



# Scaling Up Disaster Risk Reduction In Humanitarian Action

Recommendations for the  
Humanitarian Programme Cycle



**UNDRR**

UN Office for Disaster Risk Reduction

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## Foreword

The world is experiencing an unprecedented moment of fragility and uncertainty. Climate-fuelled disasters are more frequent, intense and unpredictable- and the number one driver of internal displacement over the last decade. Conflict in many parts of the world continues to go unresolved, eroding people's coping capacity, rendering them increasingly vulnerable and resulting in enormous economic loss and human suffering. If that were not enough, an ongoing pandemic has visited tragedy worldwide and forced all of us to change the very way we live, work and relate to each other.

We have no option but to change how we reduce risk and manage crisis. In our increasingly connected world, where risks cascade, we are missing critical opportunities to improve how we reduce risk in humanitarian contexts. Response efforts have typically been focused on short-term needs. Few humanitarian planning documents fully analyse disaster-related risks and the impact of climate in humanitarian settings. Very few humanitarian appeals include disaster risk reduction or climate adaptation efforts. With protracted crises typically making up 80% of the humanitarian portfolio it is important to address root causes of humanitarian needs. By bringing together humanitarian and development actors in protracted settings, we can address both needs and risks. To achieve this, more systematic approaches to risk analysis and planning are required.

The United Nations Office for Disaster Risk Reduction (UNDRR) helps countries put in place the measures they need to reduce disaster risk and avoid creating new risks. To this end, in October 2019 - before COVID-19 encircled the globe - UNDRR, in collaboration with the UN Office for the Coordination of Humanitarian Affairs (OCHA) and partners from across humanitarian, development and disaster risk reduction spheres began identifying gaps and entry points for scaling-up disaster risk reduction in humanitarian contexts, particularly in protracted settings.

The project was launched in conjunction with UN Secretary-General Antonio Guterres' prevention agenda, which called on the United Nations to transcend traditional divides to reduce long-term risks and vulnerability, prevent future crises, build more resilient societies and achieve the Sustainable Development Goals. Priority 4 of the Sendai Framework for Disaster Risk Reduction, further highlights the need to "link ... relief, rehabilitation and development, [and to] use opportunities during the recovery phase to develop capacities that reduce disaster risk in the short, medium and long term."

The humanitarian-development-peace collaboration offers new and exciting opportunities for how aid is planned and financed. This concrete set of recommendations outlines specific actions to better integrate disaster risk reduction into humanitarian response, including identifying disaster risks and incorporating disaster risk reduction through the phases of the humanitarian programme cycle and supporting governments to create legislation and plans supported by funding which include provisions for both climate-related risks as well as conflict-related shocks and stresses.

We hope that this will bring the worlds of humanitarian action and disaster risk reduction closer together, firming up the foundation for sustainable development.

Thank you for your commitment to this and to our common goal of resilience for all.

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# Acronyms

AHA Centre	ASEAN Coordinating Centre for Humanitarian Assistance	FTS	Financial Tracking Service
ARC	African Risk Capacity	GHO	Global Humanitarian Overview
ASEAN	Association of Southeast Asian Nations	HC	Humanitarian Coordinator
CCA	Common Country Assessment	HCT	Humanitarian Country Team
CEA	Community Engagement and Accountability	HDPN	Humanitarian Development Peace Nexus
CERF	Central Emergency Response Fund	HNO	Humanitarian Needs Overview
CIMA	Centro Internazionale in Monitoraggio Ambientale	HPC	Humanitarian Programme Cycle
CoPi	Comité de Pilotage	HRP	Humanitarian Response Plan
CPAD	Centre pour la Promotion Agricole et le Développement	IASC	Inter-Agency Standing Committee
CPP	Cyclone Preparedness Programme	ICVA	International Council of Voluntary Agencies
CSO	Civil Society Organization	IFRC	International Federation of Red Cross and Red Crescent Societies
DRM	Disaster Risk Management	IGAD	Intergovernmental Authority on Development
DRR	Disaster Risk Reduction	ILO	International Labour Organization
EIA	Environment Impact Assessment	INFORM	Index for Risk Management
ERP	Emergency Response Preparedness	IOM	International Organization for Migration
FRDP	Framework for Resilient Development in the Pacific	IRI	Columbia University's International Research Institute for Climate and Society
FSNAU	Food Security and Nutrition Analysis Unit	JADE	Joint Analysis of Disaster Exposure

JSC	Joint Steering Committee to Advance Humanitarian and Development Collaboration	RAPID	Rapid Response Approach to Disasters
JSDGF	Joint Sustainable Development Goals Fund	RC	Resident Coordinator
MIC	Middle Income Countries	REAP	Risk-informed Early Action Partnership
MYHRP	Multi-Year Humanitarian Response Plans	RIMES	Regional Integrated Multi-Hazard Early Warning System for Africa and Asia
NASA	National Aeronautics and Space Administration	RSBR	Risk Sensitive Budget Review
NDMA	National Disaster Management Agency	RTF	Radar Technologies France
NFI	Non-Food Items	SAMOA	SIDS Accelerated Modalities of Action
NGO	Non-Governmental Organization	SDGs	Sustainable Development Goals
OCHA	United Nations Office for the Coordination of Humanitarian Affairs	UNCT	United Nations Country Team
ODA	Official Development Assistance	UNDRR	United Nations Office for Disaster Risk Reduction
ODI	Overseas Development Institute	UNESCO	United Nations Educational, Scientific and Cultural Organization
ODO	Organisation de Développement d'Oicha	UNHCR	United Nations High Commissioner for Refugees
OECD	Organization for Economic Cooperation and Development	UNICEF	United Nations Children's Emergency Fund
PAP-RDC	Programme d'Appui au développement des Populations Forestières et pygmées en RD Congo	USAID	United States Agency for International Development
PDC	Pacific Disaster Center	USGS	United States Geological Survey
PDNA	Post Disaster Needs Assessment	VAMPIRE	Vulnerability Analysis Monitoring Platform for the Impact of Regional Events
		WASH	Water, Sanitation and Hygiene Cluster
		WFP	World Food Programme

## I. About the recommendations

Reducing risk – due to natural, technological and biological hazards, including pandemics – is fundamental to meeting humanitarian needs and achieving sustainable development. In many humanitarian contexts, populations already impacted by conflict, civil strife, pandemics or other disasters are also confronted by growing hazard-related disaster risks, often fuelled by climate change. As a result, underlying vulnerabilities are compounded, capacities are limited, and short-term solutions are ineffective in reducing risk and dealing with the consequences.

Growing attention to humanitarian-development-peace collaboration provides new opportunities to reduce both emerging and existing risks. Emergency needs and humanitarian crises stem from underlying issues that reflect broader inequalities and injustices. Collaboration across the sectors offers an opportunity to address them by simultaneously meeting life-saving needs while ensuring longer-term investment in addressing the systemic causes of conflict and vulnerability.<sup>1</sup>

Ultimately, the approach aims to reduce the impact of cyclical or recurrent shocks and stresses, and support the peace that is essential for sustainable development.<sup>2</sup> The Agenda for Humanity and the Sustainable Development Goals (SDGs) set out to not only meet needs, but to also reduce risk, vulnerability and overall levels of need, outlining a vision for the future in which no one is left behind. (See more on the “New Way of Working” and its potential in Section 2.1.

The recommendations seek to support operationalization of humanitarian-development-peace collaboration through scaling up Disaster Risk Reduction (DRR). This document is informed by targeted interviews, a literature review of global and regional guidance and tools, an Asia-

Pacific regional workshop in Bangkok and a global workshop in Geneva. The research examined how DRR is already featured in humanitarian action and identified both good practices and challenges.

This is not meant to be a “how to” guide nor a substitute for the extensive guidance and tools on effective delivery of DRR; nor is it a substitute for the existing tools supporting implementation of the Humanitarian Programme Cycle (HPC). Instead, it outlines ways to make DRR more integral to humanitarian planning and programming at country and local levels, particularly in more challenging areas.<sup>3</sup> It is intended to help practitioners strengthen risk-informed programming in different phases, while leaving them room to adapt to the country context.

The recommendations recognize that although positions may exist within government or organizations to exclusively address risk reduction, DRR is a collective responsibility for actors working to achieve the 2030 Agenda. Therefore, the recommendations do not target any one group, but are intended to help guide a range of stakeholders. Where indicated, some of the recommendations point to specific actors, but many are broader considerations that any actor committed to DRR could address including:

Resident Coordinators/ Humanitarian Coordinators (RC/HC), United Nations Country Teams/ Humanitarian Country Teams (UNCT/HCTs), Cluster Coordinators, agencies responsible for disaster risk management and individual agencies and organizations.

The HPC is used as a framework to organize different DRR entry points.<sup>4</sup> The tools of the HPC were designed primarily for international responses to large-scale, protracted crises. But especially in Middle Income Countries (MICs), national responses often take the lead over the multi-lateral system. The principles of the HPC, emphasizing needs analysis, planning and monitoring, and resource mobilization, remain good practice whether an HCT, national disaster risk management agency (NDMA), or another actor leads the response. This paper is intended to inform actors from the multilateral system, government, or a combination of both.

## Overarching considerations

**Contextual analysis:** No one approach to DRR will work in all contexts. Hazards, vulnerability, exposure, conflict considerations, the availability, willingness and capacity of actors, funding levels and other factors vary across regions and countries, and even within responses. The type of hazard(s) – sudden or slow-onset, cyclical, unpredictable, along with their cascading impacts – will also determine an appropriate DRR strategy. Institutional, political and policy factors, such as the capacity and political willingness of the state, as well as how much humanitarians work through government systems, also affect the humanitarian response. The roles of politics and power in building resilience also impact how DRR is implemented and with whom.<sup>5</sup> The degree to which humanitarian and development programming are aligned and work together towards DRR outcomes will also vary. For all these reasons, a DRR approach should be derived from analysis of political and power dynamics, and of factors underlying inequality and vulnerability.

**Timing:** Similarly, while the HPC has a defined schedule and process, timelines will vary. Country-specific timing will determine when and how DRR actions can occur. Seasonal hazards may not coincide with the HPC and its funding. Sudden-onset disasters may disrupt an ongoing cycle or prematurely trigger shifts to the next phase. DRR practitioners should engage in all phases of the cycle, including developing and articulating Collec-

tive Outcomes (explained further in section 2.1), to help formulate risk-sensitive and resilience building outcomes. If this cooperation is absent, the HC/HCT or responsible coordinators should seek the support of United Nations Office for Disaster Risk Reduction (UNDRR) for guidance.

**Build on what exists:** Especially in contexts with high capacity and willingness, meaningful DRR does not always require new systems or parallel processes. In Asia-Pacific and many other regions, DRR is an ongoing process, with stakeholders at all levels regularly developing resilience and mitigating risks. Actors in humanitarian and development contexts should build on these national and multi-lateral processes, capacities, and efforts, by working through existing mechanisms.

**Consider the means, not the end:** This document sets out actions which may not be possible to fully complete or realize. It should be used to inform and sensitize actors about integrating DRR within a humanitarian response. It can help raise awareness or advocate with government, donors and partners to jointly strengthen DRR efforts. The process of contextualizing the recommendations may bridge existing gaps that persist across systems and which themselves impede collaborative DRR efforts.

## II. Overarching Disaster Risk Reduction considerations

Many of the recommendations outlined in this document concern linkages and steps within the Humanitarian Programme Cycle (HPC). First, however, this section offers important considerations that fall outside the HPC: working across the humanitarian-development-peace sectors, adopting a human rights-based approach, taking a conflict-sensitive approach, and reducing risk at the local level in humanitarian contexts.

### 2.1 Advancing DRR across humanitarian-development-peace collaboration contexts

In the past, humanitarian crises were treated as discrete events, with actors focusing on short term results with insufficient analysis or attention to addressing their underlying causes.<sup>6</sup> Today, it is widely agreed that there is a need to better align development, humanitarian and peace building efforts, to address root causes and to avoid the protracted and recurrent nature of humanitarian crises. In the wake of COVID-19, the need for disaster preparedness, especially for pandemics, is more urgent than ever. The global pandemic has exacerbated existing vulnerabilities, set development trajectories back, and is already threatening peace and security around the globe.

The importance of DRR has risen across global policy agendas. The 2030 Agenda specifically reflects numerous areas of DRR, as do other policy frameworks such as The Paris Agreement on Climate Change, the New Urban Agenda, the Addis Ababa Action Agenda and the SIDS Accelerated Modalities of Action (SAMOA) Pathway. Deliberate coherence has been built across these agendas which make them applicable not only in development but humanitarian settings as well.

The UN Secretary General's Prevention Agenda reinforces this, calling for all United Nations agencies, funds and programmes to transcend divides to reduce long-term risks and vulnerability, prevent future crises, and build more resilient societies. The Sendai Framework for Disaster Risk Reduction (Sendai Framework) promotes these linkages as well, advocating in Priority 4 for “the link between relief, rehabilitation and development, [and to] use opportunities during the recovery phase to develop capacities that reduce disaster risk in the short, medium and long term.”

In addition, the Grand Bargain Commitment to Action,<sup>7</sup> promotes a “New Way of Working,” which emphasizes working towards collective outcomes<sup>8</sup> across disciplines, over multiple years, based on the comparative advantage of a diverse range of actors, including those outside the UN system.<sup>9</sup> At the country and regional levels, UN agencies, Non-governmental Organizations (NGOs), and donors are operationalizing these concepts through Multi-Year Humanitarian Response Plans (MYHRP) and funding in which actors agree to strengthen existing coordination efforts through shared analysis of needs and risks and to better align planning tools and interventions while respecting the principles of both.<sup>10</sup> The use of MYHRPs has grown significantly over the years; now over half of all HCTs have multi-year plans in place, and 78% of donors reported providing multi-year funding in 2018.<sup>11</sup>

While DRR can be a critical bridge between these sectors, it often falls in the gap between humanitarian and development assistance, with elements that fit into each sphere. Disaster preparedness, for example, dovetails with emergency response, while longer-term mitigation and risk reduction falls within development programmes.<sup>12</sup> The policy shifts on both sides encourage the dissolution of these distinctions, yet both sides experience gaps in DRR implementation.

On the development side, research by the Overseas Development Institute (ODI) reveals a tendency to take a single-hazard approach, usually to a natural hazard, without acknowledging multiple, concurrent or emerging global threats.<sup>13</sup> The COVID-19 pandemic has revealed that these threats are inter-linked and require cross-sectoral efforts – spanning humanitarian, development and even public health interventions to address them.

Addressing underlying vulnerabilities requires more flexible and context-adaptable programming which development actors may not have the risk appetite for, nor the flexibility or nimbleness to address.<sup>14</sup> Risk blind or maladaptive development practices can make already fragile environments more susceptible to hazards, increasing risk and humanitarian needs. This has been demonstrated during the COVID-19 pandemic, as weak health systems have struggled to contain the disease and effectively prevent and treat it. The Companion Piece Package for the United Nations Sustainable Development Cooperation Framework (Cooperation Framework) advises that especially in countries facing slow-onset or recurrent disasters, protracted displacement or other hazards, development planning, including the Cooperation Framework, should support humanitarian actors to reduce risk and build resilience.<sup>15</sup>

At the same time, the humanitarian system is weak at disaster risk management as it is structured to be responsive, not anticipatory. It has been slow to adapt to the new reality that crises, including pandemics, require specific skills, approaches and partnerships to deal with different types of risk.<sup>16</sup> In some contexts, however, emergency response actors are moving beyond responding to immediate needs. Some are considering actions that reduce future vulnerability or the impacts of their actions on long-term recovery, such as how delivery systems reinforce or undermine development objectives, or how temporary relief camps can become permanent neighbourhoods.

### How can DRR be better integrated across the humanitarian, development and peace sectors?

Aligning humanitarian, development and peace efforts to strengthen DRR does not happen automatically, and will require deliberate efforts such as complementary, risk-informed programming and financing, improving coordination, and consolidating risk data and analysis, as outlined in various sections of this document. It is an opportune time to capitalize on the momentum around the UN reform process, climate change adaptation, the Secretary-General's Prevention Agenda, the multisector COVID-19 Global Humanitarian Response Plan, and the ongoing joint analysis happening in countries through MYHRPs to raise the visibility and criticality of DRR actions. As attention is now focused on ways to collectively mitigate the impacts of COVID-19, recover better and prevent future pandemics, this is also an appropriate opportunity to invest in these necessary linkages.

At the global level:

#### 2.1.1 Humanitarian actors and UNDRR:

**DRR should be more clearly integrated into the IASC Results Group 4 on Humanitarian Development Collaboration**, which is already working towards addressing the thematic issues of reducing risks and vulnerabilities to affected populations. UNDRR should play a strategic and active role in this Results Group to ensure DRR expertise is embedded in policy formulation.

#### 2.1.2 UNDRR and Global Clusters:

**Strategically collaborate and identify cluster-specific actions** so that these recommendations can be rolled out when Clusters are established At the country level after a disaster.<sup>17</sup>

### Good practice examples

Core commitment 10.4 of the Grand Bargain explicitly calls on humanitarian actors to perform joint multi-hazard risk and vulnerability analysis, and multi-year planning where feasible and relevant, with national, regional and local actors in order to achieve a shared vision for outcomes. Under guidance of the Secretary General's Joint Steering Committee to Advance Humanitarian and Development Collaboration (JSC), seven priority countries have been working towards achieving Collective Outcomes. A number of these are explicitly related to reducing disaster risk, including:

- **Burkina Faso:** *Climate induced hazards: reduce the number of households vulnerable to climate shocks to less than 1% and increase the number of institutions with disaster risk reduction capacity by 50%*
- **Somalia:** *Durable solutions: Risk and vulnerability reduced and resilience of internally displaced persons, refugee returnees and host communities strengthened in order to reach durable solutions for 100,000 displaced households by 2022.*
- **Climate-induced hazards:** *Proportion of population affected by climate-induced hazards (drought and flood) reduces by 25 % by 2022.*
- **Mauritania** *(has chosen to call it "common outcomes"): Institutions and communities contribute to sustainable management of natural resources, and to anticipate/respond to crises and to the effects of climate change.*

At the country level:

**2.1.3 Governments, with support of UNDRR: Facilitate a multi-stakeholder platform for DRR.** A more practical and flexible approach to managing risk, one that transcends institutional mandates, is needed. When possible, government, should convene a national level platform spanning the humanitarian, development, human rights, public health, climate change adaptation and other related sectors as well as civil society and representatives of the affected population. As a preparedness measure (see more in Section 3.1), initiate a dialogue around the consequences of not attending to risk and what impact this would have on SDG achievement and human rights. Map the required actions, stakeholder capacities (especially civil society and local NGOs), roles, timing, and coordination models for prevention, mitigation and response phases. By visualizing functions and responsibilities, capacities and limitations, it is possible to identify the synergies, gaps and opportunities in risk minimization as well as the opportunities to build long-term resilience.

#### Good practice examples

- *The Framework for Resilient Development in the Pacific (FRDP) outlines the region's progressive and integrated approach to DRR. Governments in the Pacific established a Pacific Resilience Partnership in 2017 to support countries in implementing the FRDP, with numerous technical groups from multiple sectors - including on risk governance, disaster risk finance, human mobility - on which international stakeholders collaborate.*
- *From late 2017, the Government of Ethiopia, recognizing that humanitarian action needed a longer term approach in order to strengthen the national capacity to address both chronic and acute needs, developed the 2018 Humanitarian and Disaster Resilience Plan (HDRP) along the three pillars of prevention and mitigation; preparedness and response; and system strengthening and recovery. UNICEF Ethiopia and the WASH Cluster aligned their respective response with the priorities and strategies of the HDRP accordingly planned to allocate 40% of its humanitarian funds for durable solutions in 2018.*

### Good practice examples

- *The Intergovernmental Authority on Development's (IGAD) investment mapping work was designed to give IGAD the ability to quickly visualize the risk of drought across the Horn of Africa while tracking resilience investment.*
- *In 2018 and 2019, UNDRR's Regional Office for Africa and its technical-scientific partner CIMA Research Foundation, worked with the NDMA in 16 sub-Saharan African countries to develop country-level disaster risk profiles. These risk profiles provide a comprehensive view of hazard, risk and uncertainties for floods and droughts over the next 50 years. They also include an estimation of monetary losses (Average Annual Loss and Probable Maximal Loss) for different sectors identified by the targets of the Sendai Framework. In 2019, additional metrics were included for drought risk, reflecting a need to increase quantitative assessment for food security. Results of the risk profiles, in the form of detailed graphic reports and data layers (estimated losses, exposure), are available on an [online portal](#) in a format readily available to view and to plug into other risk analyses.*

### 2.1.4 Humanitarian and development actors:

**Overlay risk analysis with development programme coverage to reveal where geographic and strategic mismatches exist.** Development actors tend to avoid the high-risk areas where humanitarians are typically operating. This discrepancy can become an obstacle to implementing a joint multi-year strategy and reducing long-term risks.

Mapping resilience investments overlaid with risk analysis will also show where to adjust both humanitarian plans and development frameworks for action. Where possible, the exercise should be done with both development agencies and government. Development actors should consider commissioning studies to demonstrate the feasibility and cost-efficiency of investing in these areas, as well as the cost-efficiency reaped from safeguarding development gains and reducing the need for humanitarian action.

UNDRR can support national governments to conduct risk analysis through the development of disaster risk profiles. The risk sensitive budget review methodology and the Organization for Economic Cooperation and Development (OECD) policy marker for DRR can also be used to help analyse resilient investments from domestic and international resources.

### 2.1.5 Humanitarian and development actors:

**Ensure that early action works through existing social services, social protection systems and safety nets.** Shock-responsive social protection systems are an avenue to promote joint action, and research shows it is possible to work with many types of social protection instruments in crisis settings.<sup>18</sup> As social protection systems grow in low- and middle-income countries, and as the use of cash becomes more common in humanitarian response, the two should be integrated for greater efficacy and sustainability. Integrating forecast-based financing cash distributions within mature social safety net programmes to respond to seasonal humanitarian crises can reach more people early on, support faster recovery, and stabilize livelihoods at a lower cost. For example, a small injection of anticipatory cash through Oxfam's forecast-based financing helped elderly people in Malawi hire youth to move livestock to safe ground before a flood. The impact of the disaster was less severe, and recovery was faster. (See also Section 3.1.4)

### 2.1.6 Humanitarian actors:

**When appropriate, humanitarian actors should request that DRR actions be taken up by the development community.** If, for example, there is a gap in early warning and incident command systems that could fall under development investment and responsibility rather than humanitarian response, this should be clearly communicated to development partners for uptake and action.

### Support tools

[International Labour Organization \(ILO\) Recommendation No. 205](#) guides governments and organizations of employers and workers to focus on recovery and reconstruction in post-conflict and disaster situations, but also on root causes of fragility and preventive measures.

[Social Protection across the Humanitarian-Development Nexus: A Game Changer in Supporting People through Crisis](#) provides guidance on working through social protection in crisis contexts including why and how it can be done.

[The Risk-informed Early Action Partnership \(REAP\)](#) is a new resource and global partnership convening the humanitarian, development and climate communities, to drive and unify standards, and increase targets for forecast-based action and investment.

### Good practice example

*Landslides and flash flooding in the Rohingya refugee camps are triggered every time it rains during the four-month long rainy season. Forecast information is critical to plan the response and was extensively discussed in the weekly Emergency Preparedness Working Group meeting in Cox's Bazar. While not operational in the refugee camps, United Nations Development Programme (UNDP) attended the meetings as the government's long-standing partner on DRR. Responding to the humanitarian agencies' need for more specific forecast information, UNDP initiated a partnership with the Bangladesh Meteorological Department and the Regional Integrated Multi-Hazard Early Warning System for Africa and Asia (RIMES) to develop better forecasting and install an automated weather station in the camps. Utilizing the existing modelling capacities of the national meteorological department, the government, humanitarians and development actors are now co-designing sub-district level forecast products to enable anticipatory action in the 2020 monsoon season.*

## 2.2 A principled, equitable and human rights-based approach to DRR

Social, political and economic systems shape the inequalities that drive vulnerability and worsen risk for some members of society. Refugees, migrants, the internally displaced, women and girls, and other groups facing poverty, marginalization and discrimination, and other vulnerable populations (such as children, the elderly and persons with disabilities) are most at risk and feel the worst impacts of shocks and stresses.<sup>19</sup>

Some national DRR policies and resilience programmes exclude these groups due to power relations that favour certain people over others.<sup>20</sup> Furthermore, where national disaster management structures mirror formal administrative divisions, people living in marginal settlements such as slums, indigenous communities and people in displaced persons camps often end up de facto excluded from DRR funding, infrastructure, risk mapping, preparedness actions and first responder services.

The guiding principles of the Sendai Framework recognize the importance of “promoting and protecting all human rights, including the right to development.” The [2015 Global Assessment Report](#) reinforces this imperative, noting, “regardless of ... ambitious policies on natural disasters ... if such basic issues like the human rights protection and empowerment of local community [are] missed, this impedes the efficiency and effectiveness of efforts to reduce or manage disaster risk.”<sup>21</sup>

### How can a human rights-based approach inform integration of DRR in humanitarian response?

As more governments, especially those of MICs take a leading role in humanitarian response, humanitarian actors must ensure that basic human rights principles and minimum standards (such as the [Core Humanitarian Standard](#) and [Sphere Standards](#)) are also met for DRR, so that investments are principled, needs-based and focused on the most vulnerable. DRR should be framed as part of the core rights- and needs-based mandate of humanitarians. For affected people it is not an add-on, but part of their holistic risk consideration and set of needs. Understanding and addressing intersecting inequalities and their effects on people’s needs reinforces this human rights-based approach.

Recent ODI research on the interplay of risk, conflict and human rights finds that a human rights approach to DRR may identify actions to support socio-economic-political transformations that tackle inequality and inequitable resource distribution.<sup>22</sup> It cautions actors to also consider how design and delivery of DRR programmes can unintentionally reproduce deep-rooted systematic inequality and marginalization.<sup>23</sup>

At the country level:

### 2.2.1 All actors:

**Ensure that hazard and risk assessments, plans and mitigation actions meet basic principles of accountability, participation, non-discrimination and inclusion.**

This will require:

- Risk assessment data disaggregated by various vulnerability conditions. This includes disaggregation not only by age and gender, but also using this data to determine the specific vulnerability women and girls face as a result of gendered norms and expectations, and the roles and responsibilities they take on at the family and community level. Other vulnerability conditions including socio-economic status, disability, sexual orientation, migration and displacement status, and other features of marginalization are also needed to understand the ways in which disasters, including pandemics, impact people differently.
- Protection strategies that are informed by consultations with affected people on the full spectrum of risks perceived by that population, including man-made, technical and natural hazards, and pandemics. Established [protection guidelines](#) and [Sphere Standards](#) should also be followed in evacuation centres and displacement sites.
- Working with development actors to improve evacuation centre, displacement site and isolation treatment site conditions. This includes location and design features that do not deter particular groups such as women and people with disabilities (privacy, safety issues) or migrants (language and trust barriers, right to find assistance) from accessing them, and do not further risk harm or violence, including gender-based violence.
- Including persons with disabilities, LG-BTIQA, women, adolescents, migrants and other vulnerable groups in capacity assessments, DRR planning and coordination, and investing in their capacity to enable them to actively contribute to these processes.

### Support tools

International Federation of Red Cross and Red Crescent Societies (IFRC) [2016 World Disasters Report](#) includes several actions to prevent exclusion and inequality by:

- improving the ability of organizations to understand risks faced by marginalized groups, and cultivating politically smart strategies to redistribute risk;
- committing to preventing exclusion and inequality in DRR and resilience programming;
- generating political will and sustained capability to understand, anticipate and address the dynamics of power, politics and risk across developmental and humanitarian policy and practice;
- listening to those who bear an unjust burden of risk and committing to addressing barriers that exclude and marginalize groups.

Developed under a UNDP/Government of Bangladesh project, and adopted in the country's disaster management framework, Bangladesh's [Community Risk Assessment tool](#) is recognized as good practice on inclusive risk assessment methodology and group-specific analysis of vulnerabilities.

UNDRR's [Words into Action, Implementation guide for local disaster risk reduction and resilience strategies](#), recommends participatory approaches.

IFRC's [Enhanced Vulnerability Capacity Assessment](#) is a community-based tool to diagnose areas of risk and vulnerability, determine what action can be taken, and identify local capacities to address them.

Migrant's in Countries of Crisis Toolkit on [Engaging Migrants in Emergency Preparedness and Response](#) provides guidance to emergency management actors on how to promote the participation of migrants in emergency awareness, preparedness and response activities.

FAO's Conflict-sensitive Programme Clinic, is a structured participatory analysis designed to identify and integrate conflict-sensitive strategies into the design and implementation of FAO interventions. The Programme Clinic allows staff from the decentralised offices to facilitate the process without relying on external expert facilitation.

## Support tools

Nansen Initiative Protection Agenda, a state-led bottom-up consultative process to identify effective practices of governments on the protection and assistance needs of persons displaced across borders in the context of disasters.

Global Compact for Migration, can support advocacy, especially Objective 2: Minimize the adverse drivers and structural factors that compel people to leave their country of origin; and Objective 5: Enhance availability and flexibility of pathways for regular migration, include sections on natural disasters, the adverse effects of climate change and environmental degradation.

The Words into Action on Disaster Displacement offers practical guidance to help government authorities integrate disaster displacement and other related forms of human mobility into regional, national, sub-national and local DRR strategies.

Central America regional guide presenting practices and measures to help address the protection needs of cross-border disaster-displaced persons.

South America regional instrument on the protection of people displaced across borders and on migrants in countries affected by disasters linked to natural hazards.

### 2.2.2 All actors:

**Collaborate with National Human Rights Commissions and other national protection bodies to help embed human rights principles into DRR, preparedness and resilience-building efforts.** Human rights lawyers and experts should be closely engaged at the outset of humanitarian/DRR planning, including in the formulation of DRR legislation, to ensure practitioners understand communities' rights and help identify what rights may be violated should DRR not be taken into account. This could be done through a human rights/DRR/prevention checklist.

### 2.2.3 Governments:

**When displacement is unavoidable in the context of disasters and climate change, governments should support more predictable humanitarian and temporary stay arrangements.** Boundaries rarely constrain hazards and stresses like drought or floods. The Sendai Framework's Priority 2 acknowledges the need to "promote transboundary cooperation to enable policy and planning for the implementation of ecosystem-based approaches." Cross-border issues and dynamics require attention and collaboration between states, however international refugee and human rights law offers limited protection to disaster displaced persons.

Governments should use tools at their disposal such as bilateral agreements, humanitarian visas, targeted use of existing migration categories, and discretion on humanitarian grounds for those displaced across a border after a disaster.<sup>24 25</sup> They should also strengthen implementation of the UN Office for the Coordination of Humanitarian Affairs (OCHA) 2004 Guiding Principles on Internal Displacement, which sets out people's needs and entitlements in different phases of displacement.<sup>26</sup> Irrespective of governing international, regional or local laws, women and girls are often subject to gender-based violence, trafficking, and exploitation, and explicit protection for this group is needed.

## 2.3 A conflict-sensitive approach to DRR

The number of people impacted by global conflict is rising; at the beginning of 2018, there were 36 active highly violent conflicts, one year later that number jumped to 41.<sup>27</sup> Where conflict and climatic events come together, the impact is particularly devastating. The [2020 Global Humanitarian Overview](#) reports that the world's eight worst food crises are all linked to both conflict and climate shocks. In sub-Saharan Africa, combinations of conflict, floods, droughts and other natural hazards led new internal displacements to double in just three years (2015–2018).<sup>28</sup>

Recent ODI research<sup>29</sup> and a United Nations High Commissioner for Refugees (UNHCR) 2018 [study](#) on international protection in contexts of natural hazards and conflict have noted their complex and intertwined nature. The two can be mutually reinforcing, as insecurity erodes resilience to disaster, spurring more conflict. Countries experiencing violent conflict or fragile governance are least likely to be able to respond to disasters and adapt to climate change. Yet in settings of conflict or displacement, there are gaps in understanding and responding to natural hazards, few tools to address DRR and many competing priorities and agendas. Humanitarians may struggle to identify implementing partners to programme DRR, due to a variety of factors, including under-resourced government counterparts.

### How can a conflict-sensitive approach be adopted for DRR?

Each person has a multi-faceted hazard and risk landscape to deal with, trading off risks from natural hazards, communal violence or conflict, and a variety of everyday hazards. DRR approaches must therefore be conflict sensitive, seeking opportunities to redress power imbalances and making sure not to perpetuate or fuel conflict dynamics. Conversely, DRR concepts and approaches must also be integrated into humanitarian responses to conflict.

At all levels:

#### 2.3.1 All actors:

**Challenge the notion that DRR is impossible in conflict settings.** The idea that peace and security are prerequisites for DRR has discouraged its integration in conflict settings, even after years of humanitarian presence.<sup>30</sup> This should be disputed. While humanitarians must maintain a principled and impartial approach in these settings, mayors or other local leaders not linked to the agendas of national government can be strong partners for DRR. Targeted support can help these local officials design and deliver subnational DRR strategies that support conditions for peace rather than exacerbating existing conflict.<sup>31</sup>

At the global level:

#### 2.3.2 Humanitarian actors, human rights actors and UNDRR:

**Provide clearer guidance, tools, definitions and approaches specific to programming DRR in conflict settings.** The low capacity and know-how of DRR in conflict settings results in lack of evidence on the importance of DRR and its added value in these settings, making it difficult to advocate among governments, donors and humanitarian actors. Tools and approaches should be disseminated, accompanied by training and awareness raising for key actors such as RCs/HCs and governments on the unique features of applying DRR in a conflict setting. Capacity strengthening of relevant national and local civil society partners should also be encouraged.

### Good practice examples

- A UNDP and UNDRR community resilience programme in Mauritania integrates the concept of human security into the DRR approach. The Building Resilient Communities in Somalia consortium has implemented a conflict-sensitive programme as part of its drought and flood mitigation work to ensure conflict did not increase vulnerabilities to drought.<sup>32</sup>
- The International Organization for Migration's (IOM) resilience-building work often takes place in parallel with community stabilization and conflict prevention activities. In many such contexts, environmental change is an underlying concern for communities, often affecting resource scarcity and intra-communal tensions. Responses need to address these longer term environmental and social concerns. IOM has done so in places like Kenya, Papua New Guinea, Mauritania and the Lake Chad area by promoting community dialogues and joint management of natural resources in order to support peaceful and sustainable relationships among mobile people (including displaced persons, refugees, pastoralists, and returnees) and their host communities.
- In 2005-2006, the United States Agency for International Development (USAID), United States Geological Survey (USGS), Radar Technologies France (RTF), and United Nations Educational, Scientific and Cultural Organization (UNESCO) collaborated in Darfur on a groundwater exploration project, called the WATEX Process. The purpose of the project was to prevent eroding water resources and address the need for safe drinking water, while protecting water resources for future generations. Numerous challenges existed including limited reliable hydrogeological information, and a lack of understanding of the aquifer characteristics or water resources needed to develop ground water sources, resulting in an inability to plan, organize, and implement an effective potable water strategy. The WATEX process helped address these knowledge gaps, through the use of radar and optical remote sensing combined with examining geomorphologic features and climatic data to reveal buried aquifers, and identify drilling locations. Potential water drilling site maps and drilling manuals were produced, accompanied with training. They have been used by UNICEF to provide water to IDPs.

At the country level:

#### 2.3.3 Humanitarian actors:

**Consider conflict adaptability and capacities when conducting risk analysis.** Risk analysis in contexts of protracted conflict should deliver a deeper understanding of how a community or society has changed and adapted in response to the pressures of conflict.<sup>33</sup> It should consider the community's capacities and mechanisms for providing protection and meeting basic needs, and importantly, whether they can be sustained if the conflict continues, and if they are compatible with peace.<sup>34</sup>

This insight into resilience should inform humanitarians about community capacities, how these have been leveraged to adapt to conflict, and to what extent those adaptations are compatible with actions required to reduce risks posed by a variety of hazards.<sup>35</sup> (See also Section 3.2)

#### 2.3.4 Humanitarian and peace building actors:

**Use DRR as an entry point for peace building and conflict resolution.** In some situations, DRR can be a neutral entry point to tackle sensitive issues. For example, technicalities of water fees and waste management for displaced persons have served as discussion starters, bringing different sides together before broadening to larger peacebuilding issues.

### Good practice example

*In Afghanistan, IOM uses the construction of small-scale flood management infrastructure to support community stabilization initiatives through livelihood support, community dialogue and participation, and capacity building.*

#### 2.3.5 Governments with the support of UNDRR:

**Create legislation and plans which include provisions for both climate and pandemic-related risks as well as conflict-related shocks and stresses.** In some countries, laws governing response to man-made hazards are separate to those for natural hazards with weak linkages between them, leading to confusion on roles and responsibilities. Risk analyses should identify overlaps between the two, which should feed into legislation drafting.

### Good practice example

*In Sudan, UNDP has worked with community leaders and health authorities to help fight COVID-19 including the establishment of 150 community management committees, peace committees, natural resource groups, police networks, volunteer groups, and other organizations across 12 states.*

## 2.4 Reducing risk at the local level in humanitarian contexts

Local level knowledge and practices have been recognized in many contexts as critical assets in addressing risk. The Sendai Framework reinforces this, advising under section V. *Role of Stakeholders* that “Civil society, volunteers, organized voluntary work organizations and community-based organizations to participate, in collaboration with public institutions, to, inter alia, provide specific knowledge and pragmatic guidance in the context of the development and implementation of normative frameworks, standards and plans for disaster risk reduction; engage in the implementation of local, national, regional and global plans and strategies; contribute to and support public awareness, a culture of prevention and education on disaster risk; and advocate for resilient communities and an inclusive and all-of-society disaster risk management that strengthen synergies across groups, as appropriate.”

Despite this recognition, projects by local level actors often struggle to expand and scale good practices. Conversely, promising tools at the national and global levels are not consistently applied at the local level. This is especially true for risk forecasting, communication and awareness tools, especially with indigenous and vulnerable populations. Challenges also exist in refugee settings, where populations are disconnected from and unfamiliar with the local hazards.

### How to strengthen DRR at the local level?

Aside from the actions below, recommendations on local level DRR are referenced throughout the document (specifically in sections related to Preparedness, Strategic Planning, and Resource Mobilization).

At the country level:

#### 2.4.1 Humanitarian and development actors and governments:

**Map local stakeholder capacities such as religious groups, civil society organizations, youth organisations, women's rights groups and women-led organisations** – which have unique abilities to reach and understand needs of communities, and enhance their leadership around DRR. Use horizontal capacity exchanges to share expertise, and to learn from and support their efforts to scale up DRR. Networks like the International Council of Voluntary Agencies (ICVA) have broad reach and knowledge of the local organizations working in different regions.

#### Good practice example

*Some areas of the Democratic Republic of Congo are surrounded by rebels, resulting in critical access challenges for international agencies. During the Ebola crisis, local actors in these areas had community acceptance but they lacked knowledge on prevention and treatment. Oxfam instituted a capacity exchange with local actors – Comité de Pilotage (CoPi), Centro Internazionale in Monitoraggio Ambientale (CIMA), Centre pour la Promotion Agricole et le Développement (CPAD), Programme d'Appui au développement des Populations Forestières et pygmées en RD Congo (PAP-RDC), Organisation de Développement d'Oicha (ODO), Forum Humanitaire de Oicha – who shadowed Oxfam's operations and learned about hygiene promotion, while imparting their own knowledge on community engagement. Both sides learned from this exchange which recognized and valued the different capacities.*

#### 2.4.2 Humanitarian actors and governments:

**Help ensure national policies reach communities.** Politicization, budgeting and weak enforcement can impact the extent to which national policies benefit local communities and the options they have for prevention and mitigation. Ensure that national frameworks, which can be somewhat generic, are implemented and nuanced enough to be applicable to the risks faced by different segments of the population such as those living in coastal vs. mountainous areas or urban vs. rural populations.

#### 2.4.3 Development actors and governments:

**Promote DRR at sub-national level through development planning and funding.** Implementation of national DRR policies can be scattered and unsystematic, especially where governments are decentralized, and municipal governments have discretion to allocate the funds. Sub-national government and civil society require support to build their own resilience, including the capacity to analyse and articulate how ongoing humanitarian emergencies are affecting DRR needs and preparedness efforts in their specific local situation. They are also well positioned to advocate for changes in risk reduction and the adaptations needed in the national framework.

#### 2.4.4 Humanitarian and development actors:

**Women play a critical role in strengthening DRR at the local level.** Engage women to hear their perspectives, share their experiences, impact their local knowledge and their understanding of how best to mitigate impact, and what interventions, regulations and policies make sense along with how to reach local communities and families so that DRR is implemented meaningfully and sustainably.



### III. Recommended actions for DRR within the humanitarian programme cycle

This section provides recommendations for building DRR into humanitarian response through the phases of the humanitarian programme cycle: Preparedness, Needs Assessment, Strategic Planning, Resource Mobilization, and Response Monitoring.

## 3.1 Preparedness

Emergency response preparedness reduces risk and builds the resilience of vulnerable and at-risk communities. The Inter-agency Standing Committee (IASC) describes preparedness as the “ability of governments, professional response organizations, communities and individuals to anticipate and respond effectively to the impact of likely, imminent or current hazards, events or conditions. It means putting in place mechanisms which will allow national authorities and relief organizations to be aware of risks and deploy staff and resources quickly once a crisis strikes.” These actions not only save lives and reduce suffering as part of the humanitarian mandate, but also increase the value of money for relief action and ensure scarce resources go where they have the greatest impact.<sup>36</sup>

The [IASC’s Emergency Response Preparedness \(ERP\)](#) approach enables the international humanitarian system to engage proactively on emergency preparedness through three components: Risk Analysis and Monitoring, Minimum Preparedness Actions and Advanced Preparedness Actions. The ERP approach can complement development efforts, such as through a Cooperation Framework that seeks to build national and local resilience. Actors should refer to the ERP at the outset to determine which parts have not been undertaken in a given context, and identify capacities needed to fill these gaps.

A new ERP has been drafted specifically for COVID-19: [IASC Emergency Response Preparedness \(ERP\) Approach to the COVID-19 Pandemic](#). It is a short technical step-by-step guide aimed at non-HRP countries to support the development or strengthening of preparedness measures to ensure that country teams are operationally ready to implement activities to address the potential non-health impacts of the COVID-19 pandemic and its compound effect on existing risks. This should be referenced for specific guidance related to COVID-19 and other pandemics.

### How does preparedness relate to DRR?

Emergency response preparedness is itself a risk reduction exercise, as preparing for disasters is critical for building the resilience of vulnerable and at-risk communities. Priority 4 of the Sendai Framework recognizes the “need to further strengthen disaster preparedness for response, take action in anticipation of events, integrate disaster risk reduction in response preparedness and ensure that capacities are in place for effective response and recovery at all levels.”

Different levels of preparedness must be considered, including institutional preparedness, (i.e. stockpiling relief items, having standby partnership agreements in case of a disaster, contingency plans for continuing of basic services, and plans for responses for anticipated adverse effects such as an increase in gender-based violence etc.) and community level preparedness, (i.e. sensitizing the community about hazards and planning for evacuation). There may also be different considerations depending on the context such as preparedness for further natural hazard impact within a response to a disaster which has already taken place (such as 2019's back-to-back Cyclones Idai and Kenneth in Mozambique), or preparedness for natural hazard impact within an ongoing conflict, pandemic or refugee response (such as COVID-19 and the port explosion in Lebanon). While the preparedness process is itself the same, there may be different considerations, actors involved, or approaches needed.

Numerous guides on preparedness exist (see Support Tools highlighted under section 3.1.3) and the below recommendations do not substitute for that more comprehensive advice. These recommendations are based on gaps identified during the research that informed this document.

At the country level:

### 3.1.1 Humanitarian and development actors and governments:

**Review and test contingency plans.** Although in some contexts, contingency plans are co-developed or reviewed with government and relevant counterparts, in some countries, they may be internal to organizations, outdated, single-hazard, not reflective of in-country capacities or mis-aligned with government contingency plans and early warning systems. A review of contingency plans across agencies, with the government, at sub-national levels in particular, can ensure they are aligned, actionable and reflect risk conditions including pandemics. During the review, consider:

- How historical data on disaster events (collected through disaster loss databases), as well as hazard and vulnerability assessments (done by development partners), inform these contingency plans.
- If contingencies exist for all Sendai Framework hazards (natural or man-made) as well as conflict, and the roles and responsibilities for when hazard and conflict situations intersect.
- Whether triggers and indicators for seasonal and sudden onset events are included for early action and financing. Triggers should be unambiguous and possible to monitor in real time (for example, rainfall data may not be available in real time). They should be pre-agreed by government to circumvent the need for official emergency declarations (which may delay response operations), and to ensure government and non-government anticipatory action is triggered simultaneously to maximize synergy and minimize gaps. Clusters should make sure to include and check early warning indicators, especially for slow-onset disasters such as drought (for example, nutrition checks or school attendance rates) which may not feed into early warning systems.
- To what extent contingency plans reflect the local context and its capacities, hazard profiles, population composition, funding arrangements and necessary coordination structures within a given context or even response. For example, in Bangladesh, contingency plans for monsoons in one camp may not apply to a smaller neighbouring camp. Hazard profiles vary, and some camps have mixed host/refugee settlement patterns that require greater coordination with local disaster management authorities.
- Reference to business continuity plans, which should incorporate measures for staff security.

## Support tool

Rapid Response Approach to Disasters (RAPID): OCHA's Regional Office for Asia and the Pacific developed a lighter, flexible approach to humanitarian and development agency disaster preparedness. The RAPID approach supports preparedness at the country-level, with a focus on identifying the role of the international community in supporting a nationally-led response.

### 3.1.2 Humanitarian and development actors: Collaborate with Community Engagement and Accountability (CEA) colleagues for improved risk communication.

Communication around risk and early warnings may not adequately influence behaviour or provide practical advice on mitigating impacts, particularly for common risks. Effective messaging is closely related to the degree of understanding of social norms, local knowledge, communication and lifestyle factors.<sup>37</sup> With CEA support:

- Identify the full spectrum of risks faced by people – not just for natural hazards, but also for conflict, gender-based violence including intimate partner violence, communal tensions, pandemics, etc.
- Develop communication strategies for DRR which go the “last mile” to reach communities and local municipalities in their local language or jargon, with culturally and socially appropriate messaging. Municipalities and other local actors may be confused by technical DRR language, even if they are doing DRR as part of their regular work. Put appropriate measures in place to reach displaced populations who may not have access to typical communication systems.
- Adapt local early warning systems to migration crises and displacement settings. Understanding of local hazards and awareness of early warning systems among new arrivals to an area, including newly displaced persons and incoming migrants and refugees, is typically low. Social media, crowdsourcing and other digital knowledge sharing can be used to promote DRR efforts, while strengthening ties between and among humanitarian actors and communities. Technology should not be seen as the only solution, Civil Society Organizations (CSO) or community networks are often just as effective as technology-based responses. Adaptation must be iterative, with CEA colleagues listening to newcomers’ lived experience in their new settings as well.

### Good practice examples

- *The Rohingya refugee response has effectively built on Bangladesh’s Cyclone Preparedness Programme (CPP). One of the largest preparedness programmes in the world, it provides early warning to coastal communities. The Red Cross Red Crescent Movement, UN agencies, and NGO partners have worked closely with each other and CPP, relevant ministries and local officials to expand the system within camp settlements. This has included adapting warnings and training temporary refugee CPP Camp Volunteers on basic disaster preparedness, community risk assessment, early warning system protocols and mock drills. Extensive community training raised awareness and communicated risks and protection measures for these hazards.*
- *In 2018, following an assessment of labour market gaps, FAO developed a vocational training programme in Turkey for both Syrian refugees and host community members on food processing and agricultural production techniques. The programme links trainees to employment opportunities with local companies and through job fairs and in 2018 reached almost 1,500 families.*

- Include communities in the design, implementation, monitoring and evaluation of preparedness plans.
- Expand feedback channels to include people's perception of risk and the effectiveness of risk reduction efforts.
- As part of the exit from a response operation, go through a lessons learned exercise with affected communities to identify what they could do differently in the event of another disaster. Questions to consider: What were the factors that led from a hazard event to a disaster? Why did the event lead to displacement? What could have been put in place so the impact was not as great? What prevention measures were missing for you and your family? Those lessons will contribute to strengthen future preparedness efforts and build the resilience of the community to disasters.

### 3.1.3 Humanitarian actors:

**Provide ongoing DRR training.** High turnover of humanitarian staff and frequent government rotations can stall risk reduction and preparedness planning and programming. Staff inductions should include risk features of a given context, information on early warning procedures, and seasonal risks, as needed. Regional training opportunities should be identified as well.

### 3.1.4 Humanitarian and development actors:

**Prepare for the use of cash.** Cash-based assistance builds resilience for the poorest and most hazard-exposed households, helping them protect productive assets and minimize negative coping strategies after a disaster. Greater cash preparedness first requires a market analysis to determine feasibility, and stronger coordination between pre-existing social protection systems and humanitarian, multi-purpose cash programming. Actors should prepare data, such as unified registries of vulnerable households, targeting systems, or inventories of possible payment networks.<sup>38</sup> Pre-agreements with government on beneficiary selection criteria and required documentation can be necessary as often not all people at risk are enrolled in social safety nets. (See also 2.1.5).

## Support tools

UNDRR's Words Into Action: Enhancing Disaster Preparedness for Effective Response, highlights key principles and required actions outlined in the Sendai Framework to enhance disaster preparedness for effective response. The document also lists reference guides on Enhancing Disaster Preparedness, broken down by theme and stakeholder.

UNHCR's Preparedness Package for Refugee Emergencies defines actions in displacement situations.

UNEP's Awareness and Preparedness for Emergencies at Local Level provides a process to improve community awareness and preparedness for technological hazards and environmental emergencies.



## 3.2 Needs assessment and analysis

Needs Assessment and Analysis, as defined by the IASC, is a coordinated approach to the assessment of an emergency and the prioritization of the needs of affected people. It lays the foundation for a coherent and efficient humanitarian response. Needs assessment and analysis provides the evidence base for strategic planning, as well as baseline information for situation and response monitoring systems. It is a continuous process throughout the HPC, leading, in internationally-led responses, to a humanitarian needs overview (HNO).

### How does needs assessment and analysis relate to DRR?

Priority 1 of the Sendai Framework calls for policies and practices for disaster risk management based on understanding disaster risk in all its dimensions of vulnerability, capacity, exposure of persons and assets, hazard characteristics and the environment. A main challenge for multi-year humanitarian planning processes is limited consolidation of information and analysis beyond current needs, and exclusion of risk and underlying vulnerabilities. There is agreed consensus that humanitarian responses should be better informed by systematic risk assessments. The past few years have shown significant progress in risk analysis, for example through the Food Security and Nutrition Analysis Unit (FSNAU) in the Horn of Africa, or through the Index for Risk Management (INFORM) and its global/regional/country rollout.

In 2019, the IASC updated the humanitarian needs overview to include a section on Risk Analysis and Monitoring of Situation and Needs. This is the first specific guidance to analyse and incorporate risks in the HNOs, and requires HCTs to project the evolution of current humanitarian consequences and needs, including types, numbers and locations of people in need, based on a risk, vulnerabilities and capacities analysis. It is not certain that this change will lead to actionable analysis, as traditionally humanitarians have struggled to identify risk reduction actions or secure the resources to take them. The Humanitarian-Development-Peace Collaboration Cooperation Framework Companion Piece also recommends using joint risk analysis to identify needs for simultaneous humanitarian, development and peace action.

The recommendations below focus on considering risk within needs analysis and when conducting risk analysis. Annex II lists numerous how-to guides for conducting risk/vulnerability and capacity analysis.

At the global level:

### 3.2.1 All actors:

#### **Promote shared learning across countries:**

Some countries have started applying a risk lens in HNOs and CCAs. Documenting and sharing these good practices can spur other countries to take similar steps.

### Good practice example

*The 2017 Chad Humanitarian Needs Overview used INFORM to determine the level of hazard and exposure to risks, vulnerabilities and lack of coping capacity for the coming three to five years.*

At the country level:

### 3.2.2 Humanitarian actors:

**Incorporate risk and vulnerability drivers into multi-sectoral Post Disaster Needs Assessments (PDNA).** Data can be found through [UNDRR's disaster and loss database](#), national bureaus of statistics, UN regional commissions, and NDMAs. Government products may also include district/province disaster and climate atlases and disaster-related statistics reports which can be used. PDNAs should:

- Initially include a basic risk assessment and information related to capacities at the local level. Once the response is set up, a more in-depth risk analysis including vulnerability drivers and deeper analysis of capacities should be carried out. This should examine the cascading and interconnecting nature of risks in humanitarian crisis, especially the interplay between conflict and natural hazards and how the two impact each other (for example competition over water resources in drought/desertification settings).
- Focus on restoring capacities, not only meeting needs, as often people use up their capacities to meet their needs. Responses should attempt to rebuild and strengthen those existing capacities.
- Complement and link to other existing risk information through different assessments such as the Common Country Analysis (CCA), loss and damage information, Recovery and Peacebuilding Assessments, and Conflict and Development Assessments. Their analysis can facilitate a shared view of risks, their root causes and interlinked nature to encourage joined-up programming.<sup>39</sup>
- Examine contributing factors that have influenced a crisis and which may not neatly fall into a needs analysis framework. A narrow focus on needs without considering the broader context can limit critical information in an assessment. For example, health workers going on strike led to late detection of Ebola in areas in DRC; perhaps the Ebola spread could have been mitigated if this information was picked up earlier.

### Support tools

Traditional DRR tools, such as [disaster loss databases](#) and global risk data from UNDRR's Global Assessment Reports, [DesInventar](#), [IOM's Needs and Population Monitoring tool](#), and the [EM-DAT: The International Disaster Database](#) can be leveraged to find risk information.

Measurement options, including OCHA's [Index for Risk Management \(INFORM\)](#), the World Risk Index, and the Notre Dame Gain Adaptation Index, at the global or national level allow national and regional actors to assess and prioritize risk management within and between states.

FAO's Resilience Index Measurement and Analysis (RIMA), is a quantitative approach that enables a rigorous analysis of how households cope with shocks and stressors.

### 3.2.3 Humanitarian and development actors and government:

**Identify sources of meteorological, geological and other climate forecasting data to conduct the risk analysis.** Capacity exists in some countries, but advances in risk modelling and forecasting have not systematically reached lower income countries. In some contexts, it may also be challenging for humanitarians or governments to articulate their information needs, interpret forecast information or move from information to action. Where capacity gaps exist, identify regional or international forecasting centres which can help interpret and apply forecast information.

### 3.2.4 All actors:

**Use risk analysis results as an advocacy tool with HCTs, donors and development partners, including government.** The risk analysis should be used not only to inform programming, but to promote further investment in and attention to DRR. Contextualized reports on localized risk have been shown to increase attention to and support for DRR. This information should actively be brought to the HCT to gain the support of decision makers. As mentioned in 2.1.4, overlaying risk analysis with the reach of humanitarian and development programmes and resilience investment often reveals a geographic and strategic mismatch and can indicate where programmes may need to be re-directed.

### Support tools

IFRC's Climate Centre, provides expert technical guidance and tools, and can help interpret and apply forecast information.

Regional Integrated Multi-Hazard Early Warning System for Africa and Asia (RIMES)'s services such as regional monsoon forums and development of decision-making tools with states.

OECD's resilience systems analysis framework can help decision-makers translate an understanding of risk into coordinated policies and programmes that build resilience at all layers of society.

### Good practice example

*In Bangladesh, the "Connecting Earth Observations to Decision Makers for Preparedness Actions (COMPAS)" project generated landslide hazard maps using a statistical approach, with NASA and Columbia University's International Research Institute for Climate and Society (IRI). The susceptibility models were not perfect but were realistic and useful tools for IOM and UNHCR for site macroplanning of camp locations. The maps were upgraded after bringing the NASA and IRI teams to see and discuss the sites with UN and NGO field staff.*

### 3.3 Humanitarian strategic planning

Any international humanitarian response led by a Humanitarian Coordinator requires a Humanitarian Response Plan (HRP) to be prepared by a HCT with the support of OCHA and based on the analysis contained in the HNO. HRP's have two components: i) an overarching, country-specific strategy consisting of a narrative, strategic objectives and indicators; and ii) cluster plans consisting of sector-specific objectives, activities and accompanying projects, which detail implementation and costing.

#### How can strategic planning integrate DRR?

The Sendai Framework's Priority 4 emphasizes the need to "Build Back Better" in recovery, rehabilitation and reconstruction, and "to promote the resilience of new and existing critical infrastructure, including water, transportation and telecommunications infrastructure, educational facilities, hospitals and other health facilities, to ensure that they remain safe, effective and operational during and after disasters in order to provide life-saving and essential services." The below recommendations focus on ways to ensure that DRR principles are integrated within the strategic planning process, in particular, the development of an HRP.

At the country level:

#### 3.3.1 Humanitarian actors:

**Using the IASC updated humanitarian needs overview, develop a risk-informed HRP.** This will require including DRR experts in planning discussions and making DRR a standing item in HCT meetings (also recommended in Section 4.4.1). HRP's may also need to be developed in conjunction with stakeholders outside of the humanitarian system to ensure resilience and recovery actions are embedded. Especially in protracted settings, the process may uncover DRR actions that humanitarians are unwilling or unable to do. In these cases, UNDRR should help identify an appropriate partner to take responsibility.

Questions to consider when assessing how risk informed an HRP is, should include:<sup>40</sup>

- To what extent does the HRP factor in expected hazards, shocks and stresses, drivers of vulnerability and capacities to prevent, prepare for, and respond to hazards, shocks and stresses, including pandemics? Where natural, biological or technical hazards, including pandemics, pose a risk to the implementation of the plan, is this acknowledged, and risk management actions identified?
- Are sector/cluster plans informed by an understanding of risk, with cross-sectoral linkages, including to public health professionals, clarified? Have they been informed by an individual risk analysis in that sector with involvement of relevant line ministries?
- Does the HRP seek to reduce vulnerability to those hazards, shocks and stresses of populations and systems and promote capacities to prevent, prepare for and respond to them? Does it explicitly state DRR actions, targets, and budget allocations?



### Good practice examples

- *In Cox's Bazar a "Reference Note on extreme weather, seasonal variety and disaster risk" provided a common understanding of the operational implications of weather and natural hazards and entry points for DRR actions to inform Joint Response Planning for 2019 and 2020. In Bangladesh, a 2018 UNHCR hazard analysis in the Rohingya camps demonstrated that congestion compelled people to settle on vulnerable slopes and valley bottoms, putting thousands of people at risk of landslide or flood. As a result, more land was granted, the camp was extended, and actors could prepare the sites to make them safer.*
- *Humanitarian data has informed development programmes in food insecure areas in Zimbabwe. In communities of Mangwe and Matobo districts, that received a humanitarian response following a drought, Oxfam supported the same farmers with longer term programming to improve food production, promoting agricultural practises, such as supplying seeds, as well as training and extension services to help communities better adapt to climate change.*
- *OCHA, Pacific Disaster Center (PDC) and the World Food Programme (WFP) developed Joint Analysis of Disaster Exposure (JADE), a tool: to quickly provide more detailed and accurate information about the potential impact of disasters. The tool uses WFP vulnerability data and PDC's datasets and modeling to more accurately estimate economic and population impacts, as well as humanitarian needs.*

- Does the HRP target the most hazard-prone areas and populations, and those that may be left furthest behind?
- Does the HRP support DRR efforts at the sub-national level, specifically efforts of local government actors who may not have the necessary discretionary budget to allocate towards DRR?
- Does the HRP enable populations and systems to become more resilient to cycles of hazards, shocks and stresses, and anticipate, project, and to mitigate potential negative effects? In particular:
  - To what extent have populations impacted by disaster risk – especially those exposed to both conflict and natural, biological or technological hazards, including pandemics – been consulted in the HRP design process and have a role in implementation and monitoring of these efforts?
  - To what extent does the HRP help communities and systems at all levels scale up DRR efforts to prevent, prepare for and respond to hazards, shocks and stresses? Can these efforts be improved?
  - Does the HRP link to early warning systems and to the people and processes that support risk management?
  - Are feedback channels from local communities built into programme design to ensure that stakeholders can be held accountable?
- Does the HRP link to, support and build upon already existing national DRR priorities and plans?
- Does the HRP reinforce concepts of “build back better” and the long-term impacts of humanitarian actions on recovery, future vulnerability and development objectives? For example, has a resilience lens been applied when relocating houses, schools or other community structures from hazard-prone areas, or ensuring risk-tolerant reconstruction? Engagement of development and recovery sectors as early as possible during humanitarian assistance will be critical to ensuring inclusion of DRR, especially when there are significant pressures for reconstruction efforts after disasters that might lead to creation of new risks.
- Have environmental groups been consulted, and/or have Environmental Impact Assessments (EIA) been done, to ensure that HRPs consider and mitigate environmental impacts?
- Have displacement tracking data tools, such as [IOM's displacement tracking tool](#), been used to inform planning and track people displaced not only by conflict but also by disasters?

### 3.3.2 Humanitarian actors:

#### **Promote leadership from NDMA's and responsible line ministries to address national DRR priorities.**

Where there is already strong government engagement in DRR, the HRP should reinforce these strategies and activities. With support from UNDRR, clarify the mandates of different country stakeholders, and appraise the DRR capacities that exist among them. These may be specific line ministries, meteorological or statistical agencies, community level NGOs and other actors who may not, but should be, included in response planning and cluster coordination.

### Good practice example

*The Fiji Red Cross Society is supporting the National Disaster Management Office to review and update Fiji's Natural Disaster Management Act 1998 and National Disaster Management Plan 1995. The goal is to shift from managing disasters to managing risks, while transitioning from a reactive to a proactive approach to disaster management.*



### 3.4 Resource mobilization

Mobilizing resources for a humanitarian response requires a coordinated set of activities throughout the calendar year. For the international community, these activities generally begin in December with the launch of the [Global Humanitarian Overview \(GHO\)](#), a compilation of all humanitarian needs, plans, achievements and funding requirements. Calculations are based on agreed costing methodologies and represent the best estimate of the cost to meet identified needs.

The global financing outlook for humanitarian actors is increasingly strained as requirements grow faster than funding, currently with a 46% humanitarian financing gap.<sup>41</sup> The growth in expenditure is often concentrated in the same set of countries year-on-year. In 2019, over half of the 20 countries most vulnerable to the effects of climate change had an inter-agency humanitarian appeal for the past seven consecutive years (2013–2019).<sup>42</sup> This ‘relief’ economy is both a symptom and a cause of the chronic inability to manage disaster risk, with speculation as to the correlation between the low investment in risk reduction and the surge of expenditure on humanitarian aid.<sup>43</sup> The persistent humanitarian funding gap also means that even if DRR is integrated into HRPs, it may be one of the first items to be cut as limited resources are directed towards other priorities. As climate impacts are felt in donor states as well, their willingness and ability to fund other countries may also decrease.

Donor rules around funding envelopes for humanitarian response funding are often restrictive and do not allow for money to be used or repurposed for DRR. Annual humanitarian budgets focus mainly on disaster response, and exclude DRR actions, especially in protracted settings. A statistic from 2009 found that 70% of all DRR funding comes from humanitarian budgets.<sup>44</sup> This funding burden needs to also be shared with other actors, but development funding, for example, may be too inflexible to prevent a threat of humanitarian crisis; once a crisis takes hold, development funding may not be available to mitigate or respond.<sup>45</sup>

#### How does resource mobilization relate to DRR?

Sendai Framework Priority 3 calls for public and private investment in disaster risk prevention and reduction through structural and non-structural measures to enhance the economic, social, health and cultural resilience of persons, communities, countries and their assets, as well as the environment. The 2030 Agenda has begun a shift from funding to financing, which entails a comprehensive approach to the financing architecture, including public, private, domestic and international resources. Despite the clear prioritization of DRR in the global policy agenda, funding is the most commonly cited obstacle to DRR programming, including preparedness and early action.

At the global level:

#### 3.4.1 Humanitarian and development actors and UNDRR:

**Advocate for more complementary layered financing including multi-year and flexible funding for DRR from both humanitarian and development sectors.** A layered financing strategy encompassing different actors, relying on a multitude of financing sources including insurance, disaster risk reduction budgets and emergency reserves should be employed. Complementary global funding instruments, such as the [Joint Sustainable Development Goals Fund \(JSDGF\)](#), the [Central Emergency Response Fund \(CERF\)](#) and the [UN Peacebuilding Fund](#), can also identify programme synergies, but should not take away from already stretched humanitarian funding. UNDRR can support countries in monitoring Sendai Framework Target F on donor commitments to fund DRR.

#### 3.4.2 Humanitarian and development donors, and private sector:

**Promote and scale innovative financing models.** Promising new models include forecast-based financing, crisis modifiers and risk-transfer instruments such as financial insurance, micro-insurance, and micro-financing, investment in social capital, as well as intergovernmental risk sharing, flexible financing, layered models and blended financing.<sup>46</sup> Many are in pilot stages, emerged in stable countries, or need to be taken to scale. Where they exist, humanitarian and development actors should leverage social protection financing mechanisms.

#### 3.4.3 Humanitarian actors:

**Better track DRR commitments and investments on OCHA's Financial Tracking Service (FTS).** Figures on DRR investments in FTS are frequently outdated and inexact. To more effectively advocate with donors and governments, greater precision around targets and funding levels is needed.

At the country level:

#### 3.4.4 Humanitarian actors:

**Identify and capitalize on other financing opportunities to reduce risk.** These include:

- **Country-Based Pooled Funds for joint activities to tackle risk reduction.**
- **Opportunities that emerge after crisis to access resources for prevention.**
- **The Grand Bargain's localization agenda, which promotes allocating up to 25% of humanitarian funding as directly as possible to national and local responders, should integrate DRR elements into these direct investments for national and local institutions. Conversely, DRR investments should also include a portion to go directly to local actors.**
- **Climate adaptation funding to be applied in humanitarian settings. Appropriate government authorities, such as Ministries of Environment, need to be involved in DRR planning so that they also contribute resources to reduce risk.**

#### Good practice example

*African Risk Capacity (ARC), a [Specialized Agency of the African Union](#) was established to help African governments improve their capacities to better plan, prepare, and respond to extreme weather events and disasters. Through collaboration and innovative finance, ARC enables countries to strengthen their disaster risk management systems and access rapid and predictable financing when disaster strikes to protect the food security and livelihoods of their vulnerable populations.*

### 3.4.5 Humanitarian and development actors:

**Advocate for national resource mobilization and help governments unlock funding for DRR.** DRR may not generate substantial political capital, as most governments underestimate disaster risks and spending on DRR diverts funds away from more immediate problems. While legislation around DRR may exist, NDMA's are, in many cases, peripheral to central government and are poorly funded. Countries without the capacity to provide basic services are much less likely to divert limited resources to DRR. In times of emergency, they may tap into their DRR funds, leaving them depleted. MICs that have

recently graduated to this status may also struggle to find contributions from bilateral donors, despite significant remaining gaps. Advocate with governments to release more dedicated funding to DRR by developing the business and cost efficiency case and capitalizing on opportune timing, such as immediately after a disaster, when awareness is high. UNDRR can provide support to countries to monitor sectoral investments in DRR, leveraging the national platform to collect data from different sectors.

### Good practice examples

- **Budget and expenditure reviews**

*Using the OECD's DRR policy marker from the OECD-DAC, UNDRR has developed a risk-sensitive budget review analysis. The methodology has been used to provide information about DRR mainstreaming in Official Development Assistance (ODA) and can track planned expenditures in country-level budgetary documents.*

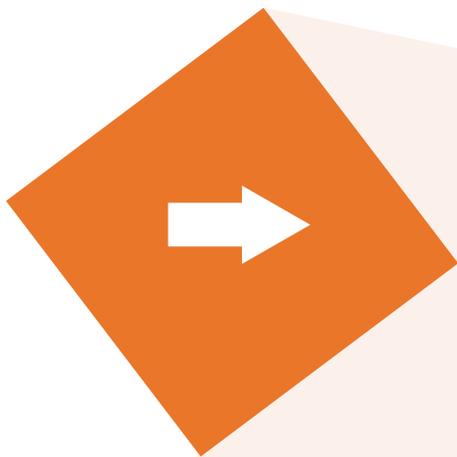
*Risk Sensitive Budget Reviews (RSBR) inform relevant stakeholders on DRR planned expenditures. A companion methodological guidance note was also developed to equip stakeholders with a systematic methodology to review budgetary documents. RSBR provides information on public investment planning by sector and a picture of the distribution of expenditures along the Disaster Risk Management cycle.*

- **Quantifying the benefits of DRR investments**

*Economic appraisals of disaster risk reduction investment options are becoming common practice globally. UNDRR has therefore developed an economic methodology to better demonstrate and understand the direct and indirect benefits of DRR investments. The direct benefits of DRR are quantified using the replacement cost of assets as a measure of disaster damage. Instead of valuing the reduction in disaster damage using the above method, the indirect benefit of disaster risk reduction quantifies the present value of future earnings that a productive capital is expected to bring overtime. A dynamic macroeconomic model is used to estimate additional benefits that can be expected from changes in the saving and investment behaviour of firms and individuals over time, along with other "co-benefits" of disaster risk reduction investments, such as better access to services like water, electricity, and the protection of environmental quality.*

### 3.4.6 Humanitarian and development actors:

**Continue building and communicating the evidence base.** Policy makers and governments still often fail to appreciate the economic value of DRR. A recent study by ODI found that RC/HCs and UN agencies are still discouraged by the financial risks of acting early.<sup>47</sup> Governments have also been found to delay action to avoid “wasting” money on events that never materialize.<sup>48</sup> Studies also show mixed results about the willingness of humanitarian donors to commit resources on the basis of probabilistic forecasts.<sup>49</sup> Actors must continue documenting and communicating the costs and benefits of investing in risk reduction and early action.<sup>50</sup> National development research and training institutes can help support this. After action reviews also help institutionalize knowledge and make the case for further DRR support. In protracted crises, evidence for how recurrent natural hazards or weather patterns affect durability and robustness of shelter, camp coordination, camp management and food security may help leverage funding for higher-quality response packages, rather than enacting an endless cycle of replacement.



### 3.4.7 Humanitarian and development actors:

**Engage the private sector in DRR actions.** The private sector can be hugely influential in limiting exposure and mitigating vulnerability of human and environmental systems.<sup>51</sup> It may provide financial resources, build infrastructure, contribute innovation, expertise, or channels of influence to support risk reduction, mitigation, preparedness and resilience building which broaden contributions beyond government.<sup>52</sup> Advocate for resilient investments and business continuity planning to reduce exposure and to ensure that shocks do not impact employment or supply chains.

#### Good practice example

*In 2018, the Shelter/Non-Food Items (NFI) Sector with support from IOM issued a report, Humanitarian Bamboo Technical Report: Increasing Durability of Bamboo in the Rohingya Camps in Cox's Bazar, Bangladesh showing rapid deterioration of shelter bamboo due to monsoon rains and insects in the Rohingya camps. The data provided needed evidence which led to increased funding for bamboo treatment plants.*

## 3.5 Response monitoring

Response monitoring continuously tracks the delivery of humanitarian assistance to affected people against targets set out in the HRP. Monitoring tracks the inputs and outputs of interventions, charts the outcomes of cluster activities, and measures progress

towards the strategic objectives of the response plan, while considering the diversity of affected people and their perspectives. This key step in the HPC seeks to determine if the humanitarian community is meeting its commitments.

### How can response monitoring support integration of DRR?

The Sendai Framework notes the need for monitoring, assessing and understanding disaster risk, as well as sharing related data. The Sendai Framework Monitor sets out 38 indicators to measure global progress on implementing the Framework, as well as global trends in reducing risk and losses.

At the global level:

#### 3.5.1 Humanitarian and development actors and UNDRR:

**Demonstrate and communicate the impact of DRR to promote greater investment from donors and governments.** A more strategic approach in raising social awareness around risk is needed, as has been done through the climate change space. Sustained and consistent advocacy is needed for greater DRR funding. There is still limited evidence that actions are more valuable as preventive or mitigative measures, rather than in the aftermath of a crisis.<sup>53</sup> Demonstrating DRR results is critical for the attention and support of donors and governments.

At the country level:

#### 3.5.2 UNDRR:

**Help OCHA and HCTs articulate DRR targets and indicators in humanitarian response plans, multi-year humanitarian response plans or frameworks for collective outcomes.** Indicators may include reduction in disaster-related deaths and disaster-affected populations, including population movement data for disaster- and conflict-displaced people. A starting point could be the targets and indicators shared by the SDGs and the Sendai Framework.<sup>54</sup> DRR custom indicators should be included in the [IASC Humanitarian Response Indicator Registry](#) as well.

#### 3.5.3 Humanitarian actors:

**Evaluate programmes based on how much risk has been reduced and considered.**<sup>55</sup> Programmes should include strategies and tools to monitor, evaluate and analyse progress in DRR and resilience-building.<sup>56</sup>

Questions to consider in monitoring processes include:

- How was risk analysis applied and integrated into strategic planning?
- Have risk scenarios and projected contingency plans been updated to incorporate risk?
- For resilience considerations, were social protection services scaled appropriately and were then flexible to a given stressor or shock?

Potential questions to monitor results include:

- Have programmes reduced the vulnerability to hazards, shocks and stresses and if so, how?
- Have programmes bolstered the capacities of government ministries to prepare, prevent and respond to hazards, shocks and stresses that impact education, and if so, how?
- For resilience programmes, have levels of well-being remained stable or recovered despite a stressor or shock?
- Did any unintended consequences result in increased vulnerabilities?
- Have disasters, hazards or extreme weather affected achievement of sectoral and strategic targets?

### 3.5.4 All actors:

#### Promote on-going learning:

After action reviews, informal reviews, and other documentation can capture lessons and reflect benefits.

### 3.5.5 Humanitarian actors:

**Use precise definitions.** Ensure the use of precise definitions of DRR terminology for robust monitoring.

### 3.5.6 UNDRR and humanitarian actors:

**Build evidence for urban and peri-urban populations.** More than half the world's population lives in cities, and exposure and vulnerability to all disasters is increasing in rapidly growing megacities. Some DRR tools, such as crop insurance, are meant for rural communities and cannot help urban populations unless adapted. The humanitarian system has also struggled to capture extreme variations in vulnerability among urban populations.<sup>57</sup>

### Good practice example

*After Cyclone Fani struck Bangladesh in May 2019, the After-Action Review Inter-Sector Coordination Group for the refugee response brought together 98 participants, including 38 NGOs for an After Action Review. They reviewed early warning and communication, pre-landfall planning and activities, assessment planning, the 72-hour response plan, and longer-term response planning, producing five key recommendations.*

### Support tools

For definitions of terms common to risk-informed indicators, see the Sendai Framework terminology adopted by the UN General Assembly at [www.undrr.org/terminology](http://www.undrr.org/terminology). Peer-reviewed indicators across sectors are found in the [IASC Humanitarian Response Indicator Registry](#).

### Support tools

[UN-Habitat's City Resilience Profiling Tool](#) adapts humanitarian tools to urban contexts through a framework to collect and analyse information on a city and its stakeholders, risks and context. It provides a resilience diagnosis with multi-hazard, multi-stakeholder prioritized actions.

The [Climate Disaster Resilience Index](#), from Kyoto University, measures urban resilience, taking into account risk to city services and systems. It uses qualitative and quantitative approaches, including physical, social, economic, institutional and natural dimensions.

The [Making Cities Resilient Scorecard](#) provides a set of assessments that allow local governments to monitor and review progress and challenges in the implementation of the Sendai Framework and assess disaster resilience.

[ISO 37123 Sustainable cities and communities – Indicators for resilient cities](#) defines and establishes definitions and methodologies for a set of indicators on resilience in cities.



## IV. Enablers

An effective humanitarian response depends on the “enablers” of coordination and information management throughout the programme cycle. (Emergency Preparedness is also an enabler, but it is part of the DRR programme cycle and is explained in detail in section 3.1.)

### 4.4 Coordination

Humanitarian coordination brings together actors to ensure a coherent and principled response to emergencies. It seeks to improve the effectiveness of humanitarian response by ensuring greater predictability, accountability and partnership.

#### Good practice examples

- *In the Philippines, the private sector participates directly in government planning for DRR through a consortium of the Philippines Disaster Resilience Foundation, which is represented on the National Council of Disaster Risk Management.*
- *In-country capacity, such as the Fiji Institution of Engineers, can provide significant support and local insight and helped assess the robustness of bridges throughout the country to inform contingency planning.*

#### How can coordination support integration of DRR?

The Guiding Principles of the Sendai Framework point to the importance of coordination, noting, “disaster risk reduction and management depends on coordination mechanisms within and across sectors and with relevant stakeholders at all levels, and it requires the full engagement of all State institutions ... at national and local levels and a clear articulation of responsibilities across public and private stakeholders, including business and academia, to ensure mutual outreach, partnership, complementarity in roles and accountability and follow-up.”<sup>58</sup> It recognizes the essential role of local authorities and NGOs.

A resounding theme of the 2019 Bangkok workshop on integrating DRR in humanitarian response, was a call for partnership and a recognition that “no one agency can do this alone.” As discussed above, although global policy developments and in-country processes are promoting closer alignment, UN and partners are still plagued by fragmentation, with weak coordination across sectors and siloed activities across both the humanitarian and development spectrums.

At the country level:

#### 4.4.1 Humanitarian actors:

**Make DRR a standing item on HCT and Cluster meeting agendas.** Separate coordination models for DRR are not needed; if DRR concepts are to be truly mainstreamed, DRR actions and actors should be incorporated into the existing coordination models. This may require expanding existing humanitarian coordination frameworks to reflect the existing local capacities to reduce risk (including civil society, private sector, academic institutions and research institutes). Recognizing that DRR spans multi-sector levels of responsibility, sectors with specific technical expertise such as those from environment, pollution, climate, human rights, public health, conflict and peace actors, should also be invited where relevant.

#### 4.4.2 Humanitarian and development actors:

**At the programme level, promote joint technical teams.** To get around the lengthy and in-depth governance and administrative discussions needed to create an effective formal consortium, actors in some settings have created informal joint programmes with parallel funding and loose governance structures to tackle a joint problem, working out formalities over time. In recurrent disaster settings, agencies could proactively engage in preparatory discussions and enter into a Memorandum of Understanding or Letter of Intent during downtime periods, to be activated in the response phase to quickly present donors with joint options.

#### 4.4.3 All actors:

**Form communities of practice to share resources, develop general guidelines, and provide technical expertise.** Successful models, such as the DRR Technical Advisory Unit in UNDP's Cox's Bazar Crisis Response Office in Bangladesh, should be followed. The Unit works with the inter-sectoral coordination group, sectors and humanitarian agencies to support cyclone preparedness, operational continuity in monsoon season, and coordination of disaster risk management activities within the response and with the government.<sup>59</sup>

#### Good practice example

*In Cox's Bazar, both Rohingya refugees and the host community population live at risk of sudden-onset cyclones as well as landslides exacerbated by deforestation. The Safe Plus Programme, is a formalized joint programme to address deforestation and meet fuel and livelihoods needs in Rohingya refugee camps. It began as a joint initiative with agencies implementing their components under a looser framework with parallel funding. To coordinate the efforts of agencies and NGOs implementing preparedness activities, a DRR host community stakeholder group has also been formed. In response to the high number of actors involved in DRR, the group bridges humanitarian and development practices, and closely coordinates the modality of the refugee to local DRR-as-development efforts.*

#### 4.4.4 All actors:

**Collaborate with regional entities who can improve capacity, support disaster risk management and develop communities of practice.** The ASEAN Coordinating Centre for Humanitarian Assistance (AHA Centre) on disaster management facilitates cooperation and coordination among member states, the UN and intergovernmental organizations for disaster management and emergency response. OCHA Regional Offices are also a source of expertise and technical support for humanitarian operations.

## 4.5 Humanitarian information management

Humanitarian information management is a systematic process for the collection, collation, storage, processing, verification, and analysis of data from one or more sources, as well as for dissemination to support effective and timely humanitarian action.<sup>60</sup> Data is regularly updated to reflect changing situations and is synthesized and presented through channels that include: situation reports, humanitarian dashboards, and 3W Matrices (Who does What & Where). In many countries, 9Ws reflect actions across the peace, humanitarian and development communities.<sup>61</sup>

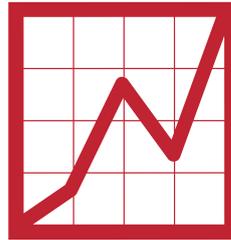
### How can humanitarian information management support integration of DRR?

Effectively addressing risks across the humanitarian–development continuum requires knowledge sharing, communication, and access to meteorological, climate, geological and other relevant information and tools. Information on risks and hazards must also be integrated into humanitarian information management.

At the country level:

#### 4.5.1 Humanitarian actors:

**Promote inclusion of DRR in information management processes, platforms and products.** Data on hazards, potential shocks and stresses, vulnerabilities and capacities to cope can be included in the Situation Report. Risk information should be linked to the Humanitarian Dashboard to facilitate analysis of impact if threats emerge, and the 3/9Ws should also include DRR actions. These tools should reflect projections for multi-year planning periods.



### Good practice examples

- In Indonesia, the NDMA launched a portal called *inaRISK* with support from UNDP. The platform provides information on hazards, risks and potential losses. Used at national and regional levels, the system integrates sectoral information, such as the location of schools, to identify potential impacts in hazard-prone areas. *inaRISK* has aligned data from multiple sectors, including banking institutions, airport and seaport information.
- Other tools in Indonesia include WFP's *Vulnerability Analysis Monitoring Platform for the Impact of Regional Events (VAMPIRE)* system which provides data specifically related to vulnerability of food production and has played a critical role in seasonal predictions and early action. *PulseLab Jakarta*, an offshoot of *Global Pulse*, uses datasets drawn from mobile communications, remote sensing and social media, to generate insights for policy and practice on topics ranging from fuel subsidies to disaster.

#### 4.5.2 Humanitarian and development actors:

**Integrate data on disaster losses.** Human and economic disaster losses should be integrated into humanitarian analysis and recovery planning. Conversely disaster loss data collected throughout the HPC should be as interoperable as possible with national disaster loss databases. This can also contribute to national reporting on Sendai Framework implementation through the Sendai Framework Monitor.

#### 4.5.3 Humanitarian and development actors and UNDRR:

**Use information management products for advocacy.** Analyses of damage can be useful in discussions on prevention and risk reduction with government, community members and donors. Evidence is needed to support earlier DRR action and to improve incentives to invest in DRR and early action. Strong data informs accurate resource allocation and demonstrates the impact of funding decisions.

#### Good practice examples

*UNICEF increasingly includes a multi-risk hazard assessment in country Situation Analyses. IFRC is developing a Resilience Measurement Dashboard to link risk assessments with different dimensions of resilience and to connect to their other information management products.*

## Endnotes

- 1 Social Protection across the Humanitarian-Development Nexus. A Game Changer in Supporting People through Crises. Tools and Methods Series, Reference Document No 26, European Union, February 2019.
- 2 Ibid.
- 3 Disaster risk reduction is “aimed at preventing new and reducing existing disaster risk and managing residual risk, all of which contribute to strengthening resilience and therefore to the achievement of sustainable development.” For further definitions of concepts in this paper, see [UNDRR Terminology](#) resources.
- 4 The humanitarian programme cycle (HPC) is a coordinated series of actions to prepare for, manage and deliver humanitarian response. It consists of five elements coordinated in a seamless manner, with one step logically building on the previous and leading to the next. Successful implementation of the cycle depends on effective emergency preparedness, effective coordination with national and local authorities and humanitarian actors, and information management.
- 5 [World Disasters Report](#), Resilience: Saving Lives Today, Investing for Tomorrow. IFRC, 2016.
- 6 [Early Action to El Nino/La Nina Episodes](#), Inter-Agency Standard, Operating Procedures, IASC Reference Group on Risk, Early Warning and Preparedness, March 2018.
- 7 [Endorsed during the World Humanitarian Summit in 2016](#).
- 8 A Collective Outcome is defined as a concrete and measurable result that humanitarian, development and other relevant actors aim to achieve jointly over a period of 3-5 years to reduce people’s needs, risks and vulnerabilities and increase their resilience.
- 9 OCHA, [Operationalizing the New way of working – Lessons Learned and Best Practices](#).
- 10 The specific Work Stream commitments were: to (1) increase multi-year, collaborative and flexible planning and multi-year funding instruments and document the impacts on programme efficiency and effectiveness, ensuring that recipients apply the same funding arrangements with their implementing partners; (2) support in at least five countries by the end of 2017 multi-year collaborative planning and response plans through multi-year funding, and monitor and evaluate the outcomes of these responses.
- 11 The UK, Belgium, the Netherlands, Canada and Germany
- 12 Twigg, John. [Disaster Risk Reduction: Mitigation and preparedness in development and emergency programming](#). HPN Good Practice Review. March 2004.
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- 14 Summary Report and Roadmap for Future Action: Joint Workshop Between the IAS Task Team on Humanitarian -Development Nexus in Protracted Crises and the UN Working Group on Transitions on the Humanitarian-Development-Peace Nexus, 20-21 October 2016, New York.
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- 19 Strategic Framework to Support Resilient Development in Africa, Regional United Nations Development Group (R-UNDG) Eastern and Southern Africa (ESA) and Western And Central Africa (WCA).
- 20 [Overlapping Vulnerabilities: The impacts of climate change on humanitarian needs](#), Norwegian Red Cross, 2019.

- 21 Peters, Katie and Peters, Laura E.R. Disaster Risk Reduction and violent conflict in Africa and Arab states: Implications for the Sendai Framework priorities. ODI Briefing Note: October 2018.
- 22 Ibid.
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- 24 World Disasters Report, Resilience: Saving Lives Today, Investing for Tomorrow. IFRC, 2016.
- 25 2012 Nansen Initiative Protection Agenda.
- 26 World Disasters Report, Resilience: Saving Lives Today, Investing for Tomorrow. IFRC, 2016.
- 27 Global Humanitarian Overview 2020, OCHA.
- 28 Ibid.
- 29 When Disasters and Conflict Collide: Uncovering the Truth is a series of studies undertaken by ODI between April 2018 and July 2019 that looks at DRR actions in fragile and conflict-affected contexts..
- 30 Peters, Katie and Peters, Laura E.R. Disaster Risk Reduction and violent conflict in Africa and Arab states: Implications for the Sendai Framework priorities. ODI Briefing Note: October 2018.
- 31 Peters, Katie et al. Double vulnerability: the humanitarian implications of intersecting climate and conflict risk, ODI, March 2019.
- 32 Peters, Katie. and Peters, Laura E.R. Disaster Risk Reduction and violent conflict in Africa and Arab states: Implications for the Sendai Framework priorities. ODI Briefing Note: October 2018.
- 33 World Disasters Report, Resilience: saving lives today, investing for tomorrow, IFRC, 2016.
- 34 Ibid.
- 35 Ibid.
- 36 OCHA Humanitarian Response Info.
- 37 Inter Agency Working Group (IAWG) Guiding Principles on Disaster Risk Reduction and Climate Change East and Horn of Africa, February 2017.
- 38 For more information and approaches, refer to: Strategic Framework to Support Resilient Development in Africa, Regional United Nations Development Group (R-UNDG) Eastern and Southern Africa (ESA) and Western And Central Africa (WCA).
- 39 UN Common Guidance On Helping Build Resilient Societies, Version of 12th December, 2018.
- 40 Some questions adopted from: Risk-informed Education Programming for Resilience UNICEF, Guidance Note May 2019.
- 41 Global Humanitarian Overview 2020, OCHA.
- 42 Ibid.
- 43 Van Aalst, Maarten. Incentives in Disaster Risk Management and Humanitarian Response Red Cross Climate Center, ODI May 2013.
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- 45 Saving Lives Today and Tomorrow, OCHA, 2014.
- 46 The Disaster Riskscape Across Asia-Pacific: Pathways for resilience, inclusion and empowerment Asia-Pacific Disaster Report, ESCAP, 2019
- 47 Pichon, Florence. Anticipatory humanitarian action: what role for the CERF? ODI, April 2019.
- 48 Tozier de la Poterie, A. et al. Understanding the use of 2015–2016 El Niño forecasts in shaping early humanitarian action in Eastern and Southern Africa, International Journal of Disaster Risk Reduction September, 2018.
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- 50 Ibid.
- 51 World Disasters Report, Resilience: Saving Lives Today, Investing for Tomorrow. IFRC, 2016.
- 52 UN Common Guidance On Helping Build Resilient Societies, Final version, 17 August 2020.
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- 59 UNDP Bangladesh Disaster Risk Reduction (DRR) Technical Advisory Unit in Cox's Bazar, July 2018.
- 60 IASC Reference Module for the Implementation of the Humanitarian Programme Cycle.
- 61 9Ws indicate who does what and where across the peace, humanitarian and development communities.

# Annex I: Checklist

## 1. About this checklist

Reducing risk – due to natural and man-made hazards, including related environmental, technological and biological hazards and risks, including pandemics – is fundamental to meeting humanitarian needs and achieving sustainable development. In many humanitarian contexts, populations already impacted by conflict, civil strife, pandemics or other disasters are also confronted by growing hazard-related disaster risks, often fuelled by climate change. As a result, underlying vulnerabilities are compounded, capacities are limited, and short-term solutions are ineffective in reducing risk and dealing with the consequences.

This checklist is a condensed version of a more comprehensive set of recommendations, developed through an extensive consultative process, to support operationalization of humanitarian-development-peace collaboration through scaling up DRR. For further detail or background, or for Good practice examples and support tools, refer to the longer set of recommendations.

The first section of the checklist focuses on steps within the Humanitarian Programme Cycle (HPC). The following section outlines enabling actions and the final section provides recommendations which fall outside of the HPC.

## 2. Recommended Actions for DRR within the Humanitarian Programme Cycle

This section provides recommendations for building DRR into humanitarian response through the phases of the HPC: Preparedness, Needs Assessment, Strategic Planning, Resource Mobilization, and Response Monitoring.

### 2.1 Preparedness

At the country level:

- Humanitarian and development actors and governments:** Review and test contingency plans across agencies, with the government, at sub-national levels in particular to ensure they are aligned, actionable and reflect multi-hazard risk conditions, including to health emergencies such as pandemics. During the review, consider:

  - How historical data on disaster events (collected through disaster loss databases), and hazard and vulnerability assessments (done by development partners), inform contingency plans.
  - If contingencies exist for both all Sendai Framework hazards (natural or manmade) as well as conflict and health emergencies such as pandemics, and the roles and responsibilities for when hazard and conflict situations intersect.
  - Weather triggers which can be measured in real time and indicators for seasonal and sudden onset events are included for early action and financing;
  - Pre-agreed triggers with government for anticipatory action.
  - The inclusion of slow onset early warning indicators through Clusters such as drought - for example nutrition checks or school attendance rates – which may not automatically feed into early warning systems.
  - Reference to business continuity plans, which should be tested and incorporate measures for staff security.
- Humanitarian and development actors:** Collaborate with Community Engagement and Accountability (CEA) colleagues for improved risk communication.

  - Identify the full spectrum of risks faced by people – not just for natural hazards, but also for conflict, pandemics, gender-based violence including intimate partner violence, communal tensions, etc.
  - Develop communication strategies for DRR which go the “last mile” to reach communities and local municipalities in their local language or jargon, with culturally and socially appropriate messaging.
  - Put appropriate measures in place to reach displaced and remote populations who may not have access to critical communication systems.
  - Adapt local early warning systems to migration crises and displacement settings. Use social media, crowdsourcing and other digital knowledge-sharing as well as community networks to promote DRR.
  - Include communities in the design, implementation, monitoring and evaluation of preparedness plans.
  - Expand feedback channels to include people’s perception of risk and the effectiveness of risk reduction efforts.
  - As part of the exit from a response, carry out a lessons learned exercise with affected communities to identify what they should do differently in the event of another disaster.

- Humanitarian actors:** Provide ongoing DRR training in staff inductions especially in cases where there is high turnover.
- Humanitarian and development actors:** Prepare for the use of cash<sup>1</sup> by:
  - Conducting a market analysis to determine feasibility of cash-based assistance.

- Promoting stronger coordination between pre-existing social protection systems and humanitarian, multi-purpose cash programming.
- Preparing data, such as unified registries of vulnerable households, targeting systems, or inventories of possible payment networks.<sup>2</sup>
- Establishing necessary pre-agreements with government on beneficiary selection criteria and required documentation to ensure all at risk people are actually enrolled in social safety nets.



## 2.2 Needs assessment and analysis

At the global level:

- Humanitarian actors:** Promote shared learning across countries. Some countries have successfully applied a risk lens in HNOs and CCAs. Documenting and sharing these good practices can spur other countries to take similar steps.

At the country level:

- Humanitarian actors:** Use data through national disaster loss databases, national bureaus of statistics, UN regional commissions, and national disaster management agencies (NDMAs), district/province disaster and climate atlases, disaster-related statistics reports to conduct multi-sectoral Post Disaster Needs Assessments (PDNA).
- Humanitarian actors:** At the appropriate time, conduct a more in-depth risk analysis including vulnerability drivers, including related to urban or peri-urban vulnerability, and deeper analysis of capacities. This should examine the cascading and inter-connecting nature of risks in humanitarian crisis, especially the interplay between conflict and natural hazards and how the two impact each other (for example competition over water resources in drought/desertification settings).

- Humanitarian actors:** Focus on capacities, not only needs, as responses should attempt to restore and strengthen existing capacities.
- Humanitarian actors, development and peace-building actors:** Complement and link to other existing risk information through the Common Country Analysis (CCA), loss and damage information, Recovery and Peacebuilding Assessments, and Conflict and Development Assessments to facilitate a shared view of risks, their root causes and interlinked nature to encourage joined-up programming.<sup>3</sup>
- Humanitarian and development actors:** Examine contributing factors that have influenced a crisis which may not neatly fall into a needs analysis framework. (For example, health workers going on strike led to late detection of Ebola in areas of the Democratic Republic of Congo and perhaps the outbreak could have been better mitigated if the information was detected earlier.)
- Humanitarian and development actors and government:** Identify sources of meteorological, geological and other climate forecasting data to conduct the risk analysis: Where there are capacity gaps, identify where regional or international forecasting centres can help interpret and apply forecast information.
- All actors:** Use risk analysis results as an advocacy tool with HCT, donors and development partners including government for support, funding and to influence programme decision-making.



## 2.3 Humanitarian strategic planning

At the country level:

- Humanitarian actors:** Use multi-hazard analysis in the IASC updated humanitarian needs overview to ensure a risk informed Humanitarian Response Plan (HRP).
- Humanitarian actors with support of UNDRR:** Clarify the mandates of different country stakeholders, and appraise the DRR capacities that exist among them including specific line ministries, meteorological or statistics agencies, community level NGOs and other actors who may not, but should be included in response planning and cluster coordination.
- Humanitarian actors:** Make DRR a standing item in HCT meetings.
- UNDRR:** Help identify stakeholders outside of the formal system to ensure resilience and recovery actions are embedded in the HRP. In protracted settings, there may be DRR actions that humanitarians are unwilling or unable to do, and UNDRR can help identify an appropriate partner to take responsibility.
- Humanitarian actors:** Ensure that the HRP supports NDMA and responsible line ministries' priorities on DRR.
- Humanitarian and development actors:** Closely engage with each other in the recovery phase to ensure inclusion of DRR, especially when there are significant pressures for reconstruction efforts after disasters that might lead to creation of new risks.
- Humanitarian actors:** Consider the following questions when assessing how risk-informed the HRP is:<sup>4</sup>
  - To what extent does it factor in expected hazards, shocks and stresses, drivers of vulnerability and capacities to prevent, prepare for, and respond to hazards, shocks and stresses, including pandemics?
  - Where natural, environmental, biological and technological hazards including pandemics may pose a risk to the implementation of the plan, is this acknowledged and risk management actions identified?
  - Does the plan address the full range of risks (natural, environmental, biological, technical) the country faces?
  - Are sector/cluster plans informed by an understanding of multi-hazard risks, with cross-sectoral linkages, including to public health professionals, clarified? Have they been informed by an individual risk analysis for that sector with involvement of relevant line ministries?
  - Does the HRP seek to reduce vulnerability to those hazards, shocks and stresses of populations and systems and promote capacities to prevent, prepare for and respond to them?
  - Does the HRP explicitly state DRR actions, targets, and budget allocations?
  - Does the HRP target the most hazard-prone areas and populations, and those that may be left furthest behind?
  - Does the HRP support DRR efforts at the sub-national level, specifically efforts of local government actors who may not have the necessary discretionary budget to allocate towards DRR?

- Does the HRP enable populations and systems to be resilient to cycles of hazards, shocks and stresses, and anticipate, project, and to mitigate potential negative effects? In particular:
  - To what extent have populations impacted by disaster risk – especially those exposed to both conflict and other hazards – been consulted in the HRP design process and have a role in implementation and monitoring of these efforts?
  - To what extent does the HRP help communities and systems at all levels scale up DRR efforts to prevent, prepare for and respond to hazards, shocks and stresses? Can these efforts be improved?
  - Does the HRP link to early warning systems and to people and processes that support risk management?
  - Are feedback channels from local communities built into programme design to ensure that stakeholders can be held accountable?
- Does the HRP link to, support and build upon already existing national and local DRR priorities and plans?
- Does the HRP reinforce concepts of “build back better” and the long-term impacts of humanitarian actions on recovery, future vulnerability and development objectives, such as ensuring risk-tolerant reconstruction?
- Have environmental groups been consulted, if possible, and/or have Environmental Impact Assessments (EIAs) been done to ensure that HRPs consider environmental impacts and mitigate them?
- Have displacement tracking data, such as IOM’s displacement tracking tool, been used to inform planning and track people displaced not only by conflict but also by disasters?



## 2.4 Resource mobilization

At the global level:

- Humanitarian and development actors and UNDRR:** Advocate for more complementary, layered financing including multi-year and flexible funding for DRR from both humanitarian and development sectors. Complementary global funding instruments, such as the Joint Sustainable Development Goals Fund, the Central Emergency Response Fund and the UN Peacebuilding Fund (CERF), can also identify programme synergies, but should not take away from already stretched humanitarian funding.
- Humanitarian and development donors, and private sector:** Promote and scale innovative financing models such as forecast-based financing, crisis modifiers and risk-transfer instruments such as financial insurance, micro-insurance, and micro-financing, investment in social capital, and intergovernmental risk sharing, flexible financing, layered models and blended financing.<sup>5</sup>
- Humanitarian actors:** Use Financial Tracking Service to track and publish information on DRR investments.

At the country level

- Humanitarian actors:** Identify and capitalize on other financing opportunities to reduce risk including:
  - Country-Based Pooled Funds for joint activities to tackle risk reduction;
  - Opportunities that emerge after crisis to access resources for prevention;
  - The Grand Bargain’s localization agenda which should integrate DRR elements into these direct investments for national and local institutions;
  - DRR investments to include a portion to go directly to local actors;
  - Climate adaptation funding to be applied in humanitarian settings;
  - Funding from government authorities such as Ministries of Environment to also contribute resources to reduce risk.

- **Humanitarian and development actors and UNDRR:** Advocate for national resource mobilization and help governments unlock funding for DRR. Advocate with governments to release more dedicated funding to DRR by developing business and cost efficiency cases and capitalizing on opportune times, such as immediately after a disaster when awareness is high.
- **Humanitarian and development actors:** Continue building and communicating the costs and benefits of investing in risk reduction and early action.
- **Humanitarian and development actors:** Engage the private sector to limit exposure and mitigate vulnerability of human and environmental systems, and to provide financial resources, build infrastructure, contribute innovation, expertise, or channels of influence to support risk reduction, mitigation, preparedness and resilience building which broaden contributions beyond the government.<sup>6</sup>
- **Humanitarian and development actors:** Advocate with the private sector to make resilient investments and business continuity plans to reduce exposure and to ensure that shocks do not impact employment or supply chains.



## 2.5 Response monitoring

At the global level:

- **Humanitarian and development actors and UNDRR:** Use the evidence gathered in monitoring At the country level for consistent advocacy demonstrating DRR's impact to promote greater investment from donors and governments.

At the country level:

- **UNDRR:** Help OCHA and HCTs articulate DRR targets and indicators in humanitarian response plans, multi-year humanitarian response plans or frameworks for Collective Outcomes as well as the IASC Humanitarian Response Indicator Registry.
- **Humanitarian actors:** Evaluate programmes based on the extent to which risk has been reduced and considered. Programmes should include strategies and tools to monitor, evaluate and analyse progress in DRR and resilience building.

Questions to consider in monitoring processes include:

- How was risk analysis applied and integrated into strategic planning?
- Have risk scenarios and projected contingency plans been updated to incorporate risk?

- For resilience considerations, were social protection services scaled appropriately and are they flexible enough to a given stressor or shock?

Questions to consider in monitoring results include:

- Have programmes reduced the vulnerability to hazards, shocks and stresses and if so, how?
- Have programmes bolstered the capacities of government ministries to prepare, prevent and respond to hazards, shocks and stresses that impact education, and if so, how?
- For resilience programmes, have levels of well-being remained stable or recovered despite a stressor or shock?
- Did any unintended consequences result in increased vulnerabilities?
- Have disasters, hazards or extreme weather affected achievement of sectoral and strategic targets?

- **Humanitarian actors:** Use precise definitions of DRR terminology for robust monitoring.<sup>7</sup>

- **UNDRR and humanitarian actors:** Build evidence for urban or peri-urban vulnerability which the humanitarian system struggles to capture.

### 3. DRR Actions falling outside the Humanitarian Programme Cycle

Many of the recommendations outlined in this document concern linkages and steps within the HPC. This section offers considerations that fall outside the HPC process: working across the humanitarian-development-peace sectors; adopting a human rights-based approach; taking a conflict-sensitive approach; and reducing risk at the local level in humanitarian contexts.

#### 3.1 Advancing DRR across humanitarian-development-peace collaboration contexts

At the global level:

- Humanitarian actors and UNDRR:** Integrate DRR aspects into the IASC Results Group 4 on Humanitarian Development Collaboration.
- Global Clusters:** Rollout of the recommendations on scaling up DRR in humanitarian actions at the country level and share lessons learned.

At the country level:

- Humanitarian and development actors:** Ensure DRR and preparedness targets and actions are systematically included in Collective Outcomes as well as Multi-Year Response Plans.
- Governments with support of UNDRR:** Facilitate a multi-stakeholder platform for DRR. Convene a national level platform spanning humanitarian, development, human rights, climate change adaptation, pandemic preparation and other related sectors as well as civil society and representatives of affected population, to maintain a dialogue around DRR, including the consequences of not attending to risk and what impact this would have on SDG achievement and human rights.
- Humanitarian, development actors and governments:** Map the required actions, stakeholder capacities (especially civil society and local NGOs), roles, timing, and coordination

models for prevention, mitigation and response phases to identify the synergies, gaps and opportunities to minimize risk as well as the opportunities to build longer-term resilience.

- Humanitarian and development actors:** Overlay risk analysis with development programme coverage to reveal where to adjust both humanitarian plans and development frameworks for action.
- Development actors:** Commission studies to demonstrate the feasibility and cost-efficiency of investing in areas of risk reduction, as well as the cost-efficiency from safeguarding development gains and reducing the need for humanitarian action.
- National governments, with the support of UNDRR:** Develop disaster risk profiles as well as analyse resilient investments from domestic and international resources through the application of the Risk Sensitive Budget Review methodology and the OECD policy marker for DRR.
- Humanitarian and development actors:** Ensure that early action and funding work through existing social services, social protection systems and safety nets.
- Humanitarian actors:** When appropriate, request DRR actions be taken up by the development community, such as early warning and incident command systems that could fall under development investment rather than humanitarian response.

## 3.2 A principled, equitable and human rights-based approach to DRR

Hazard and risk assessments, plans, mitigation actions should meet basic principles of accountability, participation, non-discrimination and inclusion.

At the country level:

- **Humanitarian and development actors and governments:** Disaggregate risk assessment data not only by age and gender, but also by socio-economic status, disability, sexual orientation, migration and displacement status, and other features of marginalization.
- **Humanitarian and development actors:** Inform protection strategies by consulting affected people on the full spectrum of their perceived risks.
- **Humanitarian and development actors and governments:** Improve evacuation centre and displacement site conditions, location and selection, so that they do not deter particular groups from accessing them, and do not further risk or violence including gender-based violence.

- **Humanitarian and development actors and governments:** Ensure inclusion of Persons Living With Disabilities, LGBTIQ, women, adolescents, migrants in capacity assessments, DRR planning in coordination fora.
- **Humanitarian and development actors and governments:** Actively seek input from human rights bodies including National Human Rights Commissions and human rights experts to help embed human rights principles into DRR legislation, preparedness and resilience-building efforts.
- **Governments:** Support more predictable temporary stay arrangements during displacement due to disasters and climate change through bilateral agreements, humanitarian visas, targeted use of existing migration categories, and discretion on humanitarian grounds for those displaced across a border after a disaster.<sup>8 9</sup>

## 3.3 A conflict-sensitive approach to DRR

DRR approaches must be conflict sensitive, seeking opportunities to redress power imbalances and making sure not to perpetuate or fuel conflict dynamics. Conversely, DRR concepts and approaches must also be integrated into humanitarian response to conflict.

At the global level:

- **Humanitarian actors, human rights actors and DRR:** Provide clearer guidance, tools, definitions and approaches with accompanied training specific on programming DRR in conflict settings for a wide range of actors At the country level.

At the country level:

- **Humanitarian actors:** While maintaining impartiality, identify government partners who can be strong partners for DRR and who can be supported in delivering subnational DRR strategies that support conditions for peace rather than exacerbating existing conflict.<sup>10</sup>
- **Humanitarian actors:** Consider conflict adaptability and capacities when conducting risk analysis to better understand how a community or society has changed and adapted in response to the pressures of conflict, whether these adaptations can be sustained if the conflict continues, and if they are compatible with peace.<sup>11</sup>
- **Governments:** Create legislation and plans which include provisions for both climate- and pandemic-related risks as well as conflict-related risks as well as conflict related shocks and stresses. Risk Analyses (described below), should identify overlaps between these risks, which should feed into legislation drafting.

## 3.4 Reducing risk at the local level

At the country level:

- Humanitarian and development actors and governments:** Map local stakeholder capacities such as religious groups, civil society organizations, youth organisations, women's rights groups and women-led organisations – which have unique abilities to reach communities, local knowledge, and enhance their leadership around DRR.
- Humanitarian and development actors:** Use horizontal capacity exchanges to share expertise, and to learn from and support community efforts to scale up DRR.
- Humanitarian and development actors and governments:** Ensure that national frameworks, which can be somewhat generic, are nuanced enough to be applicable towards to the risks faced by different population groups such as people living in coastal vs mountainous areas, and urban vs rural populations.
- Development actors and governments:** Support sub-national government and civil society to build resilience. Help them analyse and articulate how ongoing humanitarian emergencies are affecting DRR needs and preparedness efforts, as well as advocate for the changes needed to the national framework arising from specific local situations.
- Development and humanitarian actors:** Engage the perspectives and knowledge of women to mitigate impact, and how to meaningfully and sustainably reach local communities and families.

## 4. DRR as part of humanitarian enablers

An effective humanitarian response depends on the “enablers” of coordination and information management throughout the programme cycle.

### 4.1 Coordination



At the country level:

- Humanitarian actors:** Make DRR a standing item on HCT and Cluster meeting agendas to mainstream it. Broaden meeting participation to include new diverse actors with DRR expertise.
- Humanitarian and development actors:** At the programme level, promote joint technical teams which can informally collaborate to tackle a joint problem stemming from risk.
- All actors:** Form communities of practice to share resources, develop general guidelines, and provide technical expertise.
- All actors:** Collaborate with regional entities to improve capacity, support disaster risk management (DRM) such as the ASEAN Coordinating Centre for Humanitarian Assistance, the UN and intergovernmental organizations for disaster management and emergency response and UNDRR Regional Offices.

### 4.2 Information management



At the country level:

- Humanitarian actors:** Promote inclusion of DRR in information management processes, platforms and products such as SitReps, the 3/9Ws, and the Humanitarian Dashboard.
- Humanitarian and development actors:** Integrate human and economic disaster losses into humanitarian analysis and recovery planning.
- Humanitarian and development actors and UNDRR:** Use information management products on impact for advocacy with government, community members and donors.

## Endnotes (Annex I)

- 1 For further resources on Cash, see: [The Cash Learning Partnership](#).
- 2 For more information and approaches, refer to: Strategic Framework to Support Resilient Development in Africa, Regional United Nations Development Group (R-UNDG) Eastern and Southern Africa (ESA) and Western And Central Africa (WCA).
- 3 UN Common Guidance On Helping Build Resilient Societies, Final version, 17 August 2020.
- 4 Some questions adopted from: [Risk-informed Education Programming for Resilience UNICEF](#), Guidance Note May 2019.
- 5 [The Disaster Riskscape Across Asia-Pacific: Pathways for resilience, inclusion and empowerment Asia-Pacific Disaster Report](#), ESCAP, 2019.
- 6 UN Common Guidance On Helping Build Resilient Societies, Version of 12th December, 2018.
- 7 [World Disasters Report](#), Resilience: Saving Lives Today, Investing for Tomorrow. IFRC, 2016.
- 8 [2012 Nansen Initiative Protection Agenda](#)
- 9 Peters, Katie et al. [Double vulnerability: the humanitarian implications of intersecting climate and conflict risk](#), ODI, March 2019.
- 10 [World Disasters Report](#), Resilience: saving lives today, investing for tomorrow, IFRC, 2016.

## Annex II: Further guidance and tools

### Risk/Vulnerability/ Capacity Analysis

- OCHA's [Index for Risk Management \(INFORM\)](#) is an open-source tool to help decision makers understand the risk of humanitarian crises and disasters.
- WFP's [Integrated Context Analysis \(ICA\)](#) provides trends of food security, nutrition and exposure and risks to events with other information. Their [Automated Disaster Analysis and Mapping \(ADAM\)](#), active for earthquake alerts since 2015, has been expanded to generate automatic maps with wind speed projections and possible physical and population areas to be impacted before a hydro-meteorological hazard strikes.
- World Bank's [ThinkHazard!](#) provides a general view of the hazards for a given location to be considered in project design and implementation, as a means to promote disaster and climate resilience.
- FAO's [Early Warning Early Action System \(EWEA\)](#) translates warnings into anticipatory actions to reduce the impact of specific disaster events. It consolidates available forecasting information and puts plans in place to make sure FAO acts when a warning is received.
- [Conflict and Development Analysis \(CDA\)](#) provides guidance on conducting conflict analysis and applying the findings of analysis in support of evidence-based decision-making for UN engagement.
- [UNDRR's Words into Action Guide on National Disaster Risk Assessment](#)
- [UNDRR's Global Risk Assessment Framework \(GRAF\)](#) assists countries in systematically assessing multiple risks and managing these within development commitments.
- [ASEAN's Regional Risk and Vulnerability Assessment](#)

### Risk-Informed and Resilience Programming

- [UNDRR Words into Action: Implementation guide for local disaster risk reduction and resilience strategies](#)
- [UNDRR Words into Action: Developing national disaster risk reduction strategies](#)
- [UNICEF's Guidance on Risk-Informed Programming](#)
- [UNICEF Risk-informed Education Programming for Resilience](#)
- [UN Common Guidance On Helping Build Resilient Societies](#)
- [IFRC's Roadmap for Community Resilience](#)
- [UNDP's Community-Based Resilience Analysis \(CoBRA\)](#) assesses resilience at the household level

## Annex III: Persons consulted

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