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Preparedness for Emergency Response in UNICEF

Guidance Note 2016



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PREFACE

Every year, increasing numbers of people need humanitarian assistance after disasters, natural or man-made. Providing timely, effective assistance to them is a major challenge for governments and the humanitarian organizations who support them, including UNICEF.

Experience shows that we can deliver life-saving assistance more quickly and cost-effectively if we are better prepared in advance. By investing time and resources now, we can develop the mechanisms and systems needed to respond when crises hit. Our research with WFP and DFID indicates that on average every \$1 spent on preparing is worth more than \$2 in the emergency response, and that preparedness saves responders over a week of operational time – doubling the impact of donors’ and taxpayers’ contributions.

Moreover, emergency preparedness enables a humanitarian response that places people affected by the emergency at the centre of the response. It is essential to designing appropriate cash interventions that take multiple needs into account and thus deliver more effective assistance to affected populations.

This Guidance Note, and the associated Procedure on Preparedness for Emergency Response, explain how, together with our partners, we can prepare ourselves better. The guidance describes the preparedness planning process and actions all UNICEF offices should undertake, starting from a ten-point checklist of Minimum Preparedness Actions and Standards. Preparedness is most effective when the broader humanitarian community and national actors plan and work together. This guidance therefore puts UNICEF’s efforts within the bigger picture of interagency preparedness and explains how we complement our partners’ work in preparedness and response.

This Guidance Note is a living document which will be improved by our experience and learning. I encourage you to share your feedback and lessons learned by writing to preparedness@unicef.org.

Preparedness is a collective responsibility we all share, not only those of us in countries at high risk of humanitarian crisis. Offices and departments from Headquarters, Regional Offices, Country and Field Offices, in all regions and at all risk levels, have collaborated in developing these resources. This guidance is all the better for reflecting the breadth and variety of their input, and I gratefully acknowledge their contributions.

Afshan Khan
Director, Office of Emergency Programmes, UNICEF

LIST OF ACRONYMS

AMP	Annual Management Plan
AoR	Area of Responsibility (within the IASC Cluster System)
APA	Advanced Preparedness Actions (within the IASC framework)
AWP	Annual Work Plan
BCP	Business Continuity Plan
CCA	Common Country Assessment (UN)
CCCs	Core Commitments for Children in Humanitarian Action, UNICEF
CEAP	Corporate Emergency Activation Procedure
CFP	Inter-Agency Common Framework for Preparedness
CLA	Cluster Lead Agency
CMT	Country Management Team
CO	Country Office (referring to UNICEF Country Office)
CPAP	Country Programme Action Plan
CPD	Country Programme Document
CPMP	Country Programme Management Plan
CSO	Civil Society Organisations
DHR	Division of Human Resources (UNICEF)
DFAM	Division of Finance and Administration (UNICEF)
DPR	Division of Policy and Research (UNICEF)
DRR	Disaster Risk Reduction
ECD	Early Childhood Development
EMOPS	Office of Emergency Programmes (UNICEF)
EMT	Emergency Management Team
EPP	Emergency Preparedness Platform
EPF	Emergency Programme Fund
ERM	Enterprise Risk Management
ERP	Emergency Response Preparedness
ERT	Emergency Response Team
EWEA	Early Warning Early Action
GFDRR	Global Facility for Disaster Reduction and Recovery
HAC	Humanitarian Action for Children
HC/RC	Humanitarian Coordinator / Resident Coordinator
HCT	Humanitarian Country Team
HPM	Humanitarian Performance Monitoring
HQ	Headquarters (referring to UNICEF HQ in New York or Geneva)
HR	Human Resources
IA	Inter-Agency
IASC	Inter-Agency Standing Committee
L2/L3	Level 2/Level 3 Emergency Response

LTA	Long-Term Agreement
MIRA	Multi-Cluster/Sector Initial Rapid Assessment
MPA	Minimum Preparedness Actions
MPS	Minimum Preparedness Standards
MTR	Mid-Term Review
NatComs	National Committees
NGO	Non-Governmental Organisations
OMP	Office Management Plan
OR	Other Resources (UNICEF)
ORMS	Organizational Resilience Management System
PCA	Programme Cooperation Agreement
PCA	Programme Criticality Assessment
PDNA	Post Disaster Needs Assessment
PFF	Private Fundraising and Partnerships Division (UNICEF)
PSN	Programme Strategy Notes
REA	Regional Emergency Adviser
RIP	Risk-Informed Programming
RO	Regional Office (UNICEF)
RPBA	Recovery and Peacebuilding Assessment
RR	Regular Resources (UNICEF)
RRM	Rapid Response Mechanism
RWP	Rolling Work Plan
SD	Supply Division (UNICEF)
SDGs	Sustainable Development Goals
SitAn	Situation Analysis
SOPs	Standard Operating Procedures
SSOPs	Simplified Standard Operating Procedures
ToR	Terms of Reference
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNISDR	United Nations Office for Disaster Risk Reduction
WASH	Water, Sanitation and Hygiene
WB	World Bank
WFP	World Food Programme
WHS	World Humanitarian Summit
WP	Work Plan



1. INTRODUCTION

The caseload of people in need of humanitarian assistance is expected to continue to grow in the coming decades. Conventional drivers of humanitarian crisis like fragility, violent conflict and natural hazards are interacting with new ones like migration, unplanned urbanisation and climate change - which will itself increase the frequency and magnitude of extreme climate events like floods and droughts. Over the past 20 years, typhoons, floods, droughts, earthquakes and other natural hazards have claimed 1.35 million lives and affected on average 218 million people per year.¹ In 2015, nearly 250 million children worldwide were affected by armed conflict and 35% of UNICEF's total expenditure went to emergencies.² Over the last five years, UNICEF has spent \$5.7 billion on responding to humanitarian crises; its annual humanitarian expenditure increased by nearly 70% between 2011 and 2015.³

As emergencies become more frequent, and resources invested in humanitarian action grow, **the expectations of UNICEF to deliver on the Core Commitments for Children in Humanitarian Action (CCCs) in a timely and effective manner will increase. Emergency preparedness significantly enhances UNICEF's ability to meet these expectations and also save time and resources in the response.** On average, each dollar invested in preparedness in high risk contexts saves two dollars in the response, and preparedness interventions accelerate response activities by more than one week.⁴

Preparedness therefore needs to be mainstreamed into UNICEF strategy and programming, as recommended in [the 2013 Evaluation of UNICEF's Emergency Preparedness Systems](#).

Mainstreaming preparedness harmonises with the **international community's increasing focus on resilience and linking humanitarian and development programming.** The Sendai Framework for Disaster Risk Reduction, the 2030 Agenda for Sustainable Development, the outcomes of the World Humanitarian Summit and the Paris Agreement on Climate Change all emphasise the need to shift from reactive crisis management to effectively managing prevention and early action. [The UNICEF Strategic Plan 2014-2017](#) calls for "more explicit integration of humanitarian and development programming to promote resilience." As UNICEF Executive Director Anthony Lake has said, "We cannot reach the Sustainable Development Goals without reaching the millions of children living in the midst of humanitarian emergencies."⁵ Moreover, preparedness is essential to achieve many of the commitments in the [Grand Bargain](#) agreed at the World Humanitarian Summit in 2016.

Scope and audience

This Guidance Note is intended to help UNICEF Offices implement the [UNICEF Procedure on Preparedness for Emergency Response](#). The Procedure and this Note apply to all Offices (Field, Country, Regional and Headquarters), including those currently facing L2/L3 emergencies; to risks of all types of humanitarian crisis, including slow and sudden onset, recurrent, protracted or acute; and to risks related to both man-made and natural hazards, including epidemics.

1. UNDP, WB/GFDRR, Oxfam, UNICEF, "Disaster risk reduction makes development sustainable – a Call for Action", Sept. 2014

2. UNICEF Annual Report, 2015

3. UNICEF Annual Reports

4. UNICEF/WFP Return on Investment for Emergency Preparedness Study, December 2014

5. Statement to the UNICEF Executive Board, 8 September 2015

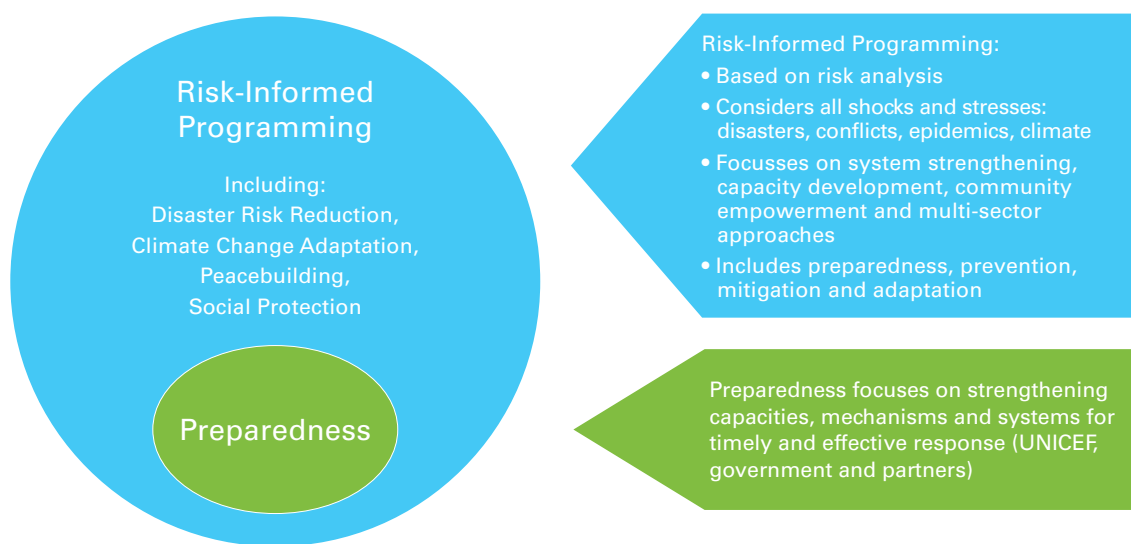
2. EMERGENCY PREPAREDNESS AND RISK-INFORMED PROGRAMMING

Emergency preparedness consists of the mechanisms and systems put in place in advance to enable an effective and timely emergency response to humanitarian crisis, based on analysis of the risks in a particular context, taking into account national and regional capacities and UNICEF's comparative advantage.

Risk-Informed Programming (RIP) is an approach to programming that aims to reduce the risk of shocks and stresses on children's well-being, their communities and systems, contributing to resilient development. Informed by a robust risk analysis, Risk-Informed Programming addresses the causes and drivers of risk such as vulnerabilities, low coping capacities and exposure of children, their families, communities and systems.

FIGURE 1

Risk-Informed Programming for resilient development



Throughout the (Risk-Informed) country Programme Cycle, Country Offices (COs):

- adopt **longer term, “development” approaches** to: (a) address children's vulnerabilities, reduce children's exposure to hazards and strengthen systems and infrastructure (mitigation and prevention); and (b) build national response capacities (preparedness);⁶ and
- define **short-term activities (through annual emergency preparedness planning)** to get ready to support authorities and civil society in responding to a crisis.

Annex 1 (Emergency Preparedness within the Programme Cycle) shows how these longer- and short-term approaches fit together. Annex 2 (the fictional case of Nopola) illustrates how this works at CO level.⁷

6. Reflected in the country's Programme Strategy Notes, Programme Document and Programme Management Plan.

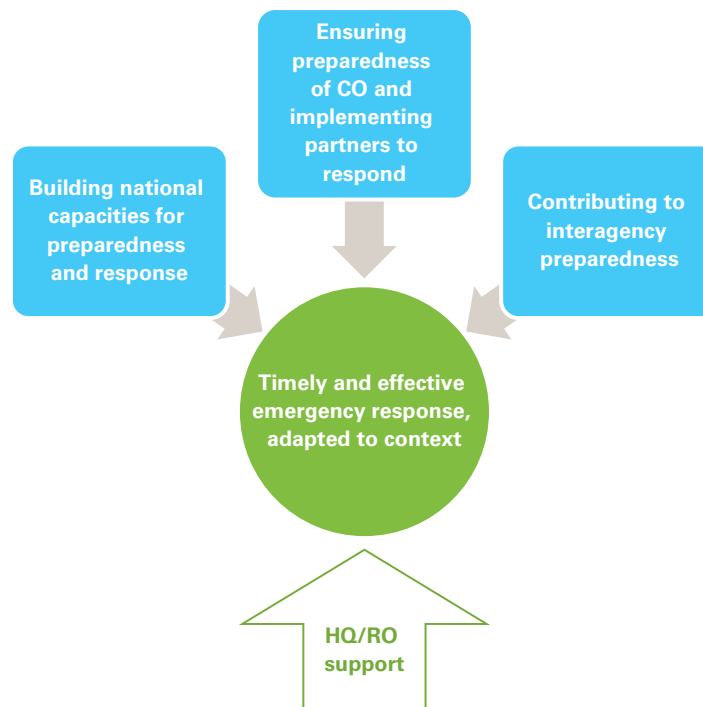
7. See also UNICEF's [Linking Development and Humanitarian Programming](#), showing the benefits from introducing longer-term capacity-building into humanitarian response and elements of emergency preparedness into development programmes

3. ADAPTING PREPAREDNESS TO CONTEXT

Figure 2 shows the main elements of CO preparedness. The appropriate combination will vary according to context.

FIGURE 2

Elements of Country Office preparedness: adapting to context



UNICEF Offices adapt preparedness to fit their context in the following ways:

- Country programme planning is based on the UN Common Country Assessment (CCA), other inter-agency assessments such as [Post Disaster Needs Assessments](#) (PDNA) or Recovery and Peacebuilding Assessments (RPBA), and the UNICEF Situation Analysis (SitAn), which includes the analysis of risks and capacities in the country.
- UNICEF's annual emergency preparedness planning (Section 5 below) involves the review of the risk analysis, the description of possible scenarios, including expected humanitarian needs and capacities, and UNICEF's anticipated response – all of which depend on the country context.
- The Minimum Preparedness Standards (Section 4 below) are not context-specific, and the requirements to meet them depend on the context and the role that UNICEF plays in an emergency.

Example: A supply and logistics plan in Brazil will be very different from a supply and logistics plan in South Sudan; yet, if built through the four step process, both plans meet the Minimum Preparedness Standards.

The main attributes of the context that influence UNICEF's preparedness approach in a country are:

- political, social and economic factors;
- government capacity, commitment and plans (national and subnational);
- agreements with governments and national partners on respective roles and responsibilities for response;
- presence and capacities of IASC partners, UNICEF's implementing partners and other humanitarian actors; and
- UNICEF CO capacity and programme strategies.

4. MINIMUM PREPAREDNESS ACTIONS AND MINIMUM PREPAREDNESS STANDARDS

UNICEF sets Minimum Preparedness Actions (MPA) and Minimum Preparedness Standards (MPS) for Country Offices, Regional Offices (ROs) and Headquarters (HQ) (Annex 3). These are mandatory Actions and Standards, designed to increase UNICEF's preparedness for emergency response. The level of preparedness of all offices is measured against these standards.

The Standards and Actions apply to all COs - both low risk and medium/high risk countries.⁸ However, the quality checklist (what COs must do to close the gap between their current preparedness levels and the Minimum Preparedness Standards) includes some simplifications for low risk countries. COs in low risk countries also have the option to do only Step 1 and Step 4 of the preparedness planning process (Section 5 below).

The Standards represent the minimum. Offices are expected to undertake preparedness activities beyond this minimum to further enhance their readiness to respond, especially in high risk countries.



8. HQ and ROs classify countries as low or medium/high risk by adapting the INFORM risk rankings (Annex 4).

5. UNICEF EMERGENCY PREPAREDNESS PLANNING PROCESS

Long-term approach to emergency preparedness

Every five years, all COs carry out a risk analysis as part of the Situation Analysis (SitAn), using the [Risk-Informed Programming Guidance module 2](#).⁹ In contexts with risk of violent conflict, the [UNICEF Guide to Conflict Analysis](#) and [UNICEF Guidance on Peacebuilding Programming](#) should also be used. Other tools, when available, should be used where specific risk typologies require it (e.g. detailed climate risk assessment tools).

As part of the risk analysis, COs analyse not only children and women’s vulnerability and exposure to hazards, but also the capacities of government, humanitarian actors, national partners and communities. This capacity analysis helps define the “residual risk”¹⁰ which countries face and to which UNICEF must be prepared to respond.

Based on the risk analysis COs develop/adjust their programmes to address the drivers of risk, among them the gaps in national humanitarian response capacities.

Example: A CO might identify and address through its Programme Strategy Notes (PSN) and Country Programme Document (CPD) the need to develop the health system’s capacity to provide child-centered humanitarian assistance in remote areas of the country, to strengthen national protection systems’ ability to provide cash to families in an emergency, and to build national and local authorities’ coordination capacity in the sectors globally led by UNICEF.

Effective long-term preparedness efforts, and actions that increase the resilience of children and their families, reduce (or otherwise alter) the need for UNICEF support in an emergency.

Short-term approach to emergency preparedness

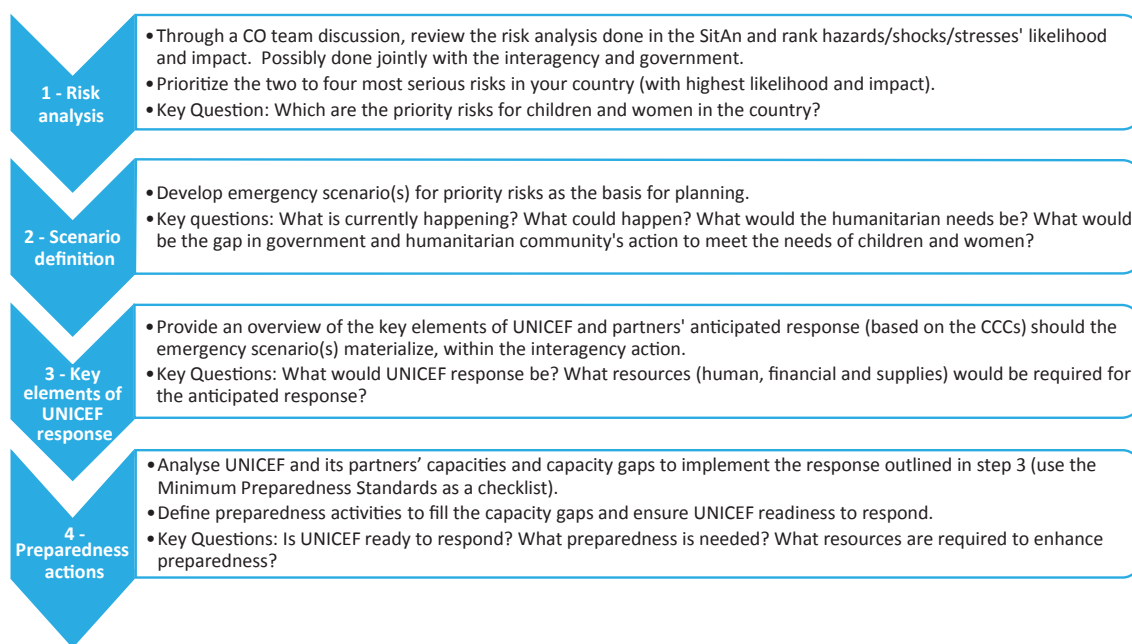
UNICEF Offices follow a four-step annual emergency preparedness planning process to prepare to respond to the priority risks in their context (“multi-risk” planning). The timing of the process is aligned with the development of the Country Office’s Work Plan (or, in the case of rolling and multi-year country Work Plans, with scheduled reviews of the Work Plan). This alignment ensures that country Work Plans and Annual Management Plans include preparedness activities and resources. Each programme and operational section includes preparedness in its plans. Annex 2 (the fictitious country example of Nopola) illustrates how the planning process works.

9. Under development. Contact Antony Spalton (aspalton@unicef.org) at HATIS-NYHQ for additional information.

10. Residual risk is the risk that remains in unmanaged form, even when effective risk prevention and reduction measures are in place, and for which emergency response and recovery capacities must be maintained.

FIGURE 3

Four-step annual emergency planning process

**Step 1: Risk analysis**

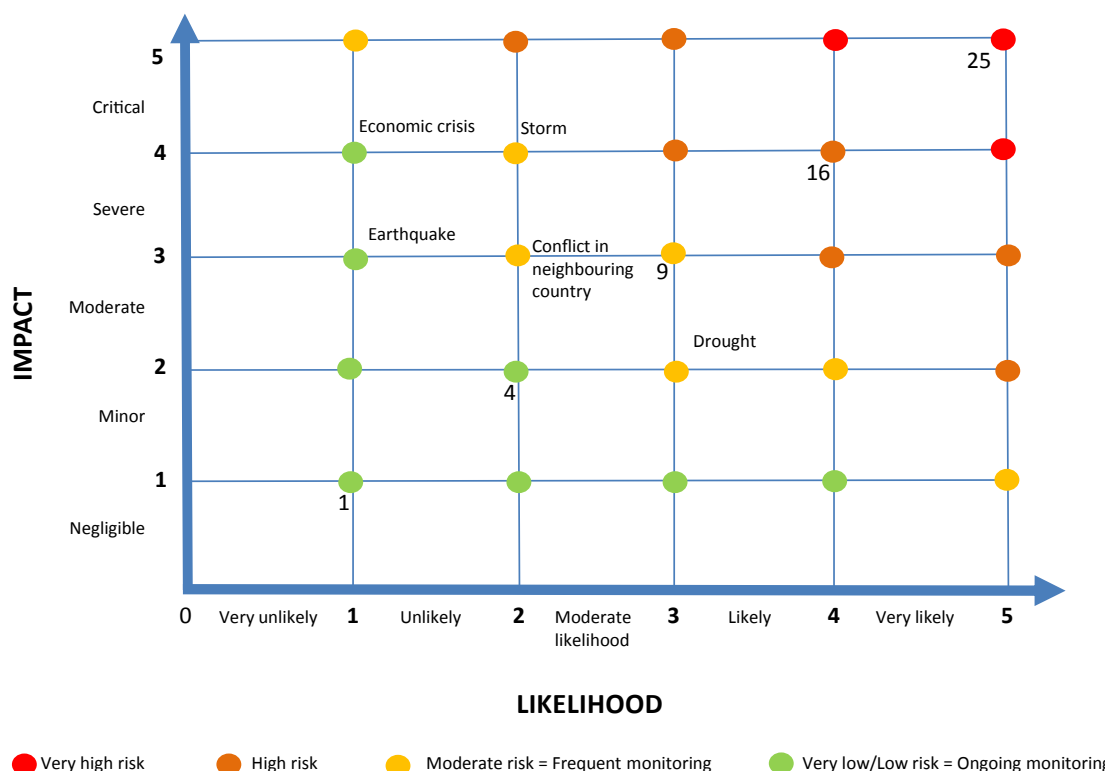
Every year the CO, through a team discussion, conducts a light review of the risks identified in the SitAn. The CO then ranks the risks associated with different hazards (shocks or stresses)¹¹ using the Interagency Impact and Likelihood Scale and Risk Graph (Annex 5), to produce a country risk profile; and identifies the priority risks (typically two to four) for which scenarios and UNICEF responses are to be defined.

Tip: For the risk analysis and the scenario definition (step 2), COs may find it useful to review previous crises in the country; the INFORM risk rankings (with the caveat that INFORM is neither hazard-specific nor dynamic); and risk analyses and scenario definitions done as part of government and/or interagency preparedness or by other COs.

11. A shock is a sudden and potentially damaging hazard or other phenomenon. A stress is similar to a shock but chronic in nature and can occur over a longer period of time.

FIGURE 4

Example of country risk profile



Risk monitoring

Every six months the CO monitors the risks (more often in volatile country contexts) to assess whether the likelihood or potential impact of a particular risk is increasing, or if a new risk has emerged.¹² If the CO determines that the priority risks have changed, it updates steps 2, 3 and 4.

Monitoring is a light process using external information sources and collaborating with interagency partners and government as feasible. Timing is aligned with the CO Work Plan review schedule.

Tip: COs are encouraged to work with interagency partners to define who is responsible for monitoring different risks - based on each agency's area of expertise - and how often.

Headquarters and Regional Offices systematically monitor risks, thereby complementing COs' monitoring and contributing to global interagency risk monitoring (see Annex 4). As risks increase, COs and ROs/HQ should communicate more frequently.

12. COs, ROs and HQ should consult the indicators for risk monitoring in the [IASC ERP](#)

Step 2: Scenario definition

For each priority risk, COs identify its likely humanitarian implications: the scale of the emergency; geographic area affected; priority needs for women and children; damage to infrastructure; and the capacities and constraints of the government and major actors (including development and private sector partners) to respond.

For both steps 2 and 3, COs can build one single scenario and response plan for all priority risks if the main humanitarian implications and the key elements of UNICEF's response do not change significantly across different risks. (See Annex 2 on Nopola.)

Example: Imagine that a country risk profile shows that the three priority risks are associated with tropical cyclones, droughts and conflicts in the neighbouring country. The CO might decide to develop only one scenario for all three priority risks, since the impact on children and the gaps in national capacities to meet humanitarian needs are similar: reduced access to basic services, increased risk of diseases, increased acute malnutrition, interruption of classes, displacement, increase in child rights violations and psychosocial impact on children; and both the government and local NGOs have limited capacity to respond to the humanitarian needs of the affected population.

Step 3: Key elements of UNICEF response

COs outline their intended strategy and plans to support the national humanitarian response, in line with the CCCs.

The key elements of the anticipated UNICEF response, which inform the Preparedness Actions, are linked to the CCCs and include:¹³

- the CO's overall strategy considerations and expected child-centered results;
- two or three priority indicators for high frequency monitoring per sector;
- type of response and implementation modalities (technical assistance, coordination and advocacy; implementation through government; implementation through civil society; direct implementation);
- feasibility of "cash-based"¹⁴ and/or "in-kind" implementation strategies and agreement with government and interagency partners;
- coordination (including cluster coordination accountabilities); sectoral and inter-sectoral approaches;
- strategies to overcome operational challenges including security and Business Continuity Management; and
- indicative resource requirements (funding, staff, supplies).

Step 4: Preparedness actions

COs analyse the gaps in their capacities, procedures and coordination systems to deliver the response outlined in Step 3, including what support from RO (e.g. supplies, surge) would be needed; and develop Preparedness Actions to get ready to respond, starting from the Minimum Preparedness Standards.

The Preparedness Actions, as well as activities included in the CPD as part of the long-term approach to preparedness, feed into the CO Work Plans and Annual Management Plan (AMP).

13. Additional details will be fleshed out in Contingency Plans and/or eventual Response Plans.

14. Cash based implementation strategies include cash or vouchers directly provided to beneficiaries.

Contingency planning

HQ and ROs set a global threshold for risks (defined as a number on the Interagency Risk Graph: Figure 5). If a risk associated with a specific hazard or a combination of hazards (e.g. conflict in an area affected by drought) exceeds this global threshold, the CO develops a (risk-specific) contingency plan. Preparedness activities thus identified are added to the annual Preparedness Actions.

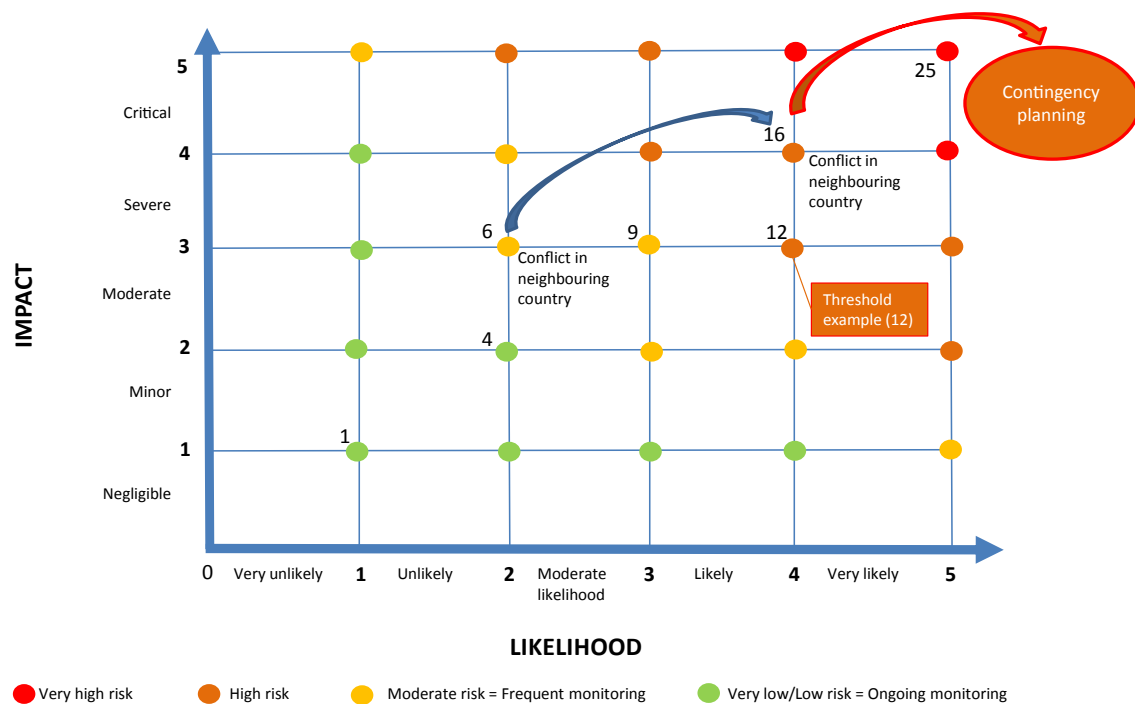
Contingency planning follows the same steps as the preparedness planning, without the risk analysis, since the risk analysis has already been done and triggered the contingency planning. It is more specific than a multi-risk preparedness plan. Annex 6 describes the elements of a good contingency plan and the steps in the process.

Example: Imagine a country at risk of political instability, drought and conflicts in neighbouring countries that could cause an influx of refugees. The CO develops a **multi-risk preparedness plan** to address the possible consequences of all these crises, without specific details on the population affected, the likely timing of the crisis or UNICEF’s exact response.

If, however, the risk of conflict in a neighbouring country escalates above the global threshold (Figure 5), then the CO develops a **(risk-specific) contingency plan** closely tailored to the specific potential event. In this example the contingency plan includes preparedness actions to be ready to provide humanitarian aid through four INGOs, focusing initially on nutrition, WASH, education and protection (as agreed through interagency coordination), to 100,000 people expected to cross the north east border during June, resettling in four refugee camps whose location has been agreed by the government.

FIGURE 5

Threshold for contingency planning



Just as with multi-risk preparedness planning, the CO uses the Minimum Preparedness Standards to identify its gaps in achieving minimum readiness to face the specific event. At the same time, the CO implements preparedness actions beyond the minimum (Annex 3), tailored to the humanitarian response that the CO envisions. If a CO has already progressed well with its multi-risk preparedness, the contingency planning will likely consist only of a few additional and more focused preparedness activities for the CO. At time of WP and AMP review, the CO includes the extra preparedness activities.

If interagency planning is underway, the CO is involved and provides leadership in the sectors/clusters and AoR globally led by UNICEF: Education, Nutrition, WASH and Child Protection. **It should complement the interagency planning with internal planning elements as necessary** and proactively engage in discussion and decision-making, representing both UNICEF's interest and the interest of sectors/clusters and AoR globally led by UNICEF. In countries where the anticipated security risk level is high, UNICEF should advocate for and engage in the Programme Criticality Assessment with the UN Country Team (see [UNICEF Intranet Programme Criticality page](#)).

Planning in Regional Offices and at Headquarters

ROs and HQ follow the same planning process as COs, except that they do not develop regional or global scenarios (Step 2) and in Step 3 they define strategy and plans to support Country Offices in a crisis.

In case of multi-country risks, the RO supports COs in producing preparedness plans or contingency plans based on a common analysis of the risk, scenario and anticipated response. In case of multi-country risks exceeding the global threshold, ROs have the option to produce a single, multi-country contingency plan in addition to the affected COs' contingency plans.

Linkages to other risk management processes

Updated country risk profiles are also used to inform the broader Annual Risk Assessment (ARA) documented in the corporate risk register, and are reflected in the Business Continuity Plan and the Security Risk Management document as applicable, enhancing harmonization with [Enterprise Risk Management](#) (ERM) and [Organisational Resilience Management System](#) (ORMS).^{15,16}

Coordination: interagency, government and other partners

UNICEF provides leadership in enhancing preparedness and humanitarian coordination at national, regional and global level in the sectors/clusters and areas of responsibility (AoR) globally led by UNICEF: Education, Nutrition, WASH and Child Protection. COs should:

- represent both UNICEF's interest and the interest of sectors/clusters and AoR globally led by UNICEF;
- advocate with interagency partners for the adoption of the [IASC ERP](#) approach and support its implementation (see Section 8);
- align UNICEF risk analysis and preparedness planning with interagency and government partners; and
- advocate for and provide technical support to include cross-cutting issues (age, disability, gender, HIV and mental health) in sectoral and intersectoral preparedness plans.

15. Business Continuity Management and Security Risk Management are foundational components of the Organisational Resilience Management System, UNICEF's framework for organizational emergency management focused on harmonizing efforts to ensure continuous delivery of its mandate in case of disruptive events.

16. To be harmonized, each management process takes into account the risks, mitigation and response actions identified in the other processes.

6. EMERGENCY PREPAREDNESS PLATFORM

The UNICEF Emergency Preparedness Platform (EPP) is a tool (under development)¹⁷ to implement the UNICEF Procedure on Preparedness for Emergency Response, which COs, ROs and HQ use in planning effective short-term preparedness activities and monitoring their preparedness levels. COs, ROs and HQ use the platform:

- at time of country's Annual Work Plan (or, in the case of rolling and multi-year country Work Plans, at scheduled reviews of the Work Plan) to go through the four-step annual emergency preparedness planning process and identify their annual Preparedness Actions;
- at moments of Work Plan review (at least every six months) to monitor risks and, if priority risks have changed, to update steps 2, 3 and 4 of the preparedness planning process; and
- whenever there is a substantial change of country risk profile.

Tip: The role of field or subnational offices in using the EPP. COs choose either (a) or (b):

- a. Field offices work through the platform independently and then review their preparedness measures with the CO. This would work best in contexts where there are several large field offices, or multi-Country Offices, with enough capacity and expertise to use the platform; and where differing risks across a wide geographical area make this approach worthwhile; or
- b. The CO engages field offices offline and reflects their contributions in a single CO interface with the platform. This would work best in COs with smaller field offices.

7. MONITORING AND EVALUATION

Short-term preparedness is measured by monitoring **fulfilment of the Minimum Preparedness Standards based on (i) self-assessment, (ii) uploading of preparedness products in the EPP, and (iii) quality control of preparedness products by CO management and by RO when possible.** The fulfilment of the Minimum Preparedness Standards measures UNICEF preparedness within the context. Offices review fulfilment of the Minimum Preparedness Standards every year.

Longer term actions and results in building national preparedness capacities are monitored through the systems the CO has in place to monitor progress in the implementation of the CPD/CPAP.

Evaluations of emergency response offer post-facto assessments of preparedness levels that were in place before the crisis. Evaluations should analyse how preparedness affected the timeliness and effectiveness of UNICEF's response. In particular, evaluations should analyse if the risk analysis characterized the crisis correctly; the links between the CO preparedness level and the time taken to mobilize an adequate level of resources for response (human, supplies, logistic and financial) and partnerships; the effectiveness of UNICEF processes, management mechanisms and administrative arrangements; the readiness of UNICEF staff; the effectiveness of coordination mechanisms with interagency partners and government; the level of community mobilization; and the rapidity in activating mechanisms to implement cash-based interventions (as applicable) and enhance accountability to affected populations. Evaluations should also assess the effectiveness of the support that the RO and HQ provided to the CO. Evaluations also offer the opportunity to capture good practices and lessons learned valuable to the organization.

17. See the UNICEF Procedure on Preparedness for Emergency Response for transitional measures: how COs should use the current Early Warning Early Action platform until the EPP is up and running.

8. ALIGNMENT WITH INTER-AGENCY STANDING COMMITTEE (IASC) PARTNERS

The UNICEF preparedness approach outlined in this document and in the UNICEF Procedure for Preparedness for Emergency Response is aligned with the [IASC Common Framework for Preparedness \(CFP\)](#) and the [IASC Emergency Response Preparedness \(ERP\)](#). By following this guidance note, UNICEF COs will be better equipped to engage in interagency preparedness processes.

The [IASC Common Framework for Preparedness \(CFP\)](#) is a systematic approach whereby humanitarian and development actors combine their efforts at country level to support the development of national and local capacities for preparedness to anticipate, respond to and recover from emergencies.

The [IASC Emergency Response Preparedness Guidelines \(ERP\)](#) support UN Country Teams/Humanitarian Country Teams (HCT) in preparing to respond to potential emergencies. Using the module, country teams 1) develop a common understanding of risks, and monitor risks; 2) implement a set of Minimum Preparedness Actions (MPA) that are not risk or scenario-specific; and 3) take Advanced Preparedness Actions (APAs), including the development of contingency plans when a risk is above the threshold established by the country team. UNICEF's preparedness approach differs from the ERP in these respects:

- The MPA in the ERP concentrate on interagency priorities. UNICEF's MPA address UNICEF's internal ability to deliver according to its mandate and global interagency commitments.
- ERP MPA are specific. UNICEF MPA are broad statements and COs, ROs and HQ are required to define the activities within each action, which will be included in the annual Preparedness Actions and reflected in country WPs and AMPs.
- The ERP does not require the development of a preparedness plan if risks are below the threshold for contingency planning, it only requires the implementation of the MPA. UNICEF requires all COs to develop annually a multi-risk preparedness plan for priority risks using the EPP.
- UNICEF does not establish Advanced Preparedness Actions to implement when a risk exceeds the threshold; however, UNICEF does require COs to carry out contingency planning.
- The ERP focuses on actions and monitors their implementation. UNICEF emphasizes results-oriented preparedness by defining mandatory Minimum Preparedness Standards and monitoring Offices' fulfilment of these.
- The ERP defines MPA only for country teams. UNICEF defines MPA and Minimum Preparedness Standards for COs, ROs and HQ.



9. INVOLVING THE PRIVATE SECTOR IN PREPAREDNESS AND RESPONSE

The private sector (individuals, businesses and private foundations), can support systematic approaches to risk reduction, mitigation, emergency preparedness and response. Beyond providing services (e.g. construction, transport, etc), the private sector can support with financial resources (e.g. through partnerships or by supporting innovative financing mechanisms) and other resources and assets (e.g. advocacy, innovation, expertise, core assets, channels of influence).

The right preparation facilitates the rapid activation of service contracts and fast and effective communication immediately following an emergency, which is essential to position UNICEF most effectively and maximize resources from the private sector for the response, in collaboration with PFP and NatComs. COs should:

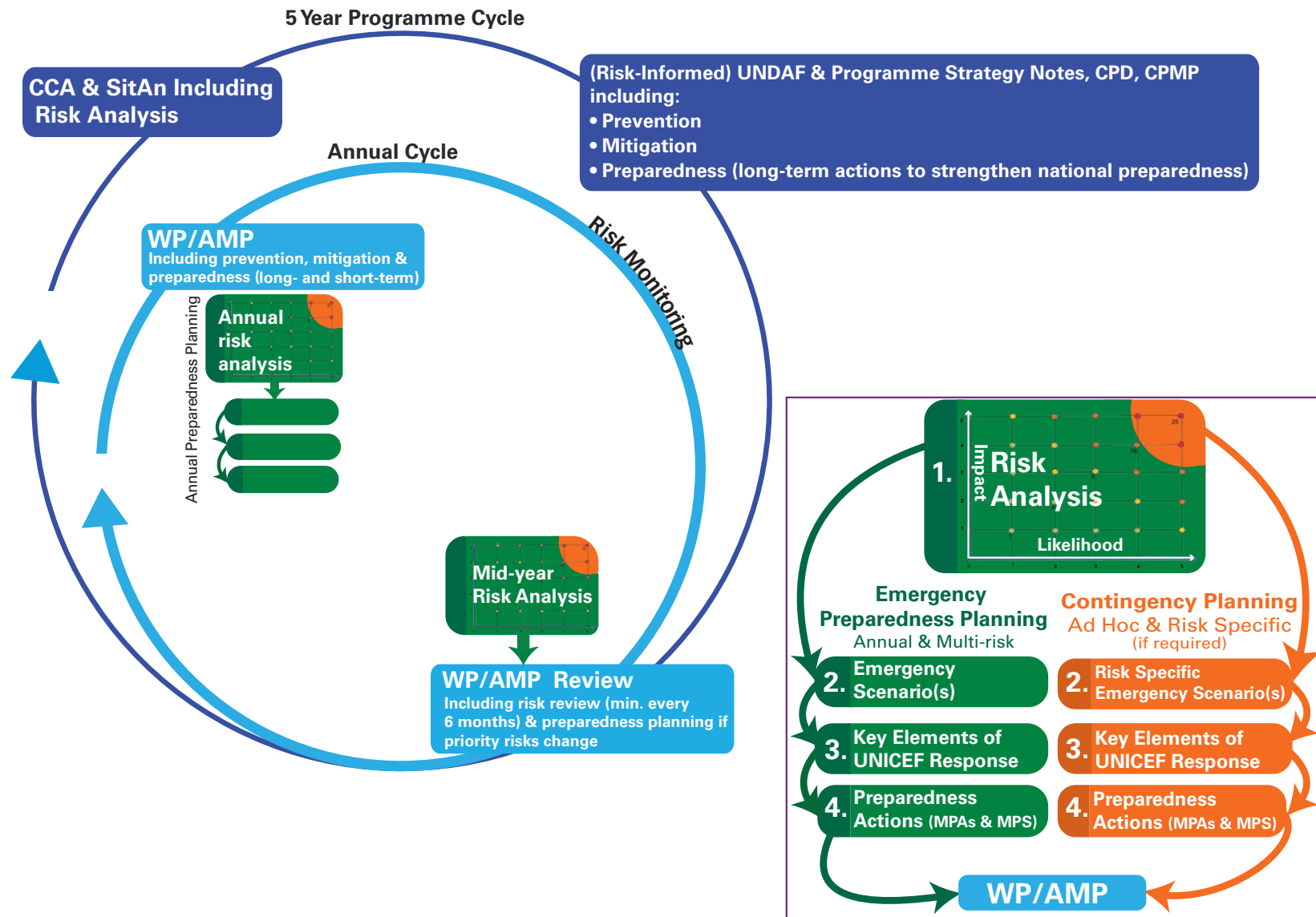
- develop an emergency communication plan;
- identify and engage relevant private sector stakeholders from the earliest stages of the country planning and implementation processes;
- familiarize themselves with the policies and processes applicable to engaging with the private sector; and
- sign Long-Term Agreements (LTAs) and contingency agreements (as applicable).



ANNEX 1: EMERGENCY PREPAREDNESS WITHIN THE PROGRAMME CYCLE

Aligned with or integrated in government and interagency preparedness

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ANNEX 2: NOPOLA: A FICTITIOUS COUNTRY CASE STUDY OF PREPAREDNESS

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Risk Analysis within the CCA and SitAn

The fictitious country of Nopola is classified as medium risk in UNICEF's Country Risk Level list. UNICEF HQ and RO have decided to keep the INFORM classification since none of the six exception criteria applies to Nopola (see Annex 4 below).

UNICEF CO, the government and interagency partners analyse the country risks as part of the Risk-Informed UN CCA and SitAn processes, using the [UNICEF Risk-Informed Programming](#) Guidance module 2.

The risks affecting Nopola are: tropical cyclones, earthquakes, droughts, and violent conflicts in neighbouring countries.

Regarding tropical cyclones, the risk analysis mentions the following:

- **Hazard:** Tropical cyclones of low to medium strength hit the east of the country almost every year; on average, once every ten years the country experiences a cyclone of strong intensity.
- **Exposure:** Several rural communities in the east of the country live in low areas prone to flooding and on river banks; however, communities are scattered and generally a small number is affected by a cyclone of low intensity (**medium exposure**).
- **Vulnerability** of children, their families and communities: Communities exposed to tropical cyclones are among the most disadvantaged in the country; these communities are affected by several deprivations like high levels of chronic malnutrition, high school dropout rates, poor water and sanitation coverage and poor housing (**high vulnerability**).
- **Capacity:** The presence and capacity of governmental institutions and other local actors in the east is very limited; national and local institutions do not have established procedures for the rapid mobilization of resources in an emergency; roads are scarce and in bad condition, telephone connections and electricity are deficient (**scarce capacities**).

The CO does a similar analysis for all the other risks in the country.

Development of Risk-Informed Programme Strategy Note (PSN) and Country Programme Document (CPD), including Long-Term Emergency Preparedness Results and Activities

Based on the analysis of all risks and the interagency discussion, the CO and partners include in the UNDAF, PSN and CPD the following medium/long-term results and activities to address exposure, vulnerability and lack of capacity:

- Reduce children' **exposure** by supporting the relocation of schools away from flood-prone areas. This is an ambitious objective that might take more than five years.
- Reduce the **vulnerability** of children and their families by:
 - addressing the level of malnutrition, targeting under-5s with nutrition and stimulation programmes;
 - developing school emergency plans;

- increasing access to basic services resistant to natural hazards in high risk areas; and
- increasing children and families' awareness on how to protect their health in emergencies
- Strengthen **capacities** by:
 - strengthening existing shelters and building new shelters resistant to natural hazards;
 - building the capacities of basic services providers in high risk geographic areas;
 - strengthening national and local emergency coordination groups (long-term preparedness);
 - building the capacity of national and local institutions and civil society to provide humanitarian aid in an emergency in all CCC sectors (long-term preparedness);
 - supporting the development of national and local emergency preparedness plans (long-term preparedness);
 - strengthening existing social protection systems to provide for cash transfers in an emergency (long-term preparedness); and
 - providing parenting programmes focusing on families with children under 5.

Year 1

At time of country work planning, the CO and the government recognize that increasing the resilience of children, their families, communities and systems will take several years to produce substantive results. In the meantime, the CO and its partners need to be prepared to provide timely and effective support to national and local authorities in case of an emergency. With this aim, as part of the CO annual planning for year 1, the CO follows the **four steps of the multi-risk annual emergency preparedness planning process (Short-Term Emergency Preparedness Planning)**.

Step 1 – Risk analysis

The CO reviews the risk analysis carried out during the SitAn using the UNICEF [Risk-Informed Programming Guidance](#) module 2 and finds that the analysis is still valid and there is no change in the risk context.

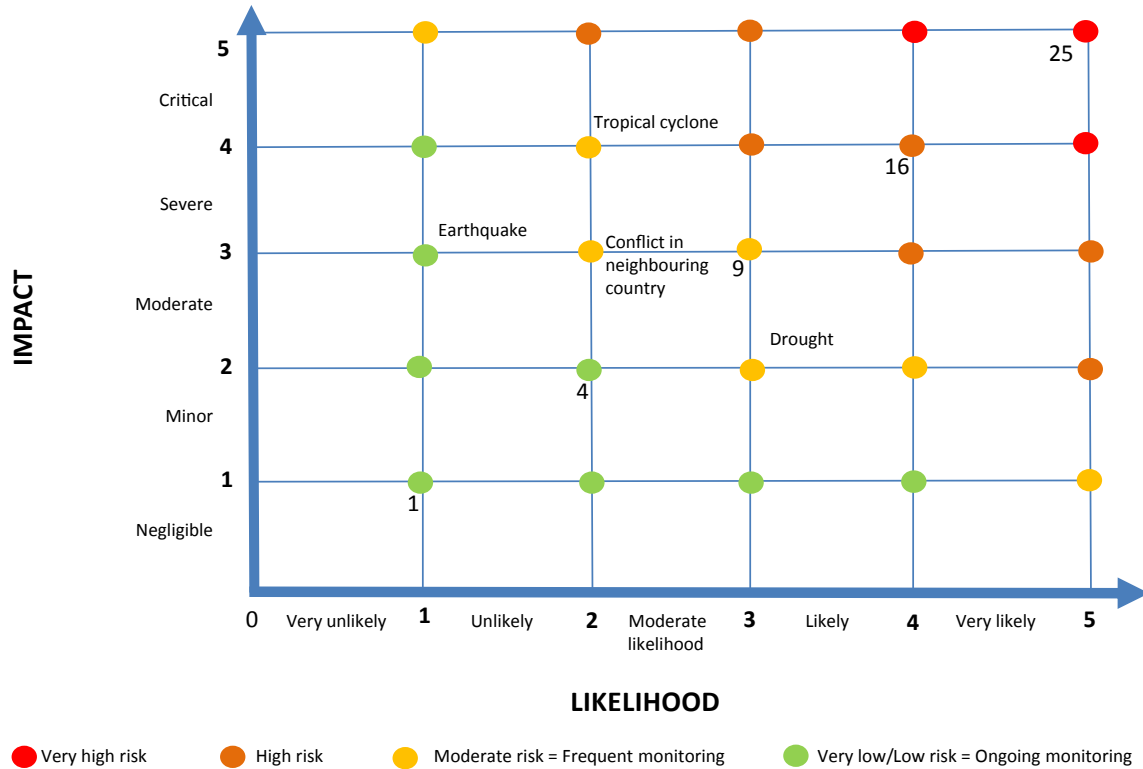
UNICEF and partners rank likelihood and impact for each risk using the Interagency Impact and Likelihood Scale, plot the different risks on the Interagency Risk Graph (see Annex 5 below and [IASC ERP Impact and Likelihood Scale](#)), obtaining the Nopola Risk Profile (see figure below).

For example, tropical cyclones of severe intensity (needing UN agencies to increase up to 50% their current operations in the country for the humanitarian response) hit the east of the country on average once every ten years (Impact=Severe [4]; Likelihood = Unlikely [2]; Overall risk seriousness = Moderate [8]).



FIGURE 1

Nopola country risk profile (Year 1)



The risk profile shows that the **three priority risks** in Nopola (highest seriousness) are associated with the following hazards (shocks or stresses): tropical cyclones, droughts and conflicts in the neighbouring country.

Step 2 – Scenario definition

The CO considers that it is sufficient to develop only one scenario for all three priority risks, since the impact on children and the gaps in national capacities to meet humanitarian needs are similar and the various scenarios would be very similar: reduced access to basic services, increased incidence of waterborne diseases, increased acute malnutrition, interruption of classes, increased displacement, potential increase in child rights violations and psychosocial impact on children; both the government and local NGOs have very limited capacity and would therefore be able to provide relief only to a few of the affected communities, mainly those located in easily accessible areas.

Step 3 – Key elements of UNICEF response

In case of emergency, since local capacities are very low UNICEF would work mainly with INGOs to support local authorities in re-establishing basic services (health, education, WASH); distributing therapeutic food and non-food items (WASH and education); providing cash to families in areas where the market is still functioning and accessible; providing parenting programmes focusing on families with under-5s; and providing psychosocial support to children.

Step 4 – Preparedness actions

The CO reviews the current ability of UNICEF and its partners to deliver the response outlined in Step 3, starting from the Minimum Preparedness Standards, and concludes that gaps exist in the areas of coordination, capacities, supply and logistics, and partnerships.

As a result, the CO decides to implement the following **preparedness actions** over the next 12 months:

- a. develop ToR and preparedness plans for the WASH and Education humanitarian coordination groups;
- b. support interagency training to key humanitarian partners on SPHERE standards and rapid assessment in emergency;
- c. create a contingency stock with WASH and education items not readily available in the local market; and
- d. identify INGOs and establish contingency programme documents/PCAs for the emergency response, including for cash-based interventions.

The CO includes activities (a) and (b) in the **Work Plan** and (c) and (d) in the **Annual Management Plan**.

Six months later

At time of country **Work Plan review**, the CO **monitors the risks** and finds no changes in the priority risks defined six months earlier. No further action is needed.

Years 2 and 3

The CO repeats the **four steps of the emergency preparedness planning once a year, at the time of annual work planning** (or Work Plan review if Nopola has opted for a multi-year work planning cycle), and adapts its annual Preparedness Actions accordingly. The Preparedness Actions are integrated in the CO's AWP and AMP and resource mobilisation plan. The CO **monitors the risks every six months at the mid-year review**; if the priority risks change, the CO repeats steps 2 to 4 and modifies the Preparedness Actions.

Year 4

By year 4 of the implementation of the CPD, the CO concludes that the resilience of children, their families, communities and systems has increased thanks to the results achieved through the implementation of its Risk-Informed CPD and joint UN action. In particular, national and local institutions have significantly strengthened their capacities to provide emergency response. National and local coordination groups have been created and strengthened their capacities; national institutions have trained their staff and assigned responsibilities to provide humanitarian aid in an emergency; national and local governments have created contingency stocks; and national social cash transfer programmes have protocols in place to provide cash transfers in an emergency.

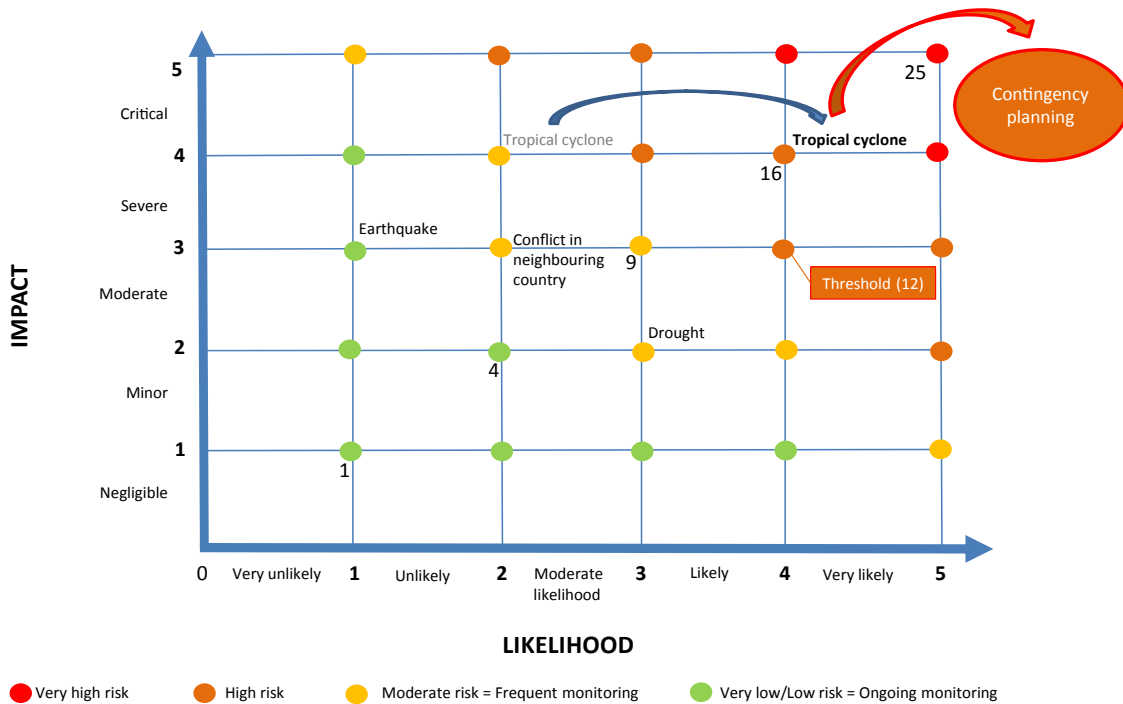
As usual, at time of work planning, the CO repeats the **four emergency preparedness planning steps**. Given these changes in the emergency scenario (reduced vulnerabilities of children and their families and increased national response capacities) the CO **modifies its anticipated response strategy** from working through INGOs to supporting the national and local government and national NGOs in providing humanitarian aid. The CO **amends its annual Preparedness Actions accordingly** (e.g. reduction of contingency PCAs with INGOs and increase in contingency PCAs with national NGOs; development of agreements with government on cash transfers in emergency; reduction of CO's contingency stock; reduction in need for surge staff for sector coordination in emergency).

Year 5

As usual, the CO follows the **four steps of the multi-risk annual emergency preparedness planning process** as part of its annual work planning for year 5. This year, the review of risks shows that there is a substantial change in the risk analysis carried out 5 years earlier at the time of the SitAn (using the UNICEF Risk-Informed Programming Guidance module 2). This year, Nopola will likely be heavily affected by El Niño. The forecast indicates that the cyclone season will be extremely intense. UNICEF and partners estimate that 500,000 people might be affected by a cyclone of high intensity, needing new resources up to 50% of the current interagency operations (see [IASC ERP Impact and Likelihood Scale](#)). The **cyclone risk seriousness is elevated to 16** (Likely event [4] of Severe impact [4]), which is above the threshold established by HQ and RO (12) for contingency planning. Other interagency partners agree to carry out the **contingency planning** process together.

FIGURE 2

Nopola country risk profile (Year 5)



Contingency planning

Step 2 – Compared to the **scenario** previously developed through the multi-risk emergency preparedness planning, the catastrophic cyclone would affect a much higher number of people and create much more complex humanitarian challenges. Despite the capacities built during recent years, the national and local authorities would be overwhelmed and in need of substantial support (financial, in kind and technical). Several INGOs would provide response, and cluster coordination would likely be formally activated at national and local levels, as agreed by the interagency and the government.

Step 3 – UNICEF’s **anticipated response**, within the interagency response, would include service delivery and the distribution of supplies through government, INGOs and national NGOs in Nutrition, Health, WASH, Education and Protection. UNICEF would also support unconditional cash transfers through an existing national cash transfer programme and play a critical role in ensuring effective cluster/sector coordination for all sectors/areas of responsibility globally led by UNICEF.

Step 4 – The CO realizes that in order to be ready to respond as indicated in step 3, it needs to strengthen its preparedness in the areas of logistics and supplies, Human Resources and partnerships. The CO decides to include in its **Preparedness Actions** (and consequently in the AWP and AMP) the following activities:

- procure additional items for partners’ contingency stocks;
- sign new LTAs for local procurement and distribution;
- review the surge plan to include cluster information management specialists; and
- sign new contingency PCAs with national NGOs



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Country Office Preparedness Actions (MPA) and Minimum Preparedness Standards (MPS)

#	Minimum Preparedness Standards	Quality Checklist <i>(what COs MUST do to close the gap between current preparedness levels and the mandatory Minimum Preparedness Standards)</i>	Preparedness Beyond Minimum Standards <i>Examples (non-comprehensive list) (what COs could do to increase their readiness to deliver their anticipated response, beyond Minimum Preparedness Standards)</i>	Key Resources <i>(guidelines, tools, templates)</i>	
MPA 1 – Analyse & monitor risks					
Process-related Standards	1	Country risk profile¹⁸ is developed once a year and risks are monitored at least every 6 months	Risk profile <ul style="list-style-type: none"> Provides a brief description and rating of all risks Is aligned with interagency and government risk analyses (as far as others' timings allow) Informs the CO Risk Assessment in the corporate risk register Risk Control Self-Assessment (RCSA) Is reflected in the Business Continuity Plan and the Security Risk Management document as applicable Risk analysis and monitoring <ul style="list-style-type: none"> Frequency and timing of risk analysis/monitoring is aligned with the CO Work Plan development and review schedule 	<ul style="list-style-type: none"> Risk monitoring plan in place, defines indicators, sources of information, frequency and responsibilities National and local institutions with enhanced capacities for risk analysis, monitoring and early warning 	UNICEF Guidelines <ul style="list-style-type: none"> UNICEF Preparedness for Emergency Response Guidance Note UNICEF Risk-Informed Programming Module 2 (under development) Enterprise Risk Management Business Continuity Management Organisational Resilience Management System Non-UNICEF Guidelines <ul style="list-style-type: none"> IASC ERP Guidance Module (Section 2- Risk Analysis and Monitoring, Annex 2 - Generic Risk Monitoring Indicators for Evolving Hazards) UN Security Management System - Security Risk Management (SRM) Manual UN Policy on Security Risk Management (SRM); Chapter IV/Section A of the UN Security Policy Manual Tool <ul style="list-style-type: none"> IASC ERP Impact & Likelihood Scale; Risk Graph (Annex1) Other resources <ul style="list-style-type: none"> INFORM List of specialized sources for risk analysis and monitoring

18. The Country Risk Profile is represented by the Risk Graph, which indicates the likelihood and impact associated with each hazard (shock or stress)

#	MPS	Quality Checklist	Beyond MPS	Key Resources
MPA 2 – Adapt CO preparedness to the country risk profile				
Process-related Standards	<p>2 Annual Preparedness Actions are developed annually at time of Country Office work planning/reviews, following the 4 steps of the preparedness planning process¹⁹ and are included in the WP and AMP</p>	<p>The Key elements of UNICEF response (Step 3 of 4 of the preparedness planning process) are linked to the CCCs, government and interagency plans, and indicate at least:²⁰</p> <ul style="list-style-type: none"> o The overall CO's strategy considerations and key child-centered results o Two or three priority indicators for high frequency monitoring per sector o Feasible implementation modalities in emergency²¹ o Feasibility of "cash based"²² and "in kind" implementation strategies o Indicative resource requirements (funding, staff, supplies) <p>The Preparedness Actions</p> <ul style="list-style-type: none"> o Are linked to the interagency and government plans o Address the gaps in CO's capacity to deliver the key elements of the anticipated UNICEF response o Are contemplated in the resource mobilisation plan o Are reviewed as priority risks change 	<ul style="list-style-type: none"> • Preparedness is integrated in national and interagency disaster risk management strategy, plans and other relevant institutional and legislative frameworks • Local, community and school emergency plans and evacuation protocols in high risk areas are developed • Community health workers trained in health, nutrition and hygiene promotion in emergency • Mechanisms and tools for GBV risk mapping, analysis, are developed • Alternative mechanisms to continue delivering treatment for chronic patients (i.e HIV) are identified • C4D messages agreed with partners and communication designed • Mechanisms to enhance accountability to affected population are defined • Strategies to mainstream children with disabilities in humanitarian interventions are defined • Rapid Response Mechanisms (RRM) agreed with partners • ECD services mapping including parenting programmes and strategy plan to strengthen families with young children in case of emergency exist • Preparedness is integrated into national nutrition policies, strategies and plans • An emergency communication plan is developed for resources mobilization from the private sector (in collaboration with PFP and NatComs) 	<p>UNICEF Guidelines</p> <ul style="list-style-type: none"> • CCCs & CCCs Checklists • UNICEF Preparedness for Emergency Response Guidance Note • HPM Toolkit • L2 and L3 Simplified Standard Operating Procedures • UNICEF Emergency Response Toolkit • RRM in South Sudan & RRM in CAR (in French) • Early Childhood Development in Emergencies Integrated Programme Guide • Cash Grant to Emergency Affected Households – Technical Note (in process of being updated) • Nutrition in Emergencies toolkit (forthcoming) • Guidance on "Children in Humanitarian Crises: What Business Can Do" • Private Sector Fundraising for Emergencies Toolkit <p>Non-UNICEF Guidelines</p> <ul style="list-style-type: none"> • SPHERE Handbook • Core Humanitarian Standard • UNHCR Preparedness Package for Refugee Emergencies, 2014 • Guidelines for Integrating Gender-Based Violence Interventions in Humanitarian Action • INEE - Minimum Standards for Education in Emergencies, Chronic Crises and Early Reconstruction

19. The 4 steps of the preparedness planning process are: Risk analysis, Scenario definition, Key elements of UNICEF response and Preparedness actions.

20. Additional details will be fleshed out in Contingency Plans and/or eventual Response Plans.

21. Implementation through government, implementation through civil society and direct implementation

22. Cash based implementation strategies include cash or vouchers directly provided to beneficiaries. [INEE Minimum Standards](#)

	#	MPS	Quality Checklist	Beyond MPS	Key Resources
Process-related Standards	MPA 3 – Step up preparedness in case of high risk				
	3	Contingency Plan is developed for any risk that exceeds the threshold agreed with HQ and RO	<ul style="list-style-type: none"> The Contingency Plan describes (even briefly) at least: <ul style="list-style-type: none"> The scenario, i.e. the current situation and how it could evolve, including (a) likely humanitarian needs and (b) the national government's and other organizations' capacities to respond UNICEF anticipated response²³ <ul style="list-style-type: none"> UNICEF current preparedness level and preparedness gaps Critical preparedness activities Is harmonized with Business Continuity Management (BCM) and Security Risk Management Resources needed both for preparedness and potential response (funding, staff, supplies) BCP, Security Risk Management and Programme Criticality Assessment (if relevant) consider the anticipated response 	<ul style="list-style-type: none"> Response plan (using L2/L3 SSOP format) and detailed preparedness actions developed considering all CCCs programme and operational commitments as well as CCCs checklists Humanitarian appeals outlined Contacts with potential donors & private sector partners are underway Where anticipated security risks level is high: <ul style="list-style-type: none"> Arrangements for remote programming (implementation & performance monitoring) are in place²⁴ UNICEF advocated for and engaged in the Programme Criticality Assessment (PCA) with the UNCT CO correlated staff positions with Programme Criticalities (PC) Possibilities for engagement with Non-State Entities (NSEs) defined 	<p>UNICEF Guidelines</p> <ul style="list-style-type: none"> CCCs & CCCs Checklists UNICEF Contingency Planning 1-Pager (Annex 6) HPM Toolkit UNICEF intranet PC page UNICEF intranet NSEs page <p>Non-UNICEF guidelines</p> <ul style="list-style-type: none"> IASC ERP Guidance Module Section 4, Annex 7 & Template) IASC ERP APAs (IASC ERP Guidance Module Annex 5) IFRC contingency planning tool INEE Education Sector Contingency Planning <p>Templates</p> <ul style="list-style-type: none"> IASC ERP Contingency Plan Template
P&OS	MPA 4 – Put in place effective emergency management mechanisms for CO				
	4	Responsibilities for preparedness and response are assigned to an existing team (or a CO Emergency Management Team is created) and to relevant sectors/units	<ul style="list-style-type: none"> ToR for the existing team (or for the CO Emergency Management Team) clearly define its role in preparedness and response Responsibilities for preparedness and response are clear for all sectors/units 	<ul style="list-style-type: none"> Roles and responsibilities of key Programme and Operation staff for preparedness and response are clearly defined based on these MPS for preparedness and on the EPR Emergency Response Timeline and Emergency Responsibility Matrix (under development) for response Roles and responsibilities for anticipated surge staff in emergency are defined Preparedness and emergency response appear in the job descriptions and performance evaluations for all key Programme and Operation staff 	<ul style="list-style-type: none"> EPR Emergency Response Timeline (under development) EPR Emergency Responsibility Matrix (under development)

23. See quality checklist for Key elements of UNICEF response in standard no.2

24. In all contexts, an overall approach to field monitoring is required covering both programme quality and HACT assurance requirements; in high security risk contexts, this is usually more complex and requires a strong implementing partner(s) to support the monitoring approach.

#	MPS	Quality Checklist	Beyond MPS	Key Resources
MPA 5 – Enhance humanitarian coordination with government and interagency				
Programme & Operational Standards	5	<p>Humanitarian coordination mechanisms and leadership are pre-agreed with government (as feasible)²⁵ and interagency for sectors/ areas of responsibility (AoR) globally led by UNICEF, including needs assessment mechanisms</p> <ul style="list-style-type: none"> Leadership and key roles and responsibilities of the coordination mechanisms are defined (as applicable) Humanitarian coordination mechanisms are part of existing sector coordination mechanisms (as applicable) UNICEF contribution (technical, datasets and resources) to the interagency Situation Analysis and MIRA process is defined²⁶ <p>Simplification for COs in low risk countries:</p> <ul style="list-style-type: none"> Humanitarian coordination mechanisms and leadership are pre-agreed only for the sectors in which the CO currently cooperates with the government 	<ul style="list-style-type: none"> Emergency coordination mechanisms for sectors/ AoR globally led by UNICEF have ToR and preparedness plans Emergency coordination mechanisms and leadership are pre-agreed with government and interagency at sub-national level The IASC ERP is adopted and the implementation of the MPA monitored by the interagency with UNICEF support Multi-sectoral and sector specific needs assessment mechanisms and tools for initial assessment are agreed upon Government and other key partners are familiar with coordination and information management processes and tools National and local governments and civil society are able to collect disaggregated data, assess needs and develop evidence-based plans Standards, guidelines and operating procedures for sectoral emergency response are in place Sectoral partners' capacities assessed and capacity building needs addressed Strategies and mechanisms for communication and community engagement agreed with the interagency 	<ul style="list-style-type: none"> IASC Humanitarian Programme Cycle IASC Reference Module for Cluster Coordination at the Country Level IASC MIRA Guidance IASC Accountability to Affected Populations
	MPA 6 - Build the capacities of Human Resources in emergency preparedness and response			
	6	<p>Humanitarian Learning is added to the CO Learning Plan, implemented and updated regularly</p> <ul style="list-style-type: none"> Humanitarian learning inputs are based on the assessment of the skills of key staff for preparedness, coordination & response using the Humanitarian Learning Checklist (to be developed) Priority learning needs are updated at least once a year based on the analysis of skills needed to deliver the key elements of UNICEF anticipated response 	<p>Humanitarian Learning Plan for key partners, including sector-specific training in sectors of UNICEF responsibility, developed and implemented</p> <ul style="list-style-type: none"> All staff have completed CCC training and the EPR Fundamentals (under development) Critical UNICEF staff involved in at least one simulation (if not actual emergency response) over the last two years 	<ul style="list-style-type: none"> UNICEF Humanitarian Learning Checklist (to be developed) UNICEF EPR Reference Document (under development)

25. Where government co-operation or capacity is lacking or in fragile states, the focus for pre-agreed mechanisms will be on interagency coordination and leadership

26. Even if the interagency is not ready to implement a joint needs assessment, UNICEF is required to define how the CO will rapidly produce information on the situation and humanitarian needs for children in line with the IASC MIRA Guidance.

#	MPS	Quality Checklist	Beyond MPS	Key Resources
MPA 7 - Plan staff relocation and surge				
7	Requirements and mechanisms are defined for the refocusing and redeployment of existing CO staff, and surge requirements (external to the CO) are identified	<p>Refocusing, redeployment and surge requirements consider:</p> <ul style="list-style-type: none"> All Programme sectors and Operation areas involved in the response according to the key elements of UNICEF response Sector/cluster coordination and information management capacity (as appropriate) <p>Simplification for COs in low risk countries:</p> <ul style="list-style-type: none"> The CO has in place the requirements and mechanisms for the refocusing and redeployment of existing CO staff without needing to consider surge 	<ul style="list-style-type: none"> CO roster of local consultants for emergency response developed and updated 	<ul style="list-style-type: none"> CCCs Guide to UNICEF Human Resources, Surge Modalities in Humanitarian Crises
MPA 8 - Enhance UNICEF ability to quickly deliver supplies (as applicable)				
8	Supply Plan and Supply and Logistic (S&L) Strategy are developed/updated, and contingency stocks and LTAs are in place as required by the S&L Strategy	<ul style="list-style-type: none"> Supply Plan identifies critical supplies during the emergency as per the UNICEF anticipated response. The S&L Strategy identifies: <ul style="list-style-type: none"> Supply <ul style="list-style-type: none"> Procurement modalities (local, regional or offshore procurement) List of potential suppliers Logistics <ul style="list-style-type: none"> Warehousing and locations List of LTAs needed²⁷ In-country Transport/Entry points and custom clearance strategies Mechanisms for collaboration with other agencies on common services (Log Cluster or others) HR <ul style="list-style-type: none"> S&L-related HR requirements including for VISION transactions²⁸ Prepositioned stocks inventory and list of LTAs are updated. <p>Simplification for COs in low risk countries:</p> <ul style="list-style-type: none"> The CO has in place a Supply Plan for critical items and has defined the procurement modalities (local, regional or offshore procurement) 	<ul style="list-style-type: none"> UNICEF Supply and Logistic Assessment carried out and updated yearly, ideally in collaboration with the interagency Market assessment(s) carried out and updated yearly, ideally in collaboration with the interagency Agreement with the interagency group on specifications for key emergency items in the relief package Joint Interagency S&L Strategy developed Customs procedures in emergency pre-negotiated with the government (interagency) Key partner institutions and organizations have put in place prepositioned stocks and have LTAs with suppliers Feedback mechanisms in place to address supply/logistics issues Alternative methods of implementation (Cash and Vouchers and Green Supply/Logistics) 	<p>Supply Manual/Emergency Templates</p> <ul style="list-style-type: none"> S&L Strategy template Supply Plan Template Supply & Logistics Assessment Template <p>Guidelines & Tools</p> <ul style="list-style-type: none"> Logistics & Supply Emergency Calculator Weight and Volume Calculator Freight Estimate Calculator Dashboards for Supply, Shipment, Performance and pipeline monitoring Supply Roster (Standard ToRs, Organogram etc.) Supply Manual S&L SSOPs Emergency Supply List (ESL)

27. For procurement, storage and distribution.

28. To be reflected in the redeployment and surge requirements (MPS7).

#	MPS	Quality Checklist	Beyond MPS	Key Resources
MPA 9 - Make arrangements to implement cash based interventions (if identified as a viable option)				
9	Arrangements are made for cash based interventions	<ul style="list-style-type: none"> Mechanisms²⁹ and procedures for cash based transfers defined in line with the key elements of UNICEF anticipated response, and agreed with partners Contingency PCAs with civil society and/or LTAs with service providers are signed according to the defined transfer modalities 	<ul style="list-style-type: none"> Interagency cash feasibility study carried out Joint/complementary cash based interventions with interagency partners agreed Sustainable social protection systems are developed/strengthened through UNICEF humanitarian cash based transfers National social cash transfer programmes are ready to provide cash transfers in emergency 	<ul style="list-style-type: none"> CCCs Checklists on Unconditional Cash Transfer to Affected Population (in process of being updated) Cash Grant to Emergency Affected Households – Technical Note (in process of being updated) Framing paper on social protection and humanitarian action linkages (under development) Guidance on social protection and humanitarian action linkages (under development)
MPA 10 - Strengthen partnerships				
10	Potential humanitarian partners are identified, and contingency programme documents/ PCA signed with key partners	<ul style="list-style-type: none"> The list of key potential partners by geographical and programmatic area is updated every year Key CSO partners are selected based on defined criteria and contingency programme documents/ PCA signed with them: <ul style="list-style-type: none"> Cover all key elements of UNICEF anticipated response Articulate results and priority indicators for high-frequency monitoring <p>Simplification for COs in low risk countries:</p> <ul style="list-style-type: none"> List of key potential partners for priority risks by geographical and programmatic area is updated annually 	<ul style="list-style-type: none"> Contingency programme documents cover all the highest risk geographic areas Government and CSO partners are familiar with UNICEF HACT processes, including the use of FACE Form CSO having contingency programme documents assessed against due diligence criteria³⁰ CO agrees on ways to: i) fast track review of partnership agreements; and ii) undertake assurance activities during emergency situations Pre-agreements or standby agreements with private sector are in place Risks associated with business activities with private sector are assessed and addressed 	<p>UNICEF Procedures & key references</p> <ul style="list-style-type: none"> CSO procedure Options & Considerations for Working with CSO in Humanitarian Response Guidance on “Children in Humanitarian Crises: What Business Can Do” Private Sector Fundraising for Emergencies Toolkit <p>Templates</p> <ul style="list-style-type: none"> Simplified Humanitarian Programme Document (Annex B) UNICEF list of key partners for priority risks (draft) Due diligence: i) core values: Annex E and CSP intranet; ii) micro assessment questionnaire; iii) procurement assessment: section 6 of simplified financial management checklist

29. Transfer modalities (cash in envelope, prepaid/ATM cards or e-vouchers, mobile money, bulk money [bank to bank]).

30. i) core values and CSO registration; ii) micro assessment if planned cash transfers >\$100,000/year; iii) procurement assessment if CSO expected to procure items >\$2,500

Regional Office Minimum Preparedness Actions (MPA) & Minimum Preparedness Standards (MPS)

	#	Minimum Preparedness Standards	Quality Checklist <i>(what ROs MUST do to close the gap between current preparedness levels and the mandatory Minimum Preparedness Standards)</i>	Preparedness Beyond Minimum Standards Examples (Non-Comprehensive List) <i>(what ROs could do to increase their readiness to deliver their anticipated support to COs in crisis, beyond Minimum Preparedness Standards)</i>	Key Resources <i>(guidelines, tools, templates)</i>
Process-related Standards	MPA 1 – Analyse & monitor risks				
	1	Risk and capacity analysis from a regional perspective is developed once a year and risks monitored at least every 6 months	The risk and capacity analysis: <ul style="list-style-type: none"> • Considers the risk analysis done by COs • Identifies multi-country risks • Considers COs' capacity within the context (judged by the fulfilment of the Minimum Preparedness Standards, in the EPP when available) • Includes hazards calendar for seasonal risks • Is aligned with regional interagency risk analysis (as applicable) • Identifies priority COs for RO support in emergency preparedness taking into account country risk level and COs' capacities 	<ul style="list-style-type: none"> • Regional risk monitoring plan is in place and defines clear responsibilities 	Guidelines <ul style="list-style-type: none"> • UNICEF Preparedness for Emergency Response Guidance Note • IASC ERP Guidance Module (Section 2- Risk Analysis and Monitoring, Annex 2 - Generic Risk Monitoring Indicators for Evolving Hazards) Tools <ul style="list-style-type: none"> • IASC ERP Impact & Likelihood Scale Risk Graph (Annex 1) Other resources <ul style="list-style-type: none"> • INFORM • List of specialized sources for risk analysis and monitoring
	MPA 2 – Adapt RO preparedness to the regional risk and capacity context				
2	Regional Emergency Preparedness Actions are produced annually as part of the RO annual Programme Cycle following the 3 steps of the RO preparedness planning process ³¹ and are included in the RO OMP and AWP	The Preparedness Actions <ul style="list-style-type: none"> • Address the gaps in RO's capacity to deliver the key elements of the anticipated RO's emergency support to COs • Include actions to enhance COs' preparedness based on (a) the analysis of fulfilment of the Minimum Preparedness Standards by COs and (b) COs' requests for support • Are included in the RO's resource mobilization plan 	<ul style="list-style-type: none"> • Regional programmatic and operational guidelines and tools are developed 	UNICEF Guidelines <ul style="list-style-type: none"> • CCCs & CCCs Checklists • UNICEF Preparedness for Emergency Response Guidance Note • HPM Toolkit • L2 and L3 Simplified Standard Operating Procedures • UNICEF emergency response toolkit • Guidelines for Integrating Gender-Based Violence Interventions in Humanitarian Action • INEE Minimum Standards for Education in Emergencies, Chronic Crises and Early Reconstruction • UNICEF Early Childhood Development in Emergencies Non-UNICEF Guidelines <ul style="list-style-type: none"> • SPHERE Handbook • Core Humanitarian Standard • INEE Minimum Standards • UNHCR Preparedness Package for Refugee Emergencies, 2014 	

31. The 3 steps of the preparedness planning process are: Risk & Capacity Analysis, Key Elements of UNICEF RO Emergency Support to COs, and Preparedness Actions.

	#	MPS	Quality Checklist	Beyond MPS	Key Resources
Process-related Standards	MPA 3 – Step up preparedness in case of high risk				
	3	For any multi-country risk that exceeds the global threshold established by HQ and RO, contingency plans are developed by all relevant COs with a common sub-regional approach	COs' Contingency Plans: <ul style="list-style-type: none"> Are based on a common analysis of risks, scenario and anticipated response Follow the quality checklist of MPS 3 for COs 	<ul style="list-style-type: none"> A Regional Contingency Plan is developed (a single, multi-country contingency plan in addition to the affected COs' contingency plans) 	<p>UNICEF Guidelines</p> <ul style="list-style-type: none"> CCCs & CCCs Checklists UNICEF Contingency Planning 1-Pager (Annex 6) HPM Toolkit <p>Non-UNICEF guidelines</p> <ul style="list-style-type: none"> IASC ERP Guidance Module Section 4, Annex 7 & Template) IASC ERP APAs (IASC ERP Guidance Module Annex 5) IFRC Contingency planning tool INEE Education Sector Contingency Planning <p>Templates</p> <ul style="list-style-type: none"> IASC ERP Contingency Plan Template
Programme & Operational Standards	MPA 4 – Put in place effective emergency management mechanisms for RO				
	4	Responsibilities for preparedness and response are assigned to an existing team (or a RO Emergency Management Team is created) and to relevant sectors/units	<ul style="list-style-type: none"> ToR for the existing team (or for the RO Emergency Management Team) clearly define its role in preparedness and response Responsibilities for preparedness and response are clear for all sectors/units 	<ul style="list-style-type: none"> Roles and responsibilities of key Programme and Operation staff for preparedness and response are clearly defined based on these MPS for preparedness and on the EPR Emergency Response Timeline and Emergency Responsibility Matrix (under development) for response Preparedness and emergency response appear in the job descriptions and performance evaluations for all key programme and operation staff 	<ul style="list-style-type: none"> EPR Emergency Response Timeline (under development) EPR Emergency Responsibility Matrix (under development)
	MPA 5 – Enhance regional humanitarian coordination with interagency (as applicable)				
5	RO strategic contribution to relevant inter-agency humanitarian coordination mechanisms is defined as part of the RO annual Programme Cycle	RO strategic contribution to relevant interagency coordination mechanisms takes into consideration: <ul style="list-style-type: none"> RO anticipated emergency support to COs The analysis of COs' coordination mechanisms and gaps (using the EPP when available) 	Regional interagency coordination mechanisms have: <ul style="list-style-type: none"> ToR and clear leadership Agreed workplan 	<ul style="list-style-type: none"> IASC Humanitarian Programme Cycle IASC Reference Module for Cluster Coordination at the Country Level IASC MIRA Guidance IASC Accountability to Affected Populations 	

#	MPS	Quality Checklist	Beyond MPS	Key Resources
MPA 6 - Build the capacities of Human Resources in emergency preparedness and response				
6	Humanitarian Learning is added to the RO Learning Plan, implemented and updated regularly	<ul style="list-style-type: none"> Humanitarian learning inputs are based on the assessment of the skills of key RO and CO staff for preparedness, coordination & response using the Humanitarian Learning Checklist (to be developed) Priority learning needs are identified/updated annually based on (a) the skills needed to deliver the key elements of RO emergency support to COs, and (b) COs, training needs reflected in COs' humanitarian learning plans (using the EPP when available) 	<ul style="list-style-type: none"> Regional Humanitarian Learning Plan for key regional partners, including sector-specific training in sectors of UNICEF responsibility, developed and implemented All RO staff have completed CCC training and the EPR Fundamentals (under development). Critical RO staff involved in at least one simulation (if not actual emergency response) over the last two years Learning and good practices are documented and shared 	<ul style="list-style-type: none"> UNICEF Humanitarian Learning Checklist (to be developed) UNICEF EPR Reference Document (under development)
MPA 7 – Enhance regional surge capacity				
7	Regional HR support mechanisms are defined and updated annually	<ul style="list-style-type: none"> Regional HR support mechanisms are based on annual analysis of the COs' surge needs (using the EPP when available) HR support mechanisms include an updated plan to refocus and deploy RO staff and an updated Regional Rapid Response Mechanism (regional rosters) HR support mechanisms consider all programme and operation areas, including coordination and information management capacity 		<ul style="list-style-type: none"> CCCs Guide to UNICEF Human Resources, Surge Modalities in Humanitarian Crisis
MPA 8 - Enhance UNICEF ability to quickly deliver supplies				
8	Regional supply & logistics (S&L) mechanisms to support COs in crisis are defined, and contingency stocks and LTAs are in place as appropriate	<p>Regional S&L mechanisms</p> <ul style="list-style-type: none"> Are clearly linked to the key elements of RO anticipated emergency support to COs Take into consideration S&L plans and gaps identified by COs (using the EPP when available) Identify regional contingency stocks, prepositioning and regional LTAs needed and available 	<ul style="list-style-type: none"> Regional market assessment carried out Regional agreement with the interagency on supply specifications for key items in the relief package Agreements signed with regional partners with contingency stocks 	<p>Guidelines & Tools</p> <ul style="list-style-type: none"> Logistics & Supply Emergency Calculator Weight and Volume Calculator Freight Estimate Calculator Dashboards for Supply, Shipment, Performance and pipeline monitoring Supply Roster (Standard ToRs, Organogram etc.) Supply Manual Supply & Logistics SSOPs Emergency Supply List (ESL)

Programme & Operational Standards	#	MPS	Quality Checklist	Beyond MPS	Key Resources	
	MPA 9 - Strengthen COs' emergency preparedness					
	9	RO is providing technical assistance and quality control to enhance preparedness in priority COs ³²	<ul style="list-style-type: none"> • Regional support to priority COs <ul style="list-style-type: none"> ○ Involves all RO's Programme sections and Operation areas ○ Is reflected in the RO's AWP/RWPs and OMP ○ Addresses COs' weaknesses in meeting Minimum Preparedness Standards • Quality control is provided on documents uploaded by priority COs in the EWEA (in the future in the EPP) 	<ul style="list-style-type: none"> • RO provides all COs in the region (not only priority COs) with technical assistance and quality control • RO supports COs with regional and/or national training workshops, capacity building events and simulations 		
MPA 10 - Strengthen partnerships						
10	Regional and sub-regional humanitarian partners are identified, and regular contacts underway	<ul style="list-style-type: none"> • List of potential partners considers the partnership gaps (geographic and/or programmatic) assessed by COs 	<ul style="list-style-type: none"> • Mapping of potential partners including the analysis of their humanitarian capacity • Regional pre-agreements or standby agreements with private sector are in place 	<ul style="list-style-type: none"> • Options & Considerations for Working with CSO in Humanitarian Response • Guidance on "Children in Humanitarian Crises: What Business Can Do" • Private Sector Fundraising for Emergencies Toolkit <p>Templates</p> <ul style="list-style-type: none"> • Simplified Humanitarian Programme Document (Annex B) • UNICEF list of key partners for priority risks (draft) • Due diligence: i) core values: Annex E and CSP intranet; ii) micro assessment questionnaire; iii) procurement assessment: section 6 of Simplified Financial Management Checklist 		

32. Priority COs are identified as part of the regional risk and capacity analysis

Headquarters Minimum Preparedness Actions (MPA) & Minimum Preparedness Standards (MPS)

	#	Minimum Preparedness Standards	Quality Checklist
Process-related Standards	MPA 1 – Analyse & monitor risks		
	1	Risk monitoring and preparedness system developed and maintained	<p>System involves ROs and COs and allows:</p> <ul style="list-style-type: none"> • Development of UNICEF Country Risk List every six months (based on INFORM) • Monitoring of preparedness globally • Prioritization of COs for HQ & ROs' preparedness support (based on risks and capacities using the EPP when available)³³ • Identification of risks that exceed the threshold agreed with HQ and RO • Triggering of contingency planning and preparedness actions for high risks • Contribution to the IASC risk analysis and development of the EWEAR Report
	MPA 2 – Adapt HQ preparedness to the global risk and capacity context		
	2	HQ Emergency Preparedness Actions are produced annually following the 3 steps of the HQ preparedness planning process	<p>The Preparedness Actions:</p> <ul style="list-style-type: none"> • Address the gaps in HQ's capacity to deliver the key elements of the anticipated HQ emergency support to ROs and COs, considering the minimum standards (using the EPP when available) • Involve all relevant HQ Divisions and Sections • Are reflected in HQ OMP and AWP
Programme & Operational Standards	MPA 3 – Develop global preparedness procedures, frameworks, methodologies and approaches		
	3	Policy, procedures, standards and guidelines are developed/updated and rolled out, and their implementation supported	<ul style="list-style-type: none"> • Policy, procedures, standards and guidelines are developed/updated based on the analysis of ROs' and COs' needs and capacities (using the EPP when available); lessons learned from actual emergencies; and good practices from external sources, agencies and research • Technical support is provided as requested by ROs' and COs'
	MPA 4 – Develop global preparedness tools		
	4	Emergency Preparedness Platform (EPP) and other preparedness tools are developed, rolled out and maintained	<ul style="list-style-type: none"> • EPP and other preparedness tools are maintained and improved based on the analysis of users' feedback • Use of the EPP is supported, monitored and evaluated
	MPA 5 – Strengthen global coordination and contribution to the IASC on preparedness issues		
5	UNICEF has contributed to the preparedness work of the IASC RG REWP , ³⁴ Clusters/AoR and other preparedness groups	<ul style="list-style-type: none"> • HQ strategic contribution to interagency groups is discussed and agreed • Objectives to strengthen links between interagency and UNICEF preparedness work are defined • Development of the IASC EWEAR Report supported and influenced based on UNICEF analysis of risks 	

33. Capacities are indicated by the fulfilment of the Minimum Preparedness Standards

34. IASC Reference Group on Risk, Early Warning and Preparedness

	#	MPS	Quality Checklist
Programme & Operational Standards	MPA 6 - Build the capacities of Human Resources in emergency preparedness and response		
	6	Humanitarian learning package is developed, rolled out and maintained ³⁵	<ul style="list-style-type: none"> The humanitarian learning package <ul style="list-style-type: none"> Is developed based on the analysis of ROs' and COs' needs (using the EPP when available) Is maintained up to date and adapted based on experience Includes lessons learned and best practices Learning and good practices are documented and shared
	MPA 7 - Enhance surge capacity		
	7	Global HR support mechanisms are in place ³⁶	<ul style="list-style-type: none"> HR global surge capacity support mechanisms currently available (see Surge Guidelines) are adapted based on the analysis of ROs' and COs' needs (using the EPP when available)
	MPA 8 - Strengthen UNICEF ability to quickly deliver supplies		
	8	Appropriate supply and logistics mechanisms are in place at Supply Division to support ROs and COs in crisis	<ul style="list-style-type: none"> Global S&L mechanisms are adapted based on the analysis of ROs' and COs' needs (using the EPP when available)
	MPA 9 - Manage financial resources to support emergency preparedness and response		
	9	The EPF is managed and global thematic funds invested	<ul style="list-style-type: none"> The EPF is managed according to its rules and regulations The global thematic funds for preparedness and response are invested according to their rules and regulations

The “Key Resources” column of the Minimum Preparedness Actions and Minimum Preparedness Standards tables are constantly improved to reflect new resources that become available. Please access the latest version of this document [here](#). For further information write to preparedness@unicef.org.

35. UNICEF humanitarian learning package: EPR learning modules (under development) and capacity building interventions; PD learning resources; humanitarian reform and cluster approach learning resources; operation-related learning resources

36. Global HR support mechanisms: Emergency Response Team; Immediate Response Team; Humanitarian Support Personnel, rapid response teams and field support of the global Clusters and standby partners.

ANNEX 4: KEY RISK ANALYSIS/MONITORING PROCESSES AND INFORMATION SOURCES USED BY UNICEF FOR EMERGENCY PREPAREDNESS³⁷

Please visit [Preparedness Resources](#) for the latest version

Note: All the processes listed in this table are (or should be) linked and inform each other.

Process / Tool	Produced by	Purpose and uses	Frequency	Features	UNICEF Use
Inter-Agency (IA)					
INFORM Index for Risk Management ^{38,39}	INFORM Team	<ul style="list-style-type: none"> To understand and measure the risk of humanitarian crises and disasters Used to prioritize countries (e.g. for crisis and disaster prevention, mitigation and preparedness), monitor country risk trends, decide how to reduce risk <p>UNICEF uses INFORM:</p> <ul style="list-style-type: none"> to build UNICEF's own Country Risk List as a source of information for its risk analyses as a methodology to build subnational risk indexes 	Every 6 months	<p style="text-align: center;">Global Level – Quite Static</p> <ul style="list-style-type: none"> Provides a multi-hazard Country Risk Index for all countries Provides a deep analysis of the country risk based on 50 indicators Uses data from international organizations and academic institutes Analyses 3 dimensions: hazard & exposure, vulnerability and lack of capacity Shows level of risk (Risk Index) and all of its underlying dimensions Assigns each country to a risk group (from “very low” to “very high”) However: <ul style="list-style-type: none"> Cannot be used for hazard-specific risk analysis Is fairly static (does not reflect recent events that have impacted the risk level) Cannot be used for early warning Does not reflect the risk of health emergencies <u>Does not provide early warning</u> 	Every 6 months, UNICEF HQ and ROs designate countries high, medium or low risk using the INFORM Country Risk Index as one of the sources of information (see UNICEF Country Risk List below)
IASC Early Warning Early Action & Readiness (EWEAR) Report	IASC Analysts within the IASC Reference Group on Risk, Early Warning & Preparedness UNICEF represented by EMOPS/IAHP	<ul style="list-style-type: none"> To provide forward-looking analysis of most serious risks globally Used for early warning and decision making for the interagency community Target audience is EDG (Emergency Directors Group) and HC/RC in the respective countries <p>UNICEF uses:</p> <ul style="list-style-type: none"> The EWEAR report and UNICEF Global Monitoring System inform each other and trigger UNICEF preparedness actions 	Every 6 months	<p style="text-align: center;">Global Level – Dynamic</p> <ul style="list-style-type: none"> Is risk specific, yet with a multi-hazard analysis Provides information on national and interagency preparedness Provides a quite detailed analysis of the risk <u>Provides early warning</u> 	For high and very high risks it triggers UNICEF preparedness action in affected countries (through contingency planning)

37. See [Risk-Informed Programming](#) module 2 for the list of UNICEF and external Risk Analysis Tools commonly used by UNICEF to collect, assess and analyse data on risk.

38. INFORM group is currently looking at developing the Crisis Severity Index which aims to measure the condition of people affected, i.e. the intensity and impact of the effects of a humanitarian crisis on the physical, mental, social and economic well-being of a population.

39. The INFORM methodology and process are being used to develop individual and sub-national risk models in several countries and regions.

Process / Tool	Produced by	Purpose and uses	Frequency	Features	UNICEF Use
Interagency Country Risk Profile	Interagency Team at country level Led by the RC/HC UNICEF CO contributes to the analysis	<ul style="list-style-type: none"> To estimate the seriousness of each risk affecting a country To monitor risks over time Used to trigger interagency APAs and Contingency Planning when a risk exceeds the IA defined threshold. <p>UNICEF uses:</p> <ul style="list-style-type: none"> The Interagency and UNICEF Country Profiles inform each other and are the basis upon which UNICEF builds its preparedness 	<p>Risk analysis at least once a year</p> <p>Risk monitoring should be ongoing</p>	<p>Country Level – Dynamic</p> <ul style="list-style-type: none"> Uses the IASC ERP Risk Graph and IASC Likelihood and Impact Scale Hazard-specific If properly used (with frequent updates based on the monitoring of dynamic risks in the country), should provide early warning 	UNICEF aligns its analysis with the inter-agency analysis (as appropriate)
UNICEF					
Risk Analysis within Risk-Informed Programming⁴⁰	UNICEF CO, possibly with partners' involvement	<ul style="list-style-type: none"> To examine the nature and extent of risks associated with different kinds of shocks and stresses (e.g. floods, violent conflict, food price hikes or cholera) To identify the need for more detailed assessment of a particular risk (e.g. related to violent conflict, climate and natural hazards) Used to inform UNICEF and partner-led planning and programming processes such as the SitAn, CPD, and annual or Rolling Work Plans Can inform external processes such as the UNDAF, CCA, HRP, as well as government policy and action plans 	Ideally during the SitAn (or at other key moments in the Programme Cycle) and every 3 to 5 years	<p>Country Level – Quite Static</p> <ul style="list-style-type: none"> Covers the full range of shocks and stresses in a country In depth analysis for prioritized shocks and stresses, including vulnerabilities, capacities & exposure Does not provide early warning 	
UNICEF Country Risk List	Led by EMOPS/HFSS with the involvement of ROs (REAs and their teams)	<ul style="list-style-type: none"> To adapt INFORM country risk levels to UNICEF needs Used to prioritize countries for support on preparedness from ROs and HQ⁴¹ Used to differentiate requirements associated with the Minimum Preparedness Standards for COs in low & medium/high risk countries, with "short cuts" for low risk countries⁴² 	Every 6 months (when a new INFORM report is issued)	<p>Global Level – Quite Static</p> <p>Similar to INFORM:</p> <ul style="list-style-type: none"> Based on a light review of INFORM risk categories by ROs and HQ using six exception criteria⁴³ Assigns each country to a risk group ("low", "medium", "high") Is multi-hazard Like INFORM, is fairly static. However, it reflects recent changes in the risk context registered at the time of being produced through UNICEF Global Monitoring System Is not designed to provide early warning 	

40. Using the UNICEF Risk-Informed Programming Guidance module 2. Externally and within UNICEF, a range of tools and capacities exist to collect, assess and analyse data on risk. The purpose of the Risk-Informed Programming Guidance is not to replace but to complement existing initiatives. In contexts with risk of violent conflict, the [UNICEF Guide to Conflict Analysis](#) and [UNICEF Guidance on Peacebuilding Programming](#) links should be used.

41. COs in high risk countries and with low capacity are priority for HQ and RO support.

42. Currently COs in low risk countries must update only 10 out of the 20 Key Actions in the Early Warning Early Action platform.

43. UNICEF uses INFORM unless one or more of these exceptions apply:

- Countries with a dynamic risk environment or recent events that have impacted the risk level
 - Countries affected by cross-border issues with neighbouring countries (like influx of refugees)
 - Countries with high risk of health emergencies (epidemics and pandemics)
 - Countries with specific risks affecting children and women
 - Countries with great disparities in the risk level among different geographic areas
 - Countries for which the expert opinion of UNICEF specialists differs from INFORM
- Please visit [Preparedness Resources](#) for the latest version

Process / Tool	Produced by	Purpose and uses	Frequency	Features	UNICEF Use
UNICEF Country Risk Profile (ongoing risk analysis/ monitoring)	UNICEF CO, possibly with partners' involvement	<ul style="list-style-type: none"> To estimate the seriousness of each risk affecting a country To prioritize 2 to 4 risks for preparedness planning To monitor risks over time Used to inform preparedness planning Used to trigger contingency planning when a risk exceeds the threshold established by HQ and ROs 	Reviewed at least every 6 months; more often in dynamic risk contexts	<p>Country Level – Quite Dynamic</p> <ul style="list-style-type: none"> Uses the IASC ERP Risk Graph and IASC Likelihood - Impact Scale Light analysis Builds on the in depth risk analysis carried out ideally at time of SitAn Is informed by similar dynamic risk analyses carried out by interagency partners, the government and others Should be done in collaboration with interagency partners and government (as feasible) Can adopt or adapt the IA Country Risk Profile Is hazard (shocks or stresses) specific <u>If properly used (with frequent updates based on the monitoring of dynamic risks in the country), should provide early warning</u> 	
UNICEF Global Monitoring System (under development)	Led by EMOPS/ HFSS with the close support of EMOPS/IAHP and all other EMOPS sections, including OPSCEN, ROs (REAs and their teams) and relevant COs	<ul style="list-style-type: none"> To ensure frequent risk monitoring at global scale, complementing and contributing to UNICEF Country Risk Profile/risk monitoring (twin track approach) To contribute to the IASC EWEAR report Used to trigger appropriate preparedness actions if high risks emerge (through contingency planning) 	Every 5 weeks (TBC)	<p>Global Level – Dynamic</p> <ul style="list-style-type: none"> Includes UNICEF bi-weekly Risk List & UNICEF Monthly Risk Outlook produced by EMOPS IAHP Based on a likelihood and impact analysis and the use of the Risk Graph very similar to the methodology and tools used for the IASC ERP analysis and the UNICEF Country Risk Profile Involves both detailed analysis & light risk monitoring <u>Should provide early warning</u> 	

This Annex is constantly improved to reflect the most recent developments in UNICEF and interagency tools and processes and the feedback received from the field. Please download the latest version of this document [here](#). For further information write to preparedness@unicef.org.

ANNEX 5: IMPACT AND LIKELIHOOD SCALE AND RISK GRAPH

Please visit [Preparedness Resources](#) for the latest version

Impact and likelihood scales⁴⁴

Risk = impact x likelihood

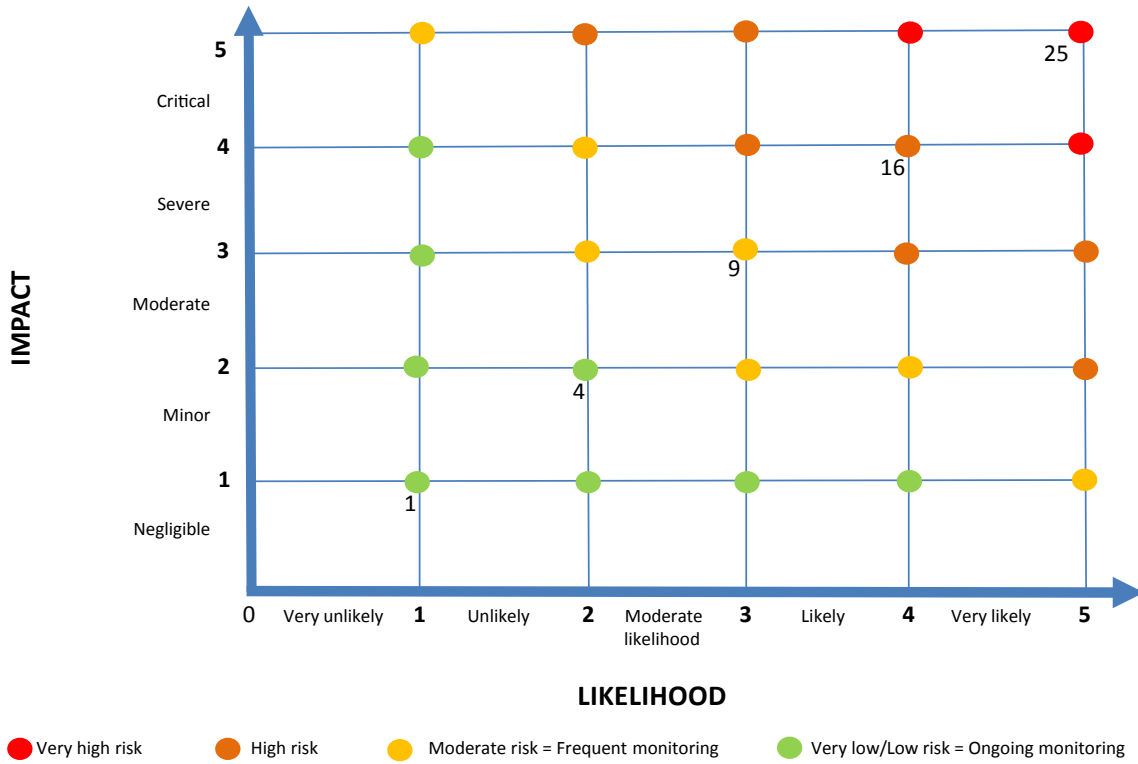
IMPACT	LIKELIHOOD
Negligible (1) <ul style="list-style-type: none"> Minor additional humanitarian impact. Government capacity is sufficient to deal with the situation 	Very unlikely (1) <ul style="list-style-type: none"> A remote chance of an event occurring in the current year, from 0-5% e.g. Seasonal hazards that have happened once or less in the last 20 years
Minor (2) <ul style="list-style-type: none"> Minor additional humanitarian impact. Current country level UNICEF and/or interagency⁴⁵ resources sufficient to cover needs beyond government capability 	Unlikely (2) <ul style="list-style-type: none"> The event has a low chance of arising in the current year, from 5-15% e.g. Seasonal hazards that have happened one to three times in the last 20 years
Moderate (3) <ul style="list-style-type: none"> Moderate additional humanitarian impact. Additional UNICEF and/or interagency resources up to 30%⁴⁶ of current operations needed to cover needs beyond government capacity Regional support not required 	Moderately likely (3) <ul style="list-style-type: none"> The event has a viable chance of arising in the current year, from 15-30% e.g. Seasonal hazards that have happened two or three times in the last 10 years, or once or twice in the last 5 years
Severe (4) <ul style="list-style-type: none"> Substantial additional humanitarian impact. Additional UNICEF and/or interagency resources up to 50% of current operations needed to cover needs beyond government capacity Regional support required 	Likely (4) <ul style="list-style-type: none"> The event has a significant chance of arising in the current year, from 30-50% e.g. Seasonal hazards that have happened every second or third year, e.g. twice in the last 5 years
Critical (5) <ul style="list-style-type: none"> Massive additional humanitarian impact. Additional UNICEF and/or interagency resources over 80% of current operations needed to cover needs beyond government capacity L3 scale emergency 	Very likely (5) <ul style="list-style-type: none"> The event has a positive chance of arising, over 50% e.g. Seasonal hazards that have happened three or more times in the last 5 years, or 5 or more times in the last 10 years

44. Aligned with the [IASC ERP](#)

45. COs can refer to UNICEF or interagency resources, whichever estimate is most readily available or seems most reliable as a proxy indicator of the impact (the humanitarian consequences of a hazard).

46. An estimated figure; COs can refer to UNICEF or interagency resources, whichever estimate is most readily available or seems most reliable as a proxy indicator of the impact

Risk Graph



ANNEX 6: UNICEF CONTINGENCY PLANNING

Please visit [Preparedness Resources](#) for the latest version

Objective

To enhance UNICEF's ability to **provide a timely, effective response** during the first three to four weeks of an emergency whose risk exceeds the global risk threshold established by RO and HQ, in order to fulfil the rights of children affected by a humanitarian crisis.

Contingency Plan

A good plan clearly describes:

- The current **situation** and how the situation could evolve (**scenario**)
- **How UNICEF would respond** should the emergency scenario materialize, within the inter-agency and in support to the government (as applicable)
- UNICEF's current preparedness level, core management arrangements in place and preparedness gaps
- The **preparedness activities** to enhance UNICEF's readiness
- The **resources needed** both for preparedness and for the potential response

See a contingency plan template [here](#)

Key Notes

- UNICEF CO supports **Inter-Agency (IA) contingency planning** (as feasible) and complements it with an internal plan as needed.
- Contingency planning should be a living document, **short and simple**. CO and RO decide the level of detail needed/feasible.
- CO should provide the key information listed in this document using **any template** or ask EMOPS for a template if needed.

Contingency Planning Steps

Step 1 - Emergency scenario definition

- Define the most likely scenario, and—if needed— best and worst case scenarios. At least, indicate current and expected caseload.
- Key questions: What is happening? What could happen? How many people would be affected? What would the humanitarian needs be? What would be the gaps in the response by national government and other organizations?

Step 2 – Key elements of UNICEF response

- Define UNICEF anticipated response (only key elements or a detailed plan using the L2/L3 response plan template).
- Include: (a) overall strategy & results; (b) 2-3 priority indicators for high frequency monitoring per sector; (c) feasible implementation modalities (through partners or direct implementation); (d) feasibility of cash-based and in-kind strategies; and (e) indicative resources
- Key Questions: What would UNICEF do? How would UNICEF implement its response?

Step 3 - Preparedness actions

- (a) Analyse UNICEF and its partners' current capacities; (b) identify capacity gaps to deliver the response outlined in step 2 (**use Minimum Preparedness Standards below**); (c) define preparedness activities to fill the gaps (identify critical activities); (d) define support needed from RO and HQ; and (e) indicate resources needed for preparedness.
- Key Questions: What preparedness is in place? What additional preparedness is needed? What resources and support are needed?

Minimum Preparedness Standards⁴⁷

Analyse existing capacities and gaps in the areas listed below:

Emergency Management Mechanisms

- Responsibilities for preparedness and response assigned to an existing team or to a CO Emergency Management Team, with ToR setting clear responsibilities for team members and all sectors/units, including who does what in the first 24/72 hrs

Humanitarian Coordination

- Humanitarian coordination mechanisms and leadership pre-agreed with government (as feasible)⁴⁸ and interagency for sectors/areas of responsibility globally led by UNICEF
- UNICEF contribution to interagency Situation Analysis and MIRA process defined

Human Resources

- Requirements and mechanisms defined for the refocusing/redeployment of CO staff, and surge requirements identified

Supply & Logistic (S&L)

- Supply Plan and S&L Strategy developed/updated, and contingency stocks and LTAs in place as required by the S&L Strategy

Cash-Based Interventions (if a viable option)

- Mechanisms⁴⁹ and procedures for cash-based transfers defined in line with the key elements of UNICEF anticipated response and agreed with partners
- Contingency PCAs with civil society and/or LTAs with service providers signed

Partnerships

- Potential humanitarian partners identified, and contingency programme documents/PCA signed with key partners

Harmonization with Other Risk-Informed Processes

- BCP, Security Risk Management and Programme Criticality Assessment (if relevant) consider the anticipated response plan

Preparedness Beyond Minimum

- Additional measures to ensure UNICEF readiness to deliver the response outlined in Step 2 in place

The Contingency Planning 1-pager is being constantly improved based on the feedback received from the field. Please download the latest version of this document [here](#).

For further information, contact Michele Messina (mmessina@unicef.org) or write to preparedness@unicef.org.

47. Based on UNICEF [Preparedness Procedure](#) and [Preparedness Guidance Note](#)

48. Where government co-operation or capacity is lacking or in fragile states, the focus for pre-agreed mechanisms will be on interagency coordination and leadership

49. Transfer modalities (cash in envelope, prepaid/ATM cards or e-vouchers, mobile money, bulk money [bank to bank]).

ANNEX 7: UNICEF DEFINITIONS

Please visit [Preparedness Resources](#) for the latest version

These are UNICEF's definitions of terms used in this Note. They are consistent with IASC and UNISDR definitions although they may differ slightly.

Contingency Planning

An ad hoc planning process which prepares COs to respond to a specific risk (related to one or more hazards). It is triggered when a specific risk exceeds the global threshold set by HQ and ROs and is more specific than a multi-risk preparedness plan.

Comment: a contingency plan sets out the initial response strategy and operational plan to meet the humanitarian needs during the first three to four weeks of an emergency. It addresses what could happen and what might be needed, and identifies preparedness actions to take in advance. It includes resources required, institutional and individual roles and responsibilities, and operational arrangements for specific actors, should the crisis materialize. It lays the ground for emergency proposals and appeals. UNICEF contingency planning follows the same steps as the multi-risk preparedness planning, without the risk analysis (because that has already been done and has triggered the contingency planning).

Country Risk Profile

The ranking of the risks associated with different hazards (shocks or stresses), using the interagency Impact and Likelihood Scale and Risk Graph.

Comment: enables COs to identify priority risks for the development of emergency scenarios and UNICEF response plans.

Emergency Preparedness

Emergency Preparedness refers to the mechanisms and systems put in place in advance to enable an effective and timely emergency response to humanitarian crisis, based on analysis of the risks in a particular context, taking into account national and regional capacities and UNICEF's comparative advantage.

Emergency Preparedness Planning

A multi-risk planning process undertaken to enable an effective and timely emergency response to humanitarian crisis, based on analysis of the risks in a particular context, taking into account national and regional capacities and UNICEF's comparative advantage.

Comment: emergency preparedness planning comprises both a long-term approach (through Risk-Informed Programming) and short-term measures (the four step annual planning process: risk analysis, scenario definition, UNICEF anticipated response and Preparedness Actions).

Hazard (Shock or Stress)

A dangerous phenomenon, substance, human activity or condition that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage. A shock is a sudden and potentially damaging hazard or other phenomenon. A stress is similar to a shock but chronic in nature and can occur over a longer period of time.

Impact

The humanitarian consequences of a hazard (shock or stress), if it occurs.

Likelihood

The probability of a hazard occurring.

Minimum Preparedness Standards

Mandatory benchmarks for COs, ROs and HQ, designed to increase significantly UNICEF's preparedness for emergency response.

Comment: all Offices' levels of preparedness are measured against the Minimum Preparedness Standards. An associated quality checklist defines what COs must do to fulfil the Minimum Preparedness Standards.

Minimum Preparedness Actions

Mandatory actions all COs must take in order to meet the Minimum Preparedness Standards.

Comment: The Minimum Preparedness Actions are broad action statements with a short-term approach. COs, ROs and HQ are required to define the activities within each action to close the gap between their current preparedness and the Minimum Preparedness Standards, which will be included in the annual Preparedness Actions.

Risk

Refers to the likelihood of a hazard (shock or stress) and its impact.

Risk Analysis

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

Comment: the robust risk analysis within Risk-Informed Programming analyses several risk elements, type and likelihood of hazards (shocks or stresses), exposure, vulnerabilities and capacities. The impact of a hazard (shock or stress) is likely to be higher when people are exposed, their vulnerability is high and the capacity of systems to prevent, prepare for, withstand and recover from a crisis is low.

Risk-Informed Programming

An approach to programming that aims to reduce the risk of shocks and stresses on children's well-being, their communities and systems, contributing to resilient development.

Comment: informed by a robust risk analysis, Risk-Informed Programming addresses the drivers of risk such as vulnerabilities, low coping capacities and exposure of children, their families, communities and systems. Risk-Informed Programming includes Disaster Risk Reduction, Climate Change Adaptation, Peacebuilding, Social Protection and emergency preparedness.