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Prepared by:

Everett M. Ressler	Independent Consultant
Claude de Ville de Goyet	Independent Consultant
Ron Ockwell	Independent Consultant
Gregory Hess	Independent Consultant
Menno Wiebe	(Research)

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Evaluation Management

Evaluation Manager:
Director, Office of Evaluation:

Claire Conan
Caroline Heider

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EXECUTIVE SUMMARY

Overview of Contingency Planning and its context

The Executive Board, in 2000, approved a disaster mitigation policy that positioned preparedness and contingency planning as key elements of WFP's disaster mitigation approach and in 2002 WFP issued its own, internal contingency planning guidelines. WFP defines contingency planning as "*The process of establishing programme objectives, approaches and procedures to respond to specific situations or events that are likely to occur, including identifying those events and developing likely scenarios and appropriate plans to prepare and respond to them in an effective manner*".¹ As such, it is designed to plan responses for specific contingency situations. It is a process which is intended to address both strategic and operational issues, and the planning is normally expected to result in a specific, actionable plan.

Since 2002, contingency planning has effectively been mainstreamed within WFP, albeit without any formal directive, in the context of a corporate Emergency Preparedness and Response Framework (EPRF) document last revised in 2003. At inter-agency level, the Inter Agency Standing Committee's (IASC) Sub-working Group on Early Warning and Contingency Planning, initiated in 2001, developed initial inter-agency contingency planning guidelines in 2002 and updated them in 2007, and inter-agency contingency plans are being formulated in a steadily increasing number of countries. All these developments have taken place in a context of increasing frequency and intensity of extreme events and disasters, economic crisis and emerging risks associated with climate change and pandemics.

-- Evaluation objective, intended audience and methodological approach --

WFP identified the need to review its contingency planning within the overall framework of preparedness in order to determine what has worked and what not, prioritise improvements, and get the best return on the investment. This strategic evaluation is part a set of evaluations focussing on the overall theme of emergency preparedness and response,² and will support the implementation of the current Strategic Plan (2008-2011).

The primary audience for this evaluation is the Executive Board, senior management at headquarters, regional and country levels, and staff holding specific responsibilities for emergency preparedness. However, it is envisaged that it may also be of interest and use to the IASC Sub-Working Group on Preparedness and Contingency Planning as well as, to a lesser extent, other practitioners from NGOs, other UN agencies, donors and academia involved in emergency preparedness.

The objectives of this evaluation are to determine:

The extent to which contingency planning has improved emergency preparedness and contributed to more appropriate, timely, efficient, effective and quality humanitarian action;

¹ Contingency Planning Guidelines, WFP 2002

² The other related evaluations include those of Food Security and Nutrition Information Systems, and of the Effectiveness of WFP Livelihood Recovery Interventions.

The organisational framework for contingency planning and the organisational hurdles confronting contingency plan implementation and preparedness actions;
The coherence of normative guidance and its contribution to useful and appropriate contingency planning; and,
WFP's contribution to humanitarian contingency planning through inter-agency processes.

The methodology used to gather data comprised four elements:

Desk review including a contingency planning literature review; a review of WFP's contingency planning inventory; a review of evaluations on relevant topics; a review of normative guidance; and review of WFP contingency plans;

Field visits to country offices and regional bureaux (detailed below);

Key informant interviews including an initial briefing in WFP Headquarters with OEDE, OMEP, the internal reference group and the external peer review group;

Web-based survey of Country Office Teams (country directors, contingency planning focal points, heads of programme, logistics and administration).

-- Most Important Findings and Conclusions --

The following conclusions apply for most countries visited and there seems little reason to believe the situation would be different in other countries. Overall, contingency planning, as implemented by WFP until now, has had relatively limited impact on such concrete preparedness enhancement as pre-positioning of stocks, logistical arrangements, improved access to sources of information, pre-approved agreements with partners or authorities. Such contributions have been realized in only a minority of cases and primarily when planning for well-defined, imminent threats. However, depending on participation in the process, benefits have accrued in terms of greater awareness of risks, anticipation of some problems, improved understanding of potential response strategies among participants, anticipation of some problems, team building and improved coordination within WFP and with partners. Furthermore, the evaluation concluded that contingency planning as a separate activity had in itself little impact on response. The contribution of contingency planning to WFP preparedness and response has been mostly attributable to the process itself and largely independent of whether the scenario was realistic or the plan relevant to the contingency that actually occurred. The plans themselves were almost never used.

Although the impact is found to have been relatively limited in the countries visited, the investment has almost certainly been worthwhile. The actual level of investment is probably less than \$5 million per year - modest for an organization with an annual budget in excess of \$5 billion and for which emergency response is a critical part of its mission – and quickly recuperated through even modest improvements in effectiveness and efficiency of response. The current “return on investment” could be increased, however, and the benefits multiplied by higher levels of investment in preparedness including contingency planning.

The contribution of contingency planning to WFP preparedness and response has been mostly attributable to the process itself and largely independent of whether the scenario corresponded to the contingency that actually occurred. The plans themselves were almost never used.

The evaluators believe that the principle reasons are:

- (i) the emphasis placed (in both the guidelines and training) on the production of detailed contingency *plans* for each contingency; and
- (ii) *de facto* reliance on the existence or otherwise of an up-to-date contingency *plan* as the principal criterion for judging the state of preparedness of an office.

The result has been that, in many cases, the contingency planning has been undertaken with the sole aim of preparing a *plan* (or a set of plans for different scenarios). The impact has been further reduced when only a small group of staff has been involved and by the dispersion of effort across different, apparently unrelated Headquarters-generated processes aimed at managing risk.

Although WFP has given considerable attention to preparedness at the corporate level in recent years, contingency planning has been the principal preparedness tool at *country office* level. Its impact has depended on the commitment of the country director and the way the process was conducted – notably the extent to which it was adapted to the situation and needs of the country office at the time – as much as on the support and resources made available. At *regional* level, several bureaux are now prioritizing general preparedness measures over contingency planning within the limits of decreasing extra-budgetary resources since the expiry of the initial DfID support.³

The level of support to country offices from regional bureaux and headquarters has varied over time and among the bureaux. Such support is recognized as being important by the majority country office staff interviewed, and not only for small country offices. The need is for technical guidance and facilitation of the process while the actual planning is done by country staff. Regional bureaux, and sometimes headquarters, have a leading role to play when inter-country (sub-regional-level) planning is needed.

The evaluation found that contingency planning is typically implemented as a distinct, stand-alone planning process with few or **linkages** to either regular planning or other WFP risk-management-related processes that have overlapping objectives and activities. Contingency planning and business continuity planning, for instance, both require much the same analysis of risks and vulnerability of WFP capacity. The former aims to expand the capacity to attend new priorities when the latter is, independently aiming to maintain minimum capacity (“essential routine programmes”). Similarly, the current pandemic planning in many country offices illustrates the conflict of interest inherent in planning separately for staff protection and business continuity to the exclusion at present, in many countries, of a potentially expanded role of WFP to help meet the needs of affected populations.

The existing **normative guidance** is generally appreciated for its conciseness but universally recognized as in need of up-dating. Initial steps have been taken with the ongoing development of a contingency planning toolkit available online. However, additional, more fundamental revisions are needed to introduce more general preparedness planning in many contexts where the preparation of specific, scenario-based contingency plans may not be the most appropriate approach. At the same time, initiatives taken by some country offices and regional emergency preparedness and response (EPR) officers in developing new formats provide a basis for proposing more concise plans tailored to field needs. Greater use should also be made of simulation exercises to raise awareness and test preparedness and existing contingency plans and

³ The investment in contingency planning in the early 2000’s was largely funded through the DfID-supported Institutional Strategy Partnership (ISP).

familiarize/refresh staff concerning their responsibilities in response in the particular country/emergency context.

WFP has played an important role in promoting, and developing global guidance for, **inter-agency contingency planning** and has contributed to, and in some cases led, inter-agency contingency planning at country and sub-regional levels. In the last few years, WFP has contributed to as many inter-agency plans as it has prepared WFP plans. Many staff interviewed supported the belief that WFP should participate and support inter-agency contingency planning. However, when the inter-agency process is poorly implemented it is of little added value to WFP efforts, a conclusion supported by other agencies as well. Still, there is a need to ensure greater complementarity between the two processes in practice along the lines already indicated in the inter-agency contingency planning guidelines. In the early years of the contingency planning roll out WFP often played a lead or facilitation role in contingency planning effort of UN country teams (often with UNICEF or UNHCR) but the evaluation found this to be the exception over the last few years. Greater clarity is also needed on the contingency-planning-related role of WFP as lead or co-leader of country-level food, logistics and emergency telecommunications clusters.

-- Main Recommendations --

The evaluators propose three overall, strategic recommendations, each with a number of associated operational recommendations:

1. Re-conceptualize contingency planning from being a stand-alone operational planning activity to an element in an integrated strategic problem-solving process conducted within an overall inter-agency framework. [Action: OM-OMEP, OEDAM]

Specific operational recommendations include:

- Prepare detailed contingency plans only for imminent or well-defined threats while focusing on risk analysis and general preparedness in other cases
- Establish risk analysis, preparedness review and contingency planning, when needed, as an integral part of regular planning, management and reporting processes
- Integrate common elements of contingency planning activities, ,business continuity planning, risk management processes, security and pandemic planning
- Reorient contingency planning to more specifically solve problems and build preparedness capacities
- Continue to be proactive in supporting, and seeking complementarity with, inter-agency planning
- Reinforce the links with early warning systems

2. Re-affirm and consolidate commitment to – and support and accountability for – preparedness including contingency planning as and when appropriate. [Action: Executive Board, Senior Management]

Specific operational recommendations include:

- Reaffirm leadership commitment and clearly define responsibilities for preparedness and contingency planning with related accountabilities and incentives for staff in all functional areas.
- Ensure a stronger base to provide technical support and quality monitoring related to preparedness and contingency planning

- Establish cost-benefit measurement and adequate long term funding for preparedness and contingency planning

3. *Build on field experience and initiatives to update the guidance materials and further develop skills while also institutionalizing the recommended revised approach.*

[Action: OMEP, RBx]

Specific operational recommendations include:

- Revise and update the guidelines
- Promote wide participation in the planning process while maintaining confidentiality for the sensitive elements of scenarios
- Assure appropriate skills development among staff in all functional areas (include modules on preparedness and contingency planning in existing training activities)
- Strengthen arrangements for contingencies which may become corporate emergencies

1. INTRODUCTION

1.A Context

1.A.1 Concepts and Practice in the Humanitarian Field

1. To put in perspective WFP's efforts to bolster its preparedness and humanitarian response over the period of this evaluation (2002-2008), it merits note that planning and preparedness for emergencies have remained concerns of humankind from antiquity. Planning and preparedness are not recent innovations. Throughout the 20th century, each major crisis gave rise to new international initiatives aiming to prevent similar crises and to improve emergency response through various forms of planning and preparedness.
2. With regard to the UN, the first call for improved emergency preparedness and coordination came in the early 1960s. In the early 1970s, particularly after the Nigerian civil war, a massive earthquake in Peru, a devastating cyclone and tidal surge which hit what was then East Pakistan (now Bangladesh), and a massive famine in Ethiopia, agencies were called to improve their preparedness and response capacities, and the office of the United Nations Disaster Relief Organization (UNDRO) was formed in a further bid to improve preparedness and international humanitarian assistance; weak preparedness planning was considered a key gap. With each new emergency, performance gaps were identified and increasingly more robust preparedness and response mechanisms within UN agencies were called for – special financial arrangements, stockpiling, emergency planning, manuals and guidelines, and so forth.
3. Review of the many calls for change in international humanitarian preparedness and response over the 20th century reflects two trends -- a continuing evolution from *ad hoc* humanitarian action to more structured systems of emergency response, and the decentralization of emergency preparedness and response efforts with increasing attention on preparedness at the country office level. These same foci are reflected in WFP efforts to improve preparedness and response over time. A core operative assumption has persisted: "(I)n all situations it is evident that pre-disaster planning forms an important basis for effective action."⁴ While improving planning and preparedness for emergencies has remained a continuing effort for a very long time, the term "contingency planning" in humanitarian action is more recent.
4. Under the rubric of emergency planning, UNHCR introduced "contingency planning" as a planning tool in the early 1980s, well before other agencies, after the Cambodian crisis and as part of their efforts to improve preparedness and response capacities. By the early 1990s UNHCR was distinguishing between "institutional preparedness" and "situational preparedness", with contingency planning being the tool to achieve situational preparedness. For UNHCR, contingency planning was to be initiated in the face of a specific potential refugee crisis, implemented as a planning process (not just development of a document), "owned" by the respective units in an office, and used as

⁴ Macalister-Smith, Peter, *International Humanitarian Assistance: Disaster Relief Actions in International Law and Organization*, Martinus Nijhoff Publishers, 1985, p73.

reference materials to aid operational planning when the situation developed. Contingency planning guidelines were formalized in 1996. Technical support to help country offices develop contingency plans was provided by specialized “emergency preparedness and response officers” based in Headquarters. The same system remains operative today, with consideration by the organization of the need to revise its guidelines and approaches in light of changing international context.

5. UNICEF began to give specific attention to preparedness and contingency planning in the mid-1990s in the midst of the Great Lakes crisis, piloting there “emergency preparedness and response planning (EPRP).” A global programme to institutionalize preparedness and response planning in all offices at country, regional and headquarters levels began in 2000 and continues today, supported by specialized regional and headquarters based emergency staff. UNICEF sees contingency planning as a specialized planning function within preparedness planning, understands contingency planning as planning for a specific emergency, with the difference between preparedness and contingency planning being degree of specificity. UNICEF preparedness and response planning, as with others, stresses the importance of integration, focuses on the planning process rather than “a plan”, and believes the planning must have ownership by those expecting to benefit from it. UNICEF holds that planning must be linked to preparedness actions, and expects each office to have in place a “minimum level of preparedness”. Preparedness and contingency planning are perceived to be more effectively sustained if supported by simulations and training. Over the past 8 years the principal preparedness and contingency planning tool has been modified three times to improve process, and adjust the level of detail in the planning.
6. Larger NGOs have, like UN agencies, grappled with preparedness and contingency planning over many years. For many years CARE used the term “emergency operations planning,” and by 1995 had already institutionalized a global policy that emergency operations plans were mandatory for every CARE country office; they were to be reviewed every year and rewritten every 3 years unless there was an emergency requiring an earlier review and update. They have recently changed the name of the process to “Emergency Preparedness Planning” which includes a contingency planning element to be implemented in the face of an unfolding emergency. Similar challenges have been faced by all agencies – difficulty in keeping the plans current and relevant, often heavy detailed plans which prove of little use, the tendency to complete a plan as a bureaucratic obligation rather than as a planning function. Oxfam uses the term “contingency planning” and envisages it as a planning expectation for all country offices and a process to be updated regularly with a review of risks and an assessment of preparedness.
7. In 2001 the IASC Sub-working Group on Early Warning and Contingency Planning was initiated as a technical forum for matters related to contingency planning, preparedness and early warning, chaired jointly by WFP and UNICEF with active participation from agencies involved in preparedness and contingency planning. It has functioned since then as the principal forum at the international level for operational agencies within the IASC on related issues. The Sub-working Group is recognized as having substantively impacted preparedness, contingency planning and early warning efforts. In addition to active exchange of experience, the group worked collectively to

develop new early warning tools, support of inter-agency contingency planning in specific emergencies, and to develop inter-agency contingency planning guidelines developed initially in 2002 subsequently updated in 2007. In the same year the Sub-Working Group organized a 1st global consultation of contingency planners in humanitarian agencies. All such efforts were driven by agreement to work collaboratively, with a proactive, problem-solving orientation.

8. Support provided by DfID deserves special mention with regard to the strengthening of preparedness and contingency planning over the period from 2002-2008, the organizational capacity building initiative. For WFP and other key operational UN agencies, the DfID capacity building support inspired and made possible efforts to enhance capacities in preparedness and contingency planning. Other donors also contributed and do so still.

1.A.2 Literature Review

9. Many limitations exist with regard to the literature on emergency/contingency planning in the international humanitarian field: the body of research specific to international agencies or at global level is small, most academic literature focuses on issues within a particular country, and most of the literature available on emergency issues is drawn from research in higher income countries. Nevertheless, even a cursory review confirms that virtually every issue related to contingency planning and preparedness addressed in this evaluation has been an enduring research topic. Other organizations also confront these same issues, suggesting that most are generic to preparedness and emergency planning.
10. Academic literature in the emergency management field generally focuses on the broader field of planning in the emergency context, rather than contingency planning, while dealing with the same issues. A complicating factor in that no standard terminology or common definitions are in use and many of the terms are used interchangeably, such as emergency management, risk management, crisis management, as well as preparedness planning, contingency planning and, more recently, “continuity of operations planning.” As Canton observes, a large variety of crisis-related plans are to be found with similar sounding names and purposes – response plans, emergency plans, crisis management plans, disaster plans, mitigation plans, business continuity plans, etc. While many aspects may be similar, each has a different emphasis and a different promulgating group. They may overlap, duplicate work and can cause confusion resulting in staff ignoring all plans.⁵
11. The question as to what constitutes effective emergency (or contingency) planning has been a research concern for many years and is central to this evaluation. Planning approaches remain a critical issue for the concept on which planning is based greatly influences form, process and outcomes. In efforts to strengthen preparedness and response systems one of the more common approaches in emergency/contingency planning is to impose more rigid authority structures, more directive types of management, and more centralized decision-making and information flow. In short, a model borrowed from military organization, assumed by some as more efficient.

⁵ Canton, Lucien G., *Emergency Management – Concepts and Strategies for Effective Programmes*, John Wiley & Sons Publications, 2007, p194.

Disaster research suggests, however, that this model, sometimes referred to as “command and control,” is simply the wrong concepts for the system of shared governance that comprises the emergency management system.”⁶

12. Dynes argues, on the basis of disaster research over several decades, that emergency/contingency planning will be more effective if based on a *problem-solving* model. He suggests that planning should be directed toward achieving an effective response, should focus on overcoming problems and should anticipate the need for improvisation in the response period; improvisation in response is not a failure in planning. Emergency planning should be directed toward mechanisms and techniques which promote inter-organizational coordination and common decision-making, rather than detailed definitions of what should be done for every contingency. In planning, for the new and unexpected problems which will be encountered in an emergency, it should be assumed that, with support, the individuals and structures impacted can cope; that working through existing structures is more likely to be effective than creating new or specific authority structures; that social units will make rational and informed decisions; that autonomy in local decision-making should be valued (rather than centralized). He argues that premium should be placed on flexibility, initiative and coordination, and that planning which increases rigidity diminishes effectiveness.⁷
13. Based on many years of research, Quarantelli⁸ offers ten general principles for good disaster planning, still held to be valid by the disaster research community: 1) Focus on the process rather than the production of a written document ... “If the writing of plans is the major focus, it can be assumed that the planning will not be good.”⁹ 2) Recognize that disasters differ qualitatively and quantitatively from minor emergencies and everyday crises. 3) Be generic rather than agent specific (emergency type). 4) Emphasize emergent resource coordination and not a command and control model. 5) Focus on general principles and not specific details. 6) Focus on what is likely to happen. 7) Be vertically and horizontally integrated. 8) Strive to evoke appropriate actions by anticipating likely problems and possible solutions or options. 9) Use the best social science knowledge available. 10) Recognize that crisis time disaster planning and disaster management are separate processes.
14. Choularton in his important review of practice¹⁰ offers nine key principles of contingency planning: contingency planning should be practical, simple, realistic, resource intelligent, process driven, participatory, monitored, regularly tested, and regularly updated.

⁶ Drabek, Thomas, ...1986, p86, quoted by Dynes in *Community Emergency Planning: False Assumptions and Inappropriate Analogies*, *International Journal of Mass Emergencies and Disasters*, August 1994, Vol. 12, No.2, pp. 141-158.

⁷ Dynes, Russell R., “Community Emergency Planning: False Assumptions and Inappropriate Analogies,” *International Journal of Mass Emergencies and Disasters*, August 1994, Vol.12.No.2, pp.141-158.

⁸ Quarantelli, E.L. “Major Criteria for Judging Disaster Planning and Managing their Applicability in Developing Societies.” *Disaster Research Center, Preliminary Paper 268*, 1998.

⁹ *Ibid.*, p.5.

¹⁰ Choularton, Richard. *Contingency planning and humanitarian action: a review of practice*, 2007, commissioned and published by the Humanitarian Practice Network at ODI, London.

15. In consideration of the WFP approach to contingency planning, it may be helpful to consider Canton's observation that in general practice emergency/contingency planning has evolved from scenario-based planning which focuses on situations, to functionally-based planning which focuses on tasks, to a more recent approach which focus on capacity-based planning which seeks to establish appropriate organizational capacities for whatever emergency may be faced.
16. Almost without exception, the academic literature emphasizes the importance of the planning process over production of a plan. With regard to plans, the research community almost universally asserts that the *level of detail in plans is inversely related to their resulting usefulness* as well as long term sustainability of contingency planning practices. Canton like many others suggest that a plan is never more than a snapshot of an organization's intent at a specific time, and that a real risk exists of using plans to create an illusion of preparedness which he refers to as the "paper plan syndrome." As WFP experience also confirms, disaster research does not support the notion that the development of detailed contingency plans as carefully scripted operational plans is likely be effective.

1.A.3 Best practices for Effective Contingency Planning

17. The box below presents best practices and necessary (or enabling) conditions distilled from three recent, key documents on contingency planning for response to humanitarian emergencies.¹¹ Clearly the challenge is to apply such practices without heavy bureaucratic processes.

Best practices

Contingency planning (planning for a specific threat) is distinguished from general preparedness planning and one or the other is undertaken as and when appropriate to the needs of the situation: generic planning for preparedness for multiple hazards is more appropriate for regular (e.g. annual) reviews and updates; detailed and specific scenario-based contingency plans are appropriate when early warning systems identify an emerging crisis and when parameters for a potential crisis can be clearly defined (e.g. earthquake in the Kathmandu valley or recurring floods in Bangladesh).

Contingency planning is most effective when:

- ✓ it is recognized as being a management (not a technical) function and is led by – has the strong commitment of – senior decision-makers;
- ✓ it is a participatory process that includes all those who will be required to work together in the event of an emergency – this includes finance, administration, human resources and ICT

¹¹ The documents are:

- *Challenges and Suggestions for Enhancing Inter-Agency Contingency Planning* – Report of the 1st Global Consultation of Contingency Planners in Humanitarian Agencies, Geneva, IASC sub-working group on preparedness and contingency planning, July 2007
- *Contingency planning and humanitarian action: a review of practice, chapter 7 Conclusions and challenges for the future*, R Choularton, ODI-HPN Network Paper No.59, March 2007
- *Inter-agency contingency planning guidelines for humanitarian assistance*, IASC sub-working group on preparedness and contingency planning, Nov. 2007

The points are not in any order of priority but rather in a logical, sequential order.

- staff – and deliberately seeks to enhance coordination [among units and organizations];
- ✓ it starts with an assessment of humanitarian needs but also assesses response capacity to identify and find ways to overcome gaps;
 - ✓ it is linked with national systems [whenever possible] and takes account of existing community-based disaster management practices, the current status of preparedness measures and systems, and government plans;
 - ✓ it is an ongoing process that includes regular reviews and updating;
 - ✓ it is integrated into ongoing planning processes;
 - ✓ it is linked with early warning and other information and decision-making systems;
 - ✓ it is facilitated by someone who has both good contingency planning experience and facilitation skills (who supports and guides but does not do the planning or writing);¹²
 - ✓ actual planning is undertaken by country office staff;
 - ✓ detailed baseline information [on the population, livelihoods, socio-economic conditions, etc.] is available and used to define the expected impact on specific population groups;
 - ✓ it incorporates and builds on lessons from previous emergency responses;
 - ✓ the full range of hazards and risks are considered and appropriately prioritized through systematic risk analysis;
 - ✓ scenarios are used as tools to explore, describe and analyze possible impacts and details are developed only to the extent needed for that purpose (detailed scenarios are almost always wrong);¹³
 - ✓ early warning networks and [relevant scientific and research] organizations are drawn on when developing scenarios;
 - ✓ planning assumptions outline both the possible humanitarian needs and potential operational problems and constraints;
 - ✓ partners agree on objectives, appropriate response strategies and responsibilities including how the initial assessment will be undertaken, standards to be observed, arrangements for information management, etc. (this would ideally be done in the context of a sector/cluster group);
 - ✓ the final plan is concise and easy to use; separate elements may be presented for or used by different users (senior decision-makers, sector specialists and donors);
 - ✓ the level of detail in the plan is adapted to the need; plans include only the detail required to inform needed preparedness actions, assure response capacities and resolve anticipated problems (avoid ‘over-planning’ or inserting too much detail – the “consolidation trap”);
 - ✓ triggers are identified to determine when to take specific preparedness or response actions;

¹² Technical support for inter-agency contingency planning should be “multi-agency”, not from a single agency or body.

¹³ The development of scenarios and related planning assumptions jointly with partners can contribute to shared understandings and coordination.

¹⁴ Research shows that emergency managers rely fundamentally on past experience to guide their decisions in crises, and that simulations are effective ways of building an emergency manager’s experience base. See Flinn, *Sitting in the hot seat*, quoted by Choularton, 2007.

Contingency planning should enhance the quality of humanitarian assistance, not just its rapidity.

Preparedness and contingency planning should be seen as tools and processes for change – helping to define needs, address potential problems, clarify roles, improve coordination, and generate practical action, not simply as the production of a document or plan.

Simulation exercises should be used to test [the state of preparedness and] contingency plans and build response capacity.¹⁴

The success of contingency planning should be judged on the basis of the process elements above, not the number of plans produced.

Necessary (or enabling) conditions

- Accountabilities for preparedness and contingency planning are clear at all levels (country, regional and headquarters); it is included in staff terms of reference and performance appraisal;
- Oversight and quality assurance is assured; this may include peer review networks or preparedness audits to assess strengths and identify gaps;
- Appropriate guidance, toolkits and training tools are provided; this could include a checklist of actions to take in preparation for a contingency planning exercise;
- Clarity on when to undertake contingency planning and when more general preparedness planning;
- Good preparation for each individual contingency planning exercise;
- Technical and facilitation support is available for country offices/teams (from regional and global levels) and suggested minimum qualifications criteria are available to help identify suitable contingency planning facilitators;
- The roles of global and regional support structures are clear and understood;
- Standard procedures exist for a country office/team to request preparedness and contingency planning support;
- An agreed ‘level of preparedness’ which can be adjusted as the threat level varies;
- Baseline information is available (the same information is needed as a basis for early warning, contingency planning and emergency assessments);
- Effective links exist with other information and decision-making systems including such tools as the IASC Early Warning–Early Action report, and [local and regional] early warning networks and [relevant scientific and research] organizations;
- Resources are allocated – prioritized – for preparedness and contingency planning; funding requirements are included in appeals (but lack of funds is not an excuse for not doing preparedness and contingency planning);
- A (preparedness) framework in which emergency preparedness systems and contingency planning processes reinforce each other to improve the effectiveness of humanitarian response;
- Contingency planning is “mainstreamed”; this may include: making [preparedness and] contingency planning part of the terms of reference for staff (management and all functional

areas); providing adequate time and resources to support the process in core budgets; combining contingency planning with emergency training; and integrating contingency planning into sector working group and cluster work plans; and, as an essential minimum, hazard and risk analysis.

- Measures/criteria exist for [the state of preparedness and] the success of contingency planning; the number of contingency plans produced is not the only [or the principal] measure.
- A lessons learned analysis process where lessons and best practices are identified and put into action.

1.A.4 Evaluations and Lessons Learned Exercises

18. The number of evaluation studies specifically focused on emergency preparedness remains relatively small; the majority of related evaluations concentrate on emergency response. Contingency planning as a subset of preparedness receives even less intentional examination. Evaluation reports, when they address preparedness or contingency planning, often provide insufficient distinction between the two. No previous evaluations were found that specifically dealt with contingency planning in WFP.
19. Evaluations almost invariably focused on the importance of organizational agility, creative thinking from staff members, and the critical skill of wedding those intangible elements with deliberate planning to produce an acute sense of anticipation. Evaluators often judged WFP harshly in this regard; evaluations of Sudan (2004), Darfur (2006) and Niger (2006) each offered critiques of organizational barriers or human resource challenges.
20. Evaluations often identified resource mobilization as a key determinant for contingency planning effectiveness. One without the other ends up struggling to achieve balance and potency. Evaluations provide a platform to remind audiences that the weakness of one or both limits an agency's response. WFP's 2005 annual evaluation report urged the agency to improve its contingency planning to cope with fluctuating resources. Other UN evaluations highlighted instances where careful attention to planning either generated more resources or permitted vital resource allocation which political considerations might otherwise have undermined. OCHA's 2006 Horn of Africa evaluation repeatedly emphasized the crucial link between contingency planning and resource mobilization.
21. Some mention of contingency planning exists in evaluations of other agencies, for example, caution expressed about "over-planning" and workload issues resulting from inter-agency responsibilities (UNICEF/Iraq evaluation); suggestion that inadequate existing contingency plans served as an excuse for not taking "a fresh look" (UNICEF/Darfur evaluation); incomplete or lack of planning credited with hampering effective response reported (mentioned in numerous evaluations); contingency plans almost completely unused during emergency response (Oxfam/Capacity Building evaluation); that planning lacks practicality (Oxfam evaluation/DRC).

1.B WFP's Efforts in Contingency Planning

1.B.1 Contingency planning in WFP's broader preparedness agenda

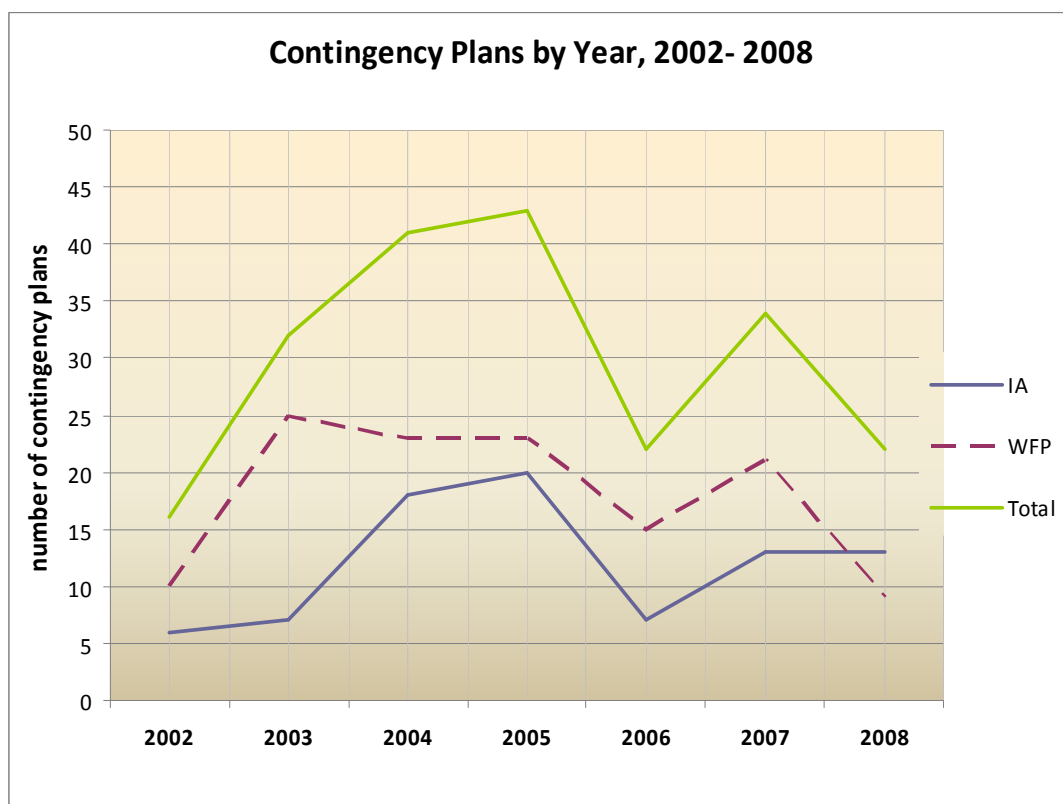
22. In its 1994 Mission Statement WFP identified disaster prevention, preparedness and mitigation as well as post-disaster rehabilitation activities as priority areas. The Executive Board, in 2000, approved a disaster mitigation policy that positioned preparedness and contingency planning as key elements of WFP's disaster mitigation approach. WFP issued its internal contingency planning guidelines in 2002 and the latest version of its overall Emergency Preparedness and Response Framework (EPRF) in 2003.
23. A strong indicator of the scale of its emergency efforts, WFP implemented 600 EMOPs between the beginning of 2002 and March 2008, based on an analysis of standard project reports by OEDE. As a very rough picture, on average WFP responded to about 51 countries or different situations per year. The pattern is not uniform: the highest total number of EMOPs (152 listed) was implemented in 2003 with the number decreasing every year through 2007 (65 being listed). But these figures do not reflect the whole story. Many crises that occur in countries where WFP has an ongoing PRRO are responded to through the existing PRRO, often with a budget revision, while needs arising from minor natural disasters may be met through ongoing development programmes in some countries with no reporting to Headquarters.
24. In recognition of the trends and WFP's evolving role in emergencies, contingency planning took on increased significance in the early part of the period 2002-2008. Anecdotally, several interviewees described contingency planning as "off the radar" at the beginning of the period. Now, contingency planning is well known in concept and in practice across WFP. WFP's work on contingency planning around 2000 was one element of a set of new initiatives organized around the theme of strengthening emergency capacities of the organization, after a study called "Strengthening the Emergency Response Capacities of WFP (SERC). The SERC initiative itself, funded by DfID, had been prompted by the understanding that the organization needed to give a fresh look at its emergency systems and mechanisms in light of the challenging situations it had confronted when responding to multiple and concurrent emergencies in the late 1990s.
25. Work on contingency planning was therefore part of a package of initiatives and activities emanating from an operations review of WFP's recent work on emergencies. More importantly, it was part of a new approach that was aimed at provoking a "cultural" change in the organization, from being "responsive" to being more forward looking and anticipatory in terms of potential risks, threats and upcoming new disasters requiring humanitarian response. It is in this same context that other complementary concepts, initiatives and systems were introduced –corporate early warning, EPWeb, emergency response training, establishment of a situation room and others.
26. Within this broader array of initiatives, the evolution of contingency planning in WFP was marked by a concerted push from 2000 to develop and mainstream the practice. This push was facilitated by strong donor support especially the DfID Institutional Strategy Partnership (ISP) grants. Several milestones and activities highlight the evolution of the broader initiative:

- ◆ The first intensive contingency planning training started in 2001 with the first regional bureau workshop in OMP.
- ◆ WFP issued contingency planning guidelines in 2002 with an associated tool kit on EPWeb; the tool kit was overhauled in 2008.
- ◆ A WFP Emergency Preparedness and Response Framework (EPRF) was developed in 2001-2 and refined in May 2003 with structural, organisational and information preparedness elements including amongst other elements, information systems and management, and operational tools for emergency preparedness.
- ◆ The Emergency Preparedness Branch, ODAP (now OMEP), was established within the Operations Department with the aim of enhancing the effectiveness and responsiveness of field and headquarters units in responding to emergencies through improved preparedness including contingency planning. The function had previously been performed by the Office for Humanitarian Affairs (OHA). In 2008, OMEP was moved to a more strategic position in the organization reporting directly to the Deputy Chief Operations Officer.
- ◆ EPWeb was created in 2002 to make available information, guidance and best practices in emergency preparedness and response and to provide a repository for country offices to assemble their own information relevant to emergencies and preparedness, including contingency plans. Much of the information is available for corporate use but some is restricted (password-protected).
- ◆ Extensive contingency planning training was conducted between 2003 and 2006, resulting in more than 400 persons trained.
- ◆ Inter-Agency Standing Committee (IASC) Guidelines on Contingency Planning were produced in 2002 and updated in 2007 with WFP playing a leading role in their development.
- ◆ WFP assumed the Cluster Lead role for the Logistics and Emergency Telecoms clusters, which includes responsibility for leading cluster-wide contingency planning in these respective sectors.
- ◆ A Web-based contingency planning template is under development and is being made available to WFP Country Offices for testing.

1.B.2 Contingency Planning activities 2002-2008

27. Focused efforts resulted in an expanded practice of contingency planning across the organization. Review of the available data revealed that more than 125 WFP contingency plans were prepared between 2002 and 2008. To this must be added an unknown number of plans prepared at country level that were considered sensitive and not internally circulated or recorded. In the same period WFP participated in over 84 inter-agency contingency planning exercises. However, charting contingency planning by year revealed that while the number of contingency plans prepared by WFP offices appears to have more than doubled from 2002 to 2005 it then declined with the same number of contingency planning processes recorded in 2008 as in 2002. The significant decline around 2006 was probably linked to a marked decline in funding available at that time but there is anyway a distinct downward trend that continued through 2008. This might reflect possible changes in the crisis trends demanding WFP response; diminished reporting, particularly of plans that remained in draft; and, more recently, competing risk planning initiatives, in addition to funding limitations. The number of

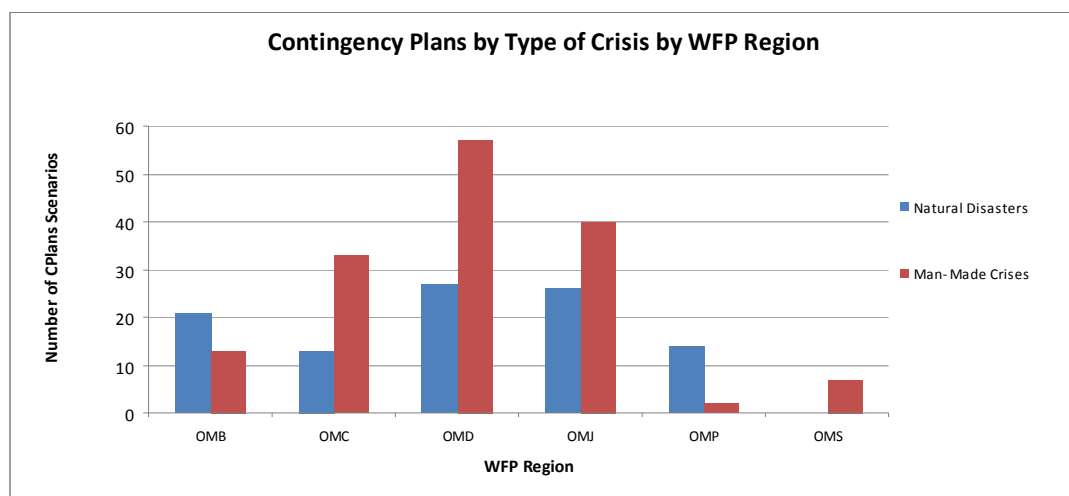
EMOPs approved during the same period declined from a high in of 152 in 2003 to only 34 in 2007.



Source: OEDC Contingency Planning Analysis 2002-2008 (draft 13.01.2009)

28. These planning efforts covered a range of different emergency types – natural disasters, conflicts, other emergencies – including planning for new emergencies and for potential changes in ongoing protracted operations. Overall, 60% of the contingency plans were created for human-made crises and 40% for natural disasters. The split between human-made crises and natural disasters is reflected in the regions.

29. While considerable effort has been put into enhancing general preparedness at the *corporate* level (including procedures, corporate capacities, etc.) during the period under review, 2002-2008 and there have been also some notable specific corporate contingency planning efforts including, for example, Iraq and Sudan. Contingency planning has been relied on as the primary (virtually the only) preparedness tool at *country office* level. At that level, the impact has depended on the commitment of the country director, the way the process was conducted, the extent to which it was adapted to the situation and needs of the country office at the time, and the support and resources made available. At *regional* level attention has varied in the last 3-4 years depending on the priority given to preparedness, including contingency planning, by each RB/RD and the extra-budgetary resources they have themselves been able to raise for EPR since the expiry of the initial DfID supported Institutional Strategy Partnership programme (ISP).



Source: *OEDE Contingency Planning Analysis 2002-2008 (draft 13.01.2009)*

1.C Evaluation Features

1.C.1 Objectives

30. The evaluation is intended to serve dual objectives of accountability and learning with the emphasis on learning. As such, this evaluation:
 - ◆ Assesses the relative success or failure of WFP contingency planning in contributing effectively to emergency preparedness and response to date (accountability).
 - ◆ Determines the reasons for observed success/ failure and draw lessons from experience to produce useful recommendations in order to improve strategic, normative, as well as operational practice and processes (learning).
31. Three primary reasons to conduct this evaluation were defined:
 - ◆ Rapidity of change in the global context as it affects WFP. Not only is the hazard trend tracking higher, but WFP must also contend with underlying variables such as climate change and severe economic uncertainty.
 - ◆ Contingency planning work is due for review: the EPRF is ten years old and the contingency planning guidelines have been in place for more than six years.
 - ◆ Commitment to generating knowledge and using it to refine contingency planning practice across the humanitarian sector.
32. The overall objective of this evaluation is to determine “the extent to which [contingency] planning has led to achieving and sustaining processes for change that improve preparedness and response”¹⁵. To do so, the evaluation addressed four key questions:
 - ◆ The extent to which contingency planning has improved emergency preparedness and contributed to more appropriate, timely, efficient, effective and quality humanitarian action;

¹⁵ ToR para 16

- ◆ The organisational framework for contingency planning and the organisational hurdles confronting contingency plan implementation and preparedness actions;
- ◆ Coherence of normative guidance and its contribution to useful and appropriate contingency planning; and,
- ◆ WFP's contribution to humanitarian contingency planning through inter-agency processes.

1.C.2 Scope

33. The evaluation covers contingency planning over the period from 2002 until 2008.
34. Contingency planning is recognized as but one element of the preparedness tools and processes. While the evaluation considers the extent to which contingency planning and the other preparedness functions are mutually reinforcing, it focuses on the contingency planning process and the factors that may help explain why it has been effective or not. While contingency planning is recognized as an element of preparedness, in line with the ToR, it is not an evaluation of preparedness as a whole. Moreover, it focuses particularly on contingency planning at the country level.
35. The evaluation includes an assessment of:
 - ◆ the normative guidance related to contingency planning including relevant policies and strategies, guidelines, training material and toolbox.
 - ◆ the organisational structure for contingency planning including technical, coordination and management mechanisms and the link between contingency planning and the emergency preparedness framework, notably with early warning.
 - ◆ the results of contingency planning in WFP considering i) the concrete results of the planning process (i.e. preparation, usage and implementation of plans, etc); ii) its impact on humanitarian action and iii) the intangible results of the planning processes such as the relationships or consensus generated.
36. When the first inter-agency contingency planning guidelines were developed in 2001, no more than 15 inter-agency contingency plans could be located. Inter-agency contingency planning was not common in the humanitarian field. That has changed dramatically over the last 8 years with inter-agency contingency planning now expected and common in situations of potential crisis. This change was spurred by a stronger culture of preparedness, the modelling influence of individual agency contingency planning and preparedness efforts, specifically of WFP, UNICEF and UNHCR, by concerted efforts to encourage inter-agency contingency planning, and by senior level managers in the UN requesting inter-agency contingency planning to ensure readiness.
37. In the last few years, an increasing proportion of the contingency planning done by WFP has been with other humanitarian actors through inter-agency processes including, since 2007, the cluster approach. In consequence, the evaluation looks at a cross-section of examples illustrating the various facets of the WFP contingency planning practice to assess the consistency and variations in practice in WFP's approach to both organisational and inter-agency contingency planning.

1.C.3 Method

38. The evaluation was conducted in three phases: (i) Evaluation Structuring: identifying the key issues related to contingency planning in WFP and developing a roadmap for answering the central questions of the evaluation. (ii) Data Gathering and Analysis: building a robust fact base to drive insights and conclusions. (iii) Recommendation Development: analysing the findings and defining the most important strategic decisions and opportunities for WFP regarding the future of contingency planning.
39. At each phase of the evaluation, the evaluation was supported by an internal reference group and an external peer review group. The composition of the groups is given in the Acknowledgements.

-- Evaluation Structuring --

40. As an initial basis for the evaluation's development, the evaluation team first developed a logic model. The logic model looked at the expected objectives of contingency planning in WFP. These included contributing to:
 - ◆ Appropriate conception and implementation of contingency planning;
 - ◆ A higher level of preparedness when contingency planning is well implemented;
 - ◆ A more efficient, timely, effective and appropriate response when contingency planning is well implemented;
 - ◆ Effective inter-agency contingency planning.
41. On the basis of the logic model, the team then developed an evaluation matrix to comprehensively define critical information requirements, potential sources of information and possible means for acquiring that information. Chart 1 (below) shows the linkages among the evaluation questions and evaluation methodology.

43. The literature review helped to establish an understanding of the current state of contingency planning, of gaps in knowledge and understanding, and of current practices in other humanitarian organizations. A summary of findings of the literature review is provided in section 1A.
44. The review of WFP's contingency planning normative guidance, policies and activities included a review of WFP documentation and preliminary briefings with evaluation stakeholders including: the OEDE team, the internal reference group, the external reference group and the preparedness unit in WFP Headquarters.
45. The review of WFP contingency plans sought to deepen the understanding of varied contingency planning practices in WFP and whether there is an associated or causal link between contingency planning and WFP's preparedness and response. Some 40 contingency plans were reviewed in depth, particularly for countries visited by evaluators. Others were examined more superficially.
46. Interviews with country office and regional bureau staff, partners and donors during the field visits generated detailed insights into contingency planning processes, their evolution and consequences. Detailed interview guides were developed to ensure valid comparisons across country office and regional bureau contexts. Within the time and financial parameters of the evaluation, eight country office and three regional bureau visits were conducted. Additional country offices and regional bureaux were interviewed by telephone and included in the web-based survey.
47. The inventory of contingency plans compiled by OEDE, including ninety countries, was used as the starting point for the selection of countries for field visits together with data on EMOPs. A two-stage selection process was then used:
 - ◆ Initially, the team selected a short list of countries with severe multiple hazards within the last three years and comprehensive plans prior to a hazard event. A few countries with no reported contingency plans but with EMOPs or large contingencies in recent years were included as a possible control group. This led to a short list of 24 countries.
 - ◆ A second filter, applied to these 24 countries, aimed to maintain a balance between various factors: the extent of organizational adjustment needed, type of contingency (natural vs. human-induced, slow vs. rapid onset), risk ranking (frequent predictable occurrence versus low probability), severity of impact and regional distribution. Size of country office and strength of government leadership were also considered. One country without a contingency plan was included for comparison purposes.
48. The table below shows the countries identified through the above selection process and those actually visited. Differences – shown as non-shaded countries - are due to the short planning period available and the discretion of CDs to accept or decline a visit of evaluators.

Country office	Proposed	Visited	Country office	Proposed	Visited
Afghanistan		✓	Nepal	✓	
Bangladesh	✓		Nicaragua		✓
Colombia	✓		oPt	✓	✓
DR Congo	✓	✓	Peru (RB)	✓	✓
El Salvador		✓	Somalia (Nairobi)		✓
Guinea	✓	✓	Zimbabwe (RB)	✓	

49. Key actor interviews, in person or by phone, targeted individuals with specific experience or insight on contingency planning in WFP or other agencies. A total of 184 persons were interviewed in person or by telephone over the course of the evaluations. The list of persons interviewed is included as Annex 3.
50. Information gathered from country visits and key actor interviews was supplemented by a web-based Survey of Country Offices. The survey was divided into three audiences with distinct learning objectives:
- ◆ A survey of Country Directors to generate insights into contingency planning leadership and results at country level;
 - ◆ A survey of Emergency Focal Points to gain a deeper understanding of the processes of contingency planning in WFP Country Offices;
 - ◆ A survey of Programme, Logistics and Administration Officers to gain an understanding of the awareness, application and value of contingency planning to WFP staff.
51. The response rates were less than optimal but were sufficient to provide quantifiable insights into contingency planning processes and outcomes. Due to the small sample size, these insights should be read as indicative, not a statistically significant representation of the majority of views. The response rates, broken down by staff position, were:

Position	Target Number	Complete Responses	Percentage of Target
Country Director	30	12	40%
Deputy Country Director	30	5	17%
Head of Program	30	10	33%
Head of Logistics	30	4	13%
Head of Administration & Finance	30	5	17%
Total	150	36	24%

-- Development of Recommendations --

52. Through an iterative process of team discussions and drafting the evaluation report, the team generated an initial set of findings, conclusions and recommendations. The tentative conclusions and recommendations were shared and tested in debriefings and teleconferences with the evaluation stakeholders, namely the OEDE team, the internal

reference group, the external reference group, interested persons from country offices visited and the preparedness unit in WFP Headquarters. The implications of the conclusions and recommendations were discussed but the evaluation team remains confident that the independence of the conclusions and recommendations was not compromised or unduly influenced.

1.C.4 Limitations

53. The evaluation team encountered five principal limitations to its ability to conduct the evaluation in an optimal fashion.
- ◆ The period under review was 2002-2008. In practice, the processes and impacts of contingency planning were more difficult to determine for the initial years because staff involved in earlier planning and response efforts were no longer in country.
 - ◆ The evaluation team was unable to visit several of the country offices ranked first choice and had to choose alternatives. The evaluators regarded the field visits and interviews with key staff in CO and RB as a key element of the evaluation. Team members made special effort to ensure that changes in selection of sites to be visited would not adversely affect the study.
 - ◆ Survey response rates were less than desired. The distribution of the survey may have been limited by the need to channel the survey through Country Directors to their staff.¹⁶
 - ◆ The overall timeframe of the evaluation was driven by the timing of the October 2009 Executive Board meeting. The evaluation team found this timeframe to be quite compact, given the complexities of the topic and the contexts. That said, the OEDE team is to be complimented for their professional approach and accommodations to the schedule to ensure the best possible evaluation in the time available.
 - ◆ Finally, the most significant limitation of the evaluation was the difficulty in attributing causality of outcomes in crisis situations. The complexities of humanitarian preparedness and response make it very difficult to say with confident precision how one factor (in this case, contingency planning) influenced outcomes subject to a wide range of (often immeasurable) factors.

It also deserves mention that the focus of the ToR of the evaluation on contingency planning rather than the broader but underlying issue of preparedness may be a limiting factor in what can be said about contingency planning's contribution to preparedness.

¹⁶ Given this constraint, the OEDE team did an excellent job of sending out reminders to the Country Directors to distribute and advocate for the completion of the survey.

2. FINDINGS

54. Contingency planning is not an end in itself but a tool intended to enhance preparedness and, thereby, contribute to improved response. The evaluation and findings have been structured to consider three central issues:

- ◆ How has contingency planning been understood and practised in WFP?
- ◆ How effective has been the organizational framework (including guidance)?
- ◆ Has contingency planning contributed to better preparedness and response?

Subsidiary issue: What has been WFP's contribution to inter-agency contingency planning?

2.A The Practice of Contingency Planning in WFP

55. How contingency planning is understood and implemented clearly impacts its effectiveness. If contingency planning has not been implemented appropriately, it would be unrealistic to expect any significant contribution to preparedness and response. Also, to make improvements, it is important to identify the elements which influence its utility. The findings on the practice of contingency planning are grouped into four categories: concept, understandings and scope; timing and process; form and content of plans; and links with other planning processes.

2.A.1 Concept, Understandings and Scope

-- Concept and understandings --

56. The evaluators noted a variable understanding of the difference between preparedness and contingency planning. Some interlocutors used the terms inter-changeably while others made a clear distinction (with contingency planning being one among a number of tools to enhance preparedness) and stressed their commitment to preparedness as opposed to contingency planning.
57. Perceptions of the importance of various elements of the contingency planning process also vary. Those expressed by Country Directors (CDs), derived from the on-line survey, are shown in the table below. Significantly, the top three (and two of the others) are not specifically provided for in the existing guidelines and, according to the evaluators' findings, often not done well in practice:

Elements considered as very useful or useful by CDs (N=12)	
Identification of potential problems and obstacles	11
Identification of strategic issues of use to you as CD	10
Identification of ways of avoiding or reducing such problems	10
Scenario building	9
Planning for logistics operations	9
Planning for staffing and overall management systems	9
Enhancing working relationships with partners	8

Team building within WFP	7
Preparation of detailed operational plans	6
Planning for appropriate food security responses	6

58. In terms of attitudes towards contingency planning, logistics and ICT staff were generally found to be more convinced of the value of contingency planning and to practise it more in their daily work than programme staff. This may be a natural orientation for logisticians but may be due in part to the fact that preparedness and contingency planning are explicitly referred to in their job descriptions, which is not the case for programme officers or staff in any other functional area. But there are exceptions. Some logistics officers interviewed felt that they already have all the information and relationships they need and that special contingency planning exercises are unnecessary, while some programme staff who had received training or participated in effective planning exercises are among the strongest advocates. Finance, administration, and human resources staff believe contingency planning should be important but they have not been significantly involved until now in several of the countries and regional bureaux visited.
59. The evaluators find a need for clarification of the concept and role of contingency planning within WFP and its relationship to preparedness, and recognition that it is an essential management function in all functional areas. See section 3A.

-- Scope --

60. For many humanitarian organizations, contingency planning covers anticipating and planning for all aspects of responding to a potential crisis including both the impact on the population (a requirement to assess needs and deliver appropriate assistance) and the impact on the organization and its operational capacities (a need to restore, maintain or expand its operations¹⁷). This is indeed what many of the WFP staff interviewed assume to be required and what some WFP contingency plans include. However, the planning worksheets in the guidelines refer only to the needs of the population, making no mention of anticipating an impact on WFP's own capacity, and the recent introduction of the concept of "business continuity" planning (BCP) as a separate activity and management responsibility has added to the confusion in the minds of many country office staff. Some interviewees believed that contingency planning is – should be – limited to the needs of the population, and some plans limits themselves to that, while ensuring the maintenance of WFP operating capacity is to be dealt with separately through "continuity planning".
61. There is clearly a need to clarify the relationship between contingency planning and business continuity planning and to ensure that all aspects of anticipating and planning for crises are dealt with systematically and in a coherent manner. This aspect is discussed in more detail in section 2.A.4.

¹⁷ This includes aspects related to staff, office facilities and systems as well as logistics.

2.A.2 The Timing and Process of Contingency Planning

-- When --

62. During the early years, the timing of contingency planning was in many cases determined by the imminence of perceived threats in particular countries. More recently, the up-dating of country office contingency plans has been prompted by reminders from the regional bureau in many cases while certain country-level and inter-country/sub-regional contingency planning exercises have been triggered by specific early warnings. In a few cases (e.g. Burundi, 2008) a regional EPR officer has led a “situation analysis/ preparedness review” that up-dated the risk analysis and scenarios (i.e. the first part of a contingency planning process) without proceeding to prepare, or update, specific plans.
63. When asked whether contingency planning should be “mandatory” or only undertaken on a “when needed” basis, many interviewees expressed the view that it should be a combination: when needed – when there is a clear, imminent threat - but at least once (or twice) a year. In discussions, many staff at all levels suggested or agreed that it could be appropriate to link regular reviews of contingency plans – or the state of preparedness of the office - with the annual country office work plan preparation and mid-year review processes.
64. While recognizing the danger, expressed by a few staff, that this could “bureaucratize” the process, the evaluators consider that it would be appropriate to: (i) include a risk analysis and a review of the office’s preparedness status as an integral part of the preparation and review of annual work plans; and (ii) schedule specific contingency planning exercises in the work plan when found to be needed. Such planning should also be undertaken, or updated, in the event of a specific early warning of a potential crisis or a significant change in an ongoing situation.

-- Participation --

65. Who participates is a key factor in determining the usefulness of any contingency planning process. As noted in the best practices identified in the box in section 1.A.1, it is important that senior management is seen to be committed to the process and personally involved, and that everyone who will be required to work together in the event of an emergency also participates. From interviews and reports it is apparent that practice within WFP in terms of participation has varied greatly. In some cases the CD (or DCD) has driven the process; in others s/he has explicitly stated that contingency planning is not necessary or not useful.¹⁸ In some cases the entire country office team has been actively involved, in others the exercise has been conducted by one staff member or a small group that has merely asked other functional units to provide information. In some cases, participation was deliberately restricted – and national staff excluded – because one or more of the scenarios being discussed was considered to be politically sensitive. The evaluators heard of few cases where partners – even WFP’s main cooperating partners (NGOs or government entities) – were in any way involved in a WFP contingency planning process.

¹⁸ One staff member described a process that went forward “in spite of” the CD.

66. Given the widespread recognition that the process is more important than the plan and that a principal benefit of contingency planning is the generation of awareness and shared understandings (see section 2.C), limited or restricted participation clearly limits the usefulness of the whole exercise. There are clearly some situations where participation has to be restricted but the evaluators, and many staff interviewed, believe that ways should – and can – be found to reduce the number of cases where participation has to be restricted. One suggestion offered to and endorsed by the evaluators is outlined in the box below: the hazard analysis and scenario development stages would be conducted separately by a small group but planning for responding to specific programmatic and operational challenges would involve all concerned. In all cases, active CD involvement is important.

A possible way forward to avoid the “confidentiality trap”

1. undertaking a broad scan of possible scenarios (can be by a few experts);
2. identifying commonalities in geographic and food security and response implications;
3. defining by individual office units of practical preparedness measures for those common aspects (e.g. organizing an assessment, generic equipment needs, logistic infrastructure, need for an off-site back-up server, etc.);
4. establishing a concise record in the form of layered information in a website (like an LCA) where individual elements (layers) can be constantly updated – not a “document”

If some (e.g. conflict-related) scenarios could be sensitive, separate them out and break them down into self-standing operational aspects that can be postulated in the context of less-sensitive scenarios and discussed openly with all staff and partners

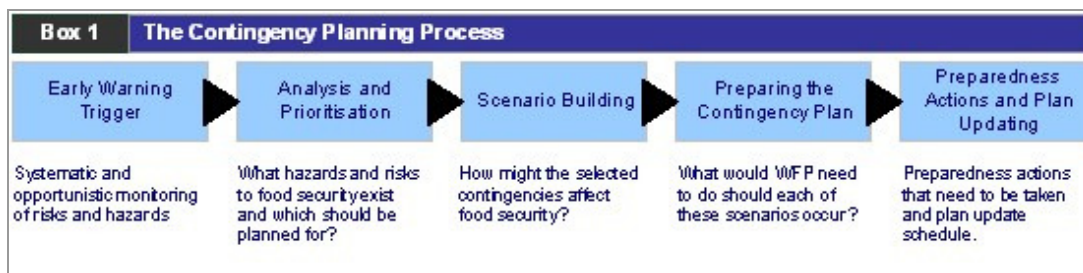
If, for example, emergency response is normally provided simultaneously through the government system and other partners, it could be possible to discuss whether and how more could be put through partners in case of a major disaster as a proxy for what might have to be done if the government systems collapsed.

-- Facilitation --

67. Good facilitation is the key to a good process, especially a participatory process. For contingency planning, the facilitator must also have a sound understanding of the subject but, as indicated in the best practices in the box in 1.A.1, the planning should be done and the plan written by country office staff, whenever possible. Again practice has varied. In the early days, many plans were produced by consultants. More recently, many country offices have produced their own plans themselves – some of good quality, others less so – while EPR officers from Headquarters or the regional bureaux have led some exercises and actually written a number of plans especially, but not only, for inter-country exercises and for countries in which WFP had no presence at the time (e.g. Lebanon, Kyrgyzstan). Regional EPR and logistics staff also wrote plans themselves in cases such as Chad in 2008 when country office staff was totally over-stretched by ongoing emergency operations.
68. The evaluators appreciate the move away from reliance on consultants. The examples referred to above reinforce the need for quality support to be available to country offices, from the regional bureau or Headquarters (see section 2.B.2).

-- Most useful elements of the process: plans versus planning --

69. The contingency planning process defined in the 2002 guidelines was: Hazard and risk analyses; Contingency prioritization; Scenario building; Preparation of contingency plans; Preparedness action and plan updating. The following slightly revised sequence presently appears in the Programme Guidance Manual.¹⁹



70. In interviews, staff generally recognized that a *hazard analysis* (or threat or risk analysis) is essential and that *scenarios* and the specific planning assumptions associated with them can be useful. It is also apparent that *contingency prioritization* is necessary to determine which scenarios to plan for and the methodological guidance provided in Annex E of the guidelines has been followed in some cases. However, many of the more experienced staff interviewed suggested that far too much time (and paper) has been devoted to developing detailed scenarios that almost never correspond to reality. Some urged that a strict limit be imposed on the time devoted to developing and discussing general scenarios and more attention given to identifying common food security and operational implications for response planning in all functional areas. The evaluators share this concern but suggest that the issue be addressed through improved guidance, tools, facilitation and training rather than arbitrary time limits. In some WFP plans reviewed there are more than ten pages describing general scenarios without even elaborating the food security implications (and even then there are few specific crises that have been anticipated accurately).
71. The aspects indicated by CDs as being the most useful – see the table in 2.A.1 – reinforce the widely-held belief among humanitarian contingency planners that it is the process of analysis and planning that is more important than the final plan document. This was also emphasized by many staff interviewed. However, in many cases, contingency planning has been undertaken – broadly in line with the process described in the guidelines - with the sole aim of preparing a *plan* (or a set of plans for different scenarios). The evaluators believe there are several reasons for this: the guidelines themselves; requests from above (the regional bureau or Headquarters) for plans to be updated; and reliance on the existence (or otherwise) of an up-to-date contingency plan the principal measure of the state of preparedness of an office.
72. The evaluators believe that the development of a concise set of criteria to assess the state of preparedness of an office would help to re-focus attention on the other (less tangible but not less important) results²⁰ expected from a “contingency planning”

¹⁹ This revision of the sequence represents a very minor up-dating of the guidelines but one which has not (yet) been carried through into the subsequent text.

²⁰ The “other” results expected are discussed in sections 2.C.1 and 3A.

process and reduce the current tendency of many at country level to see the plan as an end in itself. It would also contribute more broadly to enhancing preparedness. Initiatives already taken by OMB - including a draft list of “Indicators and Minimum Standards for Preparedness” and a list of “Specific Planning Questions” – provide a solid basis for the development of corporate criteria.

2.A.3 The Form and Content of Contingency Plans

73. In terms of content, the early contingency plans followed the format in the guidelines fairly strictly. Many still do but a good number were never completed²¹ and there have been some significant innovations, while the latest guidance in the contingency planning tool kit on EPWeb suggests the inclusion of a few additional sections/headings.
74. All WFP contingency plans reviewed include some details of how food commodities will be acquired and logistic arrangements for their delivery and distribution. However, it is not often clear whether lead times for imports and seasonal variations in local purchase possibilities have been thoroughly analysed. Many list prospective partners, especially for food distribution. Some spell out how initial assessments, targeting, distribution and monitoring will actually be organized, but others do not. While WFP has guidelines for all these “programme” aspects, implementation generally requires the collaboration of partners and rapid, effective response depends on having understandings and arrangements for implementation in place in advance. Contingency planning has addressed this need in some cases but not in all. In line with the guidelines, all plans seen specify actions to be taken to enhance preparedness, some specific to the contingency being planned for, some more general. Some (not many) specify responsibilities and timeframes for such actions to be taken. No plans seen include cost estimates for such preparedness actions.²²

“One of the chief benefits of contingency planning is that it allows time to think. Repeatedly, we have seen hasty decisions made in crises result in unintended negative consequences. Markets are distorted, dependency is created, vulnerability is increased and livelihoods are undermined. Allowing adequate time and attention to develop response strategies that are as appropriate as possible can have a significant impact on the quality of humanitarian action. Often, however, contingency plans jump from disaster to caseloads for predetermined responses. While food aid planning may be the most obvious offender, contingency plans from almost all sectors suffer from the same problem. Overcoming this requires planners to differentiate between a planning assumption and a planning decision. Both are necessary.”²³

²¹ The fact that many of the later sections of many plans remain incomplete appears to be due to a lack of time rather than conscious decisions to focus on the early parts only.

²² The guidelines do not call for cost estimates to be included but it might be considered important to include at least rough estimates to enable management to take informed decisions on follow-up action including resource mobilization.

²³ Choularton R, 2007, *Contingency planning and humanitarian action: a review of practice*, ODI-HPN Network Paper No.59, March 2007

75. As early as 2004, however, WFP contingency planners began experimenting with alternative formats for compiling and presenting information in contingency plans. The evaluators identified a number of such initiatives when reviewing plans and more were drawn to their attention by members of the internal reference group. These include matrix formats for different elements of the plans, one-page syntheses, and tools for undertaking “preparedness reviews”. Future efforts to improve WFP’s preparedness and contingency planning efforts will benefit by drawing on these innovations and adaptations. Two “extreme” cases (both based on matrices) that may be particularly worth examining are highlighted in the box below:

The plan for *Côte d’Ivoire, 2004* provides for very concise statements of the planning assumptions based on inter-agency-agreed scenarios and then, for each functional area: capacities, constraints, proposed responses, immediate actions in case of the crisis, and preparedness measures required in the meantime.

The plan for *Somalia 2008* comprises a one-page overall summary for each scenario (including impacts on the population, impacts on WFP operations, planning assumptions and key actions) to be supported and complemented by: (i) up-to-date basic/background information (population distributions, demographics, food security analyses, market analyses, nutritional status, the LCA, details of current and potential partners in different areas and their capacities); (ii) specific, but equally concise, mini-contingency-plans for each functional unit; and, if considered necessary; (iii) more detailed scenario descriptions (possibly from an inter-agency contingency plan). This might also lend itself to an on-line, web-based system in which different functional units and individuals would be responsible for keeping different elements up to date.

2.A.4 Links with Other Planning and Analysis Processes

-- Links with other planning processes --

76. Contingency planning has been a stand-alone activity until now, unconnected with any other management and planning processes in WFP. The situation has been complicated by the introduction in parallel of pandemic planning, business continuity planning and risk management. The need for linkage between contingency planning and the multiple risk assessment and management tools more recently introduced in WFP was strongly reflected in interviews at all levels.
77. Three principal problems were identified with regard to the linkage between contingency planning and ***routine planning***. In disconnected processes, routine planning (e.g. annual work planning) does not benefit from the risk analysis. Secondly, complete separation makes difficult to integrate the corrective measures identified in contingency planning into programme plans, budgets and work plans. Finally, duplicative efforts create extra work and confusion, a common complaint.
78. On the basis of good practice some offices may include at least an element of risk analysis in their routine annual work planning processes, but interviews with staff suggest that this is not standard practice and current guidance for routine planning by country offices does not require it. Part of the complexity of this integration issue is that the routine planning processes are perceived by staff to be so time consuming and labour intensive that additional tasks, if extensive, are perceived as unmanageable. However, the potential benefits of integrating a reasonably robust, strategically-

oriented risk and preparedness assessment as part of the annual work planning process are considerable and recognized as such by many managers interviewed at country and regional levels.

79. **Pandemic preparedness** planning (PPP) received high priority and considerable investment within WFP²⁴ as a stand-alone activity independent from contingency planning and has been pursued at field level within the framework of the overall UN approach. The evaluators appreciate the recent absorption of PPP within OMEP in Headquarters and current efforts to integrate lessons from the PPP experience into contingency planning in general. They note, however, that it is still a separate planning activity in the field and one that, in practice in many countries, has focused on staff protection (and business continuity) with little or no analysis until now of the food security implications and the responses that may be required to the needs of the affected population (see box at the end of this section).
80. **Business continuity** planning (BCP) is a form of contingency planning aiming to preserve the existing operational capacity and maintain “essential” programmes of the organization. It is taking an increasing importance in WFP partially as the result of the Audit Committee noting repeatedly the lack of such plan.²⁵ In at least some of the countries visited, it is delegated the security officer. The first steps are risk analysis and prioritization and scenario development processes similar to those of contingency planning but presently undertaken independently and with a security and “office functioning” bias.²⁶ The enterprise **risk management** policy introduces risk management as an integral part of planning and management in WFP. The BCP and risk management documents include reference to contingency planning (amongst other things) but country directors and other staff in the field do not have any sense of how these various elements and initiatives inter-relate. They are seen as separate, Headquarters-generated demands. In addition, there are no clear links with **security** assessments and planning, undertaken at both inter-agency (security management team) and WFP country-office levels.²⁷
81. As noted in 2.A.2, the evaluators – and several senior and experienced WFP staff – suggest that contingency planning should be linked with regular work planning processes by including the updating of risks analysis and a review of preparedness status as a standard element in the work planning process. The preparation of the

²⁴ There was also an important contribution by WFP at the inter-agency level.

²⁵ Annual report of WFP Audit Committee (2009) p 14.

²⁶ From a few documents seen by the evaluators, BCP involves identifying the impact, existing safeguards and weaknesses in relation to each scenario and then the implications, critical times and dependencies for all individual business processes within each functional area. BCP is also set within an overall “business continuity management” framework that also includes crisis management and IT disaster recovery planning with the aim of strengthening the organization’s ability to ensure staff safety and security and maintaining continuity of critical functions during a critical incident of any nature.

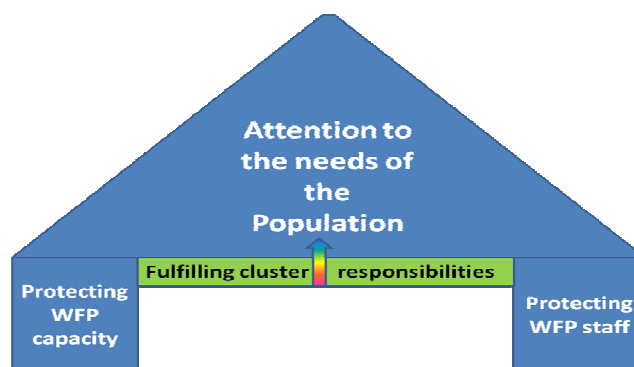
²⁷ As one example, security plans often provide for the evacuation or re-location of staff but contingency plans rarely treat that scenario by explicitly defining how programmes on behalf of the population will continue to be implemented and how evacuated staff would continue to support those operations.

country office work plan is an important event that brings together all country office functional units and key staff from sub-offices to reflect together on what is ahead and the implications for all units and offices, and to try to ensure complementarity and harmonization of efforts. There are obvious advantages to combining the processes as much as possible not least in reducing the *overall* planning burden on country offices. Rationalization among contingency planning, business continuity planning and risk management is also essential.

82. Other agencies are also innovating ways to enhance linkages between preparedness and routine planning, and to forge greater harmonization among the various types of risk planning. UNICEF, for example, is piloting a complementary process between preparedness planning, risk management, business continuity and security planning and, in its newly revised programme cycle, will make risk assessment more routine and integrate updates of preparedness actions and early warning activities in its annual work planning process.

83. As illustrated in the figure below, integrated risk planning should incorporate four inter-related functions:

- Attending to the potential food security needs of the population
- Fulfilling WFP’s cluster-related responsibilities
- Protecting and expanding the capacity of WFP (business continuity)
- Protecting staff



Influenza Pandemic Contingency Planning: a special case?

Influenza pandemic planning presents a distinct challenge due to the global nature of the threat, the amount of fear generated and its separate inter agency management mechanism, UNSIC which provided the objectives, directions and methods to be used by the UN agencies. At headquarters level, the approach presented to the evaluators envisaged assessing and addressing the potential food security needs of the population in addition to “protecting” UN staff and ensuring “essential business continuity”. It is unclear how far that comprehensive WFP approach has trickled down to country offices. Only one of the plans reviewed (Egypt) considers the needs of the population and a possible increased role of WFP. In the other countries visited, plans exclusively focused on staff welfare and protection of WFP essential capacity (two of the three objectives in para 118).

Mechanisms to distribute food to affected populations during an outbreak were the subject of a recent WFP workshop and guidelines are expected soon. In the meantime, many COs appear to have overlooked this element of WFP’s mission.

Pandemic planning is one of the few cases where preparedness measures have been thoroughly implemented on an inter-agency basis including by WFP. Funds were allocated and supplies purchased for the protection of the staff. However, it is also an example of the uncertainty in developing realistic scenarios for ill-defined but real threats.

Awareness, a benefit accrued in all other contingency planning, may turn to be counterproductive if creating excessive fear. There is a concern that staff protection measures, likely to reduce the operating capacity of WFP, were not sufficiently balanced by the need to plan for a possible increased role at a time should food insecurity become a dominant issue.

-- Links with other analysis processes --

84. Contingency planning draws on the information and analyses available from other processes notably the comprehensive food security and vulnerability analyses (CFSVAs) which, together with ongoing food security monitoring (FSM), should inform the analysis of potential food security impacts, and logistic capacity assessments (LCAs).²⁸ While CFSVAs until now (and earlier VAM reports) have focused on compiling background and baseline food security data, it is expected that a new generation, from 2009, will include analyses of the likely food security outcomes of foreseeable future scenarios. In that context, it will be important to harmonize the guidance for, and the implementation of, the analysis processes of CFSVAs and contingency planning. Similarly for LCAs which may also include more analysis in the future in addition to the invaluable inventory provided until now. In addition, a response analysis tool currently being developed jointly by the food security analysis and programme design services (OMXF and OMXD) should enhance not only the design of emergency responses, which is its main purpose, but also the response planning element of the contingency planning process.
85. The evaluators were able to observe the opening of a dialogue between OMEP and OMXF on these important areas of mutual interest and emphasize its importance.

2.A.5 Sub-regional/Corporate level Contingency Planning

86. The evaluation has focused in particular on contingency planning undertaken at country level, by WFP country offices with or without support from the regional bureau or Headquarters. However, there have been also some notable corporate and sub-regional (inter-country) contingency planning efforts including those for Iraq, “Côte d’Ivoire+5”, “Guinea+6”,²⁹ Chad-Cameroon-CAR, “DRC+4”, Kenya and the food aid pipelines that pass through Kenya to other countries, and most recently Sudan³⁰. These exercises were initiated in response to very well-defined threats that were believed to be imminent. Most were led jointly by the regional bureau and headquarters. Several were undertaken in an inter-agency context.

²⁸ CFSVAs are undertaken periodically – every 5 years-or-so subject to the availability of funds. In principle they are up-dated regularly on the basis of FSM which is more effective in some countries than others. LCAs are reviewed and up-dated annually.

²⁹ “Côte d’Ivoire+5” covered Côte d’Ivoire and the five neighbouring countries that could be affected by population movements arising from the civil strife in Côte d’Ivoire. “Guinea+6” covered Guinea and the five neighbouring countries that could be affected by upheavals in Guinea. The planning for Iraq also involved offices in, or responsible for, the countries neighbouring Iraq.

³⁰ The planning in relation to Sudan in early 2009 was in advance of potential increase in tensions related to decisions of the International Criminal Court.

87. From interviews, it is clear that these were important efforts, in which the regional offices and headquarters ensured the coordination of planning among the various groups of neighbouring countries and, in the cases of Iraq and Sudan, committed resources and made concrete arrangements for mobilizing the staff and other resources that would be needed.

2.B Organizational Framework

88. How the organization legitimates and guides contingency planning efforts is clearly a factor in its effectiveness. In considering the impact of contingency planning on preparedness and response, one must consider, among others, definition of responsibilities/accountabilities, the quality of normative guidance and training provided to staff, the extent to which preparedness is mainstreamed in planning and work processes, and, also, the quality of the support provided to help offices achieve the goals of contingency planning. Whether sufficient funding is available to enable offices to do what was necessary is a defining factor both in WFP and other agencies.

2.B.1 Normative guidance

-- Policy --

89. The disaster mitigation policy establishes a clear policy for WFP assistance to national preparedness, including contingency planning, within the framework of its enabling development programmes. There is also an official, Executive-Board-approved policy for enterprise risk management. The preparedness activities have been developed under the rubric of the organization's strategic plans. No specific policy or executive directive has yet been established for contingency planning or preparedness notwithstanding the publication of guidelines, the approval of some posts and project activities, and the inclusion of references in the generic job profiles of CDs and logistic officers. Consideration should be given as to whether a more formalized policy framework would enhance and strengthen current efforts.

-- Guidelines --

90. The “Contingency Planning Guidelines” (2002) have nevertheless played a formative role in shaping contingency planning activities across WFP, establishing basic aims, content and process. The opinions of those who are familiar with them are generally positive; many appreciate their conciseness, readability and practical orientation, but staff in OMP countries with recurrent natural disasters considers it little adapted to their situation. All country office emergency preparedness/contingency planning focal points interviewed were aware of the guidelines, usually have copies, and credit the guidelines as influential even if only seen some years ago. On the other hand, many other interviewees reported not having or knowing of them and everyone declares them to be in need of updating.
91. Updating is needed to take account of changes that have occurred over the past seven years – including inter-agency contingency planning and the introduction of the cluster approach – in addition to the experience WFP has accumulated in contingency planning and the other risk-management related activities. However, the evaluators

believe that a more fundamental overhaul is also needed to provide guidance on a revised approach in which more general preparedness planning is undertaken in many cases and specific contingency planning only when appropriate. The following are some aspects, referred to elsewhere in this report, which it might be appropriate to include/highlight in renewed guidance: the relationship/integration with work planning processes and when risk analysis and contingency planning should be undertaken; links with/integration of BCP, etc.; greater focus on strategic issues and problem solving; avoiding the “scenario trap” and the “confidentiality trap”; linking with and using CFSVAs and response analyses; contingency planning (and preparedness) in middle-income countries where the role of WFP is evolving with WFP becoming more an advisor and service-provider to the government. This should be linked with, but not delayed while waiting for, a review and updating of the Emergency Preparedness and Response Framework (EPRF).

92. Another substantive effort in normative guidance is the contingency planning Toolkit made available on EPWeb by OMEP, the latest version in collaboration with ODB in 2008. Based on the structure of the existing guidelines, it provides considerably more detail and “how to” hints on what to include in a contingency plan. From interviews, it appears that very few country office staff is yet aware of its existence but the evaluators suggest that this tool should be further refined and promoted for systematic use in the limited instances when a detailed contingency plan is required – i.e. for imminent, well defined threats. It would then be unnecessary for the updated guidelines to provide that kind of information.
93. Finally, the evaluators noted that an on-line contingency planning tool posted on EPWeb is being developed and pilot tested. This tool, distinct from the toolkit (previous paragraph), aims to permit the user to record a contingency plan on-line by responding to a set of questions. As a tool under development, very few of the interviewees were familiar with it and the evaluator’s attempts to prepare a mock plan to test it were unsuccessful. Having the contingency planning template as an on-line tool may increase information sharing and ease of updating but consideration will be required for ensuring that the inter-active processes required for planning and problem-solving, ownership and participation are built into the processes so that the tool does not become simply an easier, but less meaningful, “tick the box” process. While promising, the contribution and limitations of this kind of tool should be assessed after initial testing. [It merits note that other agencies too are moving to similar on-line tools; sharing experience may be helpful.]
94. It is worthwhile noting that both of the major, recent guidance initiatives referred to above focus on how to prepare a detailed contingency *plan* whereas the main perceived benefits of contingency planning arise from the planning *process*. Even if the intent of the guidance is “planning”, the 2002 guidelines appear often to be interrupted in the narrower sense of “preparing a plan” and this tendency might be reinforced by the new, additional plan-preparation tools.
95. The evaluators’ assessments of the different elements of the current contingency planning process as prescribed in the guidelines and toolkit are summarized in the table below:

<i>Contingency planning element</i>	<i>Evaluators' comments</i>
Analysing hazard and risk	The most effective element. Need to be mainstreamed into WFP overall planning
Identifying defining and prioritizing contingencies	Critical but prone to errors due to high level of uncertainty. Prioritizing should focus on food security and cluster-related leadership and support role implications
Scenarios- Single/multi-hazard approach	Much less time, effort and pages should be dedicated to building detailed scenarios. Reported benefits of contingency planning are less linked to planning for specific emergencies but to the broader planning process, except when planning for an imminent, well-defined threat.
Preparing a plan for <u>each</u> contingency	This approach has shown to be inefficient. Detailed plans should be limited to highly probable (imminent), well-defined threats
Identification of problems	Better use of lessons learned in past emergencies (within the country and region) would ensure that management problems in severe contingencies are identified and addressed. More systematic involvement of all functional units will also help.
Implementation arrangements	More creativity and focus on food security implications are required, including practical arrangements for carrying out initial assessments. Investing time in defining contingency-specific logistic arrangements and budget formulation should be dictated by the degree of certainty of the risk.
Preparedness measures	This is the most important element but is often not contingency-specific. Follow up and accountability are lacking.
Maintaining – updating	The risk analysis process should be repeated at least annually. Updating of contingency plans (when required) should be determined by the risk analysis.

-- Training/Skills development --

96. Contingency planning training was organized in all regions in the early years of the period under review, and additionally, shorter modules were integrated in the Emergency Response Team training, Logistics Officer trainings, JPO trainings and regional emergency preparedness trainings. The original, 5-day workshop-based training package provided general emergency management training while participants progressively developed a contingency plan. Those interviewees who participated (a minority) clearly benefited from the training that they still remember and apply. They strongly support continued investment in similar courses. The materials for each workshop were adapted to the context of the region concerned. Subsequently, OMC developed a new package in 2006 for its own purposes which has been used only once until now.
97. Ongoing skills development in preparedness and contingency planning is clearly needed and the evaluators suggest that this should be planned within the context of an integrated emergency preparedness and response skills development strategy rather than as a stand-alone effort (as during the period under review). They suggest the inclusion of short modules on emergency preparedness including contingency planning

in all management training activities and functional training activities (i.e. for all categories of programme staff, logistics, finance and other support functions). The content should be reviewed to ensure that the most critical preparedness and contingency planning concerns are addressed, including such issues as capacity assessments, information preparedness. Specific skills development among EPR officers and focal points should be pursued through the regular, systematic exchange of information and experiences including occasional meetings, both for individual skill enhancement and to create a broader support network of staff specialized in preparedness and contingency planning. This should include the development of management and facilitation skills for the analysis and planning processes for which tools should also be developed.

2.B.2 Accountability and Support

98. Accountability for contingency planning is understood as a core management issue, not merely a bureaucratic task, for it clarifies who will ensure that this planning activity is appropriately undertaken, along with the actions that follow from it. Beyond the question of whether the head of the office is accountable, which is always the case, is question of the accountabilities of others, such as technical units, operational units, management. Appropriate technical support must be available to managers, when needed.

-- Accountability --

99. Preparedness and contingency planning are included in the generic job profiles of country directors and logistics officers but not in those of any other staff – regional directors (RDs), deputy regional directors (DRDs), deputy country directors (DCDs), programme advisors/officers, or finance, administration or human resource officers.

100. At the Country Office level, Country Directors bear the responsibility for contingency planning. Their terms of reference include the obligation to “ensure that timely emergency preparedness actions, such as early warning and contingency planning, are carried out in alignment with the seasonal cycle for natural hazards, and that an optimal response capacity is in place for in-country crisis resulting from either man-made or natural disasters.” This may explain why so many contingency plans are prepared while there is a pervasive doubt about their strategic usefulness for decision-making as evidenced by the fact that most plans are never implemented in a crisis.

101. As one contribution to putting the focus on preparedness rather than the mere preparation of contingency plans, the evaluators endorse the proposal made to them by a few Headquarters interlocutors that a brief assessment of risks and preparedness should be included in key management documents such as the country office strategy paper and executive brief.

102. From the perspective of WFP country staff, responsibility and accountability for contingency planning are less clear above the country level. When asked about the roles and responsibilities of Regional Bureau, only 25% of CDs and DCDs felt they were clear. Regarding the Headquarters level, 53% of CDs and DCDs (n=17) felt the responsibilities for contingency planning are clear and appropriate, although only 35%

of this group felt that Headquarters was playing an effective role in contingency planning.

103. At the headquarters level, accountability for contingency planning for global threats remains vague: who is responsible for planning and preparing for global contingencies such as rising food prices or climate change? Similarly, contingency planning responsibilities for inter-regional crises, e.g. Central Asia and Afghanistan, are not clear. Consequently, efforts to contingency plan are accorded priority according to the level of authority of the person interested in the issue.
104. Finally, the evaluators learned that Internal Audit now sometimes looks into the status of contingency planning as a compliance issue. For example, their report on East Timor in 2008 included a review of the country office's Logistics Capacity Assessment (LCA) and Contingency Plan. The auditors noted that these important documents had not been updated for more than a year and that current plans and assessments did not include lessons learned from previous responses to emergencies in 2006 and 2007, organisational changes and decentralisation of both Governmental and Non-Governmental agencies in the country, or the identification and engagement of long-term and/or stand-by agreements with CPs/partners to better coordinate emergency response. The country office subsequently took action to correct these deficiencies. This is obviously an important development in relation to accountability. It would be even better if the auditors had available a tool to measure the state of preparedness of an office rather than just whether contingency plans and LCAs and up-to-date.

-- Support of contingency planning --

105. To sustain the dynamic process of preparedness in all WFP offices, among other measures, three support systems were put in place – the designation of emergency preparedness and response (EPR) focal points in each office, regional preparedness and response mechanisms to support country office efforts, and a support system in Headquarters; each has a role in contingency planning and potentially impacts its effectiveness by how that role is performed.

-- Headquarters support --

106. At headquarters, strong initial support resulted in the milestone guidelines, the training activities unanimously appreciated by those who attended and the development of on line tools from the toolkit to the embryonic on-line planning tool. It has included strong leadership and support in specific situations such as in the planning for a possible Iraq crisis. However, for nearly two years, no dedicated preparedness/contingency planning staff to support global efforts existed. Regional bureaux vary in their capacities from having no staff dedicated to support preparedness, having unfilled posts for such, to having teams of several persons. The support is often directed to general preparedness and response mechanisms rather than to local contingency planning, reflecting the disaggregation between general preparedness planning and contingency planning. Lack of dedicated funding for contingency planning/preparedness remains a principle factor.
107. Clearly, a major WFP initiative such as building and sustaining dynamic preparedness, contingency planning, and ensuring appropriate response in all WFP operations requires a core team of dedicated persons with the experience, technical skills and

appropriate level to guide the global effort and to support regional bureau staff in particular. The headquarters support functions should again be strengthened.

-- Regional bureau support --

108. Considerable support was provided to launch and streamline contingency planning. Units were established in regional bureaus and Headquarters in the early stages of the evaluation period (2002-2008). The organizational framework and support available at the time of the evaluation, however, is uneven and appears to have weakened over the past several years. The more robust support available during the capacity building period (2002-2006) reportedly diminished as external funds decreased, although the function is now supported in whole or in part through the regular budget in several regional bureaux with supplemental funding in some (recently in OMB and OMD).
109. In interviews the perceptions of country office staff as to the importance of and usefulness of regional bureau and headquarters support for contingency planning varied from being of little use, to being of considerable help, importantly, with two principal variables most commonly cited – whether the support provided was of added value, and how the support was provided. The majority of country office staff interviewed argued convincingly that the regional bureaux and headquarters should be supportive, rather than leading.

-- Country office support --

110. If contingency planning is to be a strategic tool for problem solving and capacity enhancement in country offices, regional and global support necessarily requires the engagement of all units, not simply the preparedness and response focal points. The evaluation found very uneven engagement of different units in supporting preparedness and contingency planning, as described earlier in this report.
111. Country office level EPR/contingency planning “focal points” play an important role in contingency planning. Focal point individuals are selected from different units depending on personal experience; some have participated in preparedness and response trainings in which contingency planning was addressed; the roles played in contingency planning varied from being able to initiate and facilitate contingency planning, to playing supportive roles, to being the person who “writes” or compiles the plan. While their personal experience and standing in the office impacted on their effectiveness, the support, or lack of support, by senior management was cited in many interviews as an even more important factor. Nevertheless, providing them training and support can be expected to contribute positively to sustaining effective preparedness and contingency planning in country offices.

2.B.3 Funding

112. The evaluators have not attempted to calculate the amount invested by WFP in contingency-planning-related activities but roughly estimate that perhaps as much as \$5 million (but more likely \$3-4 million) per year is being invested including the costs of staff time, process support and material support.³¹ This is very modest for an

³¹ This figure assumes 40 country office contingency planning processes, 3 RB contingency planning processes and 2 HQ contingency planning processes in a given year. It also assumes dedicated

organization with an annual budget in excess of \$5 billion and for which emergency response is a critical part of its mission. Is the return on investment worthwhile? At these levels, the answer is almost definitely “yes” even at the level of impact observed. While difficult to quantify, there is enough to indicate that the impact of contingency planning on effectiveness and efficiency of response exceeds this investment level – potentially within a single emergency. Could the impact be higher with the same level of investment? Yes. Is further investment required to generate more substantial impact? Again, the answer is “yes” in the eyes of the evaluators.

113. The link between resources and contingency planning was found in the evaluation to have two critical elements – resources required to support the contingency planning and preparedness process, and funds for implementation of preparedness actions more directly linked to contingency planning. Recognizing that not all essential preparedness actions require resources (e.g. tuning partnership arrangements for a particular situation), still the evaluation found contingency planning to have limited usefulness if not linked with implementation of cost-effective essential preparedness measures when identified as critical in contingency planning exercises for imminent threats. Various possible means of achieving this were suggested by staff including finding ways to build preparedness into line item budgets, the need to engender donor support for essential preparedness and expansion of the IRA provisions for preparedness.

-- In summary, with regard to Organizational Framework --

114. The evaluation found a need to further strengthen existing support structures to enhance the organization’s preparedness and response capacities, including contingency planning, because the organizational framework supporting preparedness and contingency planning remains generally weak. Staff members are uncertain of the support for contingency planning from senior staff. The link between contingency planning and other planning processes remains nascent at best, and the capacity of Regional Bureaux and Headquarters to support country offices has weakened over the past several years; currently it is uneven and generally insufficient. The evaluation further stresses that contingency planning is impacted by the qualifications, skills and level of the supportive staff as well as the ways in which they perform that supportive function. On the positive side a culture of preparedness has emerged across the organization and staff are supportive of corrective measures to make it even more effective.

2.C Contribution to emergency preparedness and response

115. Contingency planning is not an end in itself but a tool to enhance preparedness and, thereby, contribute to improved response. While the complexity of preparedness and response makes specific attribution of causality of contingency planning difficult, still the evaluation team holds that experiential feedback from field staff provides a

resources for contingency planning support at HQ and RB levels (e.g. initiative management, full-time or part-time contingency planning focal points, information management, investments in guidelines, tools and technology, etc).

grounded basis for drawing conclusions on the contribution of contingency planning to preparedness and response.

2.C.1 Contribution to preparedness

116. Drawing on the WFP emergency preparedness and response framework, a logic model and the views of many staff interviewed, the evaluators identified the following as principal elements of preparedness and criteria by which to assess the contribution of contingency planning to preparedness:
- ◆ awareness of threats/hazards that could occur, the impacts they could have on the food security of the population and/or the ability of WFP to operate, or continue operating, in the country, and the strategic and operational challenges WFP would face to meet those needs and fulfil its obligations as cluster lead or co-lead;
 - ◆ shared understandings within the office and with partners on the implications for food security and operations, appropriate response strategies, problems likely to be faced and how they could be avoided or overcome, and how partners can best complement each other;
 - ◆ monitoring relevant early warning indicators to trigger action;
 - ◆ up-to-date contextual information needed for assessing needs and designing and implementing a response to a crisis: this includes data on population, food security and vulnerability, nutrition, logistics, present and potential partners;
 - ◆ mechanisms to respond to early warnings and to the occurrence of a crisis. These include: management systems, procedures and plans for rapid response, including clearly defined responsibilities and agreements with partners; the ability to mobilize and manage the resources – human resources, supplies and logistic resources – required to assess needs and assure the provision of food assistance in a timely and appropriate manner.

-- Contribution to awareness of threats --

117. Most staff members interviewed who had participated actively in a contingency planning exercise (WFP or inter-agency) affirmed that it helped them to be better aware of the potential threats to the population. In some cases, this included understanding the implications of natural hazards with low recurrence with which some staff members were not familiar. In the on-line survey, five out of 17 senior staff (CDs and DCDs) mentioned raising awareness as the most important benefit of contingency planning.
118. However, some country offices overlooked real threats (e.g. earthquakes in oPt, hurricanes in Nicaragua before the occurrence of Hurricane Felix in 2007). Potential food security impacts are not thoroughly analyzed in all cases, and threats to WFP operations not explicitly considered in a number of contingency plans. More importantly, where contingency planning was not inclusive and participatory (see below), awareness of risks only improved for the small group of individuals involved.
119. Undoubtedly contingency planning can effectively raise awareness, yet other means also exist. Interviewees in all regions referred to the simulation exercises jointly organized by UNDP, UNICEF and WFP for some UN country teams (or humanitarian country teams) in 2007 and 2008. Country teams found these to be very useful in raising internal awareness with spin-offs into individual agencies including WFP. A

few teams also tested existing plans and levels of preparedness through simulations. Staff participants in such simulations unanimously supported their continuance. OMB is developing a specific capacity to conduct country level simulations for WFP country offices and partners.

-- Contribution to common understandings of coordination --

120. There are divergent interpretations of contingency planning in practice. Where contingency planning is conceived more broadly it will seek to achieve shared understandings within WFP and with partners concerning: (i) the implications for food security and operations, (ii) appropriate response strategies for different contexts, (iii) potential problems and how they might be avoided or reduced, and (iv) how different parties interact when a crisis erupts. Such shared understandings are a necessary condition for effective coordination. Achieving such understandings is – or should be – one of the principal aims of contingency planning.
121. Almost all interviewees who experienced a participatory contingency planning exercise affirmed that it helped achieve common understandings; several emphasized that the process helped build inter-personal relationships that aided coordination and problem-solving in a subsequent crisis. As with awareness, the benefit accrues to those who participate. In some/a few of the countries visited, a small group in the office conducted the process – excluding national staff and without the involvement of even WFP’s main cooperating partners. Reasons for these restrictions vary³² but the result in those cases has been that only a small number of individuals reached “common” understandings while most country office staff and partners remained “in the dark.” This may account, in part, for the divided responses to the on-line survey. Answering the question whether the contingency planning process enhanced common understandings within the office and with partners, five contingency planning focal points agreed while responses from other senior staff (including 12 CDs) divided almost evenly: two strongly agreed and eight agreed, and eight disagreed.
122. In relation to the four aspects listed above [para 132]:
- ◆ **Implications for food security and operations:** While some of the contingency plans reviewed spell out the expected food security impacts – on crops/food production, livelihoods, markets, prices, etc. – some present only estimated number of people expected to need assistance. A few explicitly include impacts on WFP operations but most (in line with the present guidelines) limit themselves to the impacts on the population.
 - ◆ **Appropriate response strategies:** Most plans reviewed propose “classic” WFP food aid responses such as general food distribution, food-for-work or expanding an ongoing school feeding programme. While exceptions are to be found, consideration of alternative food assistance strategies was not found to be a common practice in contingency planning. Evaluators recognize that WFP support for such alternative forms of assistance is still cautious and evolving; however, the emphasis since 2005 on analysis to determine the most appropriate responses in

³² the confidentiality issue, and in some cases lack of commitment of senior management...

different contexts does not seem to have filtered down into contingency planning thinking.³³ Interviews confirmed this to be the case.³⁴

- ◆ **Reducing and avoiding problems:** Country directors or other senior staff gave systematic consideration to strategic decisions and operational challenges when they already possessed extensive experience in emergency response and were convinced that preparedness, including contingency planning, was important. In many other countries, staff with experience of contingency planning felt that the process considered potential problems, though perhaps inadequately. They could identify a number of problems encountered in subsequent responses that might have been anticipated but were not. In several countries, staff in support service sections (e.g. finance and administration) that had not had any significant involvement in the process suggested that they would have felt more assured had they shared in the contingency planning process. In some smaller country offices that are not currently dealing with a large emergency operation (e.g. in OMP), the coordination and information challenges that almost inevitably complicate the technical tasks came as a surprise to the less-experienced participants in the contingency planning process, indicating that the process inadequately identified potential problems.
- ◆ **Complementary actions during a crisis:** Most staff interviewees identified agreement on responsibilities – who will do what and where – in relation to the provision of food assistance as a critical element of preparedness and an important potential benefit of contingency planning. Many of the plans reviewed include a table indicating the partners with whom WFP would expect to work in particular geographic areas.

123. A few countries have food (or food security) *cluster*, or *sector* plans that attempt to address some of these issues. In Guinea and oPt, for example, cluster/sector leads compiled preliminary drafts that still required discussion with other partners and many details required work. Food security cluster/sector partners clearly value prior agreement on assistance strategies and arrangements for coordinated action. However, while food clusters or sector groups exist in many countries,³⁵ only recently have they begun producing sector contingency plans within the framework of inter-agency contingency planning; the currently available guidance is very general.

124. WFP's contingency planning is generally believed to have an impact on *coordination*; evaluation evidence, however, found impact dwelling primarily on enhancement of

³³ Since 2005, the guidance issued by the analysis and assessment unit (then ODA, now OMXF) has emphasized analysis of response options in addition to analysis of the food security situation with a view to identifying the most context-appropriate responses. This has also included work on market analysis in collaboration with the policy division.

³⁴ Afghanistan and Kyrgyzstan were indicated to the evaluators as cases where contingency planning did consider alternatives (cash/vouchers) but the evaluators found many more examples where this was not the case.

³⁵ At the global level, there is no food or food security cluster and the global nutrition cluster has *de facto* assumed responsibility for food security within the cluster system at global level. At the country level, it is the responsibility of the resident/humanitarian coordinators and the UN/humanitarian country teams to decide on the clusters needed for their context and many have decided to have a food security cluster or a food and nutrition cluster which is typically led, or co-led, by WFP.

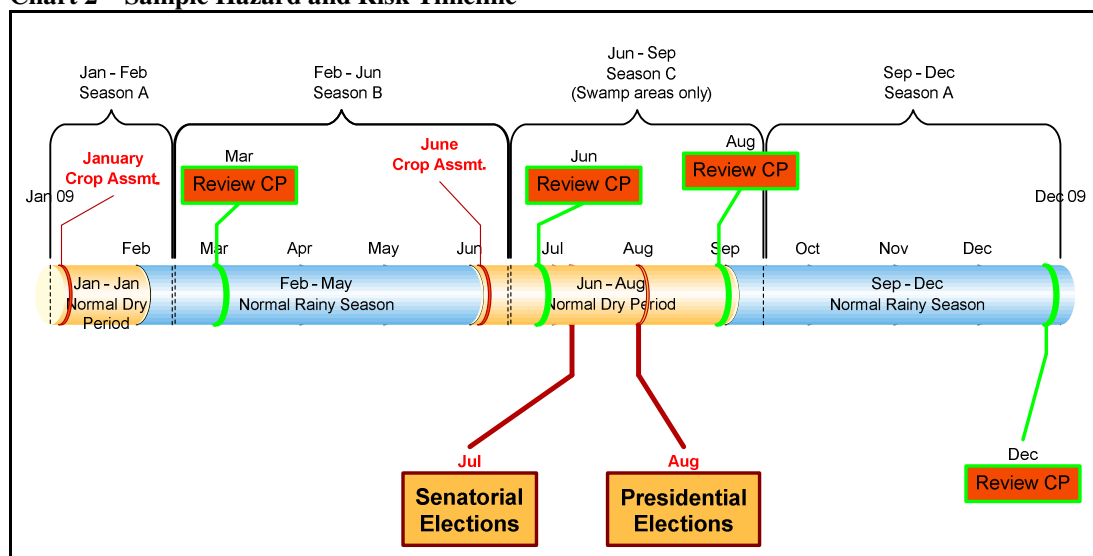
relationships as described above. In some cases, limited participation of partners constrained even this impact. On the other hand, interviews suggest that *inter-sectoral* coordination improved through inter-agency contingency planning in countries where a good quality process occurred. (see section 2D.) [Coordination is, of course, one of the principal aims of inter-sectoral planning whereas for WFP planning it is one among several and clearly not the most important.]

-- Contribution/link to Early Warning --

125. There are, in principle, two-way links between contingency planning and early warning. Offices may update contingency plans in response to early warnings (as, for example, in Central America when hurricanes are approaching or in Mauritania, Niger and Ethiopia in response to early signs of crop failure), see section 2c. On the other hand, the contingency guidelines expect that the initial analysis of hazards will lead to the identification of *indicators to be monitored* propose *trigger levels* for certain indicators or groups of indicators when specific preparedness actions should be taken. This is the contribution that contingency planning is expected to make to early warning.
126. Interviewees indicated that they considered information from early warning systems. Of reviewed contingency plans, the majority include lists – sometimes long lists – of indicators to be monitored. These include food security indicators of the type routinely included in the food security monitoring/early warning systems with which WFP works in many countries. Lists also included climatic and socio-political indicators, although arrangements to monitor them are rarely specified.³⁶ In practice, although those indicators may be technically relevant, WFP cannot realistically monitor many of them itself but would rely on secondary sources. For some, data are either not available or unreasonably expensive to collect.
127. Assisted by EPR staff from Rome or the regional office, a few countries have recently developed “hazard and risk *timelines*.” These highlight critical events and periods when the office’s state of preparedness should be carefully reviewed and, in some cases, when specific preparedness actions should be taken. An example is presented in Chart 2. This is an example of a potentially valuable innovation (borrowed from another organization).

³⁶ They clearly overlap with aspects that are monitored closely by field security officers and, in at least one case, the country director indicated that such issues are kept constantly under review in UN country team meetings. In practice, the responsibility to analyse data and issue alerts for cyclones and floods lies with the Government and/or OCHA. In a few countries in Latin America, seismic indicators are included.

Chart 2 Sample Hazard and Risk Timeline



128. OMP has launched the development of SATCA,³⁷ a web-based early warning system for Central America which is still under development and not widely known at country level. Likewise, OMC is well-advanced with the development of an internal WFP early warning system for that region. In some countries, the evaluators did not find a consistent and direct connection between contingency planning processes and these warning systems that play, or should play, an important role in enhancing awareness and stimulating action. There is clearly a need to strengthen those links (and to assure appropriate rationalization among the various early warning systems that exist, or are emerging, a country, regional, WFP headquarters and inter-agency levels).

-- Contribution to information --

129. WFP analysis and planning rely on CFSVA/VAM data (on population characteristics, food security and nutrition conditions), market analyses, and Logistic Capacity Assessments (LCAs). Together with the Commodity Movement Processing and Analysis System (COMPAS) and pipeline data, and information on potential suppliers, they are absolutely essential for preparedness and response. Also, planners require information on the presence and capacity of current and potential cooperating partners (government entities and NGOs) in at-risk areas and their willingness and ability to expand or modify their operations in case of a crisis affecting food security. Donors particularly appreciate this information.

130. Contingency planning processes provide an opportunity to check whether **CFSVAs** and **LCAs** are current and to highlight the need for action to update them, when necessary.

³⁷ Sistema de Alerta Temprana para Centro America. This is an ambitious effort but developing sophisticated web sites with news, data and information collected specifically for those specialized sites is a demanding task. There is a need to critically evaluate the cost-benefit of information websites such as SATCAP not only by surveying the number or type of hits but also by investigating the actual use by COs and other intended users.

³⁸Some inter-country contingency planning exercises (e.g. for Kenya and Chad in 2008) were heavily logistic oriented and consisted largely of updating logistic information and identifying the capacity of alternative supply corridors. In a few cases, offices updated LCAs and other baseline data shortly before a contingency planning exercise. In Nicaragua, WFP and its national counterpart undertook a rapid LCA-EFSA (emergency food security assessment) in an area vulnerable to hurricanes but difficult to access and where WFP had no standing presence.³⁹ Otherwise, the evaluators found little evidence that offices updated CFSVA or LCA data as a result of contingency planning. Given the cost in budget and time of carrying a full updating or fine tuning of the data, such updating, where needed, should be limited to the areas most imminently vulnerable to severe threats.

131. Information on *partners* – Who is doing What and Where (3W) in food security response – has been compiled, or updated, in many (but not all) contingency plans. However, a number of staff interviewed questioned the value of such “snap-shots” and argued for frequent updates to this information if it is to be useful. The evaluators share this view.
132. Three regional bureaux – OMC, OMD and OMP – explicitly identified information as a top priority for preparedness – more important than contingency planning. OMC and OMD are focusing on developing information systems to ensure that COs have access to good information at all times, while OMP’s focus on Latin America Emergency Preparedness and Response Network (LACERN) of partner governments, United Nations agencies and NGOs aims to increase information exchange.
133. A number of interviewees outside WFP regretted that information sharing by WFP falls short, particularly in the sharing of contingency plans with partners not directly involved in the process. Some partners (especially large NGOs with food distribution capacities and as priorities) expressed a wish to receive from WFP a copy of plans, when mentioned by the evaluators. It would be good practice to share widely non-sensitive plans or parts of plans. It would generate good will and strengthen the image of transparency of the Programme even if the partners do not comment.

-- Contribution to enhanced response capacities --

134. As indicated in 2.A.3, contingency plans include details relating to food commodities, logistic arrangements and, in most cases, lists partners. However, interviews and review of contingency planning documents suggest that less attention is given to the practical programming elements of response, e.g. how rapid assessments will actually be organized and context-specific arrangements for targeting and distribution, monitoring and reporting be put in place. Interviewees often reported a more proactive, operational approach to contingency planning with regard to logistical concerns than to programme concerns.

³⁸ In principle, CFSVA data should be periodically up-dated through food security monitoring but this is not yet done systematically in many countries.

³⁹ This initiative was not mentioned in the contingency plan but could, in the opinion of the evaluators, be considered as part of the planning process.

135. In only a few cases, COs established specific agreements with *partners* or pre-negotiated contracts such as for food loans from Government partners as in Nicaragua, El Salvador and Peru. Absent a major ongoing operation, those country offices have not considered it feasible to attempt joint planning in instances requiring engagement with many small NGOs working in limited areas.
136. Specific response actions to be taken in the immediate aftermath of an emergency are seldom defined in contingency plans, with inter-agency plans performing a bit better than WFP plans reviewed. Plans and planning process usually outlined the general *responsibilities* of different functional units with actions being broken down according to the office structure. There are variations, however, in the extent of both the *ownership* of the plans and individuals' understanding and acceptance of their assigned, or implied, responsibilities. In some small country offices, in Latin America for example, high levels of participation of all units in the contingency planning process have ensured both ownership and acceptance. This is less the case in some offices in other regions where, for various reasons, there has been less management commitment to planning or only a small group in the office was involved. In similar vein, interviews with partners/other actors confirm that plans that are not produced jointly even when shared are rarely read and still less commented upon. Further exploration is deserved of how WFP might strengthen such issues as linkages with national authorities, affected communities, and cooperating partners in the contingency planning process.
137. Almost all the most recent plans reviewed included recommendations for follow-up *preparedness measures*. Most were measures to increase general preparedness for all types of contingencies (often without specification of responsibility for implementation and very rarely with a cost estimate attached). A smaller number were for specific actions to be taken within a specified time frame in the face of a well-defined threat. There are examples of important preparedness actions being taken, such as the Bangladesh preparedness actions, pre-positioning of food and supplies on the Atlantic Coast of Nicaragua (2007-2008) in anticipation of hurricanes, the sub regional hub system developed by the UN Humanitarian Relief Depot (UNHRD) in OMP, and the current effort to build up a 30,000 ton regional buffer stock for East and Central Africa but, in general, few of the recommended measures were actually followed up in the countries visited.⁴⁰ The reasons are varied. First, most required significant resources which would have to be diverted from existing priorities and there was apparently insufficient management commitment. Secondly, once the plan was produced, the planning exercise was often regarded as completed (a tick in the box).
138. Recent plan updates by many country offices, often as a result of lessons learned in a crisis, help refresh and maintain participants' awareness. Increasingly proactive inter-agency processes also add incentive "Preparedness reviews" undertaken/led by some regional EPR officers in Africa have also been valuable. National officers have a critical role in assuring continuity where they are involved; Latin America, where most

⁴⁰ A similar picture emerged from the responses of country directors and focal points (total 17) to the on-line survey: two thirds reported that preparedness measures were proposed but only 22% that procedures had been upgraded and 30% that concrete actions had been taken to increase capacity

of the contingency planning and preparedness focal points are national officers, is a prime example. Such continuity is lacking in some other offices, especially those dealing with complex emergencies or anticipating scenarios considered too politically sensitive for national staff involvement.

Integrating lessons learned in crisis into subsequent plans – uneven results:

In Nicaragua, WFP plans before the Hurricane Felix (2007) noticeably lacked concrete measures to be taken prior to the crisis. Hurricane Felix taught many lessons and subsequent plans (2009) propose advance tendering with private transporters before the hurricane season while a letter of understanding is signed every year with the National Food Agency defining modalities for emergency food loans to WFP. However, problems of recruitment identified post-crisis have not (yet) been addressed in the more recent plans.

2.C.2 Contribution to response

139. There are several criteria by which WFP's response to a crisis can be judged. Among the more important are: timeliness, appropriateness and effectiveness. Evaluators used these criteria to determine the extent to which contingency planning may have influenced WFP's response performance. Only real time evaluations of emergency operations may possibly document the impact of prior planning on the response. The best evaluators coming long after the start of the response may hope is surveying perceptions of actors and observers, documenting and validating them.

--Contribution to timeliness, effectiveness, appropriateness--

140. During field interviews in which evaluators could probe and validate the opinions expressed, a majority affirmed that contingency planning does – or can – make a difference, depending on how it is done. The perceived contributions to response were linked to increased awareness and knowledge gained by those who participated actively in the process. They were mostly anecdotal, not concrete or verifiable. On positive impact, interviewees most often referred to *timeliness* in food delivery (although that was difficult to substantiate).

141. Other examples given of speedier response included the winter crisis in Afghanistan, flooding in Nepal, and renewed displacements in Darfur (where staff knew which warehouses and supply routes to use). Another example of concrete results in an actual crisis comes from Somalia where pre-positioned food provided essential stocks for four immediate distributions following floods. In some cases (e.g. DRC and oPt) staff opinions varied on whether contingency planning made, or would have made, a difference.⁴¹

Of 12 Country Directors who responded to the on-line survey, only half of them definitely believed in the usefulness of contingency planning for response. The highly divergent perspectives reflected were similar to those expressed in interviews with some people holding experience-based opinions that contingency planning was definitely a contribution

⁴¹ In DRC, there was a delay in WFP's 2008 response which some other agencies attributed to WFP's failure to follow up on what had been agreed in the inter-agency contingency planning process.

to improved response while others were equally uncertain. The reasons for these differences are believed to arise from the multiple issues addressed throughout this evaluation.

Improved the operations'	Definitely	Possibly	Doubtfully	No	Total
...timeliness	6	5	-	-	11
...appropriateness	4	7	1	-	12
...effectiveness	4	6	2	-	12

142. Significantly, more of these CDs perceived an impact on timeliness (over 50%) than on the quality of the response (33%). And in response to a separate question, the majority (63%) believed only *some* emergencies required contingency planning while only two (18%) considered it important for *all* emergencies. In addition, the positive perceptions of response impact were independent of whether the scenario or plan corresponded to the contingency that actually occurred. Field interviews confirmed that timeliness is more likely to be affected than appropriateness which was not often dealt successfully with in contingency planning: the distribution of a traditional WFP food basket according to procedures or expansion of an ongoing operation was assumed appropriate in the vast majority of cases without specific analysis of food security impacts or possible alternative assistance strategies according to the type of population affected (rural poor or urban), market conditions and other factors.

-- Use of plans --

143. While the actual use of plans in emergency response operations has been reported in a few cases, during the evaluation the evaluators could not be directed to a contingency plan actually used as basis for an operational plan or EMOP document.⁴² Most interviewees within or outside WFP agreed that plans are rarely used. Either the occurrence differed from that anticipated in the scenario, or more appropriate response strategies were adopted, or staff had no knowledge of the plan.

144. A comparison of responses in two countries - one of which had invested in contingency planning and the other not – supports the belief of many that the quality of response is not significantly influenced by the existence of a contingency plan. Many interlocutors and the evaluators believe that the personality and quality of the senior staff on the ground, the experience and cohesion of the staff in general, and their relationships with other actors – qualities which may be strengthened by the process of contingency planning – play a greater role.

2.D Contribution to Inter-agency processes

145. Inter-agency efforts should be mutually beneficial: they should enhance the collective efforts of all parties working together and at the same time enhance WFP's specific

⁴² In a couple of cases staff reported that paragraphs on the country background were used in an EMOP document of flash appeal but this information was almost certainly already available elsewhere and does not represent any significant use of the plan itself.

efforts. Experience confirms that achieving both aims in inter-agency contingency planning often proves a challenge. However, the potentially positive benefits of coherent, collaborative multi-agency efforts are so compelling that inter-agency contingency planning has wide support, encouraged by UN reform processes. In considering WFP contribution to this growing field, it merits note that the expectation of more dynamic interagency efforts has grown substantially over the period of the evaluation; secondly, as the field inter-agency contingency planning and preparedness is comparatively recent in its emergence, various of the inter-agency processes are still in development (e.g. the cluster approach, regional inter-agency preparedness and contingency planning groups, simulations).

2.D.1 Contribution to global inter-agency processes

146. WFP's contributions to global inter-agency contingency planning efforts deserve particular note with regard to participation and co-leadership of the IASC Sub-Working Group on Early Warning and Contingency Planning (SWG), and its support of these activities through the IASC. While the credit for achievements of the SWG rightly rest with the full SWG membership which functioned uniquely as collaborative forum with high involvement of all participating agencies, still the common effort benefited greatly from WFP co-leadership. Contributions to come from this group include an open exchange of information on early warning, preparedness and contingency planning that benefited all participating agencies. WFP support of the inter-agency effort to develop and update inter-agency contingency planning guidelines proved exceptionally useful. Potential and actual emergencies were monitored and when inter-agency contingency planning was felt to be needed, initiatives were taken to encourage and support such (e.g. contingency planning in the Middle East, West Africa, East Africa, Sudan, Nepal). Early warning processes and tools were jointly developed and remain core tools on which many agencies currently rely (e.g. IASC Early Warning-Early Action Report).
147. What made the WFP contribution unique was the same principles as being suggested for effective contingency planning – active commitment to collective effort and a desire to assist all partners in improving their systems and performance, a dynamic, proactive, problem-solving orientation. Also to be recognized was the continuing active encouragement and support of SWG activities and innovations by more senior WFP representatives to the IASC.

2.D.2 Contribution to regional inter-agency processes

148. At the regional level in all regions, over the past 3-4 years, regional inter-agency working groups formed composed of the persons holding practical responsibilities for preparedness and contingency planning in respective agencies, a mirror image of the IASC SWG at the global level. These inter-agency groups in some regions served as the principal inter-agency technical support teams for inter-agency contingency planning efforts by humanitarian country teams. WFP, UNICEF and OCHA, in particular, often collaborated in responding to requests for support of contingency planning. Where these teams were working closely together their contributions were widely acknowledged, and they remain a most promising mechanism to improve the common effort.

149. The evaluation found however considerable variability in the regional engagement and support currently being provided by WFP to regional contingency planning efforts. Partner agencies observed, in East and southern Africa for example, that WFP's active support of inter-agency contingency planning support efforts a few years ago have largely ceased. The most evident reasons appear to be insufficient preparedness and contingency planning staff at regional level, and insufficient prioritization of related activities. Considerable variability exists between regions.

2.D.3 Contribution to country-level inter-agency processes

150. In most of the countries visited, inter-agency (IA) contingency planning is becoming a standard feature. The evaluators explored the relationship between the WFP and inter-agency processes, their complementarities and the role of WFP in the inter-agency process.

Statement agreed upon by interviewees	Country Directors (12)	Other staff (18)	Total (30)
WFP is playing a leading role in IA contingency planning	8 (66%)	4 (22%)	12 (40%)
IA contingency planning helps WFP to perform better	7 (58%)	17 (94%)	24 (80%)
WFP should devote same or more effort to IA contingency planning	9 (75%)	17 (94%)	26 (87%)
Internal WFP contingency planning is <u>also</u> needed	11(92%)	16 (89%)	27 (90%)

151. It appears that whereas WFP often played a catalytic role in encouraging and supporting inter-agency contingency planning by UN or humanitarian country teams in the early period of the contingency planning roll-out, it has played this role less frequently in recent years. This is in part because the OCHA has more systematically assumed the role and in part because WFP offices have chosen to give priority to internal preparedness.

-- Summary analysis --

152. Results of the survey show strong support for IA contingency planning among staff. There are clear differences of opinions on the role of WFP in this process (leader or participant?) and its usefulness to WFP operations between country directors and technical or administrative staff. The former see the role of WFP as leader of the process while at the same time doubting its value for WFP performance. One point all agree is the fact WFP should not reduce its effort in the IA contingency planning nor abandon its own internal planning. Level of commitment and participation from other agencies is seen as a major obstacle.

153. Contacts and observations during the field visits support the same findings. External actors and in particular OCHA which has a mandate in this matter, see WFP's role and actual participation as important but uneven in quality and commitment. For instance, the leadership of WFP is recognized El Salvador, Ecuador and Colombia and appreciated by OCHA. Bolivia, although not mentioned seems also an example of successful leadership by WFP. In some countries, UN partners expressed concern on

the lack of clear and stable focal point or sustained involvement of WFP in some countries.

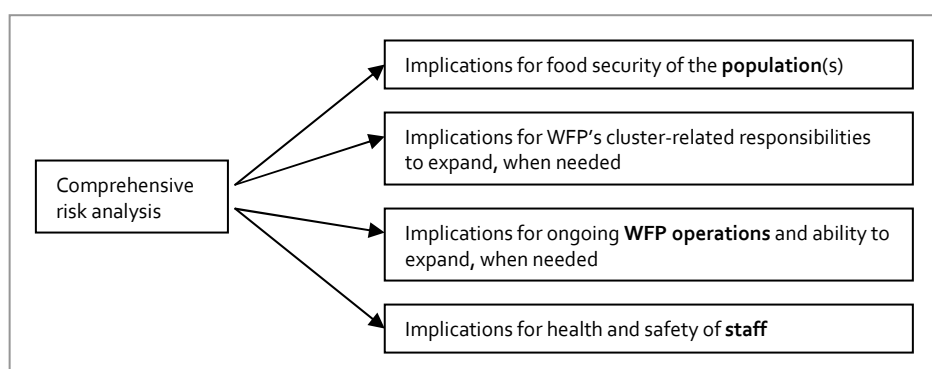
154. WFP staff considers WFP and inter-agency contingency planning efforts as complementary. They generally advocate a closer and more active role of WFP in this process whereby scenario building and general information/coordination measures would become a collective inter-agency responsibility with WFP focussing on its specialized roles (e.g. in food security, in logistics and when relevant as Logistics Cluster lead and Emergency Telecoms co-lead). Under this vision, WFP stand-alone contingency plans would become an annex to the IA plan. This view is shared by many interviewed staff members.
155. There is, however, a lack of clarity between the concept of WFP's own planning and sectoral/cluster planning. Very importantly there is need for organizational commitment to help build effectiveness of inter-agency planning where it is weak. The implications for WFP of being the Logistics Cluster lead, for example, are not consistently understood by WFP COs especially in regard to preparedness and contingency planning and the nature and extent of services that WFP may need to provide to other actors, particularly as to its responsibilities as "provider of last resort."
156. To further complicate the issue, the concept of the cluster approach, in which individual clusters are activated and lead by international agencies and NGOs, is meeting resistance from some WFP national counterparts including the Disaster Management/Civil Protection agencies particularly in Latin America. Authorities feel that national and sectoral leadership should prevail and be sufficient in countries with infrastructure, institutions and strong government leadership in humanitarian response. In countries without complex emergencies, the Logistics and Emergency Telecoms Clusters have not been formally activated and pre-crisis planning activities for cluster operations are limited.
157. The influenza pandemic situation presents an entirely different example of IA contingency planning, highlighting a new level of global contingency planning, as well as the challenges of putting in place the right processes and outcomes, including appropriate level of attention to beneficiary needs.

3. CONCLUSIONS AND RECOMMENDATIONS

3.A Overall Assessment

158. The following conclusions apply for most countries visited and there seems little reason to believe the situation would be different in other countries. Overall, contingency planning, as implemented by WFP until now, has had relatively limited impact on such concrete preparedness enhancements, as pre-positioning of stocks, logistical arrangements, improved access to sources of information, pre-approved agreements with partners or authorities. Such contributions have been realized in only a minority of cases and primarily when planning for well-defined, imminent threats. However, depending on participation in the process, benefits have accrued in terms of greater awareness of risks, anticipation of some problems, improved understanding of potential response strategies among participants, anticipation of some problems, team building and improved coordination within WFP and with partners. Furthermore, the evaluation concluded that contingency planning as a separate activity had in itself little impact on response. The contribution of contingency planning to WFP preparedness and response has been mostly attributable to the process itself and largely independent of whether the scenario was realistic or the plan relevant to the contingency that actually occurred. The plans themselves were almost never used.
159. Considerable effort has been put into enhancing general preparedness at the *corporate* level (including procedures, corporate capacities, etc.) during the period under review, 2002-2008 and there have been also some notable specific corporate contingency planning efforts including, for example, Iraq and Sudan. At *country* level, contingency planning has been relied on as the primary preparedness tool and the impact has depended on the commitment of the country director, the way the process was conducted, the extent to which it was adapted to the situation and needs of the country office at the time, and the support and resources made available. At *regional* level attention has varied in the last 3-4 years depending on the priority given to preparedness including contingency planning by each RB/RD and the extra-budgetary resources they have themselves been able to raise for EPR since the expiry of the initial DfID-funded ISP.
160. At all levels, there is a recognition that the current profusion of different, apparently un-related (certainly un-coordinated) Headquarters-inspired initiatives in relation to business continuity planning and risk management in addition to “contingency planning” is confusing for country offices and inefficient. It is also recognized that it would be beneficial to more closely link the contingency planning process – and more specifically risk analysis and preparedness assessment – to routine planning processes especially annual work plans. At the same time, initiatives taken in the last few years by several country offices and regional EPR officers provide valuable indications for possible ways forward towards more flexible contingency and preparedness planning processes.
161. The evaluators believe that the aims of contingency planning would be more effectively accomplished by:

- ◆ Adaptation of the process to ensure regular risk analyses and reviews of the status of preparedness, limiting the formulation of detailed contingency plans to imminent and well-defined threats, and making appropriate use of simulations;
- ◆ Integration of overlapping (and sometimes conflicting) processes of contingency planning, business continuity planning, security planning, pandemic planning, and overall risk management based on a common, comprehensive analysis of risks (as illustrated in the diagram below);
- ◆ Assuring the broadest possible participation in the contingency planning process and greater emphasis on analysis of food security and operational implications;
- ◆ Renewed technical guidance and sustained technical and material support to country offices;
- ◆ Inclusion of appropriate training modules in existing training activities for all categories of staff, and assuring the regular dissemination of experiences and lessons among EPR officers and focal points;
- ◆ More thorough and consistent quality assurance and results measurement.



162. It is worth reiterating that the process itself has been useful. The evaluation conclusion can best be summarized by paraphrasing a CD: “Often emergencies turn out to be completely different from the plan. A contingency plan is too theoretical and gets into useless details. However, thanks to the contingency planning exercise, the office and partners have already an idea of what to do, even if the idea has to be readjusted.” The challenge for WFP is to maintain this consultative process without the burden of detailed contingency plans when unnecessary. The evaluators take as their own the conclusions of some interlocutors that a detailed operational plan should only be prepared for threats that are almost certain and well-defined. A shift to general preparedness planning associated with other tools (such as simulations) would be most suitable in other cases.

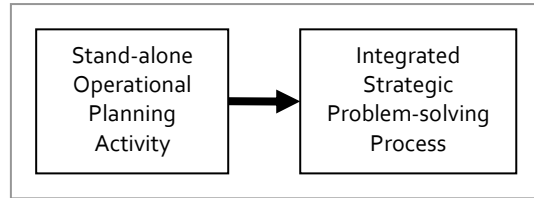
3.B Recommendations

3.B.1 Strategic recommendations

163. Based on the above assessment, the evaluators propose three overall, strategic recommendations, each with a number of associated operational recommendations:

164. *Strategic Recommendation 1. Re-conceptualize contingency planning from being a stand-alone operational planning activity to an element in an integrated strategic problem-solving process conducted within an overall inter-agency framework. [Action: OM-OMEF, OEDAM]*

This includes emphasizing analyses of risks and preparedness in all functional areas and preparing detailed contingency plans only when appropriate, linking with normal management and planning processes, integrating with other preparedness and risk management processes, ensuring that analysis and planning by WFP complements (and does not duplicate) inter-agency efforts, clarifying WFP's related cluster lead responsibilities.



165. *Strategic Recommendation 2. Re-affirm and consolidate the Programme's commitment to – and support and accountability for – preparedness including contingency planning as and when appropriate. [Action: Executive Board, Senior Management]*

This includes ensuring clear definitions of responsibilities with related accountabilities and incentives, technical support capacity, monitoring and quality assurance systems, arrangements for preparing for what could become corporate emergencies, long-term funding, and the inclusion of relevant elements in future evaluations.

166. *Strategic Recommendation 3. Build on field experience and initiatives to update the guidance materials and further develop skills while also institutionalizing the recommended revised approach. [Action: OMEF, RBx]*

This includes taking the best from the various contingency plan formats and preparedness-oriented modular approaches developed by country offices and regional bureaux in recent years, allowing for appropriate adaptation of processes and formats to country conditions and needs, consolidating arrangements and practices for inter-country planning, up-dating the guidance materials accordingly, and assuring appropriate skills development.

3.B.2 Associated operational recommendations

-- Re-conceptualizing contingency planning --

167. *Specific recommendation 1.1: Focus on the objective of ensuring that WFP (and particularly each WFP country office⁴³) is aware of potential risks and prepared to respond appropriately if and when needed. Prepare detailed contingency plans only for imminent or well-defined threats. Develop and use other tools to ensure awareness and*

⁴³ This also applies for regional bureaux in relation to countries where WFP is not present but may be called on to respond.

more general preparedness.⁴⁴ Update the EPRF accordingly. [Action: OM-OMEP, RBx, COs]

Risk analysis and preparedness reviews may be conducted and result in general preparedness action without necessarily the preparation of a contingency plan. However, both preparedness reviews and contingency plans should result in recommendations for follow-up preparedness action, whenever required, with specified responsibilities, time frames and cost estimates. Other tools could include simulations and self-learning CD-ROMs.

168. *Specific recommendation 1.2:* Risk analysis, preparedness reviews and contingency planning, when needed, should be established as an integral part of regular planning, management and reporting processes. [Action: OM-OMEP, RBx, COs]

A risk analysis and preparedness review should be an integral part of the preparation and review of annual work plans. Specific contingency planning exercises should be scheduled in the work plan when needed but also undertaken on an opportunistic basis when there is a specific early warning of a potential crisis or a significant change in an ongoing situation. A brief assessment of risks and preparedness should also be included in key management documents such as the strategy paper and executive brief.

169. *Specific recommendation 1.3:* Integrate current contingency planning activities, pandemic and other forms of business continuity planning, security planning and risk management in a combined analysis and planning framework, in particular at country office level. [Action: OM, OEDAM]

WFP should adopt an integrated approach in which risks for populations and for WFP's capacities and operations are regularly analysed, strategies to ensure a timely and appropriate response to potential humanitarian needs are envisaged, and arrangements made to ensure an appropriate level of preparedness within WFP and with partners.

All country-office-level contingency/emergency planning and risk management strategies should focus simultaneously on the humanitarian food security needs of the population, WFP's cluster lead obligations (see below), the protection of WFP's own capacity and the welfare and security of its staff and those of partners. There should be links with security risk assessments and contingency planning should provide for [continuing] assistance to the population in the event of security phase changes including evacuation.

170. *Specific recommendation 1.4:* Continue to be proactive in supporting inter-agency contingency planning and ensure that risk analysis and contingency planning by WFP complement (not duplicate) inter-agency efforts including those of clusters. [Action: OMEP, RBx, COs]

⁴⁴ This is in line with the *Interagency Contingency Planning Guidelines for Humanitarian Assistance*, IASC 2007, which distinguish "contingency planning" and "preparedness planning."

A WFP risk analysis and contingency planning process should normally take as a basis the analysis and scenarios agreed at the inter-agency level, adding or re-prioritizing only if found necessary from a food security perspective. Where there is an effective food-security-related cluster or sector group, the detailed analysis of food security implications and response options, and planning for response when appropriate, should be a collective effort of the cluster/sector group. Specific WFP planning would then focus on WFP's own responsibilities within that framework including internal management and support functions, as illustrated in the table below.⁴⁵

Inter-agency		Food/logistics/telecoms cluster		WFP
Overall, inter-sectoral: <ul style="list-style-type: none"> • hazards & risk analysis • planning assumptions • coordination mechanisms 	→	Specific food/logistics/ telecoms: <ul style="list-style-type: none"> • planning assumptions • food assistance strategies • responsibilities • arrangements for assessment, monitoring, etc. 	→	Specific WFP responsibilities: <ul style="list-style-type: none"> • staffing • resource mobilization • delivery, etc.

Where there is no effective inter-agency process or food security-related cluster, WFP should conduct its own risk analysis and contingency planning process involving key cooperating partners as much as possible. WFP should be ready to provide leadership for inter-agency contingency planning when it is best placed to do so. The responsibilities of WFP to lead contingency planning within country-level food/food security, logistics and ETC clusters, when WFP is cluster lead or co-lead, should be clarified.

171. *Specific recommendation 1.5:* Reinforce the links with between contingency planning and current and emerging early warning systems within WFP and at the inter-agency level. Assure reporting on the evolving situation and preparedness action taken, or the reasons for inaction. [Action: OMEP, RBx]

Risk analysis and contingency planning should explicitly build on and take account of early warning information while monitoring/warning systems should monitor the indicators (triggers) defined during contingency planning processes. Links should be established with, in particular, the IASC Early Warning-Early Action Report. Country directors should report to the RB and OMEP on the evolving situation and actions taken or needed.

-- Consolidating commitment, support and accountability --

172. *Specific recommendation 2.1:* Re-affirm the priority that WFP accords to being prepared to respond to humanitarian crises and needs using all relevant tools including contingency planning as and when appropriate, develop quality indicators and clearly define responsibilities with related accountabilities and incentives for staff in all functional areas. [Action: Executive Board, Senior Management, ADH]

⁴⁵ This table, which emerged from discussions with interviewees in the field, is similar to Table 1 in the *Interagency Contingency Planning Guidelines for Humanitarian Assistance*, IASC 2007

Appropriate references to preparedness, including contingency planning, should be included in the job profiles and performance appraisals of staff in all functional units. For CDs, this would include ensuring appropriate linkage with regular planning processes (see recommendation 1.5) and determining when the preparation of detailed contingency plans would be needed. The practice of Internal Audit including the status of contingency planning in their reviews of field offices should be continued and systematized.

173. *Specific recommendation 2.2:* Ensure, as a core function within the organization, (i) the provision of necessary technical support to COs (and RBx) to facilitate risk analysis, preparedness and contingency planning processes, and (ii) systems to monitor the quality of the outputs of those processes and assure the learning and dissemination of lessons and the sharing of experiences among RBx and COs. [Action: OM, OMEP]

WFP should ensure necessary technical support to all country offices as a core function. Ideally, there should be at least one EPR post dedicated to risk analysis and preparedness including contingency planning in each RB and adequate staffing of OMEP in Headquarters. To be effective, all regional and Headquarters EPR officers should have substantial experience and seniority (minimum P-4) to inter-act with senior management in country and regional offices.

174. *Specific recommendation 2.3:* Assure adequate long-term funding for the technical support and the other functions outlined in these recommendations, and for specific contingency planning exercises, when required. [Action: Executive Board, Senior Management]

These are essential core functions for an organization whose primary business is emergency response (and risk reduction/mitigation). WFP should not be dependent on extra-budgetary funding for these essential activities although such funds may continue to be sought and used for specific activities such as the development of tools and technology.

175. *Specific recommendation 2.4:* Include assessment of the role and impact of prior contingency planning and related preparedness measures in the terms of reference of all future evaluations of emergency operations and any PRRO for which there has been a budget revision to respond to a new crisis during the period under review. [Action: OEDE]

176. *Specific recommendation 2.5:* Establish cost/benefit measurement processes at the country office level to be able to assess the value of contingency planning (timely, appropriate, effective response) against investment in the activity (time and money). [Action: OMEP, RBx]

-- Building on field experience to update guidance and tools --

177. *Specific recommendation 3.1:* Update the contingency planning guidelines and further develop the on-line tool kit to reflect the re-conceptualization proposed above, incorporate field experience, and emphasize the analysis of food security implications, response options, the anticipation of potential problems and the identification of ways to avoid or minimize such problems. [Action: OMEP, RBx]

Capitalize on initiatives taken in recent years at country and regional levels to enhance the efficiency and effectiveness of contingency and preparedness planning. Review and build on the various formats developed and modular approaches adopted by country offices and regional bureaux in their efforts to produce more concise, synthetic contingency plans that better meet their needs. Develop tools to assist in managing the analysis and planning processes.

178. *Specific recommendation 3.2:* Review policies and recent practice and develop practical guidance on how to ensure essential confidentiality for sensitive scenarios while encouraging the widest possible participation in preparedness reviews and contingency planning. [Action: OMEP, RBx]

Consider separating (i) the discussion of general scenarios, the analysis of their food security implications and the generation of broad planning assumptions from (ii) the analysis of preparedness to deal with particular sets of planning assumptions and the development, when appropriate, of corresponding contingency plans.

179. *Specific recommendation 3.3:* Assure appropriate skills development among staff in all functional areas. [Action: OM, RBx, COs]

Include short modules on emergency preparedness including contingency planning in all management training activities and in existing functional training activities (e.g. for all categories of programme staff, logistics, finance and other support functions). Support skills development among EPR officers and focal points through the regular, systematic exchange of information and experiences in the context of an EPR network, and prioritize the development of management and facilitation skills for the analysis and planning processes.

180. *Specific recommendation 3.4:* Consolidate arrangements and practices for inter-country contingency planning and planning for situations that could become corporate emergencies. [Action: OM, OMEP, RBx]

Continue to undertake or participate in inter-country risk analysis and contingency planning for risks that have clear inter-country implications, notably when actual or potential internal or international conflicts could result in significant refugee flows or changes in supply routes within the sub-region. This would include promoting and participating in (sub-)regional inter-agency analysis and planning efforts when and where appropriate seeking to secure agreement on relevant population numbers and potential needs as well as likely constraints, while also conducting WFP's own analysis and planning especially for logistics and telecommunications aspects as well as WFP's own pipeline(s).

Define criteria and procedures to initiate and conduct planning for potential crises that could overwhelm the systems and capacities of a country office and require corporate mobilization. This may include a process of dialogue among the country director, regional director and the Deputy Chief Operations Officer to determine whether and how contingency planning should be undertaken with the involvement of all three levels of the organization.

LIST OF ANNEXES

Annex 1 – Terms of Reference

Annex 2 – Bibliography

Annex 3 – Countries visited/List of persons interviewed

Annex 4 – Methodology / Evaluation matrix

Annex 5 – Contingency Planning Practice: Comparing Actual to Best Practices

Annex 1 – Terms of Reference

Strategic evaluation of Contingency Planning in the World Food Programme 2002 – 2008

I. BACKGROUND

I. A. Humanitarian contingency planning.

1. Following repeated large-scale emergencies in the late 1990s, which exposed humanitarianism to severe difficulties, some failures and systemic issues, humanitarian organisations have taken significant steps to improve, systematise and professionalise their emergency preparedness. Contingency planning is part of a broader set of activities that constitute emergency preparedness and has emerged as a key tool to ensure that agencies are as ready as they can be to respond to arising crises. Contingency planning is defined as the process of establishing programme objectives, approaches and procedures to respond to situations or events that are likely to occur, including identifying those events and developing likely scenarios and appropriate plans to prepare for and respond to them in an effective manner⁴⁶.
2. The Humanitarian Practice Network (HPN) published in 2007 a review of contingency planning and humanitarian action⁴⁷. Based on experiences of humanitarian organisations and guidance material, this paper offers the first attempt to explore the process and practice of humanitarian contingency planning. It shows that while important benefits have been derived from contingency planning in recent years, a number of major challenges remain.
3. These challenges include: (a) achieving and sustaining a truly dynamic and effective contingency planning process that improves preparedness and emergency response rather than produce documents; (b) considering contingency planning as a management function rather than a technical activity; (c) establishing preparedness frameworks and contingency planning processes that reinforce each other; (d) mainstreaming contingency planning including maintaining adequate levels of funding for contingency planning and preparedness; (e) improving the links between early warning, assessment and contingency planning and developing baselines that can support all three activities; (f) using exercises and simulations to test contingency plans and build response capacity; (g) increasing joint scenario development and contingency planning.

I. B. Contingency Planning within the WFP emergency preparedness framework.

⁴⁶ Inter-Agency Standing Committee and World Food Programme definitions.

⁴⁷ Contingency planning and humanitarian action – A review of Practice by R Choularton, HPN – Network Paper Number 59, March 2007.

4. The 1994 WFP Mission Statement⁴⁸ mentions that WFP will give priority to supporting disaster prevention, preparedness and mitigation as well as post-disaster rehabilitation activities. The Disaster mitigation policy approved by the Executive Board in 2000⁴⁹ solidly anchors preparedness and contingency planning as key elements of the WFP disaster mitigation approach and defines contingency planning as “part of preparedness, and a key element in reducing the impact of disasters and promoting recovery as swiftly as possible. (...) Contingency planning is a *process*, which needs to be both strategic and operational. This process is used for both natural disasters and conflict situations”. All WFP strategic plans have further reinforced the central function of emergency preparedness in WFP and the use of contingency planning is the context of both natural and man-made crises. The adoption of the Hyogo Framework for Action (HFA) 2005–2015 has led WFP to take more concerted and coherent action to support governments’ disaster risk reduction efforts and the Programme is currently preparing a new policy on the prevention and mitigation of disasters⁵⁰. See annex two for extracts of WFP corporate strategies and policies related to emergency preparedness and contingency planning.

5. Since 2000, WFP has considerably invested in emergency preparedness, which it defines as the sum of actions, arrangements and procedures in anticipation of an emergency to ensure that response, when needed, will be rapid, appropriate and effective. An Emergency Preparedness and Response Framework (EPR) was prepared in 2003 and a project to “strengthen, rationalise and consolidate WFP preparedness framework is ongoing. See annex three for a presentation of the WFP emergency preparedness approach and tools. The WFP preparedness framework includes structural, organisational and information preparedness elements:
 - a. **An Emergency Preparedness Branch** (OMEP) is responsible for developing and mainstreaming some of the key corporate elements of preparedness⁵¹. This service also co-chairs the Inter-Agency Standing Committee (IASC) Sub-Working Group on Preparedness and Contingency Planning established in 2001 to explore and develop preparedness and early warning tools in order to enhance the IASC partners’ overall preparedness capacity and to strengthen and mainstream inter-agency contingency planning processes and approaches across the UN system. In addition, emergency preparedness units have also been set up at regional bureau level and in some country offices, even if the practice varied significantly.
 - b. **Information systems and management** are in place to contribute to better prepare the organisation to crises such as vulnerability analysis and mapping; food security monitoring; early warning; early targeting and logistics capacity assessments (LCAs).
 - c. **Operational tools for emergency preparedness** exist such as standby mechanisms and resources (internal and external) available at short notice through predefined

⁴⁸ In December 1994, WFP’s governing body adopted the WFP Mission Statement, the first for an United Nations organization, which was based on a fundamental review of WFP’s policies, objectives and strategies.

⁴⁹ See WFP/EB.1/2000/4/A (February 2000).

⁵⁰ See the draft WFP policy on prevention and mitigation of disasters submitted for informal consultation to the EB on 23 October 2008 as well as verbatim of the discussion.

⁵¹ These include risk assessment, business continuity, early warning, early targeting and contingency planning.

arrangements and agreements allowing the organisation to mobilise food, human resources, equipment, transport and emergency funding rapidly. In addition, WFP has developed normative guidance on various aspects of mounting an operation and trained staff and partners on contingency planning, emergency response, etc.

6. **Contingency planning** is arguably the most mainstreamed and widely used tool to contribute to enhancing emergency preparedness and response in WFP as part of the EPR framework. It is used to prepare for a new crisis or a major change in an existing one and has become a corporate requirement. While the 2000 disaster mitigation policy states that contingency planning exercises thus far had been informal, scattered and using different methodologies in the absence of a structure formally responsible for coordinating and systematizing contingency planning activities, WFP has since taken significant steps to define a framework and identify a technical and coordinating mechanism for contingency planning within the Programme. As requested by the EB, contingency planning exercises were first introduced gradually, on a pilot basis, beginning with the most disaster-prone countries⁵².
7. In 2002, WFP contingency planning guidelines⁵³ were prepared to allow the organisation to establish norms, strategies, objectives and operational procedures to respond to potential emergency situations and enhance preparedness in WFP and its partners. The introduction of the guidelines also allowed WFP to catch up with other UN agencies having a stronger corporate tradition of contingency planning⁵⁴. Through the IASC SWG, WFP also played an active role in the preparation of the original Inter-Agency guidelines on contingency planning and their revision in late 2007⁵⁵ as well as in the current development of an online toolbox⁵⁶ and training modules.
8. Since the issuance of the WFP guidelines, over 125 WFP contingency plans have been prepared. These focus on natural disasters, man-made disasters and pandemics⁵⁷, single countries or regions and include a few plans in countries where WFP does not have a presence but where the likelihood of an emergency is high. In addition, WFP contributes to inter-agency contingency planning exercises at local and regional levels and participated in over 83 such exercises since 2002. See annex four for a list of all contingency plans and annex five for an analysis of the distribution of plans per region, per contingency types, per year, etc.

I.C. Stakeholders

Table one: Preliminary stakeholders analysis	
Key stakeholder group	Role in contingency planning and interest in the evaluation

⁵² See WFP/EB.1/2000/10 (February 2000).

⁵³ An online WFP contingency preparation toolkit is currently under development.

⁵⁴ UNHCR, for example.

⁵⁵ Inter-Agency Contingency Planning Guidelines for Humanitarian Assistance (revised version), IASC, December 2007.

⁵⁶ The IASC online toolbox is available on <http://www.hewsweb.org/cptoolkit/index.asp>

⁵⁷ Of the WFP contingency plans, 32% dealt with natural disasters, 49% with man-man crises and 20% with a combination of both types of crises.

Internal	
WFP CO & RB managers and program staff	Country Directors who are responsible for country-level planning and program staff including preparedness officers are responsible for implementing preparedness activities at local/regional levels. They have a direct stake in assessing whether WFP contingency planning has been effective in preparing for crises at field level in order to be accountable downwards to beneficiaries and upwards to WFP Headquarters and donors and to incorporate lessons into future preparedness activities.
WFP Preparedness branch	The Preparedness Branch (OMEP) is responsible for developing and mainstreaming some of the key corporate elements of preparedness throughout the organisation. It has an interest in ensuring that lessons learned from the practice of contingency planning are timely reflected and incorporated into future normative guidance and practice as well as in being accountable to field offices and other Headquarters units.
Senior WFP Headquarters managers	Senior WFP managers have a direct stake in assessing whether the WFP contingency planning efforts globally are effective in preparing for, and responding to, crises in order to account to donors and to improve corporate performance, if and where necessary.
WFP Executive Board	The EB has a direct interest in the effectiveness of WFP contingency planning and preparedness actions at large in order to be able to assess overall corporate performance in this field and take informed decisions, if relevant.
External	
IASC Sub-Working Group on Preparedness and Contingency Planning	The IASC SWG seeks to enhance the IASC partners' overall preparedness capacity and to strengthen and mainstream inter-agency contingency planning processes and approaches across the UN system. It has an interest in using lessons learnt from the WFP experience, notably as far as its participation in IA contingency planning is concerned, to further inform and strengthen inter-agency preparedness and contingency planning processes across the IASC community of humanitarian actors.
Other UN agencies	Other UN agencies, participating alongside WFP in inter-agency mechanisms designed to support coordinated preparation and response to emergencies at local levels have an interest in further strengthening IA preparedness actions at local levels.
Government partners	While recognising that governments hold primary responsibility for providing humanitarian assistance to people in need, governments have an interest in WFP and especially IA contingency planning to ensure that the international humanitarian community can organise itself to support and complement national action in case of a disaster.
NGO partners	NGO partners are often associated to contingency planning exercises and have a particular interest in whether or not WFP is effectively planning for potential crises in order to themselves prepare for a coordinated response if an emergency arises.
Beneficiaries	They have an important stake in WFP determining whether or not it is planning adequately for contingencies since it is the assistance provided to them, which is at stake in the aftermath of a disaster. As such, perspectives from affected beneficiaries will be sought throughout the evaluation, to the extent possible.

II. REASON FOR THE EVALUATION

II. A. Rationale

9. This evaluation is undertaken for the following reasons:

The global context in which WFP operates is rapidly changing in part due to the challenges presented by market shocks and climate change. The frequency and intensity of extreme events and natural disasters have been increasing for more than a decade⁵⁸ and most indicators suggest that this trend is likely to continue. The 2008-2011 Strategic Plan is about positioning WFP to respond to the evolving global context and its third strategic objective relates to “preventing acute hunger and investing in disaster preparedness and mitigation measures” thus continuing to place disaster preparedness at the core of the WFP toolbox to address the rapid globalization of the hunger challenge.

d. Almost a decade into the investment in, and formalisation of, a WFP emergency preparedness framework and six years after the endorsement of contingency planning guidelines⁵⁹ which heralded the mainstreaming of this tool throughout WFP, there is a need to review what works and what does not in order to prioritise improvements and get the best return on the investment. It also provides an opportunity to reflect on the WFP contingency planning practice in light of the ongoing humanitarian reform process.

e. The current lack of formal evaluations and research on the effectiveness of humanitarian contingency planning, as highlighted by the HPN review, implies that the present evaluation is a good opportunity to help fill knowledge gaps, contribute greater rigour to the subject and to learn from the WFP experience to improve the organisation’s own practice and that of other practitioners. In fact, the review recommends that organisations that have made significant progress in mainstreaming contingency planning should undertake thematic evaluations of their own practice and its impact on humanitarian action to inform further development of the practice in these organisations and to provide a guide for other organisations lagging behind.

10. The evaluation is undertaken at this point in time to contribute to the group of OEDE-managed strategic evaluations conducted in the 2008-2009 biennium focussing on the overall theme of emergency preparedness and response⁶⁰, which is central to WFP’s mandate and will support the implementation of the Strategic Plan (2008-2011).

11. The intended users of the evaluation are first and foremost the various internal stakeholders identified above, the WFP Executive Board, the IASC Sub-Working Group on Preparedness and Contingency Planning as well as, to a lesser extent, other

⁵⁸ The number of natural disasters rose from 200-250 per year in the mid-1990s to 400-450 in 2000-2005. The 2008-2011. From the Centre for Research on the Epidemiology of Disasters (CRED) quoted in WFP 2007 Annual Report.

⁵⁹ The WFP contingency planning guidelines were issued in 2002. The IASC contingency planning guidelines were first published in 2001.

⁶⁰ The other OEDE-managed strategic evaluations include evaluations of Food Security and Nutrition Information Systems; and of the effectiveness of WFP livelihood recovery interventions.

practitioners from NGOs, UN agencies, donors and academia involved in emergency preparedness.

II. B. Objective

12. Evaluations serve the dual objectives of accountability and learning. As such, this evaluation will:

- Assess the relative success or failure of WFP contingency planning in contributing effectively to emergency preparedness and response to date (accountability).
- Determine the reasons for observed success/ failure and draw lessons from experience to produce useful recommendations in order to improve strategic, normative, as well as operational practice and processes (learning).

Of these two objectives, emphasis will be placed on learning in line with the rationale for this evaluation and with the perceived interest of the key stakeholder groups described in section IC and IIA.

III. SCOPE OF THE EVALUATION

13. This evaluation will focus on contingency planning in WFP as a strategic and operational *process* firmly rooted within the broader WFP emergency preparedness and response framework and defined as the process of establishing programme objectives, approaches and procedures to respond to situations or events that are likely to occur, including identifying those events and developing likely scenarios and appropriate plans to prepare for and respond to them in an effective manner⁶¹. In particular, the evaluation will include an assessment of:

the normative guidance related to contingency planning including relevant policies and strategies, guidelines, training material and toolbox.

- f. the organisational structure for contingency planning including technical, coordination and management mechanisms and the link between contingency planning and the emergency preparedness framework, notably with early warning.
 - g. the results of contingency planning in WFP considering i) the concrete results of the planning process (i.e. preparation, usage and implementation of plans, etc); ii) its impact on humanitarian action and iii) the intangible results of the planning processes such as the relationships or consensus generated.
14. Contingency planning has taken place in all regions and most countries in which WFP is present and has, on occasion, also covered countries where WFP does not have a presence. In addition, the process has been used for both natural disasters, conflict situations as well as other more global perceived threats such as the avian influenza. Finally in line with the humanitarian reform, contingency planning has increasingly been done in coordination with other humanitarian actors through IA processes and has also included preparedness planning for the clusters that WFP leads, co-leads or

⁶¹ Inter-Agency Standing Committee and World Food Programme definitions.

participates in⁶². In consequence, the evaluation will look at a cross-section of examples illustrating the various facets of the WFP contingency practice to illustrate the corporate practice. Individual contingency plans will not be evaluated as such.

15. While contingency planning in WFP dates back to the mid-1990s, the issuance of the contingency planning guidelines in 2002 marked the formalisation and mainstreaming of the its practice. As such, the evaluation will cover the period from 2002 until today.

IV. KEY EVALUATION QUESTIONS

16. A preliminary set of key questions have been developed for this evaluation based on a desk review of related documents and on initial discussions with some stakeholders. These questions will be refined based on the comments received on the draft ToRs and be further detailed in a matrix of evaluation questions to be developed by the evaluation team during the inception phase. The key issues centre on:

- The extent to which contingency planning has improved emergency preparedness and contributed to more appropriate, timely, efficient, effective and quality humanitarian action. This will include looking at i) the direct results of preparing and using plans to guide preparedness and response; ii) the less tangible results such as the sustainable relationships formed, consensus developed around a response approach, the learning by staff about what emergencies are like and how to respond, etc. and iii) the elements of the planning process, which were the most helpful in terms of response, when and why. As such, the focus is on the extent to which planning has led to achieving and sustaining processes for change that improve preparedness and response rather than led to producing plans for the sake of planning.
- The organisational framework for contingency planning including the extent to which contingency planning has i) been considered as a strategic planning tool for decision makers and a management function as opposed to a mere technical activity⁶³; ii) been embedded into a preparedness framework which reinforces and is reinforced by contingency planning and includes clear links to early warning and assessment; iii) been mainstreamed throughout the organisation and in other corporate exercises such as operational planning; and iv) received adequate levels of funding for the planning and its follow-up including preparedness activities and early action. What have been the organisational hurdles for not implementing contingency plans and preparedness actions?
- The extent to which normative guidance, particularly the guidelines, were internally and externally coherent. Did they contribute, together with technical support and trainings, to developing adequate competencies and bringing about relevant (i.e.

⁶² WFP is the lead agency of the logistics cluster and the co-lead of the telecommunications cluster. While there is formally no global food cluster, these are nonetheless often set up at country level and chaired or co-chaired by WFP.

⁶³ This extends to management at HQ, RB and CO levels.

addressing the right risks), practical, realistic, cost-efficient, process-driven and participatory contingency planning. Did they remain relevant overtime?

- The extent to which WFP has contributed to promoting the concept of humanitarian contingency planning at global level and its practice through inter-agency processes at local level.

V. EVALUATION APPROACH

V. A. Evaluability assessment⁶⁴

17. The challenges of evaluating contingency planning in WFP include:

- The need to establish evaluability at corporate and operational levels.
- The absence of a logframe for corporate emergency preparedness actions and contingency planning.
- The fact that performance indicators often focus on outputs (number of plans prepared, number of stand-by arrangements etc) rather than on outcome or goal and focus on the plans as opposed to the process.
- The impact of contingency planning is arduous to evaluate as it entails measuring the impact of having a contingency plan versus not having one.
- The non-tangible results of contingency planning, such as the relationships formed during the process are difficult to measure.

18. In order to address some of these challenges, OEDE has:

Prepared an electronic library of key relevant WFP and non-WFP documents⁶⁵ including normative guidance, best practice, lessons learnt papers and evaluation of emergency responses.

h. Prepared an electronic library of key relevant WFP and non-WFP documents⁶⁶ including normative guidance, best practice, lessons learnt papers and evaluation of emergency responses.

i. Consolidated a list of all WFP contingency plans including IA ones and conducted a preliminary analysis of their distributions per regions, types of crises, etc. See annex four and five.

j. Conducted a mapping exercise of actual crises against existing contingency plans and operational response⁶⁷. This matrix also highlights major crises for which there were no relevant contingency plans. See annex six

⁶⁴ Evaluability, the extent to which an activity can be evaluated in a reliable and credible fashion, necessitates: i) a clear description of the situation at the start to be used as a reference point to determine change; ii) a clear statement of intended outcomes; iii) a set of indicators to measure change; and iv) a defined timeframe for the occurrence of outcomes. From Glossary of terms in evaluation and results-based management, OECD/DAC working party on aid evaluation, 2002.

⁶⁵ These will be shared with the evaluation team at the start of the evaluation.

⁶⁶ These will be shared with the evaluation team at the start of the evaluation.

⁶⁷ Operational response include: Immediate Response Operations, Emergency Operations, Protracted Relief and Recovery Operations, Special Operations or expansion of any of these to respond to increased needs.

- k. Selected based on a set of criteria derived from the above analyses the desk review and field work case studies to ensure that the evaluation addresses a cross-section of regions, countries, types of crises, IA exercises etc. This selection will be validated by the evaluation team at the inception briefing in headquarters. The sampling method (and potential biases) used to select the country case studies as well as a list of countries are presented in annex seven.

V.B. Methodology

19. During the inception phase, the evaluation team will develop a methodology for data collection in line with the evaluability challenges listed above. In this respect, the inception report will present:

A logframe of the contingency planning process in WFP with outputs, outcomes and goals to be used as a basis for the evaluation.

- l. An evaluation matrix linking key issues to the logframe, relevant evaluation criteria, indicators, data collection methods and information sources. This will be used to guide data collection and field-work.
 - m. The elected data collection and analysis methods, constraints inherent to these methods (conceptual or logical) and solutions to address them;
 - n. Tools to guide fieldwork.
20. Regardless of the selected methodology, a wide range of quantitative and qualitative tools and methods should be used and the approach throughout the evaluation process should be pragmatic and participatory. All key stakeholders, including to the extent possible, beneficiaries should be consulted to ensure a comprehensive understanding of diverse perspectives on issues, performance and outcomes.
 21. The evaluation will employ relevant internationally agreed evaluation criteria including those of relevance, coherence (internal and external), efficiency, effectiveness, impact, sustainability and connectedness.
 22. Findings should be triangulated, evidence-based and relevant to the evaluation objectives and there should be a logical flow from findings to conclusions and from conclusions to recommendations. Recommendations should be limited to 15, be prioritised and targeted to the various users. Data, including numbers, should be systematically checked for accuracy and consistency.

V. C. Evaluation Quality Assurance System (EQAS)

23. In order to enhance the quality and coherence of WFP evaluation processes and reports, OEDE has developed an Evaluation Quality Assurance System (EQAS) based on the UNEG norms and standards and good practice of the international evaluation community (ALNAP and DAC). It sets out process maps with in-built steps for quality assurance, templates for evaluation products and checklists for quality feedback. EQAS will be systematically applied during the course of this evaluation and relevant documents provided to the evaluation team ahead of the start of the evaluation. Templates for the reports are presented in annex eight.

24. An expert reference group composed of leading practitioners from NGOs, other UN agencies and potentially academia has been constituted to undertake a peer review of the inception and evaluation reports and enrich the evaluation outputs by providing a cross-section of expertise and perspectives on the subject⁶⁸.

V. D. Phases and Deliverables

Activities	Output(s)	Proposed Timeline
Phase 0: Preparation		
<ul style="list-style-type: none"> • Preliminary consultations with internal stakeholders; • Mapping of contingency planning activities • Selection of desk review case studies • Preparation & circulation of draft terms of reference • Identification & recruitment of evaluation team. 	Final ToRs (EM) Recruitment of evaluation team (EM)	16 Jan 09 15 Feb 09
Phase One: Inception		
<ul style="list-style-type: none"> • Briefings and preliminary consultation with stakeholders. • Comprehensive review & analysis of key background documents. • Preparation of the methodology. • Preparation of the inception report including methodology and desk review of case studies. 	Final Inception Report	23 March 09
Phase Two: Country Case Studies / Field work		
<ul style="list-style-type: none"> • Field work in selected countries • De-briefing workshop at Headquarters 	Case study working papers.	13 April – 3 May 09
Phase Three: Reporting		
<ul style="list-style-type: none"> • Preparation of full report • Dissemination • Consolidation of comments matrix • Review of full report • Preparation of summary evaluation report • Preparation & circulation of 	Evaluation report draft Comments matrix Final evaluation report Draft Evaluation summary report Comments matrix	5 June 09 17 July 09 24 July 09

⁶⁸ The expert reference group will notably include Richard Choularton, Director Office of Humanitarian Assistance, CHF International and Frederick Spielberg, Preparedness & Early Warning Specialist, EMOPS Geneva, UNICEF.

recommenda ^{tion} matrix • Review of summary report • Editing / Translation	Final evaluation summary report Final edited report (EM)	24 August 09 October 2009
Phase Four: Presentation to the Executive Board		
Presentation of final evaluation summary report to the EB		October 2009

A detailed timeline for the evaluation is provided in annex nine.

VI. ORGANISATION OF THE EVALUATION

VI. A. Expertise of the evaluation team

25. In order to uphold the evaluation independence in line with the WFP Evaluation policy, the evaluation will be conducted by a team of external consultants identified through a transparent selection process. To contain costs while ensuring that the evaluation team possesses the required mix of expertise, the team will be limited to three members, including:
 - **A team leader** with the following profile: Strong evaluation experience of humanitarian projects and/or processes, a good understanding of contingency planning and more generally emergency preparedness issues as well as good conceptual, communication, and writing skills.
 - **Two team members** with strong experience at either practical and/or academic levels in humanitarian assistance with a focus on emergency preparedness issues, good interpersonal skills, ability to work effectively as part of a team and good drafting skills in the required languages of the countries selected as case studies. The team members require similar profile as they might travel independently to maximise the field work.
26. If deemed necessary by the evaluation team, **national consultants** could be hired in the countries selected for case studies to assist in field work and contribute local knowledge to the evaluation team.
27. The team members will report to the team leader and be responsible for timely submission of individual inputs. The team leader will be responsible for consolidating the team members' inputs and for the timely submission to the evaluation manager of the various reports. Annex ten provides specific job descriptions. Evaluators will act impartially and respect the code of conduct of the profession.

VI. B. Roles and responsibilities of WFP stakeholders

28. This evaluation is managed by OEDE and Claire Conan, Evaluation Officer, has been appointed as evaluation manager. She is responsible for drafting the ToRs; selecting and contracting the evaluation team; preparing and managing the budget; setting up the

reference groups; organizing the team briefing; assisting in the preparation of the field missions; conducting the first level quality assurance of the evaluation products and consolidating comments from stakeholders on the various evaluation products. She will also be the main interlocutor between the evaluation team, represented by the team leader, and WFP counterparts to ensure a smooth implementation process.

29. Relevant WFP stakeholders at CO, RB and Headquarters levels are expected to be available for interviews/meetings with the evaluation team and to comment on the various reports throughout the evaluation process.
30. Besides acting as key informants, OMEP and the COs selected for case studies will also be responsible to gather and share documents deemed relevant to the scope of the evaluation with the evaluation manager and team.
31. In addition, the country offices selected for field visits will be responsible to set up meetings with relevant stakeholders and assist in the identification of sites to visit and to provide logistical support to the evaluation team when in-country (e.g. arrange for lodging, transportation and provide suitable staff to act as interpreters, if required).

VI. C. Communication

32. An **internal reference group** comprising a cross-section of key WFP stakeholders (at HQ, regional bureaux and country office level) will be created to provide feedback throughout the process and comment on the evaluation products (ToRs as well as inception, evaluation and summary reports).
33. **Dissemination.** The summary evaluation report will be submitted to the WFP Executive Board in October 2009⁶⁹ and will be made available to the public through the WFP website. Opportunities to maximise lessons sharing will be explored such as a simple evaluation brief to be shared with internal and external stakeholders and a restitution workshop (depending on availability of funds).

VI D. Budget

34. The overall budget for the evaluation is USD 190,000 covering consultancy fees, international and in-country travels, (including of WFP staff, if necessary), and miscellaneous expenses. Funds will be provided from the OEDE PSA budget, as per the approved 2008 -2009 biennium workplan and budget.

⁶⁹ Tentative date

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Benfield Hazard Research Centre

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Centre for Research on the Epidemiology of Disasters (CRED)

<http://www.cred.be>

Dartmouth Flood Observatory

<http://www.dartmouth.edu/~floods/>

dgCommunities > Disaster (Development Gateway Foundation)

<http://disaster.developmentgateway.org/>

Disaster Research Center (DRC)

<http://www.udel.edu/DRC/>

Emergency Capacity Building (ECB) Project

<http://www.ecbproject.org/>

Emergency Events Database (EMDAT).[Centre for Research on the Epidemiology of Disasters]

<http://www.emdat.be/>

Famine Early Warning Systems Network (FEWS NET)

<http://www.fews.net/Pages/default.aspx>

GLobal IDentifier Number (GLIDE)

<http://www.glidenummer.net/glide/public/about.jsp>

Global Risk Identification Programme

<http://www.gripweb.org/grip.php?ido=1000>

Humanitarian Early Warning Service (HEWS)

<http://www.hewsweb.org/>

Humanitarian Futures Programme (HFP)

<http://www.humanitarianfutures.org/mainsite/index.php>

IASC Preparedness and Contingency Planning (Sub-Working Group)

http://www.humanitarianinfo.org/iasc/pageloader.aspx?page=content-subsidi-swg_preparedness-default&bodyid=14&&publish=0&publish=0

Natural Hazards Center at the University of Colorado at Boulder

<http://www.colorado.edu/hazards/>

OCHA Disaster Response Preparedness Toolkit

<http://ocha.unog.ch/drptoolkit/PContingencyPlanning.html#a>

Pacific Disaster Centre

<http://www.pdc.org>

PreventionWeb

<http://www.preventionweb.net/english/>

Project of Risk Evaluation, Vulnerability, Information & Early Warning (PREVIEW)

http://www.grid.unep.ch/activities/earlywarning/preview/data/preview/index_about_DC.php

Provention Consortium

www.proventionconsortium.org/

Relief Web

<http://www.reliefweb.int/rw/dbc.nsf/doc100?OpenForm>

UNDP/ UNEP Disaster Risk Index (DRI) Analysis Tool

<http://gridca.grid.unep.ch/undp/>

UN International Strategy for Disaster Reduction (UN/ISDR)

<http://www.unisdr.org>

Annex 3 – Countries visited/List of persons interviewed

Last Name	First Name	Organization	Title / Position	Meeting Location
Heider	Caroline	WFP	Director OEDE	Rome
Conan	Claire	WFP	Evaluation Manager	Rome
Daoudi	Amer	WFP	Director, Logistics Division	Rome
Chomilier	Bernard	WFP	Head, Logistics Development Unit	Rome
Scott-Bowden	Peter	WFP	Head, Avian Pandemic Influenza Task Force	Rome
Kerblat	Bernard	WFP (UNHCR secondee)	Global Logistics Cluster Support Cell Staff	Rome
Bagnoli	Andrea	WFP	CP Officer	Rome
Craig	Tony	WFP	Internal Reference Group	telephone
Chapman	Regis	WFP	Internal Reference Group	telephone
Egendal	Rasmus	WFP	Internal Reference Group	Rome
Lopez da Silva	Ramiro	WFP	Deputy COO & Director of Operations	Rome
Hollingworth	Matthew	WFP	Logistics Officer, ALITE	Rome
Veloso	Carlos	WFP	Chief, Preparedness Branch	Rome
Choularton	Richard		Peer Review Group	Telephone
Maxwell	Dan	Tufts University	Peer Review Group	Telephone
Janz	Mark	WVI	Peer Review Group	Telephone
Abdullah	Amir	WFP	DED & COO	Rome
Collignon	Jacques	WFP	Regional Log Officer OMD	Telephone
Aylieff	John	WFP	Country Director, Bangladesh	Phone
Stegen	Dierk	WFP	Regional Log Officer OMJ	Rome
Ohlsen	Martin	WFP	Chief, Logistics	Rome
Marianelli	Alex	WFP	Regional Focal Point, Logistics	Rome
Kehler	Al	WFP	Chief, OMXD	Rome
Turnbull	Paul	WFP	OMXD	Rome
Guarnieri	Valerie	WFP	Director, OMX	Rome
Buffard	Paul	WFP	Sudan	Rome
Luma	Joyce	WFP	Head, OMXF	Rome
Hansen	Rebecca	WFP	Director OEDAM	Rome
McNeil	Sue	Disaster Research Center	Director/Professor	Newark, DE USA
Dynes	Russell	Disaster Research Center	Professor Emeritus	Newark, DE USA
Quarantelli	Henry	Disaster Research Center	Professor Emeritus	Newark, DE USA
Wachtendorf	Tricia	Disaster Research Center	Professor/Researcher	Newark, DE USA

Last Name	First Name	Organization	Title / Position	Meeting Location
Jserger	Gordana	WFP	Deputy Regional Director	Panama
Gomez	Gerard	OCHA	Regional Coordinator	Panama
Buono	Gian Luca	UNICEF	Emergency Coordinator	Panama
Balletto	Raoul	WFP	Regional Advisor - VAM	Panama
Barkhof	Margreet	WFP	Food Security Analyst	Panama
Kavelj	Mirjana	WFP	UNHRD manager & Cluster Coordinator	Panama
Wertheimer	Stephanie	WFP	Resp. For Emergency Information Mgt	Panama
Craig	Gordon	WFP	Reg. Finance & Admin. Officer	Panama
Vanalphen	Dana	PAHO/WHO	Regional Response Officer	Panama
Santander	Alejandro	PAHO/WHO	Emergency Preparedness Central America	Panama
Zervaas	Dave	ISDR	Regional Officer	Panama
Sanabria	Rosario	WFP	Program Officer	Managua
Tablada	Santiago	WFP	Logistics Assistant	Managua
Barrera	Georgina	WFP	Administrative Assistant	Managua
Melendez	Carlos	WFP	Regional logistic officer	Managua
Messina	Michele	UNICEF	Emergency Focal point / Head WatSan	Managua
Romero	Pedro	WFP	IT/TC Assistant	Managua
Gonzalez	Xiomara	SINAPRED	Director Project Management	Managua
Caldera	Marti	SINAPRED	Accounting	Managua
Velasquez	Ivonne	OCHA	National Disaster Response Advisor	Managua
Ampié Barcia	Socorro	MAGFOR	Monitoring WFP Projects	Managua
Lopez	Christian	MAGFOR	Programming and Logistics	Managua
Drazba	Monica	AID	Acting Executive officer	Managua
Fondriest	Steven	AID	Disaster Relief Officer	Managua
Guevara	Guillermo	PAHO/WHO	Disaster focal point	Managua
Balladares	Bernabe	MIFAN	Supplies Commission SINAPRED	Managua
Perez	Jorge Luis	SINAPRED	Director preparedness	Managua
Ranchal	Helena	ECHO	Rapid Response Support for	Managua

Last Name	First Name	Organization	Title / Position	Meeting Location
			LAC	
Jung-Hecker	Reinhard	ECHO	Health/Nutrition LAC	Managua
Burgess	Peter	ECHO	Head of the Regional Support Office for LAC	Managua
Ling	Carlos	OXFAM	Humanitarian and risk reduction Officer	phone
Cisneros Rios	Ramon	WFP	Programs Officer	Lima
Perazzo	Carmen	WFP	Procurement Officer	Lima
Hardy	Carolyn	WFP	Procurement Officer	Lima
Gutierrez Olivos	Jesus	WFP	Logistics Assistant	Lima
Verastegui	Milka	WFP	Admin/ Finances Officer	Lima
Salazar	Raul	PNUD	Program Officer / IA plans - CERF	Lima
Rebaza	Ana Maria	OCHA	Response advisor	Lima
Veliz Marquez	Pedro	Lutheran World Relief	Regional Representative	Lima
Tejada Zavala	Jose	INDECI	Operations National Director	Lima
Tapia Zanabria	Walter	INDECI	Operations Center Officer	Lima
Cabanillas	Herman	INDECI	Planning Unit	Lima
Huaman Baldeon	Victor	ADRA	Prevention and Preparedness Manager	Lima
Britton	Walter	ADRA	Director General	Lima
Reboud	Patrick	EU	Cooperation Attaché	Lima
Campos	Anna	PREDECAN	Director	Phone
Bauer	Florence	UNICEF	Deputy Representative	Lima
Sato	Jose	PREDES	Chairman, Directing Council	Lima
Casanova	Fernando	IFRC	Regional Representative	Lima
Choquehuanca	Victor	Minsa/Defense	Director General	Lima
Yon Wong	Daniel	PRONAA	International Cooperation Officer	Lima
Vitalio	Eusebio	Municipal Government	Deputy Mayor (Alcalde) Tombe de Mora,	ICA
Ormeno Pachas	Martin	Municipality	Regidor	ICA

Last Name	First Name	Organization	Title / Position	Meeting Location
Ascencio Loyola	Patricia	Beneficiary		ICA
Chala	Fanny	Community	leader	ICA
Ferfen	Julie	Community	leader	ICA
Canelo	Robert	Community	leader	ICA
Cresustomo	Luis	Community	leader	ICA
Izaguirre Jimenez	Borris	UNDP	Provincial Advisor	Pisco
Vasquez Aquije	Belsy	UNDP	Provincial Advisor	Pisco
Figuereo	Eduardo	Civil Defense	Technical Secretary	Pisco
Reategui	Pedro	UNDP/BCPR	Information Mgt Advisor	Pisco
Mora	Mar	WFP	Principal advisor	Pisco
Pena	Manuel	PAHO/WHO	Representative	Pisco
Scaramella	Carlo	WFP	Representative / CD	San Salvador
Stanhope	Andrew	WFP	Logistics Officer	San Salvador
Storbeck	Adrian	WFP	SATCA project	San Salvador
Gauvreau	Guy	WFP/Peru	CD - Representative	Phone
Alves	Sergio	WFP/Bolivia	Chief, Programmmes	Phone
Goosens	Peter	WFP	Country Director	Somalia /Nairobi
Chicoine	Genevieve	WFP	Head of VAM/contingency planning focal point	Somalia /Nairobi
Ursel	Keith	WFP	Head of Programme	Somalia /Nairobi
Derore	Kathy	WFP	Programme Officer	Somalia /Nairobi
Barron	Chris	WFP	Head of Security	Somalia /Nairobi
Gundel	Joakim	WFP	Security Information Manager	Somalia /Nairobi
Keshavjee	Tarek	WFP	Head of Logistics	Somalia /Nairobi
Warsame	Said	WFP	Deputy Head of Human Resources	Somalia /Nairobi
Tesfaye	Telaye	WFP	Head of Finance	Somalia /Nairobi

Last Name	First Name	Organization	Title / Position	Meeting Location
Cox	Nicholas	USAID	Regional Food for Peace Officer	Somalia /Nairobi
Marinos	John	UNHCR	Operational Data Manager	Somalia /Nairobi
Vigneau	Bastien	UNICEF	Emergency Coordinator	Somalia /Nairobi
Thomas	Paul	OCHA	Deputy Head of OCHA	Somalia /Nairobi
Holleman	Cindy	OCHA ?	Chief Technical Advisor, Food Security and Nutrition Analysis Unit for Somalia	Somalia /Nairobi
Ouane	Sory	WFP	Deputy Regional Director	Uganda/ Kampala Platform
Sabiti	Anthony	WFP	Programme Officer, Emerg. Preparedness & Response	Kampala
Vigil	William	WFP	Reg. Programme Advisor (Pipeline/Resourcing)	Kampala
Berardo	Andrea	WFP	Head of VAM, a.i.	Kampala
Etima-Ocilaje	Josephine	WFP	Regional Programme Officer	Kampala
Bach	Margit	WFP	Nutrition Officer	Kampala
Lumu	Judith	WFP	Programme Officer Emergency Unit	Uganda CO
Malinga	Andrew	WFP	Senior Programme Assistant, VAM Unit	Uganda CO
Pakkala	Timo	WFP	Deputy Regional Director	Jo'burg
Stegen	Dierk	WFP	Regional Logistics Unit (check)	Johannesburg
Kearney	Stephen	WFP	Finance and Administration Unit	Johannesburg
Porretti	Stefano	WFP	Country Director	Afghanistan
Farah	Abdi	WFP	Head of Programmes	Afghanistan
Yari	Shafiq	WFP	Program Officer – Emergency Preparedness and Contingency Planning	Afghanistan
Belliappa	K.P.	WFP	Head of Logistics	Afghanistan
Freeman	Anthony	WFP	Logistics Officer	Afghanistan

Last Name	First Name	Organization	Title / Position	Meeting Location
Trunin	Arcady	WFP	Security Officer	Afghanistan
Harutyunyan	Arman	UNHCR	Senior Programme Officer	Afghanistan
Matine "Adrak"	Dr. Dbdul	Afghanistan National Disaster Management Authorities	General Director	Afghanistan
Kluit	Eliane Provo	OCHA	Head of Programmes	Afghanistan
Gudnitz	Sune	OCHA New York	Humanitarian Affairs Advisor	Afghanistan
Shama	Gopal	UNICEF	Deputy Representative	Afghanistan
Mdebwe	Henry	UNICEF	Acting Head of Health Section	Afghanistan
Mehri	Waigal	UNICEF	Emergency Focal Point, O.I.C.	Afghanistan
French	Peter	WFP	Regional Director, a.i.	Bangkok Reg. Bureau
Howley	Kevin	WFP	Emergency Preparedness and Response Officer	Bangkok
Wyatt	Paul	WFP	Regional Logistics Advisor	Bangkok
Shinkman	Michael	WFP	Regional Programme Advisor	Bangkok
Nyangara	Asaka	WFP	Regional Programme Advisor	Bangkok
Charlop- Powers	Aaron	WFP	Food Security Analyst	Bangkok
Skavdal	Terje	OCHA	Regional Director	Bangkok
Verbeeck	Richard	WFP	DCD	Kinshasa
Dieng	Abdou	WFP	CD	Kinshasa
Honorat	Pierre	WFP	Head of Logistics	Kinshasa
Greentree	Marjolaine	FAO	Emergency Coordinator	Kinshasa
Lutete	Vangu	FAO	Deputy Representative	Kinshasa
Akyeampong	Victoria	UNHCR	Deputy Representative	Kinshasa
Decoux	Alain	ECHO	Chef de Bureau	Kinshasa
Dekker	Robert	WFP	Head of Programme	Kinshasa
Wyllie	Andrew	OCHA	Deputy Head of Office	Kinshasa
Haykin	`Stephen	USAID	Mission Director	Kinshasa
Sizaret	Frederic	UNICEF	Emergency Coordinator	Kinshasa
Sheikh	Mohammed	WFP	Head of Sub-Office Mbandaka	Kinshasa

Last Name	First Name	Organization	Title / Position	Meeting Location
Foliot	Guillaume	WFP	HQ – Program Dept	Kinshasa
Ghebre Yohannes	Abeba	WFP	Head of Admin & Finance	Kinshasa
Verjus	Frederic	WFP	Head of Office – N. Kivu	Goma
Schaller	Peter	WFP	Logistics Coordinator, DRC	Goma
Cuny	Charlotte	WFP	Programme Officer	Goma
Sacco	Estaban	OCHA	Head of Office – N. Kivu	Goma
Chauvet	Hubert	FAO	Head of Office – N. Kivu	Goma
Ndahanwa	Damien	UNICEF	Emergency Officer	Goma
Mbuna Badjonga	Emmanuel	Caritas	Administrateur General	Goma
Melling	Peter	Norwegian Refugee Council	Finance & Administration Manager	Goma
Nkadulu	Jean-Claude	WFP	Logistics Officer – Dungen DRC	Goma
	Olivier	WFP	Head of Sub-Office - Bukavu	Goma
	Rejus	WFP	Security Officer	Goma
Touchette	Mario	WFP	Country Director a.i.	Conakry
Turay	Foday	WFP	Chief Programme	Conakry
Engelsen	Frank	WFP	Chief Logistics	Conakry
Lodi	Luca	WFP	Chief Finance & Admin	Conakry
		WFP	National logistics officers	Conakry
Bigenimana	Emmanuel	WFP	Programme Officer	Conakry
Doumaye	Dillah	UNHCR	Representative; UNRC a.i.	Conakry
Niyonzima	Joel	UNHCR	Chief Programme	Conakry
Hasuia	Ismail	UNHCR	Programme Officer	Conakry
Nzungize	Marie-Jean	UNICEF	Programme Officer	Conakry
Louart	Perrine	ICRC	Chief Delegate	Conakry
Kulibali	Mariatou	FAO	Emergency Programme	Conakry
Hautbois	Marie-Jeanne	Terre des Hommes	Delegate	Conakry
Bossant	Frank	MSF	Chief of Mission	Conakry
	Alexandre	OCHA		Conakry

Last Name	First Name	Organization	Title / Position	Meeting Location
Maka	Madeleine	OCHA		Conakry
		Gov't	Director and staff SENAH	Conakry
Jibidar	Claude	WFP	Deputy RD	Dakar
Brunner	Edwin	WFP-Swiss	Emergency Preparedness Team	Dakar
Riegger	Lucas	WFP-Swiss	Emergency Preparedness Team	Dakar
Bulman	David	WFP	Regional Programme Advisor	Dakar
Collignon	Jacques	WFP	Regional Logistics Officer	Dakar
Bah	Alpha	WFP	Regional ICT Officer	Dakar
Bauer	Jean-Martin	WFP	Regional VAM Officer	Dakar
Affif	William	WFP	Regional EPR Officer	Phone
James	Andrea	UNICEF	Emergency Officer	Dakar
Cecchin	Sammy	ECHO	Regional Humanitarian Advisor	Dakar
Eijkenar	Jan	ECHO	Regional Humanitarian Advisor	Dakar
Mahler	Friedrich	ECHO	Regional Food Aid Expert	Dakar
Henckaerts	Koen	ECHO	Field Expert Liberia	Dakar
Houtart	Myriam	UNHCR	Assistant Regional Representative	Dakar
Mortensen	Ronald	USAID	Acting Regional Advisor	Dakar
Ward	Phillip	WFP	Deputy RD	Cairo
Callanan	Annex	WFP	Regional Programme Advisor	Cairo
Paulsson	Carl	WFP	Regional EPR Officer	Cairo
Niazi	Asif	WFP	Regional Assessment Officer	Cairo
Muller	Singrid	WFP	Regional Human Resource Officer	Cairo
Diaz	Amando	WFP	Regional Finance Officer	Cairo
Caponera	Francesca	WFP	Regional Financial Analyst	Cairo
	Tanini	CARE	Regional Emergency Officer	Cairo
Davis	Thomas	UNICEF	Chief Regional EPR Officer, Amman	Phone
Shaikh	Irshad	WHO	Regional Emergency Preparedness and Response Officer, Cairo	Phone
Tonglet	Jean-Luc	OCHA	OCHA Dubai	Phone
Amini	Abdul Haq	OCHA	OCHA Dubai	Phone

Last Name	First Name	Organization	Title / Position	Meeting Location
Nieuwenhuys	Christine	WFP	Country Director	Jerusalem
Higgins	Jacques	WFP	Deputy CD	Jerusalem
Hantz	Olivier	WFP	Head External Relations & Support Services	Jerusalem
Al-Lahham	Salah	WFP	VAM Officer	Jerusalem
Abu-Ghannam	Thafer	WFP	Admin Officer	Jerusalem
Smeir	Mike	WFP	Pipeline Officer	Jerusalem
Helou	Samah	WFP	Programme Officer	Jerusalem
Ayesh	Amjad	WFP	Logistics Officer	Jerusalem
Galluzi	Caterina	WFP	Head West Bank Operations	Jerusalem
Agbo	Sam Oboche	UNICEF	Chief Health & Nutrition	Jerusalem
Farmer	Kirstie	WFP	Logistics Cluster	Jerusalem
	Christophe	WFP	Logistics Cluster	Jerusalem
Mahmuti	Bekim	WFP	Chief Logistics	Phone
Abu-Hijleh	Lana	CHF International	Country Director	Ramallah
Sieiman	Mahmoud	CHF International	Programme Manager	Ramallah
Jumly	Stephanie	OCHA	Humanitarian Affairs Officer	Jerusalem
Davis	Matt	CRS	Country Representative	Jerusalem
Tbeileh	Rana	CRS	Programme Officer	Jerusalem
McKee	Mike	UNWRA		Jerusalem
Rose	Sam	UNWRA		Jerusalem
Walden	Bryan	UNWRA	Field Procurement & Logistics Officer	Jerusalem

Annex 4 – Methodology /Evaluation matrix

Evaluation elements	Specific questions, proposed analyses, and sources		
Fundamentals Essential elements	Related questions	Analyses	Sources
Conception and Implementation of Contingency Planning			
The Conception and Objectives of C-P are clear and appropriate			
The objectives of C-P are clear, realistic and understood	Are the objectives of C-P clear? Are those objectives realistic?	/	WFP docs
	Do staff members have a clear, consistent understanding of why WFP does C-P and when?	Differences in understanding among different groups of CDs and staff	CD survey Staff survey
The approach used reflects best practice in C-P for humanitarian crises	Is the approach consistent with best practices as identified in recent published sources	Comparison of the WFP approach with latest best practice	Web & other external sources
	Does C-P consider issues requiring strategic decisions as well as the operational aspects of a potential response?	/	C-Plans Guidelines CD survey Staff interviews
	Does it identify the fundamental management decisions that will have to be taken and present options to be considered?		
There is a clear understanding of how C-P other planning activities are linked	What is the relationship between C-P and routine operations planning and management?	/	WFP docs Reference group CD Survey Staff interviews
	What are the relationships among C-P, business-continuity planning, risk management and pandemic preparedness?	Whether the different activities are sufficiently coordinated	
	Are there other “C-P type” activities undertaken in WFP?		
WFP C-P supports and complements inter-agency C-P	Is the relationship between WFP C-P and inter-agency C-P clear?	/	Reference group CD Survey Staff interviews
C-P Policies and Guidelines are clear and appropriate			
Specific policies or directives underpin C-P in WFP including when and by whom C-P should be undertaken	Is there an official policy?	/	Policy docs Directives Guidelines CD Survey
	It is clearly stated?		
	Do policies allow for variable CO capacities and needs?		
	Do policies specify when and by whom C-P should be undertaken?		

Fundamentals Essential elements	Related questions	Analyses	Sources
	What concept and vision of C-P is implied?	Whether the concept and vision are appropriate for WFP	
Guidelines are clear, practical and available	Are the guidelines clear?	Whether the guidelines are coherent and in line with current best practice	Guidelines
	Do all staff know about and have access to the guidelines?	/	Staff survey Staff interviews
Guidelines reflect good practice in C-P	Are the guidelines in line with the latest good practice recommendations?	Comparison of the guidelines with good practice as recommended by recognized international sources	Recognized international sources
Policies and guidelines are refined on the basis of experience and updated when needed	Has any up-dated guidance been issued?	/	WFP docs Reference group FPt survey
	Has experience been documented?		
	What specific suggestions for up-dating?	Experiences and best practices that suggest specific refinements	Reference group FPt survey Staff interviews
Structures and Organizational Arrangements are in place to manage and support C-P			
Appropriate organizational arrangements are in place to manage, guide and support C-P at CO and RB levels	What technical and facilitation support capacity has been available in (or through) the different RBx 2002-08?	How has capacity varied between RBx and over time?	Reference group
	What technical and facilitation support capacity has been available in (or through) HQ since 2002-08?	How the capacity in HQ has varied over time	
	Is there a C-P (or EP) focal point in each CO and RB?	/	CD survey
	Do they have specific ToR? If so, what are they?	Whether FPts' ToR are clear and appropriate	ToR FPt survey
The C-P-related roles and responsibilities of COs, RBx, HQ and all functional units are clear and appropriate	Are CO responsibilities clear? Are they appropriate?	/	Guidelines CD survey Reference group Staff interviews
	Are RB responsibilities clear? Are they appropriate?		
	Are HQ responsibilities clear? Are they appropriate?		
	Are the responsibilities of all functional units (programme, logistics, finance, etc.) clear?		
	Do staff have a clear understanding of their own and others' responsibilities?	Differences in understanding among different groups of staff	Staff survey Staff interviews

Fundamentals Essential elements	Related questions	Analyses	Sources
Sufficient funding is available and allocated to enable C-P to occur at CO, RB & HQ levels	What funding has been allocated for what C-P activities?		Programme docs Reference group CD survey
	What intended/desired C-P activities have <i>not</i> been able to be implemented due to insufficient funding?		
Support is provided to COs when needed	What support have individual COs requested and received?	Differences in support provided in different (sub)regions	Reports CD survey FPt survey
C-P is appropriately linked to early warning systems including triggers for when action is needed	With which EW systems do links exist? Do those links function effectively? If not, why not?		FPt survey Staff interviews
	Are specific EW triggers for action defined? What are they?		
	What other relevant EW systems exist? .Why are there no links?		Desk study Staff interviews
C-P initiatives are coordinated among RBx and HQ	What initiatives have been taken by the various Bureaux or individual countries?	/	Reference group Bureau staff CD survey
	Do Bx and COs know about the initiatives of other Bx and COs?		
	Has there been any exchange of ideas and learning among COs,Bx and HQ?		
C-P is implemented with appropriate Leadership and staff have the requisite Skills			
Senior management provides effective leadership to C-P at CO, RB and HQ levels.	Does senior management actively support C-P exercises?	/	FPt survey Staff survey Staff interviews
	Does senior management participate in C-P exercises?		
All C-P processes are led in a way that engenders context-relevant planning (not just the preparation of a document)	Did the process result in effective “planning” relevant to the particular context (more than just a plan document)?	/	Staff survey Staff interviews
The C-P process within an office is led in a way that empowers and ensures ownership by participants and the wider office and organization	Did participants find the C-P process to be helpful and inspiring?	/	Staff survey
C-P leaders have appropriate C-P and facilitation skills	Did C-P leaders/facilitators have sufficient knowledge and experience in C-P?	/	Staff survey Staff interviews
	Did they have good facilitation skills?		
Staff possess sufficient analysis and planning skills	What analysis and planning skills were found to be lacking among staff participating in C-P at CO and RB levels?	/	Reference group C-P facilitators
Training opportunities are available to staff to increase their C-P skills	What training opportunities have been, and are now, available?	Training material content	Reference group C-P facilitators
	What awareness and skill enhancement of staff would most strengthen C-P?		

Fundamentals Essential elements	Related questions	Analyses	Sources	
	Do training materials and opportunities address those priority learning needs?			
C-P Processes are clear, appropriate and lead to useful outputs				
C-P and the plans produced are appropriate to the planning needs at country and regional levels	<i>The C-P process</i>			
	Was C-P undertaken through a participatory process involving all functional units of the office?	/	FPt survey Staff interviews	
	Who led the process within the CO/RB? What was their level? How many years experience in WFP?	Level (P-, NO-) of CO C-P leader	FPt survey Staff interviews Partner interviews	
	Was a C-P facilitator used? If so, from the RB, HQ or elsewhere?	% offices using facilitators Sources of facilitation		
	Who wrote up the C-Plan?	% offices compiling own plans % offices relying on outsiders		
	Process	Were all WFP's main partners involved? Have they agreed to the roles and responsibilities they would be expected to fulfil? If not, why not?	% C-P with partners involved	
		If there are many hazards or impact is difficult to anticipate, what approach was adopted? (Many plans? A multi-hazard approach?)	/	FPt survey Staff interviews
		If a major emergency and change in WFP in-country structures is envisaged, was the RB or HQ brought into the C-P process?	/	
		Did the C-P process enhance common understandings within the office and with partners?	/	Staff interviews Partner interviews
		Is there a record of the process followed and the people involved?	/	
		Did the process generate information to inform strategic management decisions as well as operational planning?	/	CD-survey Staff interviews
	Was the time and effort required justified by the benefits of the process?	/		
		<i>The product – the C-Plan</i>		
	Product	Are potential threats appropriately identified and prioritized?	Assessment of C-Plans for content and balance Appropriateness of levels of detail of scenarios and other elements Consistency of assessment elements with EFSA guidance	C-Plans
What technical sources were consulted for hazards information?				
Were risks ranked as proposed in Guidelines Annex E? If not, how were contingencies prioritized?				
Are scenarios developed in an appropriate level of detail?				
Are triggers for response to early warnings defined?				

Fundamentals Essential elements	Related questions	Analyses	Sources
	<p>Is the programme strategy clearly defined? Are the reasons for the chosen strategies explained? Were alternative strategies considered?</p> <p>Are arrangements of initial EFSAs adequately specified?</p> <p>Are other programme implementation aspects adequately defined? (immediate response, distribution arrangements, M&E, etc.)</p> <p>Is food resource availability adequately covered?</p> <p>Are logistic arrangements clearly defined?</p> <p>Is the internal management plan comprehensive?</p> <p>Is there a budget with cost estimates?</p> <p>Does the plan include aspects on which strategic decisions are needed (or focus only on operational issues)?</p> <p>Are complementary preparedness actions specified and prioritized?</p> <p>What complementary preparedness measures were actually implemented? Why were others not implemented?</p>		<p>FPT survey Staff interviews</p>
The persons who will manage and implement the response are fully involved	Were the people who will manage and implement the response fully involved?	/	<p>C-Plan Fpt survey Staff interviews</p>
The C-P process identifies potential implementation problems and ways to minimize them	Was a deliberate effort made to identify potential problems that could hinder implementation and find ways to minimize them?	/	<p>C-Plan Fpt survey Staff interviews</p>
The level of detail matches the immediacy of the risk; the time and effort required is justified	<p>Does the level of detail match the immediacy of the risk?</p> <p>Was the time and effort required is justified by the benefits of the process?</p>	/	<p>CD survey Staff interviews</p>
C-Plans are available to those who need to be aware	<p>Were C-Plans posted on EPWeb?</p> <p>If not, for what reasons?</p> <p>Were C-Plans shared with partners?</p>	<p>/</p> <p>Appropriateness of guidance for and practices in sharing C-Plans</p>	<p>EPWeb FPT survey Staff interviews Partner interviews</p>
C-P activities are monitored and assessed, and changes made when necessary	<p>Do RBx and/or HQ monitor all C-P activities?</p> <p>Is there any follow-up to propose changes when needed?</p>	/	<p>Reference group HQ&Bureau staff</p>
C-P plans reviewed for quality	Were C-Plans subjected to any quality review? If so, by whom?	Comparison with the C-P quality-control	FPT survey

Fundamentals Essential elements	Related questions	Analyses	Sources
			Staff interviews
	What quality-control mechanisms exist in WFP for other activities? What can be learned/applied to C-P?	mechanisms of other organizations	Desk study Partner interviews
C-Plans are reviewed regularly and updated whenever necessary	At what frequency has the C-Plan been reviewed and up-dated?	Frequencies of up-dating	C-Plan inventory FPt survey Staff interviews
	How many years since the last up-date?		
WFP has appropriate tools and technology to support C-P			
Sufficient analysis and planning tools to support C-P are available to staff	What tools are available?	Usefulness of the tools available Types of tools that could be useful but are not available	WFP docs Staff interviews
	Do staff have access to them?		Staff interviews
Appropriate training modules and simulation exercises are available and used	Are the existing C-P training modules appropriate and still used?	Contents of and cross-references among the materials	Training materials HQ&Bureau staff FPt Survey?
	Are simulation exercises available and used?		
	Are the guidelines, training modules and simulations linked and mutually reinforcing?		
CO work plans, PRROs and other planning processes integrate C-P	Is C-P integrated in CO work plans?	/	WFP docs CD survey Staff interviews
	How is C-P linked with the preparation of the contingency component of a PRRO?		
	Is C-P integrated in other management processes?		
WFP's Culture and Values support C-P			
Senior management and CDs demonstrate commitment to C-P	Are CDs and senior management perceived to be committed C-P?	/	Staff interviews
Staff recognize C-P to be an important part of their work	Is C-P considered to be an essential activity for the achievement of WFP's goals?	/	Staff survey
C-P included in staff ToR and performance evaluation arrangements	Which generic job descriptions include C-P?	Tasks in job generic descriptions	WFP HR docs
	For which posts is C-P a criterion in performance evaluation?	/	Staff interviews
Prerequisites			
Essential elements	Related questions	Analyses	Sources
Contribution to Preparedness			
Potential threats and their implications are better understood			

Prerequisites Essential elements	Related questions	Analyses	Sources
Potential threats are identified	Does the office have an up-to-date hazard and risk analysis?	Comparison of understandings of threats between COs that have recently undertaken C-P and those that have not....?	Fpt survey Staff interviews
Risks for populations are estimated	Are the (food-related) risks for the population well understood?		
Risks for ongoing WFP operations are specified	Have the risks for ongoing WFP operations been fully considered and specified?		
Strategic issues as well as potential operational problems are thought through in advance			
Strategic issues are identified and thought through	Did the C-P process explicitly consider fundamental questions about the role of WFP in the situation(s) foreseen?	/	CD survey Staff interviews
	Did the C-P process identify other specific aspects requiring strategic decisions?		
Potential operational problems are anticipated and solutions identified	Did the C-P process specifically seek to identify potential operational problems and ways of avoiding or reducing them? If yes, which problems were most commonly identified?	/	Fpt survey Staff interviews Partner interviews
Staff “own” the C-Plan and are aware of their own responsibilities for response if/when needed			
Actions and responsibilities defined in the plan are seen by staff of all functions concerned as defining their actual accountabilities	Are all professional- and senior GS-level staff members aware of the plan and what they will be responsible for?	/	Staff survey Staff interviews
	Do they understand and accept that they will be accountable for fulfilling those functions?		
Responsibilities and authorities for initial actions are defined	Are responsibilities for initial actions clearly defined?	/	C-Plans Staff interviews
	Are the authorities for action clear?		
Essential information is available			
Relevant, up-to-date baseline data are to hand	Are up-to-date, disaggregated population data on hand?	Comparison of the information available in COs that have recently undertaken C-P and those that have not....?	FPt survey Staff interviews
	Are up-to-date food security/vulnerability data on hand?		
	Are nutritional status data available?		
An up-to-date logistics capacity assessment (LCA) is to hand	When was the LCA last up-dated? Does it cover all areas and supply corridors that might be involved in a response?		
Gaps in information are identified	What gaps in information exist? Why?		
Appropriate responses are foreseen			
The most appropriate food/food security assistance strategies are identified and explained	Is there an up-to-date analysis of the most appropriate food/food security assistance strategies for specific contexts?	Comparison of these response-anticipation aspects between COs that have recently undertaken C-P and those that have not....?	FPt survey Staff interviews
	Is the reasoning explained?		

Prerequisites Essential elements	Related questions	Analyses	Sources
The scale of responses that might be needed in particular contexts has been foreseen	Has the scale of the responses that might be needed in particular contexts been detailed?		
Resource requirements are estimated for particular contexts	Have resource requirements been estimated for particular contexts?		
Implementation arrangements are foreseen			
Staffing needs are anticipated including organigrams	Have the likely staffing needs for different levels of response been detailed?	Comparison of these implementation-anticipation aspects between COs that have recently undertaken C-P and those that have not....?	FPt survey Staff interviews CD Survey?
	Have organigrams been prepared?		
Mechanisms are in place to rapidly mobilize additional staff when needed	Is it clear how additional staff will be mobilized (in-country and from other countries) when needed?		
Arrangements are in place to rapidly organize initial emergency food security assessments	Are arrangements in place (internally and with partners) to rapidly organize an initial EFSA?		FPt survey Staff interviews Partner interviews
	Do data collection formats exist with related guidance notes?		
	Are data collection and sampling methods defined?		
	How many days will it take, after onset, to begin field data collection?		
Food commodity sources and mobilization mechanisms are foreseen	Are mechanisms in place to rapidly mobilize food commodities when needed? What are they?		FPt survey Staff interviews
Logistic arrangements are foreseen for different eventualities	Are logistics arrangements detailed for different eventualities?		
Distribution arrangements are foreseen for different eventualities	Are distribution arrangements detailed for different eventualities?		
Working relationships and understandings with cooperating partners are in place	Are there agreements, or understandings, with WFP's main partners for collaboration in responding to new crises?	FPt survey Staff interviews Partner in' views	
Necessary additional preparedness measures are specified	Were specific complementary preparedness measures proposed?	FPt survey Staff interviews	
	Were the measures specific to a particular scenario or improve general preparedness?		
Action is taken to implement the additional preparedness measures, when needed	Were any baselines, links of procedures upgraded as a direct result of C-P? If so, what?		
	What concrete actions were taken to increase capacity (e.g. in staffing, stocks,		

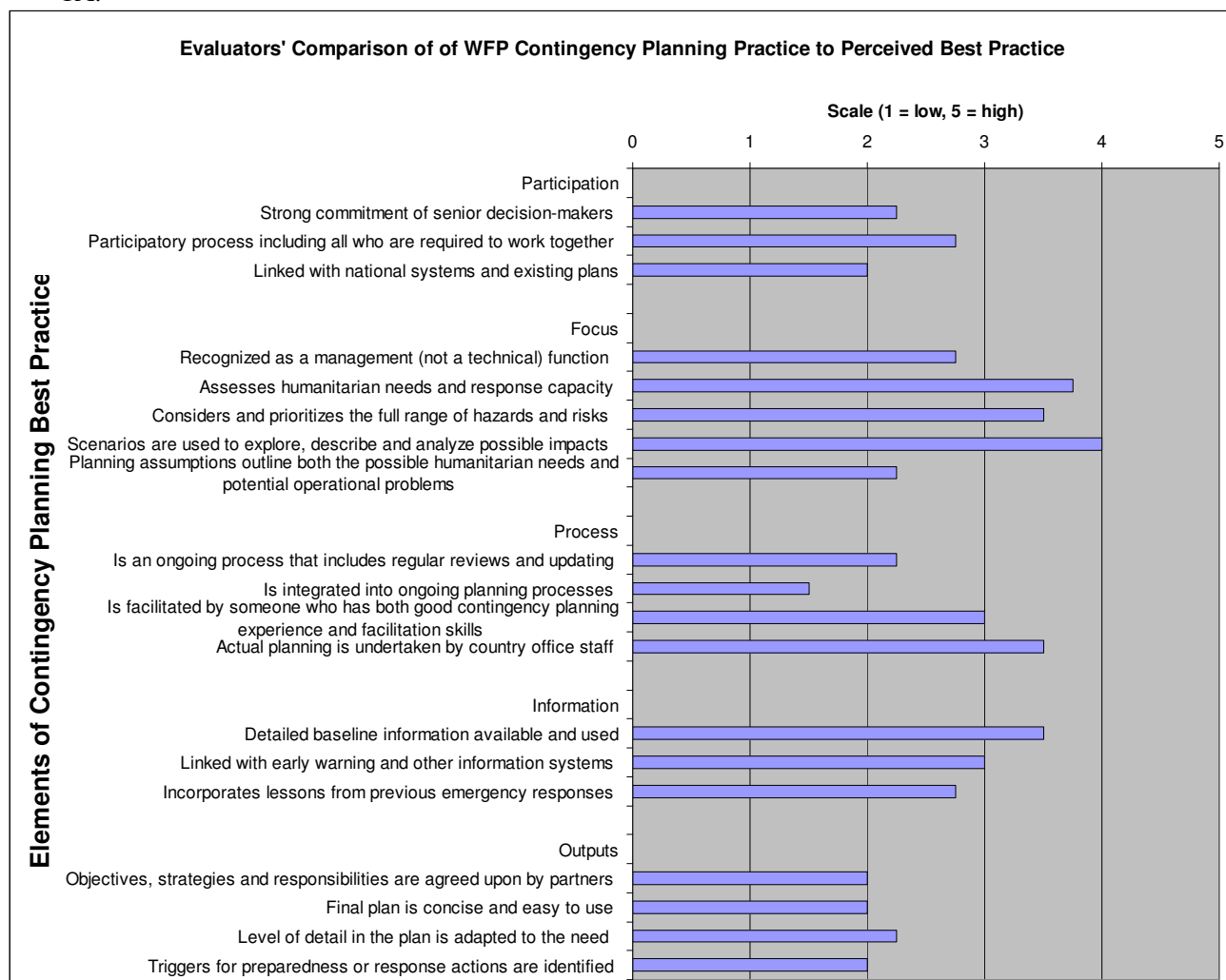
Prerequisites Essential elements	Related questions	Analyses	Sources
	logistics, communications) as a direct result of C-P?		
Contribution to WFP Response			
WFP response is more appropriate and effective			
The main characteristics of the situation and risks are foreseen	How close were any of the C-P scenarios to the situation that arose?	/	FPt survey Staff interviews
Good quality initial assessments are completed rapidly and provide the basis for response proposals	Was the initial rapid EFSA launched and conducted as planned? If not, why not?	Comparison of performance in organizing initial rapid EFSA between COs that have recently undertaken C-P and those that have not....?	EFSA reports EMOP docs FPt survey Staff interviews
	# days before the initial rapid EFSA was launched?		
	# days before the report of the initial rapid EFSA was available?		
	Was the EFSA conducted with partners?		
	Was the EFSA facilitated and expedited as a result of C-P? If so, how? If not, why not?		
	Was the EMOP (or PRRO-BR) based on the recommendations of the EFSA?		
WFP sets appropriate objectives	Are objectives clear?	Comparison of the clarity and realism of objectives between COs that have recently undertaken C-P and those that have not....?	EMOP docs PRRO-BR docs Evaluation reports Partner interviews
	Are objectives appropriate and realistic?		
	Were objectives the same as defined in the C-Plan? If not, why not?		
	Are objectives clearer and more appropriate and realistic than for previous responses?		
The assistance strategy is appropriate to the situation	Was the strategy envisaged in the C-Plan implemented? If not, why not?	Comparison of strategies proposed in the C-Plan and the EMOP/PRRO	FPt survey CD Survey Staff interviews
	Was the strategy implemented judged post-facto to have been appropriate?		Evaluation reports Partner interviews
WFP contributes to a coordinated inter-sectoral response	Was there effective inter-sectoral coordination of responses?	Consistency between inter-agency and WFP C-Plans	Partner Interviews FPt survey? Staff interviews Evaluation reports
	Had inter-agency C-P been carried out? Were responses more effectively coordinated among sectors as a result?		
	Was WFP's response explicitly designed as part of a coordinated, coherent inter-sectoral response?		
Resources are mobilized and WFP achieves its objectives	Was WFP able to mobilize the required resources and achieve its objectives? If not, why not?		

Prerequisites Essential elements	Related questions	Analyses	Sources
Accountability to beneficiaries and partners is enhanced	How, if at all, was accountability to beneficiaries assured?	/	Evaluation reports Staff interviews Partner interviews
	Was accountability to beneficiaries facilitated as a result of C-P?		
WFP response is more timely and efficient			
Well-thought-out response proposals are prepared and approved rapidly	# days from onset to approval of IR-EMOP # days to submission of first EMOP (or PRRO budget revision) # days to approval of first EMOP (or PRRO budget revision)	Comparison of the # days for submission and approval – and the extent of PRC revisions – between COs that had recently undertaken C-P and those that had not....?	IR-EMOP doc EMOP or PRRO-BR doc Staff interviews PRC records Staff interviews
	Extent of revisions requested by the PRC		
Necessary staff, food commodities and other resources are mobilized rapidly	Was the mobilization and deployment of staff, food commodities and other resources facilitated and expedited as a result of C-P? If so, how? If not, why not?	/	Progress reports Staff interviews Partner interviews
	What were the main mobilization problems encountered? Could they have been anticipated and avoided?		
Logistic arrangements are made rapidly and ensure the smooth delivery of commodities to all target, affected areas	Was the logistic response facilitated and expedited as a result of C-P? If so, how? If not, why not?	/	Progress reports Staff interviews Partner interviews
	What were the main logistic problems encountered? Could they have been anticipated and avoided?		
The affected population receives initial assistance more quickly	# days from onset to first distributions? # days from onset before <i>all</i> target population groups received assistance?	Comparison of the delays in distributions between COs that had recently undertaken C-P and those that had not....?	Progress reports Post-facto evaluations Staff interviews Partner interviews, donors, gov't
	Was the initial provision of assistance facilitated and expedited as a result of C-P? If so, how? If not, why not?		
WFP response encounters fewer organizational and operational difficulties and delays	Were funds available rapidly for the initial response? If not, why not?	Comparison of the extent of organizational and operational problems encountered by COs that had recently undertaken C-P and those that had not....?	Progress reports Post-facto evaluations Staff interviews Partner interviews FPt Survey
	Once started, were distributions able to be continued without interruptions? If not, why not?		
	Was coordination with cooperating partners effective?		
	Were satisfactory info. management/monitoring systems put in place rapidly?		
Contribution to Inter-Agency Contingency Planning and to National Capacity Building			
WFP's C-P recognizes the importance of and contributes to inter-agency C-P			

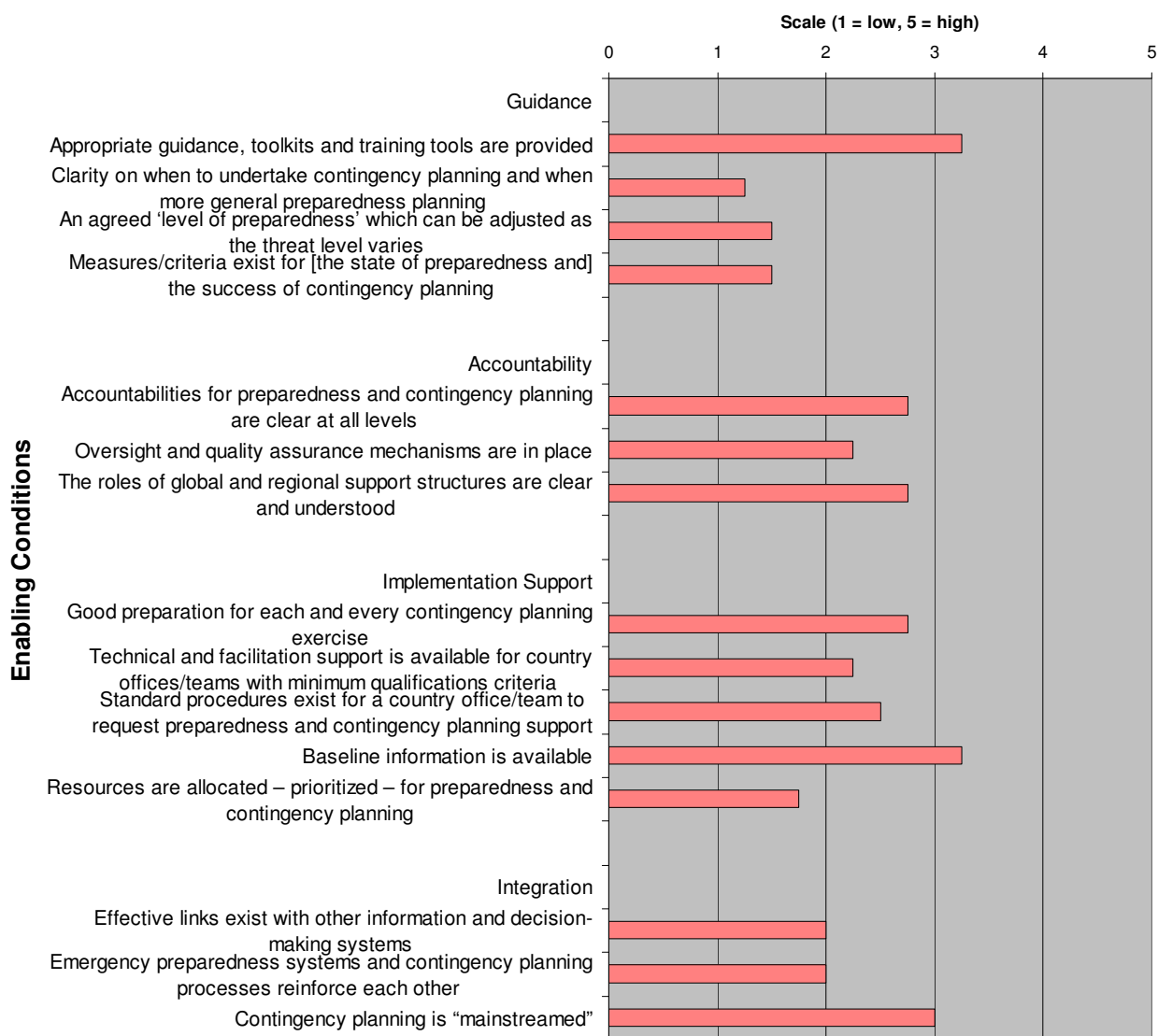
Prerequisites Essential elements	Related questions	Analyses	Sources
WFP contributes to the development of normative C-P guidance?	What was WFP's contribution to the development of the IA CP guidelines?	/	Reference group Partner interviews
	Has WFP contributed to the development of other IA C-P guidance material?		
WFP participates in inter-agency C-P?	To what extent has WFP participated in inter-agency C-P at country level?	/	FPt survey Partner interviews
	To what extent has WFP participated in inter-agency C-P at regional level?		
	What do partners' expect of WFP in inter-agency C-P?		Partner interviews
WFP contributes to building national capacity for C-P			
WFP engages and assists relevant government entities in C-P	What initiatives has WFP taken to engage the government in C-P?	/	Reference group CD survey Partner interviews
	What other assistance has WFP provided to build national C-P capacity?		

Annex 5 – Contingency Planning Practice: Comparing Actual to Best Practices

The following tables show the evaluators' rough comparison of the contingency planning within WFP during the period 2002-08 with the best practices and necessary conditions drawn from key documents on humanitarian contingency planning and presented in section 1A.



Evaluators' Comparison of WFP Contingency Planning Enabling Conditions to Perceived Best Practice



Acronyms

ADH.....	Human Resources Division
CD.....	Country Director
CFSVA.....	Comprehensive Food Security and Vulnerability Analysis
CO.....	Country Office
DCD.....	Deputy Country Director
DfID.....	Department for International Development
DRC.....	Democratic Republic of the Congo
DRD.....	Deputy Regional Director
EFSA.....	Emergency Food Security Assessment
EMOP.....	Emergency Operation
EPR (officers).....	Emergency Preparedness and Response (officers)
EPRF.....	Emergency Preparedness and Response Framework (WFP, 2003)
EPWeb.....	Emergency Preparedness Web
ETC.....	Emergency Telecommunications Cluster
IA.....	inter-agency
IASC.....	Inter-Agency Standing Committee
IASC SWG.....	IASC Sub-Working Group on Preparedness and Contingency Planning
ICT.....	Information and communications technology
IRA.....	Immediate Response Account
IR-EMOP.....	Immediate Response Emergency Operation
ISP.....	Institutional Strategy Partnership (DfID-supported programme) ⁷⁰
LCA.....	Logistics Capacity Assessment
NGO.....	non-governmental organization
OCHA.....	United Nations Office for the Co-ordination of Humanitarian Affairs
ODAP.....	Emergency Preparedness and Response Unit (now OMEP)
OEDAM.....	Performance and Accountability Management Division
OEDE.....	Office of Evaluation
OM.....	Operations and Management Department
OMB.....	Regional Bureau Bangkok (for South and East Asia)
OMC.....	Regional Bureau Cairo (for North Africa, West and Central Asia)
OMD.....	Regional Bureau Dakar (for West Africa)
OMEP.....	Preparedness Branch
OMJ.....	Regional Bureau Johannesburg (for East and Southern Africa)
OMP.....	Regional Bureau Panama (for Latin American and the Caribbean)
OMS.....	Regional Bureau Sudan
OMXF.....	Food Security Analysis Service
oPt.....	occupied Palestinian territories
PPP.....	pandemic preparedness planning
PRRO.....	Protracted Relief and Recovery Operation
RB(x).....	Regional Bureau(x)
RD.....	Regional Director
ToR.....	terms of reference
VAM.....	Vulnerability Assessment Mapping

⁷⁰ During its first phase, the ISP was the “institutional strategy paper”. Many staff believe ISP stands for institutional strengthening project.



Office of Evaluation
Via Cesare Giulio Viola, 68/70.
00148 Rome, Italy
Tel +39 0665131

<http://www.wfp.org/about/evaluation>