IFRC facilitation guide for contingency planning working groups

**READ THIS FIRST**

**This is a “how to” guide** designed to help NS facilitators (or anyone assigned the task of producing a CP document) to accomplish this single aspect of the considerably wider overall contingency planning process. It is a component of the Federation’s CP Package, and directly supports Modules 2 (ANALYSE), 3 (DEVELOP), and 4 (IMPLEMENT) of that package. It is included as a reference document supporting Module 3 (DEVELOP) as this module is primarily concerned with the production of the plan document itself.

While this guide focuses on this single element of the wider process, (drafting the CP document) it does not imply that the production of a document is the most important aspect of that process. The CP document is simply an indicator and record that the process has been done or is under way. However, it is still important that the document is of high quality and has genuine buy-in from stakeholders both within and outside of the RC NS.

While CP drafting may be done by a small team or even a single individual or consultant, this often results in a document that reflects an incomplete understanding of the NS dynamics and the realities that the planned-for hazard will present for emergency responders. The process proposed in this guide is based on the model of conducting a focused workshop with well-chosen participants who can dedicate time and expertise to working as a group to develop a more complete and significant CP document.

This is not the only viable process, however. Drafting a CP document may be done sequentially by sending drafts and questionnaires out to multiple participants by email, for example, without convening a large working group or workshop. While convening a working group or workshop does require resources and dedicated time, it has proved in many cases that a 3-5 day workshop dedicated to group discussions, consensus-building, and document drafting can greatly increase the quality, understanding and approval, and even the speed of this important task.

Following this guide will likely result in a CP document that is of high quality, has support from those involved in the working group, and is much more than a bureaucratic “box ticking” exercise. If done properly, the effort can actually save lives. This Guide is divided into two key components:

PART 1. A checklist of things to do before convening a workshop or working group to draft the plan. This includes some short readings and tips that provide some useful insights on facilitating this kind of plan-drafting process with a working group.

PART 2. A Facsimile “CP Drafting Workshop Guide” for participants of a CP working group or workshop which is focused on producing a plan document or draft. This Drafting Workshop Guide is designed as it would be copied and distributed to participants in a working group. There are some guidance notes included in red font that you may wish to remove before distributing to your working group. You are encouraged to copy, modify, or otherwise use and improve this guide as you see fit. Remember that this is not a “one size fits all approach” and that you will need to modify times and components of the guide as required by your own situation.

Users of this guide are encouraged to share the results of their processes with the Federation staff at the Zone level. As this is a first draft of this guide your inputs and honest evaluation will help improve it for future users.



# PART 1 – GETTING READY TO FACILITATE A CP DRAFTING WORKSHOP

## Preliminary Work Checklist

Prior to convening a working group or workshop dedicated to drafting a contingency plan, you should do the following things:

ACTIONS RELATED TO DOCUMENT AND INFORMATION COLLECTION

* Collect and review existing relevant contingency plans or other disaster preparedness plans that may relate to this exercise.
* VCA done by the NS within the last 5 years.
* Recent Well Prepared National Society assessment document
* Any recent vulnerability analysis applicable to the country or planning area
* Hazard mapping documentation for the planning area
* Updates on NS resources including:
  + Stock inventories
  + Volunteer lists
  + Office and location maps and descriptions
  + Equipment inventory
  + Existing MOUs or other mutual assistance agreements with partners
* Equivalent documents from Government counterparts where appropriate

PERSONNEL MANAGEMENT & BUY-IN ACTIONS

* Consult with management on who should be involved in the CP drafting process, consider: (experts, specialists, Federation, other NS staff, or others who can contribute)
* Consult those on the list above on best times to meet.

WORKSHOP LOGISTICS ACTIONS

* Arrange the time, place, and duration of the workshop
* Arrange for secretarial support, printer, copier, laptops, and wherever possible- internet connection
* Clear all administrative arrangements for costs, lunches, hotel, etc.
* To the extent possible share the working agenda of the meeting and pertinent documentation with participants at least 1 week prior to the event. Include the IFRC Contingency Planning Guide, and if your event is based on revising existing plans, send these as well.

### Preliminary Reading 1. - Some Basic Tips for Facilitating Planning Groups

Knowing what information goes into the contingency plan and the technical expertise to make the plan both realistic and efficient is important. Knowing how people relate to one another and to such planning processes can be just as important if your contingency planning initiative is to be successful. This short reading is dedicated to discussing tips and best practices for inviting, encouraging, and supporting planning partners in the process.

1. **Do not “reinvent the wheel”, create special working groups selectively only to meet specific needs.** Before beginning a new contingency planning process, a review of existing plans and processes is necessary. You will need to assess the situation and adapt your planning process accordingly. Use of existing administrative structures and processes can result in excellent and sustainable plans.

This approach should be handled with care, however, so that contingency planning does not become just another agenda item, or its importance reduced in light of other issues. Use of existing mechanisms, while ultimately more sustainable, can often be slower than creating special working groups. Creation of a special or temporary group and process highlights the purposes for planning especially if a new plan is being created, or in a situation of urgency. Some possible supporting arrangements are roundtables, working groups, sectoral teams, core teams and secretariats.

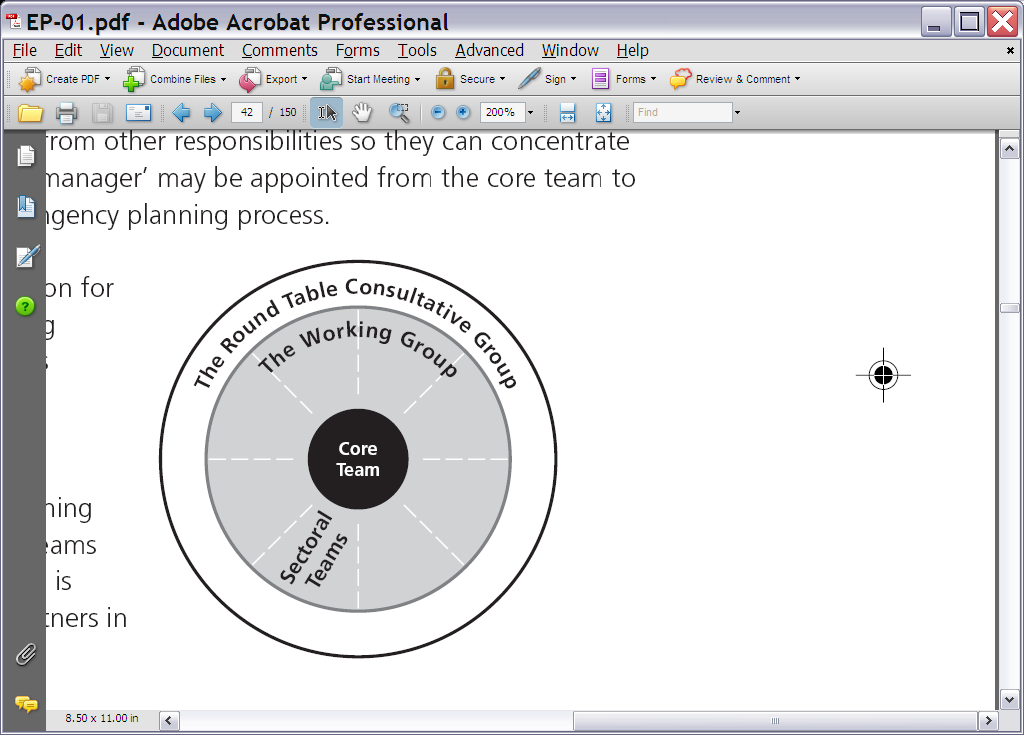
1. **Back up promises and discussions with concrete actions.** Contingency planning is usually initiated by the agency that intends to facilitate the ongoing planning process. It will be helpful to brief participants before the first meeting to promote a larger and more considered response and to reassure them that your interest is in developing a plan that will be useful to everyone involved. Offer to host the first meeting, to prepare a draft agenda, or any other administrative support that you can offer to get the process started.
2. **Take time to clarify the goals and the procedures for the process up front.** The issues that may be dealt with at the first meeting include:

* Implementation of the contingency planning process itself, answering the questions of who, when and where is the planning to take place.
* Any general policies or “ground rules” for the contingency planning process
* The scenarios which are to be planned for, specifying numbers or other details as closely as possible
* The overall objectives and standards to be met in the plan.
* The timetable for the contingency planning process, including the next meeting and proposed deadline for completion of initial plan.

**4. Select an efficient size for the planning group**. Partner agencies enrich the planning process as they bring needed information and expertise. While involving other agencies may make the process slower, there are many advantages that outweigh this disadvantage. These include a better quality of planning, enhanced acceptance and commitment to the plan, and building relationships among partner agencies and staff. Just remember, the larger the number of planners, the slower the planning. Broad processes with more participants, while slower to implement, do reduce the chance of the plan being a failure and the types of oversights or false assumptions that might result in needless deaths are minimised.

**5. Be realistic in setting the process timetable and deadlines.** The time required is dependant on the size of the planning group, the sense of urgency entailed, and the political or organizational will to see the process through. It may be possible to produce an initial draft in less than a week if many of the component plans are already available. Two weeks to one month, however, is probably a more realistic estimate. In some instances, where it is difficult to meet or communications are very limited, the process may take even longer.

**6. Show some results as quickly as possible.** Planning participants must be able to see the results of their investment in the contingency planning process. Participants may become frustrated if the process does not produce desirable results within a reasonable time frame. This can best be accomplished by holding good and efficient meetings, see the “Good Meeting Checklist” in the following pages.

**7. Develop a core team**—Core team members may mobilise the process and write the draft. The core team may have only 2 to 5 members, for example, with each member liaising with a number of sectors to ensure that the preparation of sector plans is on track. When a plan needs to be drafted or revised urgently, core team members should be released from other responsibilities so they can concentrate on the contingency planning process. A “process manager” may be appointed from the core team to take overall responsibility for managing the contingency planning process.

The diagram at right shows a highly developed organisation for a multi-sectoral, interagency contingency planning team. While many arrangements are possible, this model shows all of the components likely to be needed for co-ordinating a fairly complex plan. The contingency planning structure is shown as concentric circles, with the core contingency planning team at the centre. The addition of the sectoral teams makes up the working group. This working group is part of the still larger Roundtable at which all partners in the process are represented.

**8. Build on acceptance and commitment.** When agencies are fully involved in the planning process, their views are taken into account. Through their agreement with the final plan, agencies should feel more committed to the outcome. It is less likely that agencies will choose to "go it alone" or reject a commonly developed plan when they have played a role in its development.

**9. Build Relationships.** An emergency places enormous pressure on all the players involved. Relationships developed before an emergency - in your planning process - may help to enhance communication and ease stresses during the emergency. In addition, an understanding of each agency’s strengths and weaknesses may assist in the implementation of plans. Finally, the personal relationships developed during the planning process may also make it easier to discuss sensitive topics.

**10. Do build consensus, but don’t avoid difficult topics or honest critiques in doing so.** Consensus building is a levelling and averaging process that may produce a product of the least risk to the group. For example, projected scenarios that are unpopular with the group may be swept aside, even though they may be the most likely. This might be called "group-think," where loyalty to the group view tends to obscure reality. To avoid this, open-minded and critical analysis should be encouraged for all suggested scenarios and reflection promoted on creative planning alternatives. Consensus also takes time. The larger the group, the more difficult it will be and the more time it will take to reach consensus.

### Preliminary Reading 2. - Good Meeting Checklist

Contingency planning meetings should allow everyone to speak and to honestly discuss their differences in order to work toward consensus. However, meetings must also be concise, to the point, and not waste time. If the planning process produces solid outputs in an efficient manner, participants will be much more encouraged to actively engage in the process and to continue the process through to its end. The simple checklist below is a reminder of some ideas to help encourage efficient meetings that lead to real results.

* Have meeting space, wall maps, flipcharts, markers, and laptop computer ready before the meeting starts.
* Start on time.
* Call to order, definitively, in a loud voice
* Announce purpose of meeting.
* Set a deadline to adjourn.
* Appoint (or call for) a secretary to maintain records of the meeting’s actions or recommendations.
* Have all participants introduce themselves and their organizations.
* Encourage participation, by calling on attendees to present their perspectives - not simply giving them the opportunity to speak (or not).
* Set priorities and goals for the meeting.
* Identify what information is needed by whom and the key information that everyone needs. Call for information on each of these points from the attendees.
* Identify priority issues, actions, or agenda points and agree upon a prioritised agenda and a schedule for completion of each point.
* Do not leave any question or issue that is raised in the meeting unanswered or un-attended. If it can't be dealt with in the meeting, call for interested people to meet on it immediately after the meeting. If it can be scheduled for the next agenda, do that.
* Agree on the day, time, and location of the next meeting, if required.
* Adjourn on schedule

### Preliminary Reading 3. - A Few Facilitation Tips

***Facilitation*** simply means helping others complete a task. In our case, the task is the development of a contingency plan. As a facilitator, your primary job is to help the group develop the plan – not to write the plan yourself. The more expert you are in your own field, the harder it may be for you to facilitate the planning group – particularly when they are discussing a topic in your area of expertise. The tips that follow do not relate to the expertise of disaster response or even planning, but focus primarily on listening to others, and helping individuals relate to the group and helping the group to make progress towards completing their task.

#### Use Active Listening

Active listening tells your co-planners that you are paying attention to them and allows you to tune in to their specific issues, challenges and viewpoints. In doing so, you can adapt and refine your planning strategy for optimum effect. There are a few basic guidelines for becoming a better active listener:

* Focus on listening, not speaking
* Avoid interrupting
* Do not feel compelled to fill the silence
* Be interested and alert
* Seek areas of agreement
* Paraphrase
* Summarise and reformulate what you think the person is trying to say
* Withhold judgement until the speaker is finished
* After listening, ask questions to clarify or check understanding

#### Ask Questions

If your planning group begins to act restless, look bored, or show by non-verbal cues that they do not understand or disagree, you should ask questions to find out what is going on. To do this well, you must know how to formulate and ask questions that help you achieve your planning objectives while keeping the overall atmosphere positive and upbeat. The way that a question is asked can greatly affect the mood of the session and the information you receive.

Questions can be used to:

* Help determine what planners already know about a topic, thus allowing the facilitator to focus activities on what they need to learn form others, or what they can share with the group
* Evaluate planning progress toward understanding and consensus
* Act as a springboard for further discussion and participation
* Attract attention and encourage participation

#### Types of questions

Use ***open-ended questions*** where possible. An open-ended question is used to open a discussion and usually cannot be answered with “yes” or “no”. Asking “open-ended” questions should facilitate an more analytical and thoughtful answer, and foster a non-threatening discussion about the topic. More detailed information is likely to be elicited and the answers might open new directions for the discussion. Open-ended questions that begin with the words what, where, how, who, and when are likely to be very useful in clarifying the speaker’s intent and helping to facilitate a full description of the situation or idea.

Questions that start with the word why may cause the advisee to become defensive and may even limit or stop the discussion. The word why is often construed as a thinly veiled attack or critique, as it implies that you cannot understand why a person would do or say such a thing.

#### Questions to avoid

* Unanswerable questions—Be sure that the questions you ask can be answered by the group or by some member of the group.
* Closed-ended questions—These refer to questions that elicit answers of simple assent or dissent. Unless followed by other questions of the why, when, where, how, what, who sort, a ‘yes’ or ‘no’ answer leads nowhere.
* Vague, indefinite, or ambiguous questions—To get satisfactory answers you must ask good, well-focused questions. Sometimes you may need to rephrase your question or break it down into sub-questions if not immediately understood.
* Witness box interrogation—You may have to ask a colleague several questions in the interest of clarification, but your conduct should never be that of a courtroom cross-examination where the person answering feels threatened.

#### Facilitate positive feedback

A very important facilitation skill is the ability to provide useful and timely feedback to those that propose ideas or solutions to planning problems. Remember that as a process facilitator, your job may not be to provide this feedback directly, but rather to ensure that the group does so in a positive way. People appreciate confirmation of the specific things they are doing right and constructive feedback on the exact things they need to improve or change. When facilitating group feedback remember to:

* Structure the request for feedback with the aim of helping—not judging
* Call for specific and concrete examples—avoid generalising where possible
* Try to balance constructive criticism with recognition of what is being done right
* Continually provide positive reinforcement and encouragement
* Acknowledge and build on each planner’s strengths

In general, people will stay involved and will strive to be successful in the planning process if they have a sense that they are competent and successful participants. While you may need to point out what specific things can be improved and give specific suggestions for doing so, it is also very important to remain positive and encouraging throughout.

#### Paraphrase and Summarize

Although relatively simple, paraphrasing others’ comments and posting them to a flipchart or projected screen can be one of the major tasks that a good facilitator can do. It is often overlooked or seen as redundant, and may be left out of the mix of activities in a working planning group discussion. In the right situations, however, paraphrasing and recording key points has several important uses:

* It clarifies
* It lets participants know they have been heard, and allows them to check that they have been understood correctly
* It facilitates summarizing and drawing of conclusions after an active discussion
* It leaves a record – that may be used later in the session, or in later planning sessions

#### Paraphrasing

Paraphrasing is simply restating what another person has said in your own words. The best way to paraphrase is to listen carefully to what the other person is saying. Actively restrain yourself from converting their words to your own opinions! One way to do this is to get the speaker to help you, for example, you might prompt a speaker to be more concise by saying “can you tell me that again in 5 words or less?”.

Use paraphrasing to check your understanding of what other person says or means. Writing it to the flipchart allows the speaker to agree on your interpretation or to ask for a restatement on your part. Practice paraphrasing with your colleagues and in meetings so you develop the habit of doing it.

Use initial phrases such as:

* “In other words…”
* “I gather that…”
* “If I understand what you are saying…”
* “What I hear you saying is…”
* “Let me see if I understand you correctly…”

#### Summarizing

Summarizing pulls important ideas, facts or data together to establish a basis for further discussion and/or review progress. When you are summarizing, you must listen carefully in order to organize the information systematically. It is useful for emphasizing key points and getting a sense of closure to discussions.

Try out these summarizing phrases:

* “Let’s review…, your main concerns were…”
* “These seem to be the key ideas you have expressed…”
* “What have we said so far? We discussed…”

# PART 2 – A FACSIMILIE CP DRAFTING WORKSHOP GUIDE

COVER

Contingency Plan Drafting Workshop

Date:

Location:

#### Welcome & Explanatory Note:

Your workshop guide should include a note from the convenor(s) welcoming the participants and explaining the importance of the activity. Is should encourage participants to be honest and forthright in their analysis and critiques, but also to act in a genuine spirit of cooperation in order to accomplish this important work without undue delay.

#### Participant Concerns Form

Include an input form for use by the working group participants to be able to identify any specific problems they may have or specific skills or information they may have to contribute. The following is a model form that can be collected by the facilitator in the first session.

PARTICIPANT INPUT FORM

Please describe any specific problems, issues, or opportunities that you see for this **X**-day workshop that the organizers should know about. If there is any information that you would like to share that would help make this a more meaningful event, please use the space below.

**Problems…**

Issues…

Opportunities, Skills, or Information you can contribute to this workshop.…

#### PROPOSED SAMPLE WORKSHOP AGENDA

(TO BE MODIFIED BASED ON THOSE COMPONENTS ACTUALLY NEEDED IN YOUR SITUATION)

**WORKING DRAFT AGENDA**

**Contingency Plan Drafting Workshop**

**Location XXXXX– Date XXXXX**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **SESSION #** | **PROPOSED TIME** | **TOPIC** | **KEY POINTS OR OUTPUT** | **WHO LEADS** | |
| **DAY ONE - MONDAY (DATE) (Overview, Introductions, Hazards and Scenarios** | | | | | |
| 1.0 | 08:30-10:00 | Welcome & Introductions | * Welcome & roadmap to the week * Introductions * Objective-Setting | | * XXX |
| BREAK | 30 min. |  |  | | |
| 2.1-2.3 | 10:30-12:00 | Brainstorming Hazards and Prioritizing Risk | * Hazards reviewed * VCA, and mandate statements drafted | | * XXX |
| LUNCH |  |  |  | | |
| 2.4 | 13:30-15:00 | Developing Scenario(s) for CP | * Risk analysis and prioritization of hazards for CP * Draft scenario statement. | | * XXX |
| BREAK | 30 min. |  |  | | |
| 2.5 | 15:30-17:00 | Writing Risk Assumptions | * Working groups develop planning assumptions for chosen scenario | | * XXX |
|  | 17:00-17:30 | Review of Day’s Outputs | * This days’ work reviewed in plenary, exceptions, advice noted and assigned to drafting team for corrections | | * XXX |
| **DAY TWO – TUESDAY (DATE) (Writing the Operational Response Plan(s))** | | | | | |
| 3.1 | 08:30-10:00 | Designing and Drafting a Strategy Statement | * Strategy, purpose, and objective statements for CP are drafted and reviewed. | | * XXX |
| BREAK | 30 min. |  |  | | |
| 3.2 | 10:30-12:00 | Sector Working Groups’ Response Plans | * Sectoral Working groups are established and assigned tasks for writing response plans | | * XXX |
| LUNCH |  |  | | | |
| 3.2 continued | 13:30-15:00 | Sector Working Groups’ Response Plans - continued | * Working groups continue | | * XXX |
| BREAK | | | | | |
| 3.2 continued | 15:30-17:00 | Sector Working Groups’ Response Plans Reviewed in Plenary | * Sector working groups report to plenary and coordinate gaps and overlaps. * Needed revisions noted, and assigned to drafting teams. | | * XXX |
| REVIEW | 15:00-15:30 | Participant Feedback | * Open session for participant feedback/evaluation | | * XXX |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **DAY THREE - WEDNESDAY (DATE) (Drafting Management and Coordination Components of the CP)** | | | | | |
| 3.3 - 3.7 | 08:30- 10:00 | Management and Other aspects of Response | * Small working groups develop text for each point. | * XXX |
| BREAK | 30 min. |  | | | |
| 3.3 – 3.7 continued | 10:30-12:00 | Management and Other aspects of Response – Review in Plenary | * Text is reviewed in plenary session and recommendations for corrections noted and assigned to drafting team. | * XXX |
| LUNCH | 90 min. |  |  | |
| 4.1- 4.2 | 13:30-15:00 | Drafting Internal and External Coordination Statements for CP | * Internal and External statements for CP are drafted by assigned working groups | * XXX |
| BREAK | 30 min. |  |  | |
| 4.1 – 4.2 continued | 15:30-17:00 | REVIEW and consensus on Coordination Element of the CP | * Internal and External statements for CP are drafted by assigned working groups | * XXX |
| EVENING Free! | | | | | |
| **DAY FOUR – THURSDAY (DATE) (Quality, Accountability, and Implementation)** | | | | | |
| 5.1 – 5.2 | 08:30-10:00 | Drafting and Review of Quality and Principles Statement | * Review of Sphere guidance * Quality statements for CP are drafted by assigned working groups | * XXX |
| BREAK | 30 min. |  |  | |
| 5.1 – 5.2 | 10:30-12:00 | Review of Draft Outputs With a “Quality Lens: | * Working groups revisit previously drafted sections of response plans an incorporate Quality & Principle points where needed | * XXX |
| LUNCH | 90 min. |  |  | |
| 6.1 – 6.2 | 13:30-15:00 | Identifying Gaps and Preparedness Actions | * GAP ID matrix is introduced * Working groups identify potential gaps in response and identify actions to better prepare. | * XXX |
| BREAK | 30 min. |  |  | |
| 6.3 – 6.7 | 15:30-17:00 | Small Group Work on Implementation Components | * Working groups are established and assigned tasks for writing implementation statements for inclusion in the CP | * XXX |
|  | 17:00-17:30 | Participant Feedback | * Open session for participant feedback/evaluation | * XXX |
| **DAY FIVE – FRIDAY (DATE) (Review of Workshop Outputs, Next Steps, Evaluation and Closing)** | | | | | |
| 7.0 | 08:30-10:00 | Drafting Annexes in Small Groups. | * Working groups are established and assigned tasks for writing Annex components for inclusion in the CP | * XXX |
| BREAK | 30 min. |  |  | |
| 5.2 | 10:30-12:00 | Consolidation and Plenary Review of Draft CP Document | * Document is consolidated and presented in plenary for review. | * XXX |
| LUNCH | 90 min. |  |  | |
| 5.3 | 13:30-15:00 | Next steps and Timetable for CP Completion, Dissemination, and Review | * Remaining parts of the draft that remain incomplete are identified and tasked to drafting committee * Implementation steps beyond completion of the CP document are identified, planned, and scheduled | * XXX |
| BREAK | 30 min. |  |  | |
| 5.4 | 15:30-17:00 | Workshop Evaluation & Closing | * Actual workshop evaluation * Closing | * XXX * VIP? |
| END | | | | | |

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### Workshop Overview Statement

The components of a typical contingency plan are shown below. This general outline can be found in the accompanying IFRC Contingency Planning Guide. The intent of each working session of this workshop is to produce a review-ready draft of each component of the outline. The times shown are indicative, and will vary based on your working group’s level of experience and skills in writing and drafting. The activities described after each component are advisory, and primarily recommended for situations where the particular component is currently undeveloped or is to be redone in its entirety.

|  |  |
| --- | --- |
| **Component of the CP outline & estimated workshop time required** | **Workshop activity to faciltiate drafting of this component** |
| **1. Introduction** – **N/A** | |
|  | This is basically an administrative task. This should be prepared at the end of the CP drafting process by the core team or a delegated author, and should only take a few hours. Although it is actually quite an important component, it is not further addressed in this guide, as it is basically a technical and formatting exercise, not a group activity, nor requiring consensus. |
| 1. **Disaster Scenario/s. ( ½ - 1 day)** | |
| 2.1 Hazards and risks | (Brainstorming, and group analysis, drafting by delegated secretariat, and reviewed in plenary for consensus) |
| 2.2 Vulnerabilities and capacities | (Best if collected before the working group meets, and shared with working group members. However, if this has not been done, a review of this information, and a draft statement from the participants will be required.) |
| 2.3 Role, mandate and capacities of the National Society. | (individual task to be assigned to specialist, and reviewed by the group) |
| 2.4 Best case, most likely and worst case scenarios | (group process, to develop scenarios and prioritize areas for focus. This requires building consensus, drafting of scenario statements, and plenary review) |
| 2.5 Risk assumptions. | (Group discussion with key points noted by secretariat and draft statement reviewed in plenary) |
| 1. Operational plan (2 days) | |
| 3.1Strategy (e.g. search and rescue, relief, recovery), purpose and objectives (including numbers targeted). | (Plenary discussion with draft prepared by secretariat, and reviewed in plenary) |
| 3.2 Areas of intervention (technical and geographical), | (Plenary discussion with draft prepared by secretariat, and reviewed in plenary) |
| 3.3 Emergency assessment  3.4 Management structure  3.5 Logistics (movement, procurement)  3.6 Communications and IT.  3.7 Media and information | (all of the following points to be assigned to sub-working group with expertise and experience in this area. Draft to be reviewed in plenary) |
| 1. Coordination ( ½ to 1 day) | |
| 4.1 Movement including use of international tools (FACT, RDRT, ERU). | (Plenary discussion with Federation specialist input. Draft statement reviewed in plenary) |
| 4.2 External including government, UN, donors, NGOs. | (Plenary discussion with representatives from agencies concerned for direct input. Draft statement reviewed in plenary) |
| 5. Quality and Accountability ½ day | |
| 5.1 Standards  5.2 Principles | (Best if key standards (i.e. Sphere) are collected before the working group meets, and shared with working group members drafting the individual sectoral components described above. However, if this has not been done, a review of this information, and application of Standards and accountability measures should be “applied” to the previously generated plan components at this point to ensure their incorporation into the CP.) |
| 6. Implementing the plan (1 day\* - 6 months) | |
| 6.1 Approval of the plan and dissemination | This section is very mixed in terms of timing. The sub headings that are underlined below can be addressed in a workshop or working group to draft key statements that should be included in the CP. Those not so indicated require considerable planning time and follow-up beyond the purview of “drafting the plan”. |
| 6.2 Identification of gaps and areas that require strengthening | (This must be discussed in the wider working group, drafted and reviewed in plenary.) |
| 6.3 Stocks and logistics | (This information should be included, but note that it is very time-limited. Assign this to a specialist who can quickly assemble the information, and who may be tasked with building or improving systems for doing this task in future |
| 6.4 Human resources, training, simulation, volunteers. |  |
| 6.5 Trigger mechanism | (This must be discussed in the wider working group, drafted and reviewed in plenary.) |
| 6.6 Resource mobilisation | (note on key administrative and emergency SOPS in this regard are central to the CP and should be included. |
| 6.7 Review plan | (A note on timetable for review should be included in the plan itself) |
| 1. Annexes (1day) | |
| * Standard operating procedures * Maps, hazard and risk analysis, VCA * Organisation structure and authority in disaster, disaster response diagram * Lists of contacts * Relevant reference documents (MoUs etc.) | These topics should be divided amongst smaller working groups and drafted for review by the plenary working group. |

### Exercise 0.1 - Participant Introductions

Provide time for all participants to introduce themselves and to explain their expertise or areas of experience that they can bring to the working group. If the group is already familiar with one another, then very short introductions are fine. If the group is a higher-level or interagency group in which many participants do not already know one another, this introduction is quite important.

### Reading 0.2 - Working Group Roadmap – What we are trying to do in this workshop

In this workshop we will be drafting a contingency plan. The quality of that output will depend on the energy and focus you bring to this task as a working group. Please refer to the outline below as a roadmap of the various sections that we will prepare during this event. The proposed outline below is from the IFRC Contingency Planning Guide.

Contingency Plan Format

1. Introduction

2. Disaster scenario/s.

* Hazards and risks
* Vulnerabilities and capacities
* Role, mandate and capacities of the National Society.
* Best case, most likely and worst case scenarios.
* Risk assumptions.

3. Operational plan

* Strategy (e.g. search and rescue, relief, recovery), purpose and objectives
* Areas of intervention (technical and geographical)
* Emergency assessment
* Management structure
* Logistics (movement, procurement)
* Communications and IT.
* Media and information

4. Coordination

* Movement including use of international tools (FACT, RDRT, ERU).
* External including government, UN, donors, NGOs.

5. Quality and accountability

* Standards & Principles

6. Implementing the plan

* Approval of the plan and dissemination.
* Identification of gaps and areas that require strengthening
* Stocks and logistics
* Human resources, training, simulation, volunteers.
* Trigger mechanism
* Resource mobilisation
* Review plan

7. Annexes

* Standard operating procedures
* Maps, hazard and risk analysis, VCA.
* Organisation structure and authority in disaster, disaster response diagram
* Lists of contacts
* Relevant reference documents (MoUs etc).

## CP Component 1: Introduction

This is basically an administrative task. This should be prepared at the end of the CP drafting process by the core team or a delegated author, and should only take a few hours. Although it is actually quite an important component, it is not further addressed in this guide, as it is basically a technical and formatting exercise, not a group activity nor requiring consensus.

## CP Component 2: Disaster Scenarios

### 2.1 Hazards and Risks

In this working session participants will review current information, and brainstorm a list of possible hazards to consider in the CP process.

**Brainstorming Scenarios for Contingency Planning**

This session of the workshop is dedicated to the selection process for scenarios for contingency planning. In the first part of the session we will model a brainstorming process for scenario idea generation, and will then model a prioritization process for choosing which scenarios to develop into working contingency plans.

**A general note about facilitating brainstorming exercises…..**

Often, the best way for a group to get started on a contingency planning process is to allow everyone to express their own ideas in a straightforward “brainstorming” exercise. The idea is to quickly list as many threats or hazards that you can think of that could lead to a national disaster of such a scale that international assistance would be warranted. The brainstorming process is open and unrestrictive and should support the idea that everyone in the group can contribute openly without being judged on the value of his or her answer. The following 4 simple rules should be followed:

1. Any idea is allowed – without judgement

The point of this rule is to hear everyone and encourage as many ideas as possible. In many cases the idea of a less-experienced colleague or an idea that at first seems foolish later proves to be the best idea of all. Don’t worry about prioritising the ideas at this point – that will be done later. Another way of describing the goal is to maximise “quantity” of ideas, not “quality” of ideas, at least at this point in the process.

2. Encourage participation – Some people are naturally shy or simply do not like the brainstorming process. However, they may hold valuable information needed by your group. Someone in the group should take the opportunity to actively encourage each member to contribute to the process.

3. Watch the clock

Some time pressure will actually help you in your brainstorming. You must finish within the time set. Begin immediately – don’t lose time discussing the merits of ideas, just start speaking and listing them.

4. Record your ideas

Your good ideas are wasted if they are not recorded methodically and legibly. Use your flip charts, whiteboards, post-it notes, or whatever you can to quickly (but legibly) record your group’s ideas. A large map or other graphic technique to relate hazards to different areas of the country may be very useful.

**The scenario generation guide on the next page is a tool to help participants add specificity to their scenarios. It is not to be used to limit or screen out any ideas, but rather, to clarify them so that the presenter’s ideas are clear and understood by everyone in the group.**

#### Brainstorming Guide for Potential Crisis Events for Disaster Planning in (Fill in the blank)

**1. Where?**

**2. What? Describe the event.**

**3. How bad would it be? What damage or effects would be caused if this happens?**

1. **When and how likely is this event? Describe how often such an event occurs, or the likelihood that such an event will actually happen – within what timeframe?**

### Component Output 2.2 - Vulnerabilities and Capacities

Review your most recent Vulnerabilities and Capacities assessment and include key findings here. The format may be either text or in table format per the traditional VCA Tool format shown below. Be careful to include those specific issues which relate to the hazards under discussion for inclusion in this specific CP. This tool is used to better understand the vulnerabilities and capacities at play in the community, and careful review of this information will greatly inform the next step of this process – risk analysis.

VCA Matrix

**Physical/Material**

What productive

resources, skills, and

hazards exist?

**Social/**

**Organization**

What are the relations

and organization among

people?

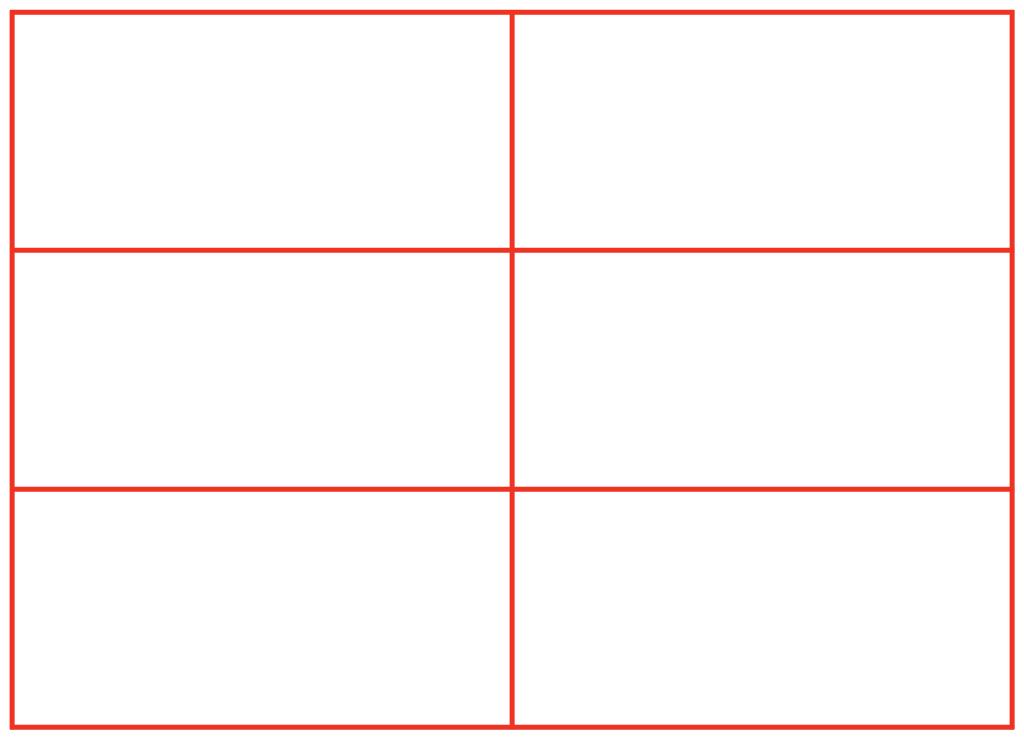
**Motivational/**

**Attitudinal**

How does the

community view its

ability to create change?



**Vulnerabilities**

**Capacities**

***Anderson and Woodrow, Rising from the Ashes, p. 12.***

(Note that a concise statement of capacities and vulnerabilities, as related to the hazards you are discussing may be included her and a more complete VCA can be included in the Annex.)

### Component Output 2.3 - Role Mandate and Capacity of the National Society.

This information need not be done in plenary, and the information for this statement in the CP should have been drafted before the workshop event, in which case it may be circulated to the working group for review and vetting. Take care to accept positive and useful changes to this statement, but avoid getting bogged down in lengthy discussion on role and mandate. The issue of Capacities, however, is often a good topic to review with a wider working group as many different people in the NS may have different viewpoints and inputs in this discussion.

If this section has not yet been drafted for review by the working group, not, assign this to one or 2 people to draft and submit for review to the plenary.

### Component 2.4 - Best, Most Likely, and Worse Case Scenario

This component will take some time in explaining, drafting, and reviewing. The activities and readings that follow can help in choosing the main scenario to plan for, and then further analysing it into the three categories mentioned above (Best, Most likely, and Worst Case).

### Reading 2.4.1 - Prioritizing Scenarios for Contingency Planning Using the Risk Matrix

Once your list of potential hazards has been made, you need to think through which of these possible events pose the most serious risk, in terms of national preparedness for disaster response. The definition we will use for risk includes both the **likelihood** or **estimated frequency** that the hazard will actually occur as well as the **likely** **damage** to the country or community if it does occur. Related fields of risk analysis, such job site accident risk analysis, field safety and security threat analysis are commonly used today, and each have their own terminology and scales for describing the different levels to be considered. Even so, they all share the common elements of likelihood and probable impact of the events happening. The example matrix below is one example that can be used for this type of analysis at the national level when considering natural and man-made hazards that might result in large-scale disasters.

**HAZARD RISK ANALYSIS MATRIX**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **PROBABLE DAMAGE LEVEL**  **resulting from the event if it occurs** | **CATA- STROPHY** |  |  |  |  | **EXTREME DISASTER RISK** |
| **CRITICAL** |  |  |  | **HIGH DISASTER RISK** |  |
| **SEVERE** |  |  | **SOME DISASTER RISK** |  |  |
| **MODERATE** |  | **LOW DISASTER RISK** |  |  |  |
| **MINOR** | **VERY LOW DISASTER RISK** |  |  |  |  |
|  | **RARE** | **UNLIKELY** | **POSSIBLE** | **LIKELY** | **IMMINENT** |
|  | **LIKELIHOOD of event occurring in the country** | | | | |

#### Using the Risk Matrix

Definition of probability levels used for this exercise follow on the next page:

#### DEFINITION OF LIKELIHOOD terms for use in this exercise

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Rare** | **Unlikely** | **Possible** | **Likely** | **Imminent** |
| Very unusual event not expected to occur more frequently that once in 500 years (such as meteorite strike or massive tsunami in some areas) | Unusual event not expected to occur more frequently that once in 100 years (Massive earthquake in some areas) | Occasional event expected to occur once in every 20 years (super cyclone) | Regular event expected to occur at least once in every 10 years.(named cyclone or flooding) | Scientifically predicted or expected to occur within 1- 5 years, (dam failure) months (some landslides, volcanic eruption) or even days (named cyclone tracking warning). |

#### DEFINITION OF PROBABLE DAMAGE terms for use in this exercise

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Minor** | **Moderate** | **Severe** | **Critical** | **Catastrophy** |
| No deaths , infrastructure not seriously affected, commerce and normal activities only slightly disrupted | Few deaths, infrastructure slightly damaged resulting in loss of basic services for less than one week. Normal activities disrupted for less than one week. | Several deaths, damaged infrastructure requiring significant assistance to repair, loss of some services for up to one month. | Deaths in the hundreds, Severely damaged infrastructure, and housing, major disruption of basic services for up to 6 months. Businesses, government, and community activities are seriously disrupted causing massive displacement of population. | Deaths in the thousands, Widespread destruction of housing, infrastructure, government and private business systems and services. Loss or disruption of basic services may last more than one year leading to massive displacement or even abandonment of affected areas. |

#### Use of the hazard risk analysis matrix

* This lets us record both the degree of probability and likelihood of impact, for a more rational understanding of overall risk
* **You will need to plot various hazards that may occur in the country on this matrix in order to discuss and understand the relative risk of various events that may occur. This tool and its use as an exercise are subjective, so it is best done by groups in order to get group consensus if possible**
* After plotting several hazards on the matrix, try to determine a line or threshold of acceptable risk (again this will be a very subjective line!)
* Note that after plotting the hazards, you can now rank risks (from highest risk downwards). Remember that the results may vary, even amongst experts in their own fields, this will vary even more between generalists, planners and local administrators. For those hazards that are well studied scientifically, specific expertise should be sought to validate the estimates of likelihood, as well as damage in some cases.
* The goal of risk management is to push each possible hazard down towards the left-hand corner of the matrix. Obviously for many natural hazards such as cyclones and earthquakes, likelihood cannot be changed (although it may become better understood) whereas expected damage can always be lessened by reducing vulnerability, strengthening communities, or reducing population in the most dangerous areas. You should actively look for ways and strategies to accomplish this, remembering that there may be other factors ready to push threats up towards top right hand corner, for example; poverty, lack of education about hazard risks; and the inability to respond efficiently.
* Regular revisiting of this matrix and updating with up-to-date information and analysis will help show you trends in the overall vulnerability to hazards, as well as help you evaluate if you are really reducing your risk in any significant ways.

### Exercise 2.4.2 - Using the Risk Matrix

This exercise is to be done in small working groups. Select one person from the group to draw up the final matrix on a flipchart for review in plenary. The exercise is best done by following the proposed steps below.

**Step 1:** Start with the list of hazards that were developed in the brainstorming session just completed. Transfer the hazards listed to individual cards or large “post-it” notes so that they can be positioned (and repositioned) on the hazard matrix.

**Step 2**: Draw a large risk matrix on your flipchart paper or whiteboard and then, as a group, place the hazards from your list on the matrix.

**Step 3:** Analyse the results of your completed matrix. Determine which hazards are highest priority for preparedness planning. **Finally, choose one hazard to develop into a disaster contingency plan.**

**HAZARD RISK ANALYSIS MATRIX**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **PROBABLE DAMAGE LEVEL  resulting from the event if it occurs** | **CATA- STROPHY** |  |  |  |  | **EXTREME DISASTER RISK** |
| **CRITICAL** |  |  |  | **HIGH DISASTER RISK** |  |
| **SEVERE** |  |  | **SOME DISASTER RISK** |  |  |
| **MODERATE** |  | **LOW DISASTER RISK** |  |  |  |
| **MINOR** | **VERY LOW DISASTER RISK** |  |  |  |  |
|  | **RARE** | **UNLIKELY** | **POSSIBLE** | **LIKELY** | **IMMINENT** |
|  | **LIKELIHOOD of event occurring in the country** | | | | |

#### Component 2.5 - Risk Assumptions

The IFRC Contingency Planning Guide states :

“Some of the most important elements for building a scenario are:

* Numbers of people affected (see checklist 2.5.1)
* Priority humanitarian needs (this usually changes with time) (see checklist 2.5.2)
* Demographics, vulnerability. (see checklist 2.5.3)
* Geography, access, logistical considerations (see checklist 2.5.4)
* Dimensions of the response (community, government, aid agencies) (see checklist 2.5.5)
* Functioning of markets, socio-political dimensions, resources (see checklist 2.5.6)

The following templates and guides (indicated above) in this section will help you and your working group(s) draft text to support each of these points.

### Reading 2.5.1 - Checklist Scenario Development Checklist

This simple checklist does not need to be developed by the whole working group, but should be circulated for comment and consensus once those with access to population data and previous experience have proposed numbers for this part of the scenario.

**Question:** If the hazard you are planning for occurs, how many people will likely be affected? You can consider this question on three levels shown in the table and insert the numbers as appropriate for each level. If there are any special situations or subgroups that may need a unique response please explain in the notes area.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Number of people affected by the hazard (population in geographic area of impact)** | **Likely number of those affected needing assistance of any type.** | **Likely number of families needing assistance (i.e. shelter, relocation, or relief)** | **Notes:** |
| Best Case scenario |  |  |  |  |
| Most likely scenario |  |  |  |  |
| Worst Case scenario |  |  |  |  |

### Checklist 2.5.2 - Humanitarian Needs and Resources

This section describes the consequences on the population and on basic services (What will be needed, when?). It also describes foreseen coping mechanisms of the affected population (How can people best be supported to help themselves?)

|  |  |  |
| --- | --- | --- |
| **Sector** (area or service) | **Problems** | **Resources / Coping Strategies** |
| **Protection** |  |  |
| **WASH** |  |  |
| **Relief** |  |  |
| **Food** |  |  |
| **Shelter** |  |  |
| **Health** |  |  |
| **Community Services,** (tracing, family reunification, counselling support and education) |  |  |

### Checklist 2.5.3 - Demographics and Vulnerability

Main elements / factors (who will be affected, where, when, why) and vulnerability factors. Fill in all of the cells in the table.

|  |  |
| --- | --- |
| **PLANNING CASELOAD – AFFECTED COMMUNITY** | |
| **WHO** | Describe those affected here. |
| Language(s)? |
| Ethnic group(s)? |
| Specific subgroup(s)? |
| Vulnerable subgroups? |
| **WHERE** | Describe the extent of the area(s) affected. List any specific areas that are specifically vulnerable to the hazard due to location, lack of infrastructure, or other reasons in particular areas. |
| If this is likely to result in displacement of the population describe expected routes. |
| Expected means of travel if displaced? |
| Expected reception/hosting area(s) and any particular vulnerabilities associated with these sites? |
| **WHEN** | Timeframe: When would be the most likely time for this event?  Why? |
| Seasonal factors? Is vulnerability heightened at any time or season? |

Checklist 2.5.4 - Geography Access and Logistics

Main elements / factors (where will the hazard likely hit, what difficulties in access and logistics or relief operations are likely? Why?) Fill in all of the cells in the table. (Note that maps may be included here or as an annex).

|  |  |
| --- | --- |
| **Affected area(S)** | |
| **WHERE** | Describe the particular geographic areas most likely to be affected here. |
| Particular districts or highly vulnerable areas of concern? |
| Specific geographic features of concern (low laying areas, coastal, steep slopes, or other specific concerns?) |
| Describe the extent of the area(s) affected. List any specific areas that are specifically vulnerable to the hazard due to location, lack of infrastructure, or other reasons in particular areas. |
| **ACCESS** | Distance of affected areas form central resources and logistical support. |
| Are there any specific concerns about ability of the NS to access the potentially affected areas? |
| Are there any concerns that local affected populations may have difficulty in accessing services provided locally? |
| **LOGISTICS** | What general logistical constraints are envisioned for this hazard? |
| Is it likely that the hazard being planned for will disrupt core response and relief logistics? Describe potential problems here. |

### Checklist 2.5.5 - Dimensions of the Response

This section generally describes the expected scope and scale of the response. Write a short paragraph here explaining the expected scope and level (local, district, national, regional, international) response that would be required.

|  |
| --- |
|  |

This section of the CP can also include a listing of the organizations and partners expected to be involved in the response if this scenario occurs.

Primary Actors to be involved in response to this Scenario

|  |  |  |
| --- | --- | --- |
| **ORGANIZATION** | **Expected Role(s) in Response:**  **1.**  **2.**  **3.** | **Specific Contact Details:** |
| **ORGANIZATION** | **Expected Role(s) in Response:**  **1.**  **2.**  **3.** | **Specific Contact Details:** |
| **ORGANIZATION** | **Expected Role(s) in Response:**  **1.**  **2.**  **3.** | **Specific Contact Details:** |
| **ORGANIZATION** | **Expected Role(s) in Response:**  **1.**  **2.**  **3.** | **Specific Contact Details:** |
| **ORGANIZATION** | **Expected Role(s) in Response:**  **1.**  **2.**  **3.** | **Specific Contact Details:** |
| **ORGANIZATION** | **Expected Role(s) in Response:**  **1.**  **2.**  **3.** | **Specific Contact Details:** |
| **ORGANIZATION** | **Expected Role(s) in Response:**  **1.**  **2.**  **3.** | **Specific Contact Details:** |
| **ORGANIZATION** | **Expected Role(s) in Response:**  **1.**  **2.**  **3.** | **Specific Contact Details:** |
| **ORGANIZATION** | **Expected Role(s) in Response:**  **1.**  **2.**  **3.** | **Specific Contact Details:** |
| **ORGANIZATION** | **Expected Role(s) in Response:**  **1.**  **2.**  **3.** | **Specific Contact Details:** |

**Note that a short statement about the nature and type of organizations may be placd here and this more developed list of contacts included as an Annex.**

### Checklist 2.5.6 - Markets and Socio-Political Aspects

|  |  |  |
| --- | --- | --- |
|  | **Immediate Emergency Phase  (i.e. first week)** | **Secondary Phase  (i.e. up to 6 months)** |
| Describe any concerns here about functioning of local markets and ability of affected people to access markets for both buying and selling of needed items. |  |  |
| Describe here any concerns or aspects of the response that may be cash-based, and reasoning for this determination. |  |  |
| Other market-related or socio-economic assumptions for this scenario? |  |  |

## CP Component 3: Operational Plan

### 3.1 Strategy Statement.

In this session the intent is for the working group to brainstorm key areas of response that will be required of the NS if this planning scenario actually occurs. These ideas should be listed quickly as a quick brainstorm exercise. List as many as possible, use care in preparing the flipchart to catch all ideas put forward by the participants. These will be clarified and prioritized next.

After a list of from 5-10 activities are listed in the exercise above. Conduct a ranking exercise to determine the most important of these for the planning group. This may be either by vote (show of hands) voting by placing a tick on the flipchart for the “top” three most important actions. Once this is done, count the votes and relist the activities in order of those that have the greatest support from the group. Challenge the working group to determine where to make the “cut-off” point for the activities. Remember that each one that is accepted into the CP document will require a draft statement to be prepared by a small working group for each.

After the list is finalized, divide the plenary group into the number of small working groups needed and assign one topic to each group. They must draft their statement on laptops and share the results using a large screen or digital projector so that corrections/additions can be made immediately in the plenary review. Once this process is done, the vetted text statements are combined into an overall text to support this point in the CP outline.

### 3.2 Areas of Intervention

1. This exercise further analyses the anticipated emergency response in terms of sectoral responsibilities and those with expertise in each area of the response are should draft their respective parts of the plan at this stage. Note that the previous exercise and plenary review of the overall strategy statement will need to be copied and provided to each sectoral working group to guide them and coordinate the overall output. In order to harmonize the outputs of diverse groups some kind of template is usually a good idea. The ones that follow are examples that have been used in other contingency planning exercises but which may need to be modified for your specific context and hazard type.

The following tasks can be divided amongst small working groups that are instructed to develop their assigned area into text for review by the larger group.

#### Overall response strategy statement

|  |
| --- |
| Write a concise strategy statement for the immediate response to this planning scenario. |

In this session, the sectoral tasks listed in the GAP ID matrix for contingency planning are further explored by smaller and more focused cluster working groups. Which working groups you join will be based on your organisational mandate, your own knowledge and skills as well as your interest. For your specific cluster working groups or "task forces", you should answer the following questions:

* **What is your specific sectoral area or task?**
* **What are the main planning assumptions you must make in order to plan for a response in this specific sector or task?**
* **What are the specific objectives to be achieved in this area of the operational response?**
* **What guidelines or working norms do you propose to be followed in the accomplishment of these objectives?**

The table that follows on the next page can be used as a checklist and is a good format for ensuring that you have explored all of these questions:

**Space for your notes:**

### Worksheet 3.2.1 for Sector Working Groups

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Working Group Worksheet** | | | | |
| **Sector area or task:** | | | | |
| **Members of Sector Working Group:** | | | | |
| 1. | 2. | 3. | 4. | 5. |
| **Key Planning assumptions for this specific sector or task:**  **1.**  **2.**  **3.**  **4.**  **5.** | | | | |
| **Specific objectives to be achieved in this sector or task:**  **1.**  **2.**  **3.**  **4.**  **5.** | | | | |
| **Proposed guidelines or working norms for those operating in this sector:**  **1.**  **2.**  **3.**  **4.**  **5.** | | | | |

### Component 3.3-3.7 (Operational Management Issues)

These more management-related components, similar to the sectoral areas of interventions developed in the last session, are best drafted by those who have experience or specialised skills in each area. The following 5 components are numbered to reflect their order in the overall CP Outline. Once these are done, the wider working group should return to plenary and share each output. This usually results in needed standardization and coordination between the different areas, as they do affect on one another and inevitably overlap in some areas.

The working groups to be assigned for this session are as follows:

Group 3.3 Assessment

Group 3.4 Management Structure

Group 3.5 Logistics

Group 3.6 Communications and IT

Group 3.7 Media and Information

Refer each group to the relevant sections in the CP Planning Guide and ask them to draft concise text, diagrams, or tables to support each area. It is recommended that each of these not exceed 2 pages of typed text. The time required for this may be considerable if the participant group has not been involved in this kind of planning before. Start with a working deadline of 2 hours and then check in with each group to see if they have achieved the task.

Once each task is complete (in draft) reconvene the plenary and review each component in turn to test acceptance by the overall group and to gather additional points from others who may see ways to improve the plan.

## CP Component 4: Coordination

### Component 4.1 - Coordination within the Movement

This section will need to be drafted together with Federation Delegates or others who can speak with authority on the potential roles of Federation and Sister Societies. The short reading that follows is an excerpt from the Contingency Planning Guide. After reviewing this, the working group should meet and draft a concise statement about the coordination mechanisms and agreements within the Movement which would likely be used in response to this scenario. Additionally, if the hazard/scenario merits new agreements of coordination structures, this should be mentioned as well and addressed later in the implementation phase of the CP process.

### Reading 4.4.1 - Internal (Movement) coordination

“The key responsibilities for coordination within the movement in international disasters are outlined in the Seville Agreement and Supplementary Measures, the International Federation’s Constitution, and the Principles and Rules for Red Cross and Red Crescent Disaster Relief. It is very important to consider the role of any given component of the Movement in contingency planning for different disaster scenarios and to refer to the relevant policy and/or agreements as a guide.

Although no two disasters are the same there are common scenarios that will require putting in place specific coordination mechanisms to manage the international response. The two scenarios described below are also relevant to regional (cross-border) disasters:

1. A natural disaster occurs in a non-conflict area and is beyond the capacity of the affected National Society. The Principles and Rules for Red Cross and Red Crescent Disaster Relief is the guiding policy to be followed to enable an effective response by the International Federation and its members. The Seville Agreement and the Supplementary Measures should be followed concerning coordination responsibilities.

2. A natural disaster occurs in a conflict area where ICRC is operational. The Seville Agreement and Supplementary Measures are to be followed to determine who is responsible for carrying out disaster response/emergency relief and what action is to be taken regarding coordination with other Movement partners. Where the International Federation has responsibility, the Principles and Rules for Red Cross and Red Crescent Disaster Relief constitutes the guiding policy.

**IFRC Response Tools**

Some of the better-known response and planning tools of the IFRC are listed below:

**Disaster Relief Emergency Fund (DREF)**

Provides emergency funding to support National Societies in relief operations. DREF allocations are made to start up operations in major disasters and are reimbursed when sufficient funding has been received. Allocations may be made as grants to provide support to smaller or less visible emergencies, or in preparedness for imminent crises.

**Regional Disaster Response Teams (RDRT)**

Are highly qualified disaster management and technical experts in different areas of humanitarian work drawn from National Societies within the region. They are selected and trained to Federation standards to be an additional response capacity for National Societies facing emergencies and in need of additional, expert human resource (activated on request).

**Field Assessment and Coordination Team (FACT)**

Consists of a core group of experienced disaster managers from National Societies and the Federation. They are on-call to be mobilised within 12 - 24 hours notice for 2 - 4 weeks anywhere in the world to assist National Societies with major emergency responses.

**Emergency Response Units (ERU)**

Is a standardised package of personnel and equipment held by National Societies, ready to deploy in disaster at short notice. Currently these include logistics, relief, IT and telecoms, water and sanitation, basic health care and referral hospital. The units are self-sufficient for one month and can be deployed for up to four months.

### Component 4.2 - External Coordination (Government, UN, Donors, NGOs)

The short reading that follows outlines the basic structure of accountability within the IASC Cluster System. It is useful to understand this system as it will greatly enhance your ability to work with the correct partners in the event of a major response requiring international UN and other assistance.

### Reading 4.2.1 - The IASC Cluster Approach and Global Cluster Leads

In December 2005 the IASC Principals designated global cluster leads (see below) for nine sectors or areas of activity which in the past either lacked predictable leadership in situations of humanitarian emergency, or where there was considered to be a need to strengthen leadership and partnership with other humanitarian actors. This complements those sectors and categories of population where leadership and accountability are already clear, e.g. agriculture (led by FAO), logistics (led by WFP), refugees (led by UNHCR) and education, led by UNICEF. In the case of education in emergencies, however, there may be some further modification to the existing arrangements.

|  |  |  |
| --- | --- | --- |
| **Global Cluster Leads** | | |
| **Sector or Area of Activity** | | **Global Cluster Lead** |
| Agriculture | | FAO |
| Camp Coordination/Management: IDPs  *conflict)* | | UNHCR |
| (*Disaster situations)* | | IOM |
| Early Recovery | | UNDP |
| Education | | UNICEF |
| Save The Children - UK |
| Emergency Shelter: IDPs *(from conflict)* | | UNHCR |
| *(Disaster situations)* | | IFRC (Convener)\* |
| Emergency Telecommunications | | OCHA/WFP |
| Health | | WHO |
| Logistics | | WFP |
| Nutrition | | UNICEF |
| Protection: IDPs *(from conflict)* | | UNHCR |
| Disasters/civilians affected by conflict (other than IDPs)\*\* | | UNHCR/OHCHR/UNICEF |
| Water, Sanitation and Hygiene | | UNICEF |
| \* IFRC has made a commitment to provide leadership to the broader humanitarian community in Emergency Shelter in disaster situations, to consolidate best practice, map capacity and gaps, and lead coordinated response. IFRC has committed to being a ‘convener’ rather than a ‘cluster lead’.  In an MOU between IFRC and OCHA it was agreed that IFRC would not accept accountability obligations beyond those defined in its Constitutions and own policies and that its responsibilities would leave no room for open-ended or unlimited obligations. It has therefore not committed to being ‘provider of last resort’ nor is it accountable to any part of the UN system. | | |
| \*\* UNHCR is the lead of the global Protection Cluster.  However, at the country level in disaster situations or in complex emergencies without significant displacement, the three core protection-mandated agencies (UNHCR, UNICEF and OHCHR) will consult closely and, under the overall leadership of the HC/RC, agree which of the three will assume the role of Lead for protection. | | |
| **Cross-cutting issues** | | |
| Age | HelpAge International | |
| Environment | UNEP | |
| Gender | UNFPA / WHO | |
| HIV / AIDS | UNAIDS | |

The IFRC Contingency Planning Guide provides additional advice in this regard. Consider the short excerpt from the Guide below:

‘It is not necessary to do an exhaustive analysis on each of these groups, but indicate which of these institutions or organizations have, or can, play an important role in the moment of a Response. The following table provides a list of institutions and organizations that are recommended to be considered in the analysis:

|  |  |
| --- | --- |
| **Type of Institution** | **Examples** |
| Governmental Coordination Organizations Responsible for Disaster Response. | INDECI, SINAPRED, COMUPRED, CONRED, COPECO, Etc. |
| Intergovernmental Organizations for Coordination in Disaster Reduction. | CAPRADE, CEPREDENAC, CDERA |
| Relief and Rescue Organizations | SAR Groups, Fire fighters, Police, etc. |
| Most relevant Ministries whose responsibility coincides with the National Society’s areas of work and service. | Ministry of Health  Ministry of Education  Ministry of Government  Etc. |
| United Nations Agencies that have programs or actions in the prioritized zones/scenarios or those with which the Red Cross has a history or collaboration agreements. | UNICEF, UNDP, ACNUR, WFP, OCHA, etc |
| National Non-Governmental Organizations with presence and important programs in a particular area. | Health NGOs, Food Security, Specialized in Shelter or Water and Sanitation, etc |
| Non Governmental Organizations that have a similar or complementary mission or programs to those of the National Society, who have common donors or have a close cooperation relationship. | OXFAM  SAVE THE CHILDREN  CARITAS  CARE, etc. |
| Projects or Interventions that have a large impact in a zone or region prioritized by the Response/Contingency Plan. | the World Bank PPRAC Project, IADB, etc. |
| Other public or private organizations that have significant relevant and presence in a context or particular geographic area. |  |

### Example 4.2.2 - Emergency Response GAP ID SHEET

The following reading and exercise is optional. If your scenario is detailed enough and you have external partners involved in preparation for a major event that will require significant coordination between organizations, the following reading and exercises can be a useful tool for coordinating multiple organizations in a multi-sectoral response.

The GAP ID sheet or matrix is a useful tool for matching organizations to tasks. For analysis of task distribution based on your contingency planning scenario, list the organizations to be involved in the response along one axis of the grid and list the activities or actions to be done as part of the response along the other. Mark the boxes where organizations and the tasks they will perform intersect on the table. Analysis of the resulting pattern can explain who will do what, who may be overburdened, and who may be able to provide additional assistance. A simplified example below is typical.

**Contingency/Operations Plan Matrix**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Responsibility by  Sector by Organization** | **Provincial and Local Affairs** | **Dept. of Works** | **Dept. of Health** | **Attorney General** | **Police** | **Church** | **Red Cross NS** | **UNHCR** | **Save the Children** | **WFP** |
| **Coordination** | xx |  |  |  |  |  |  | xx |  |  |
| **Protection\*\*** | xx |  |  | xx |  |  |  | xx |  |  |
| **Reception** | xx |  |  |  | xx |  |  | xx |  |  |
| **Registration** | xx |  |  |  | xx |  |  | xx |  |  |
| **Community Services** |  |  | xx |  |  | xx |  |  |  |  |
| **Logistics/Transport** |  | xx |  |  |  | xx | xx |  |  |  |
| **Infrastructure** |  | xx |  |  |  | xx |  |  |  |  |
| **Site Planning\*\*** |  |  |  |  |  |  |  | xx |  |  |
| **Shelter** | xx |  |  |  |  | xx |  |  |  |  |
| **Domestic Needs** | xx |  |  |  |  | xx |  |  |  |  |
| **Water** |  | xx |  |  |  |  |  |  |  |  |
| **Sanitation** |  | xx |  |  |  |  |  |  |  |  |
| **Health** |  |  | xx |  |  | xx |  |  |  |  |
| **Food** | xx |  |  |  |  | xx |  |  |  |  |
| **Education** |  |  |  |  |  |  |  |  |  |  |
| **Security** | xx |  |  |  | xx |  |  |  |  |  |
| **Telecommunications** | xx |  |  |  | xx | xx |  | xx |  |  |
| **Operational Support** | xx |  |  |  |  |  |  | xx |  |  |

Use the prepared matrix that follows for your own GAP ID planning for response to your planning scenario. Be sure to include all key organizations involved and establish an appropriate level of detail in the tasks column, so that the activities are not ambiguous.

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **SCENARIO:**  **GAP IDENTIFICATION WORKSHEET FOR CONTINGENCY PLANNING** | | | | | | | | |
| ORGANIZATIONS | | | | | | | | |
| **Expected Activities** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
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## CP Component 5: Quality and Accountability

### Reading 5.1.1 - Assistance by the Numbers: SPHERE

The 2011 edition of the Sphere guide has reduced its focus on quantifiable indicators and numerical measures, in comparison with previous editions. The following chart lists out those quantifiable points that remain in the Sphere Guide. As they are dispersed among the many Indicators, Actions, and Guidance Notes, the following table puts them into one place for easy reference.

|  |  |
| --- | --- |
| **Sector** | **Reference / Source** |
| ***Water*** | **SPHERE (2011 edition)** |
| Quality | * 0 faecal coliforms/100ml at delivery point * 0.5 mg/l residual free Chlorine * turbidity < 5 NTU |
| Quantity | * 15 l/p/d |
| Access | * Less than 500m walk * Queuing time less than 30min. |
| Personal storage | * 2 (10-20 liter) containers/family * Narrow necks and or covers for buckets |
| ***Nutrition*** | **SPHERE (2011)** |
| Energy | * 2,100 kcal/p/d |
| Mix of enrgy sources | * 10% from Protein * 17% from Fat |
| Nutrients | * Adequate micronutrient intake |
| Appropriate | * “Appropriate and acceptable” |
| ***Sanitation*** | **SPHERE (2011)** |
| Quality/type of latrines | * Can be used by all sections of the population..., at all times,...provide a degree of privacy in line with local norms |
| Quantity of latrines | * Max 20 people/unit |
| Access / distance | * Max 50 m distance from dwelling, arranged by households or segregated by sex |
| Soap | * 250g/person/month (bathing soap) * 200g/person/month (laundry soap) |
| ***Shelter*** | **SPHERE (2011)** |
| Shelter space | * 3.5m2 /person |
| Thermal quality | * Provide thermal comfort & ventilation * (variable) |
| Site area (tent camp) | * 45m2 / person |
| Site Slope (tent camp) | * 1% - 5% slope |
| ***Health*** | **SPHERE (2011)** |
| Surveillance | * “Design surveillance systems for detection of outbreaks as a component of the HIS (Health Information System)” |
| Clinics | * 1 clinic (basic health unit)/10,000 p * min. 22 qualified health workers/10,000 p * min. 1 community health worker/1,000 p. |
| Vaccination | * EPI (particularly measles - 95% coverage children 6 months – 15 years) |
| CMR | * Less than 2X “baseline” rate * (Less than 1/10,000/d if unknown) |

The appropriate Standards found in the Sphere guide can be referenced under this heading in the CP outline. If there are specific sections that apply due to the nature of the hazard you are planning for, you may either reproduce key sections or reference them from the 2011 Edition of Sphere. You will additionally need to reference any nationally accepted or mandated standards of response that will need to be followed in your planned-for scenario, for example from the Ministry of Health or other technical offices or agencies in your country or district.

#### 5.2 Principles

The principles of the Red Cross Movement and its member NSs are well known. However, if this plan will be shared beyond the NS itself, it is useful to draft a short statement of these principles for enhanced understanding by readers outside of the NS or the Movement. The following short excerpt is from the Contingency Planning Guide, and should be reviewed prior to drafting a concise statement of the NSs principles to be followed in the response to the anticipated disaster scenario.

### Reading 5.2.1 - Accountability

**There are several quality and accountability initiatives:**

* Humanitarian Accountability Partnership (HAP)
* Code of Conduct
* Sphere
* People in Aid Code
* Quality Compass
* Active Learning Network for Accountability and Performance (ALNAP)
* Emergency Capacity Building Project (ECB) ‘Good enough guide’

Contingency plans need to include a commitment towards a defined and measurable level of competence and delivery. There is a need to understand the effective use of quality and accountability tools. And beneficiary participation is critical in all stages of programming. A lack of time or ignorance of standards is not an excuse for neglecting quality and accountability issues.

Accountability implies that affected populations must be involved in the planning, implementing and evaluating of disaster preparedness, response and recovery efforts. In specific terms, accountability can be achieved through transparency, participation, evaluation and complaints management. Accountability also implies that there are standards to which individual and organisations can be held accountable to.

Broadly, Red Cross Red Crescent organisations can be accountable to (depending on context and legal framework):

* The affected population
* The community more widely
* Government and local authorities
* Governance of the Society including staff and volunteers
* The wider Red Cross Movement
* Donors
* Humanitarian sector

## CP Component 6: Implementing the Plan

This component of the plan is a mix of short term planning items that can be included in the plan itself, and some much longer terms actions that are done as a recommendation of the plan. For the purpose of drafting the CP document, the session that follows will only deal with the drafting of short statements and recommendations for implementation of the plan that can be included in the document itself. The much wider aspect of actually carrying out, monitoring and evaluating these actions is beyond the scope of this drafting exercise.

### 6.1 Approval of the Plan and Dissemination

**Plenary Review of Contingency Planning Outputs**

This session is reserved for the presentation of the working groups’ draft plans and component parts. Use the space below for recording your own thoughts about the various planning presentations and your agreement or reservation with any specific parts presented.

|  |  |  |
| --- | --- | --- |
| **Component or Content of Contingency Plan** | **Points of agreement from your own agency or individual perspective** | **Any problems or reservations from your own agency or individual perspective** |
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### 6.2 Identification of Gaps and Areas that Require Strengthening.

This section describes the general areas where major gaps in the provision of vital humanitarian assistance are expected and any foreseen major obstacles to the provision of humanitarian assistance.

|  |  |
| --- | --- |
| **Expected Humanitarian Assistance Gaps** | **Major Constraints in filling these gaps** |
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### 6.3 Stocks and Logistics

This template is from the Contingency Planning Guide. It is a reference that can be replaced with your own format, if already prepared. If your NS does not have such a record, this format can be used for compiling the information, and as a checklist to see that critical information is recorded.

**Tools:**

**Table for Registry of Internal Capacities and Resources**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Aspect** | **Region/Department 1** | | | | | **Region/Department 2** | | | |  |
| Subsidiary 1 | Sub. 2 | Sub. 3 | **Sub - total** | Sub. 1 | | Sub. 2 | Sub. 3 | **Sub - total** | **TOTAL** |
| **Capability of personnel** |
| Relief Delegates or NITs |  |  |  |  |  | |  |  |  |  |
| Volunteers or personnel with first aid |  |  |  |  |  | |  |  |  |  |
| Volunteers or personnel with S&R |  |  |  |  |  | |  |  |  |  |
| Volunteers or PHC personnel |  |  |  |  |  | |  |  |  |  |
| Doctors |  |  |  |  |  | |  |  |  |  |
| Psychologists |  |  |  |  |  | |  |  |  |  |
| Nurses |  |  |  |  |  | |  |  |  |  |
| Nurses aids |  |  |  |  |  | |  |  |  |  |
| Volunteers with water and sanitation |  |  |  |  |  | |  |  |  |  |
| Volunteers with temporary Shelters |  |  |  |  |  | |  |  |  |  |
| Volunteers or logistic personnel |  |  |  |  |  | |  |  |  |  |
| Administrative Personnel |  |  |  |  |  | |  |  |  |  |
| Man-dog Teams |  |  |  |  |  | |  |  |  |  |
| **Telecommunications** |  |  |  |  |  | |  |  |  |  |
| HF based Equipment |  |  |  |  |  | |  |  |  |  |
| HF mobile Equipment |  |  |  |  |  | |  |  |  |  |
| VHF based Equipment |  |  |  |  |  | |  |  |  |  |
| VHF mobile Equipment VHF |  |  |  |  |  | |  |  |  |  |
| UHF Equipment |  |  |  |  |  | |  |  |  |  |
| Cellular Phones |  |  |  |  |  | |  |  |  |  |
| Satellite Phones |  |  |  |  |  | |  |  |  |  |
| Beepers |  |  |  |  |  | |  |  |  |  |
| Portable computer Equipment |  |  |  |  |  | |  |  |  |  |
| Global Position Satellites |  |  |  |  |  | |  |  |  |  |
| **Equipment and Tools** |  |  |  |  |  | |  |  |  |  |
| Electric Generators |  |  |  |  |  | |  |  |  |  |
| Illumination Equipment |  |  |  |  |  | |  |  |  |  |
| Vertical Rescue Equipment |  |  |  |  |  | |  |  |  |  |
| BREC Rescue Equipment |  |  |  |  |  | |  |  |  |  |
| Hospital type tents and accessories |  |  |  |  |  | |  |  |  |  |
| Shelter tents and accessories |  |  |  |  |  | |  |  |  |  |
| Mountain tents |  |  |  |  |  | |  |  |  |  |
| **Storage** |  |  |  |  |  | |  |  |  |  |
| Storage with capacity for 10 families |  |  |  |  |  | |  |  |  |  |
| Storage with capacity for 100 families |  |  |  |  |  | |  |  |  |  |
| Storage with capacity for 200 families |  |  |  |  |  | |  |  |  |  |
| Storage with capacity for 1000 families |  |  |  |  |  | |  |  |  |  |
| **Vehicles** |  |  |  |  |  | |  |  |  |  |
| Ambulances for basic transport |  |  |  |  |  | |  |  |  |  |
| Ambulances for medical transport |  |  |  |  |  | |  |  |  |  |
| Vehicle for personnel transport |  |  |  |  |  | |  |  |  |  |
| 4 x 4 Trucks |  |  |  |  |  | |  |  |  |  |
| 3.5 Ton Trucks |  |  |  |  |  | |  |  |  |  |
| 4.5 Ton Trucks |  |  |  |  |  | |  |  |  |  |
| Trucks of 10 or more tons |  |  |  |  |  | |  |  |  |  |
| **Health** |  |  |  |  |  | |  |  |  |  |
| MEC |  |  |  |  |  | |  |  |  |  |
| URE health |  |  |  |  |  | |  |  |  |  |
| Units of packed type **O Positive** blood |  |  |  |  |  | |  |  |  |  |
| **Elements for pre-hospital assistance** |  |  |  |  |  | |  |  |  |  |
| Basic First Aid Kits |  |  |  |  |  | |  |  |  |  |
| Advanced P.A. First Aid Kits |  |  |  |  |  | |  |  |  |  |
| Rigid cots |  |  |  |  |  | |  |  |  |  |
| Folding cots |  |  |  |  |  | |  |  |  |  |
| AEDs |  |  |  |  |  | |  |  |  |  |
| Set of immobilizers |  |  |  |  |  | |  |  |  |  |
| Portable oxygen tanks |  |  |  |  |  | |  |  |  |  |
| Orthopedic Neck Braces |  |  |  |  |  | |  |  |  |  |
| **Elements for humanitarian assistance** |  |  |  |  |  | |  |  |  |  |
| Food packages |  |  |  |  |  | |  |  |  |  |
| Cleaning supplies |  |  |  |  |  | |  |  |  |  |
| Cooking equipment |  |  |  |  |  | |  |  |  |  |
| Dish sets |  |  |  |  |  | |  |  |  |  |
| Blankets |  |  |  |  |  | |  |  |  |  |
| Sheets |  |  |  |  |  | |  |  |  |  |
| Mattresses |  |  |  |  |  | |  |  |  |  |
| **Water and Sanitation** |  |  |  |  |  | |  |  |  |  |
| 500 litre Tanks |  |  |  |  |  | |  |  |  |  |
| 1000 litre Tanks |  |  |  |  |  | |  |  |  |  |
| 2500 litre Tanks + accessories |  |  |  |  |  | |  |  |  |  |
| 5000 litre Tanks + accessories |  |  |  |  |  | |  |  |  |  |
| 10000 litre Tanks |  |  |  |  |  | |  |  |  |  |
| Motorized tanks + accessories |  |  |  |  |  | |  |  |  |  |
| Potabilizing pumps + accessories |  |  |  |  |  | |  |  |  |  |
| 5 litre Bidon (Container) |  |  |  |  |  | |  |  |  |  |
| **Elements for welfare of personnel** |  |  |  |  |  | |  |  |  |  |
| Uniforms (overalls, shirt, hat) |  |  |  |  |  | |  |  |  |  |
| Helmets |  |  |  |  |  | |  |  |  |  |
| Safety Glasses |  |  |  |  |  | |  |  |  |  |
| Gas Masks |  |  |  |  |  | |  |  |  |  |
| Work gloves |  |  |  |  |  | |  |  |  |  |
| Boots |  |  |  |  |  | |  |  |  |  |
| Camping rations |  |  |  |  |  | |  |  |  |  |
| Flashlights/batteries |  |  |  |  |  | |  |  |  |  |

### 6.4 Human resources, training, education, simulation and volunteers

In this section a concise listing of Staff, and recent training initiatives that will apply to the expected emergency response for this CP may be included. This information may be summarized here or if in more detail, it may be included as an Annex to the CP.

### 6.5 Trigger Mechanisms

**Planning Early Warning Indicators and Monitoring Arrangements could reasonably include:**

* Early warning indications and likely triggers (what events might warn of or possibly trigger the scenario?)
* Monitoring arrangements (Who are responsible to watch and warn? How is regular monitoring carried out and how is information shared?)

Space for your own notes below:

#### Checklist 6.5.1 – Early Warning Indicators and Monitoring Arrangements

This section describes any appropriate early warning indications and likely specific events that might trigger the emergency scenario. It also describes monitoring arrangements and information sharing guidelines within and beyond the contingency planning group.

|  |  |  |
| --- | --- | --- |
| **Early warning indicator (be as specific as possible to provide an objective, observable indicator)** | **Who monitors?** | **To whom (and when) is information sent?** |
| **1.** |  |  |
| **2.** |  |  |
| **3.** |  |  |

### 6.6 Resource Mobilization

Drafting of this sections should be done by those with specialised knowledge about these systems and protocols. If the right people are in your participant group, assign them to this task and ask them to make a concise presentation for review later in this session.

Space for your own notes below:

### 6.7 Plan Review

This short section is straightforward and should include information on:

* When the plan will be formally reviewed
* The ongoing period of review (i.e. 6 months, or annually)
* Allocation of responsibility for those convening the review
* Methods and responsible persons or offices for rapidly updating resource and contact lists.

This may be assigned to a small working group to propose and draft, but must be presented to the plenary group for approval.

Space for your own notes below:

## CP Component 7: Annexes

These annexes should be composed by those that have access to pertinent information or otherwise have direct insight into the issues concerned. Poll the participant group for those who would like to work on which (if any) of these annexes and set a time for them to present their output to the wider plenary group.

### 7.1 SOPS

The purpose of SOP is to ensure that certain tasks are carried out in a specific way by key people or units. SOPs are a way to ensure that tasks specified in the Contingency Plan are carried out quickly and according to pre-agreed criteria. SOPs constitute the link between these plans and the actual operational response.

SOPs must:

* Be simple and easy to understand (preferably in check list format).
* Be able to stand on their own.
* Clearly indicate how a task is to be done, who is responsible for ensuring that it is done and who actually performs it.
* Be approved and disseminated within the organization, and used in training.

Flow charts can be used to help in visualizing the entire body of response-related SOPs or the specific SOPs relating to a particular sector.

SOPs should, at a minimum, contain the following:

**Title:** showing what the SOP covers. Example: SOP on establishing a logistics chain.

**Date of issue:** (e.g. 1 May 2007)

#### Period of validity: (e.g. 1 May 2007 – 30 April 2009)

#### To be reviewed by: (e.g. 30 April 2008)

#### Purpose of the SOP: *Example: In the event of floods in District XX, establish a logistics chain from international ports of arrival to the main warehouse in YY-town in support of relief, shelter, watsan, health, etc.*

#### Responsible department: *(e.g. Logistics section)*

#### Responsible position: *(e.g. Head of Logistics section)*

#### Process and decision that will trigger the use of the SOP. *Example: The National Society management – the president, secretary general, head of the disaster response department or any combination of these, according to National Society rules – decides on the need to respond to the emergency, initial assessment shows which relief items are needed, etc.*

#### Relations with other entities:

This section must show as necessary:

* Coordination needed/expected – internal to the Movement and with external actors (e.g. government, NGO, UN etc.).
* Links to others (what, how and with whom) that ensures the SOP will work
* Information and media
* Others as appropriate.

#### Safety and security:

If it is known that safety and/or security issues may arise in carrying out the SOP, these issues must be described and measures to ensure optimum safety and security of personnel and equipment detailed.

#### Operational activities/tasks:

Step-by-step description of the activities needed to implement the SOP – who does what, how, and when. Checklists and flow charts can help in this.

#### Training/simulating with the SOP:

*Example: All logistics staff will attend a two hour training session on this SOP. An annual one- day exercise on the SOP will be held in June.*

#### Review of the SOP:

*Example: A review of this SOP will be carried out no later than March each year and after each operation in which the SOP is activated. The head of the logistics section is responsible for organizing this review and ensuring that its findings are incorporated into the SOP.*

Changing circumstances may require modification of the SOP. At a minimum, regular reviews/evaluations must be carried out and the SOP amended accordingly. The frequency with which this should happen is reflected in the section (above) which gives the period of validity of the SOP. In addition to this regular review, an evaluation and if necessary modification of the SOP should take place after each operation in which it is used.

#### Annexes:

Checklists

Contact lists

Resource lists

Forms/templates

Manuals

Other as necessary

### 7.2 Maps, Hazard and Risk Analysis, VCA

Assign this task to however in the group has access to this kind of data. Avoid including too many maps, or those that do not relate specifically to the planning scenario. For the purpose of including these in the document, try to get electronic file that are of sufficient quality to read, but not overly large for file management and sharing. For maps that are more complex, or of much larger file size, include a reference point in the document on whom to contact to get such maps when needed, rather than including the maps in the document itself.

### 7.3 Organizational Structure and Authority Diagram in Disaster

This annex should be composed by those that have access to pertinent information or otherwise have direct insight into the issues concerned. Poll the participant group for those who would like to work on which (if any) of these annexes and set a time for them to present their output to the wider plenary group. Senior management must be consulted and in full agreement with aspect of the plan.

### 7.4 List of Contacts

This information has already been compiled as an activity of session 2.5.5 in this workshop. You may wish to include the full information here and only a synopsis or list of primary contacts in that section. Be sure to include the date of the contact information for this list as many people move, change email addresses, or otherwise change their status over time. On a related note, this particular part of the plan is extremely valuable, but only if accurate. As such, it should be flagged for regular checking and updating.

### 7.5 Relevant Reference Documents (MOUs, etc.)

This handy matrix is from the Contingency Planning Guide.

**Matrix for registry of Agreements with other Institutions**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Geographical Coverage** | **Member  of the Movement** | **Organization** | **Action** | **Principle areas for collaboration** |
| **Local** | Subsidiary xx | Muncipality X | Agreement to provide services | Donation of fuel  Loan of vehicles |
| etc. | etc. | etc. | etc. |
| **National** | Red Cross XX | Civil Defense | Memoradum of Understanding (MoU) | Loan of Volunteers  Logistical Support  Management of Donations, etc. |
| etc. | etc. | etc. | etc. |
| **Regional/Global** | PADRU | OXFAM | Close cooperation and collaboration for the next 5 years. | Water and Sanitation  Response Plans  Training  Donations |
| etc. | etc. | etc. | etc. |

## 8. Working Timeline for Preparedness Action Plan & Next Steps

This session addresses the “next steps” that need to be accomplished in order to continue, complete, or update and revise your own contingency planning process. It will also provide guidance for setting a "maintenance schedule" for the contingency planning process and updating of the finished plan that all agencies and organizations present can agree on.

**What activities or follow-up should now be scheduled to complete or continue your contingency planning process? Please answer this question individually**

|  |
| --- |
| 1. |
| 2. |
| 3. |
| 4. |
| 5. |

Use the calendar below to come to a consensus on setting dates for follow-up meetings, contacts or specific planning activities.

**20XX Planning Calendar**

**(UPDATE AS REQUIRED)**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **APRIL** | | | | | | | |  | **MAY** | | | | | | | | | | | | |  | **JUNE** | | | | | | | | | | | |
| S | M | T | | W | T | F | S |  | S | | M | | T | | W | | T | | F | | S |  | S | | M | | T | | W | | T | | F | S |
|  |  |  | |  | 1 | 2 | 3 |  |  | |  | |  | |  | |  | |  | | 1 |  |  | |  | | 1 | | 2 | | 3 | | 4 | 5 |
| 4 | 5 | 6 | | 7 | 8 | 9 | 10 |  | 2 | | 3 | | 4 | | 5 | | 6 | | 7 | | 8 |  | 6 | | 7 | | 8 | | 9 | | 10 | | 11 | 12 |
| 11 | 12 | 13 | | 14 | 15 | 16 | 17 |  | 9 | | 10 | | 11 | | 12 | | 13 | | 14 | | 15 |  | 13 | | 14 | | 15 | | 16 | | 17 | | 18 | 19 |
| 18 | 19 | 20 | | 21 | 22 | 23 | 24 |  | 16 | | 17 | | 18 | | 19 | | 20 | | 21 | | 22 |  | 20 | | 21 | | 22 | | 23 | | 24 | | 25 | 26 |
| 25 | 26 | 27 | | 28 | 29 | 30 |  |  | 23 30 | | 24 31 | | 25 | | 26 | | 27 | | 28 | | 29 |  | 27 | | 28 | | 29 | | 30 | |  | |  |  |
|  |  |  |  | |  |  |  |  |  |  | |  | |  | |  | |  | |  | |  |  |  | |  | |  | |  | |  | |  |
| **JULY** | | | | | | | |  | **AUGUST** | | | | | | | | | | | | |  | **SEPTEMBER** | | | | | | | | | | | |
| S | M | T | | W | T | F | S |  | S | | M | | T | | W | | T | | F | | S |  | S | | M | | T | | W | | T | | F | S |
|  |  |  | |  | 1 | 2 | 3 |  | 1 | | 2 | | 3 | | 4 | | 5 | | 6 | | 7 |  |  | |  | |  | | 1 | | 2 | | 3 | 4 |
| 4 | 5 | 6 | | 7 | 8 | 9 | 10 |  | 8 | | 9 | | 10 | | 11 | | 12 | | 13 | | 14 |  | 5 | | 6 | | 7 | | 8 | | 9 | | 10 | 11 |
| 11 | 12 | 13 | | 14 | 15 | 16 | 17 |  | 15 | | 16 | | 17 | | 18 | | 19 | | 20 | | 21 |  | 12 | | 13 | | 14 | | 15 | | 16 | | 17 | 18 |
| 18 | 19 | 20 | | 21 | 22 | 23 | 24 |  | 22 | | 23 | | 24 | | 25 | | 26 | | 27 | | 28 |  | 19 | | 20 | | 21 | | 22 | | 23 | | 24 | 25 |
| 25 | 26 | 27 | | 28 | 29 | 30 | 31 |  | 29 | | 30 | | 31 | |  | |  | |  | |  |  | 26 | | 27 | | 28 | | 29 | | 30 | |  |  |
|  |  |  | |  |  |  |  |  |  |  | |  | |  | |  | |  | |  | |  |  |  | |  | |  | |  | |  | |  |
| **OCTOBER** | | | | | | | |  | **NOVEMBER** | | | | | | | | | | | | |  | **DECEMBER** | | | | | | | | | | | |
| S | M | T | | W | T | F | S |  | S | | M | | T | | W | | T | | F | | S |  | S | | M | | T | | W | | T | | F | S |
|  |  |  | |  |  | 1 | 2 |  |  | | 1 | | 2 | | 3 | | 4 | | 5 | | 6 |  |  | |  | |  | | 1 | | 2 | | 3 | 4 |
| 3 | 4 | 5 | | 6 | 7 | 8 | 9 |  | 7 | | 8 | | 9 | | 10 | | 11 | | 12 | | 13 |  | 5 | | 6 | | 7 | | 8 | | 9 | | 10 | 11 |
| 10 | 11 | 12 | | 13 | 14 | 15 | 16 |  | 14 | | 16 | | 16 | | 17 | | 18 | | 19 | | 20 |  | 12 | | 13 | | 14 | | 15 | | 16 | | 17 | 18 |
| 17 | 18 | 19 | | 20 | 21 | 22 | 23 |  | 21 | | 22 | | 23 | | 24 | | 25 | | 26 | | 27 |  | 19 | | 20 | | 21 | | 22 | | 23 | | 24 | 25 |
| 24 31 | 25 | 26 | | 27 | 28 | 29 | 30 |  | 28 | | 29 | | 30 | |  | |  | |  | |  |  | 26 | | 27 | | 28 | | 29 | | 30 | | 31 |  |

**Notes:**

## 9. Workshop Evaluation Form

### Workshop Evaluation Form

**Contingency Planning Working Group Workshop**

(Insert Date, Location here)

**Workshop Evaluation Form**

Surname: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ First Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Male/Female (circle one) Functional Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Duty Station or Office Location: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Organization: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Workshop dates: XXXXXX

Venue: XXXXXXXXXXXX

**(the following is to be filled out at the end of the workshop)**

PLEASE CIRCLE TO WHAT EXTENT YOU AGREE OR DISAGREE   
WITH THE FOLLOWING STATEMENTS:

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Strongly Agree** | **Agree** | **Neither Agree nor Disagree** | **Disagree** | **Strongly Disagree** |
| 1. Subject matter was adequately covered by the Contingency Planning Guide and the reading materials in this workshop guide. | 5 | 4 | 3 | 2 | 1 |
| 1. Workshop was suitable for my background and experience | 5 | 4 | 3 | 2 | 1 |
| 1. Workshop was well-paced | 5 | 4 | 3 | 2 | 1 |
| 1. The draft CP is of good quality. | 5 | 4 | 3 | 2 | 1 |
| 1. The Draft CP produced represents the consensus of this working group | 5 | 4 | 3 | 2 | 1 |
| 1. Workshop participants were encouraged to take an active part. | 5 | 4 | 3 | 2 | 1 |
| 7. I am confident that this plan will lead to a better humanitarian response if the planned-for scenario does occur. | 5 | 4 | 3 | 2 | 1 |

8. Was the workshop length: Correct? Too short? Too long ?

9. Were there: Just enough participants? Too few? Too many ?

10. Which areas, if any, received too much or too little time?

|  |
| --- |
|  |
|  |
|  |
|  |
|  |

11. Do you have any suggestions that you feel could improve this workshop or the CP draft that was produced?

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| --- |
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|  |

12. Any other comments?

|  |
| --- |
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|  |
|  |

13. What is your overall rating of this workshop?

Excellent Very good Good Fair Poor

14. What is your overall rating of the contingency planning process that was used?

Excellent Very good Good Fair Poor

1. What is your overall rating of the contingency planning document that has been produced?

Excellent Very good Good Fair Poor

**Please return this form to the e-Centre Workshop Coordinator at the end of the workshop.**