SELF-ASSESSMENT TOOL FOR NATIONS TO INCREASE PREPAREDNESS FOR CROSS-BORDER IMPLICATIONS OF CRISES

OSCE Organization for Security and Co-operation in Europe

SELF-ASSESSMENT TOOL FOR NATIONS TO INCREASE PREPAREDNESS FOR CROSS-BORDER IMPLICATIONS OF CRISES

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ACRONYMS

API	Advance Passenger Information
BCP	Border Crossing Point
DG ECHO	European Commission Directorate-General for Humanitarian Aid and Civil Protection
DG SANTE	European Commission Directorate-General for Health and Food Safety
EU	European Union
Frontex	European Border and Coast Guard Agency
HC	Humanitarian Coordinator
IAEA	International Atomic Energy Agency
IASC	Inter-Agency Standing Committee
IATA	International Air Transport Association
ICAO	International Civil Aviation Organization
ICMPD	International Centre for Migration Policy Development
IFRC	International Federation of Red Cross and Red Crescent Societies
IOM	International Organization for Migration
MC	Ministerial Council
MICIC	Migrants in Countries in Crisis Initiative
NATO	North-Atlantic Treaty Organization
OSCE	Organization for Security and Co-operation in Europe
PNR	Passenger Name Records
PPE	Personal Protective Equipment
pS	participating States
RC	Resident Coordinator
SGBV	Sexual- and Gender-Based Violence
TTX	Table-Top Exercise
UN	United Nations
UNDP	United Nations Development Programme
UNDRR	United Nations Office for Disaster Risk Reduction
UNECE	United Nations Economic Commission for Europe
UNEP	United Nations Environment Programme
UN OCHA	United Nations Office for the Co-ordination of Humanitarian Affairs
UNOCT	United Nations Office of Counter Terrorism
UNODC	United Nations Office on Drugs and Crime
WCO	World Customs Organization
WHO	World Health Organization

PREAMBLE

Why a revision of the 2013 Self-Assessment Tool?

Since its 2013 publication, the Self-Assessment Tool has been used by a number of OSCE participating States (pS) to review and improve their Preparedness for Cross-Border Implications of Crises.[1] However, in the last seven years, the OSCE participating States have been confronted with prolonged challenges at their borders. Two of the most prominent issues include increased mixed migration and the COVID-19 pandemic. In many cases, the unexpected nature of these mass cross-border flows resulted in modifying border procedures on an ad-hoc basis. As a result, some procedures created their own challenges and unique situations for border officials. At the request of several pS, the Border Security and Management Unit has undertaken this effort to revalidate and revise this Tool accordingly.

With gender mainstreaming remaining a priority on the OSCE agenda and gender analysis an essential tool for preparedness for crisis response, the Border Security and Management Unit has ensured inclusion of targeted input and questions to guide effective responses when pS are conducting preparedness activities and reviewing their border-related procedures and legislation.

In the course of the review the Border Security and Management Unit, assisted by subject matter experts, conducted a survey and engaged the pS through the OSCE Border Security and Management National Focal Points (NFP) Network; initiated a dialogue and undertook a thorough mapping exercise and review of documents published and programs launched by those organizations that assisted with the development of the Tool in 2012-2013; and conducted a comparative analysis to identify additional considerations for preparedness and modifications required for the existing Tool. The results of this research have guided the review to ensure the new version better meets the needs of the pS.

It should be noted that in the course of re-contacting those international and regional organizations that participated in the discussions and contributed materials that advised the original Tool, all were more than willing to re-engage and offer their products that have been developed since 2013 to be referenced. Additional material was identified from organizations which were not part of the 2013 drafting process, but who recognized the benefit of having their work included in the Tool. The new, more comprehensive version tackles a wide variety of dimensions to increase crisis preparedness at the border. Ultimately, all of the organizations are serving various subsets of the OSCE pS and when this Tool is used, it not only provides a baseline status of national border security and management systems, but it can also advise on the focus for efforts and assistance of international, regional and bilateral assistance.

OSCE Border Security and Management Unit

January 2021

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1 In a Survey sent out to OSCE pS, almost half of the survey respondents indicated that their government has used the 2013 Self-Assessment Tool, and 75% of them confirmed the value of the Tool.

INTRODUCTION

Preparedness for cross-border implications is vital to facilitate a speedy and effective response to humanitarian emergencies and to deal with cross-border movements resulting from crises. Borders are vulnerable in times of crises as they are increasingly under pressure by a number of cross-border movements. Different types of crises, whether natural disasters, environmental emergencies, human-made crises, cross-border health emergencies or conflict situations, can result in a sudden influx of relief goods and personnel. At the same time, affected populations may resort to flight across the border, or emergencies may threaten to spill over to neighbouring countries. Officials at the border are the first to be confronted with these dynamics and border security can become affected.

The challenges for border-related agencies during crises are numerous. Procedures and legislation for cross-border security and management are often drafted for non-emergency situations, which results in uncertainty and ad-hoc procedures. Complicated bureaucratic processes and a lack of co-ordination among national agencies may slow down the delivery of assistance to those in need. The capacity of border officials themselves may be affected by the crisis, while at the same time the situation demands unusual and speedy processing of people, goods and equipment. Priorities for border security change during a crisis situation, which further alters co-ordination structures and working cultures of border-related agencies.

As crises do not respect international borders, cross-border co-operation is of utmost importance to adequately prepare, and effectively and efficiently respond. Some events may be of such magnitude, that a country is unable to deal with the consequences independently. Especially when it comes to health or environmental emergencies, only well-developed cross-border co-operation may be capable of halting further spread of the impact of the crisis. Cross-border co-operation is needed to promote free and secure movement of persons, goods and services across borders as well as the dignified treatment of all individuals wanting to cross borders.

The importance of crisis preparedness at the border has been emphasized by recent crises, in particular the migration crises and the COVID-19 pandemic. An additional consideration is that most, if not all, border systems of the OSCE pS have been confronted with the rare situation of closed borders in 2020 and in some cases, for an extended period of time due to the need to attempt to contain COVID-19. The challenge of closing borders to non-essential travelers and non-citizens while allowing essential goods to transit borders, is just a glimpse into the complexities that border services have dealt with during 2020–2021, not to mention the need for advanced medical screening for those with a critical need to travel and transit borders. While every country has handled borders differently during this crisis, there are key lessons from different national/country experiences that can advise the pS in the future. Neither the complexities of migration nor the need to provide and receive international assistance for other crises stopped because of COVID-19 pandemic. These additional considerations are reflected in the Tool and resulted in the identification of supplementary assessment questions.

International attention to disaster and crisis preparedness and disaster risk reduction has grown in recent years. New risks, such as climate change have increased the number of natural disasters and crisis

situations and, have pushed States to make joint commitments. The Sendai Framework for Disaster Risk Reduction 2015-2030 (as follow-up to the Hyogo Framework for Action 2005-2015) guides global efforts to prevent new, and reduce existing disaster risks. The Framework recognizes the primary role of States to reduce disaster risk in recognition of a shared responsibility with other stakeholders and in parallel with other agreements, like the Paris Agreement on Climate Change and the UN Sustainable Development Goals. In 2016, the UN Secretary-General organized the first-ever World Humanitarian Summit. The event resulted in global momentum to reduce the humanitarian impact from disasters and conflicts and called for political leadership and cooperation to save lives, meet humanitarian needs and reduce risks and vulnerability. Increased preparedness for cross-border implications of crises supports OSCE participating States in meeting the above commitments.

Gender and Crises

The inclusion of a gender perspective in crisis preparedness and crisis response has increased since 2013. In times of crisis, whether natural or created by humans, gender has a powerful influence on experiences and outcomes for women and men. Existing inequalities are exacerbated, as crises have differential impacts, due to differing status and roles in society. This, in turn, limits access to resources and services. Regardless of the crisis, women and men have different needs, concerns and vulnerabilities. They also offer a wealth of talents and capacities to resolve the challenges they face.

Integrating a gender perspective into preparedness for cross-border responses to crises has significance for both the border agencies and the populations crossing the border. Handled with foresight such a perspective ensures respect for human rights, non-discrimination, and appropriate responsiveness to needs and concerns, while honoring the demands of national sovereignty and security.

A gender balance of experience and authority in any preparedness planning allows both women and men working in border agencies to contribute to the planning process from the perspective of their different lives and different experiences. An equally important component of planning is the training of all staff involved with displaced populations - gender-sensitive training that clarifies practices and re-enforces the recognition that the women, girls, men and boys within the population have different capacities and strengths as well as special needs and vulnerabilities. Consideration of 'gender' is neither an add-on nor an option. It is central to successful planning and preparedness, to the well-being of people crossing borders and to national security.

More recently, since the adoption of a gender mainstreaming policy by many countries and international institutions, gender as an analytical tool is an essential component of preparedness. OSCE participating States have also committed themselves to ensuring gender equality in the context of security and crisis management in the OSCE Ministerial Council Decision No.14/05 "Women in Conflict Prevention, Crisis Management and Post-conflict Rehabilitation".

BACKGROUND

The Organization for Security and Co-operation in Europe (OSCE)

The Organization for Security and Co-operation in Europe (OSCE) is a regional security organization under Chapter VIII of the United Nations Charter. It is the largest regional security organization in the world, with fifty-seven participating States, and spans the Euro-Atlantic and Eurasian security community, linking a diverse geographic space, a varied group of States and their societies, as well as different cultures, regions and national identities. The OSCE also has a number of Partners for Co-operation (PfC) in the Mediterranean and Asian regions. Since its beginnings in the 1970s, the OSCE adopted a broad and comprehensive approach to security in which the politico-military, the economic and environmental, and the human dimensions are seen as inter-linked and equally relevant.

The OSCE aims to enhance national preparedness levels and capacities of its participating States and Partners for Co-operation to maximize effective cross-border co-operation and responses to natural or human-made disasters and crises. At its 13th Ministerial Council in 2005, the OSCE participating States adopted the OSCE Border Security and Management Concept (MC 2/05). One of the contributions that the OSCE can make to assist its participating States to apply the Concept is the "facilitation of cross-border co-operation in the case of natural disasters or serious accidents in border zones".

The Border Security and Management Concept states that the OSCE should continue political and operational co-ordination with other international organizations and institutions in promoting open and secure borders. Therefore and in line with good practices, this project explicitly intends to build on existing materials and expertise to avoid duplication. The OSCE has a facilitating role, bringing together disparate yet complementary information, allowing States to have an overview of related resources and pointing them to the appropriate framework for further assistance.

Objective of the Self-Assessment Tool

This document contributes to overall response preparedness by promoting existing tools and directing national authorities to international and regional assistance frameworks. The tool compiles expertise from various organizations working on different aspects of crisis response, and offers participating States and Partners for Co-operation a comprehensive overview of relevant components when preparing for cross-border implications of crises. Using this tool will allow participating States and Partners for Co-operation to identify potential gaps or ambiguities that could benefit from contingency planning on a national, regional and international level, and from improved compliance with existing international frameworks.
The structure of the tool follows different cross-border movements and for each, lists a number of issues and aspects that should be considered in order to prepare appropriately. The document is designed to be used in advance of emergency situations.

Why undertake a Self-Assessment?

An affected State has the primary responsibility to respond to emergencies and to co-ordinate the assistance provided to the affected area. Should a crisis situation exceed national capacities, the affected State should

seek specific international and/or regional assistance to address the needs of the affected persons, and should co-ordinate, regulate and monitor disaster relief and recovery assistance provided by those actors invited to provide assistance on their territory.

A variety of tools, guidelines and documents already exist to support national capacity building in the field of response preparedness. Similarly a number of international and regional organizations assist States to prepare for crises. Thus the problem is not the substance of existing frameworks, but rather a lack of communication and awareness about them at the operational, policy and donor levels. Often, it is only during or after emergencies that these tools are discovered by national agencies or that the evaluation of a disaster response concludes that an enhanced implementation of international guidelines could have avoided unnecessary problems. National agencies would benefit from a consideration of the available materials in advance of crises, by including these in training and capacity building of border officials. Wherever possible, these standards should be harmonized into national laws and practices.

States are encouraged to undertake a self-assessment to evaluate their level of preparedness for crises with a special focus on cross-border implications. Greater preparedness at all levels can facilitate expedited and orderly responses, stabilization and reconstruction. It will also save lives. Conducting an internal review of national legislation and procedures will assist with the identification of potential gaps or ambiguities where preparedness can be strengthened and could also promote greater interagency understanding of and co-operation on crisis management issues. Another benefit of using this tool would be to identify specific assistance that could be requested from regional and international organizations of which countries are Members, if so desired.

Who is this Self-Assessment Tool for?

This self-assessment guide is intended for national agencies of the OSCE participating States and Partners for Co-operation, which would deal with cross-border movements following, or in anticipation of a crisis. Since these movements are of different types, they affect various governmental agencies, depending on national structures and specificities:

Emergency Management Officials or the agency/Ministry responsible for co-ordinating disaster response/crisis management efforts;

Borders Officials, Customs Officials, Border Guards/Police and Ministries of Foreign Affairs, Interior and Homeland Security/Affairs and associated legal advisors;

Ministries that address border issues, such as Health, Environment, Agriculture and Trade.

Selected terms and terminology (as used in this document)

"Affected State": The State upon whose territory persons or property are affected by a disaster. (IFRC)

"Assisting actor": Any assisting humanitarian organization, assisting State, foreign individual, foreign private company providing charitable relief or other foreign entity responding to a disaster on the territory of the affected State or sending in-kind or cash donations. (IFRC)

"Assisting humanitarian organization": A foreign, regional, intergovernmental or international non-profit entity whose mandate and activities are primarily focused on humanitarian relief, recovery or development. (IFRC)

"Assisting State": A State providing disaster relief or initial recovery assistance, whether through civil or military components. (IFRC)

"Crisis": An unexpected breakdown in a society following a natural or man-made disaster, an environmental emergency, a cross-border health emergency or a conflict situation.[2]

"Disaster": A serious disruption of the functioning of the society, causing widespread human, material, or environmental losses which exceed the ability of the affected society to cope using only its own resources. The term covers all disasters irrespective of their cause (i.e. both natural and manmade). (UN OCHA/WCO)

"Disaster relief": Goods and services provided to meet the immediate needs of disaster-affected communities. (IFRC)

"Early recovery": Early recovery is a multi-dimensional process of recovery that begins in a humanitarian setting. It is guided by development principles that seek to build on humanitarian programs and catalyze sustainable development opportunities. It aims to generate self-sustaining, nationally-owned, resilient processes for post-crisis recovery. It encompasses the restoration of basic services, livelihoods, shelter, governance, security and rule of law, environment and social dimensions, including the reintegration of displaced populations. (UNDP)

"Initial recovery assistance": Goods and services intended to restore or improve the pre-disaster living conditions of disaster-affected communities, including initiatives to increase resilience and reduce risk, provided for an initial period of time, as determined by the affected State, after the immediate needs of disaster-affected communities have been met. (IFRC)

"Eligible assisting humanitarian organization": An assisting humanitarian organization determined to be eligible to receive legal facilities by the originating, transit or affected State, as applicable. (IFRC)

"Emergency": A sudden and usually unforeseen event that calls for immediate measures to minimize its adverse consequences. (UN OCHA/WCO)

"Environmental emergency": A sudden-onset disaster or accident resulting from natural, technological or human-induced factors, or a combination of these, that cause or threaten to cause severe environmental damage as well as harm to human health and/or livelihoods. (UNEP/OCHA)

"Equipment": Physical items, other than goods, that are necessary for disaster relief or initial recovery assistance, such as vehicles and radios. (IFRC)

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2 This is a working definition for this document only. Different organizations may have other definitions.

"Goods": Supplies intended to be provided to disaster-affected communities for their relief or initial recovery. (IFRC)

"Hazardous activity": Any activity in which one or more hazardous substances are present or may be present in quantities at or in excess of the threshold quantities[3], and which is capable of causing transboundary effects. (UNECE)

"Industrial accident": An event resulting from an uncontrolled development in the course of any activity involving hazardous substances either: (i) in an installation, for example during manufacture, use, storage, handling, or disposal; or (ii) during transportation. (UNECE)

"Operator": Any natural or legal person, including public authorities, in charge of an activity, e.g. supervising, planning to carry out or carrying out an activity. (UNECE)
"Personnel": Staff and volunteers providing disaster relief or initial recovery assistance. (IFRC)

"Public health emergency of international concern": An extraordinary event which is determined: (i) to constitute a public health risk to other States through the international spread of disease and (ii) to potentially require a co-ordinated international response. (WHO)

"Possessions of disaster relief personnel": All equipment, provisions, supplies, personal effects and other goods brought for and/or by disaster relief personnel in order to perform their duties and to otherwise support them in living and working in the country of the disaster throughout the duration of their mission. (UN OCHA/WCO)

"Relief consignment": Goods, such as vehicles and other means of transport, foodstuffs, medicines, clothing, blankets, tents, pre-fabricated houses, water purifying and water storage items, or other goods of prime necessity, forwarded as aid to those affected by disaster. (UN OCHA/WCO)

"Services": Activities (such as rescue and medical care) undertaken by disaster relief and initial recovery personnel to assist disaster-affected communities. (IFRC)

"Transboundary effects": Serious effects within the jurisdiction of a Party as a result of an industrial accident occurring within the jurisdiction of another Party. (UNECE) For this document, transboundary effects can also refer to effects that cross from one national jurisdiction to another as a result of a natural disaster or other type of crisis.

"Transit State": The State through whose territorial jurisdiction disaster relief or initial recovery assistance has received permission to pass on its way to or from the affected State in connection with disaster relief or initial recovery assistance. (IFRC)

"Vital civil transport": Transport, including transit, of relief personnel and material from the sending Party to the requesting Party by water, land or air, which is necessary to meet the vital requirements of the affected population in order to cope with the consequences of a disaster. (NATO)

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3 The threshold quantities can be found in annex I to the UNECE Convention on the Transboundary Effects of Industrial Accidents

HOW TO CARRY OUT A SELF-ASSESSMENT

A self-assessment should lead to better response preparedness, and the conduct of this exercise contributes to that aim. When the following methodology, divided into five consecutive steps, is used, preparedness would already be strengthened in each phase.

INITIATION / CO-ORDINATION

INTERAGENCY CO-ORDINATION

IDENTIFY GAPS

COMMUNICATE

DEBRIEFING / UPDATE

STEP 1: Initiation/co-ordination

The national agency or ministry that should ideally initiate the conduct of this self-assessment would be the one responsible for disaster/crisis management, depending on the specific organizational structure of a government. Prior to the onset of an emergency, the roles and responsibilities of all relevant ministries and agencies supporting disaster/crisis management and response should be clearly defined and its mechanisms outlined in national laws and procedures.

The leading agency/ministry is expected to co-ordinate with other national structures during a response to a crisis. If this agency also takes a guiding role in response preparedness it may facilitate a more effective and efficient response. In particular, the assessment questions in the first chapter of this guide would be of relevance for general preparedness efforts and strengthening national capacities. The subsequent chapters address specific cross-border topics. An interagency self-assessment would provide an overview of existing national capacities and also highlight requirements where further development and/or assistance might be needed.

Given the collaborative nature of the development of this tool, the sources of information as indicated throughout the document and the identification of the key regional and international organizations that specialize in certain areas, the agencies/ministries leading national efforts in disaster/crisis management will be able to target their efforts and any requests for assistance in a timely and an effective manner.

STEP 2: Interagency co-ordination

The seeds of good interagency co-ordination need to be planted in the preparedness phase. Therefore, the self-assessment requires that all relevant border-related agencies would jointly conduct the assessment. In some countries, it may be the first time that a meeting of this kind would be held in advance of a crisis. It is an opportunity not only for the national lead for disaster/crisis management to establish contact with border-related agencies, but also to promote contact between Customs and Immigration officials, Border Guards/Police and officials of Ministries of Health, Agriculture, Foreign Affairs, Trade, Interior, Environment, Civil Protection and others. Regional and local authorities or civil society could equally be included to promote an even better preparedness effort.

Co-operation between different agencies is the only way for the self-assessment to result in complete and coherent findings. In addition, this working method alone is an awareness exercise. Officials from various backgrounds would be able to learn how colleagues from different agencies/ministries operate, the challenges they face and how they could contribute to a response or recovery effort following a disaster/crisis. Overall national preparedness would be enhanced through networking and sharing of information. The concept of routine interagency meetings to foster co-operation was promoted by Sweden and its practice of weekly co-ordination meetings during COVID-19 pandemic. The relationships that developed through the regular dialogue between the interagency counterparts contributed to a whole of government response to the pandemic. To take the effort one step further transboundary co-ordination could also be pursued, if deemed helpful.

STEP 3: Identify outstanding gaps in preparedness

It is anticipated that the answers to the questions in the tool will initiate discussion between national agencies and ministries, encouraging an exchange of capabilities, experiences and requirements between them. The questions are drafted in such a way that with a positive answer, the issues would not necessarily be further explored. However, should the answer to any of the questions be negative, it can be assumed that there is a need for improvement and that future adjustments are necessary. The tool is not designed to give an overall score to States on their preparedness for cross-border implications, but it will indicate the gaps in national legislation, procedures and practices and what organizational specialization in each specific area that could provide expertise if States desire.

The first chapter on general response preparedness is a snapshot of a comprehensive preparation check in all sectors of disaster response. The list serves as an indicator of basic preparation levels that exist within a nation. It also raises awareness of the variety of issues to be taken into account to achieve preparedness at an acceptable level. Other chapters focus on several cross-border implications/situations in more detail. The variety of situations covered allows a national service to test different scenarios and conduct risk and vulnerability assessments to determine the probability of a certain type of crisis and its potential impact. Related issues to the topics that are of a more general nature, but that are not linked to cross-border co-operation are excluded. However, a list of sources is added to help users easily find more information on a particular question. It is important to note that where there is no reference to existing materials, the questions originated out of the project development, revision and update.

STEP 4: Communicate with relevant international and regional frameworks

After conducting the assessment, interested States are invited to explore the reference tools further or to contact international or regional organizations for more in-depth assessments and information. The activities and publications of some expert organizations on the different topics are summarized at the end of this document for States to have an overview of assistance that could be provided. The organization may be contacted directly for further information or to discuss possible co-operation, for example the drafting of a specific action plan for a border-related sector in a region, assistance with relevant legislation or advice on how to implement national and international guidelines.

There is no obligation to report back in any international or other forum after the self-assessment. However, States are strongly recommended to do so, for example in the OSCE Security Committee, in order to foster cross-border co-operation and to continue the undertaking of strengthening national and international preparedness for crises. Should the assessment identify the need for more transboundary co-operation, States are advised to contact their neighbours directly for follow-up actions. It was through the comments of several participating States that the OSCE determined the need to revisit this tool and update the questions that are contained as part of the self-assessment given the unique challenges that all nations have faced in light of the COVID-19 pandemic and prolonged migration issues.

STEP 5: Interagency follow-up

Following the conduct of the self-assessment tool and completion of activities undertaken in some of the areas that were identified and required efforts to increase capabilities, it would be beneficial to meet again in the interagency setting used for the self-assessment to continue the momentum of joining efforts to exchange information and provide new staff with networking possibilities. Shared learning processes and joint simulation events could be organized to allow even better response preparedness. Regional meetings, or the self-assessment of preparedness levels at the regional or local level, could also be considered, particularly if nations have mutual aid agreements and rely on neighbouring countries to support crisis responses. The tool may be utilized in the future to document improvements made to previously identified gaps and to determine outstanding areas of national processes and practices that require further attention. Several participating States have noted the value of regular interagency meetings that have assisted over time with dealing with the new challenges that nations had experienced in recent years. Some indicated that the more developed relationships between interagency personnel have been critical in bringing national services together and fostering creative responses to unprecedented issues.

The OSCE Presence in Albania donating personal protective equipment against COVID-19 to Border and Migration Police of Albania/Tirana, May 2020.
(Oltion Milo/Albanian State Police)

CHAPTER 1

GENERAL DISASTER PREPAREDNESS AT NATIONAL LEVEL

CHAPTER 1

GENERAL DISASTER PREPAREDNESS AT NATIONAL LEVEL

Primary authorities involved:
Structures responsible for national disaster management with assistance of border-related agencies

According to the United Nations General Assembly Resolution 46/182, the responsibility to take care of the victims of emergencies occurring on its territory falls first and foremost to each State. The State should do so by initiating, organizing, co-ordinating and implementing humanitarian assistance. The State can take a number of preparedness measures in this respect.

The same resolution underlines that humanitarian assistance should be provided with the consent of, and in principle, on the basis of an appeal by the affected country, and that the sovereignty, territorial integrity and national unity of States must be fully respected in accordance with the Charter of the United Nations. UN General Assembly Resolution 46/182 also calls upon the States, whose populations are in need of humanitarian assistance, to facilitate the work of intergovernmental and non-governmental organizations in implementing this assistance. In order to speed up the request for international assistance, a number of procedures and structures could be established well before an emergency breaks out.

Overall Assessment	Yes	No
1) Has an assessment of hazards and vulnerabilities at the borders been conducted? (15)		
2) Are contingency plans based on inclusive and multi-hazard risk mapping, risk assessments and gender and vulnerability analysis? (8)		

Legal Framework	Yes	No
1) Does the country have a disaster risk management/emergency management/civil protection law? (8)		
2) Does the national legal framework for disaster management outline a clear division of roles and responsibilities of the various levels of government? (15) a) Does this legal framework include mechanisms to ensure intra-governmental co-operation during disasters and crises? (15) b) Does this legal framework include a holistic understanding of preparedness including recovery? (15)		

	Yes	No
3) Are criteria established for declaring an emergency? (13)		
4) Are criteria established for issuing early warnings of imminent disasters to the population, including in local languages? a) Does this include plans for alternative ways of communication, in case the usual communication channels are disrupted? b) Does this include procedures to alert neighboring countries and for issuing of early warning messages to the population living in border areas?		
5) Are procedures and mechanisms in place to facilitate the sharing of information on disaster risk management with neighboring countries and to promote the comparability of such information, in particular where participating States face similar risks or cross-border risks? (4)		
6) Does the law or policy specify a procedure to report to other governments/regional organizations/United Nations about disasters and/or crises, including emerging hazards, that could lead to disasters and/or crises in the country itself and/or spillover into a neighbouring country? (10)		
7) Does a central overview of existing bilateral, multilateral and international agreements that are relevant to emergency management exist at the governmental level? (3) a) Does this overview reference the process by which the country can both request and offer assistance in accordance with the different agreements? b) Does this include an overview of possible cost, key resources and expertise implications as a result of each agreement?		
8) Are the roles of the United Nations Resident Coordinator, National Red Cross/Red Crescent Society, and local or civil society actors in disaster response outlined in the law? (8)		
9) Do the country's laws and regulations provide adequate transparency, safeguards and accountability mechanisms governing international disaster relief and initial recovery assistance? (8)		
10) Do the country's laws and regulations provide for necessary legal facilities to be provided to international assisting actors? (8)		
11) Is a legal framework in place covering liability, security, and safety aspects of providing international assistance (e.g. rules for compensation of damage caused by assisting teams either to property of or and /or service staff of affected State or to the third party)? (2)		
12) Does the law contain a recognition of the rights and specific needs of vulnerable groups during disasters? (1)		

Legal Framework	Yes	No
13) Does the law and/or policy mandate that assessment and planning processes include the participation and/or consideration of vulnerable groups? (8)		
14) Is disaster risk reduction appropriately integrated into national policies, planning and programming? (7)		

National Co-ordination	Yes	No
1) Is a specific and publicized governmental focal point identified for preparation and management of disasters and crises? (15)		
2) Is a national platform/co-ordination mechanism established for preparation and management of disasters and crises that includes border-related agencies, such as customs, immigration and health/medical officials? (15) a) Does this include the preparation of an up-to-date contact list of government counterparts (technical and political) at the national and local level? (14)		
3) Are focal points on protection and human rights in disaster response assigned? (6) a) Do these focal points include both female and male staff members?		
4) Does national legislation foresee a specific budget for disaster preparedness and response activities?		
5) Are emergency funds available and are procedures in place for quick allocation? (15)		
6) Does a functioning regional emergency operations centre exist to co-ordinate emergency relief with neighbouring States when appropriate, both for incoming and outgoing assistance? (15) a) In the absence of a regional emergency operations centre, does the population distribution size and geography of the country call for additional national operations centres to maintain operations during times of a crisis that would impact the emergency operations centre in the capital?		
7) Are regular trainings and exercises planned and conducted jointly with border agencies of neighbouring countries to practice the response for cross-border implications of crises? a) Are meetings and exercises conducted with the national services of neighbouring countries to exchange knowledge and practices concerning a multi-hazard risk identification of the specific border areas? b) Can a balanced representation of both male and female participants in all training, both theory and practice, be ensured?		

	Yes	No
8) Is a knowledge management system in place to record lessons learned of cross-border implications of crises and to transfer knowledge to new and incoming staff?		
9) Do border guards have the opportunity to participate in human rights tranning? (5)		
a) Are both female and male border guards required to participate in these trainings?		
b) Given the sensitivities and the potential psychological impact on victims, can both male and female border guards be identified to participate in specialized trainings on appropriate interviewing practices as preparation to interview 'alleged' human-trafficking victims and other victims of Sexual and Gender-Based Violence (SGBV)?		

Request for International Assistance	*Yes*	*No*
1) Are criteria established for authorizing, requesting and accepting international assistance? (15)		
2) Does the country's laws and regulations outline a process for requesting/ welcoming offers of international disaster assistance, and for terminating international assistance? (8)		
3) Are criteria established for justifying the rejection of international assistance?		
a) For example, are there limitations on sources of origin of foodstuffs or medicines, and are these limitations clearly outlined?		
4) Has a Ministry/Agency been assigned and authorized to request international assistance? (10)		
a) Are procedures in place to ensure coordination and exchange of information about specific needs and requirements between the entity responsible for requesting international assistance and the national disaster management agency or civil protection? (12)		
5) Does the law or a plan or policy establish a timeframe for making this request? (15)		
6) Is there any requirement that has to be met before making an official request, such as a declaration of a state of emergency? (10)		
7) Are there specific provisions for requesting assistance from the humanitarian community, non-state actors and appropriate regional, sub-regional or local organizations? (10)		

Request for International Assistance	Yes	No
8) Are there prior conditions to be met in order for the government to authorize the acceptance of foreign offers? (10) a) Is the intent to request military assistance, or is the type of assistance identified, which it is acceptable to receive from military sources? (14)		
9) What rules exist about the type of information international assistance must provide regarding personnel, equipment and relief donations that will enter the country? (10) a) Are the procedures clearly stipulated and the information easily accessible to governmental and non-state actors wishing to provide assistance? (8)		
10) Are standardized forms for requesting and offering international assistance in place? a) Are they easily available to assisting States? (2) b) Do the forms have specifications listed, for example on the type of equipment used for compatibility purposes or for medicines, which ones are regulated in the affected country? c) Are there existing forms from regional or international organizations that could be used?		

Co-ordination of international humanitarian assistance	Yes	No
1) Is there a comprehensive plan for the management of international assistance in the event that such a request is made? a) If so, does the plan identify which governmental agencies are responsible for what aspects of receiving international assistance and how international assistance will be incorporated into the national disaster response effort? (12) b) Are preparation procedures and structures inclusive, recognizing the need for participation and representation at all levels of decision-making of both men and women? (16)		
2) Is a government focal point clearly identified to co-ordinate with assisting States and intergovernmental organizations that have indicated an ability to provide relief assistance? (15) a) Is this government focal point able to request any other relevant governmental body to undertake actions or make available assets or premises required to facilitate the work of international actors that are providing relief assistance? (11) b) Is this government focal point familiar with humanitarian co-ordination systems, such as the humanitarian cluster approach? (14) c) Do the critical focal point positions include both female and male representatives?		

	Yes	No
3) Is there a process outlined in domestic laws that describes how information about the international assistance being provided would be shared between local, regional, global and civil society actors? (10) *a) Are the procedures clearly stipulated and the information easily accessible to foreign actors?*		
4) Are there pre-established agreements that outline mechanisms to share information with international assistance organizations to facilitate the response?		
5) Is there a centralized/single registration system? Does the system avoid the requirement for foreign humanitarian organizations that are providing assistance to register with several agencies (such as local, provincial, national agencies, Ministry of Health, Ministry of Labor, etc.)? (10)		
6) Are there domestic institutions specifically aimed to ensure the security of the assistance staff, facilities, transportation, equipment and supplies? (10)		
7) Is there a sufficient number of staff pre-identified and pre-trained to liaise with incoming assisting teams? (2)		
8) Are arrangements in place to ensure customs officials have access to the list of requested assistance goods in order to be able to give priority treatment to the required assistance at the border Points of Entry?		

Eligibility of assisting organizations	**Yes**	**No**
1) Are criteria established for assisting humanitarian organizations seeking eligibility for legal facilities for entry and operations with respect to disaster relief or initial recovery assistance? (9) *a) Do country's laws and regulations set out quality standards for international assisting actors? (8)*		
2) Is it possible to determine the eligibility of assisting organizations in advance of a disaster or crisis, or as soon as possible after its onset? (9)		
3) Are the applicable procedures and mechanisms as simple and expeditious as possible; are they clearly described and is information about them freely available? (9)		
4) Has the use of a national roster, bilateral agreements or reliance upon international or regional systems of accreditation been considered? (10)		
5) Is a specified period from the date of issue defined for which this special recognition of assisting humanitarian organizations remains valid? (17) *a) Is there a process for submitting a new request and has a government focal point been established for this purpose?*		

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Transition from relief to recovery	Yes	No
1) Are criteria established for declaring the end of an emergency?		
2) Is a clear government focal point identified who is responsible for providing appropriate notification to terminate international assistance? (10)		
3) Does national law or policy provide for a period of notification to international actors prior to termination of the legal facilities connected to the disaster/crisis? (9)		
4) Are mechanisms in place to arrange for the handover of equipment and supplies from international to domestic actors that will not exit the country? a) Are there processes in place to facilitate the departure across borders of foreign assistance providers and their equipment and goods, accounting for any equipment, expendables and goods left behind?		
5) Are procedures in place for forecasting the impact that termination would have on beneficiaries? (10)		
6) Are procedures in place and are resources allocated to conduct after-action reviews of cross-border implications of crises?		

Sources
(1)   UN Convention on the Rights of the Child.
(2)   EU Civil Protection Mechanism – DG ECHO
(3)   EC ECHO – EU Host nation support (HNS) guidelines
(4)   European Union – Decision 2019/420 of the European Parliament and of the Council of 13 March 2019 amending Decision No 1313/2013/EU on a Union Civil Protection Mechanism
(5)   FRONTEX – Fundamental Rights Training for Border Guards
(6)   IASC - Checklist for RCs and HCs on Emergency Preparedness and Response
(7)   IASC - Handbook for RCs and HCs on emergency preparedness and response
(8)   IFRC – The Checklist on the Facilitation and Regulation of International Disaster Relief and Initial Recovery Assistance (The ´IDRL´ Checklist)
(9)   IFRC - Guidelines for the domestic facilitation and regulation of international disaster relief and initial recovery assistance
(10) IFRC - Questionnaire - Regional compendium of regulatory instruments for the management of international humanitarian assistance in emergencies
(11) IFRC/OCHA/Inter-Parliamentary Union - Model act for the facilitation and regulation of international disaster assistance
(12) NATO - Checklist and non-binding guidelines for the request, reception and provision of international disaster assistance in the event of a CBRN incident   or natural disasters
(13) UN OCHA - Disaster response preparedness toolkit
(14) UN OCHA - Minimum preparedness package
(15) UN OCHA - Strategic partnership for preparedness
(16) UN Security Council Resolution 1325 – Women, Peace and Security
(17) WCO - SAFE Framework of standards in further facilitating the process of clearing relief consignments

24th Border Management Staff Course for Women
Leaders – Trip to Tajik and Uzbek border,
June 2019.
(Parisa Sheralieva/OSCE/BMSC)

CHAPTER 2

PREPAREDNESS FOR CROSS-BORDER IMPLICATIONS OF CRISES FOR AFFECTED COUNTRIES
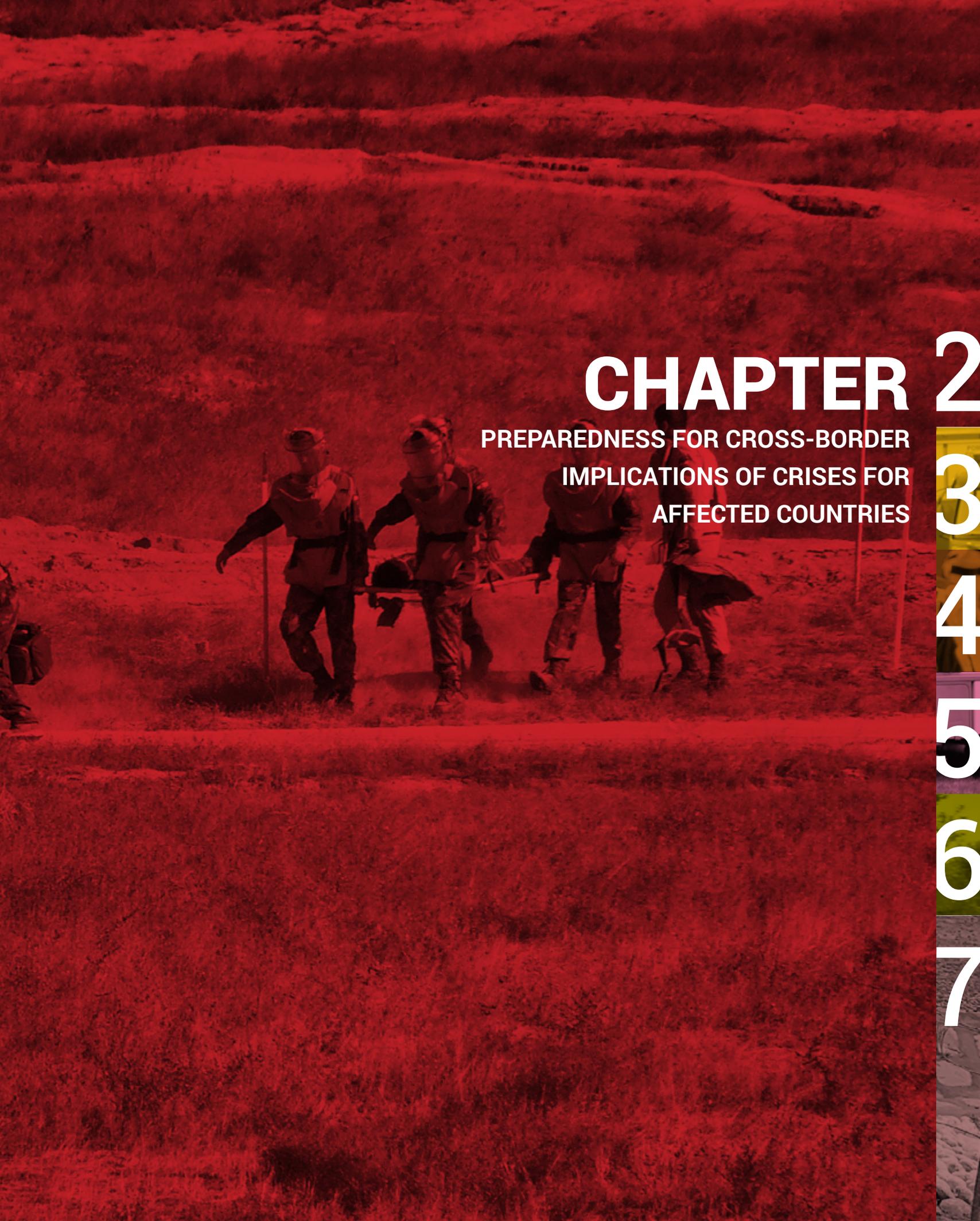
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CHAPTER 2

PREPAREDNESS FOR CROSS-BORDER IMPLICATIONS OF CRISES FOR AFFECTED COUNTRIES

A request for international assistance will usually lead to offers of humanitarian support from a variety of actors: States, international and regional organizations, non-governmental organizations and private actors. In order to expedite the processing and delivery of incoming relief assistance (both goods and personnel) in the emergency and initial recovery phase , a State can consider granting legal facilities to assisting States and eligible assisting humanitarian organizations.

2.1 Population Movements

Primary authorities involved:
Disaster Management Agencies and Civil Protection

States have the primary responsibility to provide protection and assistance to their citizens and habitual residents. In the context of natural disasters, this duty requires States to prepare for foreseeable disasters and to do what is possible to prevent threats to the lives and property of their people, including preventing displacement. Disaster risk reduction activities, contingency planning exercises, infrastructure improvements, relocation of people at risk of displacement to safer areas, land reform, and other measures to improve resiliency are potential actions to prevent displacement.

However, in the event of a natural disaster that overwhelms a State's capacity to protect its citizens and habitual residents, State responsibility could also mean that States have a duty to try to secure legal means for their citizens and habitual residents to seek protection and assistance in another country. Most externally displaced populations seek cross-border shelter only until conditions are favourable for a safe resumption of life at home. The reception of refugees is an exception and their long-term protection requirements can be a challenge for the host nation and responsible international agencies. Furthermore, State responsibility may also require the government to mobilize relevant regional and international organizations, arrangements and resources. More detailed questions regarding durable solutions for displaced persons are included below in section 3.5.1.

Overall preparedness to respond to temporary displacements resulting from natural disasters	*Yes*	*No*
1) Have the appropriate authorities undertaken an assessment to determine which populations are at risk of displacement by natural hazards and to identify individuals that may need special assistance to move?		
2) Have the appropriate authorities consulted with potential receiving States to discuss contingency planning in the event of cross-border displacement? a) Does the contingency plan include an outline of the rights and responsibilities of the displaced while in the host country? b) Does the contingency plan include an inter-governmental mechanism for finding durable solutions for the displacement, such as determining when the displaced may return and clarifying logistical arrangements for facilitating an informed, voluntary and safe return?		

	Yes	No
c) Does the contingency plan address potential bilateral/regional financing mechanisms/procedures to assist a receiving State with the reception and assistance of displaced persons?		
d) Are procedures in place for information to be provided to the host nation regarding any public health issues (infectious diseases, viruses, etc.) that are known to be prevalent among the displaced persons, particularly if the scale and severity of the health situation has implications for health and/or security of the receiving nation?		
3) Within the host country, is a system in place to facilitate the return of the displaced citizens, including accepting identity documents that may have been issued abroad in the absence of national documentation?		
4) Are appropriate measures in place in the affected country to protect the land and property of the displaced population,, to the extent possible, against looting, destruction, arbitrary or illegal appropriation, occupation or use during the period of displacement?		
5) Have the appropriate authorities of the affected country consulted communities at risk of displacement to inform them about the possibility to seek protection in another country when national capacity is overwhelmed or to preserve their life, physical integrity or health?		
a) Have at-risk communities been informed about their rights and responsibilities during the displacement, as well as when and under what conditions they could expect to return home after the disaster?		
6) Does your country have a dedicated center that will analyze news and social media and predict number of displaced persons as well as estimated times of arrival at the country's border?		
7) Is there a system in place to support on short notice and augment border crossing facilities to cope with a high influx of persons – some without proper documentation – and allow a high volume of data input through temporary terminals to ensure a timely but controlled border crossing away from a possibly dangerous situation?		
a) Are mechanisms in place to facilitate communication and information dissemination that allows for possible co-operation with neighboring/affected countries?		
b) Is there a way to move border crossing facilities to a temporary, but safer location?		
c) Is there a possibility to deploy border officials to the territory of a neighbouring country (mutual agreement) and allow pre-check and clearance?		
d) Can regular transportation routes be secured and remain available for security, assistance and essential goods?		
e) Can temporary emergency facilities be provided to compensate for possible delays in border crossings due to high volume?		
f) Is there a mechanism to track arrivals at and transit/ departures from a temporary shelter/ camp for displaced persons?		

Source

IASC – Operational guidelines on the protection of persons in situations of natural disasters

2.2 Incoming Relief Goods

Primary authorities involved:
Structures responsible for Customs, Health and Transport

Customs authorities could be faced with logistical and legal challenges of how to manage incoming relief goods in a time where their own capacities may be affected, especially in natural disaster situations. Although the delivery of relief consignments is limited in time, usually as long as the emergency and/or recovery phase is valid, the time pressure to deliver humanitarian goods to beneficiaries as quickly as possible implies a substantial burden for customs authorities that can be partly overcome by considering a number of preparedness measures.

Overall Preparedness	*Yes*	*No*
1) Do customs administrations participate/contribute in national governments´ overall planning and preparation for disasters as necessary and appropriate? (14)		
2) Is there a clear legal framework and are effective customs clearance procedures pre-established in order to manage the movements of priority goods and the co-ordination of international humanitarian assistance? (12) (13) a) If the pre-established legal framework anticipates assistance from the United Nations, has an agreement been signed between the United Nations and the relevant government authorities? (6)		
3) Are these legal and customs clearance procedures (mentioned in question 2) incorporated into national legislation and/or regulations and, wherever possible, in the national emergency plan? (14) a) If yes, do they refer to or comply with any WCO instruments and tools? b) If yes, which of the following: Revised Kyoto Convention Annex J, chapter 5 of June 1999; Istanbul Convention Annex B.9 of June 1990; SAFE Framework of Standards?		
4) Is training conducted on the procedures introduced for the customs processing of emergency humanitarian assistance and their capacity to operate under those procedures in the event of a disaster? (14)		
5) Do simulation exercises take place to test the level of preparedness and capacity of customs authorities to manage emergency situations and possibly to verify the validity of national emergency plans? (14)		

6) Is a training plan developed and implemented to ensure that customs staff is qualified and competent to manage emergencies involving cross-border movement of goods? (14)		
7) Are customs clearance procedures for humanitarian assistance, including a list of operational border entry and exit points, available to the public, using tools such as national websites and /or the directory managed by the United Nations Office for the Coordination of Humanitarian Affairs? (14)		
8) Have procedures for receiving international urban search and rescue teams been developed, trained and maintained? (9)		
9) Is there an overview of national laws and constraints relevant to the entry of international relief goods and equipment that can be communicated to other States in the event of an international request for assistance in order to facilitate the nature and quality of assistance provided? (5)		
10) Have potential bottlenecks at border crossings been identified and possible solutions proposed? (8). a) If yes, have the possible solutions been discussed/agreed with the neighbouring country?		
11) Have bilateral, mutual administrative assistance arrangements between customs administrations been established, reviewed and, where necessary, updated in order to manage entries and exits during emergencies? (14)		
12) If other ministries are involved in the procedures for receiving relief goods, for example telecommunications, transport, health and police services, is a co-ordination structure established? (5) a) Have the respective responsibilities been defined for each entity involved?		
13) Are specific procedures in place to guard against diversion, misappropriation or fraud concerning foreign disaster relief and early recovery goods/funds? (2)		

Export of Relief Goods	**Yes**	**No**
1) Are any export duty and tax waivers granted with respect to goods contained in relief consignments destined to affected countries? (11)		
2) Are any simplified declaration procedures implemented with respect to goods contained in relief consignments destined to affected countries? (11)		

Import and Temporary Admission of Relief Goods	Yes	No
1) Have arrangements been made and procedures set in place to allow for duty/tax free importation of: a) Relief consignments imported by assisting States and eligible assisting humanitarian organizations for distribution free of charge by them or under their control to victims of disaster in the affected territory, in particular where such consignments consist of foodstuffs including infant formula and other foods, medication, hygiene articles for women, infants and elders including sanitary pads, tampons and diapers, clothing for newborns and pregnant/lactating women3, blankets, tents, pre-fabricated houses or other goods of prime necessity (13); b) Possessions of disaster relief personnel delivering humanitarian assistance? (7)		
2) Can temporary admission be facilitated, with conditional relief from import duties and taxes of any equipment required by assisting States and eligible assisting humanitarian organizations, that will be used by them or under their control in actions undertaken to alleviate the effects of a disaster/crisis; and whenever possible accept a commitment by an assisting State or humanitarian organization to re-export such equipment? (12) This equipment covers inter alia: a) transmission and communication equipment; b) water purifying and water storage items; c) all equipment, machinery, tools, electronic devices and substances (such as medications) required by technical specialists, such as doctors, engineers, communications technicians, logisticians, community workers, etc. to perform their duties; d) equipment not directly involved in relief operations but used to fight and eliminate the consequences of natural and similar disasters, for example: elimination of pollution of all types, decontamination of buildings and territories, inspection of industrial structures, etc.; e) administrative support items such as office equipment, for example: computers, photocopiers/printers, expendable supplies, staff security items and administrative manuals and documents; f) tents, pre-fabricated and mobile staff accommodation units and associated materials including cooking and dining equipment and supplies, sanitation requirements and compound safety/security items; g) possessions of disaster relief personnel; h means of transport and spare parts and equipment for their repair; and i) animals for rescue operations, for example: specially trained dogs. (7)		

	Yes	No
3) Are arrangements in place that provide for entry and use of telecommunications equipment without restriction, except as required for purposes of national security or public order? (4) a) Can the granting of any applicable licenses be waived or expedited and any other barriers be reduced or eliminated concerning the use, import or export of telecommunications and information technology equipment by initial recovery assistance providers? (3) b) Without discrimination against or negative impact to domestic relief actors, is it possible to grant (or where, appropriate, encourage other domestic actors to grant) assisting States and eligible assisting humanitarian organizations priority access to bandwidth, frequencies and satellite use for telecommunications and data transfer associated with disaster relief operations? (3)		

4) Are arrangements considered and prepared for entry and use restrictions for medications and medical equipment, possibly on condition of the following requirements:
 	
a) Appropriate to the needs of both male and female members of the disaster-affected persons.
 	
b) Legal for use in the country of origin according to its laws as in the disaster-affected country according to the appropriate law on pharmaceuticals. (Has the leading authority that can request international assistance provided guidance to arriving responders on legal medications?)
 	
c) Medications intended for use directly by assisting humanitarian organizations in providing medical services are transported and maintained in appropriate conditions at all times to ensure their quality, and guarded against misappropriation and abuse.
 	
d) Medications intended for donation for the use of others that are:
 	
    i) At least twelve months from their expiry date upon arrival, unless otherwise specifically agreed by the relevant health authority
 	
    ii) Transported and maintained in appropriate conditions at all times to ensure their quality until they reach their intended domestic recipients; and
 	
    iii) Appropriately labelled in a language understood in the affected State with the international non-proprietary name or generic name, batch number, dosage form, strength, name of manufacturer, quantity in the container, storage conditions and expiry date. (4)		

5) Can legal and administrative barriers be reduced on the import of medications and medical equipment by assisting States and eligible assisting humanitarian organizations or on their behalf in disaster relief and initial recovery assistance, to the extent consistent with public safety and international law? (3) a) Are there any national regulations relating to donations of health and medical items? (17) b) If yes, have these regulations been communicated to the Ministry/Agency responsible for disaster response and the receipt of international assistance?		

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Import and Temporary Admission of Relief Goods	Yes	No	
6) Is consideration given to the modification or reduction of normal requirements regarding fumigation and prohibitions and restrictions on food imports by assisting States and eligible assisting humanitarian organizations in disaster relief operations? (3)			
7) Are specific regulations in place to clarify the conditions and requirements regarding search dogs imported by assisting States and eligible assisting humanitarian organizations that remove the need to quarantine? (4)			
8) Can vehicles imported by assisting States and eligible assisting humanitarian organizations be granted temporary recognition of foreign registration and plates, pending the provision of local registration and plates? (4)			
9) In case of an environmental emergency, are arrangements made to facilitate the arrival of specific environmental assessment equipment? (10)			
10) Can the transport, entry, processing and disposal of biological substances and diagnostic specimens, reagents and other diagnostic materials for verification and public health response purposes be facilitated? (16)			
11) If applicable, has a prohibited relief goods list been established? a) Can this be communicated to assisting States and eligible assisting humanitarian organizations at the time of request for international assistance? (6) b) Do customs officials have a copy of this list?			

Clearance Procedures	Yes	No	
1) In order to facilitate immediate release are operators and importers allowed to submit manifest and entry details to customs prior to arrival of the relief consignments? (13) a) Has a customs point of contact with operating times been designated and is there a plan to communicate this information with assisting States and humanitarian organizations?			
2) Can customs control be restricted to the absolute minimum necessary to ensure compliance with the laws and regulations which customs are responsible for enforcing? (13)			

Clearance Procedures	Yes	No
3) Can the documents that must accompany any humanitarian consignment be reduced to the minimum and can a list of required customs clearance documents be communicated to assisting States and eligible assisting humanitarian organizations prior to the units and their relief supplies departing from their home base? (13)		
4) Are arrangements made that permit the maximum number of relief consignments to be released promptly after arrival upon presentation of a provisional entry document or a legally acceptable electronic equivalent, subject to complete fulfilment of customs and other requirements within a specified time limit? (13)		
5) Do your procedures allow for the submission of a simplified goods declaration or of a provisional or incomplete goods declaration subject to completion within a specified period possible? Do your procedures allow for electronic submission of the goods declaration and any supporting documents relating to consignments of goods and equipment sent by or on behalf of assisting actors and without a fee? (13)		
6) Can any requirements for the translation of details in documents relating to consignments of goods and equipment sent by or on behalf assisting States and eligible assisting humanitarian organizations be waived unless it is absolutely necessary for the purposes of release or clearance? (4)		
7) Have possible language barriers been taken into consideration and have assisting States and eligible assisting humanitarian organizations been informed about the languages that can be used? (5)		
8) Can the clearance of relief consignments be granted without regard to the country of origin, the country from which the consignments arrived or the country of destination, subject to monitoring for reasons of public health and security? (4)		
9) Are customs agencies prepared with the required equipment to manage incoming relief assistance, or can these be provided in case of need? (8)		
10) Are customs authorities in a position to waive, as feasible, any customs security that would normally be required with respect to consignments of goods and equipment imported by or on behalf of assisting States and eligible assisting humanitarian organizations? (4)		
11) Are warehouses in place at border checkpoints, including airports, to temporarily store sensitive relief goods awaiting custom clearance?		

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Inspection Procedures	Yes	No
1) Is it foreseen to conduct a risk analysis as the basis to determine what actions are essential to ensure compliance with customs and related laws for the purpose of checking the goods declaration of a consignment sent by or on behalf of assisting States and eligible assisting humanitarian organizations, and to determine which consignments of goods and equipment imported by or on behalf of assisting actors shall be inspected and the extent of that inspection? (4)		
2) Can physical examination of cargo be accomplished, when required, on a sampling or selective basis, and can such examination be carried out as rapidly as possible? (13)		
3) If relief goods must be inspected by multiple authorities and customs facilitates the examination schedule, is customs in a position to ensure that the inspections are co-ordinated and, if possible, carried out at the same time? (4)		
4) Has mutual recognition of customs controls with neighbouring/transit countries been considered that requires customs to agree on common control and management standards, the sharing of intelligence and the routine exchange of customs data? (15)		

Priority Treatment	Yes	No
1) Are arrangements made so that the rapid importation of consignments of goods and equipment by assisting States and eligible assisting humanitarian organizations is facilitated and priority treatment is accorded? (13)		
2) Can offices and services essential to the timely delivery of international disaster relief function outside of normal business hours? (13)		
3) Are suitable arrangements authorized and in place for relief consignments, including those in containers and on pallets and the possessions of disaster relief personnel to be examined and/or released outside of normal working hours and regular border crossing points?		
4) In addition, are arrangements in place to waive any charges for the assisting entities for customs attendance? (7)		
5) Are procedures in place to co-ordinate, when appropriate, with other relevant departments/ministries involved in the approval of incoming consignments (business hours and competencies) and, whenever possible carry out joint operations, such as joint customs controls? (4)		

	Yes	No
6) Would it be possible to make a distinction (through simplified/accelerated procedures) for those organizations that operate appropriately? This refers those having sufficient capacity and operating practices in accordance with humanitarian principles and established quality standards? (15)		
7) Without undue delay, can permission be granted and ideally, applicable fees be waived for the speedy passage of land, marine and air vehicles operated by an assisting State or eligible assisting humanitarian organizations or on their behalf, for the purpose of transporting disaster relief or initial recovery assistance? (3)		
8) Are arrangements in place to give vital civil transport of assisting countries all the necessary logistics and administrative facilities and grant the same priority for vital civil transport as for national civil transport? (5)		

Transport and Logistics	*Yes*	*No*
1) Are border related agencies aware that, in accordance with relevant legislation, priority treatment for passage will be given to the ground, air and water transport vehicles operated by, or on behalf of, an assisting State or eligible assisting humanitarian organization to transport international and locally engaged personnel, goods or equipment for the purposes of disaster relief or initial recovery assistance. This will include, as appropriate, priority in air traffic routing and landing permissions, in accordance with relevant legislation? (4)		
2) What government, ministry or agency can grant permission for overflight, landing and departure of aircraft that have been authorized to operate within the territory of the affected State as required for the delivery of assistance? (3)		
3) Are procedures and mechanisms in place to facilitate rapid grant of landing and overflight permission for relief flights? (5)		
4) If the possibility exists, are procedures in place, (other than those procedures necessary to guarantee national security, public safety or public health) to exempt relief/assistance transport vehicles from any prohibitions, limitations or restrictions with respect to their arrival, overflight, landing, stay and departure,? (4)		
5) Can exit, transit and entry visas for the operating personnel of such transport vehicles be promptly issued? (3)		
6) Are procedures in place to exempt these transport vehicles from any applicable taxes, levies, duties, fees or charges normally imposed by governmental entities, including, but not limited to overflight, landing, parking, taking off and navigation service fees; demurrage and docking fees; and road tolls? (4)		

Transport and Logistics	Yes	No
7) Are road authorities and police aware of the special status of incoming assistance goods, equipment and personnel, and the waiver of taxation (e.g. road tax toll) and provision of escort, security and road clearance? (5)		
8) Is there an effective, functioning logistic chain in place to ensure fast and effective off-loading, warehousing and forward distribution of relief assistance? (1) a) What ministry/agency would take the lead in the receipt of assistance? 9) What ministry would conduct the handover of the assistance to the respective units for the forward distribution?		
10) Are arrangements in place to assess support capacities the host nation is ,or is not, able to provide to assisting teams when affected by a major emergency? (1)		
11) Is a procedure in place that allows communicating the level of host nation support to the assisting teams in advance of their departure from their home base?(1)		
12) Can any existing limitations on truck movement (ban during weekends and public holidays) and daily driving hours for truck drivers be waived?		

Sources:

(1) EU Civil Protection Mechanism – DG ECHO
(2) IFRC – The Checklist on the Facilitation and Regulation of International Disaster Relief and Initial Recovery Assistance (The ´IDRL´ Checklist)
(3) IFRC - Guidelines for the Domestic Facilitation and Regulation of International Disaster Relief and Initial Recovery Assistance
(4) IFRC/OCHA/Inter-Parliamentary Union - Model act for the facilitation and regulation of international disaster assistance
(5) NATO - Memorandum of understanding on the facilitation of vital civil cross border transport
(6) UN OCHA - Concept for the concrete implementation of the customs agreement (Feb 2011)
(7) UN OCHA - Model agreement concerning measures to expedite the import, export and transit of relief consignments and possessions of relief personnel in the event of disasters and emergencies
(8) UN OCHA - Strategic partnership for preparedness
(9) UN OCHA/INSARAG – INSARAG Guidelines
(10) UN OCHA/UNEP - Environmental emergencies guidelines
(11) WCO - Recommendation of the Customs Co-operation Council to expedite the forwarding of relief consignments in the event of disasters, June 1970
(12) Istanbul Convention on Temporary admission Annex B.9 of June 1990
(13) Revised Kyoto Convention, Annex J, chapter 5 , June 1999
(14) WCO, Resolution of the Customs Co-operation Council on the role of customs in natural disaster relief, June 2011
(15) WCO - SAFE Framework of standards to secure and facilitate global trade
(16) WHO - International health regulations
(17) WHO Europe- Toolkit for assessing health-system capacity for crisis management

2.3 Outgoing Assessment Material

Primary authorities involved:
Structures responsible for Customs, Environment and Health

In specific cases, in particular for environmental emergencies, experts will need to conduct an in-depth assessment of the affected area to define the type of disaster and allow them to recommend the appropriate response to and/or mitigation of its consequences. This assessment will most likely include the taking of samples and subsequent analysis. It may require having these samples analyzed in specialized laboratories abroad, should the necessary facilities not be available in the affected country. Especially during industrial or chemical incidents, there is a time pressure and the need to have in place procedures that anticipate these hurdles. This is of greatest importance to protect the population and the environment from further risks and consequences.

Technical Preparedness	*Yes*	*No*
1) Are procedures in place to facilitate the transport, entry, exit, processing and disposal of biological substances and diagnostic specimens, reagents and other diagnostic materials for verification and public health response purposes? (2)		
2) Are procedures in place to assure the safe transport and export of biological and environmental specimens for testing and/or confirmation by national and international reference laboratories? (3)		
3) Can samples in support of an environmental assessment, be exported to be analyzed, including when the substance is not determined? (1) *a) Are procedures in place to register the samples in advance of export, such as radioactive sources?*		
4) Can liquids and equipment, as part of portable labs, be exempt from some travel restrictions, such as limited amount of liquid being allowed on a plane according to civil aviation standards? *a) What are the procedures to facilitate such transport?* *b) Is there a mechanism to announce such a transport to civil aviation authorities and airline personnel?*		
5) What are the relevant procedures to re-export vehicles and equipment if they may have been contaminated?		

Sources:
(1) Joint UNEP/OCHA Environment Unit
(2) WHO - International health regulations
(3) WHO Europe- Toolkit for assessing health-system capacity for crisis management

2.4 Incoming Relief Personnel

Primary authorities involved:
Structures responsible for Immigration and Foreign Affairs

Too often, immigration laws are ill-suited to accommodate rapid responses to emergency situations and as such, result in delays in entry of international relief personnel, which affects the efficiency of the delivery of humanitarian assistance. Immigration officials thus have a critical role to play in preparing for cross-border implications by putting procedures and legislation in place that allow for expedited processing of incoming foreigners to assist in the aftermath of a crisis.

Legal Preparedness	*Yes*	*No*
1) Does the law on immigration or the law on disaster management have any specific provisions on visas for relief/response personnel? a) If so, which ministries/departments are involved in these special processes? (2) b) Is a special type of visa prepared? 2) If there are no special provisions for visas to be granted to relief/response personnel, what are the types of existing visas commonly used and what would be their limitations? (2)		
3) Does the law provide for specific procedures to recognize privileges and immunity to diplomats and consular officials, consistent with the Vienna conventions? (2)		
4) Does the law provide for specific procedures to recognize privileges and immunities of relevant international and regional organizations, consistent with the United Nations conventions? (2)		
5) Does the law on disaster management or mutual assistance agreements provide for protection from liability for foreign government humanitarian staff involved in relief operations? (2) a) Are there different national laws and procedures that vary based on the nationality of the foreign humanitarian staff? 6) Are there national laws and procedures in place that apply only to international civil servants?		
7) Does the law provide for other specific procedures regarding the migration status of international humanitarian staff? (2)		
8) Does the law contain any regulations relating to the entry of foreign health workers to provide emergency relief services? (5)		

	Yes	No
9) Does the law provide for expedited procedures for the temporary recognition of professional qualifications of foreign medical personnel, architects, and engineers, as well as drivers´ licenses and other types of licenses and certificates that are necessary for the performance of disaster relief or initial recovery functions? have these been certified as genuine by the concerned assisting State or eligible assisting humanitarian organizations, for the duration of disaster relief or initial recovery activities? (1)		

Technical Preparedness	**Yes**	**No**
1) Are arrangements in place to grant visas and any necessary work permits to relief personnel of an assisting State or eligible assisting humanitarian organizations, ideally without cost, renewable within the territory of the affected State, for the time necessary to carry out disaster relief or initial recovery activities? (1)		
2) Are arrangements in place to waive or significantly expedite the provision of such visas and work permits? (1)		
3) Are arrangements in place to facilitate freedom of access to, and freedom of movement in, and from the disaster affected area, bearing in mind the safety of disaster the initial relief and recovery personnel? (1)		
4) Are arrangements in place for international personnel of assisting States or eligible assisting humanitarian organizations undertaking disaster relief and initial recovery work to be entitled to remain in or re-enter the territory as often as necessary throughout the relief and recovery period? After that time can they apply for a relevant visa from within the country? (3)		
5) Are arrangements inplace to grant relevant entities of assisting States and eligible assisting humanitarian organizations, upon entry or as soon as possible thereafter, at least a temporary authorization to legally operate on their territory so as to enjoy the rights, inter alia, to open bank accounts, enter into contracts and leases, acquire and dispose of property and instigate legal proceedings, for the purpose of providing disaster relief and initial recovery assistance? (1)		
6) Are arrangements in place to grant assisting States and eligible assisting humanitarian organizations the right to freely bring the necessary funds and currencies in or out of the country through legal means and to obtain legal exchange rates in connection with their disaster relief or initial recovery assistance? (1) a) Is there a limit on the amount of currency that disaster relief and initial recovery personnel can bring into the country?		

Technical Preparedness	Yes	No	
7) Are arrangements in place to allow assisting States and eligible assisting humanitarian organizations to legally hire and terminate contracts of local personnel? (1)			
8) Are arrangements in place to provide exemptions to assisting States and eligible assisting humanitarian organizations from value-added and other taxes or duties directly associated with disaster relief and initial recovery assistance? (1)			
9) Are arrangements in place to reduce and expedite any procedures for the entry of drivers, pilots and crew of transport vehicles operated by or on behalf of assisting actors? (3)			
10) Are plans and procedures in place to identify a government point of contact for the disaster response tasked to communicate with the incoming relief personnel in advance of their departure from their home base, and upon arrival at a port of entry in the affected country to efficiently and effectively incorporate them into the on-going national disaster response effort?			
11) Are there mechanisms in place to receive response personnel during a public health crisis? a) Is there a process to prepare and provide incoming relief/response personnel within operational restrictions in response to an ongoing epidemic/pandemic? b) Is there a plan for a Ministry of Health representative to serve as a focal point to screen and monitor the medical condition of incoming relief/response personnel?			
12) Are the border actors aware of the technical specifications of emergency medical teams (EMT) and their associated equipment to facilitate their registration and expedite customs and immigration procedures? a) Or when not, is a focal point of the Ministry of Health on standby to assist in the process? b) Does a template for national reception and registration for EMT exist, including, but not limited to i. Equipment / type of field hospital infrastructure available with hospitalization capacity; ii. Number of staff to be deployed by type of expertise; iii. Time needed for staff and infrastructure deployment; iv. Capacity of the team to be self-sustainable; v. Duration of availability; and vi. Any other specific requirements from requesting countries and / or WHO to allow deployment? (4)			

Sources:

(1) IFRC - Guidelines for the domestic facilitation and regulation of international disaster relief and initial recovery assistance
(2) IFRC - Questionnaire - Regional compendium of regulatory instruments for the management of international humanitarian assistance in emergencies
(3) IFRC/OCHA/Inter-Parliamentary Union - Model act for the facilitation and regulation of international disaster assistance
(4) IFRC/WHO - The Regulation and Management of International Emergency Medical Teams
(5) WHO Europe- Toolkit for assessing health-system capacity for crisis management

2.5 Evacuation of Foreign Nationals

Primary authorities involved:
Structures responsible for Security, Foreign Affairs and Immigration

Any crisis, be it a natural or human-made disaster or an armed conflict, can result in the need for States to evacuate citizens from the affected area as quickly as possible. The State where the crisis takes place may be confronted with the request of foreign States to assist in locating foreign nationals, and possibly in their speedy evacuation. This means an extra difficulty for the affected State in addition to the provision of assistance for its own citizens, whereas the foreign State is forced to rely on the affected State in respect of sovereignty. In addition, travellers may become blocked in a country because their continuing journey has become impossible due to the crisis, or because an erupting volcano or global pandemic, for example, has imposed travel restrictions. As a result, these persons are forced to overstay in countries, unprepared for the delay, both in practical and legal terms. Travellers may not possess the necessary visa to stay longer than the foreseen lay-over in the transit country, or they may not have the necessary practical arrangements in place. In-depth preparedness by all States to address these challenges and cross-border co-operation, before an emergency occurs, would facilitate this cross-border movement.

The State where the evacuation takes place from	*Yes*	*No*
1) Is a specific, designated point of contact assigned to assist foreign States in their request for information on their citizens present in the affected area?		
2) Is a structure in place for representations of foreign States to access their citizens in the country?		
3) Are Standard Operating Procedures/contingency plans in place for the evacuation of foreign nationals during a crisis? a) If yes, are these procedures and plans flexible enough to overcome unexpected challenges? b) Do contingency plans identify which governmental, provincial or local authority has the responsibility to co-ordinate the evacuation of international citizens?		
4) Can exceptional procedures at the border be facilitated for foreign nationals taking part in the evacuation? a) If not, are alternatives, such as building temporary border posts, feasible?		
5) Can exit visas be waived for foreign nationals taking part in the evacuation?		
6) Can belongings of foreign nationals taking part in the evacuation be exported without taxes?		
7) Is it possible for stranded persons who, due to circumstances resulting from the crisis, entered the country irregularly, to depart legally?		
8) Does the system foresee the registration of women and children, not only men, as head of the household?		

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The State where the evacuation takes place from	Yes	No
9) Are contingency plans in place to evacuate foreign nationals from alternative locations in case of closure of the main port of departure, e.g. international airport? a) Should contingency plans require transport of stranded persons to neighboring countries, would it be possible to waive a transit visa?		
10) Do contingency plans exist to provide stranded persons with basic needs, such as food, shelter, medical care, protection and hygiene?		

The foreign State seeking to evacuate its citizens	Yes	No
1) Are repatriation plans prepared for citizens staying outside their country of nationality and residing in countries deemed by their State of origin to be countries of concern?		
2) Did a mapping exercise result in a comprehensive and up-to-date understanding of the number and characteristics of citizens abroad to enable planning and an effective response if a crisis occurs? (1)		
3) Is there a database of migrant workers that records employees deployed to other States? (1)		
4) Is it clear which governmental agency takes the decision to initiate the evacuation? a) Is it clear which governmental agency coordinates an orderly evacuation with the diplomatic corps? b) Is it clear which governmental agency coordinates with other States or regional/international organizations who undertake similar evacuation activities?		
5) Are registration systems used to communicate with citizens abroad and provide them with information? a) Do these registration systems collect information on: i. Biographic information, such as name, date of birth, nationality, gender, and where necessary biometric data on the citizen and accompanying family members; ii. Contact details such as next of kin; iii. Travel details, including country, place of residence, and duration of stay; iv. Emergency contacts; v. Passport and visa information, including expiration dates. (1)		

The foreign State seeking to evacuate its citizens	Yes	No
6) Are contingency plans in place to keep track of citizens with particular attention to the number of nationals present in a given country and the presence of fellow-national companies and employees?		
7) Are contingency plans in place to contact citizens, with particular attention to deployed personnel particularly in cases where normal communication systems fail?		
8) Are means in place to clarify to the stranded persons in the affected country who to contact in case of a necessary evacuation?		
9) Where national representatives are located in another country, is that representation able to organize an evacuation, when needed, taking into account distance, resources, and limited transportation means?		
10) Where national representations are absent in a country affected by a crisis, is it possible and are there plans to ask another State or a regional/international organization for assistance, when needed?		
11) Are there pre-agreed procedures that in case of an evacuation, unregistered citizens, citizens not able to show their travel documents, citizens of other nationalities or relatives of citizens who have another nationality could be evacuated to avoid the need for family separation while attempting to confirm identity?		
12) For States with the capacity to evacuate stranded citizens by their own means, are contingency plans based on calculations considering the expected number of citizens present in a given country, the possible circumstances and the type of the crisis, and the distance to home or an alternative secure location? a) Are alternative means than air transport foreseen? And if needed, agreements with neighboring countries to facilitate airlifts following evacuations? b) Has the need for special provisions, such as security, decontamination or medical assistance/quarantine been considered? c) How can citizens with special needs, such as the elderly, sick, wounded, pregnant women also be evacuate? d) Are evacuation exercises organized on a regular basis for countries of concern? e) Are there provisions to evacuate pets? Do the contingency plans include countries that have quarantine procedures that would preclude the evacuation of pets with their owners?		

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The foreign State seeking to evacuate its citizens	Yes	No
13) For States that would not have the capacity to evacuate stranded citizens by own their means, are contingency plans in place to join international evacuation efforts, or request other States and organizations located in the affected area to assist in the evacuation of citizens? a) If no, would national laws and procedures allow an option to rent the necessary capacities? Would it be possible to send personnel, such as a deployable emergency team to assist with those transport assets?		
14) Are measures in place to control embarkation on the means of transport?		
15) Are procedures in place to inform home locations regarding the whereabouts of stranded persons in affected areas and, when necessary, the progress of the evacuation? a) Are there plans to establish a call centre, for example in the Ministry of Foreign Affairs, to assist relatives and friends at home looking for stranded persons?		

Source:
(1) Migrants in Countries in Crisis Initiative (MICIC) - Guidelines to protect migrants in countries experiencing conflict or natural disaster. https://miciciniatiative.iom.int/

Consequence Management Field Exercise
organized by the EADRCC and the Ministry of
Security (MoS) of Bosnia and Herzegovina (BiH),
September 2017.
(Edib Jahić/OSCE MBiH)

CHAPTER 3

PREPAREDNESS FOR CROSS-BORDER IMPLICATIONS OF CRISES FOR NEIGHBOURING COUNTRIES

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PREPAREDNESS FOR CROSS-BORDER IMPLICATIONS OF CRISES FOR NEIGHBOURING COUNTRIES

Even when a State is not directly affected by a crisis, it may still be influenced by indirect impacts, for example as a refuge for people fleeing an affected area or through receiving unwanted, spillover effects in various forms. These outgoing cross-border movements will thus form a different challenge for border officials for both the impacted and neighboring states, and may attract the involvement of additional departments or ministries, such as health, environment, agriculture and others.

3.1 Population Movements

Primary authorities involved:
Structures responsible for Interior Affairs, Borders and Immigration

A natural disaster, industrial accident or conflict situation often leads to population movements inside and outside the country. When people cross borders, border-related agencies, such as immigration officials, will be confronted with a number of challenges about how to respond to an influx of people crossing a border. Such displaced populations will be diverse female/male, elders, children, unaccompanied minors and separated children, people with disabilities, indigenous people, homeless persons - and other differentiating factors. Some will be disproportionately impacted by disasters. It is important that they are recognized as such and not seen as a homogenous mass. Mixed population movements present complex and specific challenges for both the border officials and the border communities through which the displaced travel.

Those fleeing armed conflict are likely to be severely traumatized. Family separation and abandonment, unaccompanied children, women and men assuming the tasks and responsibility for single-headed households and inadequate care of the sick and elderly are potential outcomes for any large population movement following crisis. Human traffickers flourish by stealth and the recruitment of desperate displaced people. Human smugglers exploit the desperation and confusion of migrants, offering illegal choices that are often the pathway to trafficking and other criminal activity. Visibility and accessibility of female officers at border points/reception centres can decrease the potential for sexual abuse, improve identification of those who are in need of referral and assistance, and support the prevention and detection of criminal activity.

Once admitted, the overall responsibility for people displaced across borders lies with the host government. To the extent that the displaced are not refugees (definition in the text box below), the legal basis for action is domestic law, international human rights law and humanitarian principles. In order for border officials to respond to these population movements in the most efficient way that respects the rights of people affected, a receiving State should ideally have a national protection and assistance policy for people displaced across borders other than refugees before a crisis occurs. In order to facilitate greater regional co-operation, this policy should be shared and discussed with neighboring countries, particularly those that are likely to

be affected by crises. A national policy on the protection of and assistance to people displaced across international boundaries in the context of natural disasters could address the issues included within the assessment questions that follow, and in section 3.5.1, which addresses durable solutions for displaced persons.

Refugee
A refugee is any person who, "…owing to well-founded fear of being persecuted for reasons of race, religion, nationality, membership of a particular social group or political opinion, is outside the country of his [or her] nationality and is unable or, owing to such fear, is unwilling to avail him [or her]self of the protection of that country; or who, not having a nationality and being outside the country of his [or her] former habitual residence as a result of such events, is unable or, owing to such fear, is unwilling to return to it." (Article 1A(2) of the 1951 Convention) or who is outside his/her country of origin or habitual residence and is unable to return there because of serious and indiscriminate threats to life, physical integrity or freedom resulting from generalized violence or events seriously disturbing public order (OAU Convention and Cartagena Declaration.)

Admission to the territory for externally displaced persons resulting from natural disasters	*Yes*	*No*
1) *Are clear criteria and procedures in place to identify people who are displaced as a consequence of natural disasters, industrial accidents and crises and thus in need of protection and assistance in your country?* *a) Are there legal provisions, such as temporary protection regimes, that allow receiving and hosting people displaced from other countries as a consequence of natural disasters, industrial accidents and crises to remain until return to their country in safety and dignity becomes possible?*		
2) *In the absence of such provisions, in order to ensure that such people can access territory in safety and not be rejected at the border, are arrangements in place such as a right to remain on an ad hoc basis?*		
3) *Are arrangements in place to receive persons in cases of a mass influx triggered by a natural disaster, industrial accident or crisis in a neighboring country or else-where?*		
4) *Is it ensured that such people are not returned to areas where their life, limb or health would be in danger, or in situations where adequate protection and assistance are absent or cannot be accessed by them in their country of origin?*		
5) *Are measures in place to register or provide temporary legal documents to displaced persons, both women and men, particularly those who may have fled without identity documents?*		

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Admission to the territory for externally displaced persons resulting from natural disasters	Yes	No
6) In the event of admission, are adequate measures in place to inform displaced persons, in a way that is accessible and in a language they understand, about their rights and responsibilities during their stay in the country?		
7) Are border related agencies and other relevant authorities aware of their duties and trained to identify and assist all displaced persons while remaining sensitive to the potential vulnerabilities of the persons?		
8) Do border services include both male and female guards/officers to conduct physical security checks in a gender-sensitive manner or to undertake discussions about sensitive matters with persons attempting to enter the country??		
9) Are adequate arrangements in place to receive and facilitate, if necessary, the movement of (single) women, female/child heads of household, unaccompanied and separated children, wounded or sick people, older people and people with disabilities? a) Specifically, do procedures recognize not only heads of households (usually men), but also women or single women who may come without male family members?		
10) Have the necessary steps been taken to ensure the accessibility of services/transport/shelter etc. for those with physical disabilities?		
11) Is computer equipment available to computerize relevant data as soon as possible?		
12) If displaced are located in temporary accommodations are border services prepared to patrol and provide other measures to secure 'green' and exposed borders and the safety of the displaced? a) Are facilities available at or near border crossings or in temporary accommodations to provide a safe space for women/girls who need protection from alleged abusers of SGBV?		

Protection during admission for externally displaced persons resulting from natural disasters, industrial accidents or crises	Yes	No
1) Has a focal point been designated to co-ordinate the protection and assistance response for people displaced across international borders in the context of natural disasters, industrial accidents or crises?		
2) Can it be ensured that displaced people receive humanitarian assistance, in particular adequate shelter or housing, food, access to education, and health services, including reproductive and other specialized health services? a) In situations of prolonged displacement, do displaced people have access to labor and livelihood opportunities, and if not, can they gain access to alternative means of livelihood support necessary to sustain a life in dignity in accordance with human rights standards?		

	Yes	No
3) Can it be ensured that the human rights of such persons, including the right to life, liberty and security will be protected? Do relevant laws and policies include protection against arbitrary detention and physical violence such as rape and other forms of SGBV? a) Are displaced persons' rights to non-discrimination adequately protected and measures in place to prevent violations?		
4) Can it be ensured that international humanitarian organizations have access, where appropriate, to such people, in particular those with special needs and vulnerabilities?		
5) Are measures in place to trace and reunite family members separated in the course of the natural disaster, industrial accident or crisis and the ensuing displacement across borders?		
6) Are information and communication policies in place to ensure that displaced people are informed and consulted in a way that is accessible and in a language they understand? a) Does this information address how to access assistance and plans for durable solutions? b) If relevant, are receiving/host border communities also informed and consulted about the arrival and presence of these displaced persons?		
7) Are there mechanisms in place to establish mobile teams that operate outside the existing health facilities where needed to address the health needs of displaced populations? (2)		
8) Are mechanisms in place to ensure efficient monitoring of the health status of displaced people living in temporary settlements and at ad hoc sites, taking into account the importance of a gender analysis of the health status? (2)		
9) Has a gender sensitive analysis of what the right to protection means from both a female and male perspective been conducted for displaced persons who have crossed borders?		

Preparedness for influx of migrants	Yes	No
1) Is there a protection system in place for migrants affected by crisis situations that guarantees the protection of their human rights, with respect to national sovereignty and security? a) Are Standard Operating Procedures for border police during migrant crises been drafted, distributed and trained? b) Are operational plans regularly updated? (4)		

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Preparedness for influx of migrants	Yes	No
2) Is a contingency plan for border management in relation to a high migration influx drafted, including: a) Identification of relevant authorities/organizations, that defines their respective roles and responsibilities; b) Identification of coordination mechanisms with internal and external stakeholders, authorities and organizations; c) Clarification of the monitoring process; d) Clarification of the information dissemination process? and is it clearly defined when the contingency plan will be activated? (1)		
3) Has an early warning mechanism been defined, potentially working together with other Member States and third countries to predict situations, create awareness and notifying stakeholders of a developing situation, to support preparedness and to facilitate fact-based decision-making about whether a crisis situation has been reached ? (7)		
4) Has mapping and analysis resulted in the identification of border and border-cross susceptibility to mass migration? (4)		
5) Are reporting structures clearly defined and reporting formats standardized for border police officers to contribute to the assessment of: potential threats of large-scale migration in their zone of responsibility; regional and local factors that can initiate migration movements; the effect of mass movements on local communities and infrastructure; obstacles to use of funds, with regards to manpower and technical requirements and; the time necessary to use the resources and react adequately? (4)		
6) Are temporary border crossing points planned in order to increase their functionality in a migrant crisis caused by a high increase in the volume of traffic and needs of the population forced to move because of disaster or crisis? a) Have national policies/procedures included consideration of following infrastructure related issues: passport control booths; office space; space suitable for additional services; accommodation for officers and staff; toilets; hygiene maintenance rooms and refreshment facilities; health care provision rooms; space for detailed examination, detention and additional interviews; parking and waiting spaces? (4)		
7) Has the possibility of establishing migrant crisis rapid response teams been considered? a) Is it foreseen that these members undergo more advanced training for rapid deployment to a migrant crisis, and ideally in advance of an escalation of such situations? (4) b) Will these rapid response team include both male and female staff members?		

	Yes	No

8) Are reception facilities which could be used to adequately perform interviews with migrants, and assess the information collected, both with regards to the migrants' status and the migrants' vulnerability available in the vicinity of the state border and deeper in the territory? (4)

9) Are border police officers trained in the following topics:

a) Legislation – national and international – especially related to treating migrants during a crisis;

b) Human rights and the access to international protection mechanisms;

c) Cultural, religious and ethnic diversity and sensitivity – respect for the beliefs of ethnic groups and religions prevalent in neighboring countries;

d) Collection, processing and use of information and operational data;

e) Recognizing the signs of trauma or stress with torture victims and persons that may have experienced life threatening situations;

f) Human trafficking – recognizing the victims of trafficking and exploitation;

g) Profiling and interviewing techniques in accordance with the person's age and sex;

h) Response in dangerous situations – fire, flood, first aid, health and safety;

i) Recognizing the signs and symptoms of infectious diseases and response;

j) Personal protection;

k) Documenting incident response – written and oral reporting;

l) Integrity – what is expected from officers, recognizing the threats to integrity, effects of corruption;

m) Crisis situations at the border (attempt of forced state border crossing, increased number of migrants and similar) through simulations (4)

n) SGBV and identification of SGBV-victims?

10) Are both female and male border police/guards selected to attend these trainings?

11) Do procedures recognize both women and men as head of household and, in some cases, children acting as head of household for their siblings when not accompanied by their parents?

a) Do procedures recognize all family compositions regardless of gender, age, orientation or structure?

12) Are border police officers trained in the conduct of interviews and how to respect the privacy and dignity of the person?

a) Can confidentiality and privacy be guaranteed?

b) Can the interview be documented in accordance with the valid legislative framework? (4)

c) Is there a secure initial interview/screening area available for female border officers to interview women and girls in private? (7)

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Preparedness for influx of migrants	Yes	No
13) In order to ensure the security and effectiveness of intelligence data, are border police officers trained on information selection and collection, storage and dissemination? (4) a) Are handling procedures specified to maintain the integrity of the data so it can be effectively used by all relevant services?		
14) Are police officers trained to identify migrants that could be qualified under a certain vulnerable group category, especially with regards to the victims of human trafficking, potential asylum seekers, unaccompanied minors and smuggled persons, who, unlike women and children, might not be obviously vulnerable? b) Are provisions foreseen to inform migrants from vulnerable categories of their special rights such as: the rights to legal representation; to complain; and to address organizations that can provide assistance; financial support and temporary accommodation? (4) c) Is this information available in a variety of languages, formats (e.g. print, audio, infographics) and media (i.e. formal, informal)? d) Are measures in place to register or provide temporary legal documents to women traveling? alone, whether single or separated from partners in flight - together with accompanying children?		
15) Are focal points or other appropriate authorities able to conduct a basic gender assessment of the needs, concerns and vulnerabilities of the migrant population? a) Does this assessment recognize that women migrants, refugees and asylum seekers are in vulnerable situations based on their legal status (especially if they are undocumented), language barriers, limited access to information and social services, and dependence on informal work? (6)		
16) Do possible detainment centers at border points foresee the separation of single men and women, the separation of unaccompanied minors or the possibility for families to stay together?		
17) Are procedures determined that would facilitate referral of migrants that belong to certain vulnerable categories, from border officers to government services that will provide assistance and protection, and vice-versa, depending on who the migrants from vulnerable categories encounter first? (4)		

18) Is the electronic border management system able to accept a considerable increase in the number of registered persons
 	
 a) To collect biometric data when dealing with migrants travelling without appropriate personal documents
 	
 b) To enable recording and processing of photographs and biometric data (papillary line prints) in data bases of registered citizens and foreign nationals.
 	
 c) To have adequate levels of protection and access in order to:
 	
   -To record, save and process photographs;
 	
   -To record, save and process biometric data, e.g. finger prints;		

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	Yes	No
-To compare personal data with warning lists and identification (national and international wanted persons data bases); -To compare personal data with data bases; -To enable various levels of access (local, regional and central level of -access); -To record data on migrants and reasons of entry/exit (4)		
19) Can additional equipment be acquired on short notice in response to an influx of persons fleeing a crisis or disaster, to augment the existing capacities at border crossings in particular: -Registration and identity check equipment; -Additional IT equipment; -Additional vehicles for transport of staff and migrants; -Additional communication equipment; -Additional office material; and -Power generators for emergency situations. (4)		
20) Is there a plan to establish a communication system and mechanism for information exchange with national and international organizations providing assistance to migrants? (4)		
21) In case the border crossing point (BCP) is closed due to a real and immediate threat to life in the receiving country because of the high influx of people, are procedures in place to assess direct risk to which migrants staying on the border of the country of departure are exposed until measures are introduced to enable the reopening of the BCP? (4)		
22) Are procedures in place to augment the number of officers at the border crossing points in the event of an unexpected wave of persons trying to cross the border into a neighbouring country? (depending on the situation, this could include additional border officers, health officers—in case of widespread medical epidemic known to be active in the country, etc.)		
23) Do bilateral or multilateral contingency plans on cross-border crisis coordination exist to improve responses engaging cross-border populations and host communities? (5)		

Sources
(1) FRONTEX – Handbook on Contingency Planning for Border Management
(2) IASC – Operational guidelines on the protection of persons in situations of natural disasters
(3) WHO Europe - Toolkit for assessing health-system capacity for crisis management
(4) IOM – Humanitarian Border Management – Standard Operating Procedures for Border Police
(5) Migrants in Countries in Crisis Initiative (MICIC) - Guidelines to protect migrants in countries experiencing conflict or natural disaster.
(6) OSCE/ODIHR – Human Rights and Gender Equality During Public Emergencies.
(7) WHO - Ethical Safety Recommendations for Interview of Trafficked Women.

3.2 Environmental spillover

Primary authorities involved:
Structures responsible for Environmental Affairs, Civil Protection, Economics and Agriculture in addition to Border Services

Environmental emergencies, caused by industrial accidents, natural disasters or other crises, do not respect international borders since they can spread through air, water, or soil. It can be expected that neighbouring countries will be affected when such an emergency occurs close to borders or where a body of water delineates the border between two countries. Cross-border co-operation is thus essential to prepare for such events and to deal with its aftermath. Since environmental emergencies cover a wide variety of aspects; health, environment, security, agriculture, etc., these departments and ministries will also need to consider contingency planning for similar events and could also be included when these questions are considered within an interagency setting.

For specific preparedness for a Nuclear or Radiological Emergency, please consult the Safety Requirements, IAEA Safety Standards Series GS-R-2 or contact the International Atomic Energy Agency directly

Identification of hazardous activities	*Yes*	*No*
1) Is a comprehensive mechanism in place and operational for the identification of hazardous activities? The mechanism should include hazardous activities that take place within your borders but could have an effect abroad if an accident were to occur. The mechanism should define clear responsibilities between the different actors/stakeholders and provide a methodology to identify hazardous activities, which will allow national services to: a) Elaborate and validate a list of ongoing hazardous activities and b) Ensure that the mechanism will function independent of staff changes within the responsible authority/ies (2)		
2) 2) Are tailings management facilities, which in the event of an accident could have profound transboundary impacts, included in the list of hazardous activities above? (9)		
3) Are baseline and planning elements established, taking into account how climate change could affect disaster risk and transboundary disaster risk management? (10)		

Notification of hazardous activities	Yes	No
1) Is a comprehensive mechanism in place and operational for notifying neighbouring countries of hazardous activities, and is it ensured that the notification process will function over time independently of staff changes within the responsible authority? (2)		
2) Is the list of hazardous activities that take place within the borders and which c could have an effect abroad if an accident were to occur, shared with the States that could be affected and are those states consulted on preparedness and response activities and plans? a) Are bilateral or regional training events conducted with these countries? (5)		
3) Is a competent authority designated to notify a State that could potentially be affected by an existing or proposed hazardous activity? (5) a) Is a system in place for this designated authority to always have up-to-date knowledge on hazardous activities and any alarms due to malfunctions or accidents?6 (7)		
4) Are counterparts in neighboring States notified of tailings management facilities that could cause transboundary effects in the event of an accident? (9)		
5) Are plans in place to notify and consult with governments of neighboring States about construction projects tailings management facilities which have the potential to cause adverse environmental impacts across borders? a) Is the provision to perform an environmental impact assessment under the UNECE Espoo Convention included in national plans and procedures? (9)		

Prevention	Yes	No
1) Is specific legislation in place that regulates chemical/industrial accidents and cross-border obligations? (6)		
2) Is a comprehensive mechanism in place and operational to ensure that appropriate preventive measures are in place and which: a) Impose full responsibility for safe operation; b) Impose on the operators of hazardous activities an obligation to demonstrate to the competent government authorities and to the public the safe operation of those activities; c) Give to the authorities an effective control regime over hazardous activity operators; d) Allow for updating the system of preventive measures to take into account new trends, technologies and methods? (2)		

Prevention	Yes	No
3) Are concrete terms of reference established that ensure that hazardous activities are carried out safely by the operators and do the terms of reference provide an estimate of the personnel needed and available to fulfil these tasks? (2)		
4) Do policies exist for the safe transport of hazardous substances across borders in pipelines, aimed at limiting accidental consequences for human health and the environmen? (8)		

Emergency Preparedness	Yes	No
1) Is a comprehensive mechanism in place and implemented to ensure adequate emergency preparedness for all required authorities that would respond to indus-trial accidents? Does this mechanism impose the responsibility: a) On hazardous activity operators to establish, maintain and test on-site emergen-cy plans and to ensure their capacity for response to emergencies in accordance with the provisions of those plans; b) On the competent authorities to establish, maintain and test off-site emergency plans, to ensure their capacity to be able to respond to emergencies in accor-dance with the provisions of emergency plans, to ensure that hazardous activities operators comply with their responsibilities, and that off-site and on-site plans are mutually compatible; c) On the competent authorities to ensure, where relevant, compatible emergency plans in a transboundary context? (2)		
2) Do emergency plans include contact details to allow proper notification of any accidents/alarms/emergencies that might occur? (9)		
3) Based on national risk analysis, is it assessed that the equipment and personnel of the emergency services are adequate and have the necessary capacity to assist the facility operator respond to alarms and accidents? (7)		
4) Is there co-operation with the health sector in the development of emergency pre-paredness, prevention or response plans for chemical or industrial accidents near border? (6)		
5) Are obligations under the International Health Regulations included in the emergen-cy plans? (6)		
6) Are exercises that include civil protection, border, emergency response and health officials planned and carried out with neighbouring States? a) If yes, have these exercises been evaluated with the States concerned? (6)		
7) Is a special notification system in place when an industrial accident takes place to notify all the other States that could be affected and to give them information they need to prepare for, mitigate and fight its possible effects? (2)		

	Yes	No
8) Is a contingency plan in place for accidents affecting transboundary waters, specifying obligations for competent authorities and operators of hazardous industrial facilities and the information that needs to be taken into account with respect to emergency preparedness, emergency response planning and mutual assistance? (3)		
9) Have the co-operative activities in case of transboundary accidents been evaluated with all States concerned following an accident? (6)		
10) Is national legislation clear, enforceable and consistent among different countries in order to facilitate international co-operation in, for example, the development and implementation of emergency response plans? (8)		

Response and mutual assistance	**Yes**	**No**
1) Is a comprehensive mechanism in place for response and mutual assistance and operational ensuring that: a) Industrial accidents or an immediate threat of one, are recognized as such, enabling an immediate activation of response and mitigation procedures as well as the notification of neighbouring States and the initiation of transboundary cooperation; b) Procedures to request assistance are in place; c) Procedures to provide assistance to another country which might be affected by an industrial accident are in place? (2)		
2) Is it possible to take effective steps to minimize transboundary effects of an accident and to work together with other States affected by the accident to minimize its effects? (7)		
3) In the event of an industrial accident, are arrangements in place to provide assistance in response to a neighbouring State's request? a) What assurance exists that points of contact are fully operational to receive and reply to such requests? (7) b) Do national laws, plans and procedures provide for response units that could be available immediately or on short notice to deploy and provide assistance, at the request of the affected State?		
4) Are there arrangements on international collaboration in case of a major chemical incident? (6)		
5) Are there plans and procedures in place that would allow mobile laboratories (available in country) to support the international response to chemical incidents? (6) a) Conversely, do national plans provide for the receipt of mobile labs from bordering countries?		

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Response and mutual assistance	Yes	No
6) Is a risk mapping (GIS mapping) system in existence and used as a planning tool for national response procedures, which shows receptors (potentially affected persons) in neighbouring States in case of chemical incidents? (6) a) Has this information been shared with counterparts in bordering States?		
7) Are dispersion models available for both national services and have they been shared with neighbouring States, in case of chemical incidents? (6)		

Information to Public	Yes	No
1) Is a comprehensive mechanism in place and operational to ensure that the public receives adequate information and can easily participate in the decision-making process either in their country of origin or in a neighbouring State in the areas of prevention and preparedness relating to industrial accidents? (2)		
2) Are local residents, including vulnerable groups8, informed of the presence of hazardous operations? Do they have a say in the setting-up of prevention and preparedness measures, and do they have access to administrative and judicial proceedings if their views are disregarded? (4)		
3) Are the local communities and competent authorities of neighbouring States given the same rights to participate in preparation and revision of the compatible external emergency response plans of tailings management facilities? (9)		

Sources:
(1) EU - Proposal amending Decision No 1313/2013/EU on a Union Civil Protection Mechanism
(2) UNECE - Benchmarks for the implementation of the convention on the transboundary effects of industrial accidents
(3) UNECE - Checklist for contingency planning for accidents affecting transboundary waters
(4) UNECE - Convention on access to information, public participation in decision-making and access to justice in environmental matters
(5) UNECE - Convention on environmental impact assessment in a transboundary context
(6) UNECE- RIECO project (Development of guidelines on transboundary risk assessment, possibly including the characterization of exposure risks)
(7) UNECE - The assistance programme: Convention on transboundary effects of industrial accidents
(8) UNECE - The safety guidelines and good practices for pipelines
(9) UNECE - The safety guidelines and good practices for tailings management facilities (mining waste)

3.3 Health spillover

Primary authorities involved:
Structures responsible for Health Issues, Customs and Immigration

Today´s globalized world implies that public health threats, diseases and epidemics can spread quickly across borders. Although States are responsible to manage public health crises at a national level, epidemics and pandemics can spread to proportions that no one country can tackle a cross-border public health crisis on its own. The strengthening of co-ordination is essential between several national agencies, health, transport, customs, etc., to promote interagency and cross-border co-operation to contain and eventually overcome such crises. As the 2019/2020 COVID pandemic has shown, interagency cooperation as well as information sharing and co-operation with foreign counterparts in multiple formats is critical to modify operational practices at border points of entry.

Travellers´ Health	*Yes*	*No*
1) At all times, are the following capacities in place at designated airports, ports and land border crossing points?: a) provision of access to (i) an appropriate medical service including diagnostic facilities so as to allow the prompt assessment and care of ill travelers, and (ii) adequate staff, equipment and premises,; b) provision of access to equipment and personnel for the transport of ill travelers to an appropriate medical facility; c) provision of trained personnel for the inspection of conveyances; d) assurance of a safe environment for travellers using point of entry facilities including potable water supplies, eating establishments, flight catering facilities, and public washrooms with availability of sufficient supplies of cleaning/sterilizing materials; appropriate solid and liquid waste disposal services and inspection programmes in other potential risk areas; e) Provision, as far as practicable of a programme and trained personnel for the control of vectors and reservoirs in and near points of entry? (8) f) availability of both male and female medical personnel; personal protective equipment (PPE) in a selection of sizes to accommodate men, women and children; premises that provide privacy and separation of examination rooms; and sleeping/resting accommodation for male and female patients?		

Travellers´ Health	Yes	No	
2) In order to respond to events that may constitute a public health emergency of international concern, are the following capacities in place at designated airports, ports and ground crossings: a) provision of an appropriate public health emergency response by establishing and maintaining a public health emergency contingency plan, including the nomination of a coordinator and contact points for relevant points of entry, public health and other agencies and services. Does the coordinating body of the public health emergency contingency plan include both male and female representatives; b) assessment of,and care for, affected travellers or animals by establishing arrangements with local medical and veterinary facilities for their isolation, treatment and other support services that may be required; c) appropriate space, separate from other travellers, to interview those suspected or known to be infected; d) provision for the assessment and, if required, quarantine of travellers suspected to be infected, preferably in facilities away from the point of entry; e) application of recommended measures to disinfect, conduct rodent control, decontaminate or otherwise treat baggage, cargo, containers, conveyances, goods or postal parcels including, when appropriate, at locations specially designated and equipped for this purpose; f) application of entry or exit controls for arriving and departing travellers; and g) provision of access to specially designated equipment, and to provide trained personnel with appropriate personal protection, for the transfer of travellers who may be infected or contaminated? (8)			
3) At points of entry, are competent authorities in a position to: a) be responsible for monitoring baggage, cargo, containers, conveyances, goods, postal parcels and human remains departing and arriving from affected areas, so that they are maintained in such a condition that they are free of sources of infection or contamination, including vectors and reservoirs; b) ensure, as far as practicable, that facilities used by travelers at points of entry are maintained in a sanitary condition and are kept free of sources of infection or contamination, including vectors and reservoirs; c) be responsible for the supervision of any rodent control, disinfection, disinsection or decontamination of baggage, cargo, containers, conveyances, goods, postal parcels and human remains or sanitary measures for persons, as appropriate under the International Health Regulations; d) advise conveyance operators, as far in advance as possible, of their intent to apply control measures to a conveyance, and provide, where available, written information concerning the methods to be employed;			

	Yes	No
e) be responsible for the supervision of the removal and safe disposal of any contaminated water or food, human or animal waste matter, wastewater and any other contaminated matter from a conveyance; f) take all practicable measures consistent with the International Health Regulations to monitor and control the discharge by ships of sewage, refuse, ballast water and other potentially disease-causing matter which might contaminate the waters of a port, river, canal, strait, lake or other international waterway; g) be responsible for supervision of providers of services concerning travelers, baggage, cargo, containers, conveyances, goods, postal parcels and human remains at points of entry, including the conduct of inspections and medical examinations as necessary; and h) have effective contingency arrangements to deal with an unexpected public health event? (8)		
4) Are arrangements in place to treat travelers with respect for their dignity, human rights and fundamental freedoms and minimize any discomfort or distress associated with such measures, including by: a) treating all travelers with courtesy and respect; b) taking into consideration the gender, sociocultural, ethnic or religious concerns of travelers; and c) providing or arranging for adequate food and water, including religious/cultural dietary requirements, appropriate accommodation and clothing, reproductive health/hygiene requirements of women and girls, as well as infants and elders11, protection for baggage and other possessions, appropriate medical treatment, means of necessary communication if possible in a language that they can understand, and other appropriate assistance for travelers who are quarantined, isolated or subject to medical examinations or other procedures for public health purposes? (8)		
5) In case of a national health emergency, are legal frameworks and appropriate resources (human, financial and equipment) in place for Advance Passenger Information (API) and Passenger Name Records (PNR) to facilitate contact tracing, in line with data privacy regulations and international human rights? (5) a) Are possible conflicts for sharing sensitive personal passenger data with national laws or laws of third countries identified and resolved to enable sharing of such information with third countries? b) Are legal provisions explicit in explaining which type of data (API or PNR or both) will be requested, why and by when? c) Does legislation give public authorities the appropriate legal authority to process the data requested from airlift operators respecting the WCO/IATA/ICAO Guidelines on Advance Passenger Information and the Guidelines on Passenger Name Records? (6) d) Is legislation complemented by detailed technical specifications for systems of authorities and airlines, modes of transmission, connectivity and training of staff? (3)		

Cross-Border Threats to Health	Yes	No
1) Is a legal framework in place for preparedness and response to public health events or events with impact on public health?12 (7)		
2) Is there a capacity in place at border points of entry to respond promptly and effectively to public health risks and public health emergencies of international concern? (8)		
3) Are there provisions and processes to ensure that there is an adequate selection of PPE for both male and female border officials? a) Are there mechanisms in place to provide an adequate supply and resupply in the event of a prolonged public health crisis? b) Is PPE available for support staff of border points, such as cleaning/janitorial/portering/laundry/waste disposal and other ancillary staff?		
4) Are reserve technical capacities maintained to check temperatures of travellers at the border?		
5) Are back-up systems in place to replace sick border security officials or officials with family care duties?		
6) Are efforts co-ordinated to develop, strengthen and maintain capacities for the monitoring, early warning and assessment of and response to serious cross-border threats to health? (6)		
7) Are gender-sensitive indicators included in monitoring, early warning and other assessments in order to obtain comprehensive results. Are both male and female staff included in all steps?		
8) Are specific mechanisms established at national level for the interoperability between and among the health sector and other critical sectors of society? (6)		
9) Are arrangements in place to efficiently notify international counterparts and actors within 24 hours once relevant information has been assessed concerning events which may constitute a public health emergency of international concern and the health measures which have been taken in response, through national focal points or other means? (6) (8)		
10) Are international agreements implemented and protocols established with national and reference laboratories or structures on the rapid sharing of information and specimens, including cross-border transport to international reference laboratories? (7) (9)		

	Yes	No
11) Are standard countermeasures regularly practiced by border officials to prepare for possible cross-border threats to health? (1)		
12) Are police, customs and other border officials involved in cross-border health exercises and training (bridging security and health events? (7) a) Have your services included counterpart officials from neighboring countries in your training and exercises?		

Cross-Border Health Co-operation	Yes	No
1) Are bilateral agreements or arrangements with countries sharing common borders concerning prevention or control of international transmission of disease at land border crossings part of your national laws, plans and procedures? a) In particular, with regard to the direct and rapid exchange of public health information between neighbouring territories of different States? (8)		
2) Are mutual assistance agreements with neighbouring States to improve health-related crisis preparedness and management part of your national laws, plans and procedures? (9)		
3) Are international co-operation agreements (protocols) on emergency medical care established with other States, at least for reciprocal cross-border co-operation? (7)		
4) Have hospitals in border areas developed collaboration with neighbouring health authorities? (7)		
5) Do plans for collaborative management of major events exist in border areas? (7)		
6) Are procedures for patient movements between States established (with data on the numbers involved) considering financial support by the national health insurance systems? (7) a) Are there mechanisms to protect personal data of the affected persons?		
7) Is information about treatment capacities offered part of your national plans and procedures to be shared between States? (7)		
8) Are procedures for international transfers established with a focus on acute transfers? (7)		
9) Have possibilities for sharing resources and clinical data in defined scenarios especially in cross-border events been evaluated? (7)		
10) Is there a mechanism in place to keep the border officials aware of the changing national policies of the state with regard to border closures, allowance of essential goods and persons and the necessary paperwork/proof of essential nature?		

Cross-Border Health Co-operation	Yes	No
11) Are there protocols/procedures to provide officials at border crossings with the latest guidance and requirements concerning medical concerns and epidemics/ pandemics?		
12) Does national legislation indicate measures that would facilitate cross border movement of essential goods and relief supplies during a pandemic or when there is an epidemic affecting neighboring states? a) Is there an interagency mechanism that would ensure the border services will be made aware of the critical supplies/goods that the government will be requesting or allowing to cross the border? b) Are there pre-determined procedures for allowing essential goods to pass though border control points when the borders are otherwise closed?		
13) Do national legislation and border procedures plan for a surge of medical screening personnel at border crossings when neighbouring countries have an ongoing epidemic or have an increasing number of cases of highly infectious diseases?		
14) Can health and humanitarian supplies and workers considered as essential in health emergencies be allowed to safely and rapidly move across borders and within countries, while adhering to ethical international recruitment standards, as well as infection prevention and control measures to protect themselves and others? (2) a) Do procedures foresee enhanced security protection measures to prevent attacks on health and humanitarian workers, supply convoys and facilities? b) Do procedures foresee measures to fast-track customs clearance or facilitate the movement of humanitarian staff in country? Are these measures similar to those of neighbouring countries? (2)		
15) Is expedition anticipated for i) the custom clearance procedures for medical equipment, ii) facilitation of matters relating to expiration of personnel licenses and iii) facilitation of movement restrictions for humanitarian personnel in country in compliance with the existing public health procedures? (2)		

Sources:
(1) FRONTEX – Lifting of temporary restrictions on non-essential travel to the EU imposed due to COVID-19. Operational Guidance – Update 2. (15.07.2020) (Ref: SAMD/6205/2020)
(2) IASC - Fast-track health and aid workers and supplies at borders and in countries
(3) IATA, ICAO and WCO - Checklist how to set up a passenger data exchange program.
(4) ICAO – Guidelines on Passenger Name Record (PNR) Data (Document 9944)
(5) OSCE- Outcome Document from the OSCE-wide Seminar on Passenger Data Exchange 2017
(6) SANTE - New decision on serious cross border threats to health (will be adopted by EU Parliament in June 2013, and by Council in September 2013)
(7) SANTE- Strategy for generic preparedness planning technical guidance on generic preparedness planning for public health emergencies
(8) WHO - International health regulations
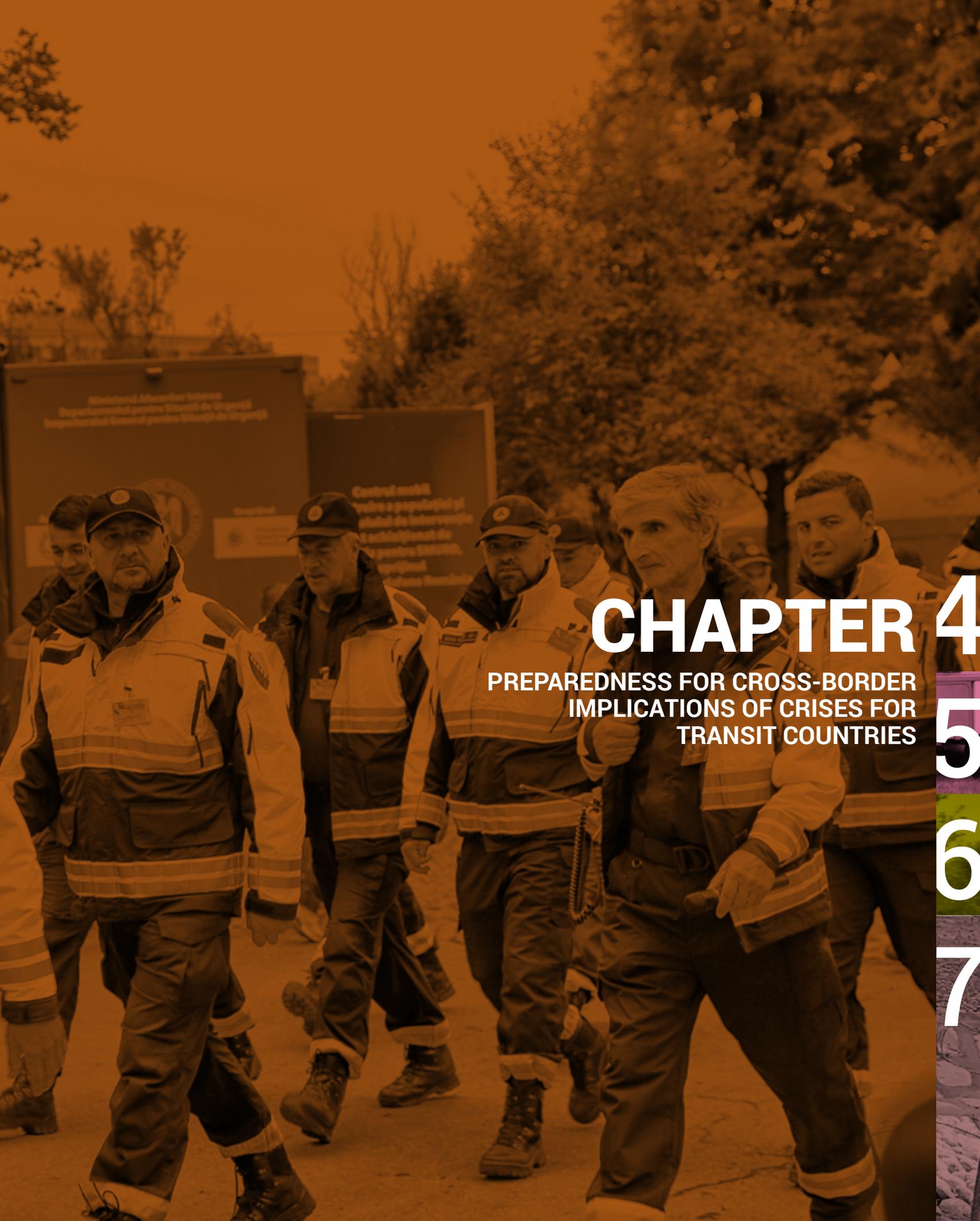(9) WHO Europe - Toolkit for assessing health-system capacity for crisis management

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CHAPTER 4

PREPAREDNESS FOR CROSS-BORDER IMPLICATIONS OF CRISES FOR TRANSIT COUNTRIES

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CHAPTER 4

PREPAREDNESS FOR CROSS-BORDER IMPLICATIONS OF CRISES FOR TRANSIT COUNTRIES

4.1 Transiting Relief Assistance

Primary authorities involved:
Structures responsible for Borders, Customs, Transport and Immigration

Not only will the border officials of affected or sending States be confronted with handling relief assistance, but transit countries can also expect to be involved. UN General Assembly Resolution 46/182 urges the States in proximity to emergencies to participate closely with the affected countries in international efforts, with a view to facilitate, to the extent possible the transit of humanitarian assistance. Laws and procedures of States should be prepared to fulfil that responsibility.

Legal Preparedness for a Country serving as a Transit State for Assistance	Yes	No
1) Are procedures in place to declare the beginning of a transit facilities period when, after confirming with the relevant authorities of the disaster affected country, the relevant authority is satisfied that international disaster relief or initial recovery assistance has been requested? (2)		
2) Are operators, under supervision of the public authorities concerned, allowed to disassemble transhipment cargo including shipments in containers and on pallets, so that they may sort and reassemble shipments for onward carriage without examination, except for reasons of security or in special circumstances, and subject only to simple documentation where required? (4)		
3) Are procedures in place to facilitate the transit of relief consignments and relief personnel possessions in non-transport timeframes, such as during weekends when travel for trucks in some countries is commonly prohibited?		
4) Is it possible to, upon request, waive or promptly issue, ideally without cost, entry, exit or transit visas, as appropriate, for the disaster relief and initial recovery personnel of eligible assisting humanitarian organizations and assisting States? (1)		
5) Can legal and administrative barriers be reduced to the transit of medications and medical equipment by assisting States and eligible assisting humanitarian organizations or on their behalf in disaster relief and initial recovery assistance, to the extent consistent with public safety and international law? (1)		

	Yes	No
6) Do international agreements affect the possibility to grant/expedite support?		
7) Are procedures in place to declare the termination date of transit facilities when it is agreed with the disaster affected country that transit facilities are no longer required and to announce a termination date to assisting States and eligible assisting humanitarian organizations? (2)		

Technical Preparedness for a Country serving as a Transit State for Assistance	Yes	No
1) Are arrangements in place to facilitate the speedy transit or transshipment across national territory of international disaster assistance by assisting international actors including international personnel, goods, equipment, including communications equipment13, and transport, in order to reach the affected country? (2) a) Are arrangements in place to avoid delays as much as possible in the entry/exit of humanitarian personnel in transit countries? (5) b) Do assisting States and eligible assisting humanitarian organizations have the right to use emergency lights?		
2) Can the carriage of relief consignments and possessions of disaster relief personnel in customs transit be facilitated as far as possible, with due regard to take such steps as may be necessary in order that the customs authorities, are in a position to: a) Expeditiously examine, only when necessary for security or narcotics/contraband control purposes, and, where appropriate, by applying sampling or selective techniques against the summary declaration, the contents of the relief consignments and possessions of disaster relief personnel, and certify the results of this examination on that declaration? b) Where possible, place such consignments under customs seals where such action is likely to avoid delays in the forwarding of the goods at later stages in their journey? c) Permit such consignments to be presented for export clearance at any approved customs office and, in stockpile States, in advance of the need for actual export? d) Permit such consignments to be placed in a customs warehouse for subsequent export, for providing humanitarian assistance? (4)		
3) Are there procedures that would allow samples from an environmental assessment, to be transited for analysis, including when the substance is not yet determined? (3)		
4) Are there arrangements to receive international assistance for another State, in particular when the infrastructure in the affected State is destroyed and the infrastructure within the host's borders are the closest to the affected area?		

Sources
(1) IFRC - Guidelines for the domestic facilitation and regulation of international disaster relief and initial recovery assistance
(2) IFRC/OCHA/Inter-Parliamentary Union - Model act for the facilitation and regulation of international disaster assistance
(3) Joint UNEP/OCHA Environment Unit
(4) UN OCHA/WCO - Customs model agreement on facilitation measures for the importation of emergency relief consignments
(5) WCO - SAFE Framework of standards

4.2 Transit for Population Movements

Primary authorities involved:
Structures responsible for Borders/Immigration

Preparedness for Transiting Migrant Influx	*Yes*	*No*
1) Are border officials trained to address influxes of migrants, including:		
a) Plans and procedures to deal with mass arrivals of migrants in the event of a crisis;		
b) How to recognize, assist, and refer vulnerable migrants, including victims of trafficking, migrants with disabilities, elderly migrants, and child migrants, including unaccompanied or separated children, and pregnant women;		
c) Referral mechanisms, including referrals for refugees, asylum seekers, and stateless persons;		
d) Knowledge of the rights of migrants?		
2) Is it possible to provide the following services to migrants arriving from host States:		
a) Transportation from border or remote areas to the capital, airports, or shelters;		
b) Reception and transit facilities to identify and register migrants and provide them with shelter, food rations, and emergency medical care;		
c) Providing migrants with or referring migrants to services, including appropriate consular services, shelter, food, health care, counseling, and education;		
d) Coordination with relevant consular missions in the State of transit to protect migrants;		
e) Training or assistance to border officials to identify refugees, asylum seekers, stateless persons, unaccompanied or separated children, victims of trafficking, and others needing special assistance, and procedures for referral to appropriate authorities or stakeholders?		
3) Are migrant reception services able to provide life-saving services including:		
a) Emergency shelter;		
b) Information;		
c) Food and non-food items;		
d) Medical care and psychosocial support;		

	Yes	No
e) Onward transportation assistance;		
f) Documentation assistance, in close collaboration with consular services;		
g) Referrals;		
h) Family tracing and reunification assistance?		
4) *Have the following measures been considered to facilitate migrant movements to safety:*		
a) Waiving entry or exit visa requirements, penalties, or other restrictions that inhibit freedom of movement;		
b) Providing clear instructions and procedures to border officials on facilitating access to the territory;		
c) Appointing a person or body with sufficient authority and emergency powers to make decisions on exceptions and border processes and formalities;		
d) Facilitating and providing access to consular personnel from States of origin to visit, identify, and provide assistance to their citizens;		
e) Moving migrants who are identified as in need of protection to a distance away from border areas to ensure greater security for these populations and to help decongest the border;		
f) Registering those entering and, for those without valid identity or travel documents, providing temporary documents to confirm registration, date and place of entry, minimal biographic information, and nationality;		
g) Providing temporary extension of visas or stay permits;		
h) Ensuring compliance with the principle of non-refoulement?		
5) *Are procedures in place for temporary admission authorization for migrants transiting or returning home who cannot prove their identity, including:*		
a) Temporary admission to allow migrants time to obtain new documentation or other proof of identity and nationality;		
b) Arrangements for consular authorities from States of origin to have access to their citizens seeking entry at border posts in order to facilitate identity verification;		
c) Acceptance of alternatives to formal identity documents, including affidavits by those who are willing to swear the identity and nationality of migrants?		

Sources:
Migrants in Countries in Crisis Initiative (MICIC) - Guidelines to protect migrants in countries experiencing conflict or natural disaster.

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CHAPTER 5

PREPAREDNESS FOR CROSS-BORDER
IMPLICATIONS IN THE RECOVERY PHASE

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CHAPTER 5

PREPAREDNESS FOR CROSS-BORDER IMPLICATIONS IN THE RECOVERY PHASE

5.1 Population Movements

Primary authorities involved:
Structures responsible for Immigration, Border police/Border Guards and Customs

When the emergency phase of a crisis is over, it can be expected that most people displaced across borders will want to return to their country. If possible, others may choose to integrate in the host country or to resettle to a third country. While voluntarily repatriation is the best solution and is to be encouraged, repatriation should be based on a free and informed decision and take place in safety and dignity. Immigration and customs officials, together with national disaster management authorities and international relief organizations, such as the International Organization for Migration (IOM) and development agencies in the country of origin are best suited to prepare for this movement.

Durable Solutions	*Yes*	*No*
1) Are there mechanisms in place to work with neighbouring countries and international organizations including development actors, to identify and provide durable solutions for people displaced as a consequence of natural disasters, industrial accidents and crises?		
2) Are mechanisms in place to ensure that return to the country of origin is voluntary as long as the danger lasts, or when levels of protection, assistance and recovery support are insufficient?		
3) Does national legislation allow for the acceptance of humanitarian assistance funding and goods for citizens of a neighboring country that is displaced on your soil?		

Host Country	*Yes*	*No*
1) Will national plans and procedures facilitate and ensure the safety and dignity of returnees and respect for international human rights standards?		
2) If return and sustainable re-integration in the country of origin as the preferred solution is not possible, is it possible to admit and integrate such persons within the host country on a prolonged or permanent basis?		

	Yes	No
3) Are gender perspectives included in any policy for return, considering the different needs, resources and experiences of women, men, boys and girls?		
a) Does the policy for return include the option for both women and men to make separate and individual choices regarding integration or return?		

Country of Origin	**Yes**	**No**
1) Is it be possible, at a minimum, to stipulate that returnees are not to be subjected to any punitive or discriminatory action because of having fled their country?		
2) Are information and communication policies in place to ensure that displaced people are informed and consulted while in the temporary location, in a way that is accessible and in a language they understand, about plans for durable solutions, including conditions in potential return or relocation areas within their country of origin?		
3) Do legal provisions exclude the need for individual or family clearance to repatriate before movements, to avoid possible major practical problems and delays?		
4) If individual travel documentation is required under national law, would immigration officials be able to accept documents issued by the host country or other relevant body?		
5) Are arrangements in place to waive or simplify customs formalities in repatriation operations?		
6) Are adequate arrangements in place to receive and, if necessary facilitate, the movement of (single) women, female/child heads of household, unaccompanied and separated children, wounded or sick people, older persons and people with disabilities?		
7) Are special arrangements considered for displaced people wishing to repatriate with personal possessions, such as vehicles or livestock?		
8) Do legal provisions foresee to have health requirements (vaccination certificates, etc.) not exceeding those required for normal travelers? Should extra vaccinations be required on the grounds that the returnees would pose special health hazards, would it be possible to accept them to be conveniently recorded on the registration form if the returnees are not already in possession of individual vaccination cards?		
9) Can arrangements be made to identify safe return routes as well as and potentially dangerous areas of return, (including landmine surveys), taking into account the different perceptions of insecurity and danger for men and women?		
10) If areas have been designated no longer fit for human habitation, are measures in place to ensure that returnees have adequate access to protection, assistance and compensation upon their return to their country of origin, pending the identification of a durable solution? This could include a government designated relocation site with adequate social services and livelihood opportunities?		

5.2 Outgoing Relief Assistance

Primary authorities involved:
Structures responsible for Borders, Customs, Immigration and Transport

At the end of an emergency response phase, and to a lesser degree during the course of the subsequent initial recovery phase, assisting States and eligible assisting humanitarian organizations will extract their personnel, equipment and relief goods that were unused, surplus or not donated, from the country. This movement is not confined to one exact moment. Some humanitarian actors, for example urban search and rescue teams after earthquakes, will leave the country after a short time while other agencies may operate in the affected country for a number of years after the crisis. Usually, legal facilities for export will only be valid during the emergency phase, however, some humanitarian actors would benefit from these legal facilities remaining applicable for a longer time frame.

Preparedness	*Yes*	*No*
1) Is a policy established on how assisting States and eligible humanitarian organizations can re-export relief materials, including formalized re-exportation procedures for temporarily imported items? (4)		
2) Are arrangements in place for assisting States and eligible humanitarian organizations to re-export any equipment or unused goods without the imposition of any taxes, export duties, or similar charges, provided that: a) A time period in which assisting States and eligible humanitarian organizations can do so after the termination of the initial recovery period is established? b) Assisting States and eligible humanitarian organizations provide documentation that the equipment and goods in question were originally imported for the purpose of disaster relief or initial recovery assistance? (3)		
3) Are there procedures to reduce inspection requirements for supplies and equipment being taken out of the country? (2)		
4) Are there procedures to reduce restrictions on exports, duties and fees applicable to assistance supplies and equipment (especially telecommunications, food, medicines)? (2)		
5) Are specific regulations in place to clarify the conditions and requirements to export search dogs imported by assisting States and eligible assisting humanitarian organizations?		
6) Are there procedures to reduce legal and administrative barriers on the re-exportation of medications and medical equipment by assisting States and eligible assisting humanitarian organizations or entities on their behalf in disaster relief and initial recovery assistance, to the extent consistent with public safety and international law? (1)		

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	Yes	No
7) Regarding the re-export of unused supplies and equipment are there other provisions regarding humanitarian assets? (2)		
8) Are there procedures stipulated in the law for the exit of humanitarian assistance staff? (2)		
9) Does the law provide for reducing any restriction on the exit of humanitarian assistance staff? (2)		
10) Are procedures in place to reduce restrictions on the departure of humanitarian assistance flights, trucks or ships? (2)		
11) Is a plan in place to manage the implications for customs duties after an end to the relief phase is declared, in order to support activities of assistance providers taking place in the recovery phase? (5)		

Sources

(1) IFRC - Guidelines for the domestic facilitation and regulation of international disaster relief and initial recovery assistance
(2) IFRC - Questionnaire - Regional compendium of regulatory instruments for the management of international humanitarian assistance in emergencies
(3) IFRC/OCHA/Inter-Parliamentary Union - Model act for the facilitation and regulation of international disaster assistance
(4) UN OCHA - Concept for the concrete implementation of the customs agreement (Feb 2011)
(5) WCO - The key principles of the SAFE Framework of standards for further facilitating clearing relief consignments

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CHAPTER 6
EARLY RECOVERY

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CHAPTER 6
EARLY RECOVERY

Early recovery is a vital element of an effective humanitarian crisis response as a foundation for building resilience in post-crisis settings. Just as emergency relief activities are crucial to saving lives by responding to the most urgent human needs, integrating an early recovery approach within humanitarian operations is crucial to the first efforts of a community to recover. It prepares the ground for an effective 'exit strategy' for humanitarian actors and contributes to 'durable solutions' by establishing the base on which nationally-led development occurs after a crisis.

At the country level, the United Nations Development Programme (UNDP) helps Resident and Humanitarian Coordinators (RC/HC) and the Humanitarian Country Team to integrate early recovery approaches into the humanitarian response, amongst other ways through the deployment of Early Recovery Advisors. These advisors work across the humanitarian community, and help develop common strategies to strengthen the links between relief, recovery and development – including in needs assessments, appeals and the work of all clusters.

UNDP also works with the affected country and its humanitarian and development partners (e.g. local authorities, civil society organizations and the private sector) to design and implement programmes needed to help people move from humanitarian assistance to development. Ideally such work commences 'early' during the humanitarian response. Based on experience, UNDP has developed a series of 'signature products,' or programmes, that can be deployed quickly to support early, short and medium-term recovery:

· Emergency employment - including cash for work and start up grants to recapitalize small enterprises;

· Community infrastructure rehabilitation - to improve access to basic services as well as revitalize the local economy during and after crises;

· Debris management - to ease access and rebuild infrastructure; and

· Local governance support - to strengthen local government capacity for relief and recovery planning, co-ordination and implementation; and improve capacities for local level risk management and beneficiary tracking systems.

UNDP also supports:

Aid co-ordination - including the establishment of aid management mechanisms and systems, such as development assistance databases, aimed at reinforcing national ownership and streamlining national systems/budgets; and increased transparency and accountability for fund allocation and reporting;

Recovery planning and co-ordination - to support the capacity of key State institutions to assess the impact of the crisis and co-ordinate and fulfil their immediate response and recovery functions where they are lacking.

In addition to early recovery programmes that are part of the response to a crisis, UNDP can help ensure that early recovery as part of the humanitarian response contributes to an efficient transition to recovery and development. This transition includes capacity building efforts – a UNDP core activity – to enable national and local authorities to assume the co-ordination of programmes from humanitarian actors, many of whom are international agencies and organizations.

UNDP has a special role to play in assisting countries and their people to prevent crises (or at least the worst impact of crises) and as well as recover from them. This includes supporting disaster risk reduction (DRR)

interventions, particularly in countries affected by recurrent crises. UNDP maintains expertise in this area, both as an implementing agency, and as a central figure in supporting national DRR co-ordination efforts.

UNDP is well positioned to align the DRR interventions of humanitarian actors with development actors to complement large-scale, multi-year DRR programmes and ensure that humanitarian interventions are contributing to longer-term development programmes.

The Sendai Framework for Disaster Risk Reduction 2015-2030 succeeds the Hyogo Framework for Action 2005-2015. The Framework was adopted at the Third UN World Conference in Sendai, Japan on 18 March 2015 and is considered to be the first major agreement of the post-2015 development agenda in line with the Paris Agreement on Climate Change and the Sustainable Development Goals. The objective of the Framework is ´The substantial reduction of disaster risk and losses in lives, livelihoods and health and in the economic, physical, social, cultural and environmental assets of persons, businesses, communities and countries.´ The implementation of the Framework is supported by the United Nations Office for Disaster Risk Reduction (UNDRR)

Seven global targets were agreed and are continuously measured, namely:

1) Substantially reduce global disaster mortality by 2030, aiming to lower the average per 100,000 global mortality rate in the decade 2020−2030 compared to the period 2005− 2015;

2) Substantially reduce the number of affected people globally by 2030, aiming to lower the average global figure per 100,000 in the decade 2020−2030 compared to the period 2005−2015;9

3) Reduce direct disaster economic loss in relation to global gross domestic product (GDP) by 2030;

4) Substantially reduce disaster damage to critical infrastructure and disruption of basic services, among them health and educational facilities, including through developing their resilience by 2030;

5) Substantially increase the number of countries with national and local disaster risk reduction strategies by 2020;

6) Substantially enhance international cooperation to developing countries through adequate and sustainable support to complement their national actions for implementation of the present Framework by 2030;

7) Substantially increase the availability of and access to multi-hazard early warning systems and disaster risk information and assessments to people by 2030.

The Sendai Framework identified four priority areas for focused action:

Priority 1: Understanding disaster risk.

Priority 2: Strengthening disaster risk governance to manage disaster risk.

Priority 3: Investing in disaster risk reduction for resilience.

Priority 4: Enhancing disaster preparedness for effective response and to "Build Back Better" in recovery, rehabilitation and reconstruction.

As more countries move to reduce their exposure to the risk of disasters, the anticipated burden on the border for the receipt of displaced persons and the transit, acceptance and departure of humanitarian assistance and personnel should decrease. Increased preparedness efforts for all parties involved could be an important step to respond efficiently, effectively and expeditiously in times of a large-scale crisis or disaster that could not be foreseen and involves persons and goods crossing borders.

24th Border Management Staff Course for Women Leaders – Trip to Tajik and Uzbek border, June 2019.
(Parisa Sheralieva/OSCE/BMSC)

CHAPTER 7
RELEVANT INTERNATIONAL AND REGIONAL ASSISTANCE FRAMEWORKS

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Should a national self-assessment result in the identification of gaps in national legislation, procedures or protocols, States are encouraged to contact the following project partners which have expertise in strengthening national capacities in preparation for specific cross-border implications:

General disaster preparedness at the national level

The Inter-Agency Standing Committee (IASC) Reference Group on Risk, Early Warning and Preparedness was established in 2016 to "enhance preparedness to respond to the IASC system and, leveraging capability developed for this outcome, to develop preparedness of national and local actors." The Reference Group supports the Agenda for Humanity in its Core Responsibilities to better invest in risk analysis, preparedness and early action in line with the outcomes of the World Humanitarian Summit.[4] The IASC Gender Handbook for Humanitarian Action 2017 provides comprehensive coverage of gender basics and why the integration of gender equality is essential to all humanitarian protection and assistance. While it targets mainly frontline workers (UN and agencies, national/international NGOs engaged in humanitarian response) and offers guidance on the 11 different sectors of humanitarian action, it is also of relevance to government agencies that respond to crises.

The United Nations Development Programme has been mandated by the UN General Assembly to assist Member States in developing their capacity to better prepare for responding to disasters, acknowledging that disasters can erase decades of development achievement and the potential for preparedness to save lives and resources. Taking advantage of its presence in 170 countries and territories, UNDP has been specifically mandated to undertake operational activities for disaster mitigation, prevention and preparedness. "UNDP's disaster risk reduction (DRR) efforts help countries achieve the Sustainable Development Goals (SDGs) by both delivering and protecting development gains from the impacts of disasters and climate change. By working with governments and partners towards 'risk-informing' national, local and sectoral development planning processes, UNDP helps build the resilience of communities and nations in line with the Sendai Framework for Disaster Risk Reduction and the Paris Climate Agreement."[5]

UNDP helps States to respond to disasters and mitigate their effects. A Post Disaster Needs Assessment (PDNA) assesses the impact of disasters and identifies key recovery needs in a country emerging from disasters. The PDNA is an inter-agency initiative coordinated by the UN, the World Bank, and EU in support of the national governments. A Post-Disaster Needs Assessment provides all actors in a recovery process – including national and local authorities, international agencies, donors and local communities – with a multi-sectoral, technical overview of the damage and loss patterns and the principal recovery needs and priorities to be addressed to help with reconstruction, sustainable development and post-disaster risk reduction.

The United Nations Office for the Coordination of Humanitarian Affairs (UN OCHA) has developed a number of tools to assist States who intend to improve their emergency preparedness. UN OCHA supports the Humanitarian Country Teams to build internal response capacity and to build the capacity of national authorities and regional organizations to request or help mobilize international humanitarian assistance.

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4 IASC Reference Group on Risk, Early Warning and Preparedness | IASC (interagencystandingcommittee.org)
5 UNDP Since Sendai, May 17, 2017, UNDP Since Sendai | UNDP

OCHA has developed a checklist for Resident and Humanitarian Coordinators on Emergency Preparedness and Response in 2020. OCHA furthermore manages international response tools, including the United Nations Disaster Assessment and Coordination (UNDAC) system, the International Search and Rescue Advisory Group (INSARAG) and civil-military coordination. As active member of the Inter-Agency Sub-Working Group on Preparedness, UNOCHA promotes interagency efforts to strengthen governments´ capacities to better prepare and respond to disasters.[6]

The EU Civil Protection Mechanism (European Commission DG ECHO) offers a series of activities aimed at enhancing national preparedness including trainings, exercises, exchange of experts, preparedness projects, work on prevention etc. The **European Commission Directorate-General for Civil Protection and Humanitarian Aid Operations (DG ECHO)** together with States participating in the EU Civil Protection Mechanism developed the EU Host Nation Support (HNS) Guidelines. The HNS Guidelines aim at assisting the affected States to receive international assistance in the most effective and efficient manner. They imply all actions undertaken in the preparedness phase and the disaster response management by a State, receiving or sending assistance in order to remove as much as possible any foreseeable obstacle to international assistance so as to ensure that disaster response operations proceed smoothly. It also includes the support that States can provide to facilitate international assistance transiting through their territory by land, sea or air. The HNS Guidelines also provide a check list for the host (affected), sending and transiting States, templates for requesting and offering international assistance for both teams and in-kind, terms of reference for HNS Support Cell, template for country briefing, etc.[7]

Cross-border implications of natural disasters and crises for affected countries

The **United Nations Office for the Coordination of Humanitarian Affairs** has developed a Customs Model Agreement on facilitation measures for the importation of emergency relief consignments. States who wish to contribute to the expeditious delivery of international humanitarian assistance to the disaster-affected population, may sign such an agreement concerning measures to expedite the import, export and transit of relief consignments and possessions of relief personnel in the event of disasters and emergencies. Based on the Customs Agreement, UN OCHA, together with the World Customs Organization, could assist States to develop a related action plan and/or an emergency response plan, and to provide relevant authorities with the necessary skills and competencies to apply the exceptional measures that the government has decided to implement in case of emergency. [8]

The **IMPACCT Working Group** brings together technical partners to develop a collective approach and tools in support of national coordination mechanisms. The Working Group advocates for, and promotes the implementation of internationally recommended customs facilitation measures for humanitarian readiness and response. The IMPACCT Working Group is responsible for the development of high-level policy recommendations and is currently developing a document on cross-border facilitation measures.

The **International Federation of Red Cross and Red Crescent Societies** developed the *Guidelines for the domestic facilitation and regulation of international disaster relief and initial recovery assistance* (IDRL Guidelines), which were adopted by the State parties to the Geneva Conventions in 2007 and have been endorsed by the UNGA on more than 20 occasions. The IDRL Guidelines are a set of recommendations to governments on how

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6 www.unocha.org
7 http://ec.europa.eu/echo/index_en.htm
8 http://ochaonline.un.org/lsu

to prepare national disaster laws and plans for the common regulatory problems in international disaster relief operations. The Model act for the facilitation and regulation of international disaster relief and initial recovery assistance, jointly developed by the IFRC, UN OCHA and the Inter-Parliamentary Union, is designed to assist States with the implementation of these Guidelines. The IFRC's Disaster Law Programme is a global leader in disaster law technical advice for governments and is available, upon request, to provide advice to governments that are reviewing and updating their disaster laws, policies and plans.

The **World Customs Organization (WCO)** supports its Members in the area of disaster relief by setting standards for simplified and harmonized border procedures, delivering capacity building projects and enhancing the cooperation and coordination with other international organizations and relevant stakeholders. In terms of standard setting, several WCO instruments and tools are of particular relevance to the Customs' role in disaster relief. These are: i) the 1970 Recommendation of the Customs Co-operation Council to expedite the forwarding of relief consignments in the event of disasters; ii) the International Convention on the Simplification and Harmonization of Customs Procedures, as amended (Revised Kyoto Convention) and in particular Chapter 5 *Relief Consignments* of Specific Annex J, Chapter 3 *Clearance and Other Customs Formalities* of the General Annex and other provisions; iii) the Guidelines to the Revised Kyoto Convention; iv) the Convention on Temporary Admission (Istanbul Convention) and in particular Annex B.9 *Annex concerning goods imported for humanitarian purposes*, as well as the Istanbul Convention Handbook; and v) the 2011 Resolution of the Customs Cooperation Council on the Role of Customs in Natural Disaster Relief.

With regard to the capacity building domain, in the recent years the WCO organized regional seminars for five of the WCO regions. These events were delivered jointly with UN-OCHA and the IFRC) and were aimed at promoting the use of the existing instruments and tools of relevance to the role of Customs in disaster relief and at collecting information on Members' needs, challenges and best practices. Moreover, in the period May 2016 – September 2018, the WCO implemented the Customs for Relief of Epidemic Diseases (C-RED) Project. Since July 2020 the WCO is implementing the COVID-19 Project, the overall objective of which is to ensure the security, stability and continuity of global supply chains, and to facilitate and expedite the global supply of emergency relief goods. The project activities include the development of Guidelines on disaster management and supply chain continuity and the delivery of capacity building support to WCO Members. [9]

The **United Nations Office on Drugs and Crime (UNODC)** strengthens border management in its efforts to tackle transnational organized crime and assists Member States in all aspects of strengthening border management, including cross-border collaboration. UNODC has developed an integrated border management checklist which border agencies can use to review their preparedness and response capacities. In addition, the Office has worked on Safety and Efficiency Practices for the Police during the Pandemic and has provided country-specific guidance for police forces in countries which includes protocols to observe while performing their duties during the pandemic. Finally, guidance has been developed to guide law enforcement, border control and other front-line offices on how to safely handle and manage risk of exposure during the COVID-19 pandemic.

The **North-Atlantic Treaty Organization** has developed a *Checklist and non-binding guidelines for the request, reception and provision of international disaster assistance in the event of a CBRN incident or natural disaster and a Memorandum of understanding on the facilitation of vital civil cross border transport* to assist Allies´ national preparedness in requesting and receiving international assistance. NATO's Advisory Support Team consists of Civil Experts to support nations in assessing and developing national preparedness, response and recovery capabilities. The CBRN Inventory provides an overview of capabilities that nations might be willing to make available to mitigate the consequences of a CBRN incident. The Euro-Atlantic Disaster Response Coordination Centre is NATO´s focal point for Disaster Response. [10]

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9 http://www.wcoomd.org/
10 http://www.nato.int/eadrcc/

The **EU Civil Protection Mechanism** offers the possibility for Member States, when overwhelmed, to request assistance through the Mechanism and to receive transport funding for assistance deployed through the Mechanism. The Mechanism monitors the situation and transmits relevant information on the situation, co-ordinates deployment, assessments and provides technical expertise. It has also produced *Host nation support guidelines*.[11]

The **Office of the United Nations High Commissioner for Refugees (UNHCR)** was established on December 14, 1950 by the United Nations General Assembly. The agency is mandated to lead and co-ordinate international action to protect refugees and resolve refugee problems worldwide. Its primary purpose is to safeguard the rights and well-being of refugees. It strives to ensure that everyone can exercise the right to seek asylum and find safe refuge in another State, with the option to return home voluntarily, integrate locally or to resettle in a third country.

Generally, UNHCR seeks to reduce situations of forced displacement by encouraging States and other Institutions to create conditions which are conducive to the protection of human rights and the peaceful resolution of disputes. In pursuit of the same objective, UNHCR actively seeks to consolidate the reintegration of persons of concern, thereby averting the recurrence of displacement producing situations. In its efforts to protect persons of concern, the organization works in partnership with governments, regional organizations, IGOs and NGOs. By virtue of its activities, UNHCR strives to promote the purpose and principles of the United Nations Charter: mainly by contributing to activities which promote international peace and security, developing among nations and encouraging respect for human rights and fundamental freedoms.

The **International Organization for Migration (IOM)** supports States, upon their request and with their consent, to fulfil their responsibilities to protect and assist crisis-affected persons residing on their territory in a manner consistent with international humanitarian and human rights law. IOM has developed a Migration Crisis Operational Framework at the request of IOM Member States, which can be useful for states wishing to assess their preparedness capacities for incoming migration. The concept of Humanitarian Border Management requires border authorities to be prepared to respond appropriately to cross-border migration caused by natural or man-made disasters, in such a way to protect migrants affected by the situation of crisis and to guarantee the protection of their human rights, with respect to the national sovereignty and security. The Concept of Humanitarian Border Management has led to the development of country-focused standard operating procedures, such as in Serbia and Armenia.

The International Organization for Migration (IOM) is an operational actor in the field of human mobility, supporting migrants across the world, and developing effective responses to changing migration patterns; it is also a key source of advice on migration policy and practice. The Organization operates in emergency situations, developing the resilience of people on the move, particularly those in situations of vulnerability, as well as building capacity within governments to manage all forms and impacts of mobility.

IOM's emergency response approach is framed by an analysis of human mobility before, during and after a crisis according to a tool developed in 2012 at the request of IOM Member States: the Migration Crisis Operational Framework. The MCOF combines humanitarian activities and migration management services in a holistic manner, by identifying opportunities and challenges related to migration in preparedness and resilience building, peace-building, security sector reform, and in the transition from post-crisis recovery to longer-term development. Migration management activities are not traditionally part of humanitarian responses, but can help tackle migration aspects of a crisis more effectively, and are thus crucial for sustainable development.

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11 http://ec.europa.eu/echo/civil_protection/civil/index.htm

The MCOF complements existing international systems: specifically, it is designed to fit in with the Cluster Approach of the Inter-Agency Standing Committee and the international refugee protection regime. Member States are encouraged to use the framework for enhancing their own preparedness and response capacity to migration crises, as the IOM Council Resolution sets out.

The concept of Humanitarian Border Management, one of the fifteen sectors of the MCOF, requires border authorities to be prepared to respond appropriately to cross-border migration caused by natural or human-made disasters, in such a way to protect migrants affected by the situation of crisis and to guarantee the protection of their human rights, with respect to the national sovereignty and security. The Concept of Humanitarian Border Management has led to the development of country-focused standard operating procedures, such as in Serbia and Armenia.

IOM also hosts the Secretariat of the MICIC initiative, a States-led platform aimed to improve the protection of migrants when the countries in which they live, work, study, transit, or travel experience a conflict or natural disaster.

Cross-border implications of natural disasters and crises for neighboring countries

The **United Nations Economic Commission for Europe** *Convention on the transboundary effects of industrial accidents*, promotes active international co-operation between countries, before, during and after an industrial accident. Through its Assistance Programme, UNECE supports countries from Eastern Europe, Caucasus, Central Asia and South Eastern Europe in implementing the Convention, and user-friendly benchmarks were developed. In addition, tools are designed[12] to enhance efforts of participating countries in the implementation phase of the Assistance Programme and to grant sustainability in the countries of the activities organized. UNECE has equally developed a number of guidelines, such as the UNECE Checklist for contingency planning for accidents affecting transboundary water, the UNECE Safety Guidelines and Good Practices for Tailings Management Facilities, the Checklist methodology for the safe management of tailings management facilities, the Words into Action (WiA) Guidelines: Implementation Guide for Man-made and Technological Hazards and the UNECE Safety guidelines and good practices for the management and retention of firefighting water.

The **United Nations Office for the Coordination of Humanitarian Affairs**, together with the United Nations Environment Programme (UNEP), has developed *Environmental emergencies guidelines*. The Guidelines aim to advise both providing and potential recipient countries on how to mobilize, receive and/or provide international assistance in the event of an environmental emergency. The *Flash environmental Assessment Tool* (FEAT) helps to identify existing or potential acute environmental impacts that pose risks for humans, human life-support functions and ecosystems, following sudden-onset natural disasters. FEAT focuses primarily on immediate and acute impacts arising from released hazardous chemicals. The *Environmental Emergencies Centre* (EEC) is an online tool designed to strengthen the capacity of national responders to environmental emergencies by building on their own mechanisms and drawing on the resources and services of EEC partners. It offers tools and guidelines, including several online trainings to enhance preparedness activities and response action. (www.eecentre.org) UNOCHA, together with UNEP, supported the United Nations Office for Disaster Risk Reduction (UNDRR) to develop the Words in Action (WiA) Man-Made and Technological Hazards Guidelines: Practical Considerations for Addressing Man-Made and Technological Hazards in Disaster Risk Reduction.

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12 For instance the Benchmarks, containing indicators and criteria developed for the implementation of the Strategic Approach.

The **World Health Organization** has developed the *International Health regulations* (IHR) (http://www.who.int/ihr/) to prevent, protect against, control and provide a public health response to the international spread of disease in ways that are commensurate with and restricted to public health risks, and which avoid unnecessary interference with international traffic and trade. The IHR also provide the legal basis for important health documents applicable to international travel and transport and sanitary protections for the users of international airports, ports and ground crossings. The WHO Lyon Office (http://www.who.int/ihr/lyon/en/index.html) assists States to implement the Regulations. WHO Global Alert and Response Unit supports Member States for the implementation of national capacities for epidemic preparedness and response in the context of the IHR, including laboratory capacities and early warning alert and response systems. The WHO Regional Office for Europe (http://www.euro.who.int) is working with its Member States towards strengthening health-system capacity by providing technical assistance in developing and implementing crisis preparedness and management programmes, and has developed a *Toolkit for assessing health-system capacity for crisis management.*

The **European Commission Directorate-General for Health and Food Safety (DG SANTE)** has developed a Strategy for Generic Preparedness Planning Technical guidance on generic preparedness planning for public health emergencies. The European Parliament and the Council have reached an agreement on a *Decision on serious cross-border threats to health.*

Other EU instruments in place:

- An EU action plan on chemical, biological, radiological and nuclear (CBRN) security provides an all-hazard approach focusing on the prevention and detection of, as well as preparedness and response to, CBRN threats.

- The internal security strategy sets out the challenges, principles and guidelines for dealing with security threats relating to organised crime, terrorism and natural and man-made disasters. Its objective 5 addresses more particularly cross-sectoral threats posed by natural and man-made crises and disasters. This necessitates improvements to long-standing crisis and disaster management practices in terms of efficiency and coherence.

- The Instrument for Stability is an EU instrument, under which the EU helps third countries in preventing conflicts or in responding to actual crises as they unfold. The instrument also includes a component that allows the EU to help a wide range of global actors build their capacities to perform work in the field of peace-building. It includes the response to natural or man-made disasters and threats to public health, and the mitigation of risks connected to chemical, biological, radiological or nuclear material or agents.

- The Solidarity clause, introduced by Article 222 of the Treaty on the Functioning of the European Union, provides the option for the Union and its Member States to provide assistance to another Member State which is the victim of a terrorist attack or a natural or man-made disaster.

Frontex, the European Border and Coast Guard Agency, promotes, coordinates and develops European border management in line with the EU fundamental rights charter and the concept of Integrated Border Management. The Vulnerability Assessment Unit has developed a Handbook on Contingency Planning for Border Management to provide guidance for practitioners working in this field, particularly in relation to migration. In light of the COVID-19 pandemic, FRONTEX has issued operational guidance on the lifting of temporary restrictions on non-essential travel to the EU.

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The United Nations Office of Counter-Terrorism (UNOCT) supports Member States to implement the UN Global Counter-Terrorism Strategy. The global Border and Security Management programme aims to prevent the cross-border movement of terrorists and stem the flow of foreign terrorist fighters through improved border security and management and cross-border cooperation among beneficiary countries. The Programme assists countries integrating such practices within their national strategies and action plans to counter terrorism and enhances the skills of border officers. The Office has published a number of handbooks and good practices on the topics of border security and management in the context of counter-terrorism.

Additionally, the **UN Countering Terrorist Travel Programme (CTTP)** assists Member States in building their capabilities to prevent, detect, and investigate terrorist offences and other serious crimes, including related travel, by i) collecting and analysing travel information such as passenger data, namely Advance Passenger Information (API) and Passenger Name Record (PNR); ii) improving the use of international databases with known and suspected terrorists and criminals, such as the databases of the International Criminal Police Organization (INTERPOL); and iii) enhancing international information exchange, in line with UN Security Council resolutions 2178, 2396, and 2482. It is being implemented in an 'all-of-UN' partnership by the United Nations Office of Counter-Terrorism (UNOCT) in cooperation with the Counter-Terrorism Committee Executive Directorate (CTED), the International Civil Aviation Organization (ICAO), the United Nations Office of Information and Communication Technology (OICT), the United Nations Office on Drugs and Crime (UNODC) and INTERPOL.

The **International Centre for Migration Policy Development (ICMPD)** supports its Member States and partners through sharing knowledge and expertise in all fields of migration management. ICMPD facilitates migration dialogues within regional networks and offers trainings and capacity-buildings on eight thematic areas, including border management, preventing and curbing irregular migration, return and readmission, asylum and international protection, combatting Trafficking in Human Beings (THB) and related forms of exploitation, legal / labour migration / immigration, social cohesion, and migration and development.

Cross-border implications of natural disasters and crises for transit countries

For assistance in strengthening national capacities to act as transit country for relief assistance, the tools on importing relief assistance refer also to preparedness for transiting relief goods, personnel and equipment.

Cross-border movements in the recovery phase

For assistance in strengthening national capacities export relief assistance, the tools on importing relief assistance refer to preparedness for re-exporting relief goods, personnel and equipment after the end of an emergency phase.