

Crisis Prevention and Recovery

United Nations Development Programme Asia-Pacific Regional Centre



Strengthening Capacities for Disaster Risk Reduction

A Primer

Key features of the Primer on the Strengthening Capacities for Disaster Risk Reduction include:

- An analysis of current capacity development interventions for disaster risk reduction;
- An adaptation of the CD methodology to the specific context of disaster risk reduction;
- Experiences from the region which provide case studies and practices related to the CD cycle, including capacity assessments and capacity development response strategies.

Coverage

Regional

Focus Area

Disaster Risk Reduction and Capacity Development

Audience

Primary: UNDP practitioners;
Secondary: Partner agencies of UNDP

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A Primer**

The analysis, opinions and policy recommendations contained in this publication do not necessarily reflect the views of UNDP.

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Strengthening Capacities for Disaster Risk Reduction A Primer

United Nations Development Programme
Regional Crisis Prevention and Recovery Programme



Preface

Strengthening Capacities for Disaster Risk Reduction has been developed against the backdrop of the United Nations Development Programme's (UNDP's) longstanding commitment to supporting developing and high-risk countries through its programmes and services for capacity development and disaster risk reduction. Capacity development is UNDP's overarching contribution to development programming to facilitate achievement of the MDGs and support sustainable human development. Disaster risk reduction is an equally urgent area of focus for UNDP, given that the development context remains marred by disasters that pose a threat to development gains.

This primer has been developed in support of these important overarching frameworks and commitments. It is a result of collective endeavours and contributions by experts and specialists in the fields of both disaster risk reduction and capacity development in the region. It is a product of a thorough and participatory process of consolidating inputs, ideas and contributions from countries that are implementing disaster risk reduction efforts. It has been shaped by real experiences and case studies on the ground that illustrate the importance of a systematic approach to strengthening capacities for disaster risk reduction and the current trends in doing so. The substance and design of this primer come from a structured process of optimizing engagement from practitioners and drawing on existing knowledge and experiences in the region.

The primer remains a work in progress. The authors invite inquiries and feedback on the document. This is in recognition that capacity development for disaster risk reduction is continuously evolving over time. To ensure that this primer remains relevant to the changing environment where it is applied and used, the document will continue to be updated and revised.

Process for developing the primer

The primer was initiated through a brief survey carried out through the Disaster Reduction Management (DRM)-Asia Community of Practice inviting members to identify the need, purpose, audience and key themes for such a primer. This was followed by a compilation and analysis of relevant project documents to indicate the trends across UNDP projects and initiatives addressing capacity development in the area of risk reduction. The next phase was a regional 'write-shop' in which some practitioners contributed more actively to the development of the primer through written inputs as well as by providing real experiences that serve as case studies. The last stage of finalizing the primer has been through a virtual peer review involving practitioners across the region.

Acknowledgements

The process of developing the primer was facilitated by the UNDP Regional Crisis Prevention and Recovery Programme based at the Asia-Pacific Regional Centre (APRC). Acknowledgement is due to Ms Maria Gemma Perez-Dalena for her significant contribution to developing this primer. The core UNDP team at APRC working on this were: Robert Bernardo, Sanny Jegillos, Rajesh Sharma, Radhika Behuria, Pairach Homtong and Ashley Palmer. Members of the DRM-Asia community of practice provided input through e-discussions and a regional writeshop; Arndt Husar, Moortaza Jiwajji, Mohammad Sifayet Ullah, Yang Fang, Malika Amril, Siti Agustini, Govinda Padmanabhan, Vijaya Singh, Bui Viet Hien and Diana Brandes. Finally, several UNDP colleagues generously shared their experience and expertise for both the content and review processes.



Definitions of key terms

Capacity	The ability of individuals, organizations and societies to perform functions, solve problems and set and achieve objectives in a sustainable manner.
Capacity assessment	This is an analysis of desired capacities against existing capacities, which generates an understanding of capacity assets and needs and serves as input to formulating a capacity development response. ¹
Capacity builders	A set of existing and/or potential service providers or partners which can be engaged to deliver services when the implementing capacities of the project team are not sufficient or are overwhelmed. This may be individual experts/consultants or institutions or resource agencies in the field of DRR and/or development
Capacity development (CD)	The process through which individuals, organizations and societies obtain, strengthen and maintain the capabilities to set and achieve their own development objectives over time. ²
CD for DRR results	The actual or intended change in the levels of disaster risks or human development or development conditions enabled by a system or a set of DRR interventions to move from an existing state to a higher state of capacity, which then enables it to contribute to DRR in particular and human development in general. It is a product of a chain of events, through the stages of inputs-activities-outputs-outcomes-impact.
CD for DRR	A process through which the abilities of individuals, organizations and societies to minimize vulnerabilities to disaster risks, to avoid (prevent) or to limit (mitigate and prepare for) the adverse impacts of hazards are obtained, strengthened, adapted and maintained over time.
CD response	An integrated set of deliberate and sequenced actions embedded in a programme or project to address the three guiding questions: 'capacity for what reasons?', 'whose capacity?' and 'capacity for what?' ³
Disaster risk reduction (DRR)	The conceptual framework of elements considered with the purpose of minimizing vulnerabilities and disaster risks throughout a society, to avoid (prevent) or to limit (mitigate and prepare for) the adverse impacts of hazards, within the broad context of sustainable development. ⁴

1 UNDP (2008) Capacity Assessment Methodology User's Guide

2 UNDP (2007) Capacity Development Practice Note

3 Ibid, p. 12

4 UN/ISDR, Terminology on Disaster Risk Reduction (2009)

Acronyms and Abbreviations

AADMER	ASEAN Agreement on Disaster Management and Emergency Response
ADB	Asian Development Bank
APRC	Asia-Pacific Regional Centre
ASEAN	Association of Southeast Asian Nations
CA	Constituent Assembly
CBDRR	community-based disaster risk reduction
CC	climate change
CCA	common country assessment
CD	capacity development
CDMP	Comprehensive Disaster Management Programme
CO	Country Office
COP	community of practice
CP	Country Programme
CPR	crisis prevention and recovery
CRA	community risk assessment
DDRC	District Disaster Relief Committee
DIA	disaster impact assessments
DRM	disaster risk management
DRM-Asia	Disaster Risk Management-Asia
DRR	disaster risk reduction
EWS	early warning system
GAR	Global Assessment Report
GIS	geographic information system
HAP	Humanitarian Accountability Partnership
HFA	Hyogo Framework for Action
IASC	Inter-Agency Standing Committee
IEC	information, education and communication
IFRC	International Federation of the Red Cross
IMS	information management system
ISDR	International Secretariat for Disaster Reduction
LDC	least developed country
MBA	Master of Business Administration
MDGs	Millennium Development Goals
M&E	monitoring and evaluation
MoHA	Ministry of Home Affairs
MoFDM	Ministry of Food and Disaster Management
MSU	management support unit
NAPA	National Adaptation Programme of Action
NCDM	National Centre for Disaster Management
NDC	National Disaster Centre
NDMA	National Disaster Management Authority
NDMC	National Disaster Management Council or Committee



NDMO	National Disaster Management Office
NDM-P	National Disaster Management Partnership
NEDA-RDO	National Economic Development Authority – Regional Development Office
NIDM	National Institute of Disaster Management
NGO	non-government organization
ODA	Official Development Assistance
PME	Planning, Monitoring and Evaluation
PCU	project coordination unit
PRSP	Poverty Reduction Strategy Paper
PSC	project steering committee
PSU	project support unit
RBM	results-based management
RCPR	Regional Crisis Prevention and Recovery
RIMES	regional integrated multi-hazard early warning system
RMI	Republic of the Marshall Islands
RRF	results and resources framework
SAARC	South Asian Association for Regional Cooperation
SOD	Standard Orders for Disasters
SOP	standard operating procedure
SOPAC	Secretariat of the Pacific Community Applied Science and Technology Division
UN	United Nations
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNOCHA	United Nations Office for the Coordination of Humanitarian Affairs
WASH	water, sanitation and hygiene
WBI	World Bank Institute

Table of Contents

Preface	ii
Acknowledgements	iii
Definitions of key terms	iv
Acronyms and Abbreviations	v
The Structure of the Primer	1
Chapter 1	2
Introduction to the primer	2
A. Rationale for the primer	2
B. Who is the primer for?	3
C. What does the primer offer?	3
D. Framework: CD for DRR	4
E. How do we use this primer?	5
Chapter 2	6
The scope of CD for DRR	6
A. Why CD for DRR?	6
B. Capacity for what?	8
C. Whose capacity?	9
Chapter 3	11
CD for DRR: The process	11
A. Basic CD principles	11
B. The capacity development cycle	11
Step 1: Engage stakeholders	11
Step 2: Assess capacity	12
Step 3: Formulate a CD response	13
Step 4: Implement the response	13
Step 5: Evaluate CD	13
Chapter 4	14
CD for DRR results	14
A. Overview	14
B. The results matrix	14



Chapter 5	15
CD for DRR strategies	15
A. Overview	15
B. Core issues	15
C. CD response strategies	15
Chapter 6	18
Measuring capacity results	18
A. Overview	18
B. Measuring capacity changes brought about through CD response strategies	19
Chapter 7	20
Capacity builders	20
A. Overview	20
B. Criteria for choosing capacity builders	20
C. Types of capacity builders	20
D. Existing or potential capacity builders	21
Chapter 8	22
Document library	22
A. Compilation of relevant documents	22
I. Terms of Reference	22
II. Project Documents	22
III. Tools and Guidelines	23
IV. Case Studies and Lessons Learnt Report	23
B. Feedback section	23
Annexes	24
References for further reading	24
Annex to Chapter IV	26
Annex to CHAPTER V	32
Annex to CHAPTER VI	38
Annex to CHAPTER VII	42
Collection of Case Studies	48
1. China	48
2. Nepal	50
3. Vietnam	58
4. Bangladesh	60
5. Pacific	62
6. Indonesia	64
7. India	66

The Structure of the Primer

Introduction to the primer

This chapter describes the rationale, the end-user and purpose of the primer. It introduces the framework which captures the basic philosophy and principles of an integrated approach to CD for DRR. It also briefly illustrates a process of how to use the primer.

The scope of CD for DRR

This chapter attempts to introduce the concept of CD for DRR. It discusses what CD means when applied in the context of DRR.

CD for DRR - the process

This chapter proposes a menu of CD for DRR strategies or programmatic responses to develop capacity. It also encapsulates UNDP's CD approach as a conceptual basis for doing CD in DRR.

CD for DRR results

This chapter presents suggested sets of CD for DRR results that could be achieved through the process of developing functional and technical capacities across the three tiers of enabling environment, organizational and individual levels. These results are arranged vis-a-vis the HFA Priorities for Action.

CD for DRR strategies

This chapter expounds on the four core issues of capacity development. It outlines a number of possible CD for DRR response strategies under each of the core issues where capacity gaps are often identified. The CD strategies are further categorized into the three levels of capacities.

Measuring results

This chapter gives you an idea of measuring capacity results in DRR. It presents a menu of options on CD for DRR outputs and output indicators. The outputs and output indicators have been organized to correspond to the four CD response strategies that were introduced in the ensuing chapter.

Capacity builders

This chapter deals with a set of suggested criteria for identifying and selecting the most appropriate service providers for CD for DRR. The types of capacity builders and the pros and cons for utilizing their expertise are also discussed. A menu of options of capacity service providers is also included.

Document library

This section of the primer provides a collection of relevant project documents from UNDP country offices which can be used for further reference. The primer provides direct hyperlinks to these documents. Following this chapter is the Annex section which contains the list of references, annexes to the chapters and a collection of case studies.

Introduction to the primer

A. Rationale for the primer

Capacity development (CD) and disaster risk reduction (DRR) are currently placed at the core of UNDP's mandate and functions. These two practice areas have been formulating and implementing programmes and interventions alongside each other. However, there are few resources, reports and documents available that point to an integrated approach of implementing these two complementary areas of work. The primer seeks to address this gap through a participatory and collective effort by practitioners and experts of both sectors to develop an integrated framework for capacity development for disaster risk reduction or, as simply termed in this primer, 'CD for DRR'.

UNDP's corporate policy on CD for DRR is based on country-level experiences and demand. Practitioners in the region have pointed out strengths and weaknesses, and identified the key programming and operational issues often encountered in the 'business' of CD for DRR. This highlights the lack of an integrated approach to implementing CD for DRR (see Box 1).

In strengthening capacities for DRR in the region, the Regional Crisis Prevention and Recovery (RCPR) team has carried out a number of initiatives in partnership with UNDP Country Offices (CO) and partners who serve as lead agencies in DRR efforts at the country level. Some of this work has entailed carrying out comprehensive capacity assessments in Indonesia, Philippines, Sri Lanka and Timor-Leste, which have shown varying levels of capacity. In 2008, a regional workshop was organized on CD for DRR by the Asia Pacific Regional Centre (APRC). At this workshop participants were familiarized with UNDP CD methodology, and identified the limitations of using a generic framework. This exercise highlighted the need for a package or tool

Box 1: Issues encountered by practitioners in implementing CD for DRR in UNDP programmes

Weaknesses

- Difficulties in defining and achieving 'combined' CD–DRR results.
- DRR programmes/projects are activity-focused and rigidly process-oriented, relegating achievements in building DRR capacity to the sidelines.
- The prevailing practice of capacity 'substitution' places heavy reliance on external experts to undertake DRR responsibilities and tasks, leaving in-house and in-country capacities under-utilized.
- DRR practitioners have limited access to CD innovations.
- DRR programming and project development can sometimes be too ambitious, neglecting the basics of developing functional and technical capacities.
- Competing priorities among practice areas i.e. gender, climate change, democratic governance, poverty reduction, crisis prevention and recovery.
- Interventions are often regarded as a time-bound project rather than a continuing programme, raising issues of sustainability and ownership.

Strengths

UNDP's internal DRM and DRR technical skills.

- Country presence of UNDP and its relationships with national governments at country level.
- UNDP's position as a neutral broker and convening force in the development realm.
- Presence of regional and global networks and partnerships.
- Mobilization of cross-sectoral expertise.

Source: *Regional Writeshop for Primer Development "Strengthening Capacities for Disaster Risk Reduction", 25–27 August 2010, Bangkok.*

that is adapted specifically to strengthening capacities in risk reduction, including capacities in the design and implementation of programmes.

Similarly, the project document analysis undertaken to inform this primer⁵ noted the need to embed CD in the programme/project formulation process and in the programmatic interventions for DRR. In doing so, the focus must be placed on developing both the technical capacities important for dealing with specialized subject matter on DRR, as well as the functional capacities needed for operationalization. The analysis also noted that DRR programmes and projects tend to set high-level outcomes: for example, the mainstreaming of DRR in development, the establishing of legal systems and frameworks for DRR, etc. However, there often remain critical functional capacity gaps in the very institution or organization that is expected to lead, coordinate and implement DRR initiatives. There is a glaring 'disconnect' between levels of ambition and the capacities required to achieve higher DRR goals and results. Thus there is a need to ensure that CD interventions and responses are integrated in the overall DRR programme or project approach and results framework.

B. Who is the primer for?

The primer is intended for UNDP use, particularly by the Crisis Prevention and Recovery (CPR) focal points in the Asia-Pacific region. More specifically, it is for the use of practitioners and programme staff who formulate, manage and implement DRR programmes, projects and activities. It is also intended to be a useful resource for UNDP managers who provide oversight and quality assurance for programmes, projects, processes and products aiming at the reduction of disaster risks and adaptation to climate change (CC). DRR and CC focal points in the country offices could act as disseminators in providing and sharing relevant content with partners involved in similar initiatives.

C. What does the primer offer?

The primer consolidates information about current practice on CD for DRR initiatives in the region. It seeks to be a reference and source of guidance on the fundamentals and basic concepts of applying an integrated approach to CD for DRR. It is not however an encyclopaedia of DRR concepts or CD approaches.

The primer provides foundational knowledge on how to formulate and monitor CD strategies and interventions for DRR. It views DRR through a CD lens, identifying where best practices, tools and methodologies for CD are being utilized in DRR programme and project development, in the hope of improving the practice of CD in DRR. It is intended to be a readily accessible collection of references that specifically responds to users' needs, builds on existing toolkits, and is shaped directly by the experiences of and contributions from practitioners in the region. Information in the primer regarding programme formulation, implementation and monitoring can be contextualized as needed.

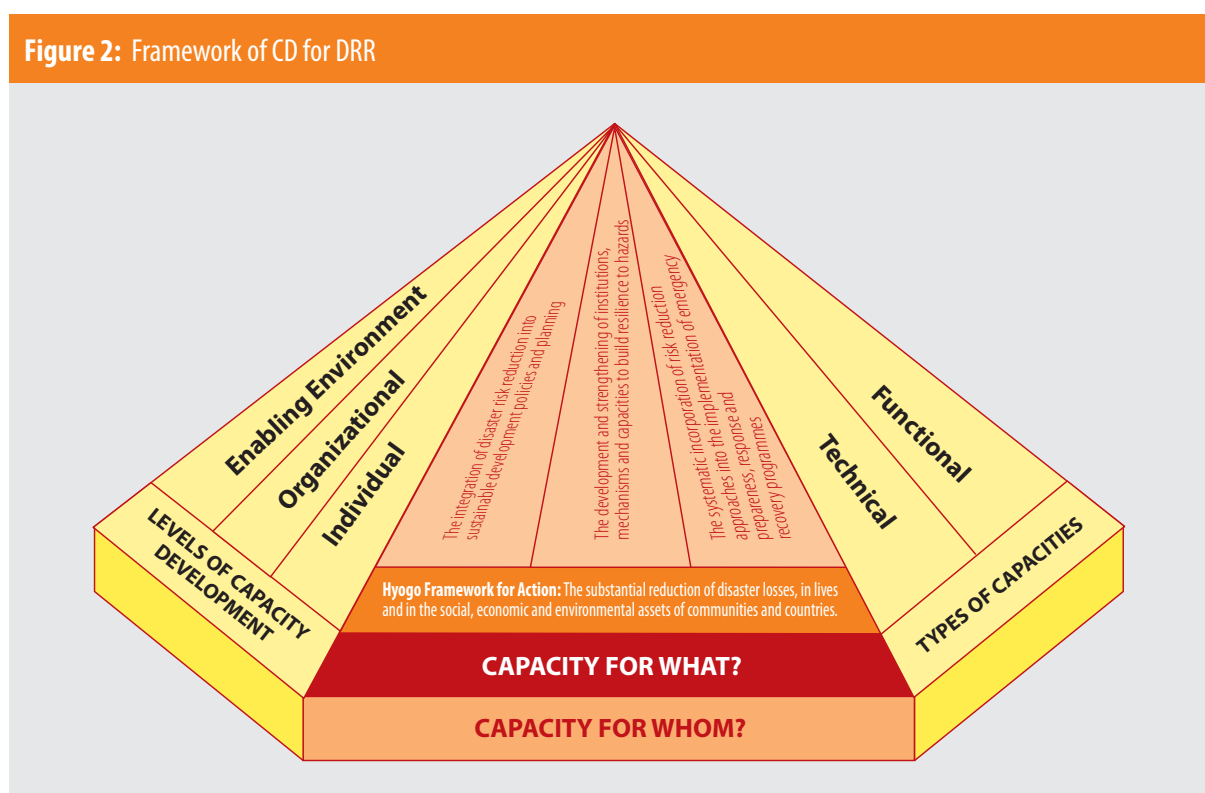
5 The Project Document Analysis is a brief report which involved the analysis of 11 project documents from 11 countries in South East, South West and South Asia. Its primary aim was to compile and produce an analysis of practices and real experiences of capacity development initiatives in DRR programmes and projects.

D. Framework: CD for DRR

The primer applies UNDP’s CD methodology to DRR programmes and initiatives. During the process of developing the primer, the term ‘Capacity Development for Disaster Risk Reduction’ (or CD for DRR) has been coined and is used extensively.

CD for DRR is a process through which the abilities of individuals, organizations and societies to minimise vulnerabilities to disaster risks, to avoid (prevent) or to limit (mitigate and prepare for) the adverse impacts of hazards are obtained, strengthened, adapted and maintained over time.

The philosophy, principles and substance of an integrated approach to CD for DRR are captured in the framework below (see Figure 1).



The framework attempts to answer some of the following questions: Whose capacities do we need to develop? To what end do we need to develop this capacity? What kinds of capacities need to be developed for this? What will be their purpose? How do we measure and monitor these capacities and the results that they are meant to achieve? It offers analysis with reference to achieving the broader development objective i.e. the reduction of disaster risks, specifically, “the substantial reduction of disaster losses, in lives and in the social, economic and environmental assets of communities and countries” – the goal articulated in the Hyogo Framework for Action (HFA).⁶

6 Link to the HFA <http://www.unisdr.org/2005/wcdr/intergover/official-doc/L-docs/Hyogo-framework-for-action-english.pdf>

The HFA i.e. its five priorities for action, the three levels of capacity (the enabling environment, organizational and individual levels), and the types of capacities (functional and technical) are cited throughout this primer and form the basis of an integrated approach to CD for DRR.

E. How do we use this primer?

As noted in the preceding section, this primer is intended as resource material for users – primarily UNDP staff who are directly or indirectly involved in DRR work. While it provides suggestions and guidance to improve the practice of CD in the field of DRR, the options for formulating initiatives and programmes are neither exhaustive nor prescriptive, as they are based on a mapping of existing practices in a set of countries in the region.⁷ The use of any of these options will depend upon the contextual realities at the country level.

To best understand the content and flow of this primer, it is recommended to have a closer look at the framework of the primer as detailed in this introductory section.

The chapters are arranged according to a logical sequence of the key elements essential for programming and project formulation.

- Chapter I provides a brief introduction to the primer itself.
- Chapter II describes the scope of CD for DRR. It makes extensive reference to the HFA when discussing the underlying reasons for doing CD for DRR. It also provides a brief narrative on levels and types of capacities.
- Chapter III provides an overview of the CD process, using the UNDP approach.
- Chapter IV refers to the HFA priorities in describing CD for DRR results according to priorities for action. Functional and technical capacities for each priority are also identified across the three tiers of capacity development – enabling environment, organizational and individual levels.
- Chapter V introduces CD strategies for addressing capacity gaps in DRR programs and interventions.
- Chapter VI looks at evaluating CD for DRR interventions, and provides examples of outputs and indicators for measuring CD results.
- Chapter VII provides a typology of capacity builders for both functional and technical capacities, classified according to the HFA Priorities for Action.

This primer should be read in conjunction with the UNDP Practice Notes on Capacity Development and Capacity Assessment, the UNDP CD Primer as well as the Hyogo Framework for Action, as they provide explanations of the terms and concepts used in this document.

7 Full set of analysis is referred to in the ProDoc Analysis 1

The scope of CD for DRR

This chapter attempts to introduce the concept of CD for DRR. It discusses what CD means when applied in the context of DRR. The first part of the chapter outlines the relevant references in corporate policies and international frameworks as well as the ProDoc Analysis report,⁸ the CCA-UNDAF and Capacity Assessment Reports of selected countries in the region. The chapter also covers the types of capacities, the three levels and core issues of CD.

A. Why CD for DRR?

CD and DRR are both at the core of UNDP's priorities. UNDP considers CD to be the "how" of development, at the heart of the organization's mandate and functions.⁹ Numerous UNDP corporate policies, international commitments and frameworks emphasize the significance of CD for DRR in achieving sustainable development. These can be viewed in Annexes:

- UNDP Strategic Plan (2008–2013)³⁷
- Hyogo Framework for Action
- Common Country Assessment (CCA)/UN Development Assistance Framework (UNDAF) Guidelines
- Global Assessment Report (GAR) 2009
- Integrating DRR into UNDAFs (Powerpoints).

Lessons learnt from past experience demonstrate the importance of local leadership and ownership of CD interventions — outside actors can support but should not drive the process. When undertaking CD work, two critical questions need to be asked: whose capacity, and capacity for what? The UNDP goal is to support partners in developing their own capacities to lead, manage, achieve and account for their priorities. This emphasis is highly relevant for DRR, given that: (a) disaster risk will only be effectively reduced if there is strong national and local ownership/capacity; and (b) effective emergency response, when disasters do occur, relies on the appropriateness and timeliness of national and local interventions. The HFA makes specific reference to empowering communities and local authorities to manage their own development by supporting their access to necessary information, resources and authority to implement DRR actions as a part of their decision-making. CD should be at the centre of DRR planning and programming, not inserted as an afterthought or add-on.¹⁰ Strengthening governance arrangements, improving management of investments and developing capacities are key requirements for addressing the underlying risk factors, and for ensuring investments for DRR are in place. Investing today to strengthen risk-reducing capacities is critical to making a safer tomorrow.

8 See Analysis of UNDP CO DRM/DRR project documents to inform the development of the primer on "Strengthening Capacities for DRR"

9 Refer to *UNDP Strategic Plan (2008–2011)*

10 Ibid.

The Global Assessment Report (GAR) 2009¹¹ highlights the causes of underachievement of most of the HFA indicators which, among other factors, points to the lack of technical, financial and human resource capacities. Examples of challenges directly owing to low levels of capacity (across indicators) are outlined in Box 2. These challenges clearly highlight the relevance of an integrated approach for CD and DRR.

Box 2: Challenges to achieving the HFA Priorities for Action

HFA Priority for Action 1: Making DRR a policy priority, institutional strengthening

- Lack of adequate financial, human and technical capacities to address DRR.
- Local governments, particularly in rural and isolated areas, experience additional limitations of institutional capacities for addressing disaster risk.
- Difficulties in gaining commitment to DRR from development sectors, local governments and other stakeholders in the private sector and civil society, due to a lack of political authority and the necessary technical capacities.

HFA Priority for Action 2: Risk assessment and early warning systems

- Weak or non-existent specialist institutions able to produce national and local risk assessments based on hazard and vulnerability information, specialized institutions are weak or non-existent; many experience financial constraints and dependency on external partners that sometimes do not respond to national priorities.
- Systems to monitor, archive and disseminate data on key hazards and vulnerabilities are constrained by a lack of resources to acquire and maintain equipment.
- Lack of technical capacities, equipment, human and financial resources for early warning.
- Difficulties in the strengthening of local capacities and the linking of hazard monitoring to disaster preparedness systems.

HFA Priority for Action 3: Education, information and public awareness

- Constraints in the financial, technical and human capacities for research, and a lack of tools for multi-risk assessments and cost-benefit analysis.
- Excessive dependency on external funds and partners, without a transfer of skills and competency.
- Lack of capacity among educators and trainers to integrate DRR in school curriculums.

HFA Priority for Action 4: Reducing underlying risk factors


- Organizations responsible for disaster reduction often have neither the political authority nor the technical capacity to intervene in environmental planning and regulation, in the design of social development and poverty reduction plans and programmes, and in economic development planning.

HFA Priority for Action 5: Preparedness for effective response

- Lack of adequate and permanent budgetary allocation and financial support, resources and capacity development, particularly at the local level, for developing strong policies and technical and institutional capacities and mechanisms for disaster risk management. On disaster preparedness and contingency plans, weaknesses in local capacities in many high-risk areas, seen in the absence of methodical and regular drills and simulations, outdated contingency plans, and a lack of accountability.

Source: 2009 Global Assessment Report on Disaster Risk Reduction

11 Link to United Nations (2009). Risk and Poverty in a Changing Climate: The Global Assessment Report on DRR



Moreover the experience and results of capacity assessments and CD initiatives in some countries in the region also point towards the merit and advantage of viewing DRR interventions through a CD lens. It enables the design and formulation of programmes and projects to be responsive to real and concrete CD issues and capacity gaps. The experience of Lao PDR is a case in point. Following a capacity assessment of its National Disaster Management Office (NDMO), it was able to make small yet important strides in transforming itself into a capable and effective player in the field of disaster risk management.¹² The findings and recommendations also formed an important basis of the new two-year UNDP-supported project to assist institutional strengthening and CD on disaster risk management in the country.¹³ Other capacity assessment processes in countries, including Indonesia, the Maldives, Philippines and Timor-Leste, have also pointed to the value of CD in DRR programming and project formulation. While the results of these processes still remain to be seen in the near future, the initial findings and recommendations with regard to capacity assessment and CD have already proven useful.

The analysis of project documents carried out to inform the primer also indicates that most projects designed and implemented have shown relatively weak application of CD, although the term is often tagged and used frequently in the project titles. Projects often do not explicitly identify what types of capacities require strengthening (i.e. functional or technical), nor do they identify whose capacities are to be strengthened and at which level – whether at the level of enabling environment/institutions, organizations or individuals.

B. Capacity for what?

UNDP's CD approach recognizes two types of capacities: functional and technical. These capacities reside across the structures of government, the private sector, and civil society or the non-state actors in both formal and informal institutions.

Functional capacities are a set of skills related to planning, implementing, monitoring and evaluating initiatives for DRR.¹⁴ UNDP has identified five functional capacities that are central to the outcome of development endeavours. The functional capacities are as follows:

- (a) Capacity to engage with stakeholders (i.e. to build and manage partnerships, to foster an enabling environment for civil society and private sector);
- (b) Capacity to assess a situation and define a vision and mandate (i.e. to gather information and conduct evaluative analysis, to adapt global knowledge to the local context, and to translate this into a vision and mandate for the future);
- (c) Capacity to formulate policies and strategies (i.e. to set objectives, to develop appropriate policies, to develop strategies and draw up action plans);
- (d) Capacity to budget, manage and implement (i.e. to develop budgets for CD strategies and actions, to implement strategies, action plans and policies, and to mobilize and manage resources);

12 Refer to UNDP's *The Story of an Institution*, Series 1, January 2010; see also *Report on Assessing Capacities of the NDMO, Lao PDR* (2007)

13 Refer to *Strengthening the country's capacity to address and prepare for disasters* <http://www.undplao.org/newsroom/Strengthening.php>

14 See UNDP (2007) *Capacity Development Practice Note*

- (e) Capacity to monitor and evaluate (i.e. to monitor and measure progress, and to evaluate planning, implementation and results).¹⁵

Technical capacities are associated with particular areas of professional expertise or knowledge, such as engineering, agriculture, education, etc. They vary and are directly related to the sector or organizational context in focus, in this case DRR. DRR technical capacities are further categorized according to strategic results, as identified in the HFA (see Annexes to Chapters IV and VI for examples). Examples of DRR-related technical capacities include: utilizing physical, social and economic sciences and technologies such as geographic information systems (GIS), modelling, database development and information management systems (IMS) for early warning systems (EWS) and risk assessment; integrating DRR with responses to climate change and environment; mainstreaming DRR into agriculture, health, economics, and infrastructure and land-use planning.

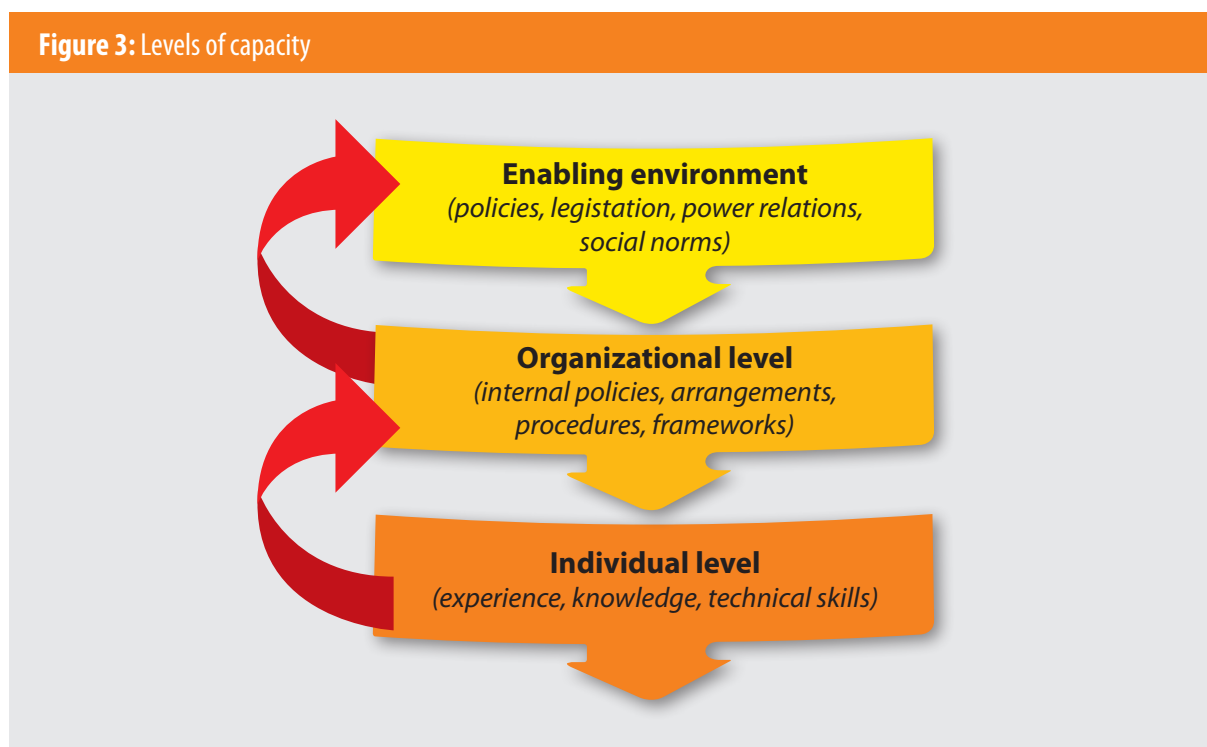
C. Whose capacity?

Capacity resides at different levels – in the enabling environment, organizations and individuals – and thus needs to be assessed and addressed across these levels. It is these three tiers which define the realm of whose capacities need to be developed.

UNDP distinguishes between these different levels of capacity (see Figure 2):

The enabling environment is the broad social system within which people and organizations function. It includes all the rules, laws, policies, power relations and social norms that govern civic engagement. It is the enabling environment that sets the overall scope for CD.

Figure 3: Levels of capacity



¹⁵ Ibid.



The organizational level refers to the internal structures, policies and procedures that determine an organization’s effectiveness. It is here that the benefits of the enabling environment are put into action and a collection of individuals come together. The better resourced and aligned these elements are, the greater the potential for growing capacity.

At the individual level are the skills, experience and knowledge that allow each person to perform. Some of these are acquired formally, through education and training, while others come informally, through doing and observing. Access to resources and experiences that can develop individual capacity are largely shaped by the organizational and environmental factors described above.

In the context of CD for DRR, capacities reside with a range of stakeholders, institutions, groups/ organizations and individuals in the government, private sector or civil society and in formal or informal institutions. Depending on the country context, these may include:

Within the enabling environment	<ul style="list-style-type: none">• Political figures/leaders• Decision-making bodies• Policy making bodies• Opinion makers (i.e. the media, church institutions, academic communities)• Legislature or the parliament• National government authorities such as the National Disaster Management Councils, etc• Civil society• General public• Communities at large
At the organizational level	<ul style="list-style-type: none">• The focal body for DRR, such as a National Disaster Management Organization (NDMO) or National Disaster Management Authority (NDMA)• Government ministries and departments• Local government units• Non-government organizations• People’s organizations• Academic and research institutes• UN agencies• Red Cross and Red Crescent Societies• Other development organizations
At the individual level	<ul style="list-style-type: none">• Officials, heads of units, and government agency staff, especially at the coordinating agency for DRR and other concerned government institutions• DRR focal points in government ministries and departments• Individual volunteers• Community leaders and all individuals from stakeholder constituencies

Chapter III

CD for DRR: The process

The main purpose of this chapter is to propose a menu of CD for DRR strategies or programmatic responses to develop capacity. It also encapsulates UNDP's CD approach as a conceptual basis for doing CD in DRR. It contextualizes the basic CD principles, the CD process, the capacity assessment process, CD core issues and CD responses to the DRR field.

A. Basic CD principles

The practice and application of CD for DRR is contingent upon existing principles, processes and tools that have been extensively used and applied across different situations and development streams (see Box 3). In undertaking CD initiatives, UNDP promotes ten basic principles that inspire ownership, transform leadership and help ensure progress in CD efforts.¹⁶ These are also fundamental when a CD approach is applied or practiced in DRR initiatives.

Box 3: The Basic Principles of CD

- Don't rush. Capacity development is a long-term process.
- Respect the value systems and foster self-esteem.
- Scan locally and globally; reinvent locally.
- Challenge mindsets and power differentials.
- Think and act in terms of sustainable capacity outcomes.
- Establish positive incentives.
- Integrate external inputs into national priorities, processes and systems.
- Build on existing capacities rather than creating new ones.
- Stay engaged under difficult circumstances.
- Remain accountable to ultimate beneficiaries.

(See UNDP CD Practice Note for a detailed description)

B. The capacity development cycle

For UNDP, supporting CD is a process that consists of a five-step cycle embedded into a programming process (Figure 3):

1. Engage stakeholders on capacity development
2. Assess capacity assets and needs
3. Formulate a capacity development response
4. Implement the response
5. Evaluate capacity development.

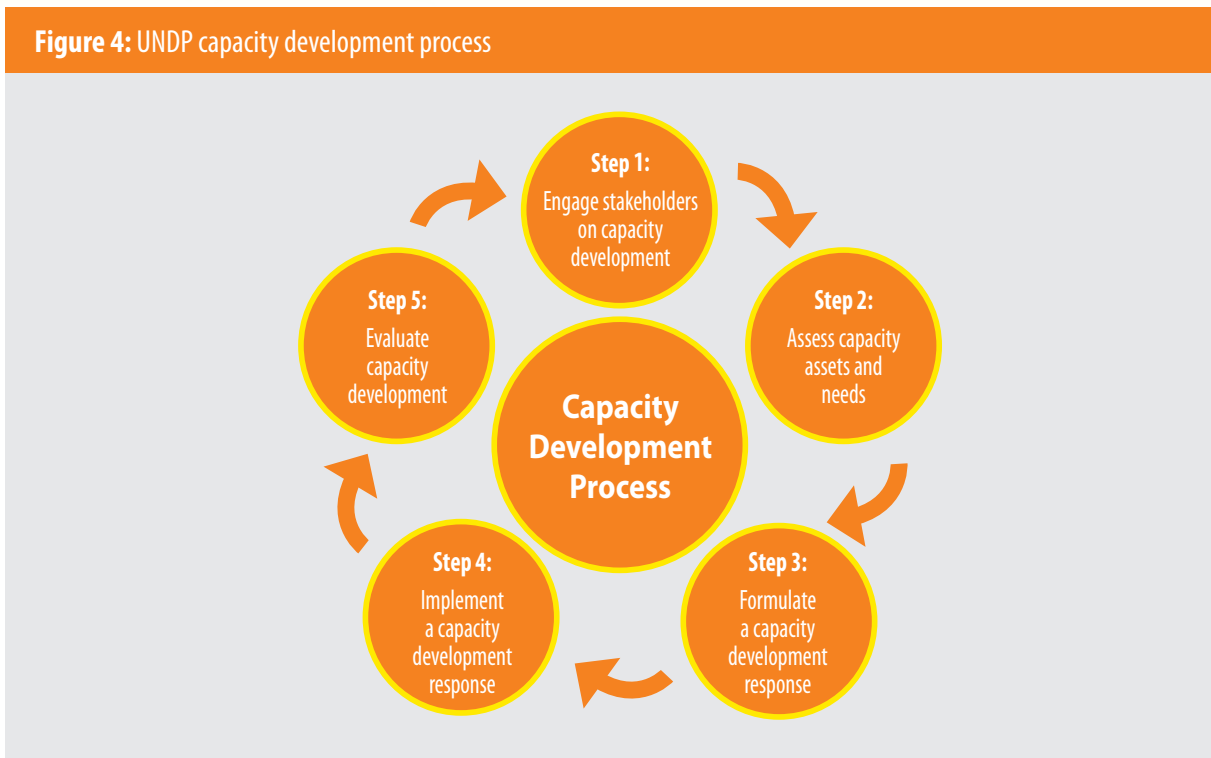
When used and applied in the context of DRR, these entail:

Step 1: Engage stakeholders

CD for DRR begins with the engagement of those who stand to benefit the most from enhanced capacity. They are the key stakeholders who are mandated, tasked to, or expected to contribute to the efforts of reducing disaster risks. Enhanced capacity is best achieved when the decision to undertake capacity development is organic or made internally by key actors and players in DRR, rather than when it is imposed by external forces and interests. Therefore, engaging stakeholders is a fundamental step in initiating the CD process. When key stakeholders are engaged right from the beginning, it promotes a sense of ownership and accountability over the process of CD.

¹⁶ See UNDP (2007) Capacity Development Practice Note

Figure 4: UNDP capacity development process



Step 2: Assess capacity

The primer recommends the use of the UNDP capacity assessment methodology for assessing capacity in the DRR sector, in view of the fact that the UNDP methodology has been developed and refined through years of experience from around the world. The methodology is not a ‘one size fits all’ blueprint – it is meant to be adapted to suit various situations. The ultimate goal is to move from analysis to action, with clear indicators for measuring progress in capacity development efforts. Undertaking a comprehensive capacity assessment establishes the baseline from which that progress can be measured, by identifying existing capacity assets/gaps, as well as the target level of capacity required to achieve development or organizational objectives.¹⁷

The CA process usually consists of three steps:

- Mobilize actors and design the capacity assessment;
- Conduct the capacity assessment process; and
- Summarize and assess the results of the capacity assessment

Mobilize and design:

A capacity assessment should start from the assumption that there are existing capacities that can and should be built upon.

Conduct the assessment:

The capacity assessment compares desired capacity against existing capacity. People may be tempted to set the level of desired capacity at the highest level attainable. It is important to define realistic goals with a realistic timeframe for developing capacities.

¹⁷ See UNDP CD Primer, p. 23

Summarize and interpret results: Comparing desired and existing capacities provides the basis for formulating capacity development responses. When interpreting the results of the assessment, the assessment team will be able to discern patterns in capacity gaps to identify whether a gap is consistently large across a core issue or across a specific capacity. It is important to gather a variety of perspectives and take into account different points of view.

Step 3: Formulate a CD response

A good CD response builds on existing capacity assets to address the gaps identified in a capacity assessment. Most stakeholders prefer to play to their strengths – their capacity assets – and use what they are doing right in order to do other things better. Sometimes it may be important to define ‘quick win’ or short-term CD activities to help shore up support while the foundation is being laid for longer-term CD initiatives. The design of a CD response should therefore contain a combination of quick-impact initiatives (less than one year) and short- to medium-term (one year or longer) initiatives. This is particularly critical in post-crisis and transition situations.¹⁸

Step 4: Implement the response

The implementation phase is where the real action occurs. This is the point where all the thinking, planning, assessing, analyzing and designing is tested in the real world. For the most sustainable long-term results, implementation should be managed through national systems and processes rather than through the parallel systems of external partners. The very fact of using national systems can help strengthen essential capacities such as project management and procurement. Partner countries are more likely to have a sense of ownership of CD initiatives when their own systems and procedures are used for implementation. It is therefore important to help strengthen these systems.¹⁹

Step 5: Evaluate CD

Measurement of CD success cannot be reduced to an increase in input resources such as human, financial, or physical resources. The input of resources does not guarantee their contribution to development objectives. Progress and results are reflected by changes in performance, which can be measured in terms of improved efficiency and effectiveness.²⁰

All the steps outlined above are critical in recognizing that CD is a long and on-going process. Most CD for DRR interventions do not follow a systematic approach, and most interventions and activities are aimed at providing one-off trainings or buying specific equipment. However, adopting a systematic approach to CD for DRR is an evolving process, where needs and gaps can be assessed, interventions can be planned and proposed accordingly, and change can be measured across a continuum.

18 See UNDP CD Primer, p. 27

19 See UNDP CD Primer, p. 29

20 See UNDP CD Primer, p. 32

CD for DRR results

A. Overview

CD for DRR results are DRR outputs that have been achieved through the process of developing capacities (both functional and technical) across the three tiers of enabling environment or institutional, organizational and individual levels. DRR outputs are more systematically achieved and therefore sustained when the capacities of DRR institutions, organizations and individuals have increased.

A CD process in the context of DRR is pursued in order to facilitate and manage change in capacity levels—from existing or current levels of capacities (functional or technical), to the desired levels of capacities for risk reduction. Existing and desired levels of capacities are identified in more detail during the capacity assessment process.²¹

Programmatic responses for developing capacity are intended to increase the capacity of an entity (most frequently an institution). The resulting change enables it to increase its contribution to improving people's lives.²² DRR results are achieved when the capacities of DRR institutions, organizations and individuals have increased from an existing state to a higher state. CD interventions should therefore be directed at institutions, organizations and individuals involved in the whole cycle of planning, implementing, monitoring and evaluating DRR initiatives.

CD for DRR results focus on the highest-level outcome described in the HFA, “the substantial reduction of disaster losses, in lives and in the social, economic and environmental assets of communities and countries.”

B. The results matrix

The following section of this chapter presents a matrix of CD for DRR Results (see Annex). It is arranged based on the HFA Priorities for Action and each HFA priority has a list of recommended CD for DRR Results. The list is neither exhaustive nor prescriptive and the choice of CD for DRR results largely depends on the country context. The CD element is emphasized by identifying the functional and technical capacities required to attain DRR results, building on those identified in UNDP's CD methodology and the technical skills relating to HFA priorities. This framework presupposes that the logical consequence of investments in developing both functional and technical capacities will be stronger, better and more resilient institutions and organizations, which are able to implement and attain higher DRR outcomes.

21 See UNDP CA methodology

22 See Measuring Capacity, Capacity Development Group, Bureau for Development Policy, UNDP (2010)

Chapter V

CD for DRR strategies

A. Overview

Achieving CD for DRR results will require identifying and strengthening both functional and technical capacities. In order to attain the level of capacity required to achieve DRR results, it is necessary to design CD strategies that are both relevant and robust, and which target specific capacity gaps.

As outlined in the UNDP Practice Note on Capacity Development, UNDP has identified four core issues. These four core issues, which are described in more detail below, are also sometimes referred to as 'levers of change' or 'drivers of change'. They represent areas where, on the one hand, capacity constraints are often observed, but on the other hand, where positive and sustainable change in capacity can take place.

B. Core issues

Within the UNDP approach to capacity development, four core issues have been identified; these four core issues represent broad categories of development challenges that UNDP sees most commonly encountered across a variety of sectors: public, private, non-profit, civil society, etc. During the capacity assessment process, specific functional and technical capacities are identified and analysed in relation to the following four core issues:

Institutional arrangements are the policies, practices and systems that allow for effective functioning of an organization or group. These may include 'hard' rules such as laws or the terms of a contract, or 'soft' rules like codes of conduct or generally accepted values.

Leadership is the ability to influence, inspire and motivate others to achieve or even go beyond their goals. It is also the ability to anticipate and respond to change. Leadership is not necessarily synonymous with a position of authority; it can also be informal and can be held at many levels.

Knowledge or literally 'what people know', underpins their capacities and hence capacity development. Seen from the perspective of our three levels, knowledge has traditionally been fostered at the individual level, mostly through education. But it can also be created and shared within an organization and within the enabling environment.

Accountability exists when rights holders are able to make duty bearers deliver on their obligations. More specifically, it is about the willingness and ability of public institutions to put in place systems and mechanisms to engage citizen groups to capture and utilise their feedback as well as the capacities of the latter to make use of such platforms.

C. CD response strategies

The four core issues also link closely to UNDP's CD responses, and are often the basis for formulating strategies to address identified capacity gaps emerging from an assessment. As seen in the table below, the four core issues correspond directly to the four CD responses:



Core issue		CD response
1. Institutional Arrangements	→	Institutional reform and incentive mechanisms
2. Leadership	→	Leadership development
3. Knowledge	→	Education, training and learning
4. Accountability	→	Accountability and voice mechanisms

Based on existing capacity assessment reports, the UNDP CA and CD Practice Notes, the ProDoc analysis undertaken for this primer, as well as other related references, this primer provides a menu of options of CD response strategies for DRR, which can bring about the CD for DRR results discussed in Chapter IV. In the matrix to this chapter, CD for DRR strategies have been organized by core issue and also sub-divided by the three levels of an enabling environment, organizational and individual levels. Specific country case examples are also provided in order to highlight one or a combination of CD strategies that have been implemented for DRR and have led to concrete results. The menu of options for CD strategies in the Annex is neither exhaustive nor prescriptive; formulation of strategies will always depend upon the country context.

By way of introduction, the four CD responses are briefly described below, including an overview of some of the specific strategies that fall under each response area. The Annex to this chapter provides suggestions for how such strategies could be contextualised to meet specific capacity gaps in the DRR sector.

Core issue: INSTITUTIONAL ARRANGEMENTS

CD response: Institutional reform and incentive mechanisms | [LINK TO MATRIX Annex to CHAPTER V](#) |

Institutional arrangements refer to the policies, procedures, and processes that allow systems to function and interact effectively and efficiently in an organized setting. Within the enabling environment, institutional arrangements are policy and legal frameworks; at the organizational level, they include an organization’s strategy, processes, and technology that enable its operation. Internal accountability mechanisms also fall under this core issue. There are a number of strategies to address institutional arrangement issues.²³ These include, but are not limited to, the following:

- Mandate and role clarifications
- Streamlined business processes
- Horizontal and vertical coordination mechanisms
- Integrated monitoring and evaluation (M&E) frameworks.

Core issue: LEADERSHIP

CD response: Leadership development | [LINK TO MATRIX Annex to CHAPTER V](#) |

Leadership is the ability to influence, inspire and motivate people, organizations and systems to achieve and, in many cases, go beyond their goals. It is a catalyst for achieving, enhancing and sustaining development objectives. It is also the ability to be open to, anticipate and respond to change, irrespective of whether this is internally initiated or externally imposed. A key determinant

²³ See UNDP (2010) Measuring Capacity, p. 17

of leadership is whether it is able to rally others around a common goal.²⁴ Strategies for leadership development include the following:

- Joint visioning exercises; systems thinking
- Identification and support to champions and change agents
- Setting priorities; sequencing and strategic planning techniques
- Coaching and mentoring

Core issue: KNOWLEDGE

CD response: Education, training and learning | [LINK TO MATRIX Annex to CHAPTER V](#) |

Knowledge refers to the creation, absorption and diffusion of information and expertise towards effective development solutions. Knowledge can be developed at a variety of levels (national and local, secondary and tertiary) and through a variety of means (education, technical training, knowledge networks, and informal learning).²⁵ There are a number of CD actions to strengthen knowledge acquisition and retention, including:

- Institutional twinning arrangements
- Linking to regional educational and learning networks
- Expertise on training and learning methodologies
- Brain gain and retention strategies

Core issue: ACCOUNTABILITY

CD response: Accountability and voice mechanisms | [LINK TO MATRIX Annex to CHAPTER V](#) |

Accountability exists when two parties adhere to a set of rules and procedures that govern their interactions and are based on mutual agreement. It allows organizations and systems to monitor, learn, self-regulate and adjust their behaviour in interaction with those to whom they are accountable. It provides legitimacy to decision making, increases transparency and helps reduce the influence of vested interests²⁶. Strategies to improve accountability and voice mechanisms include:

- Promoting participatory monitoring processes and instruments
- Identifying and strengthening feedback loops to enhance institutional responsiveness
- Establishing independent partner review mechanisms
- Results based management

24 See UNDP (2010) Measuring Capacity, p. 19

25 See UNDP (2007) Capacity Development Practice Note, p. 18

26 See UNDP (2010) Measuring Capacity, p.21

Measuring capacity results

A. Overview

As noted in the preceding chapter, CD for DRR results are achieved through the process of developing capacities of the enabling environment or institutions, of organizations and of individuals. Developing capacities means increasing the capacity of an entity (most frequently an institution) from an existing level (or state) to a higher level (or state). The capture of this change in capacity is the measurement of capacity developed from an existing state to a higher state. Measuring capacity is looking at the change in institutions – are they stronger, better, more resilient?

UNDP has introduced a Capacity Measurement Framework (see Figure 2) using a results-based management approach. It recognizes three levels of measurement:²⁷

1. Impact: Change in people's well-being²⁸
2. Outcome: Change in institutional performance, stability and adaptability²⁹
3. Output: Product produced or service provided in relation to CD core issues³⁰

Each level is inextricably linked to the next. We see progress against national development goals as being driven by, among other things, a change in national institutions' performance, stability and adaptability. The stronger the institutions, the better they are able to fulfil their mandates.

Contributing to stronger institutions are robust institutional arrangements; visionary, competent and ethical leaders; open and equal access to knowledge; and vibrant accountability and voice mechanisms – the better the reforms, policies and investment decisions, the stronger the institutions.³¹

27 See UNDP (2010) *Measuring Capacity*

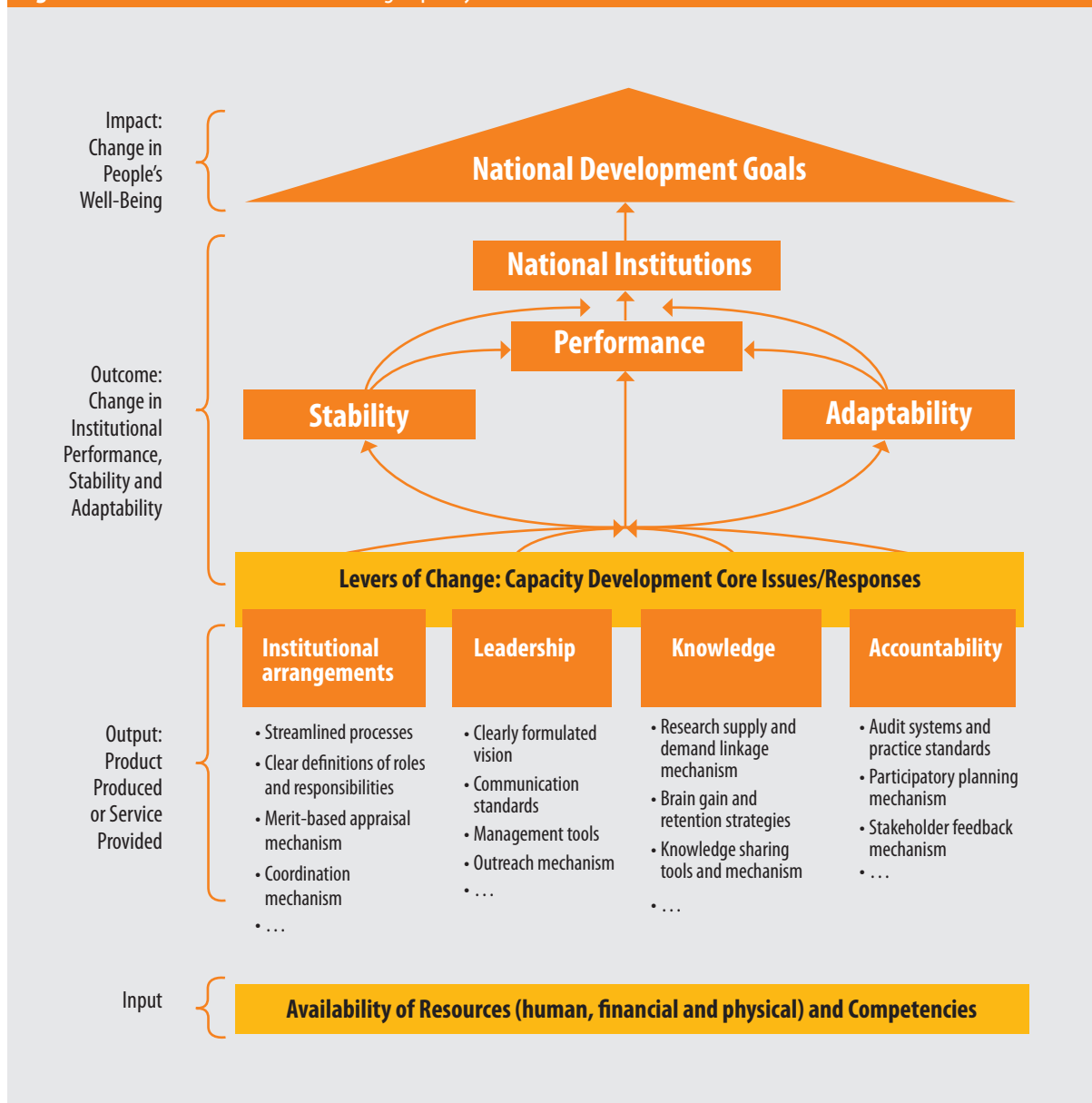
28 Measuring Impact (Change in People's Well-Being): Measurement of progress against national development goals is generally well articulated and executed. Indicators at this level tend to be quantitative and limited in number; and although data may sometimes be costly or otherwise difficult to attain, there is strong incentive and often international support for gathering such data and reporting on progress at this level. See *UNDP (2010) Measuring Capacity*, p. 8.

29 Measuring Outcome (Change in Institutional Performance, Stability and Adaptability): Key to the achievement of development goals is a continuous improvement in the performance, stability and adaptability of national institutions responsible for development. Improvements can be measured by an institution's ability to: a) Convert inputs to productive use (performance); b) Seek resolution to problems and remove barriers (stability); c) Adapt to changing realities and demands (adaptability). See *UNDP (2010) Measuring Capacity*, p. 8.

30 Measuring Output (Products Produced and Services Provided based on Capacity Development Core Issues): Institutions can become stronger when they have in place the policies, systems, processes and mechanisms that allow them to do what they do better. The formulation, establishment and implementation of these assets are the essence of capacity development. See *UNDP Measuring Capacity 2010*, p. 9.

31 Ibid.

Figure 5: UNDP Framework for Measuring Capacity



B. Measuring capacity changes brought about through CD response strategies

Also based on the CD for DRR results identified in Chapter IV, the matrix in the annex for this chapter presents a menu of options on CD for DRR outputs and output indicators. The outputs and output indicators have been organized to correspond to the four CD response strategies that were introduced in Chapter V: **Institutional Reform and Incentive Mechanisms; Leadership Development; Education, Training and Learning; and Accountability and Voice Mechanisms**. These CD strategies offer a starting point for formulating and implementing programmatic CD responses whose outputs can contribute to stronger institutions for DRR in a particular country context.

Capacity builders

A. Overview

When enhancing capacities for DRR it is critical to identify service providers or capacity builders that can serve as partners for implementing activities.

This chapter deals with a set of suggested criteria for identifying and selecting the most appropriate service providers for CD for DRR – simply termed in this primer as ‘capacity builders’. It also discusses briefly the types of capacity builders and the pros and cons for utilizing their expertise. The chapter also includes a menu of options of capacity service providers for both functional and technical capacities that UNDP country offices and government counterparts could engage.

B. Criteria for choosing capacity builders

The type of service provider or partner to engage depends on the task at hand (requirement), the target group, complexity of the task and the coverage area. In order to guide those who are embarking on CD for DRR initiatives or projects, the following set of criteria can be used as a reference.

Criteria for finding the appropriate partner may include the following:

- Target audience (duty bearers, rights holders, journalists, etc.)
- Cost-effectiveness
- Scalability
- Knowledge
- Know-how (practice)
- Implementation capacity (human resources, systems and procedures, infrastructure)
- Networks with decision-makers/policy-makers
- Political clout/neutrality
- Credibility/reputation/references
- Permanence/duration of engagement (short, medium, long term)
- Demonstrated ability to organize/mobilize community
- Demonstrated ability to innovate and be creative

C. Types of capacity builders

A combination of resources and implementing capacities need to be considered when embarking on a CD for DRR Initiative. Resource agencies can supply specialized inputs at various stages of implementation, which are not available within the project team, but which are essential to the success of the project. Other responsible parties can be engaged by the project team to deliver services when the implementing capacity of the project team is not sufficient.

Capacity builders should meet UNDP’s core values and mainstreaming requirements, for example, in the areas of gender equality, inclusion, human rights and climate-change resilience. This should be emphasized in the terms of reference and/or conditions of service right from the inception phase. The following are broad categories of capacity builders that may be engaged in the implementation of

capacity development responses. Services they provide could include academic research, monitoring and evaluation, policy advocacy, knowledge sharing, training and project execution, among others.

- Regional platforms (inter-governmental and non-governmental)
- International agencies (government or non-government)
- National agencies (government or non-government)
- Sub-national/local agencies (government or non-government)

What are the options, and the pros and cons for each option? Under what conditions would one decide for or against one or more of these options? This list is not exhaustive but indicative in nature.

Types	Pros	Cons
Regional platforms (Intergovernmental and non-governmental)	Would bring in regional good practices and could add value through lessons learned from similar countries in the region, ability to influence policy decisions, strengthening of south-south engagements	National priorities may not get adequate attention as the focus would be regional, level of engagement may not be sufficient, difficulty to ensure long-term commitment and follow-up
International agencies (those based outside the country)	Would bring in global good practices and could add value through lessons learned from these practices.	Challenge of adapting to the local context without compromising good practice, difficult to ensure follow-up
National resource agencies	Ability to contextualise the requirements and use national resources, sustainable, cost-effective, close to policy/decision makers, enabling scalability	Influenced by political powers, could be detached from ground realities
Sub-national/local resource agencies	Would build local capacities (sustainable), highly contextual, would be responsive to local-level changes, cost-effective	Issues with quality, systems , procedures and infrastructure; difficult to monitor activities of multiple partners with small footprints; difficult to scale up

D. Existing or potential capacity builders

This is a menu of options of existing and potential capacity service providers for both functional and technical capacities. The minimum criteria are also identified to guide the users of this primer in their selection.

A suggested list of capacity builders for functional capacities is attached in Annex to CHAPTER VII.

Document library

A. Compilation of relevant documents

The following documents listed here could be accessed via this site: <http://go.snap-undp.org/focusareas/clustermeetings/PrimerForDRRCapacity/DocumentLibrary>.

I. Terms of Reference

1. Project Manager (Disaster Risk Management)
2. Project Support Associate (Monitoring and Evaluation), NDMA
3. Project Officer (Disaster Risk Reduction)
4. Project Officer (Manual Development)
5. Project Officer (Urban Risk Reduction)
6. Project Officer (Mainstreaming)
7. TOR for the evaluation of GoI-UNDP DRM Programme
8. Project Associate (for IEC Materials Development)
9. Disaster Risk Reduction Programme Specialist
10. TOR for capacity building for community based sustainable DRR for flood affected communities in Lao PDR
11. TOR for developing a national risk profile for Lao PDR
12. TOR for International Consultant to design, deliver and facilitate the "Training on Disaster Risk Management for Selected Senior Officials and Staff of the Government of Lao PDR"
13. Project Coordinator, Disaster Management in Schools

II. Project Documents

1. Comprehensive DM Programme Phase II (2010-2014)–Bangladesh
2. Emergency Response Facility (ERF) – Bangladesh
3. Disaster Response Facility (DRF)–Bangladesh
4. Kosi Flood Recovery and Reconstruction Project – India
5. India Comprehensive DRM Programme (2009-2012)
6. Safer Communities through DRR (SCDRR) in Development – Indonesia
7. Making Aceh Safer through DRR in Development (DRR-A) – Indonesia
8. Strengthening capacities for DRM in the Islamic Republic of Iran
9. Flood Response and Recovery Assistance in the Lao PDR
10. Support for DRM in the Lao PDR
11. UNDP Response to May 2007 Coastal Flooding in the Maldives
12. Capacity Building for Crisis Prevention and Recovery in the Maldives
13. UNDP Support to One UN Joint DRM Programme – Pakistan
14. Integrating DRR and Climate Change Adaptation in Local Development Planning and Decision-making Processes – Philippines
15. Strategic Support to Operationalise the Road Map Towards Safer Sri Lanka
16. Strengthening the Capacity of Vulnerable Coastal Communities to address the Risk of Climate Change and Extreme Weather Events

17. Strengthening institutional capacity for DRM in Viet Nam, including Climate Change related disasters
18. Aitutaki Recovery Project 2010 – Cook Islands

III. Tools and Guidelines

1. Guide to Developing National Action Plans–SOPAC and UNDP
2. Disaster Risk Reduction Toolkit: An Information Pack for Constituent Assembly Members of Nepal

IV. Case Studies and Lessons Learnt Report

1. Economic and Financial Decision Making in Disaster Risk Reduction: Nepal Case Study
2. UNDP Nepal Community Based Disaster Management Practices, 2006-2008
3. Global Assessment of Risk, Nepal Country Report
4. Disaster Data and Information – Indonesia
5. Disaster Management Legal Reform – The Indonesia Experience
6. Indonesia's Partnership for Disaster Risks: The National Platform for DRR and the University Forum
7. Indonesia's National Action Plan for DRR
8. Government of India – UNDP DRM Programme 2002-2009 Evaluation and Review of Lessons Learnt
9. A Facilitators Guidebook for Community Risk Assessment and Risk Reduction Action Plan – Bangladesh
10. ICT for Disaster Risk Reduction: A Case Study–Bangladesh

B. Feedback section

In order to assess the value of the primer to its end-users, this section will invite their feedback on the usefulness and relevance of each of the sections of the primer as they could be applied in actual practice. Feedback obtained will inform the continuing evolution of this primer to keep it relevant and responsive to changing needs.

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Annex to Chapter IV

While this matrix outlines specific CD for DRR results for each HFA priority area, for the purpose of providing a succinct set of examples against the types and levels of capacities, the National Disaster Management Organization (NDMO) has been selected as the focus for several CD interventions. While a good CD intervention should have a multi-sectoral approach for DRR, the same trend is also seen through the ProDoc analysis, where most countries adopted a single-agency approach and targeted the NDMO as the focus agency/institution for CD interventions.

CD FOR DRR RESULTS MATRIX

HFA priority 1: Ensure that DRR is a national and local priority with a strong institutional basis for implementation

CD for DRR results:

1. National government takes a multi-stakeholder and cross-sector approach to addressing DRR issues, increasing both efficiency of policy formulation and effectiveness of policies.
2. All levels of government have explicit responsibilities and mandates for DRR provided for by legislation.
3. The legal framework for DRR facilitates increase in national and/or institutional capacity for DRR.
4. Inclusive and integrated DRR mechanisms are created and strengthened through a multi-sectoral national platform, DRM/DRR steering committee, disaster coordinating councils/committees.
5. DRR is integrated into development policies and planning at all levels of government, including in sectoral and multi-sectoral plans and policies.
6. Increased resource allocation (financial, human, and technical) for the development and implementation of DRM policies, programs, and laws.

Levels of capacity	Functional capacities	Technical capacities (across all three levels)	Whose capacity?
Enabling environment/ institutional level	<ul style="list-style-type: none"> – Capacity to engage with stakeholders to push for and support the drafting and approval of an integrated DRR legislative and regulatory framework – Capacity to foster an enabling environment for civil society and private sector participation in DRR and compliance with DRR regulations – Capacity to advocate for political support and prioritisation for integrating DRR priorities into the overall national development planning process 	<ul style="list-style-type: none"> – Understanding of disaster risks, hazards and vulnerability context – Understanding of the national development context – the socio-economic, political and cultural conditions that shape national priorities – Understanding of DRR coordination mechanisms and national platforms: their purpose, structure, composition, rules and procedures; knowledge of good working models for DRR coordination with other countries at regional and global levels – Knowledge of global and regional institutional and legal systems for DRR 	NDMO

Levels of capacity	Functional capacities	Technical capacities (across all three levels)	Whose capacity?
Organizational Level	<ul style="list-style-type: none"> – Capacity to build and manage partnerships, to develop and maintain a roster of DRR stakeholders and partners – Capacity to develop appropriate DRR policies and strategies, including policy agenda papers and/or draft legislation – Capacity to create adequate budget management systems to allocate resources aligned to priorities of DRR policies to all key stakeholders 	<ul style="list-style-type: none"> – Knowledge of DRR mainstreaming in development policies and planning including in National Development Plans, Poverty Reduction Strategy Papers (PRSPs) and CCA-UNDAFs – Knowledge of approaches to stakeholder analysis and engagement, and advocacy for fostering political commitment 	NDMO
Individual Level	<ul style="list-style-type: none"> – Capacity to gather information; undertake research; and conduct evaluative analysis of DRR issues to inform the development of policy – Capacity to adapt global knowledge on DRR policy agenda to the local context of DRR risks and patterns – Capacity to communicate and to facilitate multi-stakeholder meetings and consultations on national DRR priorities 		NDMO

HFA priority 2: Identify, assess and monitor disaster risks and enhance early warning

CD for DRR results:

1. National and/or institutional capacity on disaster risk identification, risk assessment and disaster monitoring strengthened
2. Increased knowledge of hazards and the physical, social, economic and environmental vulnerabilities to disasters for populations and communities
3. National and/or institutional capacity for early warning enhanced

Levels of capacity	Functional capacities	Technical capacities (across all three levels)	Whose capacity?
Enabling environment/ institutional level	<ul style="list-style-type: none"> – Capacity to foster strong political commitment to the establishment of a national early warning system (EWS) and the institutionalisation of risk assessments – Capacity to ensure that EWS are integrated into policy and decision making processes and emergency systems at national and local levels, including coordination with relevant sectors – Capacity to promote trans-boundary coordination, including exchange and dissemination of data and information, to assess and monitor regional and trans-boundary hazards, and provide early warnings 	<ul style="list-style-type: none"> – Knowledge of physical, social, economic and environmental vulnerabilities to disasters that the country faces – Capacities to record, analyse and disseminate statistical information and data on hazard mapping, disaster risks, impacts and losses – 	NDMO

Levels of capacity	Functional capacities	Technical capacities (across all three levels)	Whose capacity?
Organizational level	<ul style="list-style-type: none"> – Capacity to assess a situation i.e. to assess risks and vulnerability and reflect these in the organization’s programs and policies – Capacity to establish, develop, standardise and maintain statistical information/ databases on hazard mapping, disaster risks, and impacts and losses – Capacity to improve risk assessment, monitoring and EWS by initiating partnerships with appropriate research, training, and technical organizations – Capacity to engage with communities and stakeholders as part of an EWS to ensure that coordinated action is taken in the event of an alert 	<ul style="list-style-type: none"> – Basic understanding of the scientific and technical aspects of common methodologies for risk assessment and monitoring – Capacity to develop systems of indicators of disaster risk and vulnerability at national and sub-national scales that will enable decision-makers to assess the impact of disasters on social, economic and environmental conditions, and to disseminate the results to decision makers, the public and populations at risk – Knowledge of remote sensing, geographic information systems, hazard modelling and prediction, weather and climate modelling and forecasting, communication tools and studies of the costs and benefits of risk assessment and early warnings 	NDMO
Individual level	<ul style="list-style-type: none"> – Capacity to research, analyse, and report on long-term and emerging issues that may increase risks and vulnerabilities – Capacity to adapt global knowledge on early warning and risk assessments to local context – Capacity to prepare budgets and formulate/ monitor action plans related to the operation and maintenance of EWS – Capacity to develop, update periodically and widely disseminate risk maps and related information to decision makers, the general public and communities at risk in an appropriate format 		NDMO

HFA priority 3: Use knowledge, innovation and education to build a culture of safety and resilience at all levels

CD for DRR results:

- Well-informed and motivated population and constituency towards a culture of disaster prevention and resilience
- Enhanced national and institutional capacity for the collection, compilation, and dissemination of relevant knowledge and information on hazards and vulnerabilities
- DRR knowledge integrated into relevant sections of school curricula at all levels
- An engaged and involved media to stimulate public awareness, a culture of disaster resilience, and strong community involvement in sustained public education campaigns and public consultations at all levels of society

Levels of capacity	Functional capacities	Technical capacities (across all three levels)	Whose capacity?
Enabling environment/ institutional level	<ul style="list-style-type: none"> – Capacity to engage with stakeholders, including the media, to support public awareness and education to promote a culture of disaster resilience – Capacity to create an environment that encourages dialogue and cooperation between scientific communities and practitioners, including those working on socioeconomic dimensions of DRR – Capacity to advocate for policies that ensure equal opportunity for women and vulnerable groups to participate in DRR training and education 	<ul style="list-style-type: none"> – Knowledge of the integration or mainstreaming of DRR in school curricula, with reference to existing international best practices – Knowledge of how to develop training and learning programs on disaster risk reduction at a community level, for local authorities and targeted sectors – Knowledge of international standard terminology related to DRR for use in programme and institutional development, operations, research, training curricula and public information programmes 	NDMO
Organizational level	<ul style="list-style-type: none"> – Capacity to build and manage partnerships and networks among disaster experts, managers and planners across sectors and between regions – Capacity to engage strategically with the public education system to see that disaster preparedness and local risk reduction programmes are promoted and implemented in schools – Capacity to mobilize and manage resources to support public education campaigns and awareness building on DRR – Capacity to monitor and evaluate the impact of public awareness and education campaigns 	<ul style="list-style-type: none"> – Capacity to promote gender and cultural sensitivity as integral components of education and training for disaster risk reduction 	NDMO
Individual level	<ul style="list-style-type: none"> – Capacity to strategically plan, implement, monitor, and report on public information and awareness campaigns – Capacity to develop information-sharing systems and services that enable access to, and application of, disaster information 		NDMO

HFA priority 4: Reduce the underlying risk factors

CD for DRR results:

1. DRR and climate change integrated in environmental and natural resources management
2. Established mechanisms to increase resilience of the poor and most vulnerable through food security, integrating DRR planning into the health sector and promoting safe hospitals
3. DRR measures incorporated in physical planning i.e. urban and land-use plans
4. Strengthened mechanisms for improved building safety and protection of critical facilities
5. Private sector involvement in DRR enhanced
6. DRR incorporated in disaster recovery planning process

Levels of capacity	Functional capacities	Technical capacities (across all three levels)	Whose capacity?
Enabling environment/ institutional level	<ul style="list-style-type: none"> – Capacity to engage with stakeholders to promote protection of environment, natural resource management and ecosystems – Capacity to muster participation and involvement of key sectors and stakeholders, including the private sector, in addressing different critical underlying risk factors – Capacity to forge policy debate on underlying risk factors, including environmental, social, economic, and physical infrastructure factors 	<ul style="list-style-type: none"> – Understanding of integrated environmental and natural resource management approaches that incorporate DRR, including structural and non-structural measures such as integrated flood management and appropriate management of fragile ecosystems – Knowledge and understanding of climate change, existing climate variability, and adaptation to climate change 	NDMO
Organizational level	<ul style="list-style-type: none"> – Capacity to build and manage partnerships among line agencies i.e. the ministries of environment, health, urban and rural development planning, agriculture – Capacity to formulate policies and strategies related to natural resources management, food security, land-use planning, and other risk reduction areas – Capacity to monitor and evaluate policies and programmes related to reducing underlying risk factors in a range of sectors (environment, health, social welfare, etc) 	<ul style="list-style-type: none"> – Understanding of food security in the context of disaster risks, particularly in areas prone to drought, floods, cyclones and other hazards – Understanding of approaches to integrating DRR into the health sector and other basic services sectors – Knowledge of social safety-net mechanisms to assist vulnerable populations affected by disasters 	NDMO
Individual level	<ul style="list-style-type: none"> – Capacity to undertake research, gather information and conduct evaluative analysis on (multi-sectoral) risk factors – Capacity to communicate and facilitate multi-stakeholder consultation on disaster risks 	<ul style="list-style-type: none"> – Understanding of the underlying risk factors and approaches to addressing them through diversified income options, development of financial risk-sharing mechanisms and establishment of public–private partnerships to better engage the private sector in DRR activities 	NDMO

Levels of capacity	Functional capacities	Technical capacities (across all three levels)	Whose capacity?
	<ul style="list-style-type: none"> – Capacity to prepare budgets and formulate action plans related to programmes for reducing underlying risk factors 	<ul style="list-style-type: none"> – Knowledge of land-use policy and planning, urban planning and management of disaster-prone human settlements, planning procedures for major infrastructure projects, rural development planning, and new building codes and standards including how to enforce such codes 	NDMO

HFA priority 5: Strengthen disaster preparedness for effective response at all levels

CD for DRR results:

1. Strengthened policy, technical and institutional capacities in regional, national and local disaster management
2. National authorities, individuals and communities are well prepared, and are equipped with knowledge and capacities for effective disaster management
3. Disaster preparedness and contingency plans at all levels are prepared, reviewed and regularly updated

Levels of capacity	Functional capacities	Technical capacities (across all three levels)	Whose capacity?
Enabling environment/ institutional level	<ul style="list-style-type: none"> – Capacity to effectively cooperate with regional and international partners for coordinated responses in situations exceeding national coping capacities – Capacity to create policy environment that supports dialogue, information exchange, and coordination between DRR agencies and organizations – Capacity to create mechanisms to ensure active participation and ownership of relevant communities and stakeholders in DRR 	<ul style="list-style-type: none"> – Technical knowledge related to the concept of disaster preparedness for response – Common understanding of what constitutes an effective disaster preparedness system— including an understanding of disaster risk factors – Knowledge of contingency planning and response readiness, such as evacuation and standby arrangements for the provision of essential services and supplies 	NDMO
Organizational level	<ul style="list-style-type: none"> – Capacity to build and manage partnerships and networks for disaster preparedness and coordination for effective response – Capacity to formulate programmes and policies related to the development of emergency funds to support response, recovery and preparedness measures – Capacity to monitor and evaluate programmes and policies to manage disasters at regional, national, and local levels 		NDMO
Individual level	<ul style="list-style-type: none"> – Capacity to undertake research, gather information and analyse disaster preparedness and contingency plans at all levels – Capacity to review and update disaster preparedness and contingency plans 		NDMO

Annex to Chapter V

This matrix outlines a number of possible CD for DRR response strategies under each of the core issues where capacity gaps are often identified. These response strategies are also divided into the different levels of capacities. The examples below illustrate where countries may have adopted similar strategies in response to their capacity deficits across different core issues. These examples are in no way an exhaustive list, but are rather drawn from country approaches noted in the project document analysis carried out for the purpose of informing this primer. The trend from these examples is a good indicator of where most of the CD for DRR strategies are currently focused. For example, there are many instances of CD interventions that target institutional arrangements, whereas there are fewer that improve accountability. Similarly, leadership as a core issue and at the individual level seems to have received much less attention, whereas addressing the core issue of knowledge at the individual level seems much more common, through individuals attending trainings, etc. This matrix provides some insights into areas where investments may be needed, but so far have been accorded lower priority in many countries.

1. INSTITUTIONAL ARRANGEMENTS

Institutional reform and incentive mechanisms

Enabling environment level

Response strategy		Country examples
Leverage opportunities, including political openings, to create entry points to push for DRR mainstreaming in development at national and local levels	↔	Indonesia: Leveraged the ongoing process of decentralising key government functions in order to mainstream DRR into the responsibilities of local-level governments
Leverage existing government resources and initiatives to mainstream DRR into national institutional frameworks	↔	India: DRR activities mainstreamed into the national flagship programme Sarva Siksha Abhiyan (Education for All) on a pilot basis
Create mechanisms for review and feedback on DRR policy and institutional systems	↔	Philippines: The National Disaster Risk Reduction and Management Council serves as a national mechanism for regular review of DRR policies and updating and/or development of DRR frameworks
Strengthen the legal framework for DRR	↔	Maldives: UNDP supports the formulation of the Maldives DM Law Philippines: The Philippines passed the new Disaster Risk Reduction and Management Law or Republic Act 10121. It firmed up government’s priority on DRR.
Establish robust DRM policy support and coordination mechanisms to address DRM across sectors, thus overcoming disciplinary confines and standardising policy approaches	↔	Timor-Leste: DRM is still in its infancy. Not many stakeholders are fully aware of the national disaster risk management (NDRM) policy. The opportunities provided by the NDRM policy is therefore leveraged by National Disaster Management Directorate (NDMD) for engaging different sectors, and strengthening national and local mechanisms for DRM, to ensure that DRM is consciously mainstreamed in all aspects of development policy and programming

Response strategy		Country examples
Develop partnership platforms and promote multi-stakeholder engagement with NGOs, civil society and academia for outreach and participation in DRR initiatives beyond the government sector	↔	Vietnam: Has established the Coordination Network in Disaster Management (an NDM partnership) involving multi-stakeholder representatives Pacific: South-South initiatives have been established for DRR-CCA issues between Pacific and Caribbean countries
Define and create vertical coordination mechanisms for DRR between national, sub-national and local entities	↔	India: DRR programme envisages establishment of an interagency platform in the programme states in India to engage all stakeholders India: The DM Community of Practice (CoP) facilitates collaboration among various stakeholders for effective knowledge sharing; the CoP worked with industries and NGOs to identify water purification technologies during the 2008 Bihar floods

Organizational level

Response strategy		Country examples
Organizational restructuring of the focal body for DRR, or the NDMO/NDMA: clarifying mandates; defining roles and responsibilities; setting up clear guidelines and operational procedures	↔	Vietnam: Upgrade Disaster Management Centre from a division to a national-level department Bangladesh: A separate division was created for Disaster Management & Relief (previously amalgamated with Food Division) India: National Centre for Disaster Management (NCDM) upgraded to a National Institute of Disaster Management (NIDM), with the constitution of a National Disaster Management Authority (NDMA)
Review and streamline business processes for effective and efficient functioning of the DRR structure	↔	Bangladesh: Developed a corporate plan for the Ministry of Disaster Afghanistan: Developed guidelines for the Afghanistan NDMA on linkages with other ministries and institutional systems
Investments in human resource development: focus on comprehensive professional development of technical staff in the field of DRR through skills development and specialization	↔	India: The DRR programme identified areas in which capacities need to be developed; the NIDM will be developing modules to be used by the State Training Institutes
Encourage staff retention by putting in place attractive incentive systems for staff working in the DRR sector, such as hiring staff under a project with the end-goal of having the government retain them after project closure	↔	Bangladesh: Five positions have been created under a Comprehensive Disaster Management Programme (CDMP) which will be absorbed by the Government DM Bureau PNG: Out-posting of DRM specialist to National Disaster Centre (NDC) with exit strategy for longer term CD of NDC India: Project staff recruited by UNDP under the Disaster Risk Management Programme have been retained by many state governments on a permanent or contractual basis.
Develop information management systems where experiences, lessons and business processes are documented and stored, thereby retaining institutional memory	↔	India: The Community of Practice on Disaster Management (DM) connects DM practitioners and is a repository of tacit and explicit knowledge on DRR.

Response strategy		Country examples
Institutionalize key DRR functions into the core business and programs of public and private institutions	↔	Bangladesh: CDMP engaged the private sector (mobile operators) for early warning dissemination. Philippines: The Province of Albay had recently forged partnership with private mobile communication service provider for free SMS of early warning advisories

Individual level

Response strategy		Country examples
Provide clear job descriptions to each staff to understand individual roles and responsibilities in the organization	↔	Maldives: Streamlined the organizational structure of the National Disaster Management Centre and developed clear Terms of References for all staff. This fostered better efficiency in the office.
Develop and implement a merit-based performance evaluation system for staff	↔	Philippines: Government personnel including those who worked for DRR at national and local levels are governed by the Civil Service Rules. The Civil Service Commission had well and long-established merit-based performance evaluation system used by all government agencies.

2. LEADERSHIP

Leadership development

Enabling environment level

Response strategy		Country examples
Develop a pool of DRR cadres and professionals	↔	India: Under the DRM programme local-level volunteers from agencies such as the National Service and Nehru Yuva Kendras (NSS/NYKS) were trained to take up DM issues at the grassroots level; the National United Nations Volunteers (UNV) model was very successful in creating a cadre of volunteers with DM training.
Identify and nurture DRR “champions” to take a leadership role in advocating for DRR as a key national priority	↔	Philippines: The Governor of Albay Province had been awarded numerous citations for its Zero Casualty strategy in disaster risk management. For this, the Governor and the Local Government Unit of Albay were regarded as DRR Champions. Philippines: Senator Loren Legarda, a member of the Senate of the Philippines is cited by UN/ISDR as a regional champion for DRR. With this label, the Philippines through the senator had been one of the key advocates of DRR in the region.
Strong advocacy of DRR at the highest possible levels in government and society	↔	India: UNDP India provided advocacy support by sitting on several committees with NDMA, which drafted technical guidelines at the national level

Organizational level

Response strategy		Country examples
Delegation of leadership roles, for example delegating a Deputy Official to co-chair the National Disaster Management Council	↔	Lao PDR: The Prime Minister is the head of the National Disaster Management Council. However, as Prime Minister he heads almost all the councils and committees of the Government. Hence, his functions and responsibilities for NDMC are delegated to the Deputy Prime Minister to ensure that the NDMC is operational and functioning.

Response strategy		Country examples
Orientation and sensitization of elected representatives, officials, and community leaders on DRR issues and priorities	↔	India: Under the DRM programme, regular sensitization programs were organized through existing training institutions using training modules developed by the National Institute of Rural Development
Leadership attraction and retention plan; succession planning	↔	
Establish a coaching and mentoring system in the organization	↔	

Individual level

Response strategy		Country examples
Joint visioning exercises, advocacy and communication skills	↔	
Decision making skills, ethics and values, executive management skills development	↔	
Strategic planning techniques	↔	
Process facilitation, negotiation techniques	↔	

3. KNOWLEDGE

Education, training and learning

Enabling environment level

Response strategy		Country examples
Develop education systems and educational policy reform integrating DRR into curricula	↔	Maldives: The UNDP DRM programme had supported the government's effort for curriculum review with the end-goal of integrating DRR in the revised curriculum of all grade levels of the primary and secondary schools
Set up and promote knowledge services and learning for DRR	↔	India: The DRR programme supports the national and some state governments in setting up Disaster Knowledge Management Resource Centres; the India Disaster Resource Network (IDRN) and India Disaster Knowledge Network (IDKN) were established and maintained by the National Institute of Disaster Management
Foster south-south solutions and knowledge sharing, including links to regional/ international education and research networks and institutions	↔	

Response strategy	Country examples
Establish professional development courses and curricula on DRR, including improving the availability of post-graduate DRR courses and standardization of DRR training methods	<p>Bangladesh: DM Courses were introduced at the Bangladesh Civil Service Academy; CDMP is working to develop five e-learning DM centres located in public universities and government-run training academies; five public universities have initiated Masters and post-graduate diploma courses on DM</p> <p>India: NIDM is running e-learning modules in partnership with the World Bank Institute (WBI); national and state universities or institutes are offering certificate, diploma and MBA degrees on disaster management</p> <p>Philippines: The Philippines institutionalized DRR in higher education and training institution. It was made possible through developing a curriculum for a ladderised Master in DRM programme in Camarines Sur State Agricultural College in Bicol. The Bicol Region is one of the most-prone to disasters. The idea of developing a curriculum on DRM came with a sense of urgency to meet the demands for addressing disaster cases that abound the Bicol region.</p>

Organizational level

Response strategy	Country examples
Develop knowledge sharing systems and networks to serve as platforms for sharing lessons learned and good practices, thereby retaining institutional memory	↔ India: UNDP's Solution Exchange forum, with more than 2500 members, is one of the most vibrant platforms for sharing knowledge between practitioners. Key benefits of the Solution Exchange DM Community are: connecting people with common interests, providing a wide range of solutions, pooling together of similar experiences, increasing development effectiveness, offering knowledge on demand, and collaboration for developing and testing innovative ideas.
Document best practices and build on DRR activities such as community-based DRM in Nepal; refer to CD innovations and available tools	↔ India: The DRM programme has produced two best practice documents; Sphere-India has also produced a document on good practices of community-based DRR approaches
Establish and nurture a learning atmosphere for keeping informed and up-to-date on emerging DRR information and knowledge	↔
Develop and implement an organizational learning strategy and/or knowledge management system	↔

Individual level

Response strategy	Country examples
Provide appropriate training events and other types of learning and skills acquisition opportunities for staff	↔

4. ACCOUNTABILITY

Accountability and voice mechanisms

Enabling environment level

Response strategy		Country examples
Develop an enabling environment and compliance mechanisms i.e. strengthen legal aspects of regulations and compliance; develop linkages with professional resources for promoting a culture of compliance; amend building by-laws	↔	India: Under the DRM–Urban Earthquake Vulnerability Reduction Programme a group of experts reviewed the existing building by-laws and provided a model used now by states for amending building by-laws
Promote benchmarks, standards and guidelines, for example EWS, Sphere and HAP standards	↔	
Establish feedback mechanisms for disaster response and relief; encourage media involvement in demanding DRR accountability	↔	

Organizational level

Response strategy		Country examples
Strengthen agencies that enforce standards and compliance	↔	India: The Urban Risk Reduction project aims to promote better understanding of the codes, and to enhance compliance mechanisms
Establish monitoring and evaluation systems for DRR initiatives	↔	Cook Islands: Established a Recovery Committee accountable to the Minister of Finance (the appointed Recovery Coordinator) for M&E of the recovery plan
Improve IT systems for real-time feedback		Indonesia: The Badan Nasional Penanggulangan Bencana or National Body for Disaster Response (BNPB) in Indonesia set up the national disaster loss databases
Encourage codification of experiences, documentation of lessons learned, and dissemination to all stakeholders		

Individual level

Response strategy		Country examples
Institutionalize a merit-based performance evaluation system for staff	↔	Philippines: Government personnel including those who worked for DRR at national and local levels are governed by the Civil Service Rules. The Civil Service Commission had well and long-established merit-based performance evaluation system used by all government agencies
Create an expert group (regional or national level) who can provide stop-gap technical support as and when needed	↔	

Note: The following response strategies are what typical CD plans would include at different levels. The Primer is intended to be based on practice from the ground, and hence the country examples will be updated as and when new experiences are shared by countries in the region.

Annex to Chapter VI

For the purpose of developing specific output indicators that can be used to measure outputs, a number of response strategies identified in the previous chapter have been combined to achieve an output or set of outputs. This chapter describes them.

CD response strategy: Institutional reform and incentive mechanisms

Enabling environment level

Outputs	Indicators
Platform established as a national mechanism for coordination and mainstreaming of DRR programs, policies, and initiatives	<ul style="list-style-type: none"> • Existence of public document defining mandates of respective DRR agencies and institutions operating in the country (Y/N) • No. of institutions/agencies/organizations regularly taking part in coordination meetings and initiatives • No. of coordinated DRR activities planned and conducted • No. of national programmes, policies and initiatives that have mainstreamed DRR
National coordination mechanism for stakeholder engagement and participation in DRR initiatives	<ul style="list-style-type: none"> • % of stakeholders well versed in coordination and participation opportunities within the DRR sector • Frequency and type of stakeholder engagement and participation in DRR initiatives and activities

Organizational level

Outputs	Indicators
Mandate, roles, and responsibilities of NDMO/NDMA clearly defined	<ul style="list-style-type: none"> • Existence of document defining mandate, roles and responsibility of NDMO/NDMA (Y/N) • % of managers and staff who understand NDMO/NDMA mandate
Business processes streamlined for effective and efficient functioning of the NDMO/NDMA	<ul style="list-style-type: none"> • No. of business processes revised • No. of steps required for completion of activity • % of processes with documented output, and which meet quality requirements
Comprehensive human resource management system developed and implemented	<ul style="list-style-type: none"> • Incentive policy to attract and retain staff disseminated (Y/N) • % of staff who are satisfied with their jobs (including recognition, benefits, and compensation) • Level of understanding of managers and staff regarding the human resource management system

Individual level

Outputs	Indicators
Complete workforce to deliver on mandate of organization (such as NDMO/NDMA)	<ul style="list-style-type: none"> • % of staff with clear Terms of Reference • % of staff with appropriate skills and competencies to perform their jobs • % of staff undergoing merit-based performance review

CD response strategy: Leadership development

Enabling environment level

Outputs	Indicators
Vision for DRR sector clearly defined	<ul style="list-style-type: none"> • Existence of public document outlining vision for DRR sector (Y/N)
Vision for DRR articulated and shared	<ul style="list-style-type: none"> • No. of channels through which vision is disseminated/shared • % of key stakeholders able to articulate the vision and mission for the DRR sector
Resource pool of DRR experts/specialists identified and available	<ul style="list-style-type: none"> • No. of DRR experts/specialists identified • Existence of roster of DRR experts/specialists (Y/N)

Organizational level

Outputs	Indicators
Leadership development strategy for NDMO/NDMO formulated and implemented	<ul style="list-style-type: none"> • Existence of leadership development plan with clear goals, strategies, and action plan • No. of initiatives to promote leadership implemented under the plan • Leadership succession/transition plan in place (Y/N) • Coaching and mentoring program within NDMO/NDMA implemented; number of participants • No. of potential leaders identified and recruited as part of the leadership development plan

Individual level

Outputs	Indicators
Leadership skills (negotiation, visioning, decision making) of workforce enhanced	<ul style="list-style-type: none"> • No. of personnel skilled in negotiation, visioning, decision making • % of recruits who become managers/leaders

CD response strategy: Education, training, and learning

Enabling environment level

Outputs	Indicators
DRR elements integrated into formal education curricula	<ul style="list-style-type: none"> • Existence of policy addressing DRR integration into national education curricula (Y/N) • % of schools in compliance with policy
Enabling environment for learning and knowledge sharing on DRR established	<ul style="list-style-type: none"> • No. and type of platforms to share knowledge on DRR (web-based platforms; communities of practice) • No. of South-South initiatives undertaken to promote knowledge sharing on DRR issues, challenges and strategies

Organizational level

Outputs	Indicators
Institutional mechanism for knowledge and learning established and functioning	<ul style="list-style-type: none"> • No. of institutions participating in mechanism • No. of inter-institutional knowledge sharing initiatives/events



Outputs	Indicators
Organization-wide learning strategy developed and implemented	<ul style="list-style-type: none"> • Existence of learning strategy (Y/N) • No. and type of knowledge sharing tools for DRR • No. of people accessing knowledge through tools and learning opportunities provided by organization

Individual level

Outputs	Indicators
Staff have the appropriate technical DRR skills and knowledge relevant to perform their jobs	<ul style="list-style-type: none"> • % of staff who have the appropriate educational background to perform their job effectively • No. of DRR-related workshops, trainings, exposure trips, and other learning opportunities provided • % of identified learning needs met for technical DRR-related skills and knowledge
Workforce is comprised of individuals with appropriate functional capacities	<ul style="list-style-type: none"> • % of staff who have the required functional capacities (budgeting, planning, reporting, etc) to perform their job effectively • % of identified learning needs met to address gaps in functional capacities among staff

CD response strategy: Accountability and voice mechanisms

Enabling environment level

Outputs	Indicators
Stakeholder feedback mechanism on DRR established and functioning	<ul style="list-style-type: none"> • No. and type of stakeholders who participate and engage in national DRR initiatives • % of stakeholders who agree that feedback mechanism is effective and transparent • Frequency and type of feedback received through the mechanism
Compliance mechanisms for DRR established and functioning	<ul style="list-style-type: none"> • Rate of compliance with DRR standards/regulations • % of remedial actions for non-compliance cases • Regularity of audits to assess compliance with Standard Operating Procedures (SOPs) such as EWS, etc

Organizational level

Outputs	Indicators
Transparent M&E frameworks established for DRR organizations	<ul style="list-style-type: none"> • Existence of clear M&E plan, with roles and responsibilities, measurable indicators, and guidelines for frequency of reporting • Existence of a policy for sharing DRR information with the media and the public (Y/N) • No. of DRR reports made publicly available • Mechanism for engaging with civil society and communities on DRR introduced (Y/N) • Existence of strategy to strengthen community systems for DRR (Y/N)

Individual level

Outputs	Indicators
Performance review system for staff in use	<ul style="list-style-type: none"> • Regularity of performance appraisals conducted under the system • % of salary/benefits/compensation adjustments, promotions, or rewards made based on appraisals

Annex to Chapter VII

Capacity builders for functional capacities		
Functional capacities	Capacity builder	Core services/Minimum criteria
1. Engage with stakeholders 1.1 Regional/ international level 1.2 National level 1.3 Provincial/ district level 1.4 Community level 2. Assess situation & define vision and mandate 2.1 Capacity to support 'planning-organizing-actualization-controlling' cycle 3. Formulate policies & strategies 3.1 Undertake research and survey 3.2 Advisory services 3.3 Public consultations 4. Manage and implement budget 4.1 Budgeting 4.2 Resource mobilization 4.3 Auditing 4.4 Reporting 5. Monitoring and evaluation 5.1 Develop log-frame/ RRF 5.2 Reporting 5.3 Appraisal/evaluation	<ul style="list-style-type: none"> • Multi-stakeholder DRR forum/platform • National/local Government • UNDP and other UN Agencies • Red Cross and Red Crescent Societies • International/regional organizations & donor agencies • Academic/research Institutes • NGO/CSO • Private consulting firms • Individual consultant 	<ul style="list-style-type: none"> – Must have a network of partners and stakeholders – Have specific roles, functions and experience on DRR – Must have dedicated CPR staff/ Unit in their organization – Must have undertaken research and surveys and produced analysis in the past – Must have worked with communities, with local language facility, and have respect for local culture – Must be a legally-registered entity – Must have experience in management, HR, communication and budgeting

Capacity builders for technical capacities		
Technical capacities as per HFA	Capacity builder	Core services/Minimum criteria
HFA priority 1: Ensure that DRR is a national and local priority with a strong institutional basis for implementation		
<ul style="list-style-type: none"> – Stakeholders’ knowledge of DRR, understanding of disaster risks, hazards and vulnerability context and analysis of DRR issues – Understanding of the national development context – the socio-economic, political and cultural conditions that shape national priorities – Basic knowledge of engagement and mobilization of civil society and private sector in DRR issues (country/regional/ global experiences, lessons learned) – Basic understanding of DRR coordination mechanisms e.g. national platforms – their purpose, structure, composition, rules and procedures; knowledge of good working models for DRR coordination of other countries, at regional and global levels – Knowledge of global and regional experiences of institutional and legal systems for DRR – Basic knowledge of DRR mainstreaming in development policies and planning, including in National Development Plans, PRSPs and CCA-UNDAFs – Conceptual understanding of the links between disaster and development – Knowledge of stakeholder analysis and engagement, advocacy strategies for fostering political commitment 	<ul style="list-style-type: none"> – Regional organizations- SOPAC (Pacific) – SAARC centre for DM – Research institutes – International/national consultants/firms – Independent think-tanks – Peer reviewers/civil society (group of policy elites) – Media (Parliamentarian/ legislator – Government agencies responsible for DM – Inter-ministerial agencies – Pressure and advocacy groups such as Masyarakat Penanggulangan Bencana Indonesia (MPBI) in Indonesia 	<ul style="list-style-type: none"> – Must have knowledge and extensive experience in policy design for DRR – With experience of implementing similar projects/initiatives – Must demonstrate socio-political sensitivity – Knowledge and expertise on legal frameworks – Must possess participatory/ facilitation skills – Exhibits neutrality – Public acceptance

HFA priority 2: Identify, assess and monitor disaster risks and enhance early warning

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| <ul style="list-style-type: none"> – Knowledge of the hazards and the physical, social, economic and environmental vulnerabilities to disasters that the country faces – Capacities to record, analyze and disseminate statistical information and data on hazard mapping, disaster risks, impacts and losses – Basic understanding of common methodologies for risk assessments and monitoring – Capacity to develop, periodically update and widely disseminate risk maps and related information to decision-makers, the general public and communities at risk, in an appropriate format – Capacity to develop systems of indicators of disaster risk and vulnerability at national and sub-national scales that will enable decision makers to assess the impact of disasters on social, economic, and environmental conditions and to disseminate the results to decision makers, the public and populations at risk – Institutional capacities to ensure that EWS are well integrated into governmental policy and decision-making processes and emergency management systems at both the national and the local levels, and are subject to regular system testing and performance assessments – Knowledge of global and regional or other country-level experiences of EWS, including international best practices – Knowledge of the four elements of people-centred early warning: risk knowledge, monitoring and warning service, dissemination and communication, and response capability – Capacity for effective communication of disaster risk information, including early warning – Basic knowledge and understanding of scientific and technical methods and capacities for risk assessment, monitoring and early warning, through research, partnerships, training and technical capacity- building – Basic knowledge of remote sensing, GIS, hazard modelling and prediction, weather and climate modelling and forecasting, communication tools, and studies of the costs and benefits of risk assessment and early warning | <ul style="list-style-type: none"> – Geological survey experts – Metrological department – Flood forecast and warning centres (Bangladesh) – Academic institutions/ Universities – Scientists – Regional agencies – Red Cross (VCA), INGO- PVCA, PVA, CRA, etc. – Joint river commission – ICT producers – Consultancy firms – Expert groups and research institutions such as geological societies, civil engineers, National Society for Earthquake Technology (NSET)Nepal and the Tsunami Disaster and Research Mitigation Centre (TDMRC) Indonesia, etc – Regional institutions such as the International Centre for Integrated Mountain Development (ICIMOD), SAARC, Regional Integrated Multi-hazard Early Warning Systems (RIMES), the Mekong River Commission (MRC) and the Pacific Tsunami Warning Centre (PTWC) – National climate and geological information agencies such as Badan Meteorologi, Klimatologi dan Geofisika (BMKG) in Indonesia | <ul style="list-style-type: none"> – Technical experts/specialists- IT, GIS, socio-economic, hazard-specific expertise – Participatory/facilitation skills – Qualified/certified ICT providers – Early warning experts, must have developed EWS |
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HFA priority 3: Use knowledge, innovation and education to build a culture of safety and resilience at all levels

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| <ul style="list-style-type: none"> – Basic knowledge of the development of information-sharing systems and services that enable access to, and application of, disaster information – Fundamental knowledge on the integration or mainstreaming of disaster risk reduction in school curricula, with reference to existing international best practices – Developing training and learning programmes on disaster risk reduction at a community level, for local authorities and targeted sectors – Strengthening research capacity – Capacity to engage the media to raise awareness – Information on good practices, cost-effective and easy-to-use DRR technologies, and lessons learned on policies, plans and measures for DRR – Knowledge of international standard terminology related to DRR for use in programme and institutional development, operations, research, training curricula and public information programmes – Capacity to promote gender and cultural sensitivity as integral components of education and training for DRR – Capacity to implement local risk assessment and disaster preparedness programmes in schools and institutions of higher education – Basic knowledge of methods for predictive multi-risk assessments – Socio-economic cost-benefit analysis of risk reduction actions at all levels; ability to incorporate these methods into decision-making processes at regional, national and local levels. – Technical and scientific capacity to develop and apply methodologies, studies and models to assess vulnerabilities to and impacts of geological, weather, water and climate-related hazards | <ul style="list-style-type: none"> – Local government, local administration – Department of statistics – IT and communication service providers – Training service providers – I/NGOs and civil society groups – Community volunteers- – Students, teachers, religious leaders, community leaders – Community-based organizations – Media – Communities of practice on DRM – DRM network – Research and education institutions – Regional and national training institutions such as the Asian Disaster Preparedness Centre (ADPC) and the Asian Disaster Reduction Centre (ADRC) – Expert group | <ul style="list-style-type: none"> – Participatory/facilitation skills – Dissemination skills – Public acceptance – Writing skills |
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HFA priority 4: Reduce the underlying risk factors

<ul style="list-style-type: none"> – Understanding of integrated environmental and natural resource management approaches that incorporate DRR, including structural and non-structural measures, such as integrated flood management and appropriate management of fragile ecosystems – Basic knowledge and understanding of climate change, existing climate variability and adaptation to climate change – Analysis and basic understanding of food security in the context of disaster risks, particularly in areas prone to drought, floods, cyclones and other hazards that weaken agriculture-based livelihoods – Basic understanding of integrating DRR into the health sector and other basic services – Protection and strengthening of critical public facilities and physical infrastructure, and culturally important lands and structures – Basic knowledge of social safety-net mechanisms to assist the poor, the elderly, the disabled, and other vulnerable populations affected by disasters – DRR integration into post-disaster recovery and rehabilitation – Basic understanding of the underlying risks factors and ability to address them through diversified income options, financial risk-sharing mechanisms and partnerships engaging the private sector in DRR – Basic knowledge of land-use policy and planning, urban planning and management of disaster-prone human settlements, planning procedures for major infrastructure projects, rural development planning; ability to manage development of new building codes and standards, and to reinforce the capacity to monitor and enforce such codes 	<ul style="list-style-type: none"> – Planning and finance organs in the government along with sectoral agencies – Parliamentarians/legislators – Private sectors actors such as mobile phone operators, insurance companies, banks, builders/contractors in public-private partnerships) – Expert groups – Micro-finance institutions – Groups advocating on environment and social issues – Environmental conservation groups and agencies – Public health agencies – For LDCs, NAPA stakeholders – Planning and finance decision making agencies 	<ul style="list-style-type: none"> – In-depth understanding of the decision making/policy making process – Experience of risk management
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HFA priority 5: Strengthen disaster preparedness for effective response at all levels		
<ul style="list-style-type: none"> – Knowledge and understanding of the concept of disaster preparedness for response – Capacity to review and update disaster preparedness and contingency plans and policies – Common understanding of what constitutes an effective disaster preparedness system—including an understanding of DRR factors – Basic knowledge of contingency planning and response readiness, such as evacuation and standby arrangements for the provision of essential services and supplies – Capacity for the periodic review, rehearsal and modification of the plan with the active participation and ownership of relevant stakeholders, including local communities – Establishment of emergency funds, where and as appropriate, to support response, recovery and preparedness measures – Capacity to develop and strengthen coordinated regional approaches, and create or upgrade regional policies, operational mechanisms, plans and communication systems to prepare for and ensure rapid and effective disaster response in situations that exceed national coping capacities 	<ul style="list-style-type: none"> – Police, fire service, meteorology department, forecasting/early warning centres – Local authorities – CSOs, religious organization – Functional DM committees across levels – Equipped/informed community volunteers/organizations – Red Cross – World Food Programme – Training centre, national Red Cross bodies and International Federation of the Red Cross (IFRC) – Emergency operation centre – IASC cluster – National disaster preparedness institutions such as Disaster Preparedness Net (DP Net) Nepal – Media (local and national) 	<ul style="list-style-type: none"> – Community/service orientation – Equipped and well- informed – Regularly trained – Practical experience in humanitarian response



Collection of Case Studies

1. China

Capacity development for community-based DRR (CBDRR) – a breakthrough in China

Situation

China is a disaster-prone country. Disasters affect China's most impoverished population, particularly those in poor rural areas. The massive earthquake in 2008 not only killed nearly 70,000 people in southwest China, but also had a big impact on more than 360,000 rural poor. Very often poor rural communities are fragile due to weak DRR infrastructure and low capacities for effective community-based response to disasters. In the country, community disaster prevention and reduction is at an inception stage and there is limited guidance or support from the Government on CBDRR.

In support of the post-earthquake recovery, UNDP China implemented an integrated early recovery project in 19 poor, affected villages. One component of the project was to strengthen the capacity of the communities in emergency response and preparedness for future disasters.

Response

UNDP worked at different levels to address the issue. It employed a combination of CD responses to address the weak and low capacity levels of communities in disaster response in the following ways:

Assessment and policy studies: At national level, UNDP supported the National Disaster Risk Reduction Center of China (NDRCC) in conducting an assessment of CBDRR with a focus on poor rural communities;

Leadership building: At local level, based on the findings of the assessment, UNDP designed and organized a series of training workshops for local leadership building in CBDRR, targeting local government officials and community leaders.

Direct technical assistance to communities: At community level, technical support was provided to pilot villages to initiate their own contingency planning and conduct drill exercises.

Results

Using a combination of CD responses to enhance communities' capacity for disaster preparedness and response, the following intermediate results were achieved:

- An analytical report was produced on the capacity for CBDRR in rural communities of China; it was the first such report ever done by Chinese DRR authorities with a focus on rural communities.
- CBDRR models were introduced, piloted and integrated in the post-disaster early recovery process; 7,671 villagers participated in the community contingency planning and emergency drills, including 3,437 women and 1,146 children
- One of the pilot CBDRR villages was recognized by the Ministry of Civil Affairs in China as a model community for comprehensive DRR, among more than 400 other communities.

- Another pilot village, in a recent extreme weather-induced flood event in July 2010, was able to utilize knowledge and capacities acquired from previous trainings and exercises. 142 villages were evacuated in a timely manner to safer places with immediate relief assistance, thus avoiding casualties and further losses.

Challenges ahead

While it has achieved some interim results in CBDRR, China recognizes the need for key building blocks to fully mainstream CBDRR in its bureaucracy in order to achieve higher-level DRR outcomes and results. In the process, it is faced with key challenges such as:

- CBDRR is at an initial stage in China; further high-level government support in terms of policies, regulations and guidance are needed to sustain the model and replicate the experience to other parts of the country.
- More hands-on manuals and guidelines are needed that can be adapted to various situations and needs in the field, given the vast areas of the country and varieties of hazards that exist.
- Top-down and bottom-up approaches need to be better integrated; the empowerment of local communities and recognition of the role of women and volunteers is particularly needed.



2. Nepal

Fostering a culture of strong partnerships for a risk- resilient Nepal

Nepal has made remarkable progress in DRR in the recent years. While the state apparatus and mechanisms at all levels are still very much preoccupied with post-disaster response, the combined efforts of development partners and the government has opened up new avenues for CD to reduce risks in advance of disasters. Given the transitional stage of governance long prevalent in Nepal, CD efforts have experienced several difficulties on the way to making the policy and institutional reforms that are necessary for DRR. Nevertheless, the coherent and collaborative efforts of partners have brought some changes, considered prerequisite for working on DRR, in the mindset of policy makers. The institutionalisation of these efforts—for example, the joint policy advocacy and development of advocacy tools—has gradually started with the adjustment of mandates of existing institutions including the ministry of home affairs, traditionally responsible for disaster preparedness and response, and the government agencies responsible for development planning. Further progress will depend upon how institutions evolve during the political transition in the country. In coming years, capacity development for DRR should focus on developing the functional and technical capacities of the existing government institutions to foster a culture of strong partnerships with non-government actors to achieve the DRR goals outlined in Nepal's national strategy for disaster risk management.

Following are a few successful examples of combined partners' efforts and multi-stakeholder approaches adopted in Nepal for working on disaster preparedness and risk reduction issues.

a) A long-term strategy for DRR formulated

Following the five priorities identified under the HFA, UNDP Nepal took the lead in developing a long-term risk reduction strategy for Nepal, to be used as a guide for necessary policy and institutional reforms required for DRR.

The process of strategy formulation took almost two years (2007-2008) to complete and more than a year (2009) to get the endorsement of Nepal's cabinet. Along with strategy formulation, the process of sensitizing the concerned authorities to the urgency for taking proactive pre-disaster measures was also initiated. An analysis of risk and capacity gaps against the 5 HFA priority areas was done for each of these nine sectors: agriculture and food security; health and nutrition; education; housing, infrastructural and physical planning, livelihood protection; water supply and sanitation; forest and soil conservation, information, communication, coordination and logistical capacity; and search and rescue. Cross-cutting themes were identified as environment; gender and social inclusion; staff safety and security; and climate change.

A series of sector-specific consultations was conducted at national and regional levels to discuss capacity gaps and strategies to meet those gaps. The consultations involved stakeholders from various government ministries including administrative and security agencies. They also involved policy-making bodies, the donor community, UN agencies, non-government actors, civil society, academic and research institutions, experts, and local government authorities directly involved in disaster management planning and implementation.

A steering committee led by the Ministry of Home Affairs and comprised of senior government officials at joint secretary level from various ministries including the National Planning Commission of Nepal and national disaster management experts, provided necessary guidance, oversight and co-ordination to the strategy formulation process. A sectoral task force led by thematic experts consisting of the lead UN agency, an academic institution and the relevant government partner agency worked on an analysis of gaps and drafting strategies for each sector. UNDP provided financial and technical support to the government to facilitate the multi-stakeholder consultation and establish a high level inter-ministerial steering committee.

Due to the wide participation of stakeholders and key partners in the process from beginning to the end, the National Strategy for Disaster Reduction and Management (NSDRM) is a widely accepted document. The document is extensively used by the government, UN agencies, multilateral and bilateral donors and development partners as the reference for developing short and long-term implementation plans for DRR in Nepal.

Capacity Development Matrix

<i>Institutions that developed capacity:</i>	Ministry of Home Affairs (MoHA), and the members of the Steering Committee
<i>Capacity developed for:</i>	MoHA developed capacity to co-ordinate with the line ministries, including the National Planning Commission of Nepal, and to build consensus around the drafting of a new policy to shift the focus from post disaster response to pre-disaster mitigation and prevention measures. The members of the steering committee representing various government ministries were sensitized to risk reduction approaches and their linkages to development processes.
<i>Results of the CD:</i>	The government developed a long-term national disaster risk management strategy in 2008, which was approved by the Government of Nepal in October 2009.
<i>Measures of CD results:</i>	The NSDRM is an approved official document with wide acceptance. It is being used extensively by partners for short-term and long-term disaster management planning in Nepal. The MoHA is working on new legislation aligned with the priorities identified under NSDRM

b) Consortium approach to DRR planning adopted

Building upon the collaborative efforts of partners to support the government to address DRR issues as an urgent priority, a high-level DRR Consortiumⁱⁱ was launched in May 2009 under the auspices of the UN Resident Co-ordinator of Nepal. The consortium, comprised of the ADB, IFRC, UNDP, the UN Office for the Coordination of Humanitarian Affairs (UNOCHA), UNISDR, and World Bank, was formed to support the Government of Nepal in developing a long-term DRR action plan building on the NSDRM. The overall role of UNDP is to facilitate coordination among the consortium partners and provide support to the government for steering of flagship programmes identified by the consortium. In addition, the consortium initiated a multi-stakeholder participatory process with the Government of Nepal and civil society organizations to identify DRR priorities that are both urgent and viable within the current institutional and policy arrangements in the country.

Based on the priorities determined by multi-stakeholder groups, five flagship areas of immediate intervention for DRM in Nepal were identified, which include: a) school and hospital safety i.e.

structural and non-structural aspects of making schools and hospitals earthquake-resilient, b) emergency preparedness and response capacity, c) flood management in the Koshi river basin, d) integrated community-based DRR/DRM and e) policy/institutional support for DRM. In developing the programme concepts, the flagship areas have also taken into account the priorities outlined in the 'Hyogo Framework of Action 2005-2015: Building the resilience of nations and communities to disasters,' and the Chair's summary of outcomes of the 2nd session of the Global Platform for Disaster Risk Reduction, which sets out specific targets for reducing losses from disasters. The estimated total budget of the proposed programme is USD 131.32 million.

The MoHA has formed a National Steering Committee for the consortium under the leadership of the Secretary of MoHA, represented by consortium partners and lead government ministries. The main role of the steering committee is to co-ordinate with the partners on implementation of flagship activities and resource mobilisation. UNDP is supporting the MoHA in establishing a secretariat for the Consortium which will work under the guidance of the steering committee.

Capacity development matrix

<i>Institutions that developed capacity:</i>	MoHA and other government ministries
<i>Capacity developed for:</i>	MoHA developed capacity for coordinating multilateral partners and UN agencies in developing DRR flagship programmes for immediate action through the consortium approach. The line ministries developed capacity for identifying priority DRR activities under the flagship programme and defining their role in implementation.
<i>Results of CD:</i>	A DRR consortium for Nepal was launched in 2009 with commitments from ADB, World Bank, ISDR, IFRC and UNDP.
<i>Measures of CD results:</i>	Five flagship programme areas were identified for DRR and programme documents were produced; MoHA has established a steering committee for the consortium and set up a secretariat.

c) DRR mainstreamed into development through focal desks

Under the guidance of MoHA and with the support of UNDP, 12 DRR focal desks were established in key government ministriesⁱⁱⁱ and commissions^{iv} including the Office of the Prime Minister. Currently 30 government senior officials work at DRR focal desks established under various ministries and agencies. UNDP supports CD of the focal desks to increase their knowledge about risk and vulnerability, risk reduction approaches, and tools to be used for integrating DRR into development plans.

Since 2009, these ministries through the focal desks have developed their technical capacity and are now engaged in conducting vulnerability assessment; developing strategies for linking climate change with risk reduction; strengthening the disaster management database; developing a training package for managing water-induced disasters; revising building codes and retrofitting; preparing standard guidelines for district disaster management plans and integrating DRR into school curricula. These ministries have developed their technical capacity for DRR-related work.

The DRR focal desks together work as a "risk reduction consortium" and contribute to biannual progress review of HFA (2009-2011), integration of climate change adaptation and risk reduction

into sectoral development plans, and advocacy for allocation of resources for risk reduction activities in annual budgets. Furthermore, the focal desks, co-ordinated by MoHA, have facilitated inter-ministerial communication and exchanged knowledge about DRR issues. The initiatives taken by the focal desks have resulted in the integration of DRR into the three-year interim development plan (2010-2012) of Nepal.

Capacity development matrix

<i>Institutions that developed capacity:</i>	MoHA, and the 12 disaster focal desks of the government ministries and agencies
<i>Capacity developed for:</i>	MoHA developed capacity to co-ordinate the focal desks for DRR-based sector planning. The focal desks of the 12 ministries were engaged in integrating DRR into sector plans and lobbying for budget allocations for implementing DRR activities. The National Planning Commission of Nepal has given priority to integrating DRR and climate change into a three-year interim development plan
<i>Results of the CD:</i>	The approach paper for the three-year interim development plan clearly emphasizes the integration of DRR into development plans. The sector development plans stipulate DRR-specific activities. The Ministry of Physical Planning has developed capacity for seismic assessment and retrofitting of buildings.
<i>Measures of CD results:</i>	The approach paper and sector plan documents of the government were published in 2010.

d) DRR advocacy tools developed

Development partners^v working on disaster issues in Nepal combined their resources and expertise to produce a DRR Tool Kit in 2010 as a joint policy advocacy tool. The DRR Tool Kit is a professionally designed information pack on DRR, specially designed to inform the Constituent Assembly (CA) members about DRR, sensitize policy makers to disaster issues, and solicit their informed involvement and leadership to strengthen the DRR framework in Nepal.

The tool kit comprises an overview of the disaster situation in Nepal, a 2009 paper on the need for a revision of Nepal’s disaster management legislation, a proposed Disaster Management Act, the NSDRM, the Hyogo Framework for Action, information on mainstreaming DRR into development, a “people’s declaration” on DRR, a disaster fact sheet, a disaster map of Nepal and a proposed flood early warning strategy. The tool kit advocates strengthening DRR and preparedness through the necessary policy and institutional reforms, and focuses on strengthening the DRR framework through an inclusive approach addressing special needs of vulnerable people.

The joint efforts to sensitize CA members resulted in the formation of an informal committee within the parliament called “Parliamentary Action on Environment, Climate and Disaster (PACED)” comprised of 40 active CA members. The objective of this group is to ensure that DRM, climate change and environment concerns are sufficiently addressed in the drafting of the new national constitution as well as to urge the bureaucracy to address the immediate challenges of DRR. As a result of advocacy by PACED with the support of development partners, each of the eight parliamentary sub-committees have prepared separate thematic papers raising DRR and climate change for further discussion in the parliament.

Capacity development matrix

<i>Institutions that developed capacity:</i>	A consortium of partners working on DRR issues in Nepal.
<i>Capacity developed:</i>	Working together to develop DRR policy advocacy tools for CA members
<i>Results of CD:</i>	Members of the CA were sensitized to climate change and DRR priorities, in the process of drafting the new constitution of Nepal
<i>Measures of CD results:</i>	Working papers were developed by parliamentary sub-committees to reflect climate change and DRR priorities in the new constitution of Nepal A 40-member parliamentary committee called PACED was formed to advocate on DRR issues in the CA.

e) Disaster preparedness enhanced through combined efforts

Under the lead role of the MoHA, a number of institutions^{vi} working on DRM issues in Nepal organized themselves to work collectively in developing capacities of the district authorities in disaster preparedness and effective responses to monsoon flooding and landslide hazards. For the last two years, these institutions, co-ordinated by UNOCHA, have provided harmonized support to the government for disaster preparedness at the local level.

In 2010, out of 75 districts in Nepal, the most vulnerable 67 districts were selected for CD of their District Disaster Relief Committees (DDRC) in making district disaster preparedness plans. UNDP also supported 11 such districts. A multi-level partnership approach was adopted for disaster preparedness planning, through: a) selection of vulnerable districts, b) sharing of resources among the partners to cover 67 districts and c) an agreement on a uniform format and step-by-step process to be followed for plan preparation.

The actual planning process in the district started under the leadership of the District Disaster Relief Committee (DDRC) and thoroughly engaged DDRC members including district line agencies, security personnel, international and local NGOs, academic institutions, civil society, the business community and political leaders in wider consultations. As a result, each district developed a flood preparedness calendar; resource maps; response capacities of the stakeholders; a geographical division of responsibilities; mapping of vulnerable areas and potential shelter locations; assessment of stocks of basic supplies of food, medicine and shelter kits; transport and communication facilities; contact lists of stakeholders; and response plans for the following established clusters: Food, Health and Nutrition, Water, Sanitation and Hygiene (WASH), Education, Logistics, non-food items (NFIs) and Shelter, Protection, Search and Rescue, Information and Coordination, and Agriculture and Livestock.. The key objective was to help DDRC prepare a plan of action for effective response so as to minimize disaster impacts. The DDRC would be able to adopt the same process for preparedness planning in the following year.

The DDRCs are very effective in coordinating and responding to ongoing emergencies in the districts such monsoon flooding and diarrhoea outbreaks. Due to the proactive preparedness planning process conducted just before the start of the monsoon, the local authorities were able to handle the emergency on their own.

Capacity development matrix

<i>Institutions that developed capacity:</i>	MoHA, DDRC and a consortium of partners working on DRR issues in Nepal
<i>Capacity developed for:</i>	MoHA developed capacity to lead the collaborative efforts of the non-government actors active in disaster preparedness and response at the national, regional and local levels; DDRC developed capacity for disaster preparedness planning and mobilizing locally available resources for making effective response.
<i>Results of the CD:</i>	District authorities developed capacity for creating synergistic partnerships with district-level agencies and non-government actors for effective disaster preparedness and response. This capacity will remain with the DDRC as they will replicate the process in coming years.
<i>Measures of CD results:</i>	67 out of 75 districts in Nepal developed district disaster preparedness and response plans for 2010. The DDRC will be able to develop and update such plans in future with minimal external support. Emergency Situation Reports of UNOCHA rated the 2010 local-level responses as much more effective than in the past, and the need for central-level resources and responses to recurrent disasters from reduced considerably.

f) Engaging non-state actors in DRR planning and implementation:

Non-government institutions have several advantages over government-led institutions in managing disasters with regard to their outreach capacity, ability to mobilize resources and flexibility to operate under difficult circumstances. UNDP has been engaging in CD of the Disaster Preparedness Network of Nepal (DP-Net)^{vii}, a non-government organisation established in 1996 as a loose network of institutions and individuals working in DRR that was registered as an NGO in 2007. The main aim of DP-NET is to coordinate the government and non-government organisations working on disaster management issues in Nepal and to develop their capacities for disaster preparedness and response. DP-Net has been supporting its network organizations to enhance their outreach at district and community levels, and develop capacity to support the district authorities and community groups for effective responses to disasters. Currently, DP-Net has 69 member organizations representing government ministries, international and local NGOs, professional organizations, academia and community organizations working in the field of DRR.

DP-Net has been acting as a resource and information centre for DRR in Nepal. It has conducted several disaster-related training activities for its member organisations in the areas of disaster research, database management, contingency planning, awareness and mitigation, vulnerability and risk assessment, preparing hazard profiles, developing training materials and conducting training of trainers. The member organisations of DP-Net, with the support of international and local NGOs and bilateral donors, have been actively engaged in supporting local authorities to implement activities. DP-Net facilitates a common voice among its partners, linking grassroots realities with the policy and institutional reform process through policy analysis and advocacy. DP-Net conducts need assessments and mapping exercises to ensure synergy among the partners in programme development and implementation. Substantive engagement of DP-NET in policy advocacy has helped achieve broad-based endorsement of Nepal's NSDRM and the alignment of NSDRM with the proposed new disaster management legislation.

Because of its strong outreach and convening capacity, DP-Net is highly engaged in ensuring two-way communication between policy makers and local communities, as well as creating public awareness of disaster preparedness and risk reduction. It has facilitated the formation of a national DRR platform in Nepal with the leadership of MoHA, and has sensitized parliamentarians and policy makers to DRR and preparedness priorities for Nepal. It has now expanded its physical outreach in the eight most disaster-prone districts, and produced important information, education and communication (IEC) materials on DRR to be used at local levels.

Capacity Development Matrix

<i>Institutions that developed capacity:</i>	Disaster preparedness network of Nepal (DP-Net) and its member organisations
<i>Capacity developed for:</i>	DP-Net developed its capacity to network with other institutions and develop their technical capacities to support the local authorities and the communities in disaster management planning, preparedness and response. DP-Net also enhanced its own capacity for policy research, advocacy, knowledge sharing and awareness raising on DRR, and conduct of DRR-based training for partners and DRM actors.
<i>Results of the CD:</i>	During 2007-09 the institutions affiliated with DP-Net directly benefitted from the enhanced capacity of DP-Net to conduct training on 10 different thematic areas related to disaster management. DP-Net advocated for approval of NSDRM and alignment of NSDRM with new legislations. In 2008 and 2009, DP-Net mobilized NRs 6.14 million from other partners to carry out collaborative activities. The government has now recognized DP-Net's capacity to serve as the secretariat of a national platform for DRR in Nepal.
<i>Measures of CD results:</i>	A fully-fledged office with the technical capability to provide coordination and networking services to national and international NGOs and government institutions, foster partnerships, run training and seminars for member organizations, and support local authorities in preparing disaster risk reduction and preparedness plans. DP-NET is recognized as the initiator of district-level disaster preparedness planning every year.

g) Engaging community disaster management groups

UNDP has been implementing disaster preparedness and community mitigation activities with the support of various partners as technical service providers, facilitators or supervisors of community work. These institutions include local development authorities, district chapters of the Nepal Red Cross Society, ActionAid Nepal and government line agencies such as the department of soil conservation and water-induced disaster prevention. The benefits of working through these institutions on community-based disaster management are manifold.

At the district level, the DDRC co-ordinates all community-based activities to optimise resources and ensure synergy based on the comparative advantages of each institution working at the community level. For example, in current UNDP community-based activities implemented in three districts, the NGO Practical Action was involved in supporting establishment of a community-based EWS, while ActionAid was involved in community mobilization and capacity development of the community-based disaster management group and the local government was involved in monitoring of mitigation work.

Local communities in the selected districts are organized into disaster management groups and trained in vulnerability assessment, contingency planning, EWS, and community mitigation work. Each community group, after receiving basic skills training, selects an area in the village that is prone to flood and landslides, and makes plans for a mitigation structure using locally available materials. The communities also learn skills to replicate the mitigation structure in other sites identified during the hazard and vulnerability mapping exercise. In 2010 alone, at least 15 such community mitigation structures were built including spurs and embankments, retrofitting of school and community buildings, bio-dikes and culverts, raising the ground level of community buildings, and drilling tube wells for drinking water. These structures were primarily designed to mitigate the direct impact of floods and landslides, reduce earthquake vulnerability and provide shelters to the flood victims.

The supporting organizations provided necessary skills training to the community groups, and helped in the design of civil structures and supervision of construction work, while the local community were engaged in resource mobilisation and physical construction. The site selection was based on hazard and vulnerability mapping done by the community, the available district profiles, and the priorities outlined in the district disaster management plans. Since the local communities were involved in design and construction of mitigation structures and local materials were used as far as possible, the work quality was good and per unit costs relatively low, with the advantage that the community remains committed to future maintenance and replication. Various training events relating to disaster preparedness, vulnerability assessment, contingency planning and EWS conducted at the community level, combined with community mitigation work, have shown higher impacts on reducing the risks.

Capacity Development Matrix

<i>Institutions that developed capacity:</i>	District Disaster Relief Committees (DDRCs) and community disaster management groups
<i>Capacity developed for:</i>	The DDRCs developed capacities to engage with several partners and coordinate them for community-based disaster management activity planning and implementation. Community disaster management groups developed their capacities for vulnerability assessment, contingency planning, disaster response and mitigation.
<i>Results of CD:</i>	41 communities benefited from flood mitigation activities completed in 14 Terai (plain) districts of Nepal during 2008-2010.
<i>Measures of CD results:</i>	Communities engaged in planning and carrying out the preparedness exercise on their own, and maintained the civil mitigation structures they built to mitigate disaster impacts.

- i HFA five priorities include:
 - PRIORITY FOR ACTION 1: Ensure that disaster risk reduction is a national and local priority with a strong institutional basis for implementation
 - PRIORITY FOR ACTION 2: Identify, assess and monitor disaster risks and enhance early warning
 - PRIORITY FOR ACTION 3: Use knowledge, innovation and education to build a culture of safety and resilience at all levels
 - PRIORITY FOR ACTION 4: Reduce the underlying risk factors
 - PRIORITY FOR ACTION 5: Strengthen disaster preparedness for effective response at all levels
- ii The Nepal Risk Reduction Consortiums 2009
- iii Office of Prime Minister and Council of Ministers, Ministries of home affairs, physical planning & works, local development, forestry & soil conservation, environment, irrigation, agriculture & cooperatives, education, and health & Population
- iv Water and Energy Commission under Ministry of Water Resources and National Planning Commission
- v Action Aid Nepal, Handicap International, EU Humanitarian Aid department, Oxfam GB, UNDP, Association of International NGOs in Nepal, Co-Action Nepal and Eco-Nepal
- vi Nepal Red Cross Society, DP-Net, Action Aid Nepal, Oxfam GB, Save the Children, Lutheran World Federation, Care Nepal, ADRA, Mission East, Mercy Crops, Marline, UMN, UNICEF, Handicap International, Plan Intier, Helvetius, Shaplneer and Practical Action



3. Vietnam

From a partnership mechanism to a National Platform for DRM and Climate Change

Situation

Natural disasters such as typhoons, storms, floods, droughts, mudslides, forest fires and salt-water intrusion present recurring risks to the people of Vietnam, especially for children, women, and the elderly. More than one million people require emergency relief each year. As a result of regular flooding, particularly in the central region, Vietnam has experienced great losses in productivity for food staples and thwarting efforts to cut rural poverty (One Plan, 2006-2010).

The country will also bear disproportionately severe impacts of climate change compared to its relatively small contribution to global carbon emissions. This further emphasizes the need to tackle natural disasters and climate change through effective planning, preparedness and public investment (One Plan, 2006-2010).

This situation in Vietnam began to change in 2001 when the preparatory phase of the partnership mechanism for DRM was launched. The mechanism was developed after the historic flood of 1999 and has been growing in different forms over the last ten years, from a Partnership for DRM to a National Platform for DRM and CC.

Capacity assessment

There were several rounds of capacity assessment conducted through UNDP-supported projects over the last ten years, to shaping appropriate mechanisms.

Beginning in 1999, after historic floods in the central provinces, a multi-donor mission to assess the impacts of the floods and local government capacity in DRM was initiated. The assessment paved the way for a partnership at national and provincial levels. The first phase of the Natural Disaster Mitigation Partnership (NDM-P) commenced in 2001 with the participation of 20 core members from the central government, donors, INGOs, and provinces. The objectives of the partnership during that time were rather ambitious, including: (i) policy development (ii) project financing mechanisms for DRR at provincial levels and (iii) coordination and information sharing. Due to limited CD strategies, the NDM-P's main successes were in information sharing, initiating coordination practices and piloting project formulation models linking DRR with local participatory planning process and sustainable livelihood development.

The second round of capacity assessment was conducted in 2004. It focused on assessing the capacity of the secretariat, drawing lessons, and consulting on the future of NDM-P with multiple donors and actors. The next phase of the NDM-P was initiated based on the recommendations of stakeholders, which emphasized (i) coordination, information sharing and an information management system on DRM, (ii) policy and institutional capacity development for DRM, and (iii) knowledge building.

The second phase was recognized as more effective and successful in terms of policy formulation, promoting joint efforts in addressing policy gaps, DRM practice gaps, and stabilizing the information sharing process. Remarkable results were achieved, including a national strategy for DRM up to 2020, joint assessment templates for inter-agency assessments, and a Disaster Management Information System (DMIS) of disaster events in Vietnam.

In 2007, the 3rd assessment was conducted to support the gradual shift from a donor-driven approach to government taking the lead role. From the period 2008-2009, the government had taken the ownership of the mechanism and started to enhance the partnership mechanism. NDM-P has taken the relevant direction, although it still experiences constraints in its financial mechanism. At the end of 2009, a further review and consultation was undertaken by the government to formulate and elevate the NDM-P as a national platform, in line with the Hyogo Framework for Action (HFA).

In early 2010, the final design, functions and mandates of the National Platform for DRM and Climate Change were developed based on experiences and lessons.

Results

As a result of these processes that have taken place in Vietnam with direct UNDP support, the following achievements in DRM were made during the last decade:

- Measures to mitigate the impacts of natural disasters are gradually improving and have been strongly supported by the UN, ranging from national and local capacity building, small-scale infrastructure improvements to improved EWS and disaster preparedness.
- Improved data and communications have supported situations such as the large-scale and timely evacuation of people from areas seriously threatened by typhoons and storm surges.
- Vietnam is held up as an excellent example in containing the avian influenza epidemic due to its coordinated response and partnership with the UN and donors.
- The government developed the National Strategy for Disaster Mitigation and Management 2000-2020 from which the National Disaster Management Partnership was launched in 2001. The partnership supported the development of a master plan for disaster management and mitigation in central Vietnam, with direct UN support.

CD Response

Following these developments and the need to support NDM-P and later the National Platform, UNDP has put further emphasis on capacity gaps, both functional and technical. UNDP has employed the following CD response strategies:

- Build national multi-stakeholder mechanism for coordination, policy development and information sharing in DRR
- Build capacities on policy knowledge, consultation and negotiation skills, advocacy and communication, human resources and adequate roles and responsibility following the business development plan for the mechanism/platform.



4. Bangladesh

Reorienting mindsets – A CD response strategy to enhance capacities for DRR in Bangladesh

DRR Results

Bangladesh is extremely vulnerable to natural hazards. Around 57 million people, consisting of about a third of its population, live in chronic poverty. This, combined with the country's geographical location, its topography and dense population, means that natural hazard events often result in disasters with a high loss of life and economic damage. Historically, deaths from single events, such as cyclones, reached into the hundreds of thousands in Bangladesh. But this trend is reversing with data suggesting that preparation for and responses to disasters are improving over time. There have been massive reductions in the number of lives lost. Cyclone Sidr in 2007, for example, bears ample testimony to this improvement. Cyclone Sidr was the most powerful cyclone to impact Bangladesh since 1991, when a reported 140,000 people perished. The death toll from Cyclone Sidr was of less magnitude, where approximately 3,406 people were killed and 1,000 were reported missing (CDMP II).

This significant achievement is attributable to the enhanced capacity of the Bangladesh government in managing and reducing disaster risks and improved response and recovery management over the past few years. This improved government capacity is demonstrated by the performance of its host ministry and division (the MoFDM and DMRD respectively) as well as more broadly across ministries. As a consequence of this improved performance and functioning of institutions, Bangladesh has established a national disaster management legislative framework. This further led to important milestones in DRR in the country such as review and redrafting of the Disaster Management Act, National Disaster Management Policy, National Plan for Disaster Management 2007-2015, Standing Orders on Disasters and introduction of a revised Allocation of Business for the Disaster Management and Relief Division, MoFDM to include risk reduction functions.

CD Response

The improved functioning of institutions such as the MoFDM and its three operational departments, namely the DMB, DRR and Directorate General of Food (DGoF), was facilitated by a deliberate **reorientation of mindsets** of both the organization and the individual officials and staff working on DRM, specifically shifting paradigms from a reactive relief and response approach towards a proactive risk management culture.

The following have been undertaken **to improve organizational and individual capacities** for management and coordination:

- Developed the MoFDM 5-year corporate plan; DMB, DRR and DGoF 3-year strategic plans
- Developed a training plan for MoFDM

- Supported 44 government officials to attend 3-month certificate and diploma courses on disaster management at BRAC University, Swinburne University in Australia and the Asian Disaster Preparedness Center (ADPC) in Bangkok
- Provided orientation/training to all the agency staff posted nationally and locally
- Provided IT and equipment support, established LAN, updated the MoFDM, DMB and DRR websites
- Facilitated high-level participation of MoFDM and its agency officials in different regional and global meetings and negotiations to increase their public profile
- Since 2007, over 25,000 professionals and individuals have attended the Introductory Course on Disaster Management. This training has benefited the recipients very much as it gives sufficient knowledge and understanding of the specific risk reduction and emergency response functions of disaster management committees, and engages them proactively in linking DRR and development activities.

Capacity assessment

A needs and capacity assessment was conducted. The result of the assessment formed the basis to develop a Learning and Development Strategy for the MoFDM, to enhance the technical and functional skills of MoFDM staff and other government officials of key ministries. This assessment served as the baseline in measuring enhancement of capacity for DRR in later stages.



5. Pacific

SOPAC as a regional platform for DRM in the Pacific

Situation

In the Pacific, the challenge of achieving sustainable development goals is dependent on a number of factors including effectively addressing the underlying risks to national development and reducing the social, economic and environmental costs of disasters. In this context, the Pacific Islands Forum Leaders endorsed the regional DRM framework, entitled the *Pacific Disaster Risk Reduction and Disaster Management Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disasters*, and included its implementation as a regional priority requiring immediate attention under their Pacific Plan. The Regional DRM Framework and the Pacific Plan received endorsement at their meeting of October 2005 in Madang, Papua New Guinea.

The vulnerability of Pacific Island Countries (PIC) varies according to the range and type of natural hazards and the degree of exposure. A common feature is that mechanisms to reduce risks in almost all Pacific countries are still very weak. Despite the fact that much has been done to support and strengthen DRR and disaster management planning, a number of problems still exist. These include, amongst others: poor institutional arrangements for mainstreaming DRM into economic planning; limited (and in many instances inadequate) capacity for hazard analysis and vulnerability mapping; outdated national disaster management plans and supporting legislation; limited focus on prevention and mitigation planning; limited sphere of influence and resources at NDMOs; uncoordinated response and recovery arrangements; lack of political support, and lack of engagement and commitment to national disaster management committees. Compounding these specific challenges are the generic yet highly significant challenges facing the region such as the tyranny of distance and the lack of institutional and technical capacity and resources, including financial resources.

SOPAC is the Pacific regional intergovernmental organization tasked by Pacific leaders in 1995 to lead and coordinate implementation of DRM actions and priorities. SOPAC has 21 member countries and territories, and delivers services across three key technical programme areas of Ocean and Islands, Community Lifelines and Community Risk. Although the Community Risk Programme activities have largely focused on building the capabilities of NDMOs in member countries, under the SOPAC Strategic Plan 2005-2009 the focus of the Community Risk Programme has been oriented toward assisting governments to mainstream DRM into national development planning processes, including both risk reduction and disaster management dimensions. Technical assistance support will be provided by other partners. UNDP is a key partner of the SOPAC in this endeavor. For example, the UNDP Pacific Centre based in Fiji has already recruited staff to support NAP development and implementation.

CD response

The regional programme of support was developed through consultations and assessments of key priority needs and the underlying root causes of increased risk at the regional and national levels.

The assessment was carried out through consultations with key stakeholders at national level and across regional and international organizations active in the field of DRM in the Pacific.

To ensure effective and efficient functioning of the SOPAC, the UNDP Pacific Center provided support through the regional initiative with the overall objective of enhancing the capacity of the SOPAC, as the regional organization responsible for DRM in the Pacific Region, to support countries in mainstreaming DRM into planning and budgetary processes.

The technical support was intended to develop SOPAC's capacity at organizational level to undertake regional DRM mainstreaming, and particularly to design and implement mainstreaming across all Pacific Island Countries.

Specific CD response strategies were employed to facilitate the above processes. They include the following:

- Working as part of team with SOPAC and other regional partners to jointly provide support to countries on mainstreaming DRM
- Development of guides and knowledge products

Results

As a direct effect of a strong and capable regional mechanism i.e. SOPAC, the following intermediate and medium to long-term results have been achieved thus far:

At output level:

- DRM National Action Plans (NAP) with UNDP assistance were developed in Vanuatu, the Republic of the Marshall Islands (RMI) and the Cook Islands
- A DRM National Action Plan guide was developed through substantive support provided by UNDP
- A sector-level plan was developed and endorsed by Fiji Government for DRM in agriculture

At outcome level:

- **Influencing a strategic approach to mainstreaming DRM in the region:** UNDP has helped to shape a strategic approach to mainstreaming DRM by applying good practices from the international level to the Pacific region, through its support to SOPAC
- **Wider application of DRM mainstreaming methodology:** Guidance developed on mainstreaming DRM is now being used as the basis for formulating DRM plans at the sector level, for example, in the agriculture sector in Fiji and the education sector in PNG
- **Increasing emphasis on risk reduction:** at national level, emphasis for DRM work is shifting away from just focusing on response and preparedness—the domain of NDMOs—and moving towards risk reduction
- **Gender and vulnerable communities:** from a recent review of the DRM mainstreaming programme facilitated by UNDP and UNISDR, a major finding has been the need to better incorporate the needs and participation of vulnerable communities in the DRM mainstreaming/planning process.
- **Climate change adaptation:** the mainstreaming programme is now being used as a platform for countries to integrate climate change adaptation in to the DRM planning and policy process. To illustrate this, the governments of Cook Islands and RMI have recently submitted formal requests to UNDP and SOPAC for assistance with the development of integrated national policies and plans for DRR-CCA.



6. Indonesia

Strengthening capacity of the enabling environment

Situation

Indonesia is populated with over 200 million people living across a widespread archipelago. Many are vulnerable to natural and man-made disasters. Natural disasters are common and frequent phenomena in Indonesia causing loss of lives and livelihoods, destruction to property and environmental damage. The country is vulnerable to a high level of seismic activity due to its location at the intersection of three seismic plates, with much of this activity just offshore, bringing added risks of tsunamis. As a nation, Indonesia has more earthquakes per year than any other country on earth. A part of the “Ring of Fire”, Indonesia has more than 500 volcanoes, 128 of which are considered to be active. Many parts of the country are susceptible to drought caused by a strong correlation with the El Nino/La Nina (ENSO) phenomenon resulting in crop failure and uncontrolled bush fires exacerbating the forest fires from the extensive forest logging. Added to this is the fact that there are over 5,000 rivers, 30% of which pass through high density population centers and regularly cause floods—the most commonly recurring natural hazard in Indonesia (SCDRR in Development Project Document).

The 26 December 2004 Indian Ocean tsunami and earthquake, with its unprecedented impact on Indonesia followed by a series of well publicized disasters since then, has created both national and international determination to make the changes needed to save lives, protect livelihoods and property, and reduce developmental setbacks. As a result, new initiatives by the government of Indonesia to reform and strengthen its disaster management system have come as part of its overall reform programme. It has committed to accelerate the disaster management legal reform process in the country, being urged by CSOs and supported to do so by UNDP.

This reform has changed the way the business of disaster management is done, from ad hoc arrangements to structural configurations with permanent personnel and a dedicated budget to undertake disaster management functions, from prevention and mitigation preparedness to emergency response and recovery stages.

CD response

Owing to the dearth of institutional experience and knowledge of disaster management, the government of Indonesia badly needed the technical support and capacity to initiate the process of policy formulation. Through the Aceh Recovery Project, UNDP Indonesia provided the necessary support and technical assistance. It has initiated a number of CD responses to develop both technical and functional capacities of the government, such as:

- Capacity to formulate policy i.e. drafting of the law and preparation of the legal document
- Capacity to facilitate consultations and advocacy with the members of legislature
- Capacity to engage wider stakeholders in dialogue and consultation on the policy document
- Capacity to engage international stakeholders and partners

- Capacity to exert external pressure; advocacy by civil society and non-government organizations on the legislature to consider the DM policy document in the parliament

Results

As a consequence of the enhanced capacity of the government, there is a substantial paradigm shift in disaster management in Indonesia, from a focus on emergency response and relief, to prioritizing prevention, mitigation and preparedness. The enactment of the Disaster Management Law (Law No.24/2007) paved the way for integration of DRR into policies and development initiatives. From the law emerged ancillary regulations to support its full implementation. The government of Indonesia has decreed DRR as one of nine national development priorities in 2007, indicating its commitment to adopt DRR as development approach.

Lessons learned

The engagement of multiple stakeholders in developing the policy document was important in generating adequate political backing to enact the Disaster Management Law in Indonesia. It should come with strong political commitment from the government. The role of CSOs in advocacy and coordination with members of the legislature was another essential factor.



7. India

Substantial drop in loss of lives to disasters: A dividend of increased capacities for DRR in India

Situation

The Indian sub-continent is highly prone to natural disasters. Frequent disasters lead to the erosion of development gains and restricted options for disaster victims. Major disasters have illustrated the need for multi-hazard prevention, response and recovery plans in order to minimize threat to human life and property. A response-oriented approach to disasters has long been the practice of the Government. Capacity development is too focused on the government level, relegating communities' capacities on the sidelines. Analysis of past disasters and consultations with Government in the recent past have pointed out that this approach is not really helping communities in quickly responding to natural hazards of severe intensity.

In the 1990s, UNDP support to post-disaster events in India showed that there is a need to engage communities and empower them to deal with risk management. However, soon after, it was felt that stand-alone projects focusing on communities would not be sustainable. Review of the community-based preparedness initiatives of NGOs and the Red Cross in various parts of the country revealed that the capacities created are not sustainable in the absence of any formal structure to provide continuous impetus.

This has gradually changed when UNDP piloted a project that aimed both at strengthening communities' capacity for DRM and establishing DRM institutional structures and systems to ensure sustainability.

Response

UNDP initiated a pilot project to strengthen the DRM capacities of communities in selected blocks in Orissa. This pilot project was anchored by the district administration. This project was evaluated and based on the lessons learned and studies to upscale the project. A larger DRM programme was formulated, based at the Ministry of Home Affairs. UNDP India provided country office support to the ministry for the implementation of the programme. The programme started with a modest investment of US\$ 2 million by UNDP, subsequently expanding within a US\$ 41 million multi-donor framework.

UNDP's support to government under the DRM programme was to strengthen community, local governments and district administration responses, preparedness and mitigation measures in 176 districts most prone to multi-hazards. The programme has created an enabling environment to undertake DRM activities in the rest of the country and has already been recommended for scaling up in the latest (2007-2012) Five-Year Plan document of the government of India.

Specifically, the programme embarked on a number of CD response including:

- National capacity enhancement to institutionalize the system for natural disaster risk management

- Create an enabling environment for natural disaster risk management through education, awareness creation, and strengthening capacities at all levels.
- Preparation of multi-hazard preparedness, response and mitigation plans for disaster risk management at state, district, block, village and ward levels in 17 states, in the 176 districts most prone to multi-hazards.
- Sharing knowledge of effective approaches, methods and tools for DRM, developing and promoting policy frameworks at state and national levels.
- During the early stages of programme implementation, many government functionaries were unaware of the importance of preparedness and prevention. This caused them to be less interested and unwilling to take any action. To overcome this, the programme mobilized and appointed national UN volunteers to assist the district administrations in coordinating implementation.

Results

As a result of the CD responses, the following were achieved as direct project outcomes:

An administrative and institutional framework for DRM was created in the Ministry of Home Affairs by establishing a management board and steering committee to oversee DRM activities in the states. The ministry also established a technical committee to develop project proposals addressing various DRR concerns as well as to develop institutional, legal, techno-legal, communication and policy guidelines.

- An Integrated Operations Centre with a scientific warning dissemination system was established at the Ministry of Home Affairs to provide adequate and timely support to the implementing agencies.
- Local communities in 176 hazard-prone districts are aware and informed about DRM and mitigation.
- 176 hazard-prone districts have multi-hazard DRM response and mitigation plans based on vulnerability and risk assessment of women and children in natural disasters.
- There has been increased participation of elected women representatives of local governments in 176 districts in the process of disaster preparedness and risk management.
- There is enhanced capacity among government staff of the nodal agency at state level and in all selected districts to develop and update the risk management and response plans for different hazards in the future.
- Women have better knowledge of First Aid, shelter management, water and sanitation and rescue evacuation.
- There are well-equipped emergency operation centres in selected states and districts.
- Manual, training module and awareness strategies are available for replication in other areas.
- Skilled masons and engineers have learned to build hazard-resistant housing.
- Models for dissemination of best practices in disaster -resistant construction are available.
- A platforms for knowledge and information sharing about available resources has been established i.e. the India Disaster Resource Network

Beyond project results, the CD responses also reaped higher DRR outcomes as evidenced by evaluation and 'lessons learned' studies. The external evaluation undertaken in 2008 by the Asian Disaster Preparedness Centre (ADPC) noted that in the targeted districts, the loss of life has been reduced substantially due to the capacities built through the programme. It has also been documented that during the tsunami, one of the coastal villages in Tamil Nadu was able to save about 100 people mainly because of the preparedness capacities established through the same programme.



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