Management and overall co-ordination
      ii.   Protection, reception, registration
     iii.   Food
     iv.   Logistics and transport
      v.   Infrastructure and site planning
     vi.   Shelter
    vii.   Domestic needs and household support
   viii. Water
     ix.   Environmental sanitation
      x.   Health and nutrition
     xi.   Community services
    xii.   Education
   xiii. Economic activities

Each section should include a consideration of sector objectives, needs, resources, activities, existing and proposed preparedness measures, implementation responsibilities and timing. Annex C lists the considerations for each sector and Annex D a model Plan.

Chapter 4

Procedures for Feedback, Maintenance and Future Action

Describe how the Plan will be updated and revised, who will be responsible for ensuring this will be done and how will the information be disseminated.

Annexes

This list is not exhaustive
  i.   Maps
  ii.   Registration forms
  iii. Members of the Intera-gency Group
  iv.   Agency Profiles (details of staff, resources, future intentions)
  v.   Gap identification charts
  vi.   Commodity matrix and specifications
  vii. Budgets

This Plan assumes that it holds all the elements of common interest to all partners in the process. There will, however, be numerous activities that the government and agencies will need to undertake to complement their participation in the process and ensure that it is effective. These are primarily managerial, organisational and administrative tasks related to their organisation. Staffing, decision making, funding, training, staff support, communications and transport are just some of these elements. In order to prepare for these, each separate agency will need its own Plan which will dove-tail with the "master" Plan.

Annex A

Standby Resources Upon Which UNHCR Draws

Human Resources	
Emergency Preparedness and Response Officer (EPRO)	Emergency manager who undertakes contingency planning and needs assessment missions; leads Emergency Response Teams or existing staff in the establishment and/or strengthening of UNHCR's presence. (6 standby staff)
Senior Emergency Administrator (SEA)	Managerial staff with experience and training in all aspects of administration: human resources, finance and general administration. (3 standby staff)
Emergency Finance and Administrative Assistant (EFAA)	Staff with experience and training in all practical aspects of administration (human resources, finance and general administration), as well as ability to train locally recruited staff. (5 standby staff)
Emergency Response Team (ERT) Roster	Pool of 25-30 UNHCR staff members from Headquarters and the Field, who are proficient in functional areas of UNHCR operations (protection, programme etc.), and who are on standby for emergency deployment for up to 2 months.
Norwegian and Danish Refugee Council (NRC, DRC)	Roster of pre-identified, screened and trained staff who provide expertise in critical functional sectors in emergencies, e.g. Logistics, telecommunications and field officers.
United Nations Volunteers (UNV)	UN Volunteers can be deployed to meet urgent emergency staffing needs as field officers, food aid monitors, protection officers & some technical specialists.
Arrangements with Specialist Agencies	A number of specialist agencies second technical experts to UNHCR at short notice as members of Emergency Response Teams. These include Radda Barnen (community services), Red R (engineers) and Centres for Disease Control (public health).
Technical Consultants	Roster of individuals and companies covering such disciplines as agriculture, fisheries, economics, health, sanitation, transport, shelter etc.

Staff Support	
Staff and Office Accommodation	Modular office/living accommodation package for staff assigned to extreme hardship duty stations.
Swedish Rescue Services Agency	For most extreme field conditions without infra structural support, SRSA can be deployed with equipment and staff to establish office/housing facilities, sanitation, water, electricity etc.
Personal Travel Kit	Carry bag containing sleeping bag, pillow, mosquito net, towel, torch, small medical kit, rain poncho, plate/bowl, sun hat, water bottle and filter. Complies with airline cabin baggage size requirements.
Field Kit	Aluminum trunk containing a comprehensive range of survival items for harsh field conditions, including tent, dry food ration packs, purification tablets, tool kit etc.
Office Kit	This kit comprises items of stationery, supplies, forms and some small non-expendable office items, including portable typewriter, desk calculator, diskettes etc.
Computer Equipment	Portable and desktop computer equipment installed with standard UNHCR software.
Vehicles	A stock of 20 vehicles is maintained for deployment to emergency operations.
Telecoms. Equipment	Equipment intended to provide emergency staff with immediate voice and data communications links, even from the most remote locations.
Visibility Material	A range of items to enhance UNHCR visibility for reasons of security, protection and public relations. Included are caps, vests, arm bands, T-shirts, identification badges, UN flags and UNHCR logo stickers.

Operations Support	
Emergency Operations Room	Dedicated room for use as communications and distribution centre during initial stages of an emergency operation, to facilitate a systematic flow of information.
Tents	10,000 tents are stockpiled at various locations. They are normally family size tents (4m x 4m), and are of heavy canvass with a fly sheet and ground sheet.
Plastic Sheeting	66,000 plastic sheets are stockpiled at various locations. They are made of woven low density polyethylene fibre with a reinforced rim and eyelets along the edges.
Prefabricated Warehouses	Warehouses measuring 24m long by 10m wide x 5.8m high at the apex and 3.35m high at the side.
Blankets	150,000 blankets of various qualities (wool ranging from 30% to 50% or cotton and cotton/synthetic fibre mix) are stockpiled with suppliers.
Kitchen Sets	Stockpiles of kitchen sets in varying types are maintained by different suppliers.
Jerry Cans	50,000 semi-collapsible plastic 10 litre Jerry cans are maintained by suppliers.
Government Service Packages	An arrangement whereby Governments, usually resorting to military and civil defence assets, provide services in the selected sectors such as air transport, logistics, water supply, sanitation and site preparation. A capacity to be used in extreme emergencies in the absence of normal response arrangements.
Standby Trucking and Aircraft Fleets (Emercom of Russia)	Airlift capacity and a trucking fleet, including two air freighters and trucks accompanied by fuel tanker, mobile workshop, escort vehicles and personnel to man the fleet during initial emergency phase.

Management Tools	
Refugee Registration Package	A practical Guide on UNHCR's registration strategy and a Kit designed for 30,000 refugees including registration cards, forms, software, wristbands, fixing tokens etc.
Handbook for Emergencies	Manager's guide to setting up emergency operations for large scale influxes which provides advice in a non-technical manner on various aspects of emergency response.
Opening an Office: Checklist for the Emergency Manager	A practical tool listing activities requiring attention when establishing an office, including Premises, Transport, Communication, Personnel, Staff Conditions, Security, Finance, Equipment, Supplies & document management.

Financial Resources	
UNHCR Emergency Fund	The Fund of up to US$25 million allows immediate access up to a maximum of $8 million for any single emergency.
DHA Central Emergency Revolving Fund	Established in December 1991 to provide funds to respond rapidly to emergencies, the Fund is financed from voluntary contributions and is used for cash advances to operational agencies and entities within the UN system.

Emergency Training	
Emergency Management Training Programme	A regional training programme for UNHCR staff, government and NGO representatives involved with refugee issues, aimed at acquainting participants with emergency planning & management.
Workshop for Emergency Managers (WEM)	Internal workshop for members of ERT Roster, to prepare them for emergency deployment. It provides practical tips, tools and techniques to equip staff to participate as team members in an emergency operation.

Targeted Training	To complement EMTP and WEM training activities, EPRS can provide ad hoc country/region specific training with a particular focus (e.g.. contingency planning). Training for specific target audiences (e.g.. external standby staff) can also be arranged.

Early Warning Indicators
(for refugee emergencies)

Factors Prompting Departure

- Ethnic/racial tensions
- Social tensions
- Religious tensions
- Human Rights abuses
- Political instability including opposition movements
- External factors e.g. influence of foreign groups and governments
- Relations with neighbouring country (ies)
- Demographic factors - pressure of people on land
- Ecological devastation and other natural events
- Economic instability including labour disputes
- Corruption and drug trafficking
- Military intervention and interference
- Historical probability
- Favourable situation in neighbouring country

Intervening Factors

- Alternatives to international flight
    - moving in with relatives
    - moving to "liberated" or safe areas
    - moving to camps for the displaced
- International relief in place of origin
- International protection force or UN peacekeepers in place of origin
- Obstacles to flight
    - lack of knowledge of route
    - lack of money (to pay guide, fare, exit fee)
    - poor security along the route
    - poor health status of family member
    - adverse climatic conditions
    - impassable terrain
- Apprehensions about reception over the border - unfavourable asylum policy
- Closed borders
- Uncertain living conditions in asylum country

Triggering Events

- New type of person affected
- Problem spreading to new geographic region
- Significant increase in intensity of situation
- Changes in viability of flight (open border, new neighbouring government....)
- Departure of key political figure, change in political party
- Increased peer group pressure, instruction of leader, "band wagon"
- Natural disaster
- Mass demonstration or riot
- Seasonal factors (weather, harvest....)

Questionnaire for Sector Planning
(for refugee emergencies)

A. Management and overall programme co-ordination

- What structure will co-ordinate the emergency preparedness and response? Will there be a "lead" agency and what will be its tasks? Who will be responsible for convening and chairing co-ordination meetings? What will be the arrangements for such meetings?
- How will regional and district co-ordination be managed?
- What will be the arrangements for implementing agencies? What agencies are available? Will there be a system of registration of agencies? What guidelines will apply to their operation? What are the gaps?
- What will be the policy and arrangements for external relations, public information and dealing with the media?
- What administrative arrangements are required including premises, transport, communications, banking and staffing? What administrative services will be arranged for the operation as a whole and which will be left to each agency to take care of for themselves?
- Will there be a need for a staff security and evacuation plan? Who will be responsible?
- What continued meetings and preparedness training will be undertaken?
- How will the plan be updated?

B. Protection, Reception and Registration

- Who will be responsible for the security of refugees? Will there be independent monitoring? What will be the role of refugee groups in security?
- What are the major protection concerns - access, status determination, movement from the border - and who will deal with these matters?
- What will be the needs of special groups - single women, unaccompanied minors, the elderly and the disabled, combatants etc?
- What training and guidance will be given to border guards and immigration official?
- How will the refugees be registered. Who will be responsible for this activity? What staff, information and material resources will be required? What kind of registration documents be given to the refugees? (For guidance see the UNHCR Guidelines on Registration)
- Will refugees pass through reception centres or transit centres? How long will be the expected stay in these centres? What assistance will they receive in the centres?
- Will arrangements be made to monitor and gather statistics as refugees pass through the border crossing points?

C. Food

- Which foods are culturally acceptable/appropriate?
- Will food need to be provided along the expected route(s)?
- What will be the composition of the food basket? Will the climate have an affect on the kilocalorie requirements?
- What food resources are locally available? What is available regionally? What needs to be supplied internationally? Are there local buffer stocks? What will be the impact of local procurement on the local market?
- Will basic food need to be processed or milled? What facilities are available?
- Who will be responsible for international procurement? Is WFP involved in or aware of the planning?
- What will be the food pipeline(s)?
- What are the arrangements for storage? Who will manage the facilities? What security will be put in place?
- Is a food distribution system in place? Who will be responsible? What ration cards will be used?
- Will food assistance be provided to the local community?
- What arrangements will be put in place to provide supplementary and therapeutic feeding?
- Will there be a sector co-ordinating committee?

D. Logistics and Transport

- Are the routes of the movement of refugees identified, mapped and surveyed?
- What will be the commodity tonnages for each item? Calculate the amounts per 10,000 refugees.
- What are the normal supply routes for commodities? What are the road conditions like? Are there any weak points in the supply lines?
- What information is available about international points of entry such as ports and airports? What is their capacity? Do they have storage capacity? What are the arrangements for customs clearance? Who will be responsible for these matters in the government?
- What is the availability of locally hired/purchased heavy vehicles? Can they be serviced? Are spare parts available? Is fuel locally available, supply assured and quality satisfactory?
- Are there any prohibitions on the import of relief items?
- What will be the impact on the local infrastructure of the arrival and transport of relief supplies?
- What will be the impact of the weather on the logistics system?
- Who will be responsible for each activity? Who will co-ordinate? Will there be a sector co-ordinating committee?

E. Shelter and other infrastructure

- How will the refugees be housed? Have likely sites been identified? How will site selection be carried out? What are the implications for local land ownership? What will be the impact on the local community?
- Is there existing shelter that can be used? Can refugees move directly into durable shelters or will an interim solution be required such as plastic sheeting?
- What are the implications of the weather? What are the implications of the terrain?
- Are building and shelter materials locally available? Are stockpile of such materials required?
- Who will be responsible for shelter?
- What are the conditions of the roads, airstrips and bridges? Will they need upgrading? Should work commence immediately? Who will be responsible?

- What kind of community structures will be required? Are these readily available? Who will construct them?
- What measures will be undertaken to prevent degradation of the environment? Are sites distant from national parks, protected areas and environmentally fragile zones?

F. Domestic needs and household support

- What are the customary items used by the expected caseload?
- Will the refugees bring any items with them?
- Which items will be required and/or provided?
- Are buffer stocks necessary? What is readily available on the local market?
- What will be the distribution arrangements?
- What quantity of each item will be given per family/person?
- What is the storage availability?
- Who will be responsible for purchase, storage, transport and distribution?
- How will distribution be recorded? Will there be a non-food item ration card?
- What fuel will be used for cooking and warmth? Will this lead to degradation of the environment? Are there any alternatives?
- How will the special needs of women (hygienic kits, sanitary napkins) be dealt with?

G. Water

- What are the refugees customary habits for bathing, drinking, washing and food preparation?
- What is the water availability along the expected route?
- What is the water availability in expected areas of settlement?
- What is the best option for water supply (tankers, shallow wells, springs, rivers, deep wells....)?
- What is the water quality of all options? What purification will be required?
- What arrangements can be made for water storage?

- What arrangements will need to be made for reticulation and distribution?
- Will there be sufficient quantities or will some form of rationing be required?
- What types of water containers are appropriate?
- Should buffer stocks be established? Should water trucking, purification, distribution items be stockpiled?
- What will be the impact of the influx on the local community?
- Who will be responsible for all aspects of water supply?
- What will be the co-ordination arrangements?
- What water use education programmes will be instituted?

H. Environmental Sanitation

- What type of latrines will be necessary? Will facilities be needed at reception centres or along the expected routes? What will be the ratio of people per latrine? Are they culturally appropriate?
- What considerations will be given to latrine location in relation to other facilities?
- Who will construct them? Can refugee labour be mobilised?
- What tools, equipment and materials will be required?
- How will garbage disposal be dealt with?
- What arrangements will be made for burial sites?
- What kind of sanitation education programmes will be implemented?
- Who will manage this sector and implement the activities?

I. Health and Nutrition

- What health screening/services will be provided to new arrivals? How will this service be handled?
- What customary habits will need to be taken into account?
- What curative health care facilities will be provided?
- Will there be an outreach programme?
- What arrangements will be made for immunisation and vaccinations?
- How will preventive health and health education be handled?
- What special measures will be taken if there is overcrowding or harsh climatic conditions?
- What medical supplies and equipment will be required? Are they available locally?
- Does a cold chain exist? Can it be established?
- What storage facilities are available?
- What are the plans for supplementary and therapeutic feeding? Which vulnerable groups will be targeted?
- What arrangements will be in place for nutrition monitoring?
- Who will implement this sector? How will it be co-ordinated?

J. Community Services

- What assumptions can already be made about the socio-demographic composition of the caseload?
- What are the traditional community structures? What is the traditional role of women?
- What types of community structures are envisaged (health educators, sanitation committees, refugee community representatives...)? How will refugees be encouraged to be involved in these structures?
- What will the approach be to vulnerable groups (unaccompanied minors, elderly, disabled, single female headed households)?
- Who will undertake assessments and facilitate community service activities? What kind of demographic information will be required?
- What arrangements will be made for tracing and family reunification?
- What special arrangements be made to ensure that all groups in the community have equal access to relief commodities and services? How can refugee community structures be mobilised to meet these needs? What local resources are available?

K. Education

- What is the traditional standard, level of enrolment and type of education of the refugees? What curricula will be provided? Can text books from the country of origin already be procured?
- Can refugees be integrated into the school system in the country of asylum? If so at what level of influx will this become untenable? What assistance to local schools can be planned?
- Will educators and administrators be expected with the influx? How will they be identified?
- Are there special needs for girls and boys? How will they be encouraged to participate?
- Will there be skills training and recreation activities for adults and youth?
- What equipment and supplies will be required in the emergency stage? Are simple recreational and educational materials available locally?
- Can school sites be identified already? What shelter materials will be available?
- Which agencies will take responsibility for this sector?

L. Economic Activities

- What skills and trades are the refugees expected to bring with them? Can income generation activities be easily implemented?
- Is land available for farming or grazing?
- Are tensions expected between the refugees and the local people? How will these be dealt with?
- What will the policy be towards refugee incentives and allowances for services provided to the agencies and the community? How will the incentive system be co-ordinated between agencies?

Themes

There are certain cross-cutting themes which permeate most, if not all sectors. These are reflected in some of the questions posed above, but they warrant special mention so that they are not lost when dealing with the specifics. When answering the questions above, one must consider the implications on these issues. The most important are:

- Refugee participation
- Protection implications
- Particular needs of women, particularly single women headed households
- Special needs for vulnerable groups
- Environmental impact
- Effective management arrangements for each sector
- Capacity building
- Durable solutions orientation
- Political, security and financial ramifications

Example Contingency Plan

There is an advantage in providing an example plan since it concretises the explanation and guidance given above. However, there is also a danger, since there may be a tendency to concentrate on the example to the extent that it becomes a "straight-jacket", restricting the planners vision. A word of caution therefore: Take guidance from the example but adapt it, amend it, reshape it, to reflect the circumstances in your situation. This example is fairly superficial, in that it reflects the Plan at an early stage in the process. In it, there are many questions left unanswered and in subsequent activities of the planners these will need to be developed and answers given through ongoing meetings, technical assessments and field visits.

The example has been reproduced in a reduced format to save space.

Additional Reading

Chairing and Facilitating Meetings (TRS3)	1990
Community Services Manuals (Revised)	1996
Distribution Guidelines: A Practical Guide for Field Staff	1996
Guidelines for Effective Planning (Draft)	1996
Handbook for Emergencies	1982
Learning to Train - An Introduction to Training Skills (TRS1)	1990
Memorandum of Understanding between UNHCR and WFP	1996
Memorandum of Understanding between UNHCR and UNICEF	1996
Needs and Resources Assessment: A Practical Guide	1996
PARinAC Oslo Declaration and Plan of Action	1994
Partnership: A UNHCR Handbook for Implementing Partners	1996
Registration Guidelines: A Practical guide for Field Staff	1994
UNHCR and NGOs: Directory of Non Governmental Organisations	1996

All these publications are published by UNHCR and if not available in UNHCR Country Offices, can be requested from UNHCR Headquarters at Geneva.

Notes: