



# EMERGENCY PREPAREDNESS PLANNING

**trócaire**

**EU Aid Volunteers**  
We Care, We Act



**Cordaid** 

# EMERGENCY PREPAREDNESS PLANNING (EPP)

## Partner Workshop Facilitation Guide

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# Trócaire

Trócaire envisages a just and peaceful world where people's dignity is ensured and rights are respected; where basic needs are met and resources are shared equitably; where people have control over their own lives and those in power act for the common good.

We believe in the dignity and inalienable human rights of each person, regardless of their culture, ethnicity, gender or religion.

As we work to achieve our vision, we practice the following values, both within our programmes and our relationships: solidarity, perseverance, accountability, participation and courage.

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## EU Aid Volunteers

### We Care, We Act



The SCORE project – Strengthening Capacities for Local Organisations to Respond Effectively in Emergencies – works with 12 local organisations in the Democratic Republic of Congo, Ethiopia, Rwanda, and Sierra Leone to support them to be better prepared and able to respond to humanitarian crises in their communities, to enhance resilience in crisis-affected communities and to promote a leading role for local actors in humanitarian action. This Project was funded by the EU Aid Volunteers Initiative of the European Commission.



Cordaid is the Dutch Catholic Organization for Relief and Development Aid.

# Contents

## PART 1: INTRODUCTION AND OVERVIEW

1.1 Introduction .....	06
1.2 What is EPP? .....	07
1.2.1 The EPP Process with local partner organisations .....	07
1.2.2 EPP and Contingency Planning .....	08
1.2.3 EPP and Disaster Risk Reduction .....	08
1.3 Content and Objectives of an EPP Workshop .....	09
1.4 Scope of this Document .....	09
1.5 How to use this Document .....	10
1.6 Who should participate in an EPP workshop? .....	10
1.7 Once an EPP workshop is conducted, what next? .....	10
1.8 Considering Protection and Accountability in EPP processes .....	11

## PART 2: TRAINING MODULES

2.1 <b>Module 1</b> Emergency Preparedness Planning (EPP) Overview .....	13
2.2 <b>Module 2</b> Risk Information and Crisis Timeline .....	14
2.3 <b>Module 3</b> EPP and Resilience Building .....	17
2.4 <b>Module 4</b> Humanitarian Approach in the Event of a Crisis .....	18
2.5 <b>Module 5</b> Stakeholder Mapping and Humanitarian Coordination Mechanisms .....	20
2.6 <b>Module 6</b> Response Timeline, Roles and Responsibilities .....	23

# PART 1

# INTRODUCTION & OVERVIEW

## 1.1 Introduction

The risk of humanitarian crises – whether natural or man-made – is a reality in every country in which Trócaire operates. Trócaire's Strategic Plan for 2016 – 2020, *For a Just and Sustainable Future*, mandates us to ensure that “communities, and particularly women, are better resourced to prepare for, withstand and recover from crises and disasters” (Goal 4, Outcome 2). One aspect of delivering on this commitment is to work with country teams and partners to ensure that Emergency Preparedness Plans are in place and updated regularly. This Facilitation Guide is part of a Facilitation Pack that aims to support that EPP process with Trócaire's local partner organisations.

Trócaire's approach to EPP is to support general organisational preparedness through shared analysis and joint planning. Through participatory workshops, teams are supported to identify likely threats or hazards in a given context; to bring clarity to roles and responsibilities across programmes, finance, logistics and management teams in the event of an emergency; and to take measures to strengthen readiness to respond, based on an analysis of strengths and weaknesses.

The methodology outlined in this document, which focuses in particular on rollout with local partner organisations, has been tested with representatives from both Trócaire and Cordaid country offices in Ethiopia, DRC, Rwanda and Sierra Leone within the framework of the SCORE project. The next step is to roll out EPP workshops with partners across the SCORE project, after which any additional learning will be incorporated.

***Please send any observations, critiques and recommendations on any aspect of this Facilitation Guide or the wider EPP Facilitation Pack to Trócaire's Head Office Humanitarian Unit.***

## 1.2 What is EPP?

**Emergency preparedness planning** is a process undertaken by an organisation to prepare internally to respond to any future emergency - whether it is a sudden- or slow-onset disaster; natural or man-made. Effective planning is essential for enabling an organisation to respond quickly and appropriately in the event of a crisis. The EPP process involves identifying existing capacity and gaps within an organisation for emergency response, and planning and implementing a series of actions to increase response capacity.

### 1.2.1 The EPP Process with local partner organisations



## 1.2.2 EPP and Contingency Planning

With EPP, it is not necessary to define the nature and scale of the emergency; in other words, it involves preparing for both 'known' and 'unknown' potential crises. It differs in this way from **contingency planning**, which is one aspect of EPP that focuses on preparing in a detailed way for a specific, identified scenario (i.e. an anticipated or imminent hazard or threat). Contingency planning helps us to assess and plan for the expected impact of a particular threat or hazard on communities of concern, and to identify potential response strategies.

	Emergency Preparedness Planning	Contingency Planning
<b>Focus</b>	· General emergency preparedness plans are identified and preparedness actions taken	· Detailed contingency / response plans are developed based on an analysis of specific scenarios (emergencies)
<b>Elements</b>	<ul style="list-style-type: none"> <li>· Prepare for ANY / UNKNOWN emergency – nature and scale of emergency not assumed</li> <li>· Largely internally focused (e.g. internal ways of working, systems, processes, roles and responsibilities)</li> </ul>	<ul style="list-style-type: none"> <li>· Prepare for a SPECIFIC / KNOWN emergency – anticipating the nature and scale of the emergency</li> <li>· Externally and internally focused</li> </ul>
<b>Best Used...</b>	<ul style="list-style-type: none"> <li>· When no specific threat is identified</li> <li>· When preparing for difficult-to-predict, rapid onset disasters (e.g. earthquakes)</li> </ul>	<ul style="list-style-type: none"> <li>· When specific and detailed planning is needed</li> <li>· When a specific threat or emerging crisis exists</li> </ul>
<b>Pitfalls</b>	<ul style="list-style-type: none"> <li>· Can be too focused on preparedness, without a plan to respond to the emergency</li> <li>· Can be too broad and lacking in the detail needed to respond adequately</li> </ul>	<ul style="list-style-type: none"> <li>· Can be too detailed and prone to the 'scenario trap'</li> <li>· Scenarios are often wide of the mark / inaccurate predictions</li> </ul>
<b>Who uses them</b>	<ul style="list-style-type: none"> <li>· Used by donors, NGOs, UN agencies, national governments and NGOs</li> <li>· Very common amongst humanitarian actors</li> </ul>	<ul style="list-style-type: none"> <li>· Used by donors, NGOs, UN agencies, national governments and NGOs</li> <li>· Most common form of planning amongst humanitarian actors</li> </ul>

## 1.2.3 EPP and Disaster Risk Reduction

**Disaster Risk Reduction (DRR)** is the concept and practice of reducing disaster risks through avoiding (prevention) or limiting (mitigation; preparing for) the negative impact of disasters on communities – usually through reducing exposure to hazards,<sup>1</sup> decreasing vulnerability of populations, or increasing the capacity of communities to deal with disasters. Emergency Preparedness – at organisational as well as community level – is one aspect of a wider DRR approach ('prepare for'). For a glossary of terms, see *Module 1*.

<sup>1</sup> Hazard as defined by UNDRR: 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 <https://www.undrr.org/terminology/hazard>



### 1.3 Content and Objectives of an EPP Workshop

The EPP workshop kick-starts the EPP process by supporting shared learning and joint action planning. It brings together various team members with diverse roles and expertise (e.g. management, finance, administration, logistics, and programmes) with 4 broad objectives:

- to raise staff awareness of EPP in general;
- to identify potential risks in a given context;
- to clarify roles and responsibilities across the organisation in the event of an emergency;
- to develop an action plan to address gaps, build capacity and put the necessary systems or processes in place to improve overall readiness and capacity to respond to an emergency.

The primary output of an EPP workshop is an EPP Plan, which includes a set of actions for the local partner organisation:

- actions to be carried out **prior to any emergency**; and
- actions to be implemented **in the event that an emergency occurs**.

Roles, responsibilities and timelines are attached to all actions so that relevant staff know what to do both in preparation for an emergency and when a response is being mobilised.

### 1.4 Scope of this Document

This Facilitation Guide functions as a step-by-step manual for Trócaire country office staff running a 2 – 3 day EPP workshop with local partner organisations. It contains detailed workshop session plans and is accompanied by an EPP Facilitation Pack that includes Powerpoint presentations and handouts. See Trócaire's website for details: <https://www.trocaire.org/emergency-preparedness-and-planning-training-resource>.

An EPP workshop is just the first step in a longer process of preparing for emergencies. The EPP Plans that are developed require progressive implementation and updating over time. However, the process of working collaboratively and cross-organisationally on these EPP Plans is often as valuable, in terms of effective preparedness, as the EPP document itself.

As outlined above, this Facilitation Guide focuses on general organisational preparedness, rather than on detailed contingency planning in relation to a specific, identified scenario (i.e. an anticipated or imminent hazard). While general EPP lays the foundations, contingency planning may be necessary as an additional step in some contexts. Trócaire has developed separate guidance on contingency planning, available here: <https://www.trocaire.org/wp-content/uploads/2020/09/Contingency-Planning-Eng-for-website.zip>.

Although some aspects of the methodology outlined in this Guide have broader relevance to community-level Disaster Risk Reduction (DRR) programming, the focus of this document is on internal organisational preparedness to respond.

## 1.5 How to use this Document

This Facilitation Guide contains detailed session plans for each module in the EPP workshop, which typically takes 2 – 3 days, depending on context and the level of experience of workshop participants with emergency response. The Facilitation Guide is part of the EPP Workshop Facilitation Pack, which includes accompanying resources and tools for the workshop facilitator as follows:

Module	Workshop Facilitation Guide	Link on Trócaire's website
1	Emergency Preparedness Planning (EPP) Overview	All additional resources and tools broken down by module:  <a href="https://www.trocaire.org/emergency-preparedness-and-planning-training-resource">https://www.trocaire.org/emergency-preparedness-and-planning-training-resource</a>
2	Risk Information and Crisis Timeline	
3	EPP and Resilience Building	
4	Humanitarian Approach in the Event of a Crisis	
5	Stakeholder Mapping & Humanitarian Coordination Mechanisms	
6	Timeline, Roles and Responsibilities	

The workshop modules are designed to be delivered in sequence, each one building on the analysis of the previous module. However, country teams and local organisations are encouraged to lead their own EPP process and to adapt the methodology to specific contexts, needs and capacities as needed, self-identifying priority areas that will assist them in strengthening their preparedness capacity.

For examples, countries that have a high risk of sudden onset disasters might choose to include elements of contingency planning as well. On the other hand, countries that do not have a humanitarian programme and are at lower risk of disasters may choose a lighter approach to EPP, selecting certain modules only from the Facilitation Guide in line with what is practical and realistic.

## 1.6 Who should participate in an EPP workshop?

When a large-scale crisis occurs, it can affect the operations of an entire team or organisation, with senior management, finance, logistics, human resources, humanitarian staff and development staff (where these exist) all implicated.

As such, it is important that any EPP process involves all relevant teams/departments, rather than being limited to humanitarian or programme staff. In fact, the EPP workshop is an important opportunity to strengthen understanding of non-humanitarian staff in humanitarian response systems and processes, and to identify any humanitarian training needs that may exist across the team.

## 1.7 Once an EPP workshop is conducted, what next?

The EPP workshop is the start of a process through which an organisation takes steps to position itself and be ready for an emergency event.

- During the workshop, teams are supported to document lessons learnt to date; to jointly analyse information on threats, hazards and risk; to identify actions/next steps for enhancing individual or organisational readiness to respond (such as training for staff on Sphere or protection mainstreaming, for example); and to clarify roles and responsibilities for key staff.
- This information is then documented in the EPP Plan (see suggested template: <https://www.trocaire.org/wp-content/uploads/2020/09/EPP-Workshop-Facilitation-Guide-annexes-and-additional-templates.zip>).
- The EPP Plan is finalised and approved by senior management and then disseminated to all relevant staff.
- Agreed actions, including capacity-strengthening plans, are implemented in line with the EPP Plan.
- Senior management conduct ongoing monitoring of progress and update the EPP Plan on a periodic basis, with ongoing accompaniment and support from Trócaire where appropriate.

## 1.8 Considering Protection and Accountability in EPP processes

Considering gender, protection and accountability during EPP helps to lay a strong foundation for delivering safe humanitarian responses. Protection Mainstreaming is about ensuring meaningful access, safety and dignity for all programme participants, including those who are often discriminated against, in humanitarian aid. There are four key protection principles that must be taken into account in all humanitarian activities:

- I. **Prioritise safety and dignity and avoid causing harm:** prevent and minimize as much as possible any unintended negative effects of your intervention which can increase people's vulnerability to both physical and psychosocial risks.
- II. **Meaningful access:** arrange for people's access to assistance and services – in proportion to need and without any barriers (e.g. discrimination). Pay special attention to individuals and groups who may be particularly vulnerable or have difficulty accessing assistance and services.
- III. **Accountability:** set up appropriate mechanisms through which affected populations can measure the adequacy of interventions and address concerns and complaints.
- IV. **Participation and empowerment:** support the development of self-protection capacities and assist people to claim their rights including – not exclusively – the rights to shelter, food, water and sanitation, health, and education.

### Key actions include:

- Ensure a gender-balanced response team
- Support partners to identify women-centred civil society organisations to work/collaborate with
- Assess partner staff capacity in relation to protection and accountability mainstreaming, and include training/ capacity strengthening in this area in the EPP Plan
- Integrate protection risks and diversity (gender, age, disability, socio-economic background, etc.) into the workshop scenarios where possible
- Consider an additional module on the workshop as part of the EPP process on conducting a power/gender/ protection risk analysis (and include this analysis as an annex in the report). This analysis would help to highlight underlying inequality and protection-related risks. Collecting this data before a crisis event helps us to form a baseline analysis and to inform any future emergency response. For further guidance, contact the Trócaire HQ team.



# PART 2

# TRAINING MODULES

Part 2 outlines the nine EPP training modules that make up the EPP workshop, including details on their objectives, methodology and content, as well as links to powerpoint and handout materials to be used when facilitating each session.

To clarify the entire EPP process for participants in terms of the workshop content and objective in line with the workshop modules in the EPP Guideline please print and post all the seven modules in their chronological order in the workshop hall for participants to easily visualize and understand the process.



**You can find the chronological order of the modules ready for print here:**

**<https://www.trocaire.org/emergency-preparedness-and-planning-training-resource>**

## 2.1 MODULE 1: EMERGENCY PREPAREDNESS PLANNING (EPP) OVERVIEW



### Session Objectives

By the end of the session, participants will be able to understand:

- What 'Emergency Preparedness Planning' (EPP) means and why we need it
- Different terminologies used in EPP processes
- Differences between EPP and Contingency Planning (CP)
- The process for conducting EPP within an organisation



### Outputs from the Session

- Participants will have a clear understanding of EPP



### Key Points to Emphasise

- The Emergency Preparedness Planning exercise of the organization is different from community level preparedness in the Emergency Management Cycle
- Emergency preparedness planning is all about looking inward to the organization's capacity to respond to emergencies in a timely and effective manner

## SESSION PLAN

🕒 Total session time: 65 minutes

Time	Activity	Materials / Preparation Needed
45 minutes	<b>PowerPoint Presentation:</b> <ul style="list-style-type: none"> <li>• What does EPP mean?</li> <li>• Why we need EPP?</li> <li>• Differences between EPP and CP</li> <li>• Process for conducting EPP</li> </ul>	PowerPoint presentation with EPP Overview
20 minutes	<b>Group Exercise: Matching humanitarian terminologies with their definitions</b> <p><b>Step 1</b> Print and cut up copies of the Terminology Exercise doc for each group</p> <p><b>Step 2</b> Divide participants in groups; give each group copies of the Terms and Definitions on separate slips of paper; ask each group to match the Terms with their Definitions</p> <p><b>Step 3</b> Give each group copies of the Emergency Management Cycle Exercise Template; ask each group to put all the humanitarian terminologies in their chronological order after a disaster;</p> <p><b>Step 4</b> When the groups have finished, share the correct definitions for each term and their chronological orders after a disaster (EPP Terminology Handout)</p> <p><b>Step 5</b> Take 10 minutes for plenary discussion to clarify any questions from participants on terminologies and definitions</p> <p><b>Step 6</b> Provide participants with copies of additional handouts for further reading</p>	<b>Advance preparation for the exercise:</b> <ul style="list-style-type: none"> <li>• Print copies of the <a href="#">Terminology and Emergency Management Cycle Exercise doc</a></li> <li>• Cut up the printout so that each Term and each Definition is on a separate piece of paper. Participants will be asked to match the definition with the term in the group work.</li> <li>• There should be one complete set of Terms and Definitions per group for the group work.</li> </ul> <b>Additional printing:</b> <ul style="list-style-type: none"> <li>• <a href="#">Handout 1: EPP Terminology</a></li> <li>• <a href="#">Handout 2: EPP Overview</a></li> <li>• <a href="#">Handout 3: Trócaire EPP Overview</a></li> <li>• <a href="#">Handout 4: EPP Frequently Asked Questions</a></li> </ul>

## 2.2 MODULE 2: RISK INFORMATION AND CRISIS TIMELINE

### Session Objectives

By the end of the session, participants will:



- Understand crisis history of the country, including trends, patterns and historical pathways, across the country and in areas of operation;
- Have reviewed the organisation's history and experience of emergency response;
- Understand the possible levels of damage in the event of a new crisis, including potential impact on development gains;
- Understand the importance of EPP, including an analysis of crisis trends in operational areas, in order to be able to respond to crises and minimise negative impact on development gains.

### Outputs from the Session



- Humanitarian Risks Identified and analysed in the country and partners area of operation;
- Major incidents during the crises situation identified in their chronological order;
- The response made by partner organizations during the major incidents of the crises situation identified and assessed.

### Key Points to Emphasise



- The disaster statistics and risk levels in the country and partners area of operation can be accessed and analysed from different sources by partners for regularly reviewing their organization's EPP plan (The potential information sources needs to be shared to partners);
- The possible level of crisis damage and its potential impact on development gains needs to be emphasised;
- Emphasise the importance of understanding trends in humanitarian emergency and engaging in response to protect development gains – including for partners that do not have a humanitarian programme (highlight the importance of EPP to protect programming in other sectoral areas).



Time	Activity	Materials / Preparation Needed
20 minutes	<p><b>Plenary Discussion</b></p> <p><b>Identifying Humanitarian Risks:</b></p> <ul style="list-style-type: none"> <li>Facilitator leads the plenary discussion with participants to identify humanitarian risks in a given context – at national level and in partners area of operation;</li> <li>List all identified humanitarian risks in the given context on a flip chart.</li> </ul> <p><b>Analyze the identified humanitarian risks:</b></p> <ul style="list-style-type: none"> <li>Draw the Likelihood and Impact Matrix in a flip chart to facilitate the plenary session analysing the risk information – please refer the likelihood and impact matrix template;</li> <li>Using the 'Likelihood and Impact Matrix' template, analyze all identified humanitarian risks during the plenary session; <ul style="list-style-type: none"> <li>~ <b>Likelihood</b> (how likely will the risk happen and how frequent seasonality)</li> <li>~ <b>Impact</b> (how many people will be affected by it and will it create a lot of damage)</li> </ul> </li> </ul> <p><i>Before concluding the plenary session agree with participants on one humanitarian risk with the highest likelihood and impact for the next group exercise</i></p>	<p>To prepare for this session, the facilitator needs to review disaster statistics and risk levels in the country and in partners area of operation over the past few decades and present this information to participants.</p> <p>Useful links to prepare disaster statistics include the following:</p> <ul style="list-style-type: none"> <li>INFORM risk maps: <a href="http://www.inform-index.org">http://www.inform-index.org</a></li> <li>Humanitarian response Info: <a href="https://www.humanitarianresponse.info">https://www.humanitarianresponse.info</a></li> <li>ACAPS: <a href="https://www.acaps.org">https://www.acaps.org</a></li> <li>Relief Web: <a href="https://reliefweb.int">https://reliefweb.int</a></li> <li>See also Guidance Note: Gathering Disaster Statistics.</li> </ul>
60 minutes	<p><b>Group Exercise</b></p> <p>The group exercise will build on the humanitarian risk with the highest likelihood and impact agreed during the plenary session;</p> <p><b>Phase One</b></p> <p>Identifying the major incidents occurred in the past for the selected Humanitarian Risk;</p> <p><b>Step 1</b> Divide participants into groups of 4-6.</p> <p><b>Step 2</b> Ask groups to identify major events/ moments that occurred during different stages of the crisis (external)</p> <p><b>Step 3</b> Show PowerPoint 2a, Slide 1 to provide sample questions to guide discussion.</p> <p><i>Note: in sharing the sample questions, please clarify to the group the questions are only indicative questions to show directions for the discussion; not to focus on responding all the questions as its presented</i></p> <p><b>Step 4</b> Ask groups to order the major events identified in their chronologically order as they happened at the time of the crises;</p> <p>See PowerPoint 2a, Slide 2 for a Malawi example.</p>	<p>See PowerPoint 2a – Slide 1, which contains sample questions to guide discussion, including:</p> <ul style="list-style-type: none"> <li>What happened? What was the impact?</li> <li>Who were the most affected?<sup>2</sup></li> <li>Were there significant human rights violations? And who were most at risk?</li> <li>What was the impact on development work?</li> <li>Who was involved in the response?</li> <li>Was the response adequate?</li> <li>What were the major challenges?</li> </ul> <p>See PowerPoint 2a – Slide 2, which contains a sample timeline exercise from Malawi:</p> <ul style="list-style-type: none"> <li>The external context part of slide 2 is an example for the group exercise at Phase One.</li> </ul>

<sup>2</sup> As crises affect people differently it is important to consider the impact on different groups including women, men, boys, girls, youth and older persons, as well as persons with disabilities and specific minority or ethnic groups.

Time	Activity	Materials / Preparation Needed
	<p><b>Phase Two</b></p> <p>Reflection on the actions taken by the organization during the humanitarian crises situation discussed above</p> <p><b>Step 1</b> identify the different actions taken by the organisation at those key moments of the crises situation (internally by the organization);</p> <p><b>Step 2</b> Ask groups to order the different actions taken by the organization in their chronological orders.</p> <p>See PowerPoint 2a, Slide 2 for a Malawi example.</p> <p><b>Phase Three</b></p> <p>Ask groups to present back on their group work.</p>	<p>See PowerPoint 2a – Slide 2, which contains a sample timeline exercise from Malawi:</p> <ul style="list-style-type: none"> <li>· The Internal context part of Slide 2 is an example for the group exercise at Phase Two.</li> </ul>
15 minutes	<p><b>Plenary Discussion</b></p> <p>After the group presentation discuss with the participants on the points below:</p> <ul style="list-style-type: none"> <li>· What went well?</li> <li>· What did not go well?</li> <li>· What were the key successes?</li> <li>· What organizational gaps/challenges do you see in different areas (e.g. systems, preparedness, human resources, funding, etc.)?</li> <li>· Were there any actions that could have been taken prior to the crisis that would have strengthened the response?</li> </ul>	

## 2.3 MODULE 3: EPP AND RESILIENCE BUILDING

### Session Objectives

By the end of the session, participants will:



- Understand the importance of considering resilience-building strategies as part of an EPP process;
- Have reflected on strategies from the first days of a response that can help to enhance (or at least not undermine) resilience at individual, household or community level in the longer.

### Key Points to Emphasise



- Resilience is the ability of individuals, households, communities, civil society and institutions to prepare for, withstand and recover from shocks and stresses without compromising their long-term development prospects;
- It is important to have a focus on resilience from the early stages of a response – to ensure that our interventions minimise negative coping mechanisms, mitigate the negative effectiveness of emergencies (such as creating dependency), seek to reduce underlying vulnerabilities and support longer-term resilience strategies.

### SESSION PLAN

⌚ Total session time: 45 minutes

Time	Activity	Materials / Preparation Needed
45 minutes	<p><b>Group exercise</b></p> <p>Resilience strategies in the early days of a response?</p> <p><b>Step 1</b> Introduce the exercise by emphasising the key points above.</p> <p><b>Step 2</b> Split the group into teams of 4 – 6</p> <p><b>Step 3</b> Ask each group to discuss the following questions (also contained in the PPT Slide). As humanitarian/development actors, what can we do from the first days/weeks of an emergency response to:</p> <ul style="list-style-type: none"> <li>• Avoid creating dependency on humanitarian aid in target communities</li> <li>• Protect community assets (e.g. seed, tools, etc.)</li> <li>• Build on existing capacities within a community</li> <li>• ‘Build back better’</li> <li>• Support longer-term resilience within that community</li> </ul> <p><b>Step 4</b> Wrap up the group work by discussing in plenary. Ask the group – why is it important to consider resilience during an EPP process? Note key points and any actions that emerge for including in the EPP Action Plan in Module Six.</p>	<p><b>Available Tools online:</b></p> <ul style="list-style-type: none"> <li>• <a href="#">Power Point 3a</a></li> </ul> <p><b>Key points for facilitating plenary discussion:</b></p> <p>Resilience-building strategies could include:</p> <ul style="list-style-type: none"> <li>• Work with existing community structures (e.g. women’s groups, water committees) and support (do not undermine) their capacity</li> <li>• Support individual and community resilience through psychosocial first aid and psychosocial support interventions</li> <li>• Cash/vouchers instead of in-kind assistance;</li> <li>• Timely assistance to prevent sale of stock/assets</li> <li>• Local procurement where possible</li> <li>• Storm-resistant shelters</li> <li>• Integrate emergency livelihood activities as soon as possible – e.g. income generation, support for VSLAs, etc.</li> </ul>



## 2.4 MODULE 4: HUMANITARIAN APPROACH IN THE EVENT OF A CRISIS

### Session Objectives



By the end of the session, participants will:

- Understand the importance of having an organisational document that lists strategic considerations and key criteria for deciding whether, when and how to respond in the event of a crisis;
- Have greater clarity on what the organisation's likely approach and ambition for response will be in the event of a crisis.

### Outputs from the Session



- Initial agreement on key criteria to help the organisation to take strategic decisions in future around whether, when and how they will respond in the event of an emergency.
- In a 2-day workshop, it is expected that participants will have agreed on an outline/draft document – either as an independent / standalone document, or integrated into a wider organisational policy or strategy. Follow-up will be required after the workshop will be required to finalise it.

### Key Points to Emphasise



- The trend is towards increased likelihood and severity of humanitarian crises, as well as more protracted crises, across the 'global south'. Many 'development' contexts also face recurrent drought/floods – e.g. Malawi, Zimbabwe, Ethiopia, Kenya, etc.
- Our mandate and the humanitarian imperative compel us to respond to crises when we can, potentially in contexts where we do not have a humanitarian programme or humanitarian experience.
- Therefore, organisations need to have clear criteria in place to enable an objective decision to be taken on whether to respond/not to respond (and how to respond) in the event of an emergency. This is critical to ensure quick, effective and appropriate decision-making.
- If a crisis does occur and an organisation decides to respond, a crisis-specific humanitarian response strategy should be developed at that stage.

Time	Activity	Materials / Preparation Needed
15 minutes	<p><b>Introduction: overview of organisational policy on humanitarian response</b></p> <p>Guide plenary discussion to get an understanding of the organisation's current humanitarian policy / strategy / approach, using questions to prompt:</p> <ul style="list-style-type: none"> <li>· Is there an organisational humanitarian policy and/or strategy in place?</li> <li>· What are the sectoral areas of focus for the organisation in humanitarian response?</li> <li>· How is a decision made to respond to a crisis?</li> </ul>	
80 minutes	<p><b>Group Work: Agreeing on Criteria and Approach in the event of a Crisis</b></p> <p><b>Step 1</b> Split the group into teams of 4 – 6 – or alternatively, conduct the discussion in plenary.</p> <p><b>Step 2</b> Give each group 2 strategic questions to discuss (as per PowerPoint and Printout), with the following instructions:</p> <ul style="list-style-type: none"> <li>· Debate each question and try to reach a consensus within the group on what the organisational position should be</li> <li>· For each question, rank the answers/criteria in order of priority</li> </ul> <p><b>Step 3</b> Return for plenary discussion and debate. Take note of any decisions that are reached on priority criteria or the organisation's approach.</p> <p><b>Step 4</b> Identify focal points to finalise an organisational document, in consultation with senior management.</p> <p><b>Step 5</b> To wrap up the discussion, emphasise the importance of developing a context-specific emergency response strategy when a crisis occurs. This should include e.g. details on partners and stakeholders, type of intervention, budget, length of response, exit strategy etc.)</p>	<p><b>Available Tools online:</b></p> <ul style="list-style-type: none"> <li>· <a href="#">PowerPoint 4a</a></li> <li>· <a href="#">Printout 4b</a> (with questions for group work)</li> </ul> <p><b>Notes for Facilitator</b></p> <ul style="list-style-type: none"> <li>· Consider the composition of the different groups carefully. Where possible, ensure that board members and/or senior management are represented in each group to guide the discussion in line with organisational policy and mandate.</li> <li>· Questions 5 &amp; 6 in the Printout are particularly relevant for finance, HR and admin staff.</li> <li>· Consider identifying a note-taker for the group feedback and plenary discussions to capture any decisions reached.</li> <li>· It may not be possible to reach a decision on all questions within the workshop. If so, there should be an agreement on next steps and timeframe for a final decision.</li> </ul>

## 2.5 MODULE 5: STAKEHOLDER MAPPING AND HUMANITARIAN COORDINATION MECHANISMS

### Session Objectives

By the end of the session, participants will:



- Have completed a mapping of potential stakeholders for collaborating with in the event of a crisis, including the identification of priority actors to engage to strengthen relations with;
- Understand how humanitarian coordination mechanisms operate in a typical emergency response and what coordination mechanisms currently exist in their areas of operation;
- Understand the importance for local actors of engaging with humanitarian coordination mechanisms.

### Outputs from the Session



- A detailed mapping of stakeholders and coordination mechanisms for the given context.
- Agreed actions identified for strengthening engagement with priority stakeholders and coordination mechanisms in advance of a humanitarian crisis – for inclusion in the EPP Plan.

### Key Points to Emphasise



- The values of working in collaboration with others stakeholders (government, UN, other humanitarian actors, private sector) to enhance the quality of a humanitarian response
- The importance of mapping external stakeholders and building strategic relationships in advance of a crisis in order to be able to collaborate effectively when a crisis hits.
- As part of the localisation agenda, it is critical that local actors are supporting to take a leading role in humanitarian coordination mechanisms. This is also often a donor requirement in order to access funding. Important, therefore, to identify and try to minimise barriers that may exist that restrict local actor participation (including language, distances, top-down approach in meetings, etc.)
- Because of resource constraints (time, personnel), it is not practical to engage in all coordination mechanisms and hence prioritisation should be considered – informed by the sectors we are working in.
- Participation in the Protection Cluster is strongly encouraged regardless of the sector of response. Understanding the protection risks in an emergency is essential to ensure assistance is provided in a safe, accessible and dignified manner and a Do No Harm approach is adopted.
- Engaging in coordination mechanisms requires planning and clear roles and responsibilities. A Focal Person should be assigned for each cluster/group to attend and feed back to the wider country team.
- There are usually webpages or email lists designated to each of the sector areas in a large scale crisis which provide important information on assessments, tools, guidance, coordination, funding, etc.



Time	Activity	Materials / Preparation Needed
60 minutes	<p><b>Group Activity: Stakeholder Mapping</b></p> <p><b>Step 1</b> Form groups of 4 – 6 participants, led by Programme Officers. Finance and admin staff should be allocated across the groups to add additional support/input.</p> <p><b>Step 2</b> Ask each group to draw a stakeholder map of the area of operation on flipchart paper.</p> <ul style="list-style-type: none"> <li>· Place the affected community at the centre of a large flipchart page.</li> <li>· Conduct a brainstorm within the group of all stakeholders relevant to the response in the area of operation – including the partner organisation, as well as other local and international actors, government/local authorities, private sector, etc.</li> <li>· Start to place those stakeholders on the stakeholder map (either on post-it notes or by writing directly onto the map) – positioning those stakeholders with the closest relationship to the community nearer the centre of the map and those with least relationship with the community towards the edge of the map.</li> </ul> <p><b>Step 3</b> Review the map and start to layer in humanitarian coordination mechanisms that exist in areas of operation (e.g. clusters, coordination groups, technical working groups, etc – UN, government, international and local platforms, etc.).</p> <p><b>Step 4</b> Show connections between your organisation and other stakeholders: draw a line if there is collaboration, or a dotted line if there is limited connection but no real collaboration.</p> <p><b>Step 5</b> Identify gaps in relations and coordination – what stakeholders do you not have relations with? What key coordination mechanisms do you not have relations with? Is it important to establish a relationship? How will it help with EPP or response?</p> <p><b>Step 6</b> Take note of identified priority stakeholders and coordination meetings (see suggested templates online). Identify any Actions for the organisation in terms of establishing stronger links with priority stakeholders or coordination mechanisms for inclusion in the EPP Plan.</p>	<p><b>Available Tools online:</b></p> <ul style="list-style-type: none"> <li>· <a href="#">Stakeholder Mapping Template</a> – if helpful for capturing key decisions</li> </ul> <p><b>Notes for Facilitator</b></p> <ul style="list-style-type: none"> <li>· This exercise should build on the discussion points from Module 4 on the humanitarian approach and strategy for response – conduct the stakeholder mapping for identified priority areas</li> <li>· Support participants in the group work to focus on the most relevant stakeholders (e.g. location, sector) for humanitarian response in their areas of operation, including UN, INGO, NGO, local civil society groups, community structure and local authorities.</li> <li>· Make sure that the mapping includes an analysis of donors/funding sources to inform a donor strategy. If this does not come out of mapping initially, you may need to include it as an additional step in the process.</li> </ul>

Time	Activity	Materials / Preparation Needed
40 minutes	<p><b>Plenary Discussion: Humanitarian Coordination</b></p> <p><b>Note:</b> The level of detail required in this exercise depends on how much knowledge the participants already have of the humanitarian coordination system. If they are very experienced, this exercise may not be required (or can be incorporated into the plenary discussions in the stakeholder mapping exercise above).</p> <p><b>Step 1</b></p> <p>Conduct plenary discussion with participants on the humanitarian coordination architecture. Key questions:</p> <ul style="list-style-type: none"> <li>· What do participants know about the cluster / humanitarian coordination system?</li> <li>· What are the key tasks / roles of a cluster?</li> <li>· What are the benefits and challenges for local NGOs of participating in clusters?</li> <li>· What steps could Trócaire/local partners take to increase the participation of local NGOs in the cluster system?</li> <li>· Does the organisation need to take any action to strengthen to be taken ( collaboration ) to have a stronger role in clusters?</li> <li>· Do you feel a need to include action points in your EPP on participation in humanitarian coordination system?</li> </ul> <p><b>Step 2</b></p> <p>Give a briefing on the global and country level humanitarian coordination system in a typical emergency – e.g. what clusters/working groups typically exist at global, national or subnational level; when they are activated and deactivated; how they work; what their objectives are; who leads/chairs them; who participates in them, etc.</p> <p><b>Step 3</b> <i>(optional additional exercise)</i></p> <p>If this has not been adequately covered in the stakeholder mapping exercise above, complete the Coordination Mapping template.</p> <ul style="list-style-type: none"> <li>· Split the participants into groups of 4 – 6.</li> <li>· Ask each group to complete the Coordination Mechanisms Mapping template</li> <li>· Group feedback and plenary discussion to identify priority coordination mechanisms to engage with in the event of a crisis.</li> </ul>	<p><b>Available Tools online:</b></p> <ul style="list-style-type: none"> <li>· <a href="#">PowerPoint 5a</a> – Slides 2 – 5. Includes overview of 6 key tasks of cluster.</li> <li>· <a href="#">Coordination Mechanisms Template</a> (<b>print in advance</b> if using)</li> <li>· <a href="#">Handouts 5c</a>: 1) a 3-page overview of coordination architecture, and 2) a more detailed briefing (if needed) on how the clusters function.</li> </ul> <p><b>Notes for Facilitator</b></p> <ul style="list-style-type: none"> <li>· Use the previous exercise on the stakeholder analysis to get a sense of how much knowledge the participants already have of this area.</li> <li>· Good to do some background reading before this session – see the Reference Model for Cluster Coordination document in Box for more information.</li> <li>· Make the link between humanitarian coordination and localisation. It is critically important that local actors are supported to take a leading role in coordination mechanisms (and is often a donor requirement if they want to access funding).</li> <li>· Local partner experience is often that coordination mechanisms are inaccessible, UN focused or not useful. It is important to explore these concerns and identify potential solutions (e.g. advocacy, Trócaire accompaniment, local language translation, etc.)</li> </ul>

## 2.6 MODULE 6: RESPONSE TIMELINE, ROLES AND RESPONSIBILITIES

### Session Objectives

By the end of the session, participants will:



- Have identified the key actions required at each stage in the emergency response timeline – before, during and after the crisis;
- Have developed an EPP Action Plan for key actions required before an emergency;
- Have clearly allocated various roles and responsibilities to different functions of the organisation for each stage of the emergency response;
- Have clarity on the central role that support services (HR, logistics, finance) play in emergency preparedness and response;
- Have updated EPP Action Plan and List of Roles / Responsibilities for response, drawing on the discussions from the exercise.

### Key Points to Emphasise



- Discuss the importance of clarifying roles and responsibilities of different staff members / departments before and in the event of an emergency
- Emphasise that humanitarian response needs proactive engagement of all departments in the organisation.

### SESSION PLAN

⌚ Total session time: 175 minutes

Time	Activity	Materials / Preparation Needed
15 minutes	<p><b>Plenary Discussion</b></p> <p><b><i>Start the plenary discussion by emphasising:</i></b></p> <ul style="list-style-type: none"> <li>• The importance of Humanitarian response capacity in advance of a crisis is essential for timely and effective response</li> <li>• Organizational Improvement plan is the core of any organisation's EPP process</li> </ul> <p><b><i>Open the Plenary for participants to reflect on:</i></b></p> <ul style="list-style-type: none"> <li>• What organizational system and process must be in place to respond effectively to emergencies?</li> <li>• How does the organizational system and processes for emergency response differ from development programmes?</li> </ul> <p><b><i>In wrapping up the Plenary Discussion:</i></b></p> <ul style="list-style-type: none"> <li>• Explain and introduce the next session – including an overview of the major milestones / steps in an emergency milestone</li> <li>• Discuss the importance of clarifying before an emergency what the roles / responsibilities of different staff members / departments will be in the event of an emergency</li> <li>• Emphasise that humanitarian response needs proactive engagement of all departments in the organisation.</li> </ul>	<p><b>Available Tools online:</b></p> <ul style="list-style-type: none"> <li>• <a href="#">Power Point 6a</a> – Slide 1</li> </ul>

Time	Activity	Materials / Preparation Needed
70 minutes	<p><b>Group Exercise: Emergency Timeline and Actions</b></p> <p><b>Step 1</b> Divide participants in 2 – 3 groups.</p> <p><b>Step 2</b> Arrange the coloured timeline cards on the floor – one set per group (see timeline in PowerPoint).</p> <p><b>Step 3</b> Provide the groups with blank cards to write up actions that needs to be taken at different stages of a crisis situation – as per the coloured timeline cards.</p> <p><b>Step 4</b> In groups, ask participants to make a list (brainstorm) of all the actions to be carried out at the different stages of an emergency response – as per the timeline</p> <ul style="list-style-type: none"> <li>· Write the actions on blank cards – one action per card – and put them on the floor under each phase of the response as per the timeline.</li> </ul> <p><b>Step 5</b> Once the groups have exhaustively listed all the actions, bring the groups together. Combine all the actions into one timeline (removing duplications).</p> <p><b>Step 6</b> Categorise the identified actions to the responsible departments/division – e.g. Programme, communications, logistics, HR, Finance, Management – in the organization.</p> <p><b>Step 7</b> Ask the group to review their list in comparison with a worked example that will be shared by the facilitator to cross-check and add any key actions they missed.</p> <p>Note: At this stage of the group work, please reiterate the importance of organization’s support functions to ensure timely and effective response; whereas the vital role of Support functions is often forgotten / not considered.</p> <p><b>Step 8</b> Sequence the actions from 1st to last under each section of the timeline.</p> <p><b>Step 9</b> Prioritise the most important ones to take forward (a few key ones per function).</p> <p><b>Step 10</b> Explain that all the actions identified to be conducted ‘Before’ the emergency will be converted into an EPP Action Plan. Whereas, all the actions that needs to be conducted during and after the emergency will be delegated to the different departments of the organizations as their role &amp; responsibility.</p>	<p><b>Available Tools online:</b></p> <ul style="list-style-type: none"> <li>· <a href="#">PowerPoint 6a</a> – Slides 1 and 2</li> <li>· <a href="#">Timeline template</a></li> <li>· <a href="#">Sample completed timeline exercise</a></li> <li>· Worked out examples to ensure the identified action points are exhaustive enough.</li> </ul> <p><b>Preparation beforehand</b></p> <ul style="list-style-type: none"> <li>· Print/write out each step of the timeline on different coloured card (see <a href="#">timeline in the PowerPoint</a>). Have one set per group.</li> <li>· Have blank cards for participants to write up all the action points</li> <li>· Get partner organogram beforehand</li> <li>· Review partner’s existing EPP plan if it exists</li> </ul> <p><b>Notes for Facilitator</b></p> <ul style="list-style-type: none"> <li>· Try to have a good mix of staff (programmes, management, and support services) in each group.</li> <li>· Use probing questions and ensure that the groups list all the actions required – for both programme and support functions</li> <li>· Prompt teams to include actions to mainstream protection – how will they do that? Think <i>access, dignity, safety</i></li> </ul>



Time	Activity	Materials / Preparation Needed
	<p><b>Key Messages</b></p> <ul style="list-style-type: none"> <li>· Be clear – focus is on helping partners to develop their actions</li> <li>· Tip for facilitating – for each response action, check whether there is a need for preparatory action</li> <li>· Highlight critical points where decisions need to be taken and who will be taking them during the response (and what to do if someone is travelling / sick – delegated responsibility)</li> <li>· Initiate conversation between different functions/departments to debate overlapping roles/responsibilities/challenges between departments in emergencies</li> <li>· Use this session to draw out discussion on staff capacity/gaps – and identify actions for strengthening</li> <li>· In prioritising the most important actions during the timeline exercise encourage the groups to be realistic as much as possible;</li> </ul>	
90 minutes	<p><b>Group Exercise: Action Plan and Roles / Responsibilities</b></p> <p><b>Step 1</b> Divide participants in two groups.</p> <ul style="list-style-type: none"> <li>· Group one will work on the EPP Action Plan, focusing on all the actions identified to be conducted 'before the emergency' phase.</li> <li>· Group two will work on delegating Roles and Responsibilities to each departments of the organisation based on the actions identified to be conducted during and after the emergency situation.</li> </ul> <p><b>Step 2</b> Type up all actions and roles/responsibilities in the template – these will form the basis for the EPP Plan.</p>	<p><b>Available Tools online:</b></p> <ul style="list-style-type: none"> <li>· <a href="#">Template for EPP Action Plan</a> (<b>print in advance</b>)</li> <li>· <a href="#">Templates for Roles and Responsibilities</a> in each department or division (<b>print in advance</b>)</li> </ul> <p>Note: there are two alternative templates/models for ordering all the information into the EPP Plan. It's open to adapt the most convenient template for compiling the EPP plan.</p> <p><b>Notes for Facilitator</b></p> <ul style="list-style-type: none"> <li>· Where an organisation has no DRR/humanitarian staff, it is even more important to clarify roles and responsibilities in the event of an emergency – considering what role development programme staff may play, for example.</li> </ul>

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