

Reference Paper for the 70th Anniversary of the 1951 Refugee Convention

STRENGTHENING FORCED DISPLACEMENT'S APPROACH TO PREPAREDNESS

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Abstract: This paper examines preparedness by governments for forced displacement, with a focus on refugee inflows. Many preparedness measures are the same for refugees and other forms of displacement. Particular reference is made when preparedness components for refugees and conflict-induced internally displaced persons (IDPs) or disaster-displaced persons are different or require specific consideration. Preparedness includes a series of measures which allow to properly anticipate a crisis, absorb and cope with the shock, provide an adequate response and reduce the negative impact on both the forcibly displaced persons and the host communities. It is defined as “the current readiness of the public sector to respond to a crisis or crises”. The paper looks at the issue more particularly from a development perspective and how to properly prepare to mitigate the short-, medium- and long-term socio-economic impacts of displacement for the forcibly displaced persons and the host communities. National ownership is crucial and the authorities have a central role in such response.

Four “building blocks” of preparedness are identified for refugee and other forced displacement inflows. These consist of: (a) analysis/prediction; (b) planning and coordination; (c) financial preparedness, and; (d) response and delivery mechanisms. They are underpinned by mitigation (risk reduction) and prevention which may help in avoiding the displacement itself or in reducing its impact. Each building block is further divided into a series of components or measures. Some of the measures are specific to the humanitarian approach, some are specific to the development approach and others are common to both. It is difficult not to say artificial to fix boundaries between these various types of measures. Consequently, the paper mentions all of them, but further develops the measures which are specific to or important for the development approach.

While the overarching responsibility and coordination of the national government are key, preparedness cannot be conceived in isolation. It must be inclusive and the government should encourage others (in particular sub-national and local authorities who play a central role in crisis response, the private sector, civil society organizations, humanitarian organizations and development actors) to make significant

contributions to the planning. Development actors, as the World Bank, can help to establish an operational framework including all preparedness components, make sound diagnosis of the existing preparedness system and capacities, assist in shaping the dialogue with the private sector, provide financing for developing a preparedness system and contingency plan, and strengthening overall capacities, and can also provide technical assistance in areas of expertise (such as collecting and analyzing data, defining policies, scaling up service delivery, establishing social protection and safety nets systems, developing socio-economic opportunities or financial preparedness). New financing is now available for that purpose.

The paper calls for increased efforts and investment in governments' preparedness for inflows of refugees and other forcibly displaced persons, given the scale of the forced displacement situation the world now faces. Such preparedness is beneficial for hosting countries, hosting communities and the forcibly displaced populations themselves. When governments plan ahead, country systems are better equipped to manage shocks in a timely and effective way. Adopting and adapting relevant laws and policies is paramount. This should help implement approaches that meet immediate needs while providing longer-term development perspectives for refugees, other forcibly displaced persons and host communities. An operational framework to prepare for inflows of refugees and other forcibly displaced persons, including a common understanding of the building blocks, should be quickly developed and made broadly available.

1. Introduction

This paper examines preparedness by governments for forced displacement, with a focus on refugee¹ inflows. Many preparedness measures are the same for refugees and other forms of displacement, even though a refugee crisis includes some specific aspects notably related to the fact that the hosting government has to respond to the needs of non-citizens. Particular reference will be made when preparedness components for refugees and conflict-induced internally displaced persons (IDPs)² or

¹ 'Refugee' refers to any person who meets the eligibility criteria under an applicable refugee definition, as provided for in international or regional refugee instruments, under UNHCR's mandate, or in national legislation. The 1951 *Convention Relating to the Status of Refugees* defines a refugee as a person "who is outside his or her country of nationality or habitual residence; has a well-founded fear of being persecuted because of his or her race, religion, nationality, membership of a particular social group or political opinion; and is unable or unwilling to avail him- or herself of the protection of that country, or to return there, for fear of persecution" (Art. 1). In Africa, the Organization of African Unity 1969 *Convention Governing the Specific Aspects of Refugee Problems in Africa* adds to the 1951 Convention definition by recognizing as refugees people who are forced to flee due to "external aggression, occupation, foreign domination or events seriously disturbing public order" (Art. 1(2)). Out of the total of 82,4 million forcibly displaced persons worldwide that existed at the end of 2020, 34.4 million were refugees and asylum seekers (UNHCR, *Figures at a Glance*, UNHCR, Geneva, June 2021).

² The *UN Guiding Principles on Internal Displacement*, which have been recognized as an important international framework for the protection of IDPs by various actors, including the United Nations General Assembly, contain the most internationally-recognized definition of IDPs as "persons or groups of persons who have been forced or obliged to flee or leave their homes or places of habitual residence, in particular as a result or in order to avoid the effects of armed conflict, situations of generalized violence, violations of human rights or natural or human-made disasters, and who have not crossed an internationally recognized State border". At the regional level, the 2009 *African Union Convention on the Assistance and Protection of Internally Displaced Persons in Africa* (AU Kampala Convention) adopts the same definition as the UN Guiding Principles. Of the 55 million IDPs that existed at the end of 2020 (Internal Displacement Monitoring Centre (IDMC), *Global report on Internal Displacement in 2021*, IDMC, 2021), an estimated 48 million had been displaced by conflict or violence. Conflict- or violence- induced IDPs often endure similar hardships to refugees but are nationals of the country in which they are displaced and therefore are subject to different legal and policy frameworks.

disaster-displaced persons³ are different or require specific consideration. Preparedness includes a series of measures which allow to properly anticipate a crisis, absorb and cope with the shock, provide an adequate response and reduce the negative impact on both the forcibly displaced persons and the host communities. This paper looks at the issue more particularly from a development perspective and how to properly prepare to mitigate the short-, medium- and long-term socio-economic impacts of displacement for the forcibly displaced persons and the host communities. National ownership is crucial and the authorities have a central role in such response.

Over the last 30 years, there have been many situations with dozens of thousands of refugees crossing borders to arrive in countries which must scramble to find emergency solutions to accommodate them, or of IDPs which suddenly far exceed existing reception capacities. Researchers and practitioners have repeatedly called for a greater emphasis on prevention and preparedness, which are directly linked to an effective response to crises, including forced displacement. The reasoning is rather simple: the more one is prepared, the more effective the response will be. This includes the need also to work before a crisis or between disasters, in order to be better prepared when such crisis strikes.

For too long, the response systems and the reactive funding patterns were structured disproportionately towards investment in crisis response, rather than in preparedness capacity. This led to inadequate speed and effectiveness of response, resulted in undue costs in lives and resources. Funding for early warning systems and other preparation initiatives was rather scarce and the lack of preparation, while common across nations, was particularly devastating in lower-income countries.⁴ Indeed, fragility and conflict are important dimensions both as sources of risk and because of their negative impact on countries' capacity to address risks via mitigation.⁵

Since the turn of the century, the increase in number of conflicts and in the frequency and severity of natural and man-made disasters stretched the international system to its limits and brought a progressive change of perception. A widespread consensus emerged that investing in risk mitigation and preparedness, reduction of vulnerability, well-targeted early interventions, rapid response all over the spectrum of needs, and strengthening self-reliance and resilience can spare a significant amount of resources⁶ and avert the threat to roll back the development gains of recent decades and undermine

³ The experiences of persons displaced by natural disasters are markedly different from those of persons displaced by conflict. Between 2008 and 2019, an average of 24 million people were forced from their homes by disasters each year – three times the number of people displaced by conflict and violence (UNDRR, *Disaster Displacement*, UN Office for Disaster Risk Reduction, 2020). Most disaster-displaced persons remain within their own country and are therefore considered IDPs. However, some persons displaced by disasters cross international borders which is not regulated by international law for some critical issues (See The Nansen Initiative, *Agenda for the protection of cross border displaced persons in the context of disasters and climate changes*, 2015) and led States to develop tools allowing to admit or not return such disaster-displaced person as a humanitarian measure. Disaster displacement is usually large-scale, often with hundreds of thousands of persons being displaced within a couple of hours, and may occur at a totally unexpected moment (known as “sudden-onset” natural hazards). Most people who are displaced following a disaster take refuge with relatives or friends or find shelter in accommodation centers and are able to return home after a few days or weeks. However, if hazard impacts are severe, it may be months or even years before people can return safely and sustainably. In some cases, return may never be possible due to the severity of destruction, the prolonged nature of the shock (e.g. droughts), or the compounding risks (e.g. conflict that has been compounded by disaster) in the place of origin.

⁴ Disasters disproportionately impact on lower-income countries with weaker governance and resilience capabilities, particularly affecting social groups that are vulnerable, disadvantaged or marginalized within society.

⁵ Between 2004 and 2014, 58 percent of disaster deaths were in the top 30 fragile states, in Peters, Katie, and Mirianna Budimir. *When Disasters and Conflict Collide: Fact and Figures*, Overseas Development Institute, London, 2016.

⁶ See notably Daniel Clarke and Ruth Vargas Hill, *Cost-Benefit Analysis of the African Risk Capacity Facility*, International Food Policy Research Institute, 2013 and Boston Consulting Group, *UNICEF/WFP Return on Investment for Emergency Preparedness Study*, BCG, 2015. Several studies show that disaster preparedness allows to save significant time and costs in the event of a crisis

efforts to end extreme poverty by 2030. The disaster management sector has experienced the quickest and most impressive development, with the establishment of international frameworks, the strengthening of many national institutions, and significant investments on risk reduction measures and preparedness capacity in a number of countries. However, there are still significant gaps and further progress is needed.

In contrast, preparedness for forced displacement remained behind and an additional obstacle has been noted in some states with the (ill placed) fear that adopting preparedness measures could be seen as an encouragement for new refugees to come. Some efforts have been made towards conflict prevention to mitigate the negative impact of forced displacement before it occurs, and several humanitarian organizations have worked to improve their preparedness systems and rapid deployment capacities or to develop frameworks. Some states have also taken measures, but this was often by integrating persons displaced by disasters into existing disaster management frameworks or by adhering to humanitarian contingency planning. However, such humanitarian preparedness is by definition short term, and focused on the forcibly displaced persons and their essential needs. The first Refugee Policy Review,⁷ which was carried out in mid-2021 by the World Bank on the occasion of the Mid-term Review of the nineteenth Replenishment of the International Development Association (IDA19) (2020-2022),⁸ confirms this trend by indicating that among the fourteen countries eligible to receive IDA financing, there was an established national preparedness framework for new refugee inflows only in three countries (Burkina Faso, Rwanda and Uganda). In the majority of eligible countries, preparedness measures were mainly ad hoc and supported by UNHCR or integrated within UNHCR contingency planning.

A more systemic approach recognizing that preparedness can play an important role to mitigate the negative impacts of forced displacement for both forcibly displaced persons and their host communities, taking into account the socio-economic consequences of such shocks, promoting the central role of the national authorities and helping host countries and host communities to prepare is needed. This development approach to preparedness is complementary to the humanitarian endeavor, while aiming at integrating risk reduction and the building of self-reliance and resilience into national policies, plans, programmes, and budgets. This has multiple positive implications for the country, for the forcibly displaced persons and for their host communities. In particular, it conceptualizes refugees as having the potential to be economically active and resourceful and make positive contributions to local economies when they have the opportunities to participate to the development of the areas that host them. Specific financing for state preparedness has also started to be available to help absorb and offset the impact of the shock of a large inflow of refugees. This notably includes the World Bank Sub-Window for Refugees and Host Communities (RSW) established under the eighteenth Replenishment of the International

and that the benefit-to-cost ratio (BCR) or return on investment (ROI) of disaster preparedness financing was positive in a range of 1:3.25 (US\$ 3.25 of benefit would be generated for every US\$ 1 spent) to 1:5.31 (Jan Kellet and Katie Peters, *Dare to prepare: taking risk seriously. Financing emergency preparedness: from fighting to managing risk*, ODI, 2014), or 1:2.84 (Disasters & Emergency Preparedness Programs, *DEPP Return on Investment Study: Final Report*, DEPP, 2018). More broadly, other studies estimate the BCR ratio of prevention to lie somewhere between 1:2 and 1:7 (World Bank Group and United Nations, *Pathways for Peace, Inclusive Approaches to preventing Violent Conflict*, World Bank, Washington DC, 2018, with reference to M. Chalmers, *Spending to Save? The Cost-Effectiveness of Conflict prevention*, Defence and Peace Economics 18 (1), 2007: 1-23) or even 1:16 (Ibidem, *Pathways for Peace*, with reference to H. Mueller, *How Much Is Prevention Worth*”, Background paper for *Pathways for Peace*, 2017).

⁷ IDA, *IDA19 Mid-Term Refugee Policy Review*, Development Finance, Corporate IDA&IBRD (DFCII), September 23, 2021, available at: <https://documents1.worldbank.org/curated/en/826851636575674627/pdf/IDA19-Mid-Term-Refugee-Policy-Review.pdf>

⁸ See also infra note 16.

Development Association (IDA18) (2017-2020) and the Window for Host Communities and Refugees (WHR) established under the nineteenth Replenishment (IDA19) (2020-2022).⁹ Both windows expressly mention “strengthen[ing] country preparedness for increased or potential new refugee flows” as one of their three objectives.

2. Key issues and conceptual framework for state preparedness for forced displacement

In many situations, forced displacement is not unexpected. It is rarely a one-off event that coincides with the sudden onset of conflict. Instead, refugees and conflict-induced IDPs generally flee in successive waves, with the numbers of forcibly displaced varying with the ebb and flow of the conflict. In fact, for all episodes of major forced displacement since 1991, the “peak” inflow was reached on average 4.1 years after the first large inflow occurred.¹⁰ While such dynamics largely depend on context, people usually try to stay home and to manage risks for as long as they can. This implies that inflows of refugees and IDPs can to some extent be anticipated and forecasted, providing an opportunity for potential host countries and host communities to prepare in order to better mitigate their impact. Disaster-induced displacement is also predictable to some extent by identifying particularly disaster-prone areas and assessing the expected impact of a natural hazard on affected populations, including displacement risks.

Governments from both origin and host countries are at the center of a forced displacement crisis. Their responsibilities include the obligation to prepare for and, when possible, prevent displacement. Their decisions affect the scale and destination of population movements—as well as the impacts and potential solutions in the short, medium, and long terms. The authorities’ central role in response to displacement ranges from the provision of services, including emergency ones, and solutions up to the definition of the legal and policy frameworks, including coordination across different agencies and levels of government, budgeting and establishment of an enabling environment for other systems to function.¹¹ Such central role does not exclude the crucial relationship between governments and other actors such as communities, civil society, the private sector, humanitarian organizations and development actors. The host government has often to mobilize the relevant regional and international organizations and resources to share the burden forced displacement places on its resources.

Preparedness for forcibly displaced persons inflows cannot be conceived in isolation. Regional planning and arrangements are important. Regional and sub-regional organizations, as the European Union (EU), African Union (AU), IGAD (Intergovernmental Authority on Development), EAC (Eastern African Community), ECOWAS (Economic Community of West African States), SADC (Southern African Community), OAS (Organization of American States), UNASUR (Union of South American nations), CELAC (Community of Latin American and Caribbean States) or ASEAN (Association of Southeast Asian Nations), can constitute an adequate forum for regular dialogue between host countries and countries of origin. These organizations could also allow finding solutions for issues of common concern, as for example establishing an effective and efficient regional early warning, adopting and recognizing common biometric

⁹ Executive Directors of the International Development Association, *Additions to IDA Resources: Nineteenth Replenishment IDA19: Ten Years to 2030: Growth, People, Resilience*, 2020, par. 116 and Annex 4.

¹⁰ World Bank, *Forcibly Displaced Toward a Development Approach Supporting Refugees, the Internally Displaced, and Their Hosts*, World Bank Group, 2017.

¹¹ See notably World Bank Group, *World Development report 2014, Risk and Opportunity, Managing Risk for Development*, World Bank, Washington DC, 2013, 19.

identification refugee cards, determining when refugees can safely return home and how to facilitate such repatriations, and promoting the adoption of common operational frameworks for preparedness.

Humanitarian organizations—particularly the UNHCR with its specialized mandate—have been working for years to promote refugee protection, save lives, and help in developing a comprehensive response. This focus on humanitarian approach and the emphasis on emergency response systems and related funding patterns often had the unwanted side effect to consider a refugee and other forced displacement crisis, including its preparedness, first and foremost as a humanitarian issue with a key responsibility for humanitarian organizations.

However, the increased number of refugees and protracted forced displacement situations¹² made obvious that transformative support for refugees required investments, development of self-reliance strategies, focus on medium-term socioeconomic aspects and search for sustainable solutions which go well beyond a humanitarian response. This includes notably more flexible, multi-year funding sources. The acknowledgment that forced displacement is not only a humanitarian issue, but also an important development one,¹³ puts more obviously the government in the lead. This encompasses preparedness which must go beyond humanitarian aspects and remain within the overarching responsibility and coordination of the government. The World Bank took a proactive role in defining the content of a “development approach” to refugees and IDPs.¹⁴ As a consequence, the World Bank’s involvement in forced displacement response grew exponentially both in operational and policy terms.¹⁵ Beyond its

¹² Today, protracted refugee displacement lasts 17 years on average and forced displacement is generally not a temporary problem with a short-term fix. See notably IRC/ReDSS, *Early solutions planning*, infra note 26, and UNDP, <http://www.undp.org/content/undp/en/home/ourwork/sustainable-development/development-planning-and-inclusive-sustainable-growth/migration-refugees-and-displacement.html>.

¹³ See e.g. the 2018 Global Compact on Refugees (GCR), the 2016 New York Declaration for Refugees and Migrants, the 2016 World Humanitarian Summit, the UN 2030 Agenda for Sustainable Development (*Transforming Our World: The 2030 Agenda for Sustainable Development*, UNDP, 2015). The GCR makes clear that refugee responses should be designed (or adapted) to be able to evolve into more sustainable forms of support and response. One objective of the GCR is therefore to strengthen the resilience both of refugees and the communities that host them, especially when displacement is protracted. The GCR’s Programme of Action sets out various arrangements for supporting refugees and hosting countries and identifies areas in which immediately or long term support is likely to be needed (strengthen the capacity of facilities and systems that deliver asylum, education, health and child protection services; enhance accommodation, energy supply, and natural resource management; increase livelihoods and grow the economy; and empower women and youth).

¹⁴ *Forced Displacement and Development*, Development Committee, March 25, 2016 (DC 2016-0002) and World Bank, *Forcibly Displaced*, supra note 8. Such development approach is characterized as one that is complementary to humanitarian efforts; that focuses on medium-term socioeconomic aspects and sustainability; that is government-led and places particular attention on institutions and policies; that aims to build partnerships with and between governments, the private sector, and civil society; that includes a strong focus on host communities; and that sees the forcibly displaced and their hosts as economic agents who make choices and respond to incentives. This is also understood to necessitate a shift away from short-term, camp-based programming that runs in parallel to host community service delivery, towards area-based approaches that focus on building self-reliance and resilience among refugees, host communities and local institutions, leading to integrated delivery of services and strengthening of social cohesion.

¹⁵ The World Bank is working through IDA and other entities like the Global Concessional Financing Facility (GCFF) and, since 2017, has supported projects in more than twenty countries to help governments meet the needs of their refugee and host communities. In particular, the IDA18 RSW supported fourteen low income countries which are hosting refugees through 35 projects (\$1.85 billion) and the IDA19 WHR has \$2.2 billion available. The GCFF, established in 2016, approved more than US\$500 million in grants, unlocking more than US\$2.5 billion in concessional financing in three middle income countries. The purpose of these funding mechanisms is three-fold: (i) mitigating the shocks caused by refugee inflows and creating social and economic development opportunities for refugee and host communities; (ii) facilitating sustainable solutions to protracted refugee situations including through the socio-economic inclusion of refugees in the host country and/or their return to the country of origin; and (iii) strengthening country preparedness for increased or potential new refugee flows. The World Bank is also working to prevent and address root causes of forced displacement in line with its Fragility, Conflict and Violence strategy (*World Bank*

financial support, the World Bank included preparedness as one area covered by its newly established Refugee Policy Review Framework.¹⁶

This strengthened centrality of the government in the prevention and preparedness for (and response to) a refugee inflow should not result in more restrictive policies concerning refugee admission and borders closing, which would potentially be in violation of international obligations of protection of refugees and asylum seekers, is not always physically feasible and may be very costly. On the contrary, the proper consideration of socio-economic dimensions which early on treats refugees as self-reliant economic agents capable of providing for their own needs and alleviate the burden on host communities may also help in implementing durable solutions, notably repatriation, when the situation allows it.

The experience, literature and international frameworks on governments' preparedness for inflows of refugees and other forcibly displaced persons are limited. The 2018 *Global Compact on Refugees*¹⁷ (GCR) calls on States and relevant stakeholders to contribute resources and expertise towards preparation for large refugee movements (para. 52). The approach to preparedness in the GCR is rather general, referencing risk monitoring and contingency plans while stressing that national authorities may need support to put in place risk monitoring and preparedness measures and may need to draw on support from other stakeholders, including for stand-by capacity (para. 53).¹⁸ The GCR integrates the Comprehensive Refugee Response Framework (CRRF),¹⁹ which outlines a series of measures to be taken during a refugee response, including the engagement of a broader set of development and private sector actors.

The World Bank's conceptual support in the area of preparedness for forced displacement is still in the initial phase, but lessons can be drawn from the Bank's well-established engagement in disaster management, particularly through its Global Facility for Disaster Risk Reduction (GFDRR). The GFDRR notably established a framework for Emergency Preparedness & Response²⁰ for crises. The World Bank

Group Strategy for Fragility, Conflict, and Violence 2020–2025, World Bank Group, 2020) and through a new IDA19 allocation, the Prevention and Resilience Allocation).

¹⁶ The Refugee Policy Review Framework (RPRF) was developed as a policy commitment under IDA19. It is aimed to gauge policy progress in socio-economic development for refugees and host communities, identify further policy reform opportunities and inform further support in countries eligible under the WHR. The refugee policy reviews will be conducted periodically following the cycle of the IDA replenishments. The process is led by the World Bank in partnership and cooperation with UNHCR which provides country summaries. For implementation of the RPRF, see supra note 8.

¹⁷ United Nations General Assembly document A/73/12. The GCR is a framework for more predictable and equitable responsibility-sharing, in recognition that solutions to refugee situations require international cooperation.

¹⁸ In addition to the GCR and the references mentioned supra at note 11, there are non-binding regional instruments that refers to natural disasters and displacement (the 2006 African Union Migration Policy Framework for Africa refers to environmental degradation and poverty as a "significant root causes of mass migration and forced displacement in Africa"; the 2014 Brazil Declaration and Plan of Action recognizes the challenges posed by climate change and natural disasters, as well as by the displacement of persons across borders that these phenomena may cause in Latin America and the need to give it more attention.

¹⁹ The CRRF is a key outcome of the September 2016 UN Summit for Refugees and Migrants and is annexed to the New York Declaration for refugees and Migrants adopted by the UN General Assembly. The New York Declaration notably called upon the UNHCR to develop and initiate the application of a CRRF in specific situations that featured largescale movements of refugees and protracted refugee situations, with four key objectives: 1. Ease pressure on host countries. 2. Enhance refugee self-reliance. 3. Expand access to third-country solutions. 4. Support conditions in countries of origin for return in safety and dignity.

²⁰ World bank, GFDRR and GSURR, *A Framework for Ready2Respond, The Emergency Preparedness and Response Thematic Group of the World Bank*, World Bank, Washington DC, 2017; World Bank GFDRR, *Emergency Preparedness and Response (EP&R) Program: Program Strategy*, World Bank Group, Washington DC, 2020. The EP&R Program aims to build government capacities to systematically respond to crises by establishing legal and institutional frameworks for clear mandates and accountabilities, and investing in personnel, facilities, equipment and information technology to enhance emergency preparedness and response

also developed operational frameworks or conducted research on urban forced displacement²¹, climate migration²², and disaster risk management (DRM),²³ specifically in countries affected by fragility, conflict, and violence.²⁴ Currently, the World Bank is developing a Crisis Preparedness Gap Analysis (CPGA) which is a high-level baselining exercise designed to assess crisis preparedness in low income countries. It should serve as a comprehensive cross-sectoral overview of a country's capacity to prepare for crises as well as highlighting entry points for strengthening preparedness.

More generally, inspiration can be drawn from the abundant literature on and frameworks for disaster preparedness and management, which often also cover disaster-displaced persons, and which is broader than the existing framework for preparedness for forced displacement and includes notably the *Sendai Framework for Disaster Risk Reduction 2015–2030*.²⁵ Finally, state preparedness can also draw from the literature and conceptual frameworks existing on preparedness by humanitarian organizations. Various guidelines and manuals for staff and partners have been published,²⁶ which also provide interesting advices and references for governments.²⁷

Most existing definitions of preparedness understand it as a means, a set of actions, or a program of long-term activities to mitigate the possible impact of potential crises. Preparedness is either perceived as a continuous, circular process, or as a linear planning exercise. Preparedness is defined for our purposes as “the current readiness of the public sector to respond to a crisis or crises”. A crisis is defined as “a situation which is already, or is about to become, a national or international emergency with potential major negative economic and/or social impacts and requiring immediate action (i.e. in days or weeks)”.²⁸ The

systems. Within EP&R systems, five primary components have been identified to enable a government's high-functioning capacity: a) Legal and Institutional Framework, b) Personnel, c) Facilities, d) Equipment and e) Information.

²¹ World Bank GFDRR, *Provision of Urban Infrastructure and Services for Urban Forced Displacement, Insights from World Bank Operations, Background Note, Cities, Migration and Forced Displacement*, International Bank for Reconstruction and Development, Washington DC, 2020. See also World Bank GFDRR, *Cities of refuge in the Middle East: bringing an urban lens to the forced displacement challenge*, World Bank, Washington DC, 2017.

²² World Bank Group, *Groundswell, Preparing for Internal Climate Migration*, World Bank, Washington DC, 2018.

²³ World Bank Group, *Unbreakable, Building the Resilience of the Poor in the face of natural Disaster*, World Bank, Washington DC, 2017; World Bank Group, *World Development Report 2014, Risk and Opportunity, Managing Risk for Development*, World Bank, Washington DC, 2013; World Bank and United Nations, *Natural Hazards, UnNatural Disasters, The Economics of Effective Prevention*, World Bank, Washington DC, 2010.

²⁴ GFDRR, *Disasters, Conflict, and Fragility: A Joint Agenda*, GFDRR, 2016.

²⁵ *Framework on Disaster Risk Reduction 2015 – 2030*, adopted by the Third World Conference on Disaster Risk Reduction in Sendai/Japan on 18 March 2015 (UN Doc. A/CONF.224/CRP.1), which is the successor instrument to the *Hyogo Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disaster*. The *Sendai Framework* underlines in particular the need to prepare for “ensuring rapid and effective response to disasters and related displacement” and encourages states to adopt, at national and local levels “policies and programmes addressing disaster-induced human mobility to strengthen the resilience of affected people and that of host communities as per national laws and circumstances.” It defines seven global targets; the reduction of disaster risk as an expected outcome; a goal focused on preventing new risk, reducing existing risk and strengthening resilience, and; a set of guiding principles, including primary responsibility of states, to prevent and reduce disaster risk, all-of-society and all-of-state institutions engagement.

²⁶ See in particular: UNHCR, *Preparedness Package for Refugee Emergencies (PPRE)*, UNHCR, Geneva, 2019; UNHCR, *Policy on Emergency Preparedness and Response*, UNHCR, Geneva, 2017; IASC, *Emergency Response Preparedness Guidelines*, IASC, Geneva, 2015; *Strengthening IFRC Responses to Internal Displacement in Disasters: Challenges and Opportunities*, International Federation of Red Cross and Red Crescent Societies, 2019; International Federation of Red Cross and Red Crescent Societies, *Contingency Planning Guide*, International Federation of Red Cross and Red Crescent Societies, Geneva, 2012; IRC/ReDSS, *Early solutions planning in displacement*, International Rescue Committee and Regional Durable Solutions Secretariat, 2016.

²⁷ However, these documents deal mainly with emergency response without significantly addressing structural issues, medium term consequences, socio-economic aspects, and potential negative impacts on host communities.

²⁸ World Development Report, *supra* note 11.

aim of preparedness for inflows of large number of displaced persons is to increase the ability of countries and systems to absorb and cope with the shocks. A robust understanding of the essential elements of preparedness and an assessment of a country's capacity are essential to properly designing a preparedness program supported by targeted technical and financial support. Preparedness is closely associated with or even integrated within risk reduction and humanitarian response plans, as well as relevant development plans.

3. Operational framework for a development approach to forced displacement preparedness

Four “building blocks” of preparedness are identified for refugee and other forced displacement inflows. These consist of: (a) analysis/prediction; (b) planning and coordination; (c) financial preparedness, and; (d) response and delivery mechanisms. They are underpinned by mitigation (risk reduction) and prevention which may help in avoiding the displacement itself or in reducing its impact.²⁹

These building blocks are fundamental and critical for timely and effective responses. They are all closely linked and interrelated and, as a continuous process, have to be implemented in a flexible manner—i.e. sometimes in parallel, sometimes in a linear progression.

A. Analysis/ prediction

Knowledge, systematic analysis, and continuous monitoring of risks are at the foundation of an effective preparedness plan. A comprehensive understanding of the context avoids costly delays and allows to anticipate the evolution of the situation to determine how to manage forced displacement and mitigate its consequences. This also enables to prioritize where the resilience of individuals, communities and local institutions should be reinforced. Such analysis is based on the identification of early warning signs and drives potential scenarios on which relevant preparedness measures can be based. The quality and availability of forced displacement-related evidence are important for sound decision-making, both to effectively organize planning and preparedness efforts and to activate the response and delivery mechanisms.

1. Evidence-based early warning systems, risk analysis and monitoring

Early warning enables early action. This includes the capacity to collect, collate and analyze data on potential and emerging displacements or the deterioration of an existing situation, and on informing timely action. A solid, data driven understanding of forced displacement should be ensured at all stages. It has often been observed that knowledge management and data collection, mapping, and

²⁹ Concerning refugees, it is important to avoid confusion between the concepts of prevention and preparedness. A country receiving refugees cannot do much to prevent an inflow emanating from the country of origin. However, it may support peace building or conflict resolution efforts in the country of origin, including by supporting regional initiatives to better manage cross-border movements or international efforts to help prevent conflict and violence through a broad-based agenda of poverty reduction, shared prosperity, and good governance, of course if geopolitical considerations allow it. In situations of conflict-induced internal displacement, the government has a greater ability to prevent such displacement by mitigating drivers and potential triggers of displacement and strengthening resilience through a range of political, military, security, governance, fiscal, budgetary, humanitarian and development measures. For disaster displacement, a government has at its disposal all disaster risk reduction measures to help people remain safely in their homes when faced with natural hazards.

monitoring need to be strengthened. Investments in the design of data collection systems and in the human and technological capacity to implement such systems are consequently key. The emergence of big data, geospatial imaging, geographical information systems (GIS) mapping, and other new technologies makes it also possible to engage in new approaches. The challenge is to adapt and extend the corresponding methodologies to forecasting forced displacement flows with a reasonable degree of accuracy. As big data is a fast-moving industry, with constant technological advances, cooperation with private sector actors may ensure the availability of the required enhanced instruments.

Analysis informs overall planning, while monitoring ensures that the process is responsive to emerging or changing risks. A good understanding of the overall displacement dynamics in the region grounded in a firm knowledge of the social, political, and economic history is important. This entails an understanding of displacement drivers, trends, patterns, pathways and status, the needs of forcibly displaced persons, and the characteristics of the populations (both potential displaced persons and hosts).³⁰ The risk analysis process identifies the hazards³¹ that could trigger a displacement crisis and ranks them by their perceived impact (notably on the existing capacity of the country to respond)³², and likelihood of occurrence in a defined period.³³ This is followed by the risk ranking (determination of the gravity of a given risk and of the level of the early warning threshold which informs decisions on whether additional preparedness actions should be taken or a response initiated). This also allows identification of one or more refugee or other forced displacement scenarios to further inform planning and preparedness actions.

A risk monitoring mechanism should allow regular adjustments to the changes of the likelihood of a scenario. This involves determining the sources of information³⁴ and identifying indicators that can be objectively and regularly monitored, including observable events in the country of origin that may trigger population displacement. The monitoring of these indicators will enable identification of tipping points that may trigger decision-making. Finally, it is important to regularly evaluate the analysis and monitoring mechanism in place and make necessary improvements.

2. Establishment of decision-making mechanisms

This component entails the ability to integrate early warning information into decision-making processes based on preemptively established responsibilities and triggers tied to pre-agreed actions.

³⁰ Understanding what makes some people stay and others leave at a given moment and how they choose their destination is critical to properly preparing and developing an effective prevention and preparedness agenda: security threats are the main reason to flee, outweighing all other factors, the situation being of course different in case of disaster-displacement. Most people try to manage the risks of violence before fleeing. Cross-country quantitative studies and empirical analyses show that economic factors play only a secondary role in forced displacement. Forced displacement decisions are also made against a social and cultural backdrop. In some situations, many households send out an advance-party; in others, people are likely to flee in entire families; in some contexts, forced displacement is a massive undertaking, involving entire communities. Disaster displacement is multi-causal. The intensity of the natural hazard, level of destruction and importance of the loss of assets and livelihood will be determining factors for leave and for the duration of the displacement.

³¹ The following hazards or threat categories mainly deserve consideration: armed conflict and other situations of violence (communal, inter-ethnic, electoral violence, etc.), serious violations of international human rights law and international humanitarian law, drastic changes in the socio-economic environment, natural hazards or environmental hazards.

³² This involves the characteristics of the area(s) that may receive arrivals, the impacts on host communities and institutions, the presence of response capacity, accessibility and logistics, existing infrastructures for reception and service provision.

³³ IASC, *Emergency Response Preparedness*; UNHCR, *Preparedness Package*, supra note 26.

³⁴ For example, existing research on conflict analysis and early warning, data on the country of origin, historical information on displacement routes and trends, big data, etc.

B. Planning and coordination

Based on one or several scenarios, this building block includes establishment of policy priorities and institutional and operational arrangements; apprehension of specific material and professional resources, and other measures that are earmarked and available for a rapid response; identification of required support from various partners; and identification of potential solutions. A special focus on local authorities and communities, including local capacity building, is very important. Some of the measures, particularly the emergency response, are specific to the humanitarian approach, some are specific to the development approach and others are common to both. It is difficult not to say artificial to fix boundaries between these various types of measures. Consequently, this paper will mention all of them, but will further develop the measures which are specific to or important for the development approach. Without a coordinated response plan agreed *ex ante*, responsibilities for the response to a displacement crisis may be ill-defined and crucial work steps may be duplicated. To avoid such inefficiencies, all stakeholders need to work together before a crisis strikes to establish a credible plan with a clear decision-making process and explicit-agreed responsibilities and liabilities.

1. Development of overarching and contingency plans from short term (emergency response) to mid-long term (solutions) interventions

Contingency planning is the process of developing strategies, readiness, arrangements and procedures in anticipation of potential forced displacement crises to absorb and cope with the shock, particularly by addressing the needs of those who would be adversely affected. This process should be simple, concise, practical, based on a realistic understanding of existing response capacity, and backed by effective, efficient, and transparent funding requirements. The plan defines the response strategy (including a response framework with activities and identification of preparedness gaps to be bridged, and how they will be addressed), the preparedness action plan (including budgetary requirements and implementation deadlines), and other strategic priorities (such as procurement and resource mobilization). It should establish activation triggers to move to the response phase and should be reviewed and updated on a regular basis. Time spent in contingency planning equals time saved when a crisis occurs.

The humanitarian approach usually limits the contingency plans to the initial emergency response, but governments' responsibilities are broader and must also include mid to long term perspectives.³⁵ Realistic population estimates, both of forcibly displaced persons—including their expected profile (age/gender disaggregation, etc.)—and of the impacted host communities are key. Host communities may also have specific concerns that need to be recognized and addressed. This may lead to or reinforce tensions, including cultural tensions, if unaddressed. Engaging also with people at risk of displacement (in practice mainly potential IDPs), if possible, during the planning process can help to plan appropriate responses. It is crucially important that information on existing capacities and resources be accurate and trustworthy, since this will be the basis for identifying weaknesses and gaps, making the best use of existing resources, and strategically define the required strengthening. This includes capacities and resources from the national, sub-national, local and community levels, external institutions and organizations, and agreements with other partners.

The main dimensions of contingency planning are the following:

³⁵ The IASC Guidelines and UNHCR Package (supra note 26) contain interesting templates and lists which could also be relevant for governments in fulfilling these responsibilities.

a. Legal framework and policies

Gaps or opportunities in the legal and policy frameworks should be identified with the aim of promoting the coherence and further development, as appropriate, of national and local frameworks. The normative framework must be adapted to allow the adoption and implementation of all preparedness and response measures, the establishment of a robust institutional framework, and the protection of the rights and responsibilities of the refugees and other forcibly displaced persons.³⁶

It is also advisable that refugee policies be adopted in anticipation of future situations with consideration of the increasingly protracted nature of many displacement situations. Policy interventions in support of refugees versus host populations are practically indistinguishable in many areas, particularly as they relate to socio-economic issues. Consequently, providing such support only to refugees in contexts where local populations are themselves vulnerable and poor risks breeding resentment and hostility from hosting communities. Attention should be paid to mechanisms and policies preventing and mitigating potential social tensions. Policies and strategies should also be developed in view of reducing poverty and improving the socio-economic inclusion of refugees. This increases their self-sufficiency and resilience, and reduce their dependency on government or other aid. At a minimum, policies should address: (i) refugee status determination and security of legal status; (ii) legal documentation and access to identification documents; (iii) freedom of movement; (iv) access to livelihoods and the labor market; (v) access to food, housing, health services, and education, (vi) access to social protection; (vii) protection against discrimination, and; (viii) enjoying other relevant rights. Policies should also aim to mitigate the socio-economic and environmental impacts of the inflow of forcibly displaced populations on host communities and to promote social cohesion.

b. Human resources and operational support arrangements

Planning and allocating sufficiently skilled and trained human resources – both for preparedness and response – is paramount. Adequate capacity must exist both at the local and national levels. The management of human resources must allow for the quick deployment of experienced professional staff in critical functional areas, and involves the selection of employees and rapid deployment schemes enabling rapid and effective expansion as the situation demands. This includes standby arrangements for staffing and possibly the strengthening of the capacities of key ministries. It also involves the possible creation of national-level surge capacity of service providers in key sectors. This would help to increase the absorptive capacities of local services from the onset of displacement and would support an integrated service delivery approach.

Good planning must also assess capacities, including within the communities at risk and the local authorities³⁷, and identify opportunities and methods for strengthening and drawing on these capacities. This requires extensive training of those involved in preparedness and response to acquire knowledge, develop skills, and gain practical experience.³⁸ Capacity strengthening also includes knowledge management more broadly—notably codifying knowledge and procedures;

³⁶ This includes adopting IDP-specific instruments and laws and policies that specifically address disaster-displacement.

³⁷ Local authorities often have the primary responsibility for providing basic services and other responses to inflows of forcibly displaced persons, but capacity and fiscal constraints also often limit their ability to respond adequately or let them to be quickly overwhelmed.

³⁸ Defining and strengthening internal and institutional capacity includes various aspects such as specific preparedness and response training, functional or sectorial training, knowledge and support to apply relevant legal frameworks and policies, simulation exercises, and operational drills.

developing and disseminating instruments such as standards, professional codes, operational guides, assessment templates or standard operating procedures. This development of personnel must take advantage of the best available information management system³⁹, facilities (operations centers, multipurpose shelters, training centers, command posts, etc.), and equipment to ensure an interoperable systems approach.

c. Location and selection of sites

This starts with the identification and preparation of entry points of refugees and geographical areas where the forcibly displaced would be (temporarily or durably) settled, including accommodation, transportation systems, and infrastructure.

The characteristics of the area(s) that may receive arrivals (such as geography; climate; terrain; access; urban or rural nature; accommodations availability; health challenges; functioning of markets; absorption capacities of local services; cultural and language bond facilitating integration; etc.) and the potential impact on host communities (including their capacity and willingness to host arrivals) deserve specific studies. Attention should also be paid to whether hosting locations provide self-reliance and economic opportunities, as refugees are often hosted in poor, marginalized regions with limited economic opportunities to offer. Anticipating such inflows would help to reduce costly mistakes and be useful for other preparedness measures, such as the pre-positioning of necessary supplies and services. The authorities have also to determine whether they will limit high concentrations of forcibly displaced persons in particular locations, or whether forcibly displaced persons will be spread to more scattered locations. Depending on the context, forcibly displaced persons may be accommodated in camps which, although often designed as a temporary solution, may last for years and which involve specific challenges (such as camp management, security, services provision, creation of parallel systems, etc.). Forcibly displaced persons may also be oriented towards urban centers, which may lead to increasing pressure on and competition for housing, jobs and access to services and requires long-term development and land use planning.⁴⁰

d. Registration

Well defined registration systems, supported by the proper structure (data base, etc.) and implemented early in the event of forced displacement or refugees entry into the country enables governments to know who is in their territory and properly organize the whole response. This also allows the issuing of ID cards, if needed, and, in case, can facilitate the process of refugee status determination. The system can also include 'track and trace' capabilities which allow to locate the forcibly displaced persons and can facilitate their free movement.

³⁹ It means the systematic process of collecting, processing, verifying, and analyzing data and information and disseminating it to concerned stakeholders in a tailored and targeted manner to enable decision-making at all stages of preparedness and response. This should be founded on functional IT systems, social technologies, and communication systems and equipment.

⁴⁰ In many situations up to date, these processes happened in a disorderly manner, often encroaching in border areas or poor urban areas where forcibly displaced persons live in more concentrated settings alongside (often poorer) communities or reside in collective centers located on vacant land within the city or on its outskirts with little access to services. This accelerates urban sprawl in the periphery and/or an increase in housing densities at the neighborhood level. Housing availability and affordability played a major role (World Bank, *Provision of Urban Infrastructure and Services*, supra note 21). This Background Note identifies several types of cities in urban forced displacement within projects supported by the World Bank: cities with localized displacement impact; cities under widespread stress from displacement; commuting cities – camps or camps-like structures close to the neighborhoods where forcibly displaced persons were forced to leave; urbanizing camps; cities heavily affected by conflict, damage and forced displacement).

e. Strengthening of infrastructure and public services

Adequate infrastructure and basic services, including health, education, water, sanitation, solid waste management, markets and commercial facilities, roads, electricity and internet have to be provided. Many urban and peri-urban areas particularly need to prepare for potential inflows, including through extension and upgrading of infrastructure and social services, to be able to adequately respond to the different needs of both displaced populations and host communities. The inflow of forcibly displaced persons often puts additional pressure on already-low levels of urban service delivery. However, even if these service systems are imperfect for existing residents, it is likely to be more cost-effective to reform, expand or supplement such systems than to build new, parallel systems. Camps and collective centers also need adequate infrastructure and services. Community infrastructure to provide water, sanitation, and health-related services is often the most urgent and apparent need in coping with a large increase of population due to displacement.

The physical provision of public services, such as education and health infrastructure, must be accompanied by their proper operations and maintenance with adequate staffing and equipment. This often requires close coordination between national and local authorities. Access to schools should be accompanied by curriculum considerations for forcibly displaced students. Access to health services should also include mental health programs, which are particularly important for forcibly displaced people.

f. Accommodation

Access to adequate housing may include shelters, tents, or shanties in camps; collective centers, public buildings, or private housing in urban settings; and other temporary or durable accommodations. Collective centers may have been built specifically for receiving forcibly displaced people, or may be school centers, sports facilities, or warehouses that have been temporarily adapted for this purpose. Forcibly displaced people may also receive construction material, vouchers, or cash transfer grants to improve their dwelling or secure better accommodations.

g. Solutions

This dimension focuses on early solutions planning, but also includes some considerations on durable solutions. Early solutions encompass steps to build the self-reliance and resilience of forcibly displaced persons and host communities. Successful achievement of longer term, integrated sustainable development solutions requires early planning, even if such plans are generally implemented after the initial emergency phase of a displacement crisis. Strategies for sustainable solutions should indeed be initiated at the onset of displacement, given that once displacement becomes protracted, the forcibly displaced population may have become dependent on humanitarian assistance.⁴¹ Given the unlikelihood of return or resettlement in the early stages of displacement in most instances, an initial focus should be placed on building self-reliance and resilience⁴² of the forcibly displaced persons in their location of displacement. This

⁴¹IRC/ReDSS report, *Early solutions planning in displacement* (supra note 26).

⁴² Broadly, **self-reliance** refers to the ability of individuals, households or communities to meet their essential needs in a sustainable manner and to live with dignity. Self-reliant persons lead independent and productive lives and are better able to enjoy their rights, while also contributing to their host societies. **Resilience** refers to the ability of individuals, households, communities, national institutions and systems to prevent, absorb and recover from shocks, while continuing to function and adapt in a way that supports long-term prospects for sustainable development, peace and security, and the attainment of human

involves both the forcibly displaced population and the host communities and local institutions. Properly designed and implemented, early solutions planning allows for the socio-economic integration of forcibly displaced and reduction of aid dependency. Such an approach should not rely solely on government but should also engage other actors, primarily development and private sector actors.

The starting point for proper early solutions planning is to understand (and possibly predict) the background and skills of the people who are most likely to come and the most likely scale of the inflowing population. This should lead to a better understanding of the impact of displacement on hosting areas and how best to increase the self-reliance and resilience of all concerned. Support to refugee-hosting areas should be tailored to the specific skills, assets, and vulnerabilities of refugees and host communities and based on a strong understanding of local context. A critical factor to enable solutions-oriented policy and programming in the early stages of displacement is to shift perceptions of refugees away from being a burden on the host community and towards being individuals who bring new human capital, skills, and assets and who can be resourceful agents of local economic development.⁴³

The recognition of the effective or potential protracted nature of displacement and a sense of urgency to act are key conditions for successful sustainable solutions. Governments may be reluctant to support long-term, durable solutions for communities displaced by conflict as this may be perceived as locking in the status quo and perpetuating displacement, with responses to disaster-driven displacement being often less sensitive. The noted trend to consider forcibly displaced persons as only temporary residents in their areas and only adopt short-term solutions and ‘quick-fixes’ often aggravates both the socio-economic situation and vulnerabilities of the forcibly displaced population as well as the host communities.⁴⁴

Economic support and integration

Livelihood measures should be developed to support forcibly displaced persons’ relative independence from aid. These measures should also benefit host communities, particularly the poorest and the persons most impacted by the inflow (especially through jobs competition and

rights (in: Executive Committee of the High Commissioner’s Programme, Standing Committee, 68th meeting, *Resilience and self-reliance from a protection and solutions perspective*, UNHCR, Geneva, 2017, EC/68/S/CRP.4). Both self-reliance and resilience build upon the resources and capacities of individuals, communities and states, with the objective of ensuring safe and productive futures for all those impacted by a crisis. Self-reliance can lead to resilience, while resilience is necessary to ensure that progress towards self-reliance is not eroded or reversed in the face of sudden-onset shocks and longer-term trends.

⁴³ For example, in Uganda, refugee policies are conducive to early solutions planning and have established a settlement-based approach, whereby refugees are allocated a plot of land for cultivation in a settlement. Refugees have freedom of movement; the right to work and own a business; equal access to primary education, healthcare and basic social services; and are able to obtain personal identity documents. A focus has also been placed on integrated service delivery, with refugees and host communities accessing the same government-run services. Refugee management and protection have been incorporated in national development planning and provides an inclusive, area-based development strategy for refugee hosting communities. To support this agenda, UN agencies, the government and the World Bank have developed a joint strategy, known as Refugee and Host Population Empowerment (ReHoPE), which provides a framework for joint self-reliance and resilience programming of up to \$350 million over 5 years. ReHoPE offers a potentially exciting new framework around which a wide range of actors can coalesce for more joined up humanitarian-development interventions from the outset. ReHoPE aims at strengthening resilience at household level (ensuring the most vulnerable in refugee hosting districts have access to the support needed to become resilient), at community level (empowering communities to implement activities that enable both household and community resilience and using a community driven development approach) and at the systems level (helping integrate community - level participation into government systems, enhancing the social service delivery system, supporting local government capacity).

⁴⁴ World Bank, *Provision of Urban Infrastructure and Services*, supra note 21.

price increases). This includes the identification of potential livelihoods opportunities based on the respective backgrounds and skills (e.g. focusing livelihood support on agriculture if that is the background of the most likely group of people who will come). Economic incentives (e.g. cash grants to restore livelihoods, secure productive assets, or start businesses; job creation; supporting entrepreneurship; facilitating access to finance; etc.) should be considered. Jobs are essential for effective local socio-economic integration and for mitigating social tension. All this should be accompanied by skills development support.

Social services and scalable social protection

Preparedness in social protection involves putting in place mechanisms that can help support livelihoods and break the cycle of poverty and vulnerability. This includes devising social protection systems that are able to support both forcibly displaced persons and impacted members of host communities. It should first and foremost address social concerns that emanate from specific vulnerabilities of the forcibly displaced population that require differentiated responses (based in particular on gender, age or disability). Shock-responsive safety nets can help poor and vulnerable groups become more resilient, e.g. by including the capacity to extend vertically through increased payment levels and/or horizontally to include additional people to help meet the basic needs of affected populations. Preparedness should also strengthen social protection systems to enable rapid support to those who will be impacted within host communities, particularly those who may not be able to stay in the labor market and maintain their livelihoods or upgrade their skills. Such preparedness could involve several different approaches. For example, applying insurance principles to enable the scale-up of existing social safety nets is increasingly considered an effective way of reducing the negative impacts of shocks on the most vulnerable of the host communities and forcibly displaced persons. Another option is to put in place public works or other labor-intensive works programs, such as development projects to maintain, repair and rebuild infrastructure, clean streets and urban settings, or protect the environment.

Durable solutions

Durable solutions (local integration, voluntary repatriation or return, and resettlement) usually cannot be implemented in the early stages of a forced displacement crisis. However, efforts should be invested in the planning phase to identify how the policy environment and the immediate response strategy can evolve over time to establish early solutions and enhance future prospects for durable solutions. This is particularly relevant to local integration, to which early solutions may provide a pathway. Authorities may define criteria and triggers for integration alongside the consequences that such a solution implies (notably additional rights and obligations for the beneficiaries, political consequences, public opinion reactions, etc.). Concerning repatriation, the authorities may use risk analysis to identify the root causes of displacement and conflict as well as other issues which would need to be addressed more comprehensively to increase opportunities for refugees to voluntarily return under safe and dignified circumstances. This should inform a rough estimation of the probability and time perspectives in which return can happen and, possibly, the aid package forcibly displaced could receive as support for their return. Resettlement is the implementation of a greater global commitment to responsibility sharing for refugee crises. Host governments have rather limited leverage and visibility on this issue beforehand. However, they can make estimates as realistic as possible on the countries which may potentially accept refugees for resettlement, and which number and profiles of refugees it may involve.

The other important dimensions of contingency planning, which are not specific to the development approach, are only briefly mentioned here:

- h. Basic needs** (specifically humanitarian in nature), including the provision of essential assistance (food, water, medical care, energy, safeguarding of family unity, etc.).
- i. Procurement, stockpiling and logistics**, including sourcing material locally from areas as close as possible to the place of eventual use; engaging with the corporate sector through frame agreements, which ensure availability of material during an emergency at pre-arranged prices; establishing service agreements and developing standard specifications for the materials in use; pre-positioning of supplies and stocks with adequate warehousing; using adequate modes of transportation supported by identification of the most efficient transport networks.
- j. Safety and security**, including the adaptation and strengthening of public security systems (including police), with a particular attention to women and children who may face a heightened risk of violence, exploitation, or other abuse; violence prevention and measures to maintain harmony between host communities and forcibly displaced populations, and; screening and security system in case of refugee inflow, including measures to maintain the civilian nature of asylum and refugee camps.⁴⁵
- k. Communication and media relations**, including planning of strategies and relations with the media at the local and national level, and; public awareness campaigns and dissemination of information to forcibly displaced populations.
- l. Lessons learned and response monitoring**, including establishing an efficient mechanism that will draw lessons from previous crises and monitor crisis response to identify corrective measures.

2. Establishment of a whole of government coordination system and decision-making mechanisms

A proper preparedness and response system depends on coordination mechanisms within and across sectors and with relevant stakeholders. It requires the full engagement of all state institutions of an executive and legislative nature at national and local levels. National governments should clearly designate institutional leadership responsibilities and ensure internal and external clarity on the relevant organizational structure, including well-defined roles, responsibilities, and accountability of line ministries and other agencies. Interagency and intergovernmental coordination are extremely important and should be established through laws, regulations, and procedures. Uncertainty or ambiguity over who is in charge in a given situation can result in wasted time and energy, inefficiency, jurisdictional overlap, and friction between different agencies or levels of government. The responsibility for preparedness is often viewed as the sole responsibility of a certain ministry or agency, residing in a silo or specialized enclave and subject to limited attention or investment until a crisis occurs. In fact, there is a need for a more integrated and systems-based approach. The system may be specific to refugee crises, which require specific knowledge and measures, or may be integrated into broader crisis or disaster management systems.⁴⁶ The system should also include early

⁴⁵ In situations of refugees fleeing armed conflict, authorities must prepare for the possible arrival of members of foreign armed forces or armed groups. Measures should be taken to confiscate weapons upon arrival to maintain the sovereignty and military neutrality of the hosting country. This also involves the setting up of an internment system for military and armed personnel in conformity with the 3rd Geneva Convention of 1949, as was done in 1994 (partly) with Rwandans in Zaire/DRC or in 2003 with Liberians in Sierra Leone.

⁴⁶ For example, Rwanda has a Ministry of Disaster Management and Refugee Affairs and adopted a national Contingency Plan for future refugee inflows and other disaster. Uganda has the Ministry of Disaster Preparedness and Refugees. Ethiopia has the ARRA (Agency for Refugee and Returnee Affairs) and the National Disaster Risk Management Commission (NDRMC). Each country in Central America has national institutions for disasters (National Disaster Risk and Disaster Management Offices). European

engagement with sub-national and local authorities. This includes strong coordination with these authorities at all stages of preparedness and response. The way sub-national and local authorities are organized and make decisions is also key to successful response: the same principles as at national level should apply, including the establishment of ad hoc committees, task forces and coordinating units to work across organizational boundaries, levels of government, and sectors.

Preparedness also includes mapping of partners' capacities and it is critical to establish appropriate linkages, including coordination systems, with other key partners at both national and local level. Adopting an inclusive approach from the preparedness phase will foster ownership and cooperation during the response. The government's coordination should include collaboration (including through working agreements) with relevant international partners, particularly humanitarian organizations and development partners, and make special provisions for the inclusion of the private sector,⁴⁷ non-governmental organizations and other civil society organizations, and community based institutions. Such collaboration alongside clarity on the roles of the various stakeholders involved in preparedness and response is paramount. This requires an understanding of which partners are already on the ground on which the government may rely, the respective mandates and activities, and how quickly such partners may become operational or build up a stronger response.

3. Early assessment of needs

Preparing for joint and coordinated needs assessment—including establishing local presence and conducting previous capacity building—early in a forced displacement crisis lays the foundation for a coherent and efficient crisis response. This should be well planned and organized with sufficient staff and should incorporate inclusive participation and discussions with the host community, local institutions, and forcibly displaced population. The methods and approaches of assessing immediate humanitarian needs at the outset of an emergency should be complemented by a deeper, area-based assessment and analysis process geared towards understanding the impact of displacement and strategies for increasing the self-reliance and resilience of forcibly displaced populations, host communities, and local institutions.

C. Financial preparedness

Financial preparedness, including the budgeting and financing of all preparedness and response measures, is also a key aspect to be integrated within contingency plans. Pre-emptive financial planning is so important and specific that it deserves a proper building block. The system should in particular allow rapid funding allocation and transfer to sub-national and local authorities so that they can rapidly scale-up infrastructure⁴⁸ and respond to changing needs, such as a rising demand for local services or mounting

countries and countries as Morocco or Mozambique have Civil Protection. Mozambique has also the National Emergency Operations Center (CENOE) and Operational Emergency Centers (COEs) at decentralized level.

⁴⁷ The private sector has a key role in revitalizing local economic activities and value chains, generating local employment opportunities for both host communities and forcibly displaced, enabling markets to resume or improve functioning, broadening financial services (facilitating cash transfers, establishing mobile money platforms, etc.) and strengthening government-private sector relations. Specific needs for business partnerships exist particularly in the following areas: access to efficient IT and communication systems; improving risk analysis and monitoring; strengthening needs assessments and information management; improving logistics systems; providing a large range of supplies, and; accessing expertise during the response. The private sector may also provide assistance, particularly in the emergency phase, which significantly expanded in the decade following the 2004 tsunami.

⁴⁸ For example, in Colombia, before Venezuelans arrived, there were financial transfers to authorities and cities from the central government to increase the number and quality of public services.

social tensions. Revolving funds should also be available. Financial preparedness efforts should be based on a national risk finance strategy that is endorsed by the country's sovereign authority and that binds the various stakeholders. This ensures that the plan is strong enough to withstand the whirlwind of highly-charged crisis response politics. Flexible funding should be made available to enable medium and longer term planning from the outset of a crisis onwards. This can include setting resources aside to finance preparedness and response activities and/or putting in place contingent lines of credit for draw-down when needed. Financial preparedness may also include budgetary allocations and grants or credit from international financial institutions, as the World Bank, or other development partners. It should also include innovative funding mechanisms and take into consideration bilateral donors and the contribution of other actors, as humanitarian organizations and the private sector. The funding modalities should allow room for mid-course adjustments and flexibility, for example to accommodate new hosting communities, scale up or scale down the support, or ensure rapid roll out of a program.⁴⁹

1. Establishment of a contingency fund, budgetary reserves or emergency liquidity

This dimension involves planning in advance how financial resources for preparedness and crisis response will be included in the national budget as well as how they will be disbursed and executed. This should include transfers to the sub-national and local levels (both investment and operating expenditure).

2. Establishment of risk financing instruments, including start financing facility

Risk financing is based on several parameters, including risk covered, financing model, data of reference, pre-agreed response action plan, clear triggers for disbursement, and financial action plan. It is particularly useful for shock-responsive safety nets as it ensures flexible and timely fund mobilization and financially prepares for shocks before they occur. For example, in Uganda, the innovative Displacement Crisis Response Mechanism (DCRM) is a funding window to rapidly scale up projects in case of refugee inflows. It is a shock-responsive safety net and risk financing tool which aims to develop and finance a government led mechanism by augmenting basic public service delivery and sustaining human capital in refugee-hosting areas.⁵⁰

Effective management of disasters, including disaster displacement, promotes mechanisms for disaster risk transfer and insurance, risk-sharing and retention, and financial protection, as

⁴⁹ World Bank GFDRR, *Provision of Urban Infrastructure and Services*, supra note 21.

⁵⁰ See Chris Mahony and Barry Maher, *Data-Driven Development Response to Displacement Crisis in Uganda: The Displacement Crisis Response Mechanism*, Disaster Risk Financing & Insurance Programme (World Bank Group) and Sida. To enable rapid response, the DCRM must have an accessible, accurate, transparent, rules-based and accountable (objective) decision making process to disburse pre-financed and dedicated resources. It is development-driven (community-driven activities implemented in line with community development plans). The DCRM disburses funds to scale up government provision of water, healthcare, and education services for refugees and host communities. Indicators to inform disbursement were identified in three sectors: access to education, access to healthcare and access to water. For each indicator, a threshold level, pre-agreed by the government, is established in each concerned district based on sector standards. Should the indicator breaches the threshold level, resources will be rapidly mobilized into the sector in question to finance the relevant activity. For example, a threshold of 70 school-aged children per classroom might be established. If, in a given district, the number of school-aged children per classroom exceeded 70, resources would be made available from the DCRM to expand the educational facilities in that district.

appropriate, for both public and private investments. This is meant to reduce the financial impact of disasters on governments and societies.

3. Strengthening of the agility and peak capacity of the public financial management systems

Public financial management systems have to be capable of rapid adjustments in their processes, procedures, and control mechanisms to ensure swift disbursement of resources (for example, block grants) to communities and service delivery units, particularly when forcibly displaced people begin to arrive. This also concerns disbursements to beneficiaries of financial support, especially the poor and vulnerable. Public financial management systems should be able to meet additional requirements associated with crisis response while continuing to pay proportionate attention to efficiency, accountability, and transparency in the use of public funds.

D. Response and delivery mechanisms

This building block consists of the activation of the contingency plan and the ability to execute it in a timely and commensurate manner, and to activate the necessary funding. It requires organizational agility needed to enable rapid hiring, deployment, and re-deployment of essential service delivery and response staff and the procuring and dispatch of supplies. The ability to respond in the immediate aftermath of an emergency depends on the level of operational readiness and preparedness that is in place. A common mistake in emergency response is the failure to ‘scale up’ quickly enough. Rapid expansion of teams and organizations can also lead to chaos and confusion unless the proper plans, systems, and approaches are in place. Comprehensive needs assessments that provide a common understanding of the priority needs of the affected populations and lay the foundations for a coherent and efficient response should be done immediately after an emergency arises, and updated throughout the response.

- 1. Implementation and coordination of emergency plans to reach those most in need**, including enabling access to transportation, registration, sheltering and housing, relief services, and livelihoods, including through shock responsive safety nets; and strengthening and expanding service delivery in the education and health sectors as well as for urban and environmental services.
- 2. Mobilization of resources (staff, assets, financial resources).**
- 3. Activation of contingency fund/budgetary reserves/ emergency liquidity or other risk financing instruments.**
- 4. Communication strategy and systems.**
- 5. Beginning work on solutions and early transitioning from emergency response**, which can already occur at the outburst of the crisis, with the whole effective delivery being extended over time.
- 6. Response monitoring**, as an ongoing process.

4. Partnership in preparedness

While the overarching responsibility and coordination of the national government are key, preparedness cannot be conceived in isolation. It must be inclusive and the government should encourage others to make significant contributions to the planning. To ensure a well coordinated and timely response, all stakeholders need to be involved and work together on preparedness to establish a credible plan with a clear decision-making process and explicit-agreed responsibilities and liabilities.

Beside the national government, sub-national and local authorities must be fully involved in the planning process and be supported technically and financially accordingly. The concerns, analysis, strengths and

weaknesses of these sub-national and local authorities must be integrated. Particular attention should be paid to empowering local authorities functionally, politically, administratively, and fiscally to design locally-specific interventions for forcibly displaced persons and host communities within the national framework. The private sector should also be engaged early on to develop partnership when defining various key components of the preparedness, strengthening the authorities' capacities in specific areas and ensuring its proper integration in the contingency plan and involvement in the response.

Host governments can get support from a variety of bilateral and multilateral sources. Development actors, such as the World Bank, can help to establish an operational framework including all components necessary for a solid preparedness, make sound diagnosis of the existing preparedness system and capacities and help identify gaps, and assist in shaping the dialogue with the private sector. In addition, development actors may provide financing for developing a preparedness system and contingency plan, and strengthening overall capacities. They can also provide technical assistance in areas of expertise as collecting and analyzing data, defining policies, scaling up service delivery, establishing social protection and safety nets systems, developing socio-economic opportunities, financial preparedness, including preparing risk financing instruments, etc. The opportunities offered by the World Bank to the countries which are eligible under the IDA19 WHR to establish and strengthen preparedness should be seized, and allow to establish best practices and develop some standard operational framework for state preparedness for refugee and other forcibly displaced inflows. The inclusion of potential donors in the discussions about preparedness and in the developing of the phases of preparedness may also help to ensure that preparedness and response are adequately understood, supported, and funded.

Humanitarian organizations should also be closely associated in the government's preparedness endeavors. This concerns first and foremost UNHCR, which has a mandatory role to support governments in their preparedness efforts. Several humanitarian organizations have their own preparedness plan, mainly for the emergency response. Such plans should draw from the government's own preparedness or be adapted to or integrated within its contingency plan. For doing so, a transparent and timely exchange of information is important. Humanitarian organizations can also contribute to building and reinforcing the authorities' capacities in a variety of areas.

5. Conclusion

Government preparedness for inflows of refugees and other forcibly displaced persons is increasingly important, given the scale of the forced displacement situation the world now faces. Such preparedness is beneficial for hosting countries, hosting communities and the forcibly displaced populations themselves. When governments plan ahead, country systems are better equipped to manage shocks in a timely and effective way. This is crucial to save lives, reduce hardship and poverty, and foster social cohesion among the different communities. While progress in this regard has been noted in some countries, this area requires increased attention, research, and investment from the concerned countries and the international community in line with the GCR.

New funding, notably from development actors, to support countries in their preparedness efforts is now available. Effectively utilizing such funding requires, first and foremost, the development of an operational framework to prepare for inflows of refugees and other forcibly displaced persons, including a common understanding of the building blocks. Such framework should be rapidly developed and made broadly available.

Government leadership in this area must be fostered. The engagement of a diversity of key governmental actors should be sought, looking beyond the refugee department to other relevant ministries as well as sub-national and local authorities who play a central role in crisis response. Adopting and adapting relevant laws and policies is paramount. This should help implement approaches that meet immediate needs while providing longer-term development perspectives for forcibly displaced persons and host communities. It should also aim to reinforce their resilience and self-reliance. This encompasses a change of mindset from “refugees as a burden” to “refugees as an asset” and a prioritization of socio-economic considerations.