

STRENGTHENING DISASTER RISK GOVERNANCE



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Resilient nations.*



**UNDP Support during
the HFA Implementation
Period 2005-2015**

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Front cover photo: A family evacuates their village in a flood hit area of Pakistan. © Abdul Majeed Goraya/IRIN



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ACRONYMS

BAPPENAS	Badan Perencanaan dan Pembanguah Nasional (National Development Planning Agency, Indonesia)
BNPB	Badan Nasional Penanggulangan Bencana (National Agency for Disaster Management, Indonesia)
CADRI	Capacity for Disaster Reduction Initiative
CBDRM	Community-Based Disaster Risk Management
CC	Climate Change
CCA	Climate Change Adaptation
CO	Country Office (UNDP)
CSO	Civil Society Organization
DM	Disaster Management
DRG	Disaster Risk Governance
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
ECIS	Europe and Commonwealth of Independent States
EW	Early Warning
FAO	Food and Agriculture Organization
GAR	Global Assessment Report on Disaster Risk Reduction
GRIP	Global Risk Identification Programme
HFA	Hyogo Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disasters
IDNDR	International Decade for Natural Disaster Reduction
IFRC	International Federation of Red Cross and Red Crescent Societies
ILS	Institutional and Legislative Systems
IPCC	Intergovernmental Panel on Climate Change
LAC	Latin America and the Caribbean
LLRM	Local Level Risk Management
LSG	Local Self-Government
MCC	Ministry of Climate Change (Vanuatu)
MDPAC	Ministry of Development Planning and Aid Coordination (Solomon Islands)
M&E	Monitoring and Evaluation
MECDM	Ministry of Environment, Climate Change, Disaster Management and Meteorology (Solomon Islands)
MoES	Ministry of Emergency Situations (Armenia; Kyrgyzstan)
NAB	National Advisory Board on Climate Change and Disaster Risk Reduction (Vanuatu)
NADMO	National Disaster Management Organization (Ghana)
NAP	National DRR Action Plan
NDMA	National Disaster Management Authority
NGO	Non-Governmental Organization
NP	National Platform
OCHA	United Nations Organization for the Coordination of Humanitarian Affairs
SCDRR	Safer Communities through Disaster Risk Reduction (UNDP Indonesia Programme)
SGR	Secretaria de Gestión de Riesgos (Ecuador)
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
UNISDR	United Nations Office for Disaster Risk Reduction
WCDRR	World Conference on Disaster Risk Reduction
WFP	World Food Programme



Executive Summary

A changing climate and rapidly growing exposure to disaster risk presents the world with an unprecedented challenge. Over the past decade, more than 700,000 people lost their lives, over 1.4 million were injured and approximately 23 million were made homeless as a result of disasters. Overall, more than 1.5 billion people were affected by disasters in various ways. The total economic loss was more than US\$1.3 trillion.¹ Recurring small-scale and slow-onset disasters predominantly affect communities and households, and constitute a high percentage of all losses. The challenge is particularly severe in developing countries, as they are both more likely to be affected and less able to cope with the impact of disasters. Poor governance and the substantial growth of population and assets in areas exposed to natural hazards are the major causes of increasing levels of disaster risk.

The United Nations Development Programme (UNDP) recognizes governance as a key unresolved issue in both the configuration and the reduction of disaster risk. With the aim of protecting development investments and ultimately building people's resilience, UNDP has made strengthening disaster risk governance (DRG) a cornerstone of its efforts to understand, reduce and manage risk for the past two decades.

Since 2005, UNDP worked with national governments, communities and development partners to support DRG in 125 countries. A significant proportion of this work focused on strengthening institutional systems and legal and policy mechanisms to govern the reduction and management of disaster risk, as well as providing support for the processes that lead to the establishment of these arrangements and facilitate their effective implementation. With the global framework on disaster risk reduction (DRR), the *Hyogo Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disasters* (HFA), coming to an end, and a successor framework to be agreed in March 2015 at the Third World Conference on Disaster Risk Reduction (WCDRR) in Sendai, it is time to take stock of UNDP's progress in promoting more effective DRG over the last 10 years. UNDP commissioned this report in order to:

- Provide a snapshot of the overall progress achieved in DRG since 2005;
- Analyse UNDP's role in, and approaches to, supporting DRG in 17 selected countries since 2005;
- Provide policy and programmatic guidance based upon key findings;
- Constitute a resource for the implementation of the HFA successor agreement and the post-2015 development agenda.

This report presents detailed findings from a selection of 17 countries in Africa, Arab States, Asia and the Pacific (Asia/Pacific), Europe and Commonwealth of Independent States (ECIS), and Latin America and the Caribbean (LAC), where UNDP worked on DRG. It also provides an overview of UNDP's portfolio of country level DRG projects. This report examines the strategies and methodologies employed by UNDP over the last decade to promote an enabling governance environment for DRR. In particular, it presents an analysis of UNDP support for getting DRR on the political agenda as a cross-cutting development priority, and facilitating the translation of DRR policy frameworks into action at the local level.

The report's findings draw on a number of sources of information, including: a global thematic review of DRG commissioned by UNDP for the 2015 *Global Assessment Report on Disaster Risk Reduction* (GAR) (Aysan and Lavell, 2014); 17 country papers prepared by UNDP country offices (COs) including general information on DRG and UNDP's programme in each country; more than 70 interviews with government officials, academics, local consultants and UNDP regional and country office staff in 17 countries; a review of relevant primary, grey and secondary literature; and a portfolio analysis of UNDP's country level DRG programmes from 2005 to 2012. Two international consultants prepared the report, with support from UNDP staff at global, regional and national levels.

The report is structured as follows: Chapter 1 explains the background to the report, its objectives and target audience, including a reflection on the evolution of the DRG concept within UNDP. Chapter 2 describes the approach and focus of the analysis, as well as key terms and concepts. Chapter 3 provides an overview of changes in DRG arrangements at country level over the last 10 years. Chapter 4 contains a portfolio analysis of UNDP support to DRG in 125 countries. Chapter 5 examines UNDP's support for creating an inclusive governance framework that integrates national and local level roles and responsibilities to reduce risk. Examples from the 17 sample countries demonstrate achievements, key challenges and lessons learned. Chapter 5 also highlights emerging practices for the integration of governance for climate change adaptation (CCA) and DRR. Chapters 6 and 7 provide a set of conclusions and key recommendations for UNDP and the post-2015 framework for disaster risk reduction.

KEY FINDINGS AND LESSONS LEARNED

The report focuses on recent UNDP experience in supporting governance arrangements that promote DRR at the local level. This is a growing area of UNDP's engagement in DRG. An analysis of UNDP's DRG portfolio demonstrated that a total of 32 percent of DRG projects focused on local and urban DRR. Since the adoption of the HFA in 2005, formal HFA progress reviews noted that there has been little overall progress towards developing policies and practices to reduce risk below the national level. Similarly, UNDP has faced challenges in promoting DRG at the local level.

Nonetheless, this analysis of UNDP DRG programmes in 17 countries identifies many promising initiatives and some significant, consistent and relevant engagement in DRG processes. These initiatives include working with individual sectors to incorporate DRR into sectoral policies and legislation; the adoption and

refinement of legal instruments that support DRR at the subnational level; analysis of decentralization processes and identification of entry-points for DRR; promotion of civil society involvement in disaster risk management (DRM) coordination bodies; and initiatives to promote and harmonize community-based disaster risk management (CBDRM) programmes. The report also found evidence of recent engagement in supporting the integration of DRR and/or CCA measures into development planning. These initiatives are encouraging signs of CO commitment to DRR, despite significant external obstacles including capacity and resource gaps at the subnational level, and the continuing tendency of many government authorities to prioritize emergency response over DRR.

Key Trends since 2005

Evidence shows that during the HFA implementation period, a greater number of UNDP's programmes have addressed DRR and engaged in processes to promote DRG at the national and subnational level. In many countries, UNDP broadened its support from an almost exclusive focus on national disaster management authorities (NDMAs) to engaging with a wider range of ministries, as well as development planning and budgeting apex agencies such as ministries of planning and finance. Furthermore, the report identifies evidence of UNDP engaging more systematically with civil society and non-governmental organizations (NGOs).

However, defining indicators to measure progress in DRG has been a challenge, as has the monitoring of risk reduction plans and activities. Although the *UNDP Strategic Plan 2014-2017* (UNDP, 2014) strongly endorses the systematic integration of DRG with UNDP's other development activities, this is still in the early stages of operationalization.

Successes as a Convener and Broker

The DRG programmes in the 17 countries reviewed were most successful when UNDP used its convening and brokering capacity to facilitate cooperation between development partners (i.e. governments, civil society organizations (CSOs) and international agencies). This engagement resulted in the adoption of common methodologies and the pooling of DRG resources based on a set of agreed objectives. This approach helped generate momentum for DRR, and unlocked the potential and resources to support DRG processes at national and subnational levels, including work with communities. The role of broker and convener is also more suited to the typically limited funding² of UNDP's DRG programmes, compared to other development actors, including most national governments.

Partner of Governments

As a partner of governments and - in 90 percent of all reviewed DRG programmes - of NDMAs, UNDP was not always able to resist pressures to prioritize the strengthening of lead agencies over the DRG system as a whole. Nevertheless, the report finds that UNDP uses several strategies to provide support more widely and to promote broader participation and cooperation in DRG. Helping lead agencies to engage in multi-agency processes was particularly common (mostly through assessments and plans). A few COs engaged closely and systematically with CSOs. Overall, however, they are only occasionally the target of capacity strengthening and often act as subcontractors in implementing local level activities. Significant engagement with private sector actors in any role was the exception.

Long-Term and In-Depth Engagement to Promote Horizontal and Vertical Integration

Mainstreaming DRR into development planning was immensely challenging, especially where there was only limited experience of intersectoral cooperation. Experience from UNDP programmes in 17 countries suggests that repeated multisectoral engagement can lead to incremental progress in planning by identifying mutual and dynamic tasks rather than individual and static roles. Underlying organizational and bureaucratic cultures and incentive systems must change in order to reward cooperation and achieve sustained progress. UNDP's long-term engagement at the country level gives it a clear comparative advantage in supporting governments to navigate such long-term change processes. UNDP has provided continuous support in many countries, sometimes going back to the 1980s. However, developing a long-term planning horizon is difficult, given that DRR is often funded from emergency budgets.

In a number of countries, particularly in the LAC region, UNDP helped to clarify roles and strengthen relationships among different levels of government. In some countries undergoing decentralization processes, UNDP was able to provide the central government with a local government view on the particular constraints in implementing decentralized DRR mandates. In other countries, UNDP's engagement at the community level sometimes added to the number of unsustainable pilot projects rather than feeding into vertical governance processes.

DRR and Decentralization

In some of the 17 countries studied, the obstacles to accountable and responsive governance and DRG institutions are immense. It may not always be wise to decentralize DRR decision making; for instance, when local level governance is marked by patronage politics and/or institutionalized exclusion of certain groups. If capacity is very low, certain DRR roles may simply overburden local governments. Likewise, relying on decentralization cannot resolve the interconnected nature of certain risks. Some of the 17 COs opted for a more measured approach, working only with higher layers of subnational government (provinces or federal states) and increasing capacity at these levels to support lower level governments within their jurisdictions. Careful targeting is especially necessary where many subnational and local government entities exist in high-risk areas and direct investments will only ever represent a drop in the ocean. There are also some promising examples of peer mechanisms and support to horizontal cooperation between districts or municipalities (centred on shared risks, for instance).

Capacity Development

In several of the 17 countries, UNDP went beyond the traditional training approach by focusing on conceptual and often individual learning. This involved building the capacity of local institutions to continue sharing information with others, so that capacity can be maintained and improved over the longer term. By encouraging a more active role and the sharing of expertise across actors from different backgrounds, UNDP generated encouraging results (e.g. in **Armenia, Colombia, Cuba and Mexico**). Formal, theory-based training courses were less successful in strengthening capacity than practical exercises that involved work on assessments or planning. Capacity development activities that mobilize and build upon existing expertise can be sustained and scaled-up more easily. Substituting government capacity with UNDP personnel occurred in a number of sample countries, but is an investment that is easily lost and an approach that only seems to work in very rare cases.



Community members help prepare risk maps to identify local hazards and vulnerabilities. © UNDP Bhutan

Legislation

UNDP played an important role in helping to design legislation - including legislation to promote local level DRG, especially in the LAC region. However, the adoption of legislation does not automatically result in reduced levels of disaster risk. Many plans are not implemented, and legislation goes unenforced. The implementation of law often requires additional capacity and resources. Therefore, in some contexts UNDP efforts to take stock of existing legislation and analyse the roles and capacities of stakeholders in their implementation may hold more promise than helping governments design new laws.

RECOMMENDATIONS

Based on the findings of this report, specific recommendations are made for UNDP in four areas:

- Conceptual clarity and refinement of approach;
- Transforming current programming approaches to be better aligned with the current state of knowledge on DRG;
- Developing an engagement strategy at the country level that goes beyond programme or project time frames;
- Advancing DRG at the local level.

Some of the proposed measures have already been applied in some of the reviewed country programmes, whilst others point to gaps not yet addressed in UNDP policy and programme support. In addition, general recommendations are provided on the future direction of DRG for national, regional as well as international policymakers and practitioners, and these may also be relevant for the implementation of the post-2015 framework on DRR.

Recommendations to UNDP

Greater clarity with regards to UNDP's conceptual approach to DRG and internal capacities

- Devise a DRG policy and further refine the current definition of DRG. The policy should emphasize the intersecting and dynamic nature of DRR policymaking and situate this process more clearly within a political economy analysis.
- Build on existing experiences of UNDP programmes with integrating DRR and CCA in order to identify further conceptual synergies between these highly complementary areas.
- Assess and further strengthen UNDP internal capacity to support complex DRG processes and prioritize support where it yields strong benefits.

Transforming current DRG programming approaches

- Develop a contextual theory of change for each DRG programme and/or reform process and identify key benchmarks, indicators and a well-defined monitoring and evaluation (M&E) system to monitor progress.
- Expand DRG and capacity development support from a still-predominant focus on national DM authorities to also include the development system more broadly and address obstacles in the way of effective horizontal and vertical integration of DRR.
- Ensure that UNDP advisory support for the preparation or review of DRR-sensitive policies, plans and legislation is not a default intervention for advancing DRG, but carefully selected to overcome existing bottlenecks.
- Move beyond traditional training approaches and develop DRG capacity by encouraging the sharing of expertise and learning among actors from different backgrounds through joint analyses of challenges.

Engagement strategy at the national level

- Assist governments in widening and deepening the horizontal integration of DRR processes and stakeholders, and help unlock existing capacities in government, civil society, the private sector and academia.
- Intensify engagement in developing and strengthening vertical linkages between levels of DRG.

- Support the development and/or adaptation of existing tools, guidelines and methodologies (e.g. on risk assessment, DRR/CCA mainstreaming, policy and legal reform processes, etc.) to promote risk-informed development and overcome risk governance deficits.

Advancing DRG at the subnational level

- Examine the feasibility of applying a political economy analysis in each country before or as a component of DRG programming.
- Establish an in-depth understanding of existing local capacity and access to resources when engaging in local capacity development.
- Carry out further analysis of dominant approaches through which UNDP engages in CBDRM in order to increase its long-term sustainability.
- Seek opportunities to learn from, and build support for decentralized DRR based on UNDP experiences within its democratic governance programme.
- Strengthen downward accountability by supporting feedback channels from the community and civil society to subnational and national government to facilitate the articulation of local needs and preferences.

Recommendations for the implementation of the post-2015 agreement on disaster risk reduction

- Devise a systems approach to DRR that spans multiple disciplines and includes all relevant stakeholders.
- Emphasize the identification and strengthening of incentive systems to promote the integration of DRR and CCA into governance processes at national and subnational levels.
- Recognize that legislative and regulatory frameworks are instruments for establishing clear mandates, accountability and transparency mechanisms, and also make use of their normative and standard setting functions.
- Overcome the notion of DRR as an 'add-on' to development so that approaches to mainstreaming DRR into development become more effective.
- Bridge the gaps between national, local and community levels in order to build resilience.
- Promote greater vertical and horizontal integration of actors, policies and financing, thus establishing roles and linkages across stakeholder groups and sectors.
- Seize the opportunity that post-disaster situations provide for implementing institutional as well as policy reforms.

¹ Draft Post-2015 Framework for Disaster Risk Reduction, dated 28 January 2015.

² Unless in the aftermath of some large-scale, high visibility disasters.



Chapter 1

Introduction

1.1 BACKGROUND

A changing climate and rapidly growing exposure to disaster risk presents the world with an unprecedented challenge. Over the past decade, more than 700,000 people lost their lives, over 1.4 million were injured, and approximately 23 million were made homeless as a result of disasters. Overall, more than 1.5 billion people were affected by disasters in various ways. The total economic loss was more than US\$1.3 trillion.³ Recurring small-scale and slow-onset disasters particularly affect communities and households, and constitute a high percentage of all losses. In developing countries the challenge is particularly severe, as they are both more likely to be affected and less able to cope with the impact of disasters. Poor governance and the substantial growth of population and assets in areas exposed to natural hazards are predominant causes of increasing levels of disaster risk.



With the aim of protecting development investments and ultimately building people's resilience, UNDP has made strengthening disaster risk governance for the past two decades a cornerstone of its efforts to understand, reduce and manage risks.

The United Nations Development Programme (UNDP) recognizes governance as a key unresolved issue in both the configuration and the reduction of disaster risk. With the aim of protecting development investments and ultimately building people's resilience, UNDP has made strengthening disaster risk governance (DRG) for the past two decades a cornerstone of its efforts to understand, reduce and manage risks.

The concept of DRG has evolved over the last decade. Current thinking acknowledges that the governance of disaster risk cannot be separated from the governance of other types of risks, including those associated with climate change (CC), environmental degradation, financial crises and conflict. Many UNDP Country Offices (COs) attempted to reflect this broader understanding in their programming. Therefore, it is timely to review how these programmes supported DRG, and contributed to ongoing discussions about how to improve risk governance in future programmes.

Since 2005, UNDP has worked with national governments, communities and development partners to support DRG in 125 countries. With the *Hyogo Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disasters* (HFA) coming to an end, and a successor framework to be agreed in early 2015 at the *Third World Conference on Disaster Risk Reduction* (WCDRR), it is time to take stock of UNDP's progress in promoting more effective DRG over the last 10 years. A significant proportion of this work focused on supporting the establishment and strengthening of DRG arrangements and processes. There have been significant challenges to these efforts as documented in reviews of the HFA, which note that overall progress in promoting disaster risk reduction (DRR) at the subnational level was particularly slow due to low levels of awareness, technical and financial capacity (UNISDR, 2011, 2011a, 2013, 2013a). For UNDP to help overcome these challenges and support the implementation of a successor agreement to the HFA, a detailed analysis of the approaches, successes and challenges of UNDP's DRG programmes was necessary. This report analyses the strategies and methodologies deployed by UNDP to promote an enabling governance environment for DRR in high-risk areas.

³ Draft Post-2015 Framework for Disaster Risk Reduction, dated 28 January 2015.

1.2 EVOLUTION OF THE DISASTER RISK GOVERNANCE CONCEPT IN UNDP

The first dedicated UNDP publication to establish direct links among development, governance and DRR, entitled *Reducing Disaster Risk: A Challenge for Development* (UNDP, 2004), stated that ‘appropriate governance’ was fundamental to reducing disaster risks. It highlighted the role that existing institutional systems and legislative arrangements could play in integrating risk reduction into development planning and practice. The report warned against a narrow ‘technical’ reliance on national legislation and building codes, and promoted a more inclusive approach to DRR that enhances the voice and influence of local level actors in achieving more equitable and sustainable development outcomes, including the reduction of disaster risks.

A subsequent review of UNDP programmes in 18 countries (conducted in 2004 and published in 2007; UNDP, 2007) examined support to institutional and legislative systems (ILS) for disaster risk management (DRM). Five broad ILS categories were proposed, foreshadowing components of the emerging HFA Priority for Action 1:

- Legal and regulatory frameworks;
- Organizational aspects;
- Policy and planning;
- Resources and capacities;
- Partnerships (international and national).

The 2007 review recommended that the ILS concept should be broadened to incorporate ‘good’ governance principles that place a greater emphasis on governance processes (rather than only the above-listed elements of ILS). It also recommended incorporating civil society and the private sector as governance actors. The 2007 ILS review particularly called for the integration of DRR aspects into UNDP’s development programmes and stated the need to reach out to a wider range of partners. However, in line with the dominant understanding at the time, DRM was considered a separate sphere or quasi-independent sector with somewhat separate governance arrangements (Planitz, forthcoming). The broader political economy of governing disaster risk was not fully considered in this review of UNDP support to strengthening ILS for DRM.

The HFA, adopted in 2005, includes some actions and indicators related to DRG - in particular under Priority for Action 1 - on policy, institutional and legislative frameworks, and under Priority for Action 5, on disaster preparedness and response. Notably, the HFA calls for clear policy and legal guidance on DRR at all levels of administration, the decentralization of authority (including the allocation of necessary resources and strength-

ening of capacities), as well as community participation. These aspects of the framework were used to orient and benchmark UNDP's work on DRG. However, the HFA does not contain a dedicated discussion or definition of the DRG concept,⁴ and does not sufficiently capture the cross-cutting nature of governance across all priorities for action (Hamdan, 2013).

From 2005 onwards, DRR was increasingly recognized as a development issue. Disasters have the potential to undo development gains and may themselves be the product of poorly conceived or non-inclusive development planning decisions. DRR mainstreaming in development policies and sectoral plans has, therefore, become an increasingly important component of UNDP's DRM programmes. The 'UNDP Framework for Mainstreaming DRR into Development at the National Level' (UNDP, 2010) approaches the issue as essentially a governance and change process, and lays out entry points accordingly. These entry points include policy, organizations, advocacy and knowledge, implementation and citizens' spheres. They cover multiple stakeholders and different levels of governance. The framework promotes a more 'polycentric' understanding of relevant governance processes, covering multiple constituencies and emphasizing their context-driven nature. The most recent UNDP definition (see Chapter 2.1) of DRG reflects this broader, cross-scale and more dynamic understanding of the concept, as developed by academic and practitioner communities (see Wilkinson et al., 2014).

In 2011, UNDP investigated the interface between conflict and disasters and concluded that risks from environmental degradation, food insecurity, financial instability and crisis, disasters and conflict interact with each other in a complex web of relationships that includes global and regional influences. The study found that addressing these risks individually would not lead to sustainable outcomes (UNDP, 2011). In 2013, UNDP adjusted its nomenclature from 'governance for disaster risk management' to 'disaster risk governance'; and from dedicated policy, planning and institutional arrangements for DRM, to a wider view of governance as the 'starting point' for managing an interlocked system of risks (Planitz, forthcoming). The definition also established a link to climate change adaptation (CCA) by including and emphasizing climate-related risks (UNDP, 2013). However, this shift in terminology has yet to be fully reflected in substantive guidance and programming tools.

The *UNDP Strategic Plan 2014-2017* (UNDP, 2014) reiterates the need to identify a more unified approach to address DRR, climate change (CC), poverty reduction and conflict under the integrating concepts of 'resilience' and 'sustainable human development'. Clarifying what this approach means for UNDP's programmes and how strategies can create an 'inclusive and effective' DRG environment is an ongoing process. This report does not provide a definitive answer on how risk governance can better promote resilience and sustainable development, but it nonetheless offers a valuable contribution to this discussion from a DRR perspective.

The *UNDP Strategic Plan 2014-2017* reiterates the need to identify a more unified approach to address DRR, climate change, poverty reduction and conflict under the integrating concepts of 'resilience' and 'sustainable human development'.

⁴ The Global Assessment Reports on Disaster Risk Reduction, which provide a biannual analysis of progress against the HFA, have more explicitly dealt with DRG, especially with regard to urbanization and the regulation of economic activities (UNISDR, 2011; UNISDR, 2013).

1.3 OVERALL OBJECTIVES AND AUDIENCE

The overall objectives of this report are to:

- Provide a snapshot of the overall progress achieved in DRG since 2005;
- Analyse UNDP's role in, and approaches to supporting DRG in 17 selected countries;
- Provide policy and programmatic guidance to UNDP based upon key findings;
- Constitute a resource for the implementation of the HFA successor arrangement and the post-2015 development agenda.

The report focuses on UNDP's roles, experiences and challenges faced in supporting DRG at the country level. The primary target audience is UNDP, including UNDP Headquarters, Regional Centres and COs. Governments, civil society, the UN and other regional and international partners, particularly organizations working in countries selected as case studies for this report, will also find it useful. The country-specific analysis provides an important opportunity for COs to think through some of the key problems and challenges of DRG.

The report will be launched at the WCDRR in March 2015 in Sendai, Japan. The conference will bring together member states and other UN agencies, as well as national and international NGOs, intergovernmental organizations, representatives from subnational government and the private sector.



Chapter 2

Focus and Scope of the Analysis

2.1 KEY TERMS AND THEIR LINKAGES

For the purpose of this report, **disaster risk** describes the “potential disaster losses, in lives, health status, livelihoods, assets and services, which could occur to a particular community or a society over some specified future time period” (UNISDR, 2009). Disaster risk is the result of the interaction between hazards, societal exposure and vulnerable conditions and is directly affected (increased or decreased) by patterns of political, social and economic development.

UNDP's understanding of DRG includes principles of 'good' governance - i.e. participation, accountability, transparency, equity and effectiveness - that are necessary to achieving inclusive and sustainable DRR outcomes.

UNDP defines **disaster risk governance** (DRG) as “the way in which public authorities, civil servants, media, private sector, and civil society at community, national and regional levels cooperate in order to manage and reduce disaster and climate related risks. This means ensuring that sufficient levels of capacity and resources are made available to prevent, prepare for, manage and recover from disasters. It also entails mechanisms, institutions and processes for citizens to articulate their interests, exercise their legal rights and obligations, and mediate their differences” (UNDP, 2013).

UNDP intends to place much greater emphasis on the governance processes in its DRG interventions rather than only supporting discrete governance instruments. UNDP's understanding of DRG includes principles of 'good' governance - i.e. participation, accountability, transparency, equity and effectiveness - that are necessary to achieving inclusive and sustainable DRR outcomes. In the context of this review, **participation** refers to the inclusion of a broad spectrum of actors in consultative processes, and giving communities and vulnerable groups a voice in government decisions that affect their safety from natural hazards.

For the purpose of this report, **accountability** refers solely to the obligations of public officials to meet legally enshrined performance objectives related to DRR/DRM and to report on the use of public resources for DRR/DRM (Armstrong, 2005). Accountability also requires transparency. This means that communities must be able to get accurate, up-to-date information on government policy and performance related to DRR. Furthermore, accountability depends on participation and an environment in which stakeholders and decision makers need to justify their actions (Wilkinson, 2012). Ideally, decentralization (i.e. moving governance closer to citizens) promotes the principles of participation and accountability, although this is not always the case.

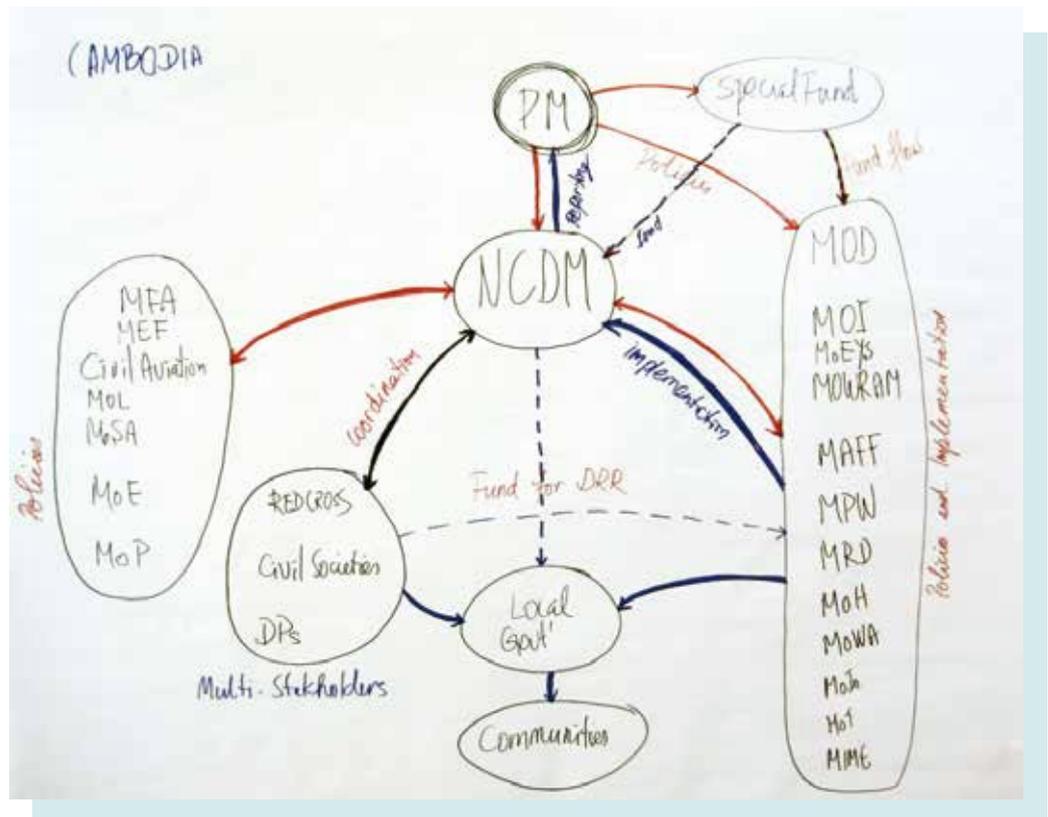
Disaster risk management (DRM) refers to “the systematic process of using administrative directives, organizations, and operational skills and capacities to implement strategies, policies and improved coping capacities in order to lessen the adverse impacts of hazards and the possibility of disaster” (UNISDR, 2009). DRG provides the overall “framework” (Lassa, 2010) of rules, procedures and organizations for the implementation of DRM. DRM covers both disaster management (DM) (including preparedness, response and post-disaster recovery), and DRR (traditionally referred to as prevention and mitigation). This report will focus on **disaster risk reduction** (DRR), considered as the sum of those 'ex ante' processes that reduce vulnerabilities and existing and future risks to avoid (prevent) or - more realistically - to limit (mitigate) the adverse impacts of hazards. These elements can also be incorporated into post-disaster recovery (Aysan and Lavell, 2014). Given the

interaction between development and the construction of risk, DRR needs to be treated as a **cross-cutting development issue**.

Decentralization refers to “the restructuring or reorganization of authority so that there is a system of co-responsibility between institutions of governance at the central, regional and local levels according to the **principle of subsidiarity**, thus increasing the overall quality and effectiveness of the system of governance, while increasing the authority and capacities of subnational levels” (UNDP, 1997). There are several different forms of decentralization resulting in autonomous (delegation), semi-autonomous (devolution) and sub-ordinated (de-concentration) lower level units of governance. Decentralization does not just relate to public administration and government. It requires the involvement of civil society and the private sector to achieve better governance outcomes (UNDP, 1999). In sum, decentralization is a complex political process that negotiates and eventually redefines the vertical and horizontal distribution of roles, authority and resources between actors at the national and subnational level(s).

Decentralization and disaster risk reduction are often considered to complement each other, since disaster risk manifests itself locally, is context-specific and requires local capacity (within and outside government) to address both its symptoms and underlying causes. However, decentralizing responsibilities and capacities alone is not sufficient to reduce disaster risks. Disaster risk is created by environmental, social, political and economic processes, which involve government, civil society and private sector actors and often transcend the purely local, regional or even national boundaries of influence and authority. Therefore, DRR at the local level is dependent upon **vertical** and **horizontal** integration, coordination and cooperation between different constituencies at different levels (Wilkinson et al., 2014). Disaster risk governance needs to facilitate and steer complex interactions between overlapping, and at times competing, centres of authority and knowledge. This has been described as the “polycentric” nature of DRG (Lassa, 2010).

The concept of **disaster resilience** originates from ecology and has been adapted to include socio-ecological interactions. Resilience describes “the ability of a system, community or society [...] to resist, absorb, accommodate to, and recover from the effects of a hazard in a timely and efficient manner, including through the preservation and restoration of its essential basic structures and functions” (UNISDR, 2009). Resilience has become a popular term to describe the intersection and shared objectives between academic and practitioner fields of CCA, DRM, poverty reduction and environmental management. However, definitions of resilience vary among these disciplines and no agreement has yet been reached on suitable metrics for measuring resilience across different scales.



Cambodia DRR stakeholder map from a MADRID Leadership Development Forum in 2012. © Angelika Planitz/UNDP

Political economy is used in the development and DRM literature to refer to the interaction of political and economic processes and the institutions through which policies are developed, with a focus on power relations, incentives and the formal and informal processes that create, sustain and transform these relationships over time (Collinson, 2003; Williams, 2011). Political economy analysis was developed and applied at three principal levels: (i) country level analysis, which seeks to capture the overall governance situation and the main political economy drivers; (ii) sector and thematic analysis, which focuses on specific areas and may cover an entire value chain; and (iii) problem-driven analysis, which focuses on specific projects and/or policy decisions (World Bank, 2009).

In human systems CCA describes the process of adjustment to the actual or expected climate and its effects in order to moderate harm or exploit beneficial opportunities (IPCC, 2012). The management and reduction of climate-related disaster risks is commonly perceived to be a component of CCA and shall be referred to as **climate risk management**.

2.2 FOCUS OF THE REPORT

DRG is a very broad concept and UNDP has been involved in a wide range of activities to support DRG with partner governments. In order to narrow down the focus of the report, the analysis centres on UNDP support to:

- Getting DRR onto the political agenda as a cross-cutting development priority;
- Facilitating the translation of DRR policy frameworks into action at the local level in high-risk areas;
- Identifying gaps in the support processes to achieve the above.

The emphasis of the report is not only on governance-related outputs or instruments such as policies, laws or regulations. It also looks at the processes that generate and put them into action.⁵ The political economy analysis that underlies this report recognizes that the views and preferences of different constituencies at subnational and national levels influence the design of development and DRR policy and plans, as well as the role that UNDP plays in relation to different constituencies and how effective its support has been. Hence, this report does not provide a detailed analysis of progress in DRG in the selected countries.

A key question guiding the analysis for this report is to what degree and how UNDP has been able to promote horizontal and vertical integration, coordination and cooperation among different constituencies and centres of authority. Examples are highlighted where UNDP promoted the participation of vulnerable communities and accountability at the local level.⁶ Accountability is evaluated in terms of UNDP's support in defining and allocating DRR responsibilities as well as strengthening oversight and feedback mechanisms for public officials to report on performance.

⁵ Policy in this review is treated as a course of action which is not only proposed and adopted but also - and most importantly - implemented: "Public policy is after all what it does" (Clay and Schaffer, 1984).

⁶ Participation and accountability are considered crucial DRG principles.

2.3 APPROACH

The report acknowledges that UNDP works primarily with governments, but that DRR success depends on the inclusion and engagement of multiple stakeholders in both the public and private domains.

This report is premised on the assumption that DRG must be studied within the context of individual countries. The report acknowledges that UNDP works primarily with governments, but that DRR success depends on the inclusion and engagement of multiple stakeholders in both the public and private domains. Governments are in charge of ensuring that their own investments promote risk reduction (and avoid creating new risks), but also of regulating the activities and investments of private citizens and businesses (Wilkinson, 2012). DRG requires the creation of an enabling and supervisory DRG framework that traverses different sectors and levels of government, to motivate and guide action on risk reduction across these scales.

The report provides neither a comprehensive analysis of all DRG interventions in a given country nor a review of the overall performance of individual programmes. Instead, it investigates how UNDP responded to the DRG challenge in 17 countries, concentrating on selected activities of particular relevance to this study. Achievements and challenges are analysed in light of UNDP's approach and objectives, the processes it supports and contextual factors. Such factors may include but are not limited to political stability, the nature and progress of decentralization, the availability of relevant capacity and resources, the role of external actors (such as donors and multilateral agencies) and the evolution and orientation of the DRM systems in each country.

The report acknowledges the conceptual and functional linkages between resilience, CCA, environmental management and DRR. Recent efforts towards integrating these issues at the country level and developing an integrated framework for UNDP's work are of interest, and help to formulate recommendations that support the ambitions laid out in the new *UNDP Strategic Plan 2014 – 2017* (UNDP, 2014).

Research for this report is largely qualitative in nature and, to the extent possible in a desktop exercise, involved input from UNDP staff and stakeholders to generate findings relevant in different contexts. It also features lessons learned and recommendations for UNDP that take account of the organization's role and capacities.

2.4 KEY SOURCES OF INFORMATION

Three sources of information were used in the report: a global thematic review of DRG since 2005 (Chapter 3); a global portfolio analysis of country level DRG programmes (Chapter 4); and a review of UNDP DRG programmes in 17 countries (Chapter 5). These are described below.

Global Review of DRG Progress Since 2005

This section relies almost entirely on a global thematic review of DRG (Aysan and Lavell, 2014) and its input papers, commissioned by UNDP for the 2015 *Global Assessment Report on Disaster Risk Reduction (GAR)*. Since this thematic DRG review comprised a thorough analysis of relevant literature on the topic, no additional research was undertaken. The section also relied on previous GARs that reflect governance issues (GAR, 2011, 2013).

DRG Portfolio Analysis

The DRG portfolio analysis was based on a pool of 1,387 DRM projects that span support to DRR, recovery, response and preparedness, implemented between 2005 and 2012. The analysis found that 916 (66 percent) of these projects had a considerable DRG component. Whilst the focus of the analysis was on projects that strengthen governance arrangements for DRR, it also developed some broad observations on governance arrangements for preparedness, response and recovery.

Review of UNDP DRG Programmes (17 Countries)

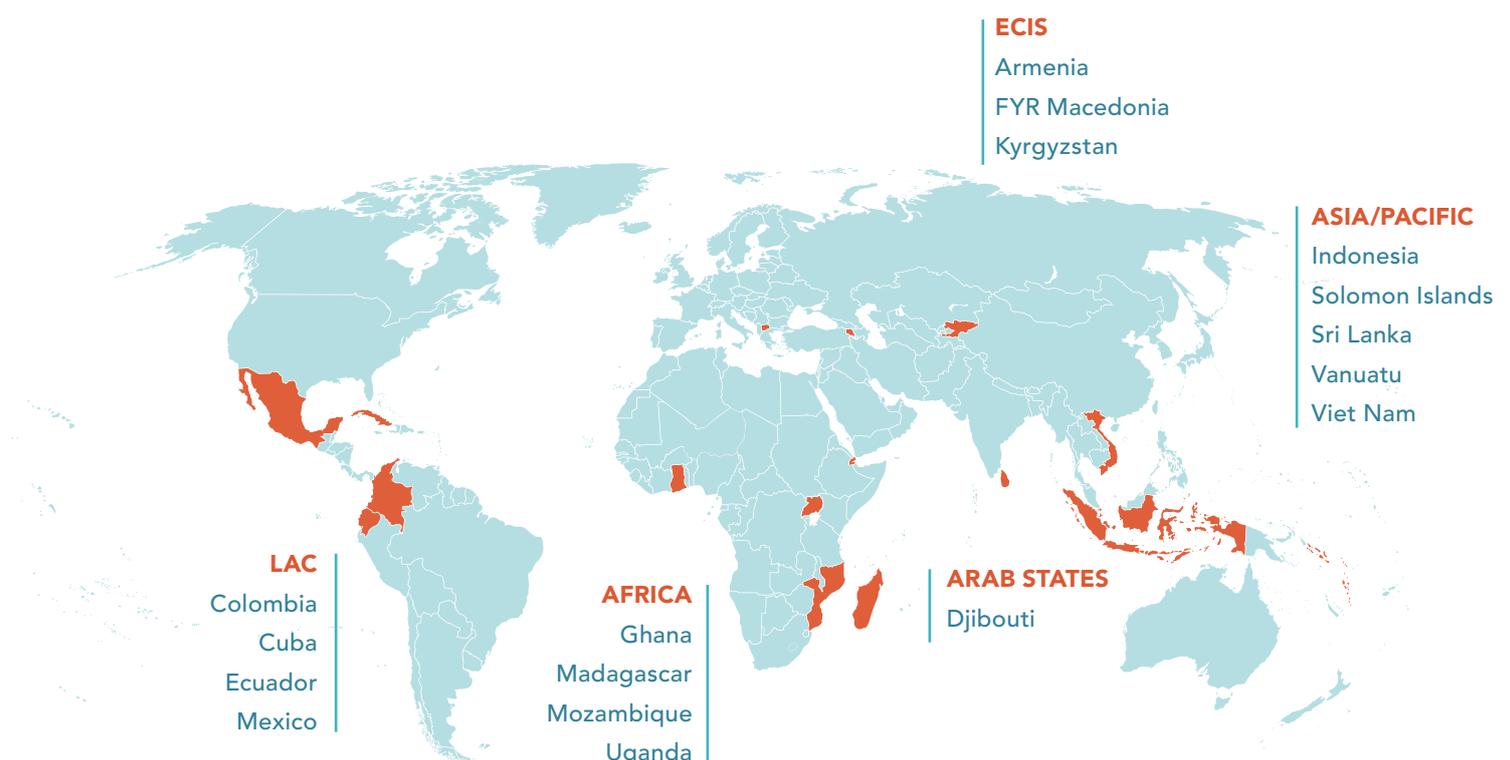
The methodology was designed to facilitate remote data collection - relying on telephone interviews and secondary data - since the budget did not allow for country visits (see Annex I). The research for the report began with the commissioning of 17 UNDP COs to draft country papers describing the progress/status of DRG in individual countries; UNDP's role and the thrust of DRG activities; and initial impressions of key challenges involved in promoting a risk governance system that encourages risk reduction with a focus on communities and vulnerable groups. Based on these country papers, programme components that seemed particularly relevant for the research focus were selected. The papers also served to formulate in-depth, programme- and context-specific questions for interviews with key informants. The interviewees were identified in consultation with UNDP COs. More than 70 semi-structured and structured interviews with informants from UNDP (regional and country level), government and civil society were conducted (see Annex II). For some countries, extensive secondary data was used from previous studies on DRG. Further information was also gathered from grey and secondary literature, including evaluations and knowledge products (see Annex IV).

2.5 SELECTION OF COUNTRIES

The report covers 17 countries from five UNDP regions, i.e. Africa, Asia and the Pacific (Asia/Pacific), Europe and the Commonwealth of Independent States (ECIS), Latin American and Caribbean (LAC) and the Arab States. A mix of the following selection criteria was used to identify the sample countries:

- Recipient of UNDP support to DRG: All selected countries benefited from at least two years of UNDP support for policy, plans, legislation or other programmes linked to DRG.
- UNDP CO interest in DRG: All UNDP COs in the selected countries expressed an interest in assessing their contributions to DRG.
- Cross-section of levels of human development: The selected countries represent different levels of human development (i.e. five countries at low level, five countries at medium, six countries at high and one country at a very high level of human development).
- Small Island Development States (SIDS): Four SIDS from three different regions are part of the review.
- Fragility: The selected countries are at different levels of fragility, ranging from warning to alert levels.
- Recipient of UNDP support to DRG at the local level: In 16 of the 17 selected countries, UNDP supported some type of DRG intervention at the local level.

Annex III provides a detailed overview of the selected countries as they relate to the above criteria. Nine countries (**Colombia, Djibouti, Kyrgyzstan, Madagascar, Mozambique, Sri Lanka, Uganda, Vanuatu and Viet Nam**) also participated in the 2007 ILS review.



2.6 LIMITATIONS

Due to time and resource constraints, this review relied on the active involvement of UNDP DRM focal points and their support in sourcing information. This may have introduced a bias in the research, making it particularly difficult to analyse how the programmes/projects of other agencies contributed to DRG results and supported (or undermined) UNDP's performance. On the other hand, this reliance on UNDP COs increased the learning potential and relevance for UNDP.

In some countries, high staff turnover and outsourcing of programme components to sub-contractors made it difficult to obtain information on past project components and processes.

Where possible, information provided by UNDP sources was compared and contrasted with other sources of information, for example, interviews with key informants outside UNDP, project primary data (e.g. from external evaluations) and secondary literature. However, given the limited quantity of country-specific studies on DRG and the inherent limitations of telephone interviews, it is acknowledged that evidence has often remained indicative rather than conclusive.

Findings are country-specific and cannot be generalized or considered representative of an entire region or otherwise defined group of countries. Instead they illustrate how UNDP supported DRG in different contexts, the key achievements, challenges and lessons from programmes in terms of the added value and particular role(s) UNDP can play, and governance processes that generated support for risk reduction in high risk areas.

It is important to note that this review analyses UNDP programmes against a more advanced understanding of DRG. As the analysis is retrospective, UNDP's risk governance practices adopted and implemented over the last decade were guided by less complex DRG objectives. The resulting observations and findings are intended to provide guidance to UNDP on how to improve DRG policy and interventions under the successor framework to the HFA.

More recent initiatives - such as efforts to integrate governance work in the areas of DRR and CCA, or DRR into a resilience approach - are explored as emerging practices. An analysis of UNDP's significant involvement in CCA since 2005 is beyond the scope of this review, although such an analysis could provide a significant set of findings relevant to the present report.⁷

For the DRG portfolio analysis, it was not always possible to clearly isolate DRG expenditures from other related DRM activities contained within a project. Therefore, the portfolio analysis examines overall project level budget and expenditure data for projects with a significant DRG component. Furthermore, it was not always possible to categorize and verify data due to incomplete and missing information. As a consequence, some projects may have been incorrectly classified. The large amount of data available, however, does allow for a broad picture of overall trends in DRM project budgets and expenditures that include significant DRG investments.

⁷ From 2005-2013, UNDP's Global Environmental Facility portfolio on CCA amounted to US\$600 million.



Chapter 3

Overview of Disaster Risk Governance since 2005

This chapter provides a snapshot of global progress in DRG, based primarily on the thematic review of DRG during the HFA implementation period, which was commissioned by UNDP as a contribution to the GAR 2015.⁸

3.1 POLICIES, LEGISLATION AND PLANS

According to the HFA monitor, more than 120 countries underwent legal or policy reforms to enhance DRG. Many regions moved towards developing more sophisticated national DRM policies, frameworks and legislation (Van de Niekerk, 2014; Zupka, 2014; Mukherjee, 2014; Hamdan, 2013; Orrego, 2014). Most of these policies display an increasing focus on DRR, as opposed to traditional response and preparedness objectives (Aysan and Lavell, 2014). However, these changes in policy frameworks did not always lead to significant quantifiable results or action (UNISDR, 2013a).

3.2 NATIONAL INSTITUTIONS AND ORGANIZATIONS

Since 2005, there has been increased pressure on traditional DM structures to take on DRR functions. In a number of countries, new institutional and organizational arrangements for DRM were created (Van de Niekerk, 2014; Zupka, 2014; Mukherjee, 2014; Hamdan, 2013; Orrego, 2014). These initiatives include 80 multi-stakeholder national platforms for DRR, which are operating at varying levels of effectiveness (Aysan and Lavell, 2014). Some countries (e.g. **Indonesia**, the **Philippines**) mobilized their ministries of finance and planning to support the integration of DRM into development planning. Other countries (e.g. **Peru**) divided response and risk reduction functions altogether and allocated these to separate organizations. Limited expertise in risk reduction and a reluctance of DRM lead agencies to relinquish power and resources, however, constrained institutional and organizational change in many countries (Aysan and Lavell, 2014).

⁸ For further detail on the global achievements in DRG, please consult Aysan and Lavell (2014).

3.3 DECENTRALIZATION

The decentralization of DRR is hindered by the lack of community participation, weak accountability mechanisms and inequities in local power structures

In many countries DRR responsibilities have been, or are in the process of being, decentralized. However, in most low- and many middle-income countries, DRR responsibilities are not yet accompanied by clearly defined authority and/or resource allocations. There is a lack of capacity and trained human resources to design and implement risk reduction measures. Furthermore, the decentralization of DRR is hindered by the lack of community participation, weak accountability mechanisms (IFRC and UNDP, 2014) and inequities in local power structures (Williams, 2011). Aysan and Lavell (2014) identified “the heterogeneity of local actors and their competing interests [as] one of the core challenges of achieving [...] a locally owned process of disaster risk reduction.” In other words, DRR is constrained by weak horizontal and vertical integration of actors, interests, responsibilities, capacities and resources at the local level (Wilkinson et al., 2014).



3.4 COMMUNITY PARTICIPATION

Based on HFA progress reports, community participation in DRM is increasingly supported by national governments. In their national HFA progress reports, a total of 48 percent of countries report a “significant and stable” reliance, and another 51 percent a “partial” reliance, on community engagement and partnerships to foster DRR outcomes (Aysan and Lavell, 2014). That said, the understanding of what community participation means varies from country to country depending on the evolution of local institutional structures supporting it.

A common approach to promoting local participation in DRM was via pilot projects with a focus on CBDRM at the village and settlement level. However, linking these processes with local governance and decision-making processes and scaling them up was far more challenging. Community participation requires not only a strong civil society, but also local governments with the technical and institutional capacity to engage with communities, especially their most vulnerable members. Furthermore, social capital or trust between communities and government plays a significant role in the effectiveness of DRM interventions.

Some countries developed policies and legislation with clearly defined mandates and duties for the participation of communities, women and/or vulnerable groups (i.e. **Ethiopia, Guatemala, Namibia, Nepal, Philippines, South Africa, Viet Nam** and **Vanuatu**; IFRC and UNDP, 2014). In those countries where local government is physically removed from and/or oversees a large number of citizens, community participation encounters important constraints of scale (Christoplos et al., 2013; Wilkinson, 2012a). Another question is the degree to which CBDRM was able to connect with existing practices of participation or remained a foreign concept promoted by international agencies.

In those countries where local government is physically removed from and/or oversees a large number of citizens, community participation encounters important constraints of scale

3.5 FINANCING OF DISASTER RISK REDUCTION

Disaster risk reduction does not easily garner the political traction and support necessary for it to become a political priority and allow it to tap into existing sectoral budgets

In most countries DRR is either weakly mainstreamed or not mainstreamed at all. Funding for DRR measures usually comes from a general budget for the DRM system (e.g. **Ecuador, Kyrgyzstan** and **Madagascar**). These budgets are limited and often end up being spent on emergency response due to financial shortfalls, particularly at the local level. Specific budget allocations or funds for DRR are the exception (e.g. **Australia, Indonesia, Philippines, USA** and **Viet Nam**; IFRC and UNDP, 2014). Furthermore, measuring investments in DRR is extremely difficult, as they are often integrated into larger development programmes such as for health, environmental management and food security (Aysan and Lavell, 2014). The more risk reduction is integrated into development and mainstreaming objectives are achieved, the less visible DRR is, since it becomes part of development practice and is concealed within sectoral and local government budgets.⁹ This opacity makes it difficult to monitor and demonstrate the effectiveness of investments in risk reduction.

Most governments, in their HFA progress reports, blame their slow progress on limited financial resources. However, such statements, especially when they come from middle- or high-income countries, need to be treated with caution. Many prospective risk reduction measures - mainstreaming being a case in point - do not require vast financial resources and are often less cost-intensive (and more cost-effective) than response (Aysan and Lavell, 2014). The data show that disaster risk reduction does not easily garner the political traction and support necessary for it to become a political priority and allow it to tap into existing sectoral budgets (Christoplos et al., 2013; Van de Niekerk, 2014). Disaster response and recovery continue to dominate DRM practice throughout the world. Sustained, informed efforts are required to move from acknowledging the need to reduce disaster risks to creating a supportive governance environment and acting upon perceived risks (Mitchell, 1999).

⁹ Mostly in high-income countries.



Chapter 4

Analysis of the UNDP Global Disaster Risk Governance Portfolio

4.1 GLOBAL OVERVIEW

DRG has been an important area of UNDP's DRR work during the period under review. The 17 countries discussed in this report represent only about 14 percent of countries where UNDP has invested in DRG. From 2005 to 2012, UNDP implemented a total of 916 projects (66 percent) of its global DRM project portfolio with a considerable DRG component in 125 countries. Of these:

BOX 1

COUNTRIES AND TERRITORIES IN WHICH UNDP PROVIDED DRG SUPPORT

AFRICA (36)

Benin, Botswana, Burkina Faso, Burundi, Cape Verde, Central African Republic, Comoros, Democratic Republic of the Congo, Eritrea, Ethiopia, Gabon, Gambia, Ghana, Guinea, Kenya, Lesotho, Liberia, Madagascar, Malawi, Mali, Mauritania, Mauritius, Mozambique, Namibia, Niger, Rwanda, Senegal, Seychelles, Sierra Leone, South Africa, Sudan, Swaziland, Togo, Tanzania, Uganda, Zambia.

ARAB STATES (15)

Algeria, Bahrain, Djibouti, Egypt, Iraq, Jordan, Lebanon, Libya, Morocco, Somalia, Sudan, South Sudan, Syria, Tunisia, Yemen.

ASIA/PACIFIC (28)

Afghanistan, Bangladesh, Bhutan, China, Democratic People's Republic of Korea, East Timor, Fiji, India, Indonesia, Iran, Lao PDR, Malaysia, Maldives, Mauritius, Mongolia, Myanmar, Nepal, Niue, Pakistan, Papua New Guinea, the Philippines, Republic of Korea, Samoa, Solomon Islands, Sri Lanka, Thailand, Timor-Leste, Viet Nam.¹⁰

EUROPE CIS (19)

Albania, Armenia, Azerbaijan, Bosnia and Herzegovina, Bulgaria, FYR Macedonia, Georgia, Kazakhstan, Kosovo¹¹, Kyrgyzstan, Moldova Republic, Montenegro, Romania, Russian Federation, Slovak Republic, Tajikistan, Turkmenistan, Ukraine, Uzbekistan.

LATIN AMERICA AND CARIBBEAN (27)

Argentina, Barbados, Belize, Bolivia, Chile, Colombia, Costa Rica, Cuba, Dominican Republic, Ecuador, El Salvador, Grenada, Guatemala, Guyana, Haiti, Honduras, Jamaica, Mexico, Nicaragua, Panama, Paraguay, Peru, St. Vincent and the Grenadines, Suriname, Trinidad and Tobago, Uruguay, Venezuela.

- 483 projects focused primarily on strengthening capacities to reduce or control the levels of existing and future disaster risk (**DRG/DRR projects**);
- 258 projects focused on strengthening capacities for disaster preparedness and response (**DRG/response & preparedness projects**);
- 237 projects focused on strengthening capacities for recovery (**DRG/recovery projects**).¹²

UNDP's total DRM project budgets and expenditures amounted to US\$1,537,667,644 and US\$1,097,345,511, respectively. Projects with a considerable DRG component amounted to 66 percent of overall DRM project budget and 68 percent of expenditure (US\$1,020,898,763 and US\$743,583,044, respectively).

¹⁰ Vanuatu is not listed, since support started only in 2013 under a regional programme.

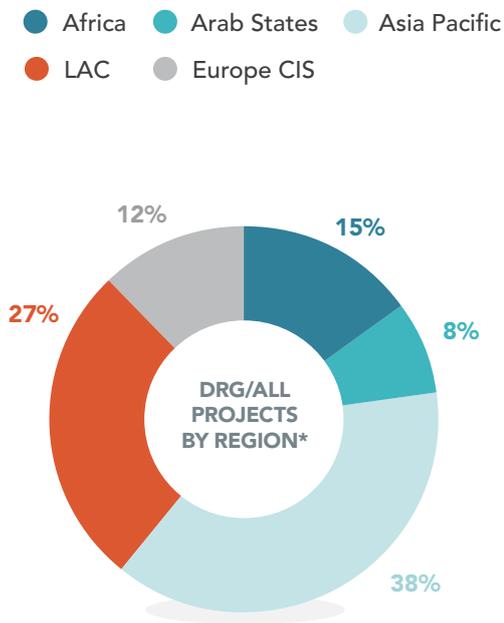
¹¹ Hereafter referred to in the context of UN Security Council Resolution 1244 (1999).

¹² 62 projects dealt with more than one aspect of DRG: DRG/DRR, DRG/response & preparedness and DRG/recovery.

¹³ US\$981,391,373 for DRM, US\$659,863,177 for DRG/All and US\$276,291,368 for DRG/DRR.

4.2 REGIONAL OVERVIEW

FIGURE 1: DRG PROJECTS BY REGION



Between 2005 and 2012, 916 UNDP country level projects included support for DRG. As illustrated in Figure 1 below, the highest proportion of DRG projects was in Asia/Pacific (38 percent), followed by LAC (27 percent), Africa (15 percent), ECIS (12 percent) and Arab States (8 percent). It was not possible to isolate discrete budget and expenditure figures for DRG support due to the manner in which financial information is captured in UNDP's enterprise resource planning system. However, in order to provide a broad picture of the magnitude of spending, total project budgets and expenditures were analysed for all projects with a significant DRG component. These amounted to a total budget of US\$1,020,898,763 and expenditures of US\$743,583,044 during the eight-year period. The regional breakdown of these budgets and expenditures followed a similar pattern to that of the number of DRG projects, with the highest proportion of budget and expenditure in Asia/Pacific (65 percent of budget and 64 percent of expenditure), LAC (21 percent of both budget and expenditure), Africa (9 percent of both budget and expenditure), ECIS (3 percent of budget and 4 percent of expenditure) and Arab States (2 percent of both budget and expenditure).

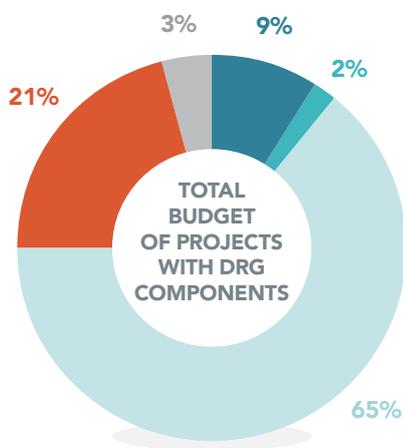


Figure 2 shows the project level budget allocations by region for DRM, DRG/All (including DRG for DRR, response and preparedness, and recovery) and DRG/DRR projects. For each of these categories of projects, the Asia/Pacific region had the highest budget in absolute terms.¹³ However, the priority afforded to projects with a governance component was greatest in the ECIS region where the proportion of the DRM budget allocated to projects with a DRG component was 73 percent, followed by Africa with 72 percent, Asia/Pacific with 67 percent, LAC with 63 percent and Arab States with 50 percent. The highest proportion of DRM budget allocated to DRG/DRR was in LAC (44 percent), followed by Africa (43 percent), ECIS (41 percent), Asia/Pacific (28 percent) and Arab States (24 percent).

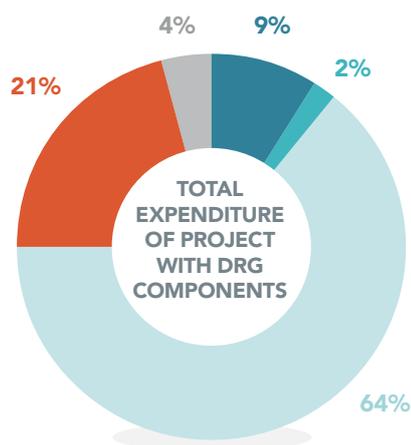
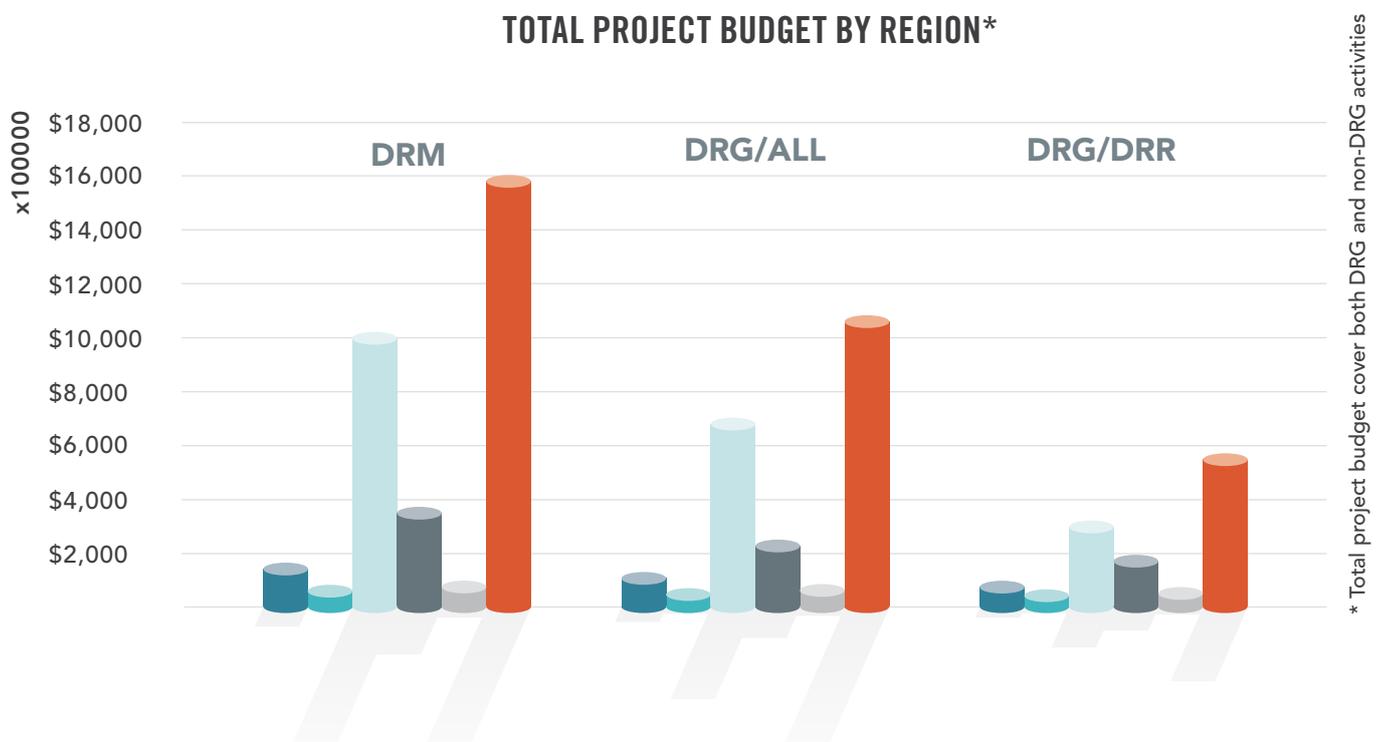


FIGURE 2: BUDGET ALLOCATION FOR DRM, DRG/ALL AND DRG/DRR PROJECTS

● Africa ● Arab States ● Asia Pacific ● LAC ● Europe CIS ● Global



4.3 TYPES OF DISASTER RISK GOVERNANCE SUPPORT

DRG projects commonly bundle support for different types of DRG activities. These activities fall into the following six categories of support:

- **Plans, Action Plans and Planning Frameworks (Plans):** From 2005 to 2012, UNDP supported the drafting, updating and implementation of DRM plans from the national to the local level in 96 countries.
- **Policies, Strategies and Strategic Frameworks (Policy):** From 2005 to 2012, UNDP supported the development, revision and implementation of DRM policies in 77 countries.
- **Laws and Regulations (Law):** From 2005 to 2012, UNDP provided support in 28 countries in developing or revising their legal frameworks for DRM.

From 2005 to 2012, UNDP implemented a total of 916 projects (66 percent) of its global DRM project portfolio with a considerable DRG component in 125 countries

- **Institutions:** From 2005 to 2012, UNDP provided support in 117 countries to develop and strengthen institutional systems for DRM, including through activities related to capacity development, training, coordination, decentralization, establishing multi-stakeholder mechanisms and facilitating the participation of key actors.
- **Mainstreaming DRR into sectoral and development policies, plans and budgets at national, regional and local levels:** From 2005 to 2012, UNDP supported governments in 62 countries in integrating DRR into development and sectoral plans, policies and strategies in order to avoid the creation of risk and to reduce existing risk.
- **CBDRM and Local Level Risk Management (LLRM), including Urban Risk Management (Community, Local, and Urban):** From 2005 to 2013, UNDP provided support for CBDRM, urban risk reduction and LLRM initiatives in 75 countries.

FIGURE 3: REGIONAL BREAKDOWN OF DRG PROJECTS BY CATEGORY OF SUPPORT

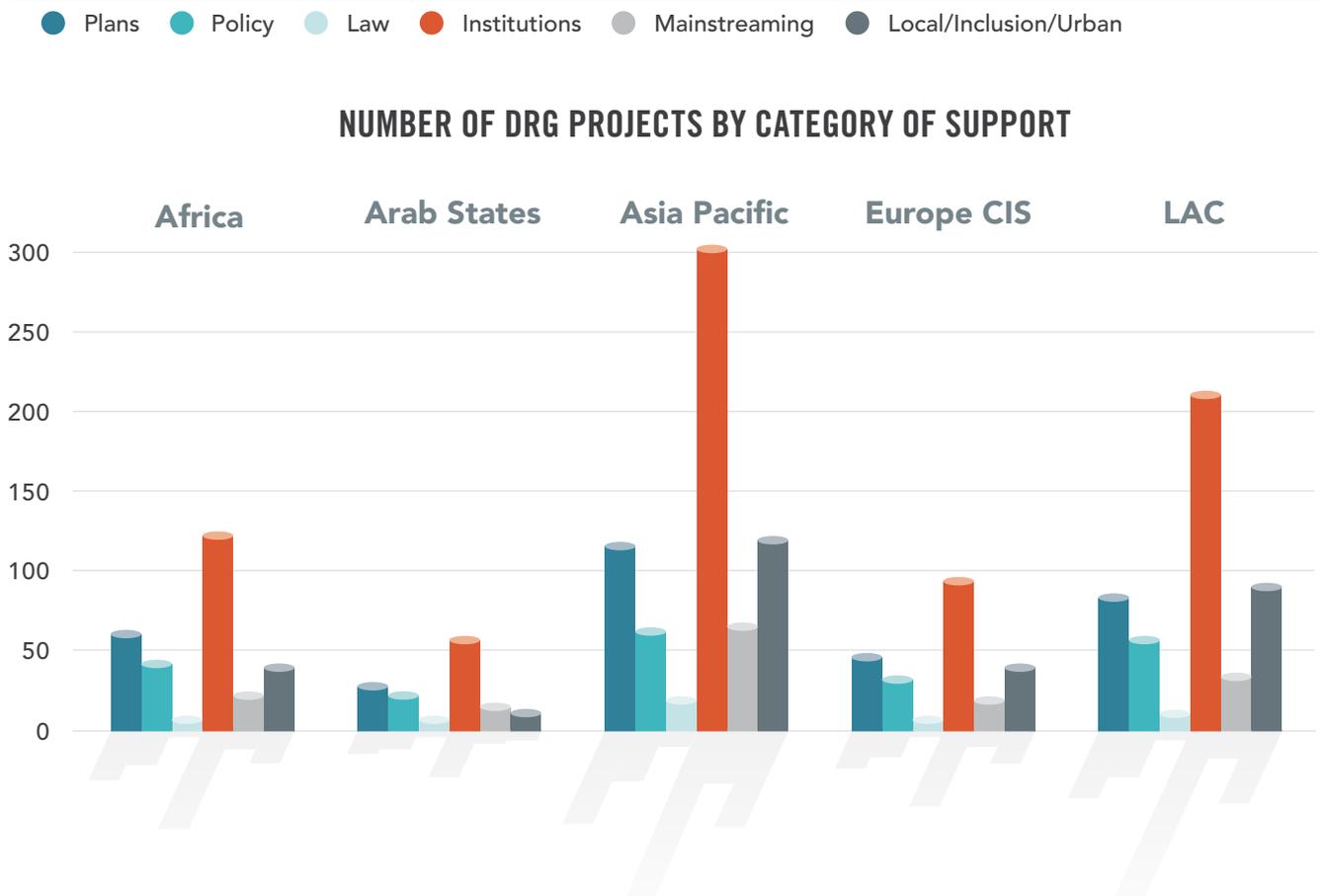


Figure 3 depicts the regional breakdown of DRG projects. The most common form of DRG support provided across all regions was for institutions. In total, 85 percent of DRG projects featured this type of support (789 projects in 117 countries). The second most common form of support was for DRM planning, with 35 percent of DRG projects (332 projects in 96 countries).

A total of 32 percent of DRG projects (293 projects in 75 countries) focused on community level, local, and urban risk management, a particularly common feature of support in LAC and Asia/Pacific. A total of 22 percent of DRG projects (212 projects in 77 countries) focused on support for policies, strategies and strategic frameworks. A less prominent form of support was for mainstreaming, possibly due to its greater complexity and the lack of practical mainstreaming tools and capacities. Only 16 percent of DRG projects (147 projects in 62 countries) featured this form of support.

Four percent of DRG projects (40 projects in 28 countries) supported the development of laws and regulations for DRM. Countries usually need to undertake the development or revision of their laws much less frequently than they need to revise planning or policy. Also, the importance of laws and regulations for effective DRM has only recently gained recognition.



Chapter 5

Disaster Risk Governance: UNDP Experiences in 17 Countries

This chapter discusses how UNDP responded to the DRG challenge in 17 selected countries, concentrating on programmes and projects of particular relevance to the research focus on disaster risk governance to achieve risk reduction outcomes at local level in disaster prone areas. This emphasis, however, does not mean that the report only looks at examples of UNDP's direct engagement at the local level. Rather, it examines UNDP support for creating an inclusive governance framework that integrates national and local level roles and responsibilities across scales to reduce risk. Different country examples are provided to illustrate the gradual nature of this process, and to describe achievements and some key challenges faced by UNDP.

This chapter starts with an overview of what triggered or motivated UNDP to engage in DRG programmes and what roles UNDP typically assumed vis-à-vis its partners (Chapter 5.1). It then highlights the levels of UNDP involvement in local governance processes. There follows a reflection on the role of assessments in current DRG programme design (Chapter 5.2); an analysis of how UNDP addressed the challenges of promoting DRR as a cross-cutting development subject (Chapter 5.3) and of decentralization and vertical integration (Chapter 5.4). Chapter 5.5 looks specifically at how UNDP programmes promoted participation and accountability. Chapter 5.6 provides a forward-looking view of the integration of governance arrangements for CCA and DRR.

5.1 TRIGGERS AND ENTRY POINTS FOR UNDP COUNTRY LEVEL ENGAGEMENT IN DISASTER RISK GOVERNANCE

In most countries included in this review, UNDP has been supporting DRG for more than a decade and in one country (**Colombia**) it has been involved for almost 30 years. Recent additions since the start of the HFA include a number of African countries and **Cuba**. Table 1 illustrates the starting dates of programmes that initiated UNDP involvement in DRG and the extent of its support to local level DRG.

In 11 of the 17 countries reviewed, UNDP has been involved in DRG-related processes since well before the HFA. Initially, there were two main factors that prompted this engagement.

Firstly, the predecessor of the HFA, the *International Decade for Natural Disaster Reduction* (IDNDR 1990-1999), prompted a large number of governments to seek UNDP's advice on improving their DM systems. Levels of UNDP engagement have since fluctuated, depending on levels of risk and funding (among other factors).

Secondly, large-scale disasters often provided a strong impetus for governments to ask UNDP for support in developing a policy response to perceived weaknesses (initially often focusing on improving disaster preparedness and response). In several cases, disasters provided an opportunity for national actors to push for changes in the policy, legal and organizational spheres in order to address gaps that were already well known (e.g. **Indonesia** and **Sri Lanka**). Disasters also enabled UNDP to secure greater resources to support these reform processes.

In several cases, disasters provided an opportunity for national actors to push for changes in the policy, legal and organizational spheres in order to address gaps that were already well known

In only three of the 17 countries a direct connection could be found between the adoption of the HFA and the start of UNDP's engagement in DRG. In the Pacific islands, for example, UNDP worked with the *South Pacific Applied Geoscience Commission* to translate a regional policy framework for DRR and DM¹⁴ into national strategies and plans of action. However, the HFA did not generally give rise to new UNDP programmes, although references to HFA priorities became more common in programme documents after 2005 and in government strategies and plans that UNDP helped to elaborate. A number of very recent changes in DRG programming (e.g. in the Pacific) are related to *UNDP's Strategic Plan 2014-2017*, reflecting a more integrated risk governance agenda (UNDP, 2014).

Only five of the 17 COs that took part in the review worked directly at the local level; four provided indirect support to local level DRG; and seven applied a more balanced approach. One CO (**Djibouti**, a highly centralized country) barely supported local level DRG. Unsurprisingly, direct engagement of UNDP at the local level depended upon the degree to which DRR responsibilities had already been decentralized – at least on paper. In a number of countries (e.g. **Colombia** and **Mexico**), major disasters revealed a lack of progress in decentralizing DRR responsibilities and resources. They also highlighted entry points for UNDP to work with governments on implementing legislation and strengthening local roles in more integrated DRM systems.

Limited funding did not always restrict UNDP engagement at the local level: for example, in **FYR Macedonia**, an upper middle-income country, UNDP developed co-funding arrangements with selected municipalities; while in **Ghana**, a lower middle-income country, UNDP supported the development of District DM Plans in *Greater Accra* and the *Eastern and Northern Regions*, adapting to district needs and characteristics. However, lack of funding can impede the effective implementation of these plans.

As a government partner, UNDP was requested to advise on the design of new DRG systems (in six countries) or on more specific aspects of DRG (in 11 countries). The creation or substantial reform of systems required a heavy focus on national level processes and, in several cases, a strong association with newly formed national DM organizations. UNDP combined advisory services with capacity strengthening activities, and engaged in advocacy to promote various aspects of the HFA, including mainstreaming and decentralizing DRR (e.g. in **Ghana** and **Madagascar**). Bringing together like-minded agencies and acting as a broker for governments, international agencies and NGOs, UNDP played an important convening role in a smaller number of country programmes (e.g. **Armenia** and **Viet Nam**). This helped harmonize approaches and facilitate cooperation and partnerships in DRG.

¹⁴ Pacific Disaster Risk Reduction and Disaster Management Framework for Action 2005–2015.

TABLE 1: OVERVIEW OF UNDP SUPPORT TO DRG IN 17 COUNTRIES

COUNTRY	Since	Key historical events and UNDP involvement in DRG at national level	UNDP support to local level DRG ¹⁵
ARMENIA	1994	<ul style="list-style-type: none"> • Reform of the Soviet-style system • International Decade for Natural Disaster Reduction (IDNDR) • Lessons from the 1988 earthquake • Continuous government interest in DRM 	<p>Mostly indirect support to local level DRG in:</p> <ul style="list-style-type: none"> • Harmonizing LLRM methodologies through a horizontal coordination body (National Platform) • Strengthening the legal framework • Implementing pilot projects at local level
COLOMBIA	1980s	<ul style="list-style-type: none"> • Eruption of Nevado del Ruiz volcano • UNDP supports the DRG system reform 	<p>Direct support to local level DRG in:</p> <ul style="list-style-type: none"> • Strengthening subnational DRM capacities after the floods in 2010/11 (which revealed weaknesses of the decentralized DRM system)
CUBA	1998	<ul style="list-style-type: none"> • Hurricane Dennis • Government requests UNDP assistance to develop DRR capacities 	<p>Direct support to local level DRG in:</p> <ul style="list-style-type: none"> • Developing municipal risk reduction plans • Organizing 'multidisciplinary groups' and urban consultations for participatory planning and improved accountability
DJIBOUTI	1998	<ul style="list-style-type: none"> • IDNDR • Government requests UNDP to advise on the DRG system development, resulting in the creation of a new lead agency • Drought in 2011/2012 prompts new phase of engagement (following five-year gap) 	<p>Limited focus on local level DRG since this a small and centralized country</p>
ECUADOR	1990s	<ul style="list-style-type: none"> • IDNDR • New Government elected in 2006 requests UNDP support to reform the DRG system 	<p>Direct support to local level DRG in:</p> <ul style="list-style-type: none"> • Strengthening the new decentralized DRM system • Supporting selected municipalities to develop DRM plans and mainstream DRR in land-use plans
FYR MACEDONIA	2008	<ul style="list-style-type: none"> • Forest Fires in 2007 • UNDP supports Government with the development of DRM legislation, policies and information management to strengthen DRM planning 	<p>Mostly direct support to local level DRG in:</p> <ul style="list-style-type: none"> • Implementing municipal projects with a DM focus
GHANA	2005	<ul style="list-style-type: none"> • Government requests UNDP help to strengthen the DRM system • Since the 2007 floods, Government places greater emphasis on CC and the integration of CC and DRR 	<p>Both direct and indirect support to local level DRG in:</p> <ul style="list-style-type: none"> • Supporting the development of district DM plans in Greater Accra, Eastern and Northern Regions
INDONESIA	1990s	<ul style="list-style-type: none"> • IDNDR • Lessons from the 2004 tsunami • DRG system reform and creation of new lead agency 	<p>Both direct and indirect support to local level DRG in:</p> <ul style="list-style-type: none"> • Supporting three provinces to formulate bylaws on DRM and develop action plans • Implementing CBDRM and LLRM pilot projects • Strengthening the enabling environment in Aceh (strong focus)

KYRGYZSTAN	<ul style="list-style-type: none"> • Reform of the Soviet-style system • IDNDR • Numerous small-scale disasters which prompt focus on certain high-risk locations 	Both direct and indirect support to local level DRG in: <ul style="list-style-type: none"> • Implementing a mix of projects at community and local government level, coupled with national level work on legislation and policies to support local level DRM
MADAGASCAR	<ul style="list-style-type: none"> • Government requests UNDP to support disaster response and the elaboration of a National DRM Strategy 	Both direct and indirect support to local level DRG in: <ul style="list-style-type: none"> • Supporting the institutionalization of DRM at the community level and providing funds to develop local DRR and early recovery plans
MEXICO	<ul style="list-style-type: none"> • Hurricane Isidore prompts a focus on DRG in the affected southeast of the country 	Mostly direct support to local level DRG in: <ul style="list-style-type: none"> • Implementing community level projects • Developing technical and convening capacity to integrate DRR in sectoral plans at the state level • Providing advice on drafting civil protection and other municipal bylaws
MOZAMBIQUE	<ul style="list-style-type: none"> • Following the floods in 2000, Government requests UNDP to assist with the development of a DRM policy • In 2006, UNDP supports the Master Plan on DRM and the development of the DM Law (approved in 2014) • UNDP develops capacities of the Government at the national, provincial and district levels to design, plan and budget activities that can provide coordinated response to disasters and climate change 	Both direct and indirect support to local level DRG in: <ul style="list-style-type: none"> • Supporting the establishment and training of local risk management committees at the community level • DRR training and capacity development for the staff of the Instituto Nacional de Gestão das Calamidades (INGC), with a particular focus on the district and provincial level • Financing of selected DRM activities of the INGC at the local level
SOLOMON ISLANDS	<ul style="list-style-type: none"> • IDNDR • Endorsement of HFA and the Pacific DRR and DM Framework for Action in 2005 • Since 2013, UNDP supports integrated risk governance capacities 	Both direct and indirect support to local level DRG in: <ul style="list-style-type: none"> • Supporting community level planning and establishing linkages with provincial level government to foster the integration of CC and DRR measures with a community perspective (recent)
SRI LANKA	<ul style="list-style-type: none"> • IDNDR • Following the 2004 tsunami, the Government requests UNDP to support DRG system reform and the creation of a new lead agency 	Mostly indirect support to local level DRG in: <ul style="list-style-type: none"> • Supporting village and provincial level planning, particularly in the aftermath of the 2004 tsunami
UGANDA	<ul style="list-style-type: none"> • HFA • UNDP supports the establishment and capacity development of the National DRR Platform 	Mostly indirect support to local level DRG in: <ul style="list-style-type: none"> • Setting up and supporting district and local DRR agencies • Implementing national DRR policies at the local level
VANUATU	<ul style="list-style-type: none"> • IDNDR • Endorsement of the HFA and the Pacific DRR and DM Framework for Action in 2005 • Since 2013 UNDP supports integrated risk governance capacities 	Mostly indirect support to local level DRG in: <ul style="list-style-type: none"> • Supporting the Department for Local Authority to introduce CC and DRR in local policies, planning, budgeting and monitoring guidelines (recent)
VIET NAM	<ul style="list-style-type: none"> • IDNDR • In 2005, several typhoons reveal weaknesses in LLRM resulting in a focus on CBDRM 	Mostly indirect support to local level DRG in: <ul style="list-style-type: none"> • Brokering government-civil society/NGO partnerships to roll out and institutionalize CBDRM • Providing support to the legal framework development

¹⁵ 'Direct' means DRG interventions at the local level. 'Indirect' means programmes focus predominantly on strengthening the enabling environment for local DRG, including vertical integration. 'Limited' means a greater focus on policies, plans and horizontal integration issues of actors working at the national level.

5.2 ROLE OF ASSESSMENTS IN DISASTER RISK GOVERNANCE PROGRAMME DESIGN

As highlighted in previous chapters, the concept of DRG is quite new. So it is unsurprising that this review came across only one example (in **Vanuatu**) of a dedicated DRG needs assessment that was conducted prior to initiating a DRG programme. The programme informed a CCA/DRR integration process (see Chapter 5.6) and identified entry points for UNDP engagement.

In **Madagascar**, UNDP and the *United Nations Children's Fund* (UNICEF) supported a number of studies on the political crisis and its impact on local development since 2009. The results showed that the top-down strategy of the Government was not beneficial to local stability. The studies encouraged broader efforts by the central Government to enhance the responsibility and accountability of local authorities in DRM. In addition to these more dedicated DRG needs assessments, there were a number of DRR capacity assessments that touched on elements of ILS for DRM (e.g. in **Armenia, Ghana, Indonesia, FYR Macedonia, Mozambique** and **Viet Nam**). Sometimes these were directed exclusively at the national DM agency.





BOX 2

ARMENIA CAPACITY ASSESSMENT¹⁶

IN ARMENIA, THE CADRI CAPACITY ASSESSMENT (2009/2010) CENTRED ON THE MINISTRY OF EMERGENCY SITUATIONS (MOES), WHICH HAS A TRADITIONAL DM FOCUS.

It helped the Ministry explore its position within a wider DRG network of actors, as well as the relationships and capacities to address emerging and not yet clearly defined mandates. The HFA was the starting point for a process that used a range of tools and steps to contextualize the analysis and identify strategic priorities. The assessment went beyond the diagnosis of functional and technical capacities to define

an overall vision of DRR governance in the country. Key steps included ‘institution-grams’, which explored the relationships between the MoES and key stakeholders, a capacity baseline, a gap analysis and strategic visioning workshops. Almost a year was spent preparing, conducting and agreeing on the conclusions of the assessment. Priorities were then addressed, including the strengthening of local level engagement in DRM, creating vertical and horizontal support mechanisms (including civil society engagement) and addressing the coordination challenge at the national level.

Four of the capacity assessments undertaken by UNDP in the countries reviewed were supported by the *Capacity for Disaster Reduction Initiative* (CADRI). CADRI is an inter-agency initiative of the Food and Agriculture Organization (FAO), UNICEF, UNDP, the UN *Office for Coordination of Humanitarian Affairs* (OCHA), the *World Food Programme* (WFP) and the *World Health Organization* (WHO). The programme was designed to strengthen the ability of the UN to ‘Deliver as One’¹⁷ on DRR capacity development and preparedness. As such, it is dedicated to strengthening the capacities of both the UN system and governments to identify and address DRR needs (Alam, 2013). The capacity assessments draw on the HFA and associated indicator sets to analyse functional and technical capacities, and are followed by support to the design of national DRR action plans (NAP). The CADRI assessment undertaken in **Armenia** had a significant impact on the UNDP programme document (2010-2012) and Armenia’s 2012 national DRR strategy. In **Ghana**, CADRI provided technical support to the development of the *Ghana Plan of Action on CCA and DRR*.

¹⁶ Based on research conducted for UNDP (2010). Armenia Disaster Risk Reduction System Capacity Development Report.

¹⁷ The assessment of this aspect of DRG (i.e. the role of the wider UN and the UN reform process) is beyond the scope of this report.

The Armenia example demonstrates how such assessments can help steer government interest towards a more systematic reform process, covering vertical and horizontal dimensions of DRG.

Based on the findings from the 17 countries, UNDP's initial decision to engage in strengthening DRG systems was rarely based on a formal assessment of capacity or institutional gaps and constraints. More commonly, UNDP tended to base its programming decisions on government interest in DRG reform, particularly in the aftermath of high impact disasters. In a few countries, DRR capacity assessments or DRG needs assessments were carried out at a later stage (usually during the initial phase of project implementation) in order to guide subsequent support for capacity development. The **Armenia** example (see Box 2) demonstrates how such assessments can help steer government interest towards a more systematic reform process, covering vertical and horizontal dimensions of DRG.

During the period under review, the UNDP *Global Risk Identification Programme* (GRIP) supported national and local level risk assessments in about 40 countries (GRIP, 2014) with the objective of feeding risk assessment results into national strategies and action plans for DRM, as well as integrating DRM into national and local development plans and investments. However, in the 17 countries covered by the review, no strong connection could be found between these assessments and a DRG response. The exception is **FYR Macedonia**, where UNDP supported the creation of a unified methodology for hazard and risk assessments and a regulation to guide the preparation of future assessments. The risk assessments completed under the project were then reviewed and officially adopted by municipalities.

Helping governments access and use risk information is important, but DRG requires an additional layer of analysis that focuses on the perceptions, incentives and capacities of different constituencies to contribute to, access and act upon that information (i.e. in order to agree and prioritize viable risk reduction measures). A potentially promising approach is being developed in **Armenia**, where 18 cities are involved in a process that results in obtaining a 'resilience certificate' (in the Armenian language referred to as 'safety certificate'). The certificate is used like a patient card indicating current capacities and key weaknesses, and serves as a baseline for monitoring change.



Member of a programme offering new farming techniques. © IRIN/Tomas de Mul.

5.3 PROMOTING DRR AS A CROSS-CUTTING DEVELOPMENT PRIORITY THROUGH CAPACITY DEVELOPMENT AND HORIZONTAL INTEGRATION

The Armenia example demonstrates how such assessments can help steer government interest towards a more systematic reform process, covering vertical and horizontal dimensions of DRG.

DRM agencies can be quite insular. In many countries, the traditional civil defence/protection approach promoted a top-down, command-and-control system that was ready to operate following a military attack or disaster (UNISDR, 2004). Civilian authorities were pulled into the system but often in a subordinated fashion and given clearly defined responsibilities through ‘emergency’ or ‘civil defence commissions’. Plans were defined nationally and then implemented through individual sectors or ministries and at various subnational levels of administration. Civil defence/protection agencies are not equally rigid and top-down across all countries.¹⁸ Nonetheless, the notion of DM as a specialized sphere of governance operating through a command and control mode was influential across the globe until the late 1990s.

Many countries began moving away from an exclusive reliance on this model at the end of the Cold War, but at different paces and with varying degrees of determination (UNISDR, 2004). On paper, DRM systems in most countries reflect a vertical and horizontal distribution of DRR responsibilities. Lead agencies were given new names and/or reorganized, incorporated into larger ministries or turned into smaller entities, at times with an increased expectation of their coordinating role. The national civil protection agency in Mexico, for example, plays a coordination role in a decentralized system, while municipalities are responsible for reducing disaster risk in their territories (Wilkinson, 2012a). Depending upon the context, however, ‘participation’ and ‘inclusion’ are still new concepts that are not necessarily promoted by internal organizational culture or external institutions. Implementing the principles of participation requires new skill sets and working modalities, including ‘flatter hierarchies’ and ‘horizontal connectedness’ (Maxwell, 1996). Cuba is a good example of this, with civil defence authorities actively engaging communities in risk analysis and DRM planning (see Chapter 5.5.3 for more details).

5.3.1 STRENGTHENING INSTITUTIONAL CAPACITIES FOR DRR

In a majority of countries, UNDP works very closely with and through national agencies in charge of DRM. In a few cases it even helped establish or restructure these entities (e.g. in **Indonesia** and **Sri Lanka**). National DM authorities need to have clear mandates, capacities and influence to be able to convene, facilitate, coordinate and foster cooperation across multiple groups. They also require an internal management system that recognizes and rewards their work. Furthermore, functioning DRG systems need to provide incentives for sectoral agencies, civil society and private sector actors to participate in DRR processes. The capacities of these stakeholders also

¹⁸ Developed countries emphasized the voluntary contributions of decentralized ‘self-help’ units drawn from the civilian population and the role of the private sector (Homeland Security National Preparedness Task Force, 2006). In other countries, such as in Indonesia or Sri Lanka, civil defence or protection agencies never existed. However, this does not mean that these systems were based on more participatory or inclusive principles. Cuba and Viet Nam stand out with their strong emphasis on the social contract.

TABLE 2: MAIN TYPES OF UNDP DRR CAPACITY DEVELOPMENT EFFORTS AT THE NATIONAL LEVEL IN 17 COUNTRIES

TYPE OF SUPPORT	EXAMPLES
Targeting the lead agency	<ul style="list-style-type: none"> • One-off trainings on technical themes (<i>common across all reviewed countries</i>) • Supporting gender mainstreaming (<i>common, though rarely systematic</i>) • Mentoring to foster coordination, facilitation, leadership skills and other functional capacities (<i>common, informal and not well documented</i>) • Funding selected staff positions to address capacity gaps (<i>common</i>) • Advising on organizational structures, job descriptions and work plans (<i>common where new agencies were set up with UNDP's help, e.g. Sri Lanka and Indonesia</i>)
Targeting other agencies	<ul style="list-style-type: none"> • One-off trainings (<i>common when developing technical capacities</i>) • Supporting sectors to mainstream DRR into policies and plans (<i>e.g. Kyrgyzstan, Indonesia and Sri Lanka</i>) • Setting up DRM units/focal points (<i>e.g. Armenia, Indonesia and Madagascar</i>) • Mostly targeting government agencies; CSOs and NGOs are usually included as subcontractors (<i>e.g. Kyrgyzstan, Indonesia and Vanuatu</i>)
Promoting wider learning (tertiary and professional)	<ul style="list-style-type: none"> • Supporting DRM academies servicing the DRM system (<i>e.g. Armenia and Viet Nam</i>) • Supporting the development of university degrees and post-graduate courses (<i>e.g. Indonesia, Madagascar and Viet Nam</i>) • Multi-stakeholder conferences, learning events (<i>e.g. Indonesia and Viet Nam</i>) • Supporting networks of academics to strengthen research on DRR (<i>e.g. Ecuador and Viet Nam</i>)
Supporting multi-stakeholder processes and institutions	<ul style="list-style-type: none"> • Working continuously with several partners to co-produce DRR plans, CBDRM frameworks (<i>e.g. Armenia and Viet Nam</i>) • Supporting existing government-led institutions (<i>e.g. Ghana, Sri Lanka, Uganda and Viet Nam</i>) • Supporting the creation of new institutions, both civil society and government-led (<i>e.g. Armenia and Indonesia</i>) • Helping to design incentives for stakeholders to participate in DRR efforts (<i>very limited recent evidence e.g. Armenia</i>)

UNDP brokered and supported partnerships between national DM authorities and other agencies to 'co-produce' results with the aim of enhancing learning.

need to be strengthened so they can contribute to these processes. Formal and informal multi-stakeholder institutions or networks are required to help bring about agreement on policies, guidelines and rules for DRR.

Table 2 provides an overview of the main types of UNDP DRR capacity development efforts at the national level in the 17 countries reviewed. UNDP often adopted a learning-by-doing approach in its support for developing the functional capacities of DRM lead agencies. This approach aimed to increase functional capacities by engaging lead agencies in multi-stakeholder exercises - such as risk assessments and planning exercises - and by helping engage other stakeholders (see Chapter 5.3.2). In some cases, UNDP brokered and supported partnerships between national DM authorities and other agencies to 'co-produce' results with the aim of enhancing learning. It also worked with sectoral agencies individually (e.g. agriculture, housing or education) on specific outputs such as plans and policies, and addressed capacity gaps by 'incubating' posts, i.e. paying for staff with particular expertise and capacities within the lead (or other) agency. Mentoring was used in some cases to strengthen functional capacities; but this is not fully documented.



Cambodian children looking at a poster on the impacts of and adaptation to climate change during the World Environmental Day on 5 June 2011 in Preah Vihear Province, Cambodia. © UNDP Cambodia

While providing good results in the short-term, these improvements in expertise are difficult to sustain and must go beyond developing the capacity of individuals. Therefore, in a few countries, UNDP invested in DRM or crisis management academies, supporting the revision or establishment of curricula and training manuals. It was beyond the scope of this study to review the content of these curricula and target groups in detail, or to assess the degree to which the human resources management dimension was addressed (i.e. the relationship between training/learning and job performance and promotion). However, experience from **Colombia** (see Chapter 5.4.3), suggests that these formal, theory-based courses are overall less successful than involving partners and stakeholders in practical assessment or planning exercises (i.e. the 'learning-by-doing' approach referred to above).

UNDP's approach to developing technical capacity was chiefly through one-off training courses on, for example, risk assessment, building codes, DRR and gender mainstreaming. Several COs engaged in mainstreaming gender into DRR programmes by targeting the lead agency, national platforms (NP) or similar coordination bodies. This effort often took the form of advocacy (to increase the number of female staff/women participating in DRM processes and one-off trainings, but was only rarely followed up by creating gender focal points (as was the case in **Viet Nam**), developing mainstreaming tools or setting up gender-disaggregated databases to inform DRR programme design (as spearheaded by the **FYR Macedonia's Crisis Management Centre**). There is little evidence of activities geared towards strengthening human resources management systems to promote and monitor the desired type and level of performance¹⁹ beyond the formulation of job descriptions.²⁰

¹⁹ See, for instance, UNDP Sri Lanka's outcome evaluation in 2011, which highlights this gap.

²⁰ An exception is the risk governance analysis conducted in Vanuatu.

In many countries, UNDP worked with high-level national DRM councils or committees on policy development, plans and legislation. In a number of countries, UNDP supported the establishment of government-led national DRR platforms (e.g. **FYR Macedonia, Sri Lanka, Uganda, Vanuatu** and **Viet**

BOX 3

CIVIL SOCIETY-LED MULTI-STAKEHOLDER COORDINATION IN ARMENIA²¹ AND INDONESIA

IN ARMENIA AND INDONESIA, UNDP WAS ACTIVELY INVOLVED IN SETTING UP CIVIL SOCIETY-LED INSTITUTIONS, HELPING CLARIFY THEIR MANDATES AND RELATIONSHIPS WITH GOVERNMENT, DESIGNING THE PLATFORM STRUCTURE AND DEFINING WORKING MODALITIES AND LEGAL STATUS.

In **Armenia**, a capacity assessment of the DRM system led to the creation of a NP. UNDP provided key actors with an opportunity to familiarize themselves with different models of NPs and they then analysed these models and designed a mechanism specific to Armenia's needs. With a board of trustees chaired by the MoES, but with the status of a non-profit NGO, the NP is able to work with a wide range of ac-

tors to pool and mobilize resources and capacities. The NP played a major role in helping elaborate the national DRR strategy, harmonizing different methodologies for LLRM and promoting further de-concentration of the DRM system. Government recognition plays an important role in these successes, as does social capital seen through overlapping forms of engagement and certain levels of trust between different actors working in Government, the UN, the Armenian Red Cross and the NP.

In **Indonesia**, on the other hand, the NP or PLANAS RB (2008) has yet to develop into an effective multi-stakeholder mechanism because it currently lacks a legal status, clear role and space to actually influence government policy (Hillman and Sagala, 2012).

Nam). A NP is a “multi-stakeholder national mechanism that serves as an advocate of DRR at different levels. The platform provides coordination, analysis and advice on areas of priority requiring concerted action” (UNISDR, 2007). UNDP support to NPs included targeted capacity strengthening activities.

UNDP provided seed funding for projects in **Armenia** (Box 3) and incentives for engaging partners within the NP. However, in other countries this approach was difficult to sustain without international support. There is limited evidence of UNDP helping identify or design incentive systems that could increase the interest and participation of sectors and other national key stakeholders in DRR processes. An in-depth analysis of how development decisions are made - including by which actors and sectors, and at which levels of government - as well as an analysis of the political economy factors influencing these processes was rarely undertaken (with the exception of the *Risk Governance Analysis in Vanuatu*, 2013, which touched upon some of these questions; NAB, 2013).

²¹ Based on research conducted for this report and consultation of the Concept Note on National Platform for Disaster Risk Reduction (ARNAP, 2010).

5.3.2 SUPPORTING DRR MAINSTREAMING INTO PLANS AND PROGRAMMES

UNDP supported a large number of planning processes involving multiple stakeholders in the countries reviewed. These processes can be divided into two main groups (see Table 3): a large group of specific DRM or DRR plans, and a small group of national development plans that incorporate DRR (e.g. **Indonesia** and **Ghana**). The mainstreaming of DRR into planning requires a systematic effort to identify DRR priorities, apply them to development activities and include them in a strategy document that guides annual planning and budget allocations. Therefore, this analysis does not include national development strategies or plans that make only general references to DRR without identifying distinct priorities and actions required.

TABLE 3: UNDP SUPPORT TO DRR PLANNING AND MAINSTREAMING

DRM AND DRR PLANS (NATIONAL LEVEL)	MAINSTREAMING INTO NATIONAL DEVELOPMENT PLANS OR PROGRAMMES ²²
<p>DRM plans created after major disasters:</p> <ul style="list-style-type: none"> • <i>Roadmap Towards a Safer Sri Lanka 2005 - 2015</i> • Indonesia NAP 2006-2010 and 2010-2012 <p>National DRR Plans and Strategies:²³</p> <ul style="list-style-type: none"> • Armenia (2012) • Djibouti (strategy in 2003; plan ongoing) • FYR Macedonia (ongoing) • Indonesia (2010) • Madagascar (2013) • Mozambique (2006) • Solomon Islands (2009) • Vanuatu (2009) • Viet Nam (2009) 	<ul style="list-style-type: none"> • Integration of DRR into <i>Mid-Term Development Plan 2010-2014</i> in Indonesia • <i>Ghana Shared Growth Development Agenda 2010-2013</i> • Integration of DRR into development programmes of Mexico's <i>Indigenous People's Commission</i> (attempt; see below for further information)

In the aftermath of large-scale disasters, UNDP was often requested by governments to support DRM planning processes, partly to ensure that available funds from humanitarian budgets were steered towards longer-term DRM needs. In Sri Lanka, consultations on the *DRM Roadmap Towards a Safer Sri Lanka* (2005), took place under heavy time pressures (to ensure that donors could report on the use of funds to their constituencies) and resulted in a compilation of projects covering a range of agencies and sectors. It was a significant achievement within the post-tsunami context to facilitate and conclude a series of consultations with such a broad range of stakeholders, including those from civil society.

²² Only those countries where UNDP supported this process are included, i.e. this practice may well exist in a larger number of countries covered by this review. Cases where DRR/DRM is mainstreamed to an extent that it is a development norm and not specifically identified are also excluded.

²³ Known as national DRR and DM action plans in the Pacific.

The NAP (2006-2010) in **Indonesia** generated similar results. It was followed up by a second exercise covering 2010-2012, which incorporated broader and more systematic participation from sectors and line ministries. This was partly due to the adoption, in 2009, of legislation that gave greater priority to these planning exercises.

National DRR plans and strategies are often designed using the HFA or a regionally adapted version of the HFA (e.g. *Pacific DRR and DM Regional Framework for Action 2005-2015*) to define and structure national level priorities (including preparedness, prevention and mitigation/DRR in more or less equal measure). In some countries (e.g. **Indonesia** and **Mozambique**), this process garnered support across different sectors and agencies, whereas in others, these plans remained insular and at times severely underfunded (e.g. the **Solomon Islands** and **Vanuatu**). Gaining commitment from multiple sectors is partly related to the degree of consultation undertaken in designing the strategy, but also to the legal status of the results, i.e. whether plans were approved by parliament, a national multisectoral committee and/or the lead agency. The level of approval and status influenced commitment to following-up on and implementing the plans. Many plans did not cover how implementation and the reduction of risk are to be measured, and consequently M&E remained weak.

In general, UNDP has promoted multidisciplinary or multisectoral planning, often involving civil society actors but usually not the private sector. Planning support covered agreement on common goals but tended not to deal with the systematic integration of priorities and action across sectors.²⁴ Roles were often statically defined (i.e. sector x in charge of y) rather than in terms of complementarity and cooperation. This preoccupation with individual rather than mutual roles reflects certain bureaucratic traditions in the government, but is also a legacy of traditional DM plans, and led to the compilation of plans from individual actors under a joint general framework. These exercises provided valuable lessons for promoting more integrated forms of 'intersectoral' planning on DRR. Several countries/COs are beginning to adopt this approach and work is also underway to define and strengthen M&E mechanisms for risk reduction.

In the aftermath of large-scale disasters, UNDP was often requested by governments to support DRM planning processes, partly to ensure that available funds from humanitarian budgets were steered towards longer-term DRM needs.

²⁴ These two types of planning can be distinguished as 'multisectoral' and 'intersectoral' (Maxwell, 1996).

BOX 4



MAINSTREAMING DRR INTO THE NATIONAL DEVELOPMENT PLAN IN INDONESIA²⁵

The newly formed *Disaster Management Agency* (BNPB) was still being consolidated when UNDP started supporting the *National Development Planning Agency* (BAPPENAS) to lead on integrating DRR into Indonesia's *Mid-Term Development Plan (Rencana Pembangunan Jangka Menengah-RPJM) 2010-2014*, as one of nine development priorities. In 2010 and 2011, 24 line ministries received funds for

DRR activities through the annual Government work plan (*Rencana Kerja Pemerintah-RKP*). These funds totalled US\$1.67 billion in 2010 and US\$1.63 billion in 2011.²⁶ While it is difficult to measure the precise growth of investments in DRR, this integration is an important development and has received recognition in international conferences and government meetings.

Mainstreaming DRR into development planning and programmes was more effective than dedicated DRR planning exercises in generating the commitment of development sectors and line ministries.

In **Indonesia** in 2007, UNDP decided to locate its DRG programme within BAPPENAS to enhance the integration of DRR into the development process (see Box 4). However, the 2007 DM Law allocated the responsibility for DRR coordination to BNPB. Consequently, UNDP shifted its support to BNPB to assume this role, while at the same time encouraging BAPPENAS to continue engaging in DRR as part of the development planning processes. Within BAPPENAS, DRR was assigned to a unit responsible for development planning for poor, isolated and otherwise disadvantaged regions. This unit is well placed to advocate for risk-informed development in these vulnerable areas and it continues to assume this role. However, its convening power and influence with some of the more powerful line ministries is limited. The mid-term development plan (*Rencana Pembangunan Jangka Memngah-RJPM*) represents an important milestone for further horizontal cooperation between BNPB and BAPPENAS, and the integration of DRR into development practice.

UNDP engaged in focused activity in **Mexico** to reduce the vulnerability of marginalized indigenous communities. UNDP made recommendations to the *Indigenous People's Commission* to incorporate DRR into five major programmes related to livelihoods, credit and education in indigenous communities. Pilot projects were implemented in six states, with a value of US\$5 million. These projects should have been evaluated so that the lessons learned and principles of DRR could be incorporated into the operating rules and institutionalised across programmes. However, this process was stalled because of a change in government at the federal level in 2012, which politicised indigenous issues and resulted in UNDP having to work hard to get DRR back on the agenda.

²⁵ Based on research conducted for this report and Hillman and Sagala (2012).

²⁶ Hillman and Sagala (2012).

Overall, this report finds that mainstreaming DRR into development planning and programmes was more effective than dedicated DRR planning exercises in generating the commitment of development sectors and line ministries. The integration of risk reduction into planning and action was pursued to varying degrees of sophistication depending on available expertise. This variability demonstrates the need to change bureaucratic cultures and planning routines in order to promote more consistent and effective DRR. These change processes require time and continuous engagement.

5.4 PROMOTING RESPONSIVENESS TO LOCAL DRR NEEDS THROUGH DECENTRALIZATION AND VERTICAL INTEGRATION

This chapter looks at UNDP's efforts to promote DRR by helping subnational government actors absorb decentralized DRR responsibilities and by promoting the vertical integration of DRR into policies and plans with different levels of administration.

Traditional centralized, top-down DM systems were the point of departure in many countries. The intent behind decentralizing DRG is to better meet the needs of high-risk communities. In many of the 17 countries reviewed, the decentralization of DRG took place within the context of ongoing efforts to create an enabling environment for decentralized governance. Governments at the subnational level - particularly in rural areas - often have weak capacity to provide services and are to varying degrees accountable to their communities. While the decentralization of DRR seems a good idea in theory, in practice it faces important challenges, especially when "legal authority is not matched by capacity and resources" (IFRC and UNDP, 2014). Community expectations of local governments differ significantly across the 17 countries, with the traditionally strong social contracts in countries such as **Cuba** and **Viet Nam** being an exception. This chapter analyses the way in which individual UNDP programmes engaged with challenges to promote supportive risk governance arrangements at the subnational level.

5.4.1 SUPPORTING DECENTRALIZED DRR RESPONSIBILITIES AND CLARIFYING THE ROLE OF LOCAL GOVERNMENTS

In about half of the 17 countries (and consistently in all four countries from the LAC region), DRR responsibilities were decentralized.²⁷ Legislation and policy in these countries emphasized principles of subsidiarity, and municipalities had legal mandates to protect their citizens and manage risk through land-use and other planning instruments. There was limited local capacity to identify risk and formulate DRR measures, let alone to finance DRR investments from modest municipal budgets in all but the largest municipalities. In a number of these countries, UNDP worked directly with national DRM lead agencies and subnational governments to implement legislation that calls for the decentralization of DRR responsibilities.

Both **Mexico** and **Colombia** have decentralized DRM systems, set up in the 1980s (although in Mexico the federal law that supports this system was not passed until 1999). In Colombia, UNDP started supporting DRG following the *Nevalo del Ruiz* volcanic eruption in 1985. UNDP facilitated the creation of a new law for decentralized DRM, and supported its implementation from 1988 onwards. Initially, UNDP provided advisory support, including for the clarification of roles and responsibilities and the promotion of decentralized DRM from the national to local level. In the 2000s, UNDP began working more directly with subnational governments in Colombia and Mexico to get DRR onto the policy agenda, helping with the development of regulations and other legal instruments, creating linkages between DRR and development policies, and strengthening the capacity of municipal governments (for more detail, see Chapters 5.4.2 to 5.4.4 and 5.5.1).

In **Ecuador**, decentralization of DRR is a more recent development and the responsibility of municipalities to reduce risk was underscored in the 2008 constitution. This designation made it necessary for these entities to develop their capacities, provide necessary resources and coordinate actions with other actors to reduce risk in their territories. Once the state policy had been created, a new risk management secretariat was set up to promote this institutional reform. UNDP first helped support this new national entity by encouraging municipal governments to take on their new responsibilities, and then began working directly with municipalities to raise awareness and prioritize DRR agendas and action (see Table 4).

Legislation and policy in LAC countries emphasized principles of subsidiarity, and municipalities had legal mandates to protect their citizens and manage risk through land-use and other planning instruments.

²⁷ DM responsibilities are decentralized everywhere, except in Djibouti and Sri Lanka, where legislation (the DM law and older legislation concerning district governments) is contradictory.

TABLE 4: UNDP ENGAGEMENT WITH NATIONAL AND SUBNATIONAL GOVERNMENTS TO DECENTRALIZE DRR IN ECUADOR

ENGAGEMENT WITH NATIONAL GOVERNMENT

In 2008, UNDP began working on a legislative reform to promote a specialized DRM system and build capacity in the national lead agency to develop the system. From 2010 onwards, all UNDP DRM projects in Ecuador were implemented through the *Risk Management Secretariat* (SGR). This encouraged the Government of Ecuador to develop an action plan at the national level and to allocate more government resources to support DRM initiatives. The nascent SGR and UNDP began work on strengthening the decentralized system, which included drafting a *National Strategy for Disaster Risk Reduction* and further strengthening the SGR to establish decentralized roles and responsibilities. UNDP helped develop guidance, methodologies and tools, which aided the SGR in setting up the national risk management system and building capacity to implement the DRR strategy at subnational levels.

ENGAGEMENT WITH SUBNATIONAL GOVERNMENT

In 2011, the SGR requested UNDP to support local governments in strengthening their DRM role. This meant that local leadership was prioritised over international cooperation. Since 2012, UNDP, in close coordination with the SGR, helped selected municipalities set up risk management departments in high-risk areas, including those threatened by volcanic eruptions. In total, 110 municipalities now have a director and/or an office for risk management. UNDP ensured the prioritization of DRM in the municipal agenda by conducting vulnerability assessments and supporting specific DRR initiatives as requested by local authorities. In 2014, UNDP worked with provincial governments to develop the *Risk Reduction Agendas* initiative. Each provincial line ministry will have a set of DRR objectives that include preparedness planning as well as structural mitigation projects.

In **Armenia, Kyrgyzstan and Indonesia**, the decentralization of DRR is also in its early stages. Kyrgyzstan offers a particularly interesting example of how the decentralization of DRR was closely tied to the overall decentralization process, as summarized in Table 5. It is the only country example with strong evidence that UNDP’s DRM programme made systematic use of the expertise in decentralization it gained from its democratic governance programme.



TABLE 5: UNDP SUPPORT TO DECENTRALIZATION IN KYRGYZSTAN SINCE 2006T

	PHASE I: 2005-2007	PHASE II: 2008-2011	PHASE III: 2012-2014
FOCUS	<ul style="list-style-type: none"> Strengthening local level preparedness 	<ul style="list-style-type: none"> Clarifying the role of Local Self-Governments (LSGs) in DRM Encouraging vertical integration among communities, LSGs and national level (MoES) 	<ul style="list-style-type: none"> Promoting the shift from DM to DRR and greater linkages with sustainable development Clarifying sectoral roles in DRR Supporting cooperation on intra-territorial DRR issues
KEY PARTNERS	<ul style="list-style-type: none"> MoES (national and provincial) Selected LSGs CSOs Selected villages 	<ul style="list-style-type: none"> MoES National Agency for LSGs Ministry of Finance Statistical Committee Provincial level actors Selected LSGs and villages 	<ul style="list-style-type: none"> MoES National Agency for LSGs Ministry of Finance Statistical Committee Provincial level actors Selected LSGs and villages Inter-Ministerial Commission on Civil Protection National Secretariat of DRR Platform
KEY ACHIEVEMENTS (selected from 2012-2014)	<ul style="list-style-type: none"> Created village-based rescue teams Developed format for LSG preparedness and response plans 	<ul style="list-style-type: none"> Clarified the role of LSGs in the legal framework Increased capacity and develop training tools Created a budget-line for DRM at LSG level 	<ul style="list-style-type: none"> Supported the adoption of HFA-consistent national development as well as DRR-specific strategies Reviewed the legal framework in key development sectors to further facilitate the integration of DRR Developed the capacity of LSGs for integrated LLRM
KEY CHALLENGES AT THE END OF EACH PHASE	<ul style="list-style-type: none"> Sustainability Unclear role of LSGs in DRM within a context of ongoing decentralization 	<ul style="list-style-type: none"> DM and recovery focus of national civil protection legislation LSGs cannot address inter-connected DRR issues with their own resources and capacities and many processes are beyond their control Lack of clarity on the role of different (de-concentrated) state organizations/sectors in DRR both horizontally and vis-à-vis LSGs 	<ul style="list-style-type: none"> DRM functions and resources remain centralized across sectors Sectors' activities are still confined to sector-specific tasks Financial capacities of LSGs remain constrained Resilience building to sustain development gains and maximize development efforts is at a nascent stage

In **Kyrgyzstan**, UNDP has been continuously engaged in local level DRM since 2006 and has promoted better DRG by combining national and sub-national level engagement. After an initial phase of working mostly at the community level, UNDP switched its focus to helping to clarify a sustainable role for LSGs in DRM. This advocacy involved both work at the national level - particularly in brokering a dialogue between the National Agency on LSGs and the MoES - and continuing engagement at the subnational level. Results included the revision of the *Law on Local Self-Government*, integrating LSGs into the DRM effort and strengthening the ability of LSGs to plan and budget for DRM.

The recognition that DRR reform cannot be driven just from the top down is an important one, particularly in countries where local governments have significant autonomy and resources.

The second phase of the programme revealed many more obstacles that needed to be overcome in order to create a solid foundation for local engagement in DRR (not just DM). First and foremost, official policy commitment to DRR was still weak and interviewees emphasized that government actors were just beginning to appreciate the connection between risk and development. Further challenges included the unclear role of different sectors both in terms of DRR and vis-à-vis LSGs (e.g. questions of infrastructure maintenance, a lack of which often contributes to increasing levels of risk at the local level). These issues are being addressed in the third phase of the programme, which also relies on national level policy dialogue and bottom-up consultations with LSGs on sector-specific questions.

UNDP also worked in **Madagascar** to improve the engagement of local authorities in DRM as part of broader efforts by the central Government to enhance the responsibility and accountability of local authorities. It is supporting the Government in developing more bottom-up approaches to DRR. These include community-led studies that identify sustainable strategies (such as crop adaptation and conservation of local natural resources) to improve nutrition and food security.

During the last decade, UNDP country programmes tended to work closely with subnational governments. The recognition that DRR reform cannot be driven just from the top down (by working with national agencies) is an important one, particularly in countries where local governments have significant autonomy and resources. In countries where decentralization is still in its early stages, the involvement of national actors continues to be important with regard to clarifying mutual roles and defining a sustainable and effective mandate for the local level.

Addressing DRR across development sectors is a complex undertaking that requires communication among multiple actors. This started only recently in a few countries, as the example from **Kyrgyzstan** shows. Issuing a DRM/DRR law can be a start, but does not achieve much on its own. Continuity of engagement and learning from interventions are essential to making progress and increasing understanding among stakeholders.

5.4.2 INTEGRATING DRR INTO SUBNATIONAL PLANS

UNDP supported local planning processes in almost all countries; except **Djibouti**, which is a heavily centralized country with a likewise centralized DRM system. Approaches and levels of ambition varied according to the stage of refinement of each country's DRM system. In most countries, efforts focused on establishing local level DRM or DRR plans. In a subgroup, attempts were made to integrate DRR into subnational development plans. In some countries a hybrid of both approaches was pursued.

One factor contributing to the difficulty in establishing linkages between village and subnational government planning was that many NGO officers in charge of community-based activities were uncomfortable dealing with local government and politicians.

In **Indonesia**, pilot projects and DRR planning at the community level were expected to feed into village level development plans, which in turn were to inform development-planning processes at the subdistrict and district level. However, these efforts had very low rates of success, due to, among other factors, limited involvement of both executive and legislative bodies of district and subdistrict governments (Hillman and Sagala, 2012). Planning activities at the community level were not always coordinated with the development planning or *musrenbang* schedule at the subdistrict, district or even the village level. As a result, necessary linkages - for instance between tertiary irrigation schemes at the village level and secondary irrigation systems at higher levels of government - could not be established (UNDP Indonesia, 2011).

In **Sri Lanka**, UNDP assisted five districts (out of 25 headed by a central Government representative or district secretary) to develop district DM plans. UNDP also worked in a number of communities to develop village plans, often focusing on early warning (EW). DRR, however, did not figure very strongly in these plans (UNDP Sri Lanka, 2011). Planning at the level of *pradeshyia sabha* or municipal and divisional levels of LSG (overall number: 335) was the missing link. There was a general lack of clarity on the distinct responsibilities between central Government that is de-concentrated at the district level and LSGs at divisional levels overall, and more specifically when it comes to DRM. This is reflected in the Sri Lanka DM act (2005) with its centralized DRM responsibilities that contradict local government policies and acts that envision the decentralization of relevant mandates.

In Sri Lanka, UNDP's programme focused on the establishment of a dedicated DRM system at the national level, which was a major undertaking. Therefore, its engagement at the subnational level was rather limited and more difficult because of the uncertain role of LSGs and their often weak capacity. In **Indonesia**, the subnational planning component was much more ambitious than in Sri Lanka. One factor contributing to the difficulty in establishing linkages between village and subnational government planning was that many NGO officers in charge of community-based activities were uncomfortable dealing with local government and politicians. The example from FYR Macedonia in Box 5 below shows that this does not have to be the case.

BOX 5

UNDP SUPPORT TO MUNICIPAL PLANNING IN FYR MACEDONIA²⁸

FROM 2009 ONWARDS, UNDP WORKED IN PARTNERSHIP WITH THE CRISIS MANAGEMENT CENTRE AND LOCAL GOVERNMENTS, AS WELL AS WITH THE MACEDONIAN RED CROSS AND LOCAL NGOS IN 10 (OUT OF 81) MUNICIPALITIES.

The municipal DRM action plans developed through this collaboration attracted the attention of political actors by emphasizing demonstration projects; in particular those dealing with school safety issues and risk mitigation activities, such as fire-fighting and the protection

of infrastructure from flood and storm waters, landslide and rock fall. In the second phase of the programme, costs for these projects were shared between municipalities (sector budgets) and UNDP, with 30-40 percent seed funding provided by UNDP. The funding increased ownership but was also a reflection of the relative wealth of some municipalities. All 81 municipalities in the country adopted integrated risk and hazard assessments. Mainstreaming DRR into development plans, however, requires further capacity strengthening and work on planning and budgeting guidelines.

In the LAC countries reviewed (with the exception of **Ecuador**), DRM planning at the subnational level started in the early 2000s. However these plans were - and still are - largely focused on preparedness. Nevertheless, municipalities are legally responsible for reducing risk and protecting their citizens, hence these plans needed to be strengthened in order for municipal governments to prepare effectively using their own resources. UNDP was a key partner in these countries in supporting governments with the integration of DRR in municipal development plans (where DRR investment opportunities can be identified and receive funding). In **Mexico** and **Cuba**, UNDP worked across subnational scales to ensure greater vertical integration of DRM plans (see Box 6); while in **Colombia** UNDP decided to work mainly with one level of government—the department or provincial level—to help these subnational authorities develop DRM plans and promote the inclusion of DRM activities and investments in development planning (see also Table 6).

²⁸ Based on research conducted for this report.

BOX 6

LINKING DRM PLANNING ACROSS SCALES IN MEXICO AND CUBA²⁹

IN CUBA, UNDP HELPED MUNICIPALITIES TO INTEGRATE DRR INTO THE INVESTMENT PLANNING PROCESS.

Every public entity is legally obliged to include actions to reduce risk in its economic planning. The National Civil Defence authorities carry out inspections and in those cases that DRR is not fully integrated in the local investment planning, a mandatory action plan is recommended and has to be implemented by municipal governments within a certain time frame. In urban areas, UNDP has been involved in promoting in-depth consultation processes to ensure greater integration between neighbourhood level concerns and data and municipal DRM and land-use plans. The DRM plans produced by people's councils in urban neighbourhoods have very precise information and through these consultations, data can be included in the land-use plan.

In Mexico, UNDP supported DRM planning at community, municipal and state

levels, with an emphasis in recent years on trying to link plans across scales with federal government investments. UNDP has been working since 2002 with communities to help them develop their own DM plans, which include some soft DRR activities, such as cleaning drains and strengthening roof structures at the start of the hurricane season. These plans are then shared with municipal civil protection directors so that official contingency planning can be coordinated with community activities. Similarly, UNDP has been working with Civil Protection departments in *Tabasco* and *Chiapas* to help them develop their DRM plans. In *Chiapas* UNDP began working with the public works, education, rural development and economics departments to integrate DRR into their sectoral programmes. These states have high indigenous populations and so it also made sense to work with the *Indigenous People's Commission* at federal level to integrate DRM in some of its programmes, linking up action at state and federal levels.

In the African countries reviewed, the focus was on integrating both DRM and CCA into district development plans. In **Uganda** this 'disaster and climate proofing' - which had also been carried out at subdistrict level - faced a number of challenges, including low levels of knowledge of good DRM and CCA practices. Sharing good practice with local governments was a key starting point. The other main challenge was linked to very limited resources for DRM and CCA. This became even more dramatic after donors pulled out investments in 2013. In **Ghana**, DRR and CCA mainstreaming in district development plans was more successful, perhaps because it focused on only 10 districts. The process was conducted in collaboration with the *Environmental Protection Agency*, the *National Disaster Management Organization (NADMO)*

²⁹ Based on research conducted for this report.

and the *National Development Planning Commission* (NDPC), and began with the district and local assembly validating the approach and then proceeded to mainstreaming training (2009-2010). In successful pilot districts, UNDP asked district assemblies to submit action plans on development and CCA for funding to the *Africa Adaptation Programme*. Five proposals were selected for funding.

UNDP's experience demonstrates the need for an in-depth understanding of capacities and the consultative and decision-making processes that underlie local level development planning and action. This includes the roles and relationships among various levels of government - from the national down to the local level. UNDP was able to make good progress where these relationships had already been fairly well defined and where local governments had certain levels of capacity and resources.

UNDP's experience demonstrates the need for an in-depth understanding of capacities and the consultative and decision-making processes that underlie local level development planning and action.

5.4.3 DEVELOPING SUBNATIONAL CAPACITIES FOR DRR

UNDP capacity strengthening initiatives focused on different scales and targeted various types of stakeholders (see Table 6). Training and mentoring of state officials is more common than capacity development at the community level, although all CBDRM programmes involve capacity development (see Chapter 5.5.3). In **Mozambique**, for example, the local risk management committees are made up of community volunteers. Established and equipped by the INGC, they provide an important link between community level DRM and government. UNDP not only supported the establishment of these committees, but also participated in their training. Information sharing and capacity development are primarily focused on enhancing community knowledge and skills in preparedness planning and developing EW systems, but they also link to formal planning processes.

Like other development partners, UNDP struggles with high staff turnover in local DRM departments in practically every country. Providing training and courses directly to local DRM officials may not be the most effective method of building capacity. In quite a few countries (including **Colombia** and **Mozambique**), UNDP adopted a different approach by funding DRM positions in some departments/districts to provide capacity in these places for longer periods. The effectiveness of this approach in terms of promoting sustained capacity has yet to be evaluated, but other techniques are certainly needed, as this model is too costly to replicate throughout a country.

TABLE 6: CAPACITY DEVELOPMENT IN LOCAL GOVERNMENT

CONDUCTING TRADITIONAL TRAINING ACTIVITIES	In Ghana , UNDP trained different types of decision makers at the district level to increase their understanding of CC impacts and help them incorporate DRR and CCA into district development plans and budgets, as well as develop DRM programmes and projects. Assembly members, assembly staff, heads of specialized departments, town/area council members, traditional rulers, religious leaders and opinion leaders participated in training sessions.
FUNDING LOCAL OFFICIALS TO SUSTAIN CAPACITY IN SELECTED PLACES	In Mozambique , international agencies traditionally made only limited investments in local capacity building. Most agencies, including UNDP, are based in Maputo and do not maintain provincial offices. UNDP trained staff at provincial and district levels, but since it was unable to provide ongoing capacity development and advice due to the distances involved, the intervention proved ineffective. For that reason, UNDP decided to hire DRR/CCA advisors (as UNDP staff) in each of its focus provinces (<i>Gaza, Nampula and Cabo Delgado</i>). This pilot initiative will be evaluated in 2015.
FUNDING LOCAL OFFICIALS PLUS DEVELOPING INSTRUMENTS FOR ONGOING LEARNING	In Colombia , UNDP provided permanent technical support to a number of departments or provinces with low levels of capacity, in vulnerable areas. This work started in eight (out of 32) departments/provinces along the Caribbean coast, and in a few cities. UNDP directly developed the capacity of department/provincial governments where it had the most influence. UNDP supported one full-time person to guide day-to-day activities and provide strategic vision in the risk management department. In other parts of the country, support is provided via the application of a DRM manual developed by UNDP.
SUPPORTING INSTITUTIONALIZATION OF CAPACITY DEVELOPMENT	<p>In Cuba, UNDP set up the first Risk Reduction Management Centre in 2005 in Santiago de Cuba and subsequently helped establish 90 more centres around the country. These centres are funded by municipal governments, and UNDP provides training and equipment. They compile and classify social and economic data from across the municipality (for example, on type of housing and age of the population) and combine this with scientific information on hazards to produce a classification of risk levels, which is continually updated. They also advise municipal governments on the application of this information in order to guide development planning and <i>Investment Consolidation Plans</i>.</p> <p>In Kyrgyzstan, UNDP supported the development of introductory DRM courses for elected representatives and government officials at the Academy of Management.</p>

Support to DRM officials at the subnational level is delivered in a number of ways, the most promising of which actually builds the capacity of local institutions to continue sharing information with others, so that capacity can be maintained and improved over the long-term. In **Cuba**, UNDP helped set up *Risk Reduction Management Centres* to analyse and deliver risk information and advice to municipal governments. This approach is more 'sustainable' as the centres are supported and paid for by municipal government, with UNDP providing only occasional support. In **Armenia**, UNDP (through the NP) supported the creation of regional DRM teams composed of regional MoES, sector and Armenian Red Cross representatives that can provide services to communes and municipalities. These informal teams make use of existing capacity and do not generate additional costs. Furthermore, they promote a multi-stakeholder approach to working together. The platform also compiled an LLRM module that is used by all agencies/NGOs working at the commune level, and has been disseminated to commune officials.

UNDP found that the most effective way to encourage learning in department councils is by collaboratively developing DRM planning instruments and involving stakeholders from different sectors and levels of government

A number of key lessons can be drawn from the experience of building local capacity for DRM. In **Colombia**, having worked with different levels of government since the 1980s, UNDP found that the most effective way to encourage learning in department councils is by collaboratively developing DRM planning instruments and involving stakeholders from different sectors and levels of government. This provided a space for officials to consider how these instruments could be applied in practice and they found them effective in developing usable planning tools. On the other hand, running DRM courses to train people in existing tools was not very effective. In **Cuba**, UNDP found that by setting up *Risk Reduction Management Centres*, it could continue to provide equipment, systematize lessons and train centre staff in a more sustained way. By supporting these local institutions, UNDP ensures that the impact of its investments in capacity development is sustained beyond the actual trainings. Centre staff use these new skills and knowledge to analyse data and provide information to municipal government officials to support DRM planning. In supporting the NP to set up informal regional DRR teams, UNDP Armenia followed a similar approach while avoiding dependence on financial support. In this case, regional teams are run by volunteers who might be constrained by the pressures and responsibilities of their individual lives and work.

In countries with high staff turnover in local government (such as **Colombia** and **Mexico**), capacity development initiatives require the involvement of a wide range of stakeholders - including those with a more permanent presence, such as technical staff. In Mexico, UNDP recently began working more closely with outgoing civil protection directors and incumbents towards the end of a government term, helping to ensure a smooth handover of DRM information and knowledge.

Clearly, UNDP went beyond the traditional training approach in terms of capacity development. This involved strengthening the ability of local institutions to continue sharing information so that capacity can be maintained and improved over the longer term. Furthermore, encouraging a more active role and the sharing of expertise across actors from different backgrounds (e.g. in **Armenia, Colombia, Cuba** and **Mexico**) generated encouraging results. Capacity development activities that mobilize and build upon existing expertise can be sustained and scaled up more easily. Scaling up and even sustaining capacity is much more problematic where such expertise is still scarce and resources constrained.

5.5 STRENGTHENING LOCAL ACCOUNTABILITY AND PARTICIPATION IN DRR

UNDP supported local governments across LAC to integrate DRR into land-use planning and to encourage the development of specific local DRM regulations and bylaws.

Efforts to promote greater local government accountability and community participation in DRR are closely interconnected, at least in theory. Community participation potentially creates the conditions (e.g. the awareness, information and feedback mechanisms or ‘voice’) through which communities can hold local governments accountable and monitor and influence government policy and action in DRR. Legislation creates the formal framework for guiding and regulating DRR action, including downward accountability and the role of communities.

UNDP worked directly with subnational governments in only a few of the 17 countries, mostly in the LAC region,³⁰ to assist them with formulating and issuing local level DRR bylaws and regulations. This might be partly because many countries already had quite a number of relevant bylaws at the local level. The quality of these existing instruments is a different issue, and enforcement is yet another dimension. Land-use plans, zoning and building codes, for instance, do exist in **FYR Macedonia**, **Ghana** and **Kyrgyzstan**, but they are often weakly enforced.

5.5.1 SUPPORTING LOCAL LEVEL LEGISLATION

UNDP supported local governments across LAC to integrate DRR into land-use planning and to encourage the development of specific local DRM regulations and bylaws. Land-use plans and regulations are important planning instruments in LAC, particularly in countries with high levels of urbanization and decentralization. Land-use and zoning are important issues in rapidly expanding cities; however, in this region they only rarely incorporate hazard data. Therefore, UNDP support to improving DRG at the local level tended to focus on:

- Inclusion of risk assessments in land-use planning;
- Development of civil protection/DRM regulations or bylaws (focused on safety issues);
- Linking DRM plans to land-use and development plans.

After widespread flooding in **Mexico**, UNDP started working with state governments in *Tabasco* and *Chiapas* to help them simultaneously recover and strengthen existing planning instruments to ensure that future development would not create further risk.

³⁰ In Indonesia legislation at the subnational level has focused on DRM and the creation of subnational DRM agencies and bodies.

TABLE 7: UNDP SUPPORT TO LOCAL LEVEL LEGISLATION IN SELECTED COUNTRIES

<p>WORKING WITH A FEW MUNICIPALITIES AND STATE GOVERNMENTS</p>	<p>In Mexico, UNDP has been working on preparedness planning at the community level since 2002. It became clear that more needed to be done at the municipal level to reduce risk. UNDP started advising on the development of civil protection regulations and other municipal bylaws in a few municipal governments in the southeast of the country.</p> <p>After the 2007 floods, UNDP started working with state governments in <i>Tabasco</i> and <i>Chiapas</i>, helping them develop civil protection bylaws. <i>Chiapas</i> has 123 municipalities, which made it unfeasible for UNDP to work directly with all of them. UNDP provided advice and technical support directly to the State Government, and the Government advised its municipalities on developing these and other instruments. In 37 municipalities, various civil protection bylaws were modified as a result of this advice.</p>
<p>WORKING WITH SELECT MUNICIPALITIES</p>	<p>In Ecuador, UNDP helped seven municipalities integrate DRM into their development and land-use plans. In three municipalities, this included issuing ordinances that informed the establishment of the DRM system. UNDP also supported the development of instruments and tools. These include:</p> <ul style="list-style-type: none"> • A basic reference manual for risk management committees, which includes a summary of all laws related to DRM at local, provincial and national levels; • A local level vulnerability assessment methodology. <p>However there is still a long way to go in terms of strengthening local regulatory frameworks and mainstreaming DRM in territorial planning processes.</p>
<p>WORKING WITH STATE GOVERNMENT AND SOME CITIES</p>	<p>In Colombia, UNDP worked directly with departmental governments in eight departments/provinces on the Caribbean coast. Municipal coordinators and national government representatives attended workshops where UNDP helped develop DRM plans and link these to land-use and development plans.</p> <p>UNDP is now working with regional environmental regulatory bodies responsible for environmental impact assessments and approving land-use plans to ensure these planning instruments include disaster risk data.</p>

In the LAC countries reviewed, UNDP offices took different approaches to working with subnational governments to develop DRM legislation and integrate DRR into land-use plans (see Table 7). In **Ecuador**, UNDP worked directly with seven of the country’s 222 municipalities to test out methodologies and undertake replicable demonstration projects. **Mexico** and **Colombia** have many more municipalities (including some very small and remote ones) than Ecuador, so engaging directly with a small number of these municipalities could only have a very limited impact. However, these countries have state/department governments with significant resources, so it was more productive for UNDP to work with subnational governments to improve their planning instruments. State/department governments can then help their municipalities develop bylaws and regulations.

The exact role of local government in DRR is still unclear in a majority of countries outside the LAC region, and local government capacities can be very weak. Therefore it is not surprising that work on local DRR legislation has been limited. In **Indonesia**, for instance, UNDP worked on legislative issues with subnational governments in eight provinces, but results tended to focus on DM and the setting up of subnational DM agencies.³¹ Slightly more progress was achieved in Aceh, where two regulations issued by the governor assign DRR responsibilities to provincial and district departments (UNDP Indonesia, 2012). UNDP Indonesia also supported BAPPENAS and

³¹ Such as the BPBD provincial centres in Indonesia.

the *National Spatial Planning Coordinating Board* to conduct a background study on how to integrate DRR into spatial planning. This is expected to feed into the revision of the *Public Works Regulation on Provincial Spatial Planning (No15/2009)*, giving more guidance on how provinces should take disaster risk into account. Some recent work resulted in recommendations for the spatial plan of the Greater Jakarta Region.

Ghana has a range of land-use plans and bylaws which are rarely enforced in larger urban areas due to a range of factors (see Box 7). In this context, UNDP provided easy-to-understand guidance to district officials, masons and contractors on how to assess building plans and prevent inadvertent non-compliance.

BOX 7

ENFORCEMENT OF EXISTING BUILDING CODES AND LAND-USE PLANS IN GHANA³²

THE MELCOM SHOPPING CENTRE IN ACCRA COLLAPSED ON 7 NOVEMBER 2012, DUE TO LOW CONCRETE STRENGTH AND LACK OF ADEQUATE REINFORCEMENT IN THE BUILDING'S COLUMNS, ACCORDING TO THE GHANA INSTITUTE OF ENGINEERS.

The accident resulted in 14 deaths and dozens of injuries, and illustrated the risks associated with a rapidly expanding building sector in a fast-growing economy, when building codes and land-use plans are not enforced. In an

effort to promote disaster-resilient building at the local level, UNDP supported the NADMO to develop a building guide for lightly loaded structures, to be used by district level building inspectors when issuing building permits. The guide - which incorporates DRR considerations into basic building principles - was disseminated in all the districts of the *Greater Accra Region* and the *Northern Region* to sensitize district officers, local masons and building consultants.

³² Based on research conducted for this report.

The example from **Ghana** shows that some key challenges in risk reduction are not necessarily related to issuing new legislation, but rather to promoting the enforcement of existing legal instruments. The building guide developed by NADMO should help encourage compliance with building standards, making it more straightforward to monitor construction. The effective enforcement of regulations by the *District or Municipal Assemblies* has remained a challenge, however, because of the political and sensitive nature of relocation processes, and the realities of short-term economic priorities as well as rent-seeking practices.

5.5.2 FOSTERING DOWNWARD ACCOUNTABILITY

UNDP has been very effective in promoting greater downward accountability in DRM in **Cuba**, which has a very participatory culture and strong neighbourhood organizations that can be mobilized to undertake consultation processes. This contributed greatly to the success of this UNDP initiative (see Box 8).

BOX 8

PROMOTING DOWNWARD ACCOUNTABILITY IN CUBA³³

THE URBAN CONSULTATION PROCESS FOR AGENDA 21 INVOLVED A RANGE OF COMMUNITY AND INSTITUTIONAL STAKEHOLDERS AND A NUMBER OF STEPS, INCLUDING:

- Sharing information on DRM instruments and plans (land-use, environmental and disaster reduction plans with risk maps);
- A survey to understand the state of DRM, including levels of perception of risk and knowledge of instruments and priorities to reduce risk;
- A comparison of provincial and municipal institutional and community priorities for risk reduction.

Communities had a chance to review and adapt these instruments to their needs. In two communities, the surveys showed that drought was a more serious issue

than flooding (which until then had been considered the highest risk). Since institutional capacity to deal with flooding was higher (having been built up over time), stakeholders agreed that it should be moved down the priority list. This was done through consensus building and plenary discussions. This whole consultation process provided a more integrated and multidisciplinary vision for DRR. UNDP supported consultations in four municipalities with between 80 and 120 participants each, with women representing over 50 percent of institutional participants and over 60 percent of community representatives. The challenge now is to replicate this method and process in Cuba's remaining 164 municipalities, particularly those with the highest levels of risk. Some municipalities started using the urban consultation process themselves, which is an encouraging sign.

In the majority of countries reviewed, national DRM laws have only recently been enacted and it takes time to translate these into local laws, regulations and policy guidance.

Legislation and regulation are important instruments for promoting greater accountability in DRR. In the majority of countries reviewed, national DRM laws have only recently been enacted and it takes time to translate these into local laws, regulations and policy guidance. In the meantime, local officials cannot be held responsible for infringements that have not yet been legislated for. Threatening local decision makers with sanctions for non-compliance may not be the optimal way to ensure that they prioritize DRR. Most interlocutors emphasized that many local politicians continue to have a preference for the visibility that comes with response, and are less inclined to make DRR decisions that could affect short-term economic gains by limiting or regulating certain industries (forestry, shrimp farming, etc.).

A common theory holds that downward accountability for DRR is dependent upon popular awareness that will then create 'demand'. UNDP addresses risk awareness through public education campaigns in most countries. However, more needs to be done to monitor or measure the results of such campaigns, as it is unclear to what extent they were able to create a demand for DRR.

5.5.3 PROMOTING COMMUNITY PARTICIPATION THROUGH CBDRM

In many countries, community-based DRM/DRR programmes and risk reduction in villages or urban settlements have traditionally been the realm of CSOs and NGOs. One often-diagnosed problem is that these programmes tend to be small-scale, scattered and hard to sustain (let alone scale up). Within the 17 countries included in this review, most national governments took note of the potential of strengthening community level capacity. With support from UNDP and other actors, some took steps to enshrine the principles of community participation in national policy and legislation. This chapter highlights UNDP's efforts to promote CBDRM and village/settlement-based activities, and to increase the outreach of these programmes. UNDP engaged with these types of programmes by supporting CSOs or NGOs to implement CBDRM programmes at the local level; or by playing the role of a neutral broker facilitating partnerships among various agencies, governments and donors. In some countries both approaches were pursued, although usually not at the same time (see Table 8).

³³ Based on research conducted for this report.

TABLE 8: TYPES OF UNDP INVOLVEMENT IN CBDRM AND LLRM

	SUPPORTING CSOS/NGOS IN IMPLEMENTATION	BROKERING CBDRM PARTNERSHIPS AND HARMONIZING APPROACHES
COUNTRIES	Armenia, Indonesia, Kyrgyzstan, Madagascar, Solomon Islands, Vanuatu and Viet Nam	Armenia, Mexico and Viet Nam
STRENGTHS OF APPROACH	<ul style="list-style-type: none"> • Some control over project design (and to a lesser degree over the execution at the local level) • More direct learning and experience 	<ul style="list-style-type: none"> • Opportunity to play a strategic role in unlocking potential and resources across a wider range of actors • Ability to maintain a distance from implementation issues and to act as a neutral convener and broker
WEAKNESSES OF APPROACH	<ul style="list-style-type: none"> • UNDP can be seen to invade the operational space of NGOs, possibly affecting its convening potential • Adding to the number of pilot projects with limited sustainability 	<ul style="list-style-type: none"> • Potentially having less knowledge of what is going on in the project site • A more abstract role with less visibility
COMMON CHALLENGES	<ul style="list-style-type: none"> • Difficulties in establishing a common understanding of what defines a 'community' in a given country and what is the actual horizontal outreach of these programmes • Challenges in expanding and scaling community level initiatives and in reaching the most vulnerable • Ability of these programmes to reduce risk, as opposed to only promote public awareness and preparedness • Defining and measuring the outcomes of these programmes 	

In **Indonesia**, the overarching goal of the UNDP *Safer Communities through Disaster Risk Reduction* (SCDRR) programme was to help make communities safer by mainstreaming DRR principles into the development process. This led to a decision within UNDP to engage at the community level, working through NGOs. UNDP Indonesia, however, found it difficult to motivate NGOs to undertake the action-research projects it had requested in order to identify replicable models for mainstreaming (Hillman and Sagala, 2012).

In **Kyrgyzstan**, engagement at the community level was complemented by activities to promote vertical integration (see Chapter 5.4). UNDP continued its direct engagement at the village or settlement level because this provided opportunities to demonstrate DRR in practice and raise the interest of LSGs. In **Mexico**, UNDP enhanced vertical integration by promoting civil society representation in civil protection meetings. In **Armenia**, UNDP focused mainly on supporting the NP to convene key actors (government, Red Cross, local and international NGOs and CSOs) in the country to agree on a standard methodology and toolkit for LLRM. This has been achieved and is in the process of being implemented. A similar process, potentially much larger in scale, is currently underway in **Viet Nam** (see Box 9).

BOX 9

HELPING GOVERNMENT ROLL OUT AND INSTITUTIONALIZE CBDRM IN VIET NAM³⁴

IN VIET NAM, UNDP HAS BEEN ENGAGED IN CBDRM SINCE 2005, WHEN IT JOINED OXFAM, CARE, VIET NAM RED CROSS SOCIETY, SAVE THE CHILDREN AND OTHERS IN PILOTING THE APPROACH IN ONE PROVINCE (UP TO 2007/2008).

Several provincial governments used the documented reduction in losses from disasters in the areas covered by the CBDRM programme to advocate for the adoption of the programme by the central Government. UNDP was engaged in this process and facilitated consultations and coordination meetings between NGOs and the main government agency in charge, the *Ministry for Agriculture and Rural Development* (MARD). This eventually led to the inclusion of CBDRM in the national DRR strategy and the

design and adoption of the *National Programme 1002* (2009) that aims to cover 6,000 (out of 11,400) communes in Viet Nam with CBDRM programmes by 2020. The Government promised to cover 55 percent of the US\$50 million budget; however, these funds have not yet fully materialized. UNDP provided technical assistance in drafting the DRM law (2014) that includes clear provisions related to CBDRM and helped the Government standardize CBDRM tools and guidelines drawing on the experiences of international NGOs. It also helped to draft government circulars supporting the (financial) management of the programme. The emphasis of the CBDRM programme on non-structural measures is at odds with a high demand from district and provincial officials to prioritize structural mitigation for flood and storm control.

Giving communities a 'voice' in DRR requires feedback channels from the community to the subnational and even national government so as to articulate priorities and needs

It is still too soon to draw conclusions from the **Viet Nam** experience. The interest of the Government in CBDRM reflects the particular nature of the social contract between state and citizens in the country and that "disaster preparedness is clearly perceived by the public and the Government as a public good and, therefore, a responsibility of the state at both national and subnational levels" (Christoplos et al., 2013). CBDRM also builds well on the so-called 'four on-the-spot' motto from the *Government Ordinance on Floods and Storm Prevention* (2006; see JINA, 2010) that promotes the decentralization of capacity. Along with the DRM law and a growing number of bylaws, the institutionalization of the programme has progressed, and the pace of implementation is expected to pick up. At this stage, CBDRM in Viet Nam, as in most other countries, focuses mostly on preparedness (as opposed to DRR) while facilitating the identification of risks and inclusion of vulnerable groups. The degree to which inclusion can be achieved depends on the population size and geographic expanse of individual communities, among other factors.

It is generally accepted in the DRR community that greater accountability depends upon community participation. However, giving communities a 'voice' in DRR requires feedback channels from the community to the subnational and even national government so as to articulate priorities and needs (including levels of satisfaction with the performance of officials). Such channels are absent in most countries and remain an unfulfilled aspiration of most CBDRM programmes, not just UNDP's. The situation is more promising in **Cuba** and **Viet Nam** because of the social contract between government and communities. Where governments have strong traditions of providing DRM services, communities tend to have certain expectations of government. It is relatively easy to expand such expectations (or 'demands') to include DRR. Where communities have come to expect little from government, DRR is unlikely to be prioritized.

5.6 INTEGRATING THE GOVERNANCE OF DISASTER RISKS AND CLIMATE CHANGE

As highlighted in Chapter 1, the understanding of (disaster) risk governance as the way a society manages various and often interconnected types of risks is relatively new. UNDP only recently adopted this view in its Strategic Plan 2014–2017 (UNDP, 2014), which emphasizes the need for a more unified approach to address DRR, CC, poverty reduction, exclusion and conflict under the integrating concepts of resilience and sustainable human development.

It is encouraging that several COs (e.g. **Kyrgyzstan**, **FYR Macedonia** and **Viet Nam**) that participated in the current review reported that they had already moved towards an integrated risk governance approach, even though substantive achievements are yet to materialize. The Pacific region has a slightly longer history of integrating governance arrangements for DRR and CC. The **Solomon Islands** and **Vanuatu** began to integrate CCA and DRR in the late 2000s. The UNDP *Pacific Risk Resilience Programme* is closely associated with supporting these change processes, mainly in the form of technical advisory and capacity strengthening services. The following discussion focuses on some of the key features, achievements and challenges of the ongoing integration of CCA and DRR governance in these two Pacific island countries. Strictly speaking, this analysis goes beyond UNDP support. It illustrates the practical challenges of integration, its driving forces and the roles of external players. So far this nascent process focuses on the national level, with important governance and capacity constraints at the subnational level as highlighted in Table 9.

TABLE 9: INTEGRATING RISK GOVERNANCE AT THE NATIONAL LEVEL IN THE SOLOMON ISLANDS AND VANUATU

SOLOMON ISLANDS	VANUATU
<p>Institutional Arrangements: There are two separate inter-ministerial coordination bodies for CC and DRM: the <i>National Climate Change Working Group</i> and the <i>National Disaster Council</i>. In 2010 the <i>National Disaster Management Office</i> was integrated into the <i>Ministry of Environment, Climate Change, Disaster Management and Meteorology</i> (MECDM). The MECDM is in charge of preparedness, response and risk reduction, including mainstreaming of DRR and CC. Recovery is covered by the <i>Ministry of Development Planning and Aid Coordination</i>.</p> <p>Rationale for setting up the MECDM (Handmer et al., 2013):</p> <ul style="list-style-type: none"> ● Strengthen synergies ● Align donors with a single focal agency for external funds ● Strengthen the capacities of national and local structures <p>“Stop filling a vacuum, help us to fill the vacuum”</p> <p>Key challenges (Handmer et al. 2013, interviews):</p> <ul style="list-style-type: none"> ● Lack of DRR technical capacity ● Multiple separate frameworks, policies and regulations on CCA and DRR that are partly related to complex external structures and funding mechanisms (e.g. NAPAs, DRR NAPs etc.) ● Weak horizontal integration of governance and weak local government capacity, resources and connections to communities 	<p>Institutional Arrangements: In 2012, a <i>National Advisory Board on Climate Change and Disaster Risk Reduction</i> (NAB) was established as the high-level policymaking and strategic advisory body replacing previous CCA and DRR-specific parliamentary committees. It is chaired by the DG of the <i>Prime Minister’s Office</i> and the Minister of Climate Change and includes senior representatives of sectoral government agencies and NGOs. The NAB also includes a donor-funded secretariat. This reorganization was succeeded in 2013 by the establishment of a <i>Ministry of Climate Change Adaptation, Meteorology, Geo-Hazards, Energy, Environment and Disaster Management</i> (MCC) and the drafting of a joint national CC and DRR policy.</p> <p>Rationale for setting up the NAB (Handmer et al., 2013; NAB, 2013):</p> <ul style="list-style-type: none"> ● Improve coordination and information sharing on DRR and CCA ● Advise on DRR and CCA programmes and projects and assessing these against national priorities ● Develop DRR and CC policies, guidelines and positions <p>Key challenges (NAB 2013, interviews):</p> <ul style="list-style-type: none"> ● The NAB was not perceived as a ‘whole of government’ institution nor was it seen as providing added value vis-à-vis development sectors ● Some confusion between NAB and the <i>National Disaster Management Organization</i> over their DRR mandates ● Weak information management systems in NAB and the line ministries/ departments ● Weak planning in line ministries and departments ● No development planning frameworks and limited capacity at provincial and district levels

In **Vanuatu**, the Government and some key donors and agencies, including UNDP, support a government-led mechanism - the *National Advisory Board on Climate Change and Disaster Risk Reduction* (NAB) - that oversees CC/DRR policy and investments. The NAB has replaced previously separate DRR and CC parliamentary bodies and reports to the MCC. In an attempt to boost absorption capacity, the NAB secretariat also serves as a project management unit. However, such direct involvement in project management can be at odds with the secretariat’s horizontal advisory and strategic function as an ‘honest broker’. A *Risk Governance Assessment* (supported by UNDP in 2013) identified these and other key issues and formulated a range of recommendations to improve the structure and working modalities of the NAB and address some of the capacity constraints.³⁸

³⁸ At the same time, UNDP works on integrating CC/DRR elements in selected sectors and advises the Department of Local Authority on the establishment of development planning, budgeting and monitoring guidelines for subnational governments.

Integration is thus not just a national level governance task, but one that requires the alignment of international and multilateral governance processes related to DRR, CC and other development concerns.

The Government of **the Solomon Islands** favoured a different approach and aligned resilience building, CC and DRR within the country's development and planning sectors rather than focusing on the creation of a joint CC/DRR apex structure or joint plans. The focus on resilient development nurtured more collaborative approaches (Handmer et al., 2013). For instance, MECDM and MDPAC (with support from the World Bank and UNDP) established a risk-resilient development committee to develop a 'Risk-Resilient Development Action Plan' with an accompanying toolkit. However, agreeing on an approach to assess, prioritize and integrate risk and resilience into development is not easy, because CCA and DRR are each governed by different international and national policies, plans and frameworks. Also, the 'identity' or professional pride of CC and DRR practitioners needs to be respected.

These two examples from the Pacific illustrate on the one hand how harmonization and coordination challenges are related to important capacity constraints, and on the other hand the roles of regional and international frameworks (such as the HFA or the *United Nations Framework Convention on Climate Change*), associated funding mechanisms and donors. Many development programmes implemented in **Vanuatu** and the **Solomon Islands** have bypassed local and national governments and promoted their own planning tools and models for community-based participation, with a very limited impact on strengthening local or national capacity (Hamden et al., 2013; NAB, 2013). Therefore, the alignment of donors and donor-funded programmes is a crucial initial objective in the integration processes described above.

UNDP also supported CC and DRR mainstreaming into national and district development policies, plans and budgets in **Ghana**. DRR was incorporated into the National Climate Change Policy (2013) under the leadership of the *Ministry of Environment, Science, Technology and Innovation*. More importantly, CC and DRR were integrated into the *Ghana Shared Growth Development Agenda 2010-2013*. According to an analysis of the district composite budgets, 30 percent of districts included a dedicated budget line for CCA in their financial planning.

There were some concerns that integration could undermine visibility and access to distinct international funding streams and mechanisms. Integration is thus not just a national level governance task, but one that requires the alignment of international and multilateral governance processes related to DRR, CC and other development concerns.



Chapter 6

Conclusions

This report focuses on UNDP experiences in promoting DRG, especially at the local level. As observed in the HFA progress review process, since the adoption of the HFA in 2005, least progress has been achieved at the subnational and local levels. UNDP's engagement in supporting DRG at the local level also had mixed results. However, the review of UNDP programmes in 17 countries identifies many promising initiatives and some significant, consistent and relevant engagement in DRG processes. These initiatives include:

- Working with individual sectors to incorporate DRR into sector policies and legislation;
- Adopting and refining legal instruments that support DRR at the subnational level;
- Analysing decentralization processes and entry points for DRR;
- Promoting the representation of civil society actors in DRM coordination bodies;
- Promoting and harmonizing CBDRM programmes.

The review also found evidence of recent efforts to integrate CC and/or DRR measures into development planning.

Given that UNDP COs have so far been operating without a detailed corporate DRR policy or DRG-specific policy guidance, these initiatives are encouraging signs of COs' commitment to DRR despite significant external obstacles. These obstacles include considerable capacity and resource gaps at the subnational level and a continuing preference of many politicians for response or, in the best case, preparedness and structural mitigation measures. This situation calls for many more innovative, well-designed and sustained initiatives that are based upon a thorough analysis of key challenges, how these can be overcome and of UNDP's role and capacity to make such change happen.

KEY TRENDS SINCE THE 2007 INSTITUTIONAL AND LEGISLATIVE SYSTEMS (ILS) REVIEW

There has been a distinct shift towards broadening support beyond national DM authorities, and UNDP now works with a larger variety of ministries, including Education, Finance, Health, Planning, and Public Works.

Taking key findings and recommendations of *UNDP's 2007 ILS Review* as the point of departure, the current review identifies both continuity and change. First and foremost, there is evidence that an increasing number of UNDP programmes address DRR and engage in processes to promote DRG arrangements at the subnational level. The portfolio analysis covering the period 2005-2012 demonstrated that a total of 32 percent of UNDP DRG projects (293 projects in 77 countries) focused on local and urban DRG. For instance, until 2004, UNDP **Kyrgyzstan** targeted its DRG support almost exclusively at national level policies and legislation. This has changed significantly in the last 10 years and a more balanced approach has been adopted.

The ILS review did not find much evidence of sustained engagement with non-governmental actors and recommended that UNDP play a role in helping scale up the scattered engagement of NGOs. The current review identified two UNDP programmes (**Armenia** and **Viet Nam**) that engaged systematically with a larger number of CSOs and NGOs in order to create space for wider participation in DRG but also helping unlock capacity and resources outside government for DRR.

The ILS review also recommended rethinking the exclusive focus on national DM organizations as recipients of DRG support, and working instead with multiple sectors and the wider DRG system. There has been a distinct shift towards broadening support beyond national DM authorities, and UNDP now works with a larger variety of ministries, including Education, Finance, Health, Planning, and Public Works. By and large, however, national DM authorities remained UNDP's key partners in DRR.

When the ILS review was commissioned, CC did not yet figure very prominently in UNDP's DRR approach. This has changed, particularly since the late 2000s and the increased availability of CC funding for DRR. A further boost came from the *UNDP's Strategic Plan 2014-2017* (UNDP, 2014), which promotes a more integrated concept of risk governance.

There is also continuity in some of the challenges identified in 2004 persisted. There are ongoing challenges in defining indicators of progress in DRG and monitoring risk reduction plans and activities. Furthermore, a more systematic integration of DRG with other development programmes is still in its early stages. The review found only one example (**Kyrgyzstan**) where UNDP had systematically mobilized its existing governance expertise (within democratic governance) to support the DRG programme.

CONCLUSIONS

“UNDP has helped bring all the relevant actors together. Through working groups, trainings [...] UNDP plays an important role in advocacy to Government or decision makers, and helps to connect to higher level government.” (NDMA official)

The UNDP DRG engagement in the 17 reviewed countries was particularly successful when UNDP used its convening and brokering capacity to facilitate cooperation between development partners (i.e. not only governments but also CSOs and international agencies). Such engagement included, for instance, the adoption of common methodologies and the pooling of DRG capacities. This type of engagement helped to create momentum for DRR and unlock the potential and resources to support DRG processes at national and subnational (including community) levels. The role of a smart broker and convener is also more in line with the typically³⁹ limited funding of UNDP DRG programmes, in comparison with other development actors including, last but not least, most national governments. Inspiring attempts to fill strategic gaps left by others could be observed (such as UNDP support to strengthen the NAB in **Vanuatu** or technical advisory services in **Viet Nam** to help the Government scale up CBDRM), which can be a wise use of limited resources.

“Change has started but it needs time and we need to continue working with the existing institutions. [...] It is a change management process. But often we don't manage the process of change.” (Senior Government official)

DRR is an intersecting and cross-cutting development issue, as highlighted in the report *Reducing Disaster Risk: A Challenge for Development* (UNDP, 2004). As such, governance (the process of governing development) is the starting point for addressing and reducing disaster risks. Based upon its

³⁹ Unless in the aftermath of some large-scale, high visibility disasters. E.g. Indonesia and Sri Lanka.

long-term engagement at the country level, UNDP has a clear comparative advantage in supporting governments in these processes. Advising on the best approach to raise interest and commitment to DRR requires an understanding of local decision-making, particularly of the underlying formal and informal institutions and the relationships among them. UNDP's choice of DRG programme strategies and activities to support local DRG, however, was not always based on a sufficiently thorough analysis of these complex governance dynamics.

“So far [the NDMAs] do almost everything exclusively. They do not want to involve too many people.” (Local consultant)

As a partner of government and - in 90 percent of all reviewed DRG programmes - of the NDMA, it was not always easy for UNDP to resist pressure to prioritize the strengthening of NDMAs over the strengthening of the DRG system. In some countries where the coordinating and supportive role of NDMAs vis-à-vis the system is well established, there is no such dichotomy. In other countries, UNDP experimented with working with other actors (i.e. various ministries including those of finance and planning). In yet other contexts, UNDP used indirect strategies to spread its support beyond the NDMA to promote broader participation in DRG. Helping NDMAs to engage in multi-agency processes (assessments and plans) was particularly common. A few COs engaged closely and systematically with CSOs. Overall, however, they were only exceptionally the target of capacity strengthening, instead often figuring as subcontractors to implement local level activities. Significant engagement with private actors in any role was the exception in all 17 countries.

“Integration of risk reduction into planning and action happened at various levels of sophistication and experience demonstrates that mainstreaming requires important change processes.” (Chapter 5.3.2)

DRR mainstreaming and integration into development planning are immense challenges in many countries, especially in those with only limited experience of intersectoral cooperation. DRR mainstreaming requires “systematic integration, leading to co-operative goal definition, planning and action” (Maxwell, 1996). The trend in UNDP to move away from an exclusive focus on national DM authorities and work with the wider development system was a step in the right direction. For instance, working with BAPPENAS, the apex agency for development planning in **Indonesia**, moved DRR closer to development. Experience from UNDPs programmes suggests that repeated planning exercises could lead to incremental progress in planning together, identifying mutual and dynamic tasks rather than individual and static roles. In a number of countries, UNDP helped to set up new institutions to promote such a transition (i.e. NPs, or the NAB in **Vanuatu**). These institutions are unlikely to make much progress if underlying organizational and bureaucratic cultures and incentive systems do not change. Supporting less formal platforms - such as networks where officials can share and develop ideas more



freely and where they interact with other actors including civil society - can help influence policy. UNDP programmes in **Vanuatu** and **Viet Nam** provided intelligent solutions for supporting such spaces for interaction.

“There is a lack of linkages between strategic goals, proposed investments, budgeting and performance.” (Local consultant on national DRM strategy)

Many DRG programmes supported sometimes ambitious reform agendas and change processes that included organizational change, institutional reform and the decentralization of DRR responsibilities. Until very recently, the attention to M&E and to finding ways to measure progress in reducing risks was limited. This deficiency may be related to the imperfect monitoring system attached to the HFA. In addition, a lack of data on vulnerability and risk continues to be a problem in many countries. However, changes in the level of risk are only one (fairly high-order) indicator of progress. Other indicators of progress may be related to capacity development and a more rigorous monitoring of governance processes and principles.

“In some cases, UNDP has gone beyond the traditional training approach when it comes to DRR capacity development.” (Chapter 5.3.1)

Capacity gaps at the subnational level are an important challenge in designing and implementing risk reduction measures. UNDP went beyond the traditional training approach to develop capacity in several countries. This involved building the capacity of local institutions to continue sharing information with others, so that capacity can be maintained and improved over the longer term. Furthermore, encouraging a more active role and the sharing of expertise across actors from different backgrounds generated encouraging results (e.g. in **Armenia, Colombia, Cuba** and **Mexico**). Formal, theory-based training courses were less successful in promoting capacity than involvement in practical exercises that involved work on assessments or planning. Capacity development activities that mobilize and build upon existing expertise can be sustained and scaled-up more easily.

“Some key challenges in risk reduction may not necessarily be related to issuing new legislation but to promoting the enforcement of existing instruments.” (Chapter 5.5.1)

UNDP played an important role in helping design legislation that promotes local level DRG, especially in the LAC region. The DM law in **Indonesia** is another key example. However, review results suggest that there is no direct connection between issuing new pieces of legislation and reducing risks. The implementation of laws often requires additional capacities and resources. In Indonesia, for instance, most laws and regulations issued at the subnational level so far focused on the creation of local level national DM authorities and commissions, i.e. creating the structures and capacity to act upon DRR. This is a slow process. Many existing plans are not implemented and legislation is not enforced. Therefore, in some contexts, UNDP efforts to take stock of existing legislation and analyse the roles, incentives and capacities of stakeholders to implement them, may be more promising than helping governments design new laws.

*“The HFA needs to be localized.”
(UNDP programme officer)*

The weaknesses of the somewhat mechanistic way in which the HFA captures DRG are reflected to some extent in several of the reviewed UNDP programmes. Whilst most COs seemed to appreciate the HFA as a global framework, others interpreted it as a simple blueprint for action. The perception of DRG as the sum of DRR policies, plans and laws may be one underlying reason. Furthermore, some programmes were overly ambitious, covering the entire remit of governance from the very local to the top level. This then led to prioritizing the production of outputs (such as laws and plans) at each level of intervention over the establishment of vertical linkages that could widen or deepen the political and societal support base for DRR.

*“If the [central Government] delegates functions to us [the local self-governance organs] it is necessary that this is accompanied by resources for us to act.”
(Local Government official)*

In a number of countries, particularly in the LAC region, UNDP engaged at the subnational level over a long period of time and helped clarify roles and strengthen relationships among different levels of governance. In some countries going through decentralization processes, UNDP helped provide central government with a view from the local government in high-risk areas. In the case of **Kyrgyzstan**, for instance, this was useful in identifying and following up on the issue of unfunded mandates (i.e. decentralized mandates without sufficient capacity and resources to fulfil them). In other countries, UNDP engagement at the very local (i.e. village or settlement) level added at times to the number of unsustainable pilot projects rather than feeding into vertical governance processes.

“UNDP helped us to understand the needs of local authorities.” (NDMA official)

In some countries, there are immense obstacles in the way of creating accountable and responsive governance/DRG institutions. It may not always be optimal to decentralize DRR decision-making, for instance, where local level governance is marked by patronage politics and/or institutionalized exclusion of certain groups. If capacity is very low, certain DRR roles may simply overburden local governments. Likewise, relying on decentralization cannot resolve the interconnected nature of certain risks. Some COs opted for a measured approach towards decentralization, working with higher layers of subnational government only (provinces or federal states) and increasing capacity at these levels to support lower level governments within their jurisdictions.⁴⁰ Especially where the number of low-level, high-risk government entities is very high and investments would represent a drop in the ocean, such targeting of influence and energies can be a more effective strategy. There are also some promising examples of peer mechanisms and support to horizontal cooperation between districts or municipalities (centred on shared risks, for instance). In other countries, the review team observed weaknesses in the political economy analysis, which made it difficult to identify local level governance problems (including corruption) and priorities for working on DRG.

“Community participation potentially creates the conditions [...] through which communities can hold local governments accountable.” (Chapter 5.5)

Giving communities a voice in DRR requires, among other things, feedback channels from the community to subnational and even national government to hold officials accountable and articulate preferences. The review identified very few examples of UNDP engaging in the design of feedback mechanisms from communities to government to influence decision-making at different levels. Such channels do not exist in many countries and remain an unfulfilled aspiration of most CBDRM programmes, not just UNDP's. The situation

⁴⁰ This is obviously system-dependent and much more difficult if the governance arrangements are not multi-tiered with various meso levels of governance.

is more promising in **Cuba** and **Viet Nam** because of the strong social contract between government and citizens. Strong traditions of governments providing DRM services mean that communities have certain expectations. Therefore, it is relatively easier to expand such expectations (or ‘demands’) to gradually include DRR. However, this is not necessarily straightforward, as DRR might interfere with certain industries (forestry, shrimp farming, etc.) and short-term economic interests and development. In other words, even if communities are given the information they need, a choice and a ‘voice’, they may not necessarily opt for DRR.

Moving towards integrated risk governance?

With the exception of some LAC countries, most governments are still grappling with the concept of DRR and what it means for governance practice, (i.e. how development can be governed to reduce risks). In a number of countries, UNDP is already gaining experience in integrating risk governance instruments for CCA and DRR. This is important, particularly in countries that are already experiencing increasing levels of disaster risk due to CC impacts. This report would, however, caution that adding CCA or other types of risk too rapidly may overburden those national and local governments that are just starting to appreciate the connections among development, risk and risk reduction.



Chapter 7

Recommendations



Based on the findings of this review, specific recommendations are made for UNDP in four areas: (i) conceptual clarity and refinement of approach; (ii) transforming current programming approaches to be more aligned with the current state of knowledge on DRG; (iii) an engagement strategy at the country level that goes beyond programme/project time frames; and (iv) advancing DRG at the local level.

Some of the proposed measures have already been applied in some of the reviewed country programmes, while others point to gaps that have yet to be addressed in UNDP policy and programme support.

In addition, this chapter also provides recommendations of a more general nature on the future direction of DRG for national, regional as well as international policy makers and practitioners. It may also be of relevance for the implementation of the post-2015 agreement on DRR.

7.1 RECOMMENDATIONS TO UNDP

7.1.1 CLARIFYING UNDP'S CONCEPTUAL APPROACH TO DISASTER RISK GOVERNANCE AND INTERNAL CAPACITIES

- Devise a DRG policy and further refine the current definition of DRG. The policy should emphasize the intersecting and dynamic nature of DRR policymaking and situate this process more clearly within a political economy analysis.⁴¹ It should also highlight the added value that UNDP offers in strengthening DRG - based on its own structure, capacity and working modalities - emphasizing its role as a 'partner of government'. An important element is the need to reach out, learn from and exchange with other UNDP programme areas, such as democratic governance, conflict prevention, social protection, biodiversity, CC, and urbanization. In addition, UNDP's role in strengthening financial services for DRR needs to receive more attention in DRG policy and programme support.
- Build on existing UNDP experiences with integrating DRR and CCA in order to identify further conceptual synergies between these highly complementary areas. The *UNDP Strategic Plan 2014-2017* (UNDP, 2014) and the subsequent organizational restructuring paved the way for a more consistent and organization-wide integration of policy and programme support for DRR and CCA. The implementation of the Strategic Plan would greatly benefit from applying the findings of this report in the context of a more unified approach to DRR and CCA.

⁴¹ It is acknowledged that the new DRG concept may cover other types of risks, such as those induced by climate change.

- **Assess and further strengthen internal UNDP capacity to support complex DRG processes and prioritize support where it yields strong benefits.** DRG change/reform processes require time and sustained engagement that need to be realistically assessed in view of UNDP's existing capacities and resources. Working with too many actors at too many levels could dilute and weaken impact, and UNDP should consider being more selective about where and how to focus its efforts in order to maximise results.

7.1.2 TRANSFORMING CURRENT DISASTER RISK GOVERNANCE PROGRAMMING APPROACHES

- **Develop a contextual theory of change for each DRG programme and/or reform process and identify key benchmarks, indicators and a well-defined M&E system to monitor progress.** The development and implementation of effective DRG processes requires in-depth consideration of the context, since no universal theory of change can be applied to all DRG processes. Therefore, such theories of change and supporting M&E frameworks need to be developed individually for each country, and DRG interventions designed accordingly in a flexible, dynamic and innovative manner. This will require a thorough analysis of the risk context, as well as capacity and political economy assessments, in order to gain an understanding of the changes required to strengthen the enabling environment for DRR, along with familiarity with why and how actors might buy into that change.
- **Expand DRG and capacity development support from a still-predominant focus on national DM authorities to include the development system more broadly and address obstacles in the way of effective horizontal and vertical integration of DRR.** This includes practical support for integrating DRR more systematically, through co-operative goal definition, planning and action rather than a 'tick box' approach to mainstreaming. This ambition is a long-term, incremental process towards risk-informed development that requires strengthening incentive systems to cooperate with others on shared tasks, transecting organizational and hierarchical borders. However, since the role and functioning of many DRR institutions established over the past decade is still diffuse (reducing their focus and effectiveness), UNDP continues to have a role in supporting their consolidation and strengthening their legitimacy and accountability.



Disaster resilient village. © Nasif Ahmed/UNDP Bangladesh

- **Ensure that UNDP advisory support for the preparation or review of disaster risk-sensitive policies, plans and legislation is not a default intervention for advancing DRG, but carefully selected to overcome existing bottlenecks.** Since in many countries, ineffective implementation of policies, plans and laws is an issue, it is important to also pursue flexible and informal arrangements or complementary activities (to drafting a plan or law), as these may be more effective in promoting change. When support to formal DRG instruments is considered essential, it should be accompanied by the necessary DRG processes (i.e. participation, accountability, transparency, responsiveness etc.) that promote implementation, resourcing and monitoring of progress.
- **Move beyond traditional training approaches and develop DRG capacity by encouraging sharing of expertise and learning across actors from different backgrounds through joint analysis of challenges.** UNDP plays an important role in helping establish and strengthen the cadre of officials who can support DRG. Capacity development activities that mobilize and build upon existing expertise can be sustained and scaled-up more easily. Capacity substitution should be employed very selectively and in a way that ensures the transfer of skills and knowledge. An institutional-functional approach to DRR capacity development should have a clear focus on the coherence of institutional structures, clarity of mandates, rule of law, and adequacy of resources and capacities.

7.1.3 ENGAGEMENT STRATEGY AT THE NATIONAL LEVEL

- **Assist governments in widening and deepening the horizontal integration of DRR processes and stakeholders and help to unlock existing capacities in government, civil society and/or the private sector and academia.** Many disaster-prone countries in which UNDP operates (especially middle-income countries) have the relevant capacities and resources to substantially reduce the risks they face. These resources are often overlooked, or actors work in isolation. Good practices and lessons can be shared in finding a strategic niche for UNDP to help broker partnerships, scale up scattered initiatives of development agencies - NGOs in particular - and foster cooperation between government and civil society.
- **Intensify engagement in developing and strengthening vertical linkages between levels of DRG.** Decentralization and DRR do not always go hand in hand. There can be strong disincentives that prevent local level officials from promoting DRR. These constraints have been observed in some countries and it would be useful to analyse these lessons and document and share possible solutions among UNDP programme staff.
- **Support the development and/or adaptation of existing tools, guidelines and methodologies (e.g. on risk assessment, DRR/CCA mainstreaming, policy and legal reform processes etc.) to promote risk-informed development and overcome risk governance deficits.** This will help facilitate the translation of DRG policy guidance into practice and accelerate appropriate focus on risk governance aspects in UNDP programmes.

7.1.4 ADVANCING DISASTER RISK GOVERNANCE AT THE SUBNATIONAL LEVEL

- **Examine the feasibility of applying a political economy analysis in each country before or as a component of DRG programming.** Without a careful consideration of the role of (local) elites, local-central government relations (including the distribution of power), and the consultative and decision-making processes that underpin local development planning, it is difficult to identify an effective role for subnational governments in risk reduction and hence for UNDP to support them.

- **Establish an in-depth understanding of existing local capacity and access to resources when further developing local capacities.** Support to the development of local level DRG capacities should be a principal focus of UNDP programmes. It is important to work with elected representative bodies and community-representative institutions. An analysis of the roles and relationships among various levels of government from the national to the very local level should be part of this understanding.
- **Carry out further analysis of dominant approaches through which UNDP engages in CBDRM in order to increase their long-term sustainability.** Efforts to provide support to CBDRM need to result in sustained risk reduction outcomes, ensure scaling-up by establishing vertical linkages with local government, and inform and influence policy decisions.
- **Seek opportunities to learn from and build support for decentralized DRR on UNDP experiences within its democratic governance programme.** Where feasible, closer linkages should be established between the decentralization of DRR and overall decentralization processes pursued by governments with UNDP support.
- **Strengthen downward accountability by supporting feedback channels from the community and civil society to subnational and even national government to articulate local needs and preferences.** This implies opening up opportunities and forums that bring practitioners, civil society and NGOs closer to the DRG system. Such mechanisms could also be used to gauge satisfaction with officials' performance.

7.2 RECOMMENDATIONS FOR THE IMPLEMENTATION OF THE POST-2015 AGREEMENT ON DRR

- **Devise a systems approach to DRR that spans multiple disciplines and stakeholders.** DRG is an all-government concern that must be owned by stakeholders beyond national DM authorities and DRM departments, and become part and parcel of multisectoral governance arrangements. This requires having authority and legitimacy for DRR clearly assigned, with access to sufficient capacity and resources in relation to the country's risk profile. Key nodal departments/agencies (not necessarily the national DM authorities that act as champions for disaster and climate risk management) can help establish risk governance as a cross-cutting priority and facilitate integration across all development sectors.
- **Emphasize the identification and strengthening of incentive systems to promote the integration of DRR and CCA into governance processes at national and subnational levels.** This offers new and innovative avenues for risk governance that are of equal importance in low-, middle- and high-income countries.
- **Recognize legislative and regulatory frameworks as instruments for establishing clear mandates, as well as accountability and transparency mechanisms for organizations and key stakeholders in DRR. Also acknowledge their normative and standard-setting functions.** Laws can be instrumental for alleviating the many inequalities that give rise to disaster risk. However, they must be accompanied by resources and implementation arrangements that foster compliance through innovative and flexible solutions.
- **Overcome the notion of DRR as an 'add-on' to development.** Considerations of disaster risk and its prevention or mitigation need to be inherent in the very definition of development. Since development itself is recognized as contributing to disaster risk, it necessary to reframe or redefine development modalities to achieve truly risk-informed development. Unless this happens, DRR measures will fail to yield their full benefits.
- **Bridge the gaps between national, local and community levels in an effort to build resilience.** Bestowing local government with clear roles and responsibilities matched with necessary resources and implementation capacities will be key to achieving sustainable risk reduction outcomes.

- **Promote greater vertical and horizontal integration of actors, policies and financing, to establish mutual roles and linkages across stakeholder groups and sectors.** This should also encompass informal institutions and NGOs as central elements of DRG. A critical step in this direction is the ability to generate networks and mobilize around issues of common concern in ways that motivate social demand for change. Recognizing the political dimensions of disaster risk will be an important requirement for ensuring the effectiveness of such an approach.
- **Seize the opportunity that post-disaster situations provide for implementing institutional as well as policy reforms.** Time and again, the impacts of disasters have revealed vulnerabilities and gaps in DRG that provide governments with entry points for embarking on comprehensive policy and institutional reform processes. Inclusive policymaking processes have great potential for achieving sustained risk reduction outcomes.

Annexes

Annex I: Structure of Country Papers

In-Country Analysis of Disaster Risk Governance and UNDP's Support

Explanatory note regarding the in-country analysis process:

These background papers serve to summarize UNDP's contributions to disaster risk governance (DRG) in 17 selected countries. The review is not about the successes or failures of individual country programmes but about UNDP's collective experience and the lessons that can be drawn from it. Frank and focused feedback will be appreciated.

DISASTER RISK GOVERNANCE shall refer to the way in which public authorities, civil servants, media, private sector and civil society coordinate at community, national and regional levels in order to manage and reduce disaster- and climate-related risks. This means ensuring that sufficient levels of capacity and resources are made available to prevent, prepare for, manage and recover from disasters. It also entails mechanisms, institutions and processes for citizens to articulate their interests, exercise their legal rights and obligations and mediate their differences. The institutional, policy and legal arrangements for managing disasters and risks are key areas with which DRG is concerned.

Country papers are expected to a) provide background on the status of DRG in selected countries and b) describe what UNDP did to promote the adoption and implementation of DRM policies from the national to the local level. **The papers should identify some of the key issues in promoting DRM through risk governance, focusing on longer-term risk reduction.** The structure serves as a general orientation to the type of information sought. There may be some overlaps between different sections. It is not necessary to repeat information already provided. Cross-references are acceptable.

We kindly ask you to write about 5 to maximum 10 pages, and to concentrate on the **bigger picture**. We do not expect you to have all the information so do not feel pressured about possible information gaps. Answers can be in **bullet points** if this facilitates the task. We would kindly ask authors to share these country papers **by October 21** with the disaster and climate risk governance advisor (angelikaplanitz@undp.org;) and consultants ([88](mailto:alexan-</p>
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dragalperin@undp.org for Asia/Pacific, Europe and MENA and emilywilkinson@undp.org for Africa and LAC). Papers will feed into the overall analysis and help consultants to prepare follow-up interviews.

1. Background (1 page)

Division of DRM roles and resources at the national level.

Please describe the role and capacity of the lead agency/-ies in DRM (distinguishing preparedness/response responsibilities from risk reduction).

Please provide a short overview of the actual engagement and DRM role(s) of key sectoral agencies, academia, and civil society organizations.

Please describe the major resourcing arrangements for DRM (human, financial, material).

Division of DRM roles and resources at the subnational level

Please describe the mandate of local authorities in DRM (preparedness/response and risk reduction) and relevant resources available (including support mechanisms from external actors) or gaps.

What are the main challenges that local authorities face in assuming their roles? Are these and local level capacity the same across the board?

2. UNDP's support to DRG (3-7 pages)

2.1 UNDP's role

Since when has UNDP worked on DRG issues in the country?

Is UNDP the key player or just one of several agencies that provide support to DRG? Please give details of other agencies and their DRG focus (national/local; sector-specific etc.)?

2.2 Establishing consensus on DRR as a cross-cutting policy priority with clearly assigned roles at all levels

DRR legislation

Please describe the level to which clear roles, responsibilities as well as chains of accountability for DRR have been provided for; role of sanctions and status of implementation and enforcement of legislation.

What has been UNDP's role in supporting development of DRR legislation?

How has it approached the task, what has been the process and who have been key partners?

What have been some of the successes and challenges in implementing legislation? What has UNDP done to address these issues? Any lessons learned? A short case study on a particular piece of legislation would help to illustrate.

DRR policy

Please describe the status of DRR policy and the inclusion of relevant sectors into policy provisions.

What has been the process that led to the policy design?

Please describe the status of implementation.

*What has been **UNDP's role** in supporting policy development?*

How has it approached the task?

What has been the process?

Who have been key partners?

What have been some of the successes and challenges in implementing DRR policy? What has UNDP done to address these issues? Any lessons learned? A short case study on a particular policy provision would help to illustrate.

2.3 Facilitating the translation of DRR policy frameworks into action at the subnational level

Formal in-country institutions to steer coordinate and oversee the design and implementation of DRR policy

Please reflect on leadership, composition, level of representation, decision-making arrangements & authority and capacity of these bodies as well as at what level of government they operate.

To what degree do these institutions deal with longer-term risk reduction issues? Are they monolithic or multi-layered institutions (i.e. policy/thematic/operations bodies)?

Do they include representatives from civil society or the private sector?

To what degree and in what way do these institutions interact with high-risk communities?

What has been UNDP's engagement with these structures, and what, if any, has been its role in strengthening these institutions?

What have been some of the successes and challenges for these organizations to lead and coordinate DRR? What has UNDP done to address these challenges and what are some of the lessons learned?

Formal lead agencies in DRR efforts

What is their structure and level of technical capacity and resource situation in relation to their assigned role(s), i.e. risk reduction in particular?

What has been UNDP's engagement with these structures, and what has been its role in strengthening the effectiveness of these organizations?

Have there been other key partners?

What has been the effectiveness of UNDP's support in terms of enabling these agencies to play their assigned role(s) and what are some of the lessons learned?

2.4 Promoting the participation of non-governmental actors in DRR

Groups outside government that take an interest in DRR

What is the identity of these groups (academia, lobby or advocacy organizations, the media, NGOs, CSOs, etc.)?

How organized are they and where are they concentrated (capital city and/or high-risk areas)?

What is their interest and to what degree have they been involved in DRR policy processes?

What has been UNDP's engagement with these groups, on what, and how has this contributed to DRG processes?

Other

Please highlight any other key initiatives UNDP has taken to promote DRG at the national and/or local level or other important issues related to: a) establishing DRR as a policy priority, b) facilitating the translation of DRR into action at the subnational level and c) promoting participation and transparency not covered so far that you would like to share.

Annex II : List of Interviews

Conducted between 1 October and 8 December 2014.

UNDP Regional DRR Advisors:

Armen Grigoryan (Europe and the Commonwealth of Independent States)

Sanny Jegillos (Asia and the Pacific)

Krishna Vatsa (Global Risk Assessment Advisor)

Zubair Murshed (Arab States)

Sophie Baranes (Francophone Africa)

Aliou Dia (Anglophone Africa)

Geraldine Becchi (Latin America and the Caribbean)

Country Interviews:

ARMENIA:

Armen Chilingaryan (Programme Manager, UNDP)

Ashot Sargsyan (Programme Officer, OCHA)

Moses Poghosyan (Executive Director, National Platform)

Hamlet Matevosyan (Director, Crisis Management Academy)

Ara Aslanyan (Director of Planning, MoES)

COLOMBIA:

Xavier Hernández (Programme Specialist, Poverty and Sustainable Development, UNDP)

Claudia Patricia Satizabal (Economist, Disaster Risk Management, National Planning Department)

Camilo Cárdenas (Consultant, UNDP)

Alexander Figueroa (Local coordinator, UNDP)

CUBA:

Georgina Michelena (Assistant Risk Management, UNDP)

Rosendo Mesías (National Risk Management Official, UNDP)

Jorge Luis Viera (Specialist in Risk Perception and Physical Planning)

Pablo De Varona (Head of Centre of Instruments and Methods of Observation, Meteorological Institute)

DJIBOUTI:

Idriss Ahmed Hared (Programme Manager, UNDP)

Dr. Idriss Bexi (Professor Director of the Earth Department, University of Djibouti)

Ahmed Mohamed Madar (Executive Secretary, SEGRC in Djibouti)

ECUADOR:

Nury Bermúdez (Coordinator, Risk Management Programme, UNDP)

Jeanette Fernández (Independent consultant)

GHANA:

Paolo Dalla Stella (Sustainable Development Analyst, UNDP)

Koranteng Abrokwa (Director, Training, National Disaster Management Organization (NADMO))

Kingsford Asamoah (Project Coordinator, Community Resilience through Early Warning (CREW) Project, NADMO)

Winfred Nelson (Deputy Director, National Development Planning Commission (NDPC))

Emil Atsu (Budget Analyst, Aowin Suaman District Assembly)

INDONESIA:

Kristanto Sinandang (Programme Manager, UNDP)

Dr. Suprayoga Hadi (former Director of BAPPENAS)

Dr. Krishna Pribadi (Institute of Technology Bandung, former Chair of NP)

Dr. Eko Yulianto (Consultant, UNDP)

Mr. Aryawan, (Director for Special Areas and Disadvantaged Regions, BAPPENAS)

KYRGYZSTAN:

Mukash Kaldarov (Programme Manager, UNDP)

Jyldyz Aitbekovna Toktorbaeva (Chief of International Cooperation Division, MoES)

Rakhat Kurmanbekovna Omuralieva (Head of the Legal Support Unit, MoES)

Mr. Arstan Asanov (Head of Kyzyl-Tuu LSG of Suzak district of Jalal-Abad Oblast)

FYR MACEDONIA:

Vasko Popovski, UNDP Programme Manager
Mr. Ljubco Jankov, Secretary General of the Municipal Association of Red Cross in the City of Strumica
Vasil Krstev (Municipality of Strumica)
Stefko Stefanovski (Head of Department of Analysis, Assessment and Strategic Planning, Crisis Management Centre)

MADAGASCAR:

Claire Rahasinirina (Disaster Risk Management Expert, UNDP)
Général Charles Rambolarson (Deputy Executive Secretary, National Risk Management Bureau)
Norohasina Ratsimbazafy (DRR Technical Adviser, Catholic Relief Services)
Colonel Razakanaivo Mamy (Head of the Prevention and Emergency Management Unit CPGU)
Rivo Rabetrano (Head of Research, Ministry of Education)

MEXICO:

Xavier Moya (Coordinator of Risk Management Programme, UNDP)

MOZAMBIQUE:

Titus Kuuyuor (Chief Technical Advisor DRR, UNDP)
Helder Sueia (Director of the INGC regional office for Northern Mozambique based in Nacala)
Bonifacio Antonio (Director for Coordination/INGC National, Maputo)
Luis Artur (PhD) (Lecturer/University of Eduardo Mondlane, Consultant who evaluated UNDP's project 2008-2012)
Antonio Queface (PhD) (Lecturer/University of Eduardo Mondlane, Team leader for GRIP)

SOLOMON ISLANDS:

Moortaza Jiwanji (PRRP, UNDO Fiji)
Adi Galokepoto (UNDP Solomon Islands)
Mel Mataka, PS (Ministry of Environment, Climate Change, Disaster and Meteorology)

SRI LANKA:

Sureka Perera, (Programme Coordinator, UNDP)
Dr. Ananda Mallawatantri (Former Assistant Country Director, UNDP Country Representative for IUCN Sri Lanka)
Anoja Seneviratne (Former Director of Mitigation), Disaster Management Centre)
Mr. U.W.L. Chandradasa (Director, Mitigation and Technology, DMC)
Budi Weerasinghe (Capacity Building Expert, Asian Disaster Preparedness Centre)

UGANDA:

Jose Neil A. C. Manzano (Disaster Risk Management Advisor, UNDP)
Bob Nakileza, PhD (Lecturer, Department of Environmental Management, Makerere University)

VANUATU:

Moortaza Jiwanji (PRRP, UNDP Fiji)
Dorah Wilson (National Officer, Pacific Risk Resilience programme, UNDP)
Cherol Ala (Director, Department of Local Affairs)
Malcolm Dalesa (Principal Scientific Officer, Climate Change Adaptation at Meteorology and Geo-hazard Department)

VIET NAM:

Viet Bui Hien (Program manager UNDP)
Jenty Kirsch-Wood (Senior Technical Specialist, DRM and CCA, UNDP)
Dang Quang Minh (Acting Director of the Disaster Management Center)
Mr Vu Van Tu (Head of the Standing Office for Flood and Storm Control)
Ian Wilderspin (American Red Cross)

Annex III: List of Countries and Selection Criteria

REGION	COUNTRIES	HUMAN DEVELOPMENT – LEVEL/RANK ⁴²	SIDS	FRAGILITY ⁴³	UNDP SUPPORT TO LOCAL LEVEL DRG
Africa	Ghana	medium - 138		high warning	✓
	Madagascar	low - 155	✓	very high warning	✓
	Mozambique	low - 178		very high warning	✓
	Uganda	low - 164		alert	✓
Asia/Pacific	Indonesia	medium - 108		high warning	✓
	Solomon Islands	low - 157	✓	very high warning	✓
	Sri Lanka	high - 73		alert	✓
	Vanuatu	medium - 131	✓	n/a	✓
	Viet Nam	medium - 121		high warning	✓
ECIS	Armenia	high - 87		high warning	✓
	FYR Macedonia	high - 84		warning	✓
	Kyrgyzstan	medium - 125		very high warning	✓
LAC	Colombia	high - 98		very high warning	✓
	Cuba	very high - 44	✓	high warning	✓
	Ecuador	high - 98		high warning	✓
	Mexico	high - 71		high warning	✓
Arab States	Djibouti	low - 170		very high warning	

⁴² UNDP: 2013 Human Development Index.

⁴³ Fund for Peace: 2014 Fragile States Index. <http://library.fundforpeace.org/fsi14-overview>.

Annex IV: References

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UNDP recognizes governance as a key unresolved issue in both the configuration and the reduction of disaster risk. With the aim of protecting development investments and ultimately building people's resilience, UNDP has made strengthening disaster risk governance a cornerstone of its efforts to understand, reduce and manage risk.

Since 2005, UNDP worked with national governments, communities and development partners to support disaster risk governance in 125 countries. A significant proportion of this work focused on strengthening institutional systems and legal and policy mechanisms to govern the reduction and management of disaster risk, as well as providing support for the processes that lead to the establishment of these arrangements and facilitate their effective implementation.

This report examines the strategies and methodologies employed by UNDP over the last decade to promote an enabling governance environment for DRR. In particular, it presents an analysis of UNDP support for getting DRR on the political agenda as a cross-cutting development priority, and facilitating the translation of DRR policy frameworks into action at the local level. The report provides valuable lessons to inform future policy and programming, as well as recommendations for UNDP's and other actors involved in the implementation of the Post-2015 Framework for Disaster Risk Reduction.



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