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1. INTRODUCTION
1. INTRODUCTION

EMERGENCY PREPAREDNESS FRAMEWORK AND TERMINOLOGY

The Preparedness Package for Refugee Emergencies (PPRE) sets standards for preparing for refugee emergencies. It assists users to implement risk analysis, take minimum and advanced preparedness actions, and do scenario-based contingency planning. It is designed for use by the UN Refugee Agency (UNHCR) in coordination and collaboration with all relevant actors, including governments, the UN, non-governmental organizations (NGOs), and other partners involved in preparing for potential refugee influxes or mass cross-border movements (due, for example, to forced repatriation).

“Emergency preparedness refers to actions and measures introduced before the onset of an emergency that improve the effectiveness, efficiency, timeliness and accountability of emergency responses to protect and save the lives of persons of concern.”

In its Policy on Emergency Preparedness and Response (2017), UNHCR makes preparedness for refugee emergency a key element of its approach. Motivated by the duty to ‘do no harm’ and act on a ‘no regrets’ basis, the PPRE is founded on principles of collaboration and partnership and pursues durable solutions from the outset in line with the Comprehensive Refugee Response Framework (CRRF), the Sustainable Development Goals, and the 2030 Agenda.

Conceptually, emergency preparedness actions align with a framework that has three pillars:

1. **Analysis.** Know why, where, when and how to get ready. Actions focus on knowledge management and the collection, mapping and monitoring of information related to the potential emergency and the population of concern.

2. **Partnership.** Prepare to respond, particularly at local level. All elements of preparedness require a joint approach with partners. Actions under this pillar promote discussion, coordination and inclusive decision-making. Information is processed, plans are produced jointly, and decisions are taken.

3. **Develop capacity.** Respond faster and better in the field. Partners map and analyse gaps in their capacity to respond in all relevant sectors. Through implementing preparedness actions, all partners fill gaps in capacity and develop more robust capacity ahead of a potential crisis.

In line with this framework, the PPRE provides practical guidance on how partners should:

1. **Perform risk analysis** for refugee emergencies systematically each year in every country and regularly monitor the evolution of risks.

2. **Implement minimum preparedness actions (MPAs)** to ensure they attain a minimum level of preparedness at country level.

3. **Develop a Preparedness Action Plan** (in medium and high risk countries) that identifies critical MPAs and Advanced Preparedness Actions (APAs) in each context, as well as an inter-agency contingency plan (using a risk scenario), when appropriate.

1 UNHCR/HCP/2017/1. At: https://emergency.unhcr.org/entry/125059/policy-on-emergency-preparedness-and-response

2 The 2017 Policy on Emergency Preparedness and Response defines an overriding duty to act on a ‘do no harm’ and ‘no regrets’ basis. It states: “5.5. UNHCR’s emergency preparedness and response operations will be driven by and aligned to Sphere and other applicable standards, and the humanitarian principles of humanity, impartiality, neutrality and independence. 5.6. UNHCR shall not under any circumstances permit that persons of concern face avoidable harm or endure undue suffering. Managers will be empowered, supported and held accountable to take all decisions and actions necessary to ensure that refugees and other persons of concern receive protection and life-saving humanitarian assistance in a timely and effective manner that stems or diminishes harm, suffering and untoward hardship.”
ACCOUNTABILITY TO AFFECTED POPULATIONS

People affected by or at risk of emergencies are at the core of emergency preparedness. Accountability to Affected Populations (AAP) is central to UNHCR’s mandate and AAP mechanisms are instrumental to achieving protection outcomes and finding solutions. An accountable response is one that is informed by and adapts to the views and perceptions of persons of concern and in which aid providers use their power responsibly.

A preparedness action plan should adhere to UNHCR’s policy on Age, Gender and Diversity (AGD) which aims to ensure that all segments of a population of concern have equitable and non-discriminatory access to assistance and protection, and have a say in decisions that affect their lives. Prevention of and response to sexual and gender-based violence (SGBV), child protection, and persons with specific needs (PSNs) are critical in an emergency response and therefore need to be a central part of preparedness planning in all sectors.

Preparedness plans must make specific efforts to understand the community capacities, their information needs and their preferences regarding providing feedback and lodging complaints related to the response they received from aid providers; mechanisms regarding how to address sensitive issues, such as SGBV and sexual exploitation and abuse (SEA), within the feedback and complaint process must also be included. In slow onset situations, such systems should be in-place from the beginning and should be able to adapt to an escalating emergency. In all situations, host community capacities, needs and preferences are also relevant to preparedness planning.

PPRE TERMINOLOGY

- **Hazard.** An event, process, phenomenon or human activity in one country that may cause forced cross-border displacement to another country.

- **Refugee emergency scenario.** A description of a cross-border displacement caused by a hazard.

- **Likelihood.** The estimated probability that a scenario will occur.

- **Impact.** The perceived (negative) consequences of a scenario on the current capacity of a receiving country to respond.

- **Risk.** The combination of likelihood (that a scenario will occur) and impact (negative consequences on capacity).

- **Minimum Preparedness Actions (MPAs).** A set of mandatory actions that all operations, regardless of risk level, are required to implement and keep up to date.

- **Advanced Preparedness Actions (APAs).** A set of mandatory or context-specific actions that operations implement to increase their capacity to respond and to reduce impact, when the risk level is medium or high.

- **Preparedness Action Plan.** A plan of action that indicates: the status of all preparedness actions; the focal points for implementation; deadlines; and budgetary requirements. A Preparedness Action Plan is required when the risk level is ranked as ‘medium’ or ‘high risk’.

- **Scenario-based contingency plan.** A living document that describes the expected comprehensive inter-agency response, during the first three months, to an identified high risk scenario (based on likelihood and impact). In addition to detailing the agreed priority actions, the document should include estimated budgetary requirements of the response.
It is essential to consult potential host communities and cooperate with networks of local NGOs and private sector actors because they have invaluable inside knowledge of the cultural, socio-economic and power dynamics in local communities, and their well-developed support networks make them invaluable operational allies during a refugee emergency response. Adopting an inclusive approach from the preparedness phase will foster ownership and cooperation during an emergency.

The PPRE is closely aligned to the IASC’s Emergency Response Preparedness (ERP) framework, which provides practical guidance to assist Resident and Humanitarian Coordinators and humanitarian country teams to prepare for potential internal displacement emergencies.

In mixed situations, the joint UNHCR-OCHA note applies. In such situations, UNHCR ensures that the refugee preparedness action plan is consistent with and supports Emergency Response Preparedness (ERP) or ongoing humanitarian responses. When determining operational coordination at field level, as part of preparedness, a location specific approach should be adopted that takes into account the nature of the expected population influx. The OCHA/UNHCR note is meant to be practical. When IDPs and refugees reside or are expected to reside in the same locations, preparedness planning can be streamlined and held jointly on common protection and sectoral themes.

Preparedness and early engagement are fundamental to UNHCR being a more predictable and reliable partner in situations of internal displacement. The 2017-2021 UNHCR Strategic Directions and the 2017 Operational Review of UNHCR’s Engagement in Situations of Internal Displacement both highlight the need for engaging with automaticity in IDP situations in order to meet our corporate commitments and to demonstrate leadership in protection advocacy, mainstreaming, integration, and programming. Further guidance on preparedness activities and how to engage with the ERP in situations of internal displacement will be provided separately.

3 UNHCR, Refugee Coordination Model (RCM): Adaptation of UNHCR’s refugee coordination in the context of the Transformative Agenda (2015).

4 At: http://www.refworld.org/docid/571a20164.html.
UNHCR’S ENGAGEMENT IN EMERGENCY PREPAREDNESS

The UNHCR’s *Policy on Emergency Preparedness and Response* (the Policy) lays out the framework for UNHCR’s engagement in situations that are likely to generate a humanitarian emergency and states that “UNHCR will proactively anticipate, prepare for and respond to emergencies with urgency, speed and nimbleness”. Compliance with the Policy is mandatory and UNHCR Representatives are responsible for ensuring its implementation.

The Policy requires UNHCR’s offices to implement the PPRE’s methods and components, but partner agencies and government counterparts are not under a similar obligation. UNHCR staff therefore need to persuade other stakeholders to participate in efforts to implement MPAs and develop a Preparedness Action Plan on a genuinely interagency basis. Where the government makes its own contingency plans and preparations for a refugee emergency, UNHCR’s preparedness should both complement these plans, building on the government’s capacity, and be distinct, because the local or national UNHCR Office may need to prepare for activities that are independent of government. Such activities may include protection monitoring, communication with communities (CwC), and accountability to affected populations (AAP).

Where a Regional UNHCR Representative is present, s/he is responsible for ensuring coordination and implementation of preparedness actions in the region.

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5 UNHCR/HCP/2017/1. At: https://emergency.unhcr.org/entry/125059/policy-on-emergency-preparedness-and-response

UNHCR’s Engagement in Emergency Preparedness

1. INTRODUCTION

UNHCR’s Policy on Emergency Preparedness and Response (the Policy) lays out the framework for UNHCR’s engagement in situations that are likely to generate a humanitarian emergency. The Policy requires UNHCR’s offices to implement the PPRE’s methods and components, but partner agencies and government counterparts are not under a similar obligation. UNHCR staff therefore need to persuade other stakeholders to participate in efforts to implement MPAs and develop a Preparedness Action Plan on a genuinely interagency basis.

Where a Regional UNHCR Representative is present, s/he is responsible for ensuring coordination and implementation of preparedness actions in the region.

Compliance with the Policy is mandatory and UNHCR Representatives are responsible for ensuring its implementation.

UNHCR staff need to work with governments to develop and implement MPAs. Where the government makes its own contingency plans and preparations for a refugee emergency, UNHCR’s preparedness should be distinct, because the local or national UNHCR Office may need to prepare for activities that are independent of government’s capacity.

UNHCR’s preparedness should both complement these plans, building on the government’s capacity, and be distinct, because the local or national UNHCR Office may need to prepare for activities that are independent of government’s capacity.

CwC and AAP are crucial to effective preparedness. Communication with affected populations helps UNHCR staff engage with affected populations and develop a Preparedness Action Plan on a genuinely interagency basis.

The UNHCR’s Policy on Emergency Preparedness and Response (the Policy)
Figure 2. The PPRE workflow

Is the risk of refugee influx systematically analyzed and a monitoring system in place in line with PPRE guidelines?

- Yes, medium or high risk of refugee influx
- Yes, low risk of refugee influx
- No risk analysis performed

- Continue to monitor risk
- Maintain MPAs
- Design and implement Preparedness Action Plan (MPAs and APAs)
- Submit HALEP diagnostic tool

- Is it possible to design a detailed scenario?
- Does the scenario require substantially more (or different) resources to respond?

1. Interagency assessment of areas likely to be affected by influx
2. Coordinate an interagency contingency planning exercise using PPRE guidance
3. Urgently address gaps in implementation of preparedness actions
4. Assess capacity to prepare and respond

For UNHCR ONLY
is the capacity to prepare insufficient and the influx imminent?
- Request AHC-O activation of L1
Figure 2. The PPRE workflow

Is the risk of refugee influx systematically analyzed and a monitoring system in place in line with PPRE guidelines?

- Yes, medium or high risk of refugee influx
  - Continue to monitor risk
  - Design and implement Preparedness Action Plan (MPAs and APAs)
  - Submit HALEP diagnostic tool
- Yes, low risk of refugee influx
  - Maintain MPAs
  - Continue to monitor risk
- No risk analysis performed
  - Establish risk analysis and monitoring system

• Is it possible to design a detailed scenario?
  - Does the scenario require substantially more (or different) resources to respond?

- No
- Yes

1. Interagency assessment of areas likely to be affected by influx
2. Coordinate an interagency contingency planning exercise using PPRE guidance
3. Urgently address gaps in implementation of preparedness actions
4. Assess capacity to prepare and respond

For UNHCR ONLY
is the capacity to prepare insufficient and the influx imminent?
• Request AHC-O activation of L1
Systematic analysis of risks helps an operation to decide what preparedness actions are required in each context. Risks associated with a new refugee emergency or the deterioration of an existing situation need to be analysed at least once a year through an inclusive consultation with stakeholders. Situations that change should be reviewed whenever it is necessary. Refugee emergency risk analysis must always be done in collaboration with other partners.

Refugee risk analysis is a process that helps actors to determine whether advanced preparedness actions are required to address a specific scenario: the analysis measures the likelihood of one or more refugee influx scenarios against their impact on the existing capacity of the country to respond.

The PPRE prescribes a standard methodology for risk analysis that follows three steps:

1. Identification of one or more scenarios.
2. Risk ranking.

### Table 1. Risk analysis table

<table>
<thead>
<tr>
<th></th>
<th>1. SCENARIO IDENTIFICATION</th>
<th>2. RISK RANKING</th>
<th>3. RISK MONITORING AND EARLY WARNING</th>
</tr>
</thead>
<tbody>
<tr>
<td>WHY?</td>
<td>To identify potential refugee scenarios.</td>
<td>To take stock of the likelihood and impact of different scenarios and to decide which scenario to use for planning.</td>
<td>To track the evolution of risks in case these require additional preparedness actions.</td>
</tr>
<tr>
<td>WHO?</td>
<td>UNHCR staff, together with government, key partners, refugees already in country, and host communities.</td>
<td></td>
<td>Establish an interagency team as appropriate.</td>
</tr>
<tr>
<td>WHEN?</td>
<td>Annually as part of planning processes (or when an existing crisis deteriorates, or a major change occurs).</td>
<td></td>
<td>Once a month, or quarterly, depending on the context and indicators.</td>
</tr>
<tr>
<td>WHERE?</td>
<td>At country level with coordinated inputs from field, country, regional and HQ levels.</td>
<td></td>
<td>Monitored at field and country levels. Information is coordinated with country of origin, regional offices and HQ.</td>
</tr>
<tr>
<td>HOW?</td>
<td>Involve partners who can contribute expertise and knowledge. Document potential refugee scenarios (see examples below). Organize or facilitate a workshop to share findings, validate scenarios, and jointly rank risks. Use risk ranking to decide which scenario to use when drafting the preparedness action plan.</td>
<td></td>
<td>Select indicators. Determine thresholds and linked actions. Hold periodic consultations with the network to track indicators. Implement actions when thresholds are reached.</td>
</tr>
</tbody>
</table>
STEP 1. SCENARIO IDENTIFICATION

To identify scenarios in a meaningful way it is essential to do extensive research of secondary data. Sources of information that may help to define the hazard(s) and the scenario(s) include:

- Existing research on conflict analysis and early warning.\(^7\)
- Data on the country of origin and on populated places close to the border.
- Historical information on displacement routes and trends (ProGres, PopStats, etc.).
- Information shared between country offices.
- Interviews with refugees or asylum seekers already in the country of asylum.
- Information from the media, academics, researchers, other publications.
- Key informant interviews organized with relevant national or local actors, including local NGOs and communities.

Scenario identification begins by identifying the hazards in a neighbouring country that may cause forced cross-border displacement. This exercise focuses on the following hazard categories:

1. **Conflict**

   - **Armed conflict.** Fighting between two or more parties that have standing military capacity and relatively strong hierarchical organizations. Conflict may be internal or international.

   - **(Inter) communal conflict.** Fighting between groups that lack conventional military capacity and have relatively weak hierarchical organizations. Includes inter-ethnic conflict.

2. **Human rights and international humanitarian law violations**

   - **Human rights violations.** The number of serious violations of human rights committed by State or non-State actors controlling a territory significantly increases.

   - **Discrimination.** The incidence of discrimination rises, increasing the exposure of individuals and population groups to violations of their human rights. Discrimination means any distinction, exclusion or restriction on grounds of religion, belief, gender, sex, age, descent, ethnicity, sexual orientation, or other grounds, that has the effect or purpose of impairing or nullifying the recognition, enjoyment or exercise of human rights. It is important to examine the impact of multiple and intersecting forms of discrimination.

   - **Weak rule of law.** Domestic laws and government policies and practices do not protect human rights, reducing the capacity of the State to prevent or halt violations and heightening the incidence of violations or the risk that violations will occur.

   - **Impunity.** Any situation in which perpetrators of crimes enjoy impunity, or in which victims (including groups) are unable to obtain redress or reparation for crimes and violations against them, is a hazard because impunity and lack of redress increase the likelihood of future violations.

   - **Political instability.** Political instability can cause States to respond in ways that violate human rights.

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\(^7\) For example: trend monitoring of internal displacement (Global Protection Cluster); Emergency Response Preparedness (ERP) analysis from Humanitarian Country Teams in the country of origin; the IASC Early Warning Early Action and Readiness analysis; International Crisis Group reports; reports by human rights organizations, etc.
Refugee emergency risk analysis focuses primarily on the first two categories of hazard. However, analysis of other hazards may contribute to scenario building. Additional hazard categories may be relevant because they add complexity or exacerbate the level of risk. They include:

### 3. Economics

- **Price increases.** Significant and atypical (non-seasonal) consumer price increases (especially hyperinflation) of important goods and services. When prices increase, people, especially those who are poor, generally find essential goods harder to afford.

- **Income losses.** Significant and atypical (non-seasonal) falls in wages or income opportunities. The losses may be of subsistence income or profits from household production. When incomes fall after any shock (including conflict or natural disaster), those affected are often unable to buy essential goods.

### 4. Natural hazards

- **Hydro-meteorological.** Floods, landslides, cyclones, droughts.

- **Epidemics and pandemics.** Locusts, plant diseases and pests, human diseases, livestock diseases and pests.

- **Geophysical.** Earthquakes, volcanic activity, tsunamis.

### 5. Environmental hazards

- **Chemical or biological hazards.** These can be created by environmental degradation or physical or chemical pollution in the air, water or soil.

Once a hazard(s) has been identified, at least three Refugee Emergency Scenarios should be developed. Scenarios should be described in one sentence that should specify the hazard(s) and the potential scale of the possible refugee influx over a limited period of time. (See the example in example box 1.)

---

**STEP 2. RISK RANKING**

To rank risks, assign each of the identified scenarios a rank in terms of its likelihood and its impact. To calculate the risk, apply the following equation: 

$$ risk = \text{likelihood} \times \text{impact} $$

(See Table 2 below.)

<table>
<thead>
<tr>
<th>LIKELIHOOD</th>
<th>IMPACT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Negligible (1)</td>
<td>Negligible (1)</td>
</tr>
<tr>
<td>The chance that the scenario will occur in the next 12 months is remote. 0 - 5%</td>
<td></td>
</tr>
<tr>
<td>Minor (2)</td>
<td>Minor (2)</td>
</tr>
<tr>
<td>The chance that the scenario will occur in the next 12 months is low. 5 - 15%</td>
<td></td>
</tr>
<tr>
<td>Moderate (3)</td>
<td>Moderate (3)</td>
</tr>
<tr>
<td>There is a viable chance that the scenario will occur in the next 12 months. 15 - 30%</td>
<td></td>
</tr>
<tr>
<td>High (4)</td>
<td>Severe (4)</td>
</tr>
<tr>
<td>The chance that the scenario will occur in the next 12 months is significant. 30 - 50%</td>
<td></td>
</tr>
<tr>
<td>Very High (5)</td>
<td>Critical (5)</td>
</tr>
<tr>
<td>The chance that the scenario will occur in the next 12 months is positive. More than 50%</td>
<td></td>
</tr>
</tbody>
</table>

---

2. RISK ANALYSIS AND MONITORING
LIKELIHOOD
What is the estimated probability that the scenario will take place in the next 1 year?

Assign a rank from 1 to 5 (as described in table 2).

Note. Likelihood is measured on a continuous scale from 0% to 100%, where 50% is not a neutral condition but represents the threshold for an event that is more probable to occur than not. This is why a scenario is very likely if believed to be above 50% likelihood.

IMPACT
What impact would the scenario have on the country’s current capacity to respond?

Assign a rank from 1 to 5 (as described in table 2).

Note. The impact of each scenario measures the capacity of existing structures and systems to absorb and respond to the estimated number of arrivals. The impact ranking takes into consideration every aspect of response capacity:

- Characteristics of the area(s) that may receive arrivals (geographical, urban, rural, security, etc.).
- Impacts on host communities (their capacity and willingness to host arrivals).
- Accessibility and logistics (roads, warehouses, ports, airports).
- Existing infrastructures for reception and service provision (hospitals, schools, services for persons with specific needs, referral mechanisms).
- The presence of emergency response capacity at local and at national level (government, NGOs, UN).

LIKELIHOOD X IMPACT = RISK
The outcome of this calculation determines whether the risk is low, medium or high.
- Green = low risk
- Yellow = medium risk
- Red = high risk

When all the scenarios have been ranked and risk levels have been identified, **place the results on the Risk Matrix** to determine whether **advanced preparedness actions** need to be implemented to mitigate the impact of any scenarios that occur.

If any scenario appears in the matrix in yellow or red, advanced preparedness actions are required.

Figure 3. The risk matrix
Example box 1. Example of a scenario identification and risk ranking exercise

An interagency workshop has been organized to perform the yearly risk analysis. The PPRE will be used to determine the risk level of three scenarios in the coming 12 months. This exercise will give the interagency team a shared understanding of risk levels, and allow them to decide if and what preparedness actions need to be implemented.

To prepare the workshop, the operation has carefully researched hazards in neighbouring countries and recognized that upcoming elections are a potential cause of cross-border displacement.

“Hazard description. Presidential elections are scheduled in the next 6 months in neighbouring country X. During the period before and after the elections, social unrest and internal conflict may force populations to cross the border in search of international protection.”

This research has enabled the office to develop three realistic scenarios of influx into country Y from country X. Each scenario has been assigned a rank for likelihood and impact, as instructed in the PPRE chapter on risk analysis. The results have been entered into the table below.

<table>
<thead>
<tr>
<th>Scenario</th>
<th>Estimated influx scale in country Y</th>
<th>Likelihood</th>
<th>Impact</th>
<th>Risk score</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Security forces in Country X arrest opposition party members in main opposition strongholds before the elections. Those who feel at risk of arrest or are directly targeted cross the border to Country Y with their families.</td>
<td>20-50 per day. 150–350 per week.</td>
<td>Very high (5) Negligible (1)</td>
<td>Low Risk (5)</td>
<td></td>
</tr>
<tr>
<td>2. The pre-election period in Country X is characterized by violent episodes in the main towns. The Government and security forces crack down on the opposition by arresting en masse those who participate in protests, accusing them of destabilizing the country. People flee main towns and cross the border into country Y accompanied by their families.</td>
<td>50-100 per day. 350–700 per week.</td>
<td>High (4) Severe (4)</td>
<td>High Risk (16)</td>
<td></td>
</tr>
<tr>
<td>3. Conflict erupts throughout Country X. The Government and opposition forces control different areas.</td>
<td>100+ per day. 700+ per week.</td>
<td>Moderate (3) Critical (5)</td>
<td>High Risk (15)</td>
<td></td>
</tr>
</tbody>
</table>

As shown in the table above, two scenarios are assessed as ‘high risk’.

Medium and high risk scenarios require the implementation of a preparedness action plan and if relevant the development of a contingency plan as described in the next sections of the PPRE and in figure 1.

The team performing the risk analysis will need to decide which scenario it will adopt to draft the preparedness and contingency plans. In the example above, the second scenario has the highest risk level.
Example box 2. Example of a risk monitoring table.

<table>
<thead>
<tr>
<th>INDICATOR</th>
<th>SOURCES</th>
<th>FREQUENCY</th>
<th>BASELINE</th>
<th>THRESHOLD</th>
<th>ACTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of violent incidents reported.</td>
<td>Media, ACLED.</td>
<td>Monthly.</td>
<td>10</td>
<td>+20%</td>
<td>Confirm scenario.</td>
</tr>
</tbody>
</table>

This table is an example. The PPRE does not require development of a risk monitoring table. However, it emphasizes the importance of constantly monitoring risks. The preparedness action plan checklist contains a page that helps in recording and monitoring risks.
3. PREPAREDNESS ACTION PLAN
3. PREPAREDNESS ACTION PLAN

The purpose of a Preparedness Action Plan is to increase an operation’s capacity to mitigate the impact of an identified risk of refugee influx.

It is an excel-based tool designed to help an operation keep track of minimum and advanced preparedness actions, their implementation deadlines, focal points, and potential budgetary requirements associated with their implementation. In the worksheet, all minimum and advanced actions are grouped by theme, forming separate checklists:

- Management and external relations.
- Protection.
- Programme and basic needs.
- Procurement and supply.
- Administration, human resources, security and safety, ICT.

Each thematic list details a set of Minimum Preparedness Actions (MPAs), some Advanced Preparedness Actions (APAs) that are mandatory for all operations, and a set of suggested APAs that are context-specific. Space is made available to allow the operation to insert additional country specific actions.

APAs are to be implemented when the result of the risk ranking exercise indicates that the risk that a scenario will occur is ‘medium’ or ‘high’.

Context-specific APAs may require an area-based approach, according to the types of risk that exist and the different areas of the country that may receive a refugee influx.

The worksheet:

- Records the status of preparedness actions, so that a country’s current level of preparedness can be visualized.
- Enables preparedness teams to determine when a specific action is not relevant for the country context.
- Identifies gaps. Completing the worksheet amounts to conducting a gap analysis of the country’s readiness.
- Records the names and contact details of thematic focal points.
- Tracks and calculates the budget required to complete implementation of the preparedness action plan.

8 Download the template at: https://emergency.unhcr.org/entry/162668/preparedness-package-for-refugee-emergencies.pdf
MINIMUM PREPAREDNESS ACTIONS (MPAs)

Every country is required to establish a minimum level of preparedness for potential refugee emergencies.

MPAs are mandatory actions that enable a country operation to ready itself to trigger advanced processes if the risk of an influx increases. MPAs are part of UNHCR’s routine work and are not risk-specific or scenario-specific. They do not require significant additional resources to accomplish. MPA implementation should be planned and budgeted as part of the annual operations management cycle.

The Preparedness Action Plan checklist includes all MPAs.

### Table 3. Minimum Preparedness Actions

<table>
<thead>
<tr>
<th>WHY?</th>
<th>To establish a minimum level of emergency preparedness, allowing the operation to start advanced actions if risk increases.</th>
</tr>
</thead>
<tbody>
<tr>
<td>WHO?</td>
<td>Any organization that may be involved in refugee emergency responses. MPAs are coordinated by UNHCR in support of UN country team preparedness efforts and in consultation with the government.</td>
</tr>
<tr>
<td>WHEN?</td>
<td>Annually, as part of regular planning processes.¹</td>
</tr>
<tr>
<td>WHERE?</td>
<td>At national office level, with some engagement at local and field levels.</td>
</tr>
<tr>
<td>HOW?</td>
<td>Designate focal points for preparedness in all relevant partners. Use the Preparedness Action Plan checklist and review the status of MPAs for each theme, establishing deadlines for implementation, the individuals responsible, and potential budgets (if needed). Preparations is a core activity of UNHCR, and resources needed for it should therefore be included in the annual operations plan.</td>
</tr>
</tbody>
</table>

¹ MPAs may be required more often, particularly if risk monitoring identifies a change in the risk level of certain scenarios.

ADVANCED PREPAREDNESS ACTIONS (APAs)

Advanced Preparedness Actions (APAs) are actions implemented to enhance the level of preparedness when a scenario is assessed as medium or high risk.

In the Preparedness Action Plan checklist, some APAs remain mandatory while others are context-specific. This permits the operation to prioritize and tailor its preparedness actions to the situation on the ground. The actions selected should be achievable in a determined period of time with the current level of resources.

### Table 4. Advanced Preparedness Actions

<table>
<thead>
<tr>
<th>WHY?</th>
<th>To enhance the level of preparedness, because (following a risk analysis) it has been determined that the risk of a refugee influx is medium or high.</th>
</tr>
</thead>
<tbody>
<tr>
<td>WHO?</td>
<td>Coordinated by UNHCR or the government with all partners, including local communities, refugees themselves, and actors in areas likely to be affected by the influx.</td>
</tr>
<tr>
<td>WHEN?</td>
<td>When a risk ranking exercise determines that a scenario is medium or high risk. APAs are kept up to date and reviewed every 6 months, or according to the timeframe for implementation set out in the Preparedness Action Plan.</td>
</tr>
<tr>
<td>WHERE?</td>
<td>At local and national level.</td>
</tr>
<tr>
<td>HOW?</td>
<td>Focal points for preparedness use the Preparedness Action Plan checklist. Review the status of MPAs and select relevant APAs for each theme, establishing deadlines for implementation, the individuals responsible, and potential budgets (if needed). Progress on implementation is reviewed regularly (at least every 6 months) and in line with risk monitoring.</td>
</tr>
</tbody>
</table>

³ https://emergency.unhcr.org/entry/162668/preparedness-package-for-refugee-emergencies-ppre

⁴ https://emergency.unhcr.org/entry/162668/preparedness-package-for-refugee-emergencies-ppre
SCENARIO-BASED CONTINGENCY PLANNING

Scenario-based contingency planning is an APA that is context-specific and non-mandatory. It defines the response strategy when a scenario becomes more likely.

A scenario-based contingency plan is a concise document that outlines the interagency response strategy. It states the actions to be taken, by whom, where, and with what immediately available resources during the initial emergency response (first 3 months), should a specific risk scenario occur and once pre-identified activating triggers are met.

Example box 3. When is a contingency plan required?

<table>
<thead>
<tr>
<th>A contingency plan is required if:</th>
<th>It is NOT required if:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• The risk ranking exercise shows that risk is high. (For medium risk scenarios a contingency planning process may or may not be relevant. Judge case-by-case.)</td>
<td>• The risk ranking exercise determines that risk is low.</td>
</tr>
<tr>
<td>• It is possible to design a detailed scenario that includes: entry points, geographical areas affected, and realistic population estimates.</td>
<td>• The quality of assessment information, capacity to analyse, and confidence in the likelihood of the risk scenario are low.</td>
</tr>
<tr>
<td>• A mission has taken place to regions that are likely to be affected, and has identified key partners, local capacities and functioning response networks or mechanisms.</td>
<td>• The risk scenario is an escalation of a current emergency response (implying that partner agencies' roles are already established and coordination structures already exist).</td>
</tr>
<tr>
<td>• The scenario is predicted to require substantially more (or different) resources in the initial 3 months of an emergency, including establishment of new presences or partnerships in the affected areas.</td>
<td>• First steps and commitments for immediate action under the scenario are already known and understood by those responsible.</td>
</tr>
</tbody>
</table>

A scenario-based contingency plan:

- Focuses on only one specific risk scenario. When you review or implement MPAs/APAs, keep in mind that no planning scenario is perfect. Do not spend too much time debating but focus on operational consequences and the response strategy of your operation.

- Does not replace other preparedness actions.

- Is a relatively small component of a robust Preparedness Action Plan. It is only one tool among many that can help to save lives by fostering a faster, better prepared response in the first days and weeks of a new emergency.

- Is not an end in itself; it is a record of decisions made during the planning process. Because it records serious policy decisions and operational commitments with regard to future actions, it must involve senior decision makers with appropriate authority. Both the process and the product are important.

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11 Download the contingency planning template at: https://emergency.unhcr.org/entry/162668/preparedness-package-for-refugee-emergencies.pdf
Table 5. Contingency planning

<table>
<thead>
<tr>
<th>WHY?</th>
<th>To ensure that the initial response is structured and coordinated, and based on local capacities that are immediately available.</th>
</tr>
</thead>
<tbody>
<tr>
<td>WHO?</td>
<td>Coordinated by UNHCR and the government, with the participation of all partners, including local actors and senior decision makers with appropriate authority to make commitments.</td>
</tr>
<tr>
<td>WHEN?</td>
<td>Only when a scenario is ranked ‘medium’ or ‘high’ risk and when the operation deems it necessary.</td>
</tr>
<tr>
<td>WHERE?</td>
<td>The contingency plan focuses on field level response and coordination structures, in addition to national level ones</td>
</tr>
<tr>
<td>HOW?</td>
<td>Facilitate an interagency workshop to consolidate understanding of the gravity of the risk scenario. Mobilize support and firm commitments to respond should the scenario occur. Agree on priority preparedness actions and a budget for the initial response. The workshop should normally include sessions and exercises to answer all the following questions:</td>
</tr>
<tr>
<td>1)</td>
<td>What is the current situation in the neighbouring country (the potential source of influx) and what scenario will be used for contingency planning?</td>
</tr>
<tr>
<td>2)</td>
<td>Does the scenario include entry points, geographical areas affected, and realistic population estimates?</td>
</tr>
<tr>
<td>3)</td>
<td>What is the expected profile of the population (age/gender disaggregation, persons with disabilities, agricultural/urban background, etc.)?</td>
</tr>
<tr>
<td>4)</td>
<td>What number of arrivals (per day/per week) would require substantially more (or different) resources in the initial 3 months of the response?</td>
</tr>
<tr>
<td>5)</td>
<td>Organized by sector: what expected needs will new arrivals have?</td>
</tr>
<tr>
<td>6)</td>
<td>Organized by sector: what priority response activities will be carried out to cover the expected needs? Who will coordinate the sector? Who else will respond in the sector? What is the estimated budget required for the sectoral response?</td>
</tr>
<tr>
<td>7)</td>
<td>Is the current operation (all partners) ready to implement the activities identified in point 6?</td>
</tr>
<tr>
<td>8)</td>
<td>If not, what priority preparedness actions need to be implemented, by whom, by when? And what resources will be required for preparedness?</td>
</tr>
</tbody>
</table>

Tip. Use the contingency plan standard template. It includes tables that facilitate the exercises!

The document should include all the following information in a structured manner.

1. The context
   a) Situation in country of origin.
   b) Response capacity and operational context in the refugee receiving country.

2. The planning scenario
   a) Risk analysis.
   b) Planning scenario in the refugee receiving country.
   c) Population estimates.

3. Activation triggers of the contingency plan.

4. Regional and country level strategic response objectives.

5. The coordination structure for preparedness and response.

6. The response strategy (including a response framework with activities, partners and budgets by sector for the first 3 months of the response).

7. The preparedness action plan (including budgetary requirements and implementation deadlines).

8. Other strategic priorities (procurement and supply, staff safety and security, resource mobilization).

Templates with detailed guidance can be found here[^12] in English and French.

[^12]: [https://emergency.unhcr.org/entry/162668/preparedness-package-for-refugee-emergencies-ppre](https://emergency.unhcr.org/entry/162668/preparedness-package-for-refugee-emergencies-ppre)
4.
THE PPRE IN REGIONAL PREPAREDNESS PROCESSES
4. THE PPRE IN REGIONAL PREPAREDNESS PROCESSES

When situations arise that may force refugees to displace to more than one country, operations should enhance their preparedness by coordinating their preparedness strategies with those of other affected countries. These may be consolidated and harmonized at regional level by a regional or situational preparedness support system. However, regional consolidation will always be secondary to the development of effective context-specific national and local preparedness plans.

Each country in the affected region is likely to have different forms of government, different operational partners, a different stance on acceptance of potential refugees, and different offers of assistance to arriving refugees.

Where there are no appropriate regional structures, or the anticipated emergency is likely to cross regional boundaries, it may be advisable to form a light and fit-for-purpose system to coordinate national plans.

Key aspects of preparedness that may be useful to coordinate on a regional basis include:

- Information sharing to increase understanding of the risk of refugee outflows.
- Coordination of key messages, including protection advocacy.
- Prioritization of risks within the region.
- The efficiency of the international response with regard to emergency logistics.
- Initiatives to ‘normalize’ preparedness planning of refugee outflows.

4. INFORMATION SHARING

Regional processes that bring people from receiving countries together to deepen their understanding of the risk of refugee outflows from a country of origin. The value of shared information is maximised when people from the potential refugee-producing country also participate (bilaterally or regionally). Key information that should be made available to regional partners includes:

- The potential numbers and profiles of people likely to flee as refugees into each concerned country.
- The location of likely or historic crossing points, and seasonal factors that affect the likelihood of crossing into different countries.
- Maps of ethnic, religious, or political groups that span national borders.
- Maps of cross-border climatic or seasonal weather patterns that affect health, logistics, and survival.
- The capacity and readiness of host communities, government, UN, and civil society counterparts to receive refugees and asylum seekers, and likely policies of access.

Sharing this information on a regional basis will improve the ability to judge the overall risk of outflows and may provide information that can help to reduce biases of analysis at country level. To maximize these benefits, it is critical to include informants and planners from the potential source country.
COORDINATION OF KEY MESSAGES

Planning for a refugee influx from a neighbouring country can be politically sensitive. This must be addressed. Humanitarian organizations that have offices in many countries in the affected region may need to carefully harmonize key messages and planning assumptions, so that counterparts who receive information from other country operations receive the same message. The same practice may need to be extended to messages prepared for the media.

Coordinating policies between governments (that may be in direct conflict) is often not possible. Nevertheless, it remains crucial to provide regional government fora with information and expertise in managing refugee crises, and to promote respect for human rights whenever possible, not least by pushing for reductions in violence and human rights abuses that lead to refugee outflows.

PRIORITIZATION OF RISK AT REGIONAL LEVEL

Where a regional office or authority is responsible for refugee emergency preparedness and response, it should seek to understand the relationships between, and priorities of, countries in the concerned region. With respect to prioritization, assessments of risk and preparedness in the different countries concerned should be similar enough and close enough in time to enable valid comparisons to be made between them, permitting the design of a genuinely regional preparedness strategy.

EFFICIENCY OF INTERNATIONAL RESPONSE FOR EMERGENCY LOGISTICS

Complex logistical problems arise when emergencies occur in difficult-to-access border areas, high altitude mountainous regions, large swampy deltas, or other difficult terrain, particularly when the infrastructure of these areas is weak. Crossing neighbouring countries’ roads, waterways, or even airspace with emergency relief supplies must be planned with care if serious delays in the emergency response are to be avoided.

NORMALIZATION OF PREPAREDNESS PLANNING FOR REFUGEE OUTFLOWS

In many cases, making preparations for a potential refugee flow is politically sensitive. Governments may not wish to antagonize their neighbours or upset their own constituencies. It may be helpful in such situations to present local or national preparedness activities as part of a larger regional initiative. The normalization of preparedness planning at regional level can ease political sensitivities. At the same time, it can provide useful benchmarks (based on neighbouring countries’ activities) against which to measure and improve national responses. A regional process can also provide guidance to multifunctional country teams who are less well versed in preparedness planning, by generating useful, regionally specific templates for planning approaches and associated documents.
INTERNAL UNHCR PREPAREDNESS PROCEDURES
Preparedness ratings available in HALEP are green (sufficiently prepared), yellow (partially prepared), and red (insufficiently prepared). A grey rating means that the operation is not compliant with the requirements.

For country operations, it is mandatory to submit a HALEP diagnostic tool. It complements the duty to draft a preparedness action plan and implement necessary actions (MPAs and APAs).

**REQUIREMENTS**

- Representatives of country operations listed on the HALEP are required to nominate a preparedness focal point, normally the operations manager (i.e., Deputy Representative) or another relevant senior staff member. The focal point is responsible for monitoring and reporting on the HALEP and notifying Division of Emergency, Security and Supply (DESS) via HQESHALEP@UNHCR.ORG.

- In addition, Preparedness Focal Points are required to:
  1. Ensure the implementation of MPAs and APAs in accordance with the PPRE.
  2. Access the HALEP and submit the HALEP diagnostic tool on behalf of the operation, and ensure it is completed in consultation with and supported by a multi-functional team.
  3. Update the HALEP diagnostic tool every 6 months.
  4. Liaise with HQ Emergency Preparedness Section on behalf of the operation.

Detailed guidance on the diagnostic tool and reporting in HALEP is provided on the HALEP website. Access is reserved to UNHCR staff members using the standard email credentials (mail@unhcr.org) and password.

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13 See next paragraph.

14 [https://collaborate.unhcr.org/teams/dess_preparedness](https://collaborate.unhcr.org/teams/dess_preparedness)

15 [https://collaborate.unhcr.org/teams/dess_preparedness](https://collaborate.unhcr.org/teams/dess_preparedness)
EMERGENCY LEVEL 1: PROACTIVE PREPAREDNESS

The Policy foresees the possibility of activating a UNHCR Emergency Level 1 - Proactive preparedness. In taking this decision, the Assistant High Commissioner-Operations (AHC-O) draws on the analysis provided by the UNHCR Representative. The need for activation is confirmed by the Regional Bureau and the DESS Director.

The declaration of a Level 1 emergency signals that it is necessary to prepare actively for a likely humanitarian emergency. The declaration is warranted where an operation faces significant gaps in resources, staffing or expertise and is unable to plan and implement a preparedness action plan for a medium or high risk refugee emergency scenario. Activation of Level 1 triggers active support to the operation by DESS and other HQ divisions, which may include preparedness missions and human, financial and material support.

Figure 5. HALEP procedures

1. Country operation’s risk analysis indicates medium / high risk of potential emergency
2. Global risk analysis by DESS indicates medium/high risk of a potential new situation of concern
3. Country operation, Regional Bureau or DESS recommend to add situation to HALEP
4. DESS, Bureau and Country operation agree to add situation to HALEP
5. Inclusion of situation of concern and affected operations in HALEP
6. Country operations nominate senior level preparedness focal point
7. Preparedness focal point submits HALEP diagnostic tool (every 6 months)
8. On HALEP, DESS updates outlook analysis and preparedness rating accordingly
9. DESS monitors compliance of operations with the Policy
10. If risk of emergency reduces (low risk at situational level) – country operations, Bureaux, or DESS can recommend removal
11. DESS, Bureaux and country operations agree on removal of the situation (and countries) from HALEP
12. The situation (and all countries affected) is removed from HALEP.
6. RESOURCES

7. LIST OF ACRONYMS
6. RESOURCES

EMERGENCY HANDBOOK
https://emergency.unhcr.org

EMERGENCY PREPAREDNESS, PARTNERSHIPS AND DEPLOYMENTS INTRANET PAGE

HIGH ALERT ON EMERGENCY PREPAREDNESS (HALEP)
Access to the HALEP is reserved to UNHCR staff only. To access use UNHCR standard credentials:
https://collaborate.unhcr.org/teams/dess_preparedness

IASC EMERGENCY RESPONSE PREPAREDNESS - ERP (FOR INTERNAL EMERGENCIES)
https://www.humanitarianresponse.info/coordination/preparedness

POLICY ON EMERGENCY PREPAREDNESS AND RESPONSE
https://emergency.unhcr.org/entry/124202/policy-on-emergency-preparedness-and-response

PREPAREDNESS ACTION PLAN CHECKLIST AND TEMPLATES FOR CONTINGENCY PLANNING
They are accessible on the EMERGENCY HANDBOOK’s page related to the PPRE
https://emergency.unhcr.org/entry/162668/preparedness-package-for-refugee-emergencies-ppre

7. LIST OF ACRONYMS

AAP: Accountability to Affected Populations
ACLED: Armed Conflict Location & Event Data Project
AGD: Age, Gender and Diversity
AHC-O: Assistant High Commissioner - Operations
APA: Advanced Preparedness Action
CRRF: Comprehensive Refugee Response Framework
CwC: Communicating with Communities
DESS: Division of Emergency, Security and Supply
ERP: Emergency Response Preparedness
HALEP: High Alert List for Emergency Preparedness
HCT: Humanitarian Country Team
HQ: Headquarters
IASC: Inter-Agency Standing Committee
ICT: Information, Communication and Technology
IDPs: Internally Displaced Persons
MPA: Minimum Preparedness Action
NGO: Non-Governmental Organization
OCHA: United Nations’ Office for the Coordination of Humanitarian Assistance
PAP: Preparedness Action Plan
PPRE: Preparedness Package for Refugee Emergencies
PSN: Person with Specific Needs
RCM: Refugee Coordination Model
SEA: Sexual Exploitation and Abuse
SGBV: Sexual and Gender Based Violence
UN: United Nations
UNCT: United Nations Country Team
UNHCR: United Nations High Commissioner for Refugees
This version of the Preparedness Package for Refugee Emergencies (PPRE) was released by UNHCR in May 2018.

Check for any updated version on the EMERGENCY HANDBOOK (emergency.unhcr.org).