EVALUATION OF

UNDP CONTRIBUTION TO DISASTER PREVENTION AND RECOVERY

REDUCING VULNERABILITIES

United Nations Development Programme

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This assessment of UNDP's performance as a key international player in preventing and combating natural disasters is aimed at the wider international community that is seeking effective ways to tackle the mounting impact of natural disasters. My hope is that the evaluation will be useful in helping UNDP make a greater difference in enabling countries to track and cope with the persistent threat of natural disasters.

FOREWORD

This report presents the results of an independent evaluation of the contribution of the United Nations Development Programme to disaster prevention and recovery, conducted by the UNDP Evaluation Office.

The increasing frequency and scale of disasters resulting from natural hazards pose mounting challenges to human well-being and security. Natural disasters have a disproportionate impact on the poor in developing countries, and the risks are strongly associated with poverty. The enormous consequences of disasters for human development, poverty reduction and economic growth have been documented in reports, including those by UNDP and the International Strategy for Disaster Reduction. UNDP recognizes the importance of disaster risk management to poverty reduction, sustainable human development and achievement of the Millennium Development Goals and has, over the past four decades, supported interventions in the areas of prevention, response and recovery. The ongoing Strategic Plan of UNDP (2008-2013) emphasizes the need to contribute to global support for preventing and reducing the effects of natural disasters. Acknowledging the importance of the topic, the Executive Board, in its annual session in June 2008, approved the inclusion of this evaluation in the Evaluation Office's programme of work.

In the past ten years, UNDP has worked with national governments in 112 countries, including 50 countries at high risk for disasters, to formulate and implement disaster reduction policies and support recovery activities. UNDP programmes have aimed to strengthen national capacity to prevent as well as respond to natural disasters. In its recovery support, UNDP has focused largely on restoring normalcy following crises for an effective transition to development, using recovery work as an opportunity to 'build back better'. Such efforts have concentrated on strengthening governance structures and policies for better disaster risk management and response.

The objective of this evaluation was to examine the contribution of UNDP to strengthening national capacities in disaster risk management and recovery since 2000. The evaluation analyses UNDP policies, strategies and programmes at global, regional and country levels; implementation of related projects; and cooperation in disaster prevention and recovery with other United Nations agencies, international organizations and donors. In addition, it examines the links between environmental management, climate change adaptation and disaster risk reduction; this is a new area of work that aims to reduce the vulnerability of countries seeking to adapt to climate change. The evaluation affirms that UNDP strategic priorities acknowledge the links between poverty reduction, sustainable development and disaster risk reduction. It also recognizes the strong analytical and advocacy work that UNDP has performed over the years. However, it concludes that UNDP strategies are not systematically implemented. While explicit links are made between disaster risk reduction and poverty, environment and climate change adaptation, there are no operational frameworks for integrating such cross-cutting issues into UNDP programme areas, both in terms of planning and implementation. The evaluation further points out that UNDP has the potential to play a more active role in national and international partnerships because of its extensive country-level presence, well-established relationships with governments, neutrality and strong programme support in key areas of development. Currently, UNDP support to disaster recovery lacks a strategic focus and has not been used effectively to strengthen national ownership

and capacity. Nor have the organization's advantages been used effectively enough for UNDP to play a leadership role in areas related to recovery and disaster risk reduction. UNDP has achieved a measure of success in many micro-level, short-term recovery activities, but at the cost of its longer-term risk reduction and development focus.

The evaluation makes a number of recommendations on how UNDP could learn from the past, building upon its own analytical work and lessons from successful initiatives. It emphasizes that addressing social and economic vulnerability requires a comprehensive programming approach, involving joint efforts in areas such as poverty reduction, sustainable development and governance. UNDP's most important role is to assist countries in the development dimensions of the issue, especially risk reduction and vulnerability. Its support, therefore, should be oriented towards building national capacity for disaster risk reduction and, consequently, for sustainable long-term recovery. The evaluation also suggests that UNDP minimize its support for micro-level, short-term recovery activities that do not contribute to strengthening national capacities, policies or practices. Moreover, it is important that UNDP revise its disaster risk reduction strategy to more directly address adaptation to climate change.

Saraswathi Menon
Director, Evaluation Office

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ACRONYMS AND ABBREVIATIONS

ADR	Assessment of Development Results
BCPR	Bureau for Crisis Prevention and Recovery (UNDP)
BDP	Bureau for Development Policy (UNDP)
CADRI	Capacity for Disaster Reduction Initiative
CIS	Commonwealth of Independent States
DFID	Department for International Development (United Kingdom)
FAO	Food and Agriculture Organization of the United Nations
GDP	Gross domestic product
GEF	Global Environment Facility
HFA	Hyogo Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disasters
IASC	Inter-Agency Standing Committee
ISDR	International Strategy for Disaster Reduction
MDG	Millennium Development Goal
MYFF	Multi-year funding framework (UNDP)
NGO	Non-governmental organization
OCHA	Office for the Coordination of Humanitarian Affairs (United Nations)
PRSP	Poverty reduction strategy paper
PAR	Prevention and recovery
UNIFEM	United Nations Development Fund for Women
UNDG	United Nations Development Group
UNICEF	United Nations Children's Fund
UNFPA	United Nations Population Fund
UNDAF	United Nations Development Assistance Framework
UNFCCC	United Nations Framework Convention on Climate Change
UN/ISDR	Inter-Agency Secretariat of the International Strategy for Disaster Reduction
WHO	World Health Organization

EXECUTIVE SUMMARY

INTRODUCTION

Disasters have been on the rise over the last decade, and their increasing frequency and scale pose mounting economic and humanitarian challenges. Natural disasters have a disproportionate impact on the poor in developing countries, and the associated risks are strongly connected with poverty. In countries with medium to low levels of income and weaker governance, disasters can further compound existing problems of poverty and inequality and reverse development gains. Achieving the Millennium Development Goals is challenged in many countries by losses from disasters triggered by natural hazards.

Besides short-term effects such as direct economic losses, disasters affect long-term human development and human security. There is considerable evidence to suggest that the impact of disasters on national economies also affects social investments adversely, particularly in the areas of health and education, and curtails investments that lead to employment and income. Disaster risk reduction and sustainable human development therefore are mutually supportive goals. Reducing disaster risk can make a critical difference for highly vulnerable populations, such as those living in disaster-prone regions, small island developing states, and societies weakened by armed conflict. The enormous consequences of disasters for human development and economic growth necessitate effective management of disaster risk as an integral part of development planning. Similarly, in disaster-affected countries, a more integrated approach during recovery and reconstruction is seen as a way forward in reducing future risks.

This evaluation examines the contribution of the United Nations Development Programme (UNDP) to strengthening national capacities in disaster risk management and recovery since 2000. It assesses the relevance of UNDP's work with respect to national priorities and the organization's mandate; the effectiveness of achieving development results; the efficiency of institutional and programming arrangements; and the sustainability of resulting benefits. It provides insights for UNDP in its emerging work in reducing vulnerability to natural disasters as part of its support to environmental management and adaptation to climate change. The evaluation provides an analysis of UNDP policies, strategies and programmes at the global, regional and country levels; implementation of related projects; and cooperation with other United Nations agencies, international organizations and donors in disaster prevention and recovery. The evaluation provides a retrospective and forward-looking assessment of the potential contribution of UNDP.

The evaluation builds on the objectives outlined in the first and second multi-year funding frameworks (2000-2003 and 2004-2007, respectively), and the ongoing Strategic Plan (2008-2013) and Strategy for Crisis Prevention and Recovery (2007-2011). The programme frameworks emphasize three key areas of support in disaster risk management: a) strengthening national capacities in disaster prevention and risk reduction and reducing vulnerability to future events; b) support to response and recovery; and c) addressing programming principles of UNDP, namely gender equality and South-South cooperation. In 2008, UNDP developed an Eight-Point Agenda for women's empowerment and gender equality in crisis prevention and recovery. It requires that 15 percent of the funds for crisis-related activities are allocated for interventions that promote gender equality.

The evaluation includes case studies of nine countries (Colombia, Fiji, India, Indonesia, Madagascar, Maldives, Mexico, Mozambique and Myanmar) conducted by national and international consultants. They were supplemented by a meta-analysis of *Assessments of Development Results* and evaluations commissioned by UNDP country offices; telephone interviews with 15 other countries; and extensive interviews at UNDP headquarters, regional service centres and with key partner organizations.

The evaluation considers as part of the strategic framework relevant international conventions and multilateral agreements developed over the past decade. These include the International Strategy for Disaster Reduction, the Inter-Agency Standing Committee, adoption of the Hyogo Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disasters, and the Bali Action Plan. In the development context, the achievement of the Millennium Development Goals has placed further emphasis on disaster reduction and mitigation as a development issue. The Bali Action Plan negotiations have highlighted vulnerability and disaster risk reduction as key elements of climate change adaptation.

The evaluation covers UNDP technical support in disaster prevention and recovery as well as its management roles, such as assisting United Nations Resident Coordinators and responding to government requests for international support in the coordination of the early recovery period after natural disasters.

FINDINGS

UNDP has helped countries formulate policies for disaster management, but challenges remain in integrating disaster risk reduction in development planning.

UNDP combines multisectoral programming in key development areas, extensive country-level presence and the ability to mobilize technical expertise. It has supported policy formulation and helped to establish an enabling environment for building disaster management institutions in over 30 countries. This has contributed to enhanced participation of governments in international and regional debates and cooperation on disaster risk management and climate change over the past decade, especially among countries at high risk.

In several of the case studies, it was evident that efforts are needed to better harmonize roles, responsibilities and accountability in the institutions responsible for disaster risk management. Most countries have also struggled with the challenge of empowering local governments to play a larger role in disaster risk management.

Disaster risk reduction requires long-term planning and more sustained efforts at the national level. It has been particularly challenging for UNDP to support countries in integrating disaster risk reduction in development planning.

Closer integration of disaster risk reduction with other UNDP priorities such as poverty reduction, governance and adaptation to climate change is progressing in some country programmes, but has not been given sufficient priority in many others.

In Mexico, integration of disaster risk reduction in local development programmes significantly contributed to sustaining development investments at the local level. Similar attempts are evident in Bangladesh to strengthen disaster risk management capacities at the local level, and disaster risk reduction is addressed as a governance issue in Honduras. But a large number of other country programmes have not made explicit links between disaster prevention and other development programming.

Over the last three years, increased support has been provided to address climate change as a development issue, largely through the environment portfolio of UNDP. Although a correlation can be found between many disaster risk reduction and climate change objectives, the

evaluation indicates limited integrated programming to date in these two areas. A notable exception is the Maldives, where the nexus of disaster risk reduction and climate change adaptation has been well established. A recent series of agreements among UNDP policy and practice bureaux to explore and define the nature of cooperation on climate change adaptation may provide opportunities for closer integration in the future.

Community preparedness initiatives can strengthen local capacities, yet they are typically constrained by poor institutionalization of programme processes and outcomes.

Disaster preparedness and risk reduction initiatives at the local level comprise about 54 percent of UNDP's disaster risk reduction interventions, and have been implemented in 27 countries. Some programmes have produced important achievements. In India and Mexico, for example, the programmes were successful in demonstrating the importance and benefits of local-level preparedness. In most cases, however, community-level programmes have not influenced government programmes and policies, and UNDP has had difficulty establishing coordination among local, state and national governments.

UNDP has spurred the participation of women in community-level initiatives in recovery and prevention, yet the application of gender policies has been uneven, and work is needed to achieve leadership and funding targets.

UNDP has adopted significant policy measures to further gender equality in crisis-related programming, and specific attention has been paid to the needs of women. But gender policies have not been systematically implemented. The Eight-Point Agenda, which includes a mandatory requirement to allocate 15 percent of the budget for crisis-related programming to interventions that promote gender equality, is an important and unique step taken by UNDP to address issues related to gender and women. While there are indications that these measures are gaining acceptability, only modest efforts have so far been made to integrate gender issues into the design and implementation of disaster prevention and recovery programmes. UNDP has ensured the participation of women, particularly those from indigenous and vulnerable groups, in community projects and programmes. However, success has been limited when it comes to contributing to a more coherent approach to integrating gender-related concerns in policy and government programming.

UNDP programmes often narrowly construe the presence of women in community-level interventions as addressing gender concerns. This fails to take into account the extent to which women have the opportunity to participate in leadership positions and the extent to which their perspectives and aspirations have been considered.

UNDP support to disaster recovery lacks a strategic focus and has not been used effectively to strengthen national ownership and capacity.

UNDP plays multiple roles in post-disaster situations. These include support for short-term micro-level livelihood activities and shelter construction, United Nations coordination, and providing longer-term recovery support for strengthening administrative systems and improving government capacities. Evidence from the case studies suggests that these various roles are not clear to disaster recovery partners, and in some cases partners doubt that UNDP has the capacity to carry out assigned tasks.

Micro-level livelihood activities and shelter construction have, in many cases, achieved intended outcomes. However the merits of UNDP involvement need to be considered in the context of the many other actors providing this type of support, including non-governmental and community-based organizations.

It has been challenging for UNDP to address long-term recovery needs such as strengthening administrative procedures and systems and coordination capacities of government. Limited attention

has gone to support for coordination, technical issues (such as land planning, coastal regulations, housing policy), and tackling the causes of vulnerability among specific high-risk groups.

Though UNDP has made progress in supporting early recovery cluster coordination, issues remain with respect to communicating the need for such an approach, facilitating wider coordination and enhancing national ownership.

UNDP has placed considerable emphasis on support to early recovery cluster coordination. While UNDP has the advantage of bringing a development perspective into the early recovery process, shortcomings were found in its efforts to leverage its partnership with governments at different levels and to enhance national ownership in early recovery cluster coordination.

In some situations, national governments have been reluctant to operationalize the cluster approach. In others, as in Latin America and other regions, the cluster approach was not acceptable to all governments or to other humanitarian stakeholders. Consequently, a nuanced approach has been necessary.

The evaluation showed that national and local non-governmental organizations have not always been well integrated into early recovery cluster coordination. It also indicated that engagement with development stakeholders was limited. Better communication between UNDP and the UN's Office for the Coordination of Humanitarian Affairs has been shown to be critical to early recovery cluster coordination.

Complex programme management and administrative procedures constrain effective programming.

Complex and inflexible procedures hinder programme performance and effectiveness. Furthermore, programme management is constrained by overambitious goals, programmes with short time-frames, unrealistic deadlines for accomplishing complex tasks, weak synergies among different programme areas, and poor reporting and monitoring.

While quality, transparency and accountability in procurement and project approvals should never be compromised, more efforts are needed to simplify UNDP's administrative procedures to better suit implementation requirements during crises. The recently introduced fast-track policy is a step in this direction. Though still in the pilot phase, there is concern among some managers in country offices that the fast-track measures have not gone far enough to facilitate speedier implementation in crises.

CONCLUSIONS

Conclusion 1. While UNDP strategic priorities acknowledge the links between poverty reduction, sustainable development and disaster risk reduction, these strategies are not systematically implemented.

The Strategic Plan identifies disaster risk reduction as an important factor in reducing poverty and vulnerability and achieving the Millennium Development Goals. It furthers points out that disasters affect the poorest people disproportionately. Explicit links are also made between disaster risk reduction and sustainable environment and climate change adaptation. Yet there are no operational frameworks for integrating cross-cutting issues into UNDP programme areas, both in terms of planning and implementation.

This lack will become increasingly evident as the severity of recent disasters pushes the issue of climate change adaptation into centre stage, with direct implications for UNDP programming. Through its support to national governments both before and after disasters, coupled with the extensive country support mechanisms already in place for the environmental protection aspects of climate change, UNDP is in a pivotal position to help countries develop effective adaptation strategies.

Responding to slow-onset disasters such as drought is treated as an aspect of poverty

reduction and sustainable environment support and is therefore not under the purview of disaster risk management. The impact of climate change is likely to blur the boundaries between slow- and rapid-onset disasters in the future, making measures to improve coordination among programme areas even more critical.

Conclusion 2. National ownership of disaster risk reduction strategies is key to achieving UNDP objectives in poverty reduction and sustainable development.

UNDP can play a stronger role in national and international partnerships because of its extensive country-level presence, well-established relationships with governments, neutrality and strong programme support in key areas of development. However, these advantages have not been used effectively enough for UNDP to play a leadership role in areas related to recovery, early recovery and disaster risk reduction. UNDP has not always been successful in building on its strengths at the national level, particularly in terms of development-related support.

While strong partnerships are found with local governments and at the community level, UNDP has not leveraged them to inform national-level processes and strategies. More reactive engagement and the lack of a clearly thought-out strategy for seeking partnerships have limited UNDP's contribution.

While UNDP has made progress in supporting early recovery cluster coordination, its potential role at the national level has been challenged by a number of issues, including communicating the need for such an approach and facilitating wider coordination and national ownership. The links between humanitarian interventions and the development process have often gone unexploited due to the narrowly perceived role of the lead agency in the cluster approach and by inter-agency dynamics. Early recovery, both as a cluster and as a concept, requires more deliberation among stakeholders at the country level and with other UN agencies. It is evident that the availability of human and financial resources and technical support have determined the extent to which early recovery cluster coordination has succeeded.

Conclusion 3. UNDP has achieved a measure of success in many micro-level, short-term recovery activities, but at the cost of its longer-term risk reduction and development focus.

Enabling countries to take more effective and sustainable actions towards recovery has not often been given adequate priority. This gap exists in most disaster-response efforts, since governments and donors become focused on short-term, direct-impact solutions addressing immediate problems of affected populations, such as livelihoods, housing and public infrastructure. UNDP has the flexibility to design longer-term recovery programmes to suit country-specific needs and priorities within the disaster context. This includes transparent systems of management, since disaster response and recovery often involve huge outlays of public resources.

RECOMMENDATIONS

Recommendation 1. UNDP should make clear that its principal area of focus in disaster prevention and recovery is to assist countries in the development dimensions of the issue, especially risk reduction and vulnerability.

Addressing social and economic vulnerability requires a comprehensive programming approach, involving joint programmes in areas such as poverty reduction, sustainable development and governance. UNDP should provide an operational framework for addressing disaster risk reduction as a cross-cutting issue in development programming.

Support to prevent or mitigate slow-onset disasters entails a different approach and alternative strategies, which will require closer coordination with poverty reduction and environment programmes and new partnerships with different government agencies and other stakeholders.

Recommendation 2. A stronger commitment is needed to implement UNDP's corporate gender policies and advance gender equality in crisis-related programming.

UNDP should continue the mandatory allocation of funds and improve capacities for systematic application of gender policies in programme planning and implementation. UNDP's regional bureaux should play a more active role in implementation of the Eight-Point Agenda and the allocation of funds.

UNDP should also enhance its contribution to policy discussions and debates on gender and public-resource allocations at the national level. More systematic support is required for gender-sensitive risk and vulnerability assessments, and for the inclusion of the gender dimension in national poverty reduction and disaster risk reduction policies.

Recommendation 3. The UNDP disaster risk reduction strategy should be revised to more directly address adaptation to climate change.

A unified strategy at the country level is required to support government efforts in integrating climate change adaptation and disaster risk reduction. UNDP should leverage its strengths in both areas to increase access to available funds.

Recommendation 4. UNDP should minimize micro-level, short-term recovery activities that do not contribute to strengthening national capacities, policies or practice.

UNDP support should be oriented towards building national capacity for disaster risk reduction and, consequently, for sustainable long-term recovery.

During the early recovery phase, UNDP should facilitate coordination of recovery activities and support longer-term capacity-building, in particular strengthening governance mechanisms for integrating risk reduction in development planning. More efforts are needed during early recovery cluster coordination to go beyond short-term interventions, to better engage development stakeholders and to enhance national ownership.

Recommendation 5. UNDP administrative procedures should be improved so that they no longer constrain effective programming in natural disasters.

Administrative and programming procedures should not only ensure accountability; they should also enable country offices to respond quickly with well-planned interventions. UNDP should continue to refine its administrative procedures to enable faster procurement, staff recruitment and flexibility in funding during crises.

Chapter 1

INTRODUCTION

The increasing frequency and scale of disasters resulting from natural hazards pose mounting humanitarian and economic challenges. The magnitude of human, economic and development losses is enormous: In the first six months of 2010 alone, 160 natural disasters were reported, killing almost 230,000 people, affecting the lives of 107 million others and causing more than US$ 55 billion in damage. Most of the lives lost during this period were due to the earthquake in Haiti, where 222,000 people died and another 3 million were adversely affected. Massive damage and untold human suffering have also resulted from floods in Pakistan, earthquakes, storms and landslides in China, and an earthquake in Chile.

The impact of drought has been most severe in Niger and Chad. Increasingly, disasters that recur each year account for a large percentage of the people affected and take a high economic toll. In 2009, although no mega-disasters were experienced, the number of disasters reported was high (at 335), affecting 119 million people and causing over $41.3 billion in damages. China alone accounted for 68.8 million disaster-related deaths, and the Philippines was hit with 25 separate disasters.

Natural disasters have a disproportionate impact on the poor in developing countries, and the risks are strongly associated with poverty. In countries with medium to low levels of income and weaker governance, disasters can compound existing problems of poverty and inequality and reverse development gains. Achieving the Millennium Development Goals (MDGs) is challenged in many countries by losses from disasters triggered by natural hazards.

The enormous consequences of disasters for human development, poverty reduction and economic growth necessitate effective management of disaster risk as an integral part of development planning. Government mechanisms and systems to respond to disasters are critical, particularly in restoring basic services. Similarly, in disaster-affected countries, an integrated approach during recovery and reconstruction can be a way to reduce future risk. The role of climate change in natural disasters is increasingly acknowledged, and reducing interrelated vulnerabilities is assuming ever greater significance.

Besides short-term effects such as direct economic losses, disasters affect long-term human development and human security. There is considerable evidence suggesting that the impact of disasters on national economies adversely affects social investments, particularly in the areas of health, education, employment and income-generation. Disaster risk reduction and sustainable human development therefore are mutually supportive goals. Reducing disaster risks can make a critical difference to highly vulnerable populations, such as those living in disaster-prone regions, in small island developing states, and in societies weakened by armed conflict.

The United Nations Development Programme (UNDP) recognizes the importance of disaster risk management to poverty reduction and sustainable human development, and has, over the past four decades, supported interventions in the areas of prevention, response and recovery. The aim of such programmes has been to strengthen national capacity to prevent (reduce risk) as well as to respond to natural disasters. More specifically, UNDP provides assistance to develop government capacity to manage recovery and to ensure renewed progress towards the MDGs while reducing vulnerability to future disasters. Programming in key areas

of development, an extensive national presence and partnership with governments and other national stakeholders provides UNDP with a unique opportunity to address disaster risk as a development challenge and to focus recovery on reducing vulnerabilities.

The objectives of this evaluation are to:

- Provide an independent assessment of UNDP's contribution to strengthening national capacities in the area of disaster prevention and recovery.
- Analyse how UNDP has positioned itself to add value in response to needs and changes in the national development context and global and regional activities. This includes an examination of the role and relevance of UNDP in prevention, mitigation and recovery, recognizing the large number of other international and national actors involved.
- Evaluate how the UNDP programme addresses cross-cutting issues and intersectoral dimensions of disaster response and prevention, including poverty, environment and climate change, gender and HIV/AIDS.
- Present key findings, draw lessons and provide a set of clear and forward-looking options to inform management decisions and strengthen UNDP's programme.

1.1 SCOPE AND APPROACH

This evaluation, which examines the contribution of UNDP to strengthening national capacities in disaster risk management and recovery since 2000, is part of the Evaluation Office's work programme for 2009-2010, approved by the Executive Board. The evaluation assesses the relevance of UNDP's work with respect to national priorities and the UNDP mandate; its effectiveness in achieving development results; the efficiency of institutional and programming arrangements; and the sustainability of resulting benefits. It provides insights for UNDP in a growing area of work relating to reducing vulnerability to natural disasters as part of its support to environmental management and adaptation to climate change. The evaluation provides an analysis of related UNDP policies, strategies and programmes at the global, regional and country levels; implementation of related projects; and cooperation with other UN agencies, international organizations and donors in disaster prevention and recovery. It provides a retrospective as well as a forward-looking assessment of the contribution and potential contribution of UNDP (see Annex 1).

The scope of the evaluation includes all dimensions of UNDP support to recovery and prevention efforts: early recovery, recovery and prevention. The evaluation includes UNDP support to slow- and rapid-onset disasters, although coverage of the former is limited.

The evaluation builds on the objectives outlined in the first and second multi-year funding frameworks (for 2000-2003 and 2004-2007, respectively) and the ongoing Strategic Plan (2008-2013) and Strategy for Crisis Prevention and Recovery (2007-2011). In 2008, UNDP developed an Eight-Point Agenda for women's empowerment and gender equality in crisis prevention and recovery. The Agenda mandated that 15 percent of the funds for crisis-related activities be allocated for interventions that promote gender equality.

The evaluation considers as part of the strategic framework relevant international conventions and multilateral agreements developed over the past decade. These include the International Strategy for Disaster Reduction, the Inter-Agency Standing Committee, the Hyogo Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disasters, and the Bali Action Plan. Achievement of the MDGs gives further emphasis to disaster reduction and mitigation as a development issue. And the Bali Action Plan negotiations have highlighted vulnerability and disaster risk reduction as key elements of climate change adaptation.

The evaluation recognizes the human development dimension of natural disasters—namely, that exposure to disaster risk as well as the ability to access relief and recovery opportunities are closely linked to social, economic and geographic vulnerabilities of those affected by natural hazards.

1.1.1 EVALUATION ISSUES

Drawing from an analysis of key concerns in prevention and recovery and UNDP strategic documents on support to countries affected by natural disasters, the following evaluation issues were identified. They take into account the multiple dimensions of the evaluation. These include UNDP's role in furthering the MDGs and the links to risk reduction, the organizational mandate to strengthen national capacities, the mandate of UNDP as a UN agency in the global humanitarian assistance framework, and its contribution to 'building back better' after disaster strikes.

- Disaster risk and vulnerability is a development issue and an important factor in achieving the MDGs. The evaluation examined how UNDP addressed the interrelated issues of poverty, vulnerability and risk reduction.
- The links between disaster risk, climate change and environmental management make an integrated national planning and programming approach essential in risk reduction and long-term recovery. The evaluation examined UNDP support to a more integrated approach to risk reduction in national planning and practice, and in its own programming.
- Strengthening national capacities, particularly governance and coordination mechanisms, are critical in responding to disasters and reducing risk. The evaluation looked at UNDP support in furthering national capacity to strengthen government systems.
- Prevention and recovery work provides an opportunity to go beyond restoring things the way they were. In fact, if done strategically, it can enable affected communities to achieve a greater level of resilience. UNDP support to sustainable recovery and vulnerability reduction was also examined.

In carrying out this analysis, various aspects of the challenge were considered. Evidence suggests, for example, that weakened political, economic and social systems due to prolonged conflict and famine are exacerbated by disaster. Conflict-prone regions also pose challenges for disaster risk reduction efforts. Similarly, natural disasters, particularly slow-onset disasters, exacerbate vulnerability to conflict. The evaluation therefore examined issues related to the interface between disasters and conflict, how they are addressed by UNDP, and lessons that can be used to inform national strategies.

Disasters affect men and women differently, and their vulnerability is affected by the social, economic and cultural roles they play in society. The evaluation paid specific attention to the contribution of UNDP in integrating a gender perspective into disaster prevention and recovery programming. It also examined how UNDP has addressed issues related to the systematic integration of gender into the development framework, which, in many instances, influences how gender dimensions are addressed in disaster risk reduction and recovery.

Major disasters in recent years show that South-South cooperation has played an important role in disaster response. UNDP experience in facilitating such cooperation and regional and subregional initiatives in disaster management, along with lessons learned in this area, were also analysed.

UNDP participates in several inter-agency forums at the global, regional and national level. Since the humanitarian reforms of 2005 and subsequent UN reforms, a cluster approach has been used in major new emergencies and in ongoing ones. The contribution of UNDP through its participation in inter-agency forums was therefore also examined.

Strategic issues taken into consideration for the evaluation include the imperative that national governments lead recovery and prevention efforts; that local governments and institutions feel empowered; and that the various actors involved feel part of a larger partnership. The priorities established by UNDP in these areas and progress towards them were also assessed.

1.2 CONCEPTS USED

The evaluation relied mainly on definitions used by the Inter-Agency Secretariat of the International Strategy for Disaster Reduction (UN/ISDR),[1] with the exception of climate change and early recovery, whose sources are noted. Key concepts are as follows:

Adaptation: The adjustment in natural or human systems in response to actual or expected climatic stimuli or their effects, which moderates harm or exploits beneficial opportunities.

Climate change: A change of climate that is attributed directly or indirectly to human activity that alters the composition of the global atmosphere and that is in addition to natural climate variability observed over comparable time periods.[2]

Contingency planning: A management process that analyses specific potential events or emerging situations that might threaten society or the environment and establishes arrangements in advance to enable timely, effective and appropriate responses to such events and situations.

Disaster: A serious disruption of the functioning of a community or a society involving widespread human, material, economic or environmental losses and impacts, which exceeds the ability of the affected community or society to cope using its own resources.

Disaster risk management: The systematic process of using administrative directives, organizations, and operational skills and capacities to implement strategies, policies and improved coping capacities in order to lessen the adverse impacts of hazards and the possibility of disaster.

Disaster risk reduction: The concept and practice of reducing disaster risks through systematic efforts to analyse and manage the causal factors of disasters, including through reduced exposure to hazards, lessened vulnerability of people and property, wise management of land and the environment, and improved preparedness for adverse events.

Disaster risk: Potential losses from disasters, including lives, health status, livelihoods, assets and services, which could occur in a particular community or society over some specified future period.

Early recovery: The application of development principles in a humanitarian setting. These principles include: national ownership, capacity utilization and support, and people's participation. It is the interface at which humanitarian and development partners coexist and interact, thus allowing for the early initiation of recovery planning and key programming, thereby minimizing the gap between the end of relief and the onset of long-term recovery.[3]

Preparedness: The knowledge and capacities developed by governments, professional response and recovery organizations, communities and individuals to effectively anticipate, respond to and recover from the impacts of likely, imminent or current hazard events or conditions.

Prevention: The outright avoidance of adverse impacts of hazards and related disasters.

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1 See UN/ISDR Terminology on Disaster Risk Reduction (2006 and 2009).

2 Source: United Nations Framework Convention on Climate Change.

3 Source: UNDP Policy on Early Recovery, p 5.

Recovery: The restoration, and improvement, where appropriate, of facilities, livelihoods and living conditions of disaster-affected communities, including efforts to reduce disaster risk factors.

Response: The provision of emergency services and public assistance during or immediately after a disaster in order to save lives, reduce the impact on health, ensure public safety and meet the basic subsistence needs of the people affected.

Risk: The probability of harmful consequences, or expected losses (in terms of deaths, injuries, damage to property, disruption of livelihoods and economic activity, or damage to the environment) resulting from interactions between natural or human-induced hazards and vulnerable conditions.

Vulnerability: The conditions determined by physical, social, economic and environmental factors or processes that increase the susceptibility of a community to the impact of hazards.

1.3 METHODOLOGY

Multiple sources of evidence were used to either substantiate or question the findings of the country case studies and thus ensure that they were credible and robust. These sources included case studies, document reviews, interviews with the country offices and quantitative methods. The evaluation used a combination of methods to collect evaluative evidence. Structured and semi-structured interviews and focus-group discussions were used to collect primary data. The method took into consideration country-level data limitations, the delineation of different phases of support, the linking of different levels of analysis and varied time-frames, and the systematic validation of causality (linking process to results). It included:

- Programme and financial portfolio analysis
- Review of UNDP programme documents (Annex 6)
- Review of literature pertaining to disaster risk management and climate change adaptation (Annex 6)
- Meta-analyses of evidence from 25 *Assessments of Development Results* completed by the UNDP Evaluation Office between 2003 and 2010, and 45 outcome and project evaluations commissioned by country offices (Annex 7).
- Extensive consultations held with the following stakeholders (Annex 5):
  - Officials in UNDP bureaux at headquarters and regional centres and at other UN agencies
  - Donor agency representatives
  - Representatives of stakeholder groups in case-study countries, including governments, programme partners of UNDP, national institutions engaged in disaster-related work, UN agencies, other international development agencies, donor agencies, national and international non-governmental organizations (NGOs) and men and women in communities
  - UNDP country office management and programme staff in case-study countries.

Consultations were also held with country offices that were not in case-study countries. The same parameters used for selecting case-study countries were used to short-list countries for consultations. This was intended to draw lessons from a wide range of programme contexts and UNDP programmes. The countries consulted included Bangladesh, Barbados, Djibouti, Ecuador, Ethiopia, Honduras, Kenya, Kazakhstan, Lebanon, Peru, Philippines, Sri Lanka, Togo, United Republic of Tanzania and Viet Nam.

1.3.1 COUNTRY CASE STUDIES

The case-study countries were selected based on an analysis of UNDP programme countries and the following criteria:

- Types of countries (small island developing states, least developed countries, middle-income countries)

- Countries with high disaster and climate-change risk (disaster-related criteria): disaster risk, incidence of natural disasters in the past decade, incidence of major disasters; economic impact because of disasters; climate change risk
- Social and economic indicators, such as the human development index and economic index
- International cooperation for disaster-related interventions
- Regional and subregional dimensions
- Complex crisis situations (conflict and disaster; links with HIV/AIDS)
- UNDP support to disaster-related activities, where an important contribution was made with limited resources, examples considered as models for scale up in the region
- Countries where the cluster approach was implemented.

Nine countries were selected for in-depth case studies: Fiji, India, Indonesia, Maldives and Myanmar in Asia and the Pacific; Madagascar and Mozambique in Africa; and Colombia and Mexico in Latin America and the Caribbean. The case-study countries included two with high disaster impact, conflict-affected countries, one small island developing state, and two least developed countries.

Various factors limited the possibility of a comparative analysis. Of the 166 countries it supports, UNDP assists in disaster prevention and recovery in 121. However, the scope and period of UNDP support varied across countries, and in only a small number of countries has UNDP provided consistent support over the last 10 years. In addition, the countries differed in terms of their history of disaster-risk management, limiting comparative analysis. Although the criteria used for the selection of country case studies allow for generalizations, the main objective was to understand the national process in disaster-risk management, different types of UNDP support, causal factors in disaster risk reduction and emerging issues and factors that influence the UNDP contribution at the country level.

The selection of countries also considered regional distribution. Several considerations limited the inclusion of countries from Europe and the Commonwealth of Independent States (CIS) and the Arab States. This gap to a certain extent was addressed through meta-analysis and interviews with UNDP country offices.

Country case studies used a multiple-method approach to evaluate UNDP support to prevention and recovery and its contribution to development results. The case studies entailed a comprehensive document review, stakeholder analysis, and consultations and interviews. At the country level, a stakeholder analysis was carried out to identify organizations working in the area of disaster management, those involved in development support, and those engaged in pertinent aspects of environmental management, climate change adaptation, and coastal area management. The consultations involved a wide range of development stakeholders, including government officials, international agencies, UNDP programme donors, NGOs, and those not directly involved with UNDP. The evaluation method ensured that the perspectives of different stakeholders were captured and that the findings could be triangulated.

For the case studies, the country programme document was the framework of analysis for UNDP's contribution to results. The main sources of information were structured, semi-structured and unstructured interviews and consultations at country offices, supplemented by information provided by regional service centres and headquarters. The results of these consultations and interviews were systematically documented for analysis by the team. In some cases, focus group discussions were held to capture the dynamic of information and debate with NGOs, the community, multiple stakeholder groups and UN teams.

In the case-study countries, the collection of evidence and analysis was guided by a set of propositions and questions structured around key evaluation issues. The set of questions used is presented in Annex 2.

1.4 LIMITING AND FACILITATING FACTORS

UNDP support to slow-onset disasters could not be systematically analysed since countries affected by drought were not included in the case studies. The analysis of slow-onset disasters was therefore confined to programmes concerned with adaptation to climate change.

Because of staff turnover in some UNDP country offices, it was not possible to get a full accounting of UNDP interventions during the time-frame of the evaluation. Poor programme documentation and monitoring information made it difficult to evaluate the progress made and the contribution to results. In such cases, the evaluation had to rely on other sources of information and primarily on the opinions and perceptions of national stakeholders interviewed.

In all the case-study countries, the national partners of UNDP were willing to participate in the evaluation and their views and perceptions were valuable in understanding issues in disaster risk management, the contribution of UNDP and its strengths and weaknesses. The evaluation was possible in a short time-frame because of the timely participation of the UNDP bureaux and country offices. The programme information and analysis already available made the task of the evaluation much easier.

Chapter 2

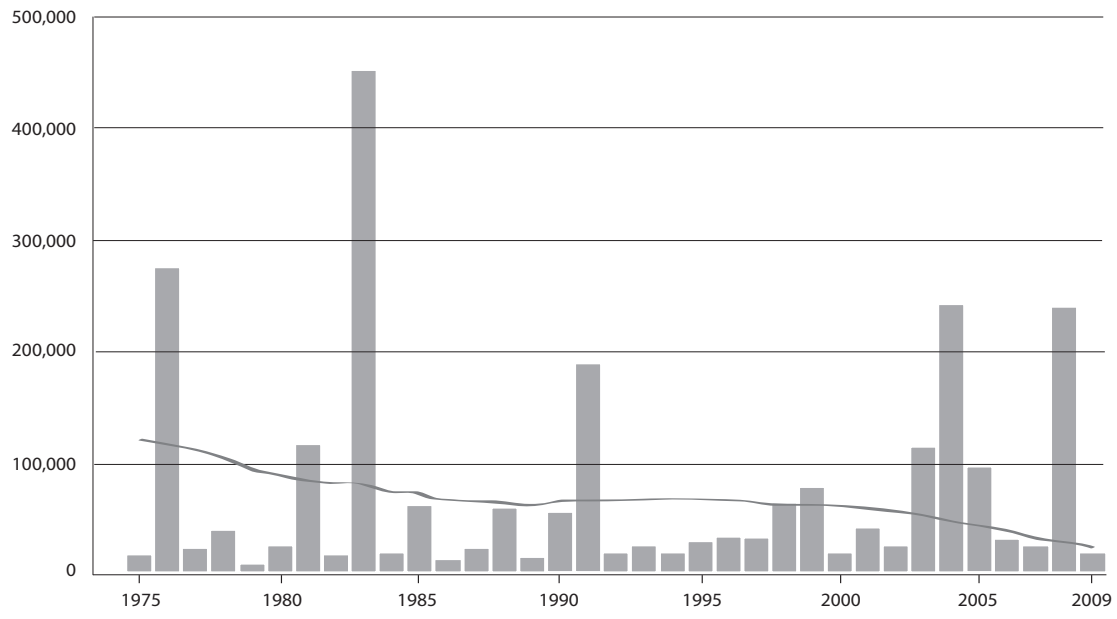
CONTEXT AND UNDP RESPONSE

A number of important distinctions can be made in the trend over the last decade towards an increasing number of disasters. First, even in regions where a comparatively smaller number of disasters have occurred, the economic impact has been significant. Second, hydro-meteorological disasters remain the largest disaster category, and one that has increased over the years. The highest impact of single disaster events, in terms of human and economic losses, has been caused by earthquakes. Third, the number of people killed has decreased (with the exception of years in which mega-disasters occurred), although the number of people affected continues to be high (see Figures 1 and 2).

The human cost of disasters is steep, with an average of 230 million victims (that is, people killed or affected) over the period 2000 to 2008. In 2009, 10,655 persons were killed and more than 119 million others were affected. In the first half of 2010 alone, the number of people affected totalled more than 107 million. Asia is the region with the largest absolute number of people exposed to disasters, followed by the Americas (see Figure 3). The high human impact of natural disasters in Asia has been consistent over the years and is reflected in the large number of victims (see Figure 4).

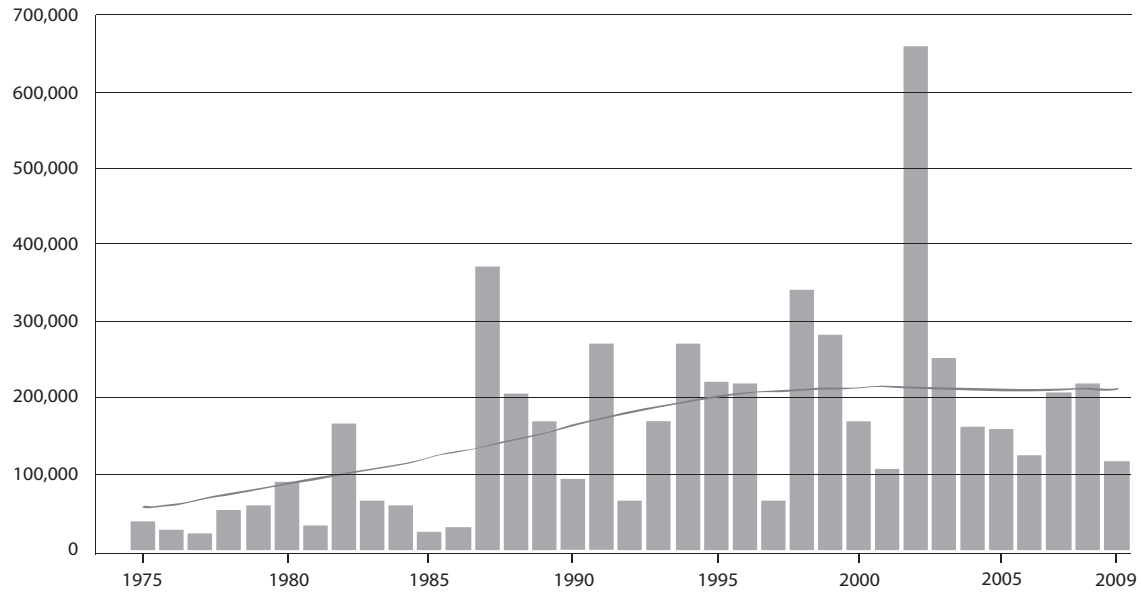
The economic damages in Asia were also high, but not as high as in the Americas, which had

Figure 1. Number of People Reported Killed by Natural Disasters, 1975-2009



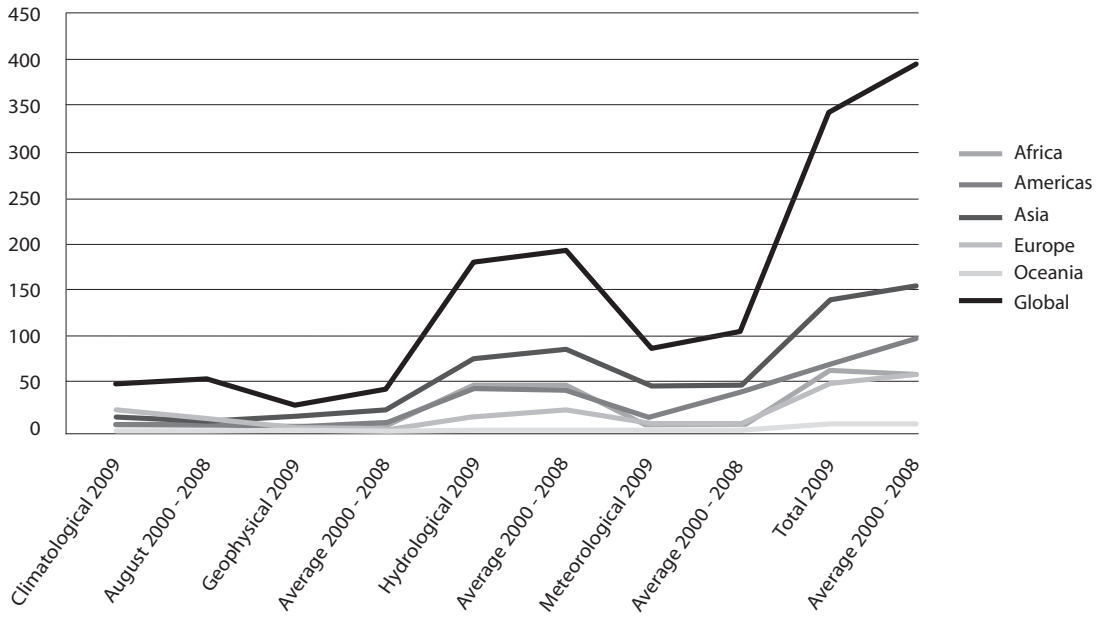
Source: EM-DAT, 2010

Figure 2. Number of People Reportedly Affected by Natural Disasters, 1975-2009 (Millions)



Source: EM-DAT, 2010

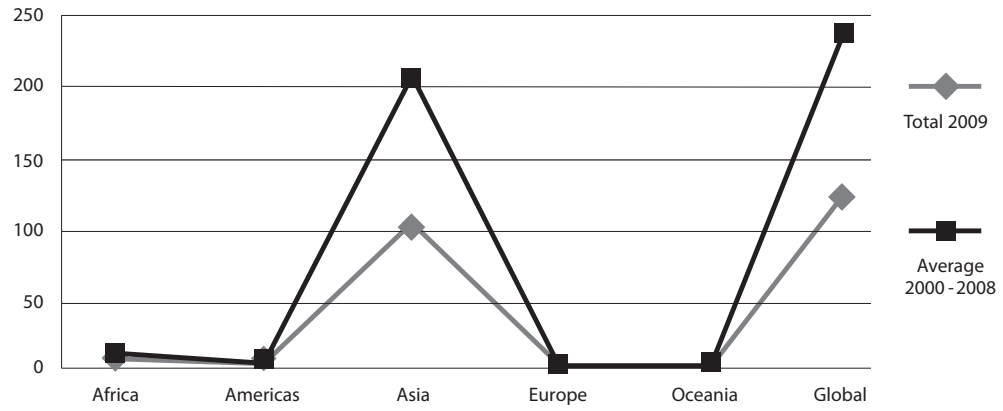
Figure 3. Number of Disaster Events, by Type of Disaster and Region



Source: EM-DAT, 2010 [4]

[4] Asia remains the most affected continent. In 2008, nine of the top 10 countries with the highest number of disaster-related deaths were in Asia. See: Rodriguez, et al., *Annual Disaster Statistical Review 2009: The numbers and trends*, Brussels: Centre for Research on the Epidemiology of Disasters, 2010.

Figure 4. Number of People Killed or Affected by Natural Disasters, by Region (Millions)



Source: EM-DAT, 2010 [5]

the highest average in terms of damages during 2000-2008 (see Figure 5).[6] In small, low- and middle-income countries, economic risk due to disasters is increasing in comparison to mortality risk. For example, small island developing states and landlocked developing countries with vulnerable economies suffered relatively higher levels of economic losses with respect to the size of their gross domestic product (GDP). Small island developing states have the largest proportion of their population exposed to high-intensity cyclones and storms. They also have a particularly low resilience to loss, since disaster losses can lead to major setbacks in economic development. The countries with the highest economic vulnerability to natural hazards and the lowest resilience are also those with very low participation in world markets and low export diversification.[7]

The percentage of disaster-inflicted losses in terms of GDP is high in developing countries. The key vulnerability factors that contribute to mortality risk are low GDP per capita and remoteness of location. As exposure to disasters increases and income decreases, the risk of mortality due to tropical cyclones, for example, rises. Annual exposure to GDP losses is high for cyclones and storms of medium intensity.[8] Nationally reported disaster loss is similarly concentrated. Losses reported between 1970 and 2007 at the local government level in a sample of 12 Asian and Latin American countries showed that 84 percent of the mortality and 75 percent of the destroyed housing was concentrated in only 0.7 percent of the loss reports. Destruction in the housing sector usually accounts for a significant proportion of direct economic loss in disasters.[9]

Climate change will likely increase the frequency and intensity of weather-related hazards, such as floods, cyclones and droughts. Other potential effects of climate change, such as ecosystem

5 Rodriguez, et al., 2010.

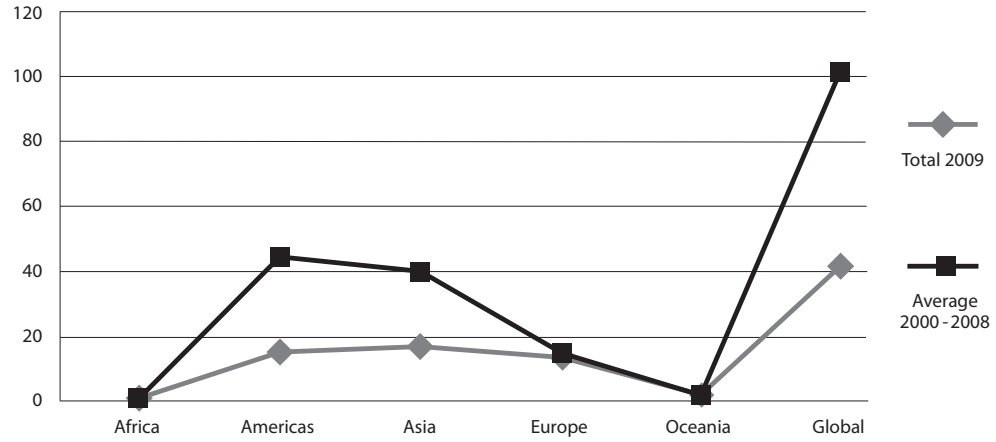
6 Rodriguez, et al., 2010.

7 United Nations International Strategy for Disaster Reduction, *Global Assessment Report on Disaster Risk Reduction*, Geneva: UN/ISDR Secretariat, 2009.

8 United States National Oceanic and Atmospheric Administration/National Hurricane Center (NOAA/NHC). Available online at http://www.nhc.noaa.gov/aboutsshs.shtml (accessed 25 October 2010).

9 Argentina, Bolivia, Colombia, Costa Rica, Ecuador, India (Orissa and Tamil Nadu states), Islamic Republic of Iran, Mexico, Nepal, Peru, Sri Lanka and Venezuela. See *Global Assessment Report on Disaster Risk Reduction*, 2009.

Figure 5. Economic Damage from Natural Disasters, by Region (US$ Billions)



Source: EM-DAT, 2010 [10]

degradation, reduced availability of water and food, an energy crisis, and changes in livelihoods will increase the vulnerability of communities to natural hazards.[11] Developing countries are hardest hit by climate change and consequently suffer from increased disaster risk. Climate change will have implications for most regions, but some will be more affected than others, such as East Asia and the Pacific, which is already vulnerable to natural disasters and extreme climatic events.[12] An analysis of the climate risk index and extreme weather events during 1998-2007 indicates that the countries hardest hit include Bangladesh, Honduras and Nicaragua.[13]

2.1 NATIONAL-LEVEL INITIATIVES

After a decade of concerted effort to achieve the MDGs, and as we approach the mid-point of the 10-year Hyogo Framework for Action (HFA), definite progress can be seen in terms of government action to address disaster-related issues. First, more people are recognizing that disasters can be prevented and the impact mitigated. Second, the value-added in coordinating disaster-related interventions among the various actors at the national, regional and global levels has been acknowledged. Third, there are positive indications that the perspectives of agencies working on disaster support and those working on long-term development are converging. Finally, recognition

[10] Rodriguez, et al., 2010.

[11] Prasad, Neeraj, et al., *Climate Resilient Cities, A Primer on Reducing Vulnerabilities to Disasters*, Washington, DC: World Bank, 2009.

[12] Harmeling, Sven, 'Global Climate Risk Index 2009: Weather-related loss events and their impact on countries in 2007 and in a long-term comparison', Briefing paper, Bonn: Germanwatch, 2009; United Nations International Strategy for Disaster Reduction, *Applying Disaster Risk Reduction for Climate Change Adaptation: Country practices and lessons*, Geneva: UN/ISDR Secretariat, September 2009; United Nations Development Programme, *Fighting Climate Change: Human solidarity in a divided world, Human Development Report 2007-2008*, New York: UNDP, 2007; *Climate Change 2007: Synthesis report contribution of Working Groups I, II and III to the Fourth Assessment Report of the Intergovernmental Panel on Climate Change*, Geneva: Intergovernmental Panel on Climate Change, 2007; World Food Programme, International Federation of the Red Cross and Red Crescent Societies and the UN Office for the Coordination of Humanitarian Affairs, *Addressing the Humanitarian Challenges of Climate Change: Regional and national perspectives*, Preliminary findings from the IASC regional and national-level consultations, 2009. Available online at http://www.humanitarianinfo.org/iasc/pageloader.aspx?page=content-documents-default&publish=0 (accessed 25 October 2010); Chibber, Ajay and Rachid Laajaj, 'Disasters, Climate Change and Economic Development in Sub-Saharan Africa: Lessons and directions', *Journal of African Economies*, vol. 17, no. 2, 2008, pp. 7-49; IPCC, 2007.

[13] Other top 10 countries during this time period include the Dominican Republic, Haiti, India, Mozambique, Philippines, Venezuela and Viet Nam. See Harmeling, 2009.

is growing that reducing disaster risk is a development issue—one that requires addressing the underlying risk factors that make people and their livelihoods more vulnerable to both slow- and rapid-onset disasters.

The economic cost of disasters on development interventions and human development varies widely. Addressing disaster risk reduction and climate change adaptation is critical in minimizing development reversals and reducing poverty and vulnerability, though strategies to accomplish this are still emerging.

The 2009 *Global Assessment Report on Disaster Risk Reduction* appraised the progress made in the implementation of the HFA. The findings indicate that, globally, national efforts have focused on strengthening policy, legislation and institutional frameworks, and on building capacities for disaster preparedness, response, risk assessments and early warning (HFA priorities 1, 2 and 5). The effort was found to be less adequate in using knowledge, education and outreach programmes to stimulate a culture of disaster resilience, and in addressing the underlying factors related to social, economic and infrastructure development across rural and urban contexts (HFA priorities 3 and 4). Challenges remain in compiling comprehensive risk assessments in a way that can inform disaster risk reduction and link early warning with disaster preparedness and response planning. Efforts also fell short in using national information to inform local action.[14] One reason why progress in HFA implementation has been limited is that the scale of resources available for disaster risk reduction falls well short of what is needed to ensure the resilience of nations and communities.[15]

Progress in HFA implementation indicates that Africa, with a large number of low-income countries, has made good progress, similar to that achieved in developing regions overall, in priority areas 1, 4 and 5. However, fast-growing low- and low-middle-income countries in other regions have not been able to improve their risk-reducing capacities in a way that compensates for the rapid increase in exposure.[16]

While the HFA pays attention to broader institutional frameworks and policies for risk reduction, the response to major disasters indicates the need for better and more suitable administrative systems and procedures.[17] Recovery efforts at the country level are often constrained by governance capacity and institutional systems. And factors related to governance, particularly in the case of complex emergencies, can aggravate disaster events. Political, economic and administrative dimensions of governance are important for effective risk reduction and better response.[18] In addition, since recovery and reconstruction involve huge outlays of public funds, accountable and transparent finance mechanisms are considered vital.[19] Despite a few efforts in this area, strengthening government mechanisms for speedier delivery of relief and reconstruction, transparency and accountability in disaster spending, decentralized disaster management, and political commitment to risk reduction remain inadequate.

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[14] For example, the devastation caused by Cyclone Nargis in Myanmar in 2008 shows the importance of different steps in risk reduction. While early warning service was provided by the Myanmar Meteorological Service, communications and preparedness to act were not effective. See International Federation of Red Cross and Red Crescent Societies, *World Disasters Report* 2009. Available online at http://www.ifrc.org/Docs/pubs/disasters/wdr2009/WDR2009-full.pdf (accessed 25 October 2010); United Nations Development Programme, *Reducing Disaster Risk: A challenge for development*, New York: Bureau for Crisis Prevention and Recovery/UNDP, 2004. Available online at http://www.undp.org/bcpr/disred/documents/publications/rdr/english/rdr_english.pdf (accessed 25 October 2010), 2004.

[15] United Nations General Assembly, *Implementation of the International Strategy for Disaster Reduction*, Report of the Secretary-General, UN Document A/63/351, 2008, New York: United Nations.

[16] United Nations General Assembly, 2008.

[17] For example, the Myanmar earthquake, Gujarat earthquake and the Asian tsunami.

[18] *Global Assessment Report on Disaster Risk Reduction,* 2009.

[19] Examples of corruption during post-disaster tsunami activities were widely documented.

Limitations were also found in the extent to which national development policies and plans include dimensions of disaster risk reduction. A review of 67 poverty reduction strategy papers (PRSPs) indicate that only 20 percent discuss in detail disaster risk reduction, while 25 percent do not mention disaster risk at all, and 55 percent mention only the relationship between disaster risk and poverty without providing concrete recommendations for addressing it. Countries that have integrated disaster risk reduction into their PRSPs include Bangladesh (2005), Malawi (2006), Mozambique (2006) and Viet Nam (2006).

2.2 VULNERABILITY REDUCTION, DISASTERS AND DEVELOPMENT

Several studies and assessments point out that disasters have a disproportionate impact on the poor in developing countries, and that disaster risk is fundamentally associated with poverty levels.[20] Besides short-term effects such as direct economic losses, disasters affect long-term human development and human security. The low resilience of the poor is further undermined by weak or absent social-protection measures and the low prevalence of disaster insurance in most countries. While urban and rural areas are equally affected by disasters, poverty in rural areas translates into disaster risk because of the vulnerability of rural livelihoods.[21] The diversity in the structure of rural societies and economies and their interaction with the environment make livelihoods more susceptible to disasters. Besides, the lack of safe housing, infrastructure and public services in poor rural areas that should protect households from earthquakes, cyclones and major floods also increases risk.[22]

Achieving the MDGs is challenging in many countries because of losses from disasters triggered by natural hazards.[23] There is considerable evidence to suggest that the impact on national economies adversely affects social investments, particularly in the areas of health and education, and in areas that contribute to employment and income-generation. While disaster risk has been identified as one of the investment priorities for achieving the MDGs, more systematic efforts are required.[24]

Studies have long shown that disasters affect women and men differently. It is widely documented, for example, that women are particularly vulnerable to natural hazards and that mortality from disasters is high among them. Gender inequalities in accessing resources, capabilities and opportunities place women at a disadvantage, making them more vulnerable to the impact of disasters.[25] Disasters

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[20] See *Global Assessment Report on Disaster Risk Reduction*, 2009; Harmeling, 2009 (Global Climate Risk Index 2009); ALNAP (Active Learning Network for Accountability and Performance in Humanitarian Action) and ProVention Consortium, *Responding to Earthquakes 2008, Learning from Earthquake Relief and Recovery Operations*. Available online at www.alnap.org (accessed 25 October 2010); Telford, John and John Cosgrave, *Joint Evaluation of International Response to Indian Ocean Tsunami*, Tsunami Evaluation Coalition, 2005; *Reducing Disaster Risk: A challenge for development*, 2004; Benson, Charlotte and E. J. Clay, *Understanding the Economic and Financial Impacts of Natural Disasters, Disaster Risk Management*, Series paper No. 4, Washington, DC: World Bank, 2004; Wisner, Ben, et al., *At Risk. Natural Hazards, People's Vulnerability and Disasters*, London: Taylor and Francis, 2004.

[21] See *Global Assessment Report on Disaster Risk Reduction*, 2009; United Nations Development Programme, *Assessment of Development Results in Tajikistan*, New York: Evaluation Office/UNDP, 2009; United Nations Development Programme, *Assessment of Development Results in Nicaragua*, New York: Evaluation Office/UNDP, 2007; Tsunami Evaluation Coalition, *Joint Evaluation of International Response to Indian Ocean Tsunami,* 2005; Wisner et al., 2004.

[22] *Global Assessment Report on Disaster Risk Reduction,* 2009; United Nations Development Programme, *A Global Report: Reducing disaster risk, a challenge for development*, New York: BCPR/UNDP, 2004.

[23] For example, in China, Haiti, Indonesia, Myanmar and Tajikistan.

[24] United Nations Millennium Project, *Investing in Development: A practical plan to achieve the Millennium Development Goals*, Report presented to the UN Secretary-General, New York, 2005.

[25] Neumayer, Eric, and Thomas Plümper, *The Gendered Nature of Natural Disasters: The impact of catastrophic events on the gender gap in life expectancy*, 1981-2002, London School of Economics and Political Science and Department of Government, University of Essex, and Max-Planck Institute of Economics, 2007; Telford, 2005; Bhatt, M., 'Gender and Disaster: Perspectives on women as victims of disasters', Discussion paper (1995), Ahmedabad, India: Disaster Mitigation Institute, 2005.

also aggravate gender differences and social and economic inequalities. Although attention is paid to women as an excluded group, systematic integration of a gender perspective in disaster-related interventions remains challenging. In fact, lack of attention to gender dimensions is a recurring feature in disaster response.[26]

Pre-existing conflicts (as in the Democratic Republic of the Congo, Haiti, Indonesia, Nepal and Sri Lanka) and crises (such drought and AIDS in sub-Saharan Africa) pose additional challenges to recovery, limiting both local and international capacities. They also divert attention from risk-reduction efforts. Studies point out that the link between conflict and natural disasters and the resulting vulnerability requires greater attention, especially in parts of sub-Saharan Africa, where population pressure is growing and land degradation and desertification are increasing rapidly.[27]

2.3 INTERGOVERNMENTAL RESPONSE

Over the past decade, intergovernmental and inter-agency efforts have encouraged a more coordinated response to disasters and the institutionalization of risk reduction. Among the advances made is the development of the International Strategy for Disaster Reduction (ISDR),[28] the formation of the Inter-Agency Standing Committee (IASC),[29] and the adoption of Hyogo Framework for Action.[30] The International Strategy for Disaster Reduction recognizes the leadership of governments at all levels in disaster risk reduction and supports coordination, advocacy and implementation of the HFA within the national context. The Inter-Agency Task Force on Disaster Reduction and the inter-agency secretariat of the ISDR have played a critical role in furthering the ISDR mandate. The IASC established a cluster approach that operates during large-scale crises and seeks to strengthen the overall humanitarian response.[31] The global cluster or sector leads are responsible for ensuring that response capacity is in place and that assessment, planning

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[26] Houghton, R., et al., *ALNAP Review of Humanitarian Action in 2003: Field level learning*, London: Active Learning Network on Accountability and Performance in Humanitarian Action, 2004. Available online at http://www.alnap.org/publications/rha.htm (accessed 25 October 2010); Beck, T., et al., ALNAP *Annual Review 2003: Humanitarian Action: Improving Monitoring to Enhance Accountability and Learning*, London: Active Learning Network on Accountability and Performance in Humanitarian Action, 2003. Available online at http://www.alnap.org/publications/rha.htm (accessed 25 October 2010).

[27] Chhibber, 2008.

[28] The International Strategy for Disaster Reduction is a system of partnerships with the overall objective to generate and support global disaster risk reduction efforts. The ISDR combines the strengths of many key players in the field through the Inter-Agency Task Force on Disaster Reduction (IATF/DR) and the Inter-Agency Secretariat of the ISDR (UN/ISDR). The UN/ISDR, formed in 2000, serves as the focal point in the United Nations system for the coordination of disaster reduction; it ensures synergies among the disaster reduction activities of the United Nations system and regional organizations and activities in social, economic and humanitarian fields. Core functions of the secretariat include: follow-up on the implementation of the Hyogo Framework for Action and reporting on progress, facilitating policy guidelines for priority areas, including linking disaster risk reduction to climate change negotiations, conducting awareness campaigns and high-level policy dialogues, providing information services and tools, and supporting national platforms and coordination efforts in these areas, through its regional programmes.

[29] The Inter-Agency Standing Committee is the coordination mechanism that brings together international actors on humanitarian issues including the United Nations system, and key international NGOs active in humanitarian assistance.

[30] The Hyogo Framework for Action 2005-2015: Building the resilience of nations and communities to disasters (HFA) serves as the overall framework for implementing disaster risk reduction worldwide. Agreed to by 168 governments at the World Conference on Disaster Reduction in January 2005, in Kobe, Japan, and endorsed by the United Nations General Assembly, the HFA provides the foundation for the global implementation of disaster risk reduction. See: http://www.unisdr.org/eng/hfa/hfa.htm, accessed 25 October 2010.

[31] The cluster approach seeks to a) develop and maintain adequate global capacity to ensure that the responses to crisis situations are timely and effective; b) provide predictable leadership in areas of response in which gaps in capacity or resources are found; c) enhance partnerships and coordination; and d) reinforce accountability of lead organizations.

and response are carried out among partners according to agreed standards.

The Hyogo Framework for Action is specifically aimed at reducing disaster risk and disaster losses, and furthering integration of risk considerations into sustainable development. The HFA sets out strategies for reducing disaster risks through five priorities for action among government signatories and development agencies.

These priorities include:

1. Ensuring that disaster risk reduction is a national and local priority and has a strong institutional basis for implementation
2. Identifying, assessing and monitoring disaster risks and enhancing early warning
3. Using knowledge, innovation and education to build a culture of safety and resilience at all levels
4. Reducing underlying risk factors
5. Strengthening disaster preparedness for an effective response.

The Bali Action Plan negotiations have highlighted vulnerability and disaster risk reduction as key elements of climate change adaptation.[32] With a few exceptions, such as Bangladesh and Maldives, progress in addressing climate change and disaster risk in national development policies has been limited. The global risk assessment, in fact, shows that progress in this area (action 4) has been modest. While most countries are signatories to the Kyoto Protocol and the UN Framework Convention on Climate Change, environmental management, climate change adaptation and disaster risk reduction are yet to be integrated in practice.

Significant resources have been invested in developing and supporting coordination mechanisms at the global, regional and national levels. Adoption of the Paris Declaration on Aid Effectiveness has given new impetus to aid and development organizations for greater coordination in supporting national governments. At the international policy level, the Inter-Agency Standing Committee is the main coordination mechanism that brings together international actors, including the United Nations system, on humanitarian issues, and developed the cluster approach.

Besides cluster mechanisms, efforts by governments and humanitarian actors have been undertaken to strengthen coordination at the national and subnational level, particularly during relief and recovery. Support is extended to enable governments to lead coordinated responses to disasters in various sectors. Strengthening national mechanisms for coordinating and delivering humanitarian assistance during reconstruction are critical in countries more vulnerable to disasters, and experience in this area has been encouraging (India, Indonesia, Maldives and Tajikistan stand out as examples).

Increasingly recognized is the importance of regional cooperation in disaster risk reduction. Large-scale disasters (such as the Asian tsunami and the earthquake in Pakistan) affect more than one country. Often, transboundary river basins (for example, in Central and South Asia and South- Eastern Europe) entail risk factors that are cross-boundary in nature. Collaboration among neighbouring countries can maximize disaster preparedness and reduce risk. Cooperation is of particular importance in countries sharing river basins and water resources for early warning and forecasting and flood protection measures, or for water and energy management.[33] The discussions

[32] United Nations Framework Convention on Climate Change, 2007. Available online at http://unfccc.int/2860.php, (accessed 25 October 2010); Bali Action Plan (1/Chapter 13), *Report of the Conference of the Parties* (COP 13), Bali.

[33] For example, a winter crisis and water and power shortage in Tajikistan could have been minimized through better regional cooperation. See *Assessment of Development Results in Tajikistan*, 2009; Linn, Johannes F., *The Impending Water Crisis in Central Asia: An immediate threat*, The Brookings Institution, 19 June 2008. Available online at http://www.brookings.edu/opinions/2008/0619_central_asia_linn.aspx (accessed 25 October 2010); Lynn, Johannes F., 2008, *Tajikistan: Progress and problems at the heart of Central Asia*, The Brookings Institution, 9 July 2008. Available online at http://www.brookings.edu/opinions/2008/0709_central_asia_linn.aspx (accessed 25 October 2010).

on climate change adaptation emphasize that regional and global collaboration is a necessity. Often, the countries most affected by climate change have done the least to contribute to it. Collaboration is therefore required to ensure that risk-causing countries are made accountable and participate in measures to enable countries to adapt to climate change.

One of the areas where there has been some progress is South-South cooperation. Examples include collaboration among India, Indonesia, Maldives and Sri Lanka during the tsunami; among India, Pakistan and Turkey during the Pakistan earthquake; and among Colombia, the Islamic Republic of Iran and Yemen in tackling urban risk management. The Global Facility for Disaster Reduction and Recovery has established a South-South Cooperation Fund to further demand-driven South-South partnerships and cooperation. The goal is to enable low- and middle-income countries to assist each other in mainstreaming and expanding disaster risk reduction as outlined by the HFA.[34]

Lessons from various organizations that have evaluated the response to natural disasters point to the need for greater donor coordination in relief and recovery. This need is especially intense due to the dynamic nature of disaster situations and because disasters typically attract the involvement of numerous donors.[35] While donor and development agencies recognize the importance of a coordinated response in maximizing results, this has not always resulted in enhanced collaboration. A review of 700 evaluations by the international inter-agency forum ALNAP (Active Learning Network for Accountability and Performance in Humanitarian Action) points to the absence of coordination among agencies involved in humanitarian activities and international financial institutions.[36] Assessments of emergencies in which the cluster approach has been adopted after disasters and conflict show mixed results.[37]

Over the past decade, global advocacy on the importance of gender in disaster risk reduction has gained momentum.[38] Notable outcomes include the Beijing Agenda for Global Action on Gender-Sensitive Disaster Reduction (2009) and the Manila Declaration for Global Action on Gender in Climate Change and Disaster Risk Reduction (2008). Achievement of the MDGs by 2015 has increased the thrust towards gender equality in development at the national level. The Paris Declaration on Aid Effectiveness (2005) and the Guiding Principles for Effectiveness, Gender Equality and Women's Empowerment (2008), laid out by the Development Assistance Committee of the Organisation for Economic Co-operation and Development, provide opportunities to address gender-related concerns in a more coordinated way. Despite such efforts, international policies and strategies for risk reduction, such as the HFA and the Bali Declaration, do not explicitly commit to gender-specific concerns.

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34 See http://www.gfdrr.org (accessed 25 October 2010).

35 World Bank, *Disaster Risk Management: Taking lessons from evaluation*, Independent Evaluation Working Group Working Paper 2008/5, Washington, DC: World Bank, 2008.

36 The World Bank, 2008.

37 Pakistan earthquake evaluation; Evaluation of Early Recovery Pilots, 2008; Indonesia evaluation; UN response to Tsunami in India; *Assessment of Development Results in Tajikistan*, 2009; Uganda early recovery evaluation 2008.

38 For example, the 2001 Expert Group Meeting on Environmental Management and the Mitigation of Natural Disasters: A gender perspective in Ankara, Turkey, provided recommendations for the inclusion of gender-sensitive environmental management and disaster risk reduction in the agenda of the 2002 World Summit on Sustainable Development; the 2004 Workshop on Gender Equality and Disaster Risk Reduction in Honolulu, Hawaii; the Second World Conference on Disaster Reduction in Kobe, Japan in 2005; the Stockholm Forum for Disaster Reduction and Recovery in 2007; the Third Global Congress of Women in Politics and Governance, held under the theme Gender in Climate Change and Disaster Risk Reduction, in Manila, the Philippines in 2008; and the International Conference on Gender and Disaster Risk Reduction in Beijing, China in 2009. For more details see International Strategy for Disaster Reduction Secretariat, United Nations Development Programme, and International Union for Conservation of Nature, *Making Disaster Risk Reduction Gender-Sensitive: Policy and practical guidelines*, Geneva, 2009.

Individually and collectively, governments, international development organizations and donor agencies have committed strongly to gender equality and women's empowerment. Intergovernmental regional efforts have encouraged national governments to take adequate measures to include gender concerns in disaster risk reduction. Yet despite such efforts, the operationalization of gender-responsive policies and practices has been ad hoc and inconsistent, and the progress that has occurred is largely due to the dedicated work of a handful of organizations, particularly NGOs.[39] Reporting by the HFA indicates that an increasing number of governments are recognizing the importance of gender issues in national disaster risk reduction efforts,[40] although meaningful progress has yet to be made.

2.4 UN SYSTEM-WIDE INITIATIVES

Humanitarian reforms in 2005 introduced the cluster approach in recovery efforts involving medium- and large-scale disasters. Clusters were intended to add predictability and further accountability to humanitarian response and improve inter-agency coordination and prioritization. Cluster responsibility (the concept of a lead organization) was seen as a way to bridge critical gaps in humanitarian assistance and protection to those affected by conflict or natural disasters. The United Nation's Inter-Agency Standing Committee, comprising UN humanitarian agencies, NGOs, the Red Cross Movement and the International Organization for Migration, established nine clusters, in areas perceived to require the greatest emphasis during a humanitarian response. The United Nations Development Programme is the lead agency for the Cluster Working Group on Early Recovery.[41] The group aims to address the gaps between humanitarian relief and long-term recovery.[42] As part of its responsibilities as early recovery cluster lead, UNDP is charged with supporting national authorities in initiating early recovery and transition activities from short-term, post-crisis recovery to longer-term development. Its other responsibility is to provide norms and guidelines for early recovery; make assessment and programming tools available to support country-level recovery processes; and support advocacy to increase funding for recovery efforts.

UNDP represents the UN Development Group on the Management Oversight Board of the ISDR secretariat and serves as the lead in several ISDR thematic programmes and platforms. Since 2007, jointly with the UN Office for the Coordination of Humanitarian Affairs (OCHA) and ISDR, UNDP has supported the Capacity for Disaster Reduction Initiative (CADRI). The effort is intended to maximize the contribution of the three organizations by delivering 'as one' in various areas of disaster risk reduction. CADRI works with the UN system and governments at the country level and supports the

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[39] UN International Strategy for Disaster Reduction Secretariat, United Nations Development Programme, and International Union for Conservation of Nature, 2009.

[40] In 2007, only 10 out of 62 country reports mentioned gender or women's issues. In 2009, 52 out of 62 national reports reported on gender issues and the role of women in disaster risk reduction.

[41] Inter-Agency Standing Committee Mandate, 2006. The members of the Cluster Working Group on Early Recovery are: Food and Agriculture Organization of the United Nations, International Committee of the Red Cross, International Federation of Red Cross and Red Crescent Societies, International Labour Organization, International Organization for Migration, International Strategy for Disaster Reduction, Mercy Corps, Office for the Coordination of Humanitarian Affairs, Office of the High Commissioner for Human Rights, Office of the High Commissioner for Refugees, UN Population Fund, UN Children's Fund, UN Human Settlements Programme, Office of the UN Development Group, UN Environment Programme, UN Institute for Training and Research Operational Satellite Applications Programme, UN Development Programme, UN Educational, Scientific and Cultural Organization, UN Volunteers, the World Food Programme, World Health Organization, ActionAid, ProAct Network and World Society for the Protection of Animals. The following organizations are observers of the Working Group: InterAction and Caritas Internationalis.

[42] For details on the early recovery cluster see: *Guidance Note on Early Recovery* by the UNDP Cluster Working Group on Early Recovery, April 2008.

broader ISDR system to make capacity development a cross-cutting element in reducing disaster risk. The services provided by CADRI include training and facilitation, materials development and dissemination, knowledge exchange and networking, and capacity development advisory services. In addition, UNDP provides support to the UN System's in-country Humanitarian/ Resident Coordinator and the IASC.

UNDP has responsibility to support implementation of the HFA on behalf of the ISDR system. It is also envisaged that UNDP will support national efforts to achieve the goals and objectives of the HFA in high-risk countries and will lead inter-organizational thematic programmes and platforms identified as priorities in the HFA in the areas of disaster recovery, risk identification and capacity development.

2.5 UNDP SUPPORT TO DISASTER PREVENTION AND RECOVERY

Over the past 10 years, UNDP has worked with national governments in more than 50 countries at high risk of disasters[43] to formulate and implement disaster reduction policies and to support recovery activities. From 2000 to 2009, UNDP implemented the first and second multi-year funding frameworks, which included UNDP support for disaster recovery and for reducing vulnerability to future events. The subsequent Strategic Plan (2008-2013) emphasizes the need for UNDP to contribute to global support for preventing and reducing the effects of natural disasters. All strategic frameworks recognize the importance of gender equality and women's empowerment in development and crisis situations. Similarly, attention was given to reducing the risk of HIV and promoting South-South cooperation as cross-cutting issues. The outcomes in each of the programme strategies are presented in Annex 3.

Areas of thematic engagement at the country level include institutional and legislative systems, community-based disaster risk management, support to national governments to establish risk reduction, and climate risk, management.[44] In recovery efforts, UNDP focused largely on restoring normalcy following a crisis, transitioning effectively from crisis to development, and using recovery work as an opportunity to 'build back better'. Such efforts have focused on strengthening governance structures and policies for better disaster management (prevention, mitigation and response, and providing post-disaster support in social and economic areas).[45]

The MYFF I (2000-2003)[46] supported countries affected by natural disasters under the broad outcome area of 'support for special development situations'. During this period, UNDP established the Bureau for Crisis Prevention and Recovery (BCPR), with the specific mandate to reduce the 'incidence and impact of disasters and violent conflicts'.[47] UNDP has worked in 50 countries affected by natural disasters where the emphasis was on bridging the gap between relief and development. Besides support to governance and livelihoods, UNDP aimed to contribute to prevention and advocated for the inclusion of disaster-risk considerations in national and regional development programmes.

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[43] Such as Armenia, Azerbaijan, Barbados, Colombia, Ecuador, India, Indonesia, Madagascar, Malawi, Mozambique, Pakistan, Syrian Arab Republic, Tajikistan and Viet Nam.

[44] See UNDP Bureau for Crisis Prevention and Recovery. Available online at www.undp.org/bcpr (accessed 25 October 2010).

[45] UNDP Bureau for Crisis Prevention and Recovery, Strategic Framework, 2007-2011.

[46] United Nations Development Programme Executive Board, *Multi-Year Funding Framework, 2000-2003*, Annual session, September 1999, UN document DP/1999/30, New York: UNDP.

[47] United Nations Development Programme Executive Board, *Role of UNDP in Crisis and Post-Conflict Situations*, First regular session 2001, UN document DP/2001/4, New York: UNDP.

In MYFF II (2004-2007),[48] support to disaster-related activities fell under the broad strategic goal of support to crisis prevention and recovery (goal 4). One of the five service lines under this goal (4.4) was supporting interventions pertaining to natural disasters. Following MYFF I, mainstreaming preparedness into national and regional development programmes was given emphasis. The relationship between disasters and environmental management (outlined in service line 3.5) and the MDGs (particularly those related to poverty reduction and sustainable development) was recognized. The MYFF II acknowledges that natural disasters have a disproportionate effect on poor countries, which also lack the resources for adequate prevention and mitigation. During this period, and as the lead agency in this area, UNDP supported early recovery coordination globally and at the national level.

The Strategic Plan (2008-2011, extended to 2013)[49] highlights the importance of addressing disaster-related issues and their link to human and economic development. The focus is on developing national and local capacities to manage risk and coordinate recovery. In post-disaster situations, UNDP sees its role as helping countries resume public service delivery as early as possible. During the humanitarian phase, UNDP aims to assist national governments in setting up aid coordination mechanisms and strengthen the capacities of local administrations to manage the recovery process. Another of its objectives is to use its knowledge of disaster risk globally to engage with governments and other partner institutions in developing capacity for recovery and for reducing future disaster risks.

In 2006 the BCPR prepared a strategy outlining the outcomes and areas of activities for the 2007-2011 period. The strategy identified two programming areas for countries in crisis: prevention (reducing risk of countries in crisis) and recovery (restoring the foundations for development in post-crisis situations). Each of the outcomes identified are broadly aligned with the priorities of the Strategic Plan. During this period, the BCPR also developed an Eight-Point Agenda for women's empowerment and gender equality in crisis prevention and recovery.

During the Strategic Plan period (2008-2013), UNDP aims to work with national partners to integrate information derived from disaster risk assessments into national development plans and programmes, and to support the development of appropriate institutional and legislative systems and coordination mechanisms for managing and reducing disaster risks. This includes measures to promote gender equality, while giving emphasis to the most vulnerable groups. UNDP programmes include a special focus on managing urban and climate-related risks. Support to national governments is intended to ensure that environment and climate change issues are taken into account in drawing up and implementing national policies, strategies and programmes.

2.5.1 CLIMATE CHANGE ADAPTATION

UNDP recognizes that climate change is a major threat to sustainable development and has provided support to this area for the past three years. The 2000-2003 MYFF does not mention climate change specifically, although it does state that UNDP will help implement international environmental conventions and address global environmental challenges. The more detailed MYFF of 2004-2007 included 'managing energy and environment for sustainable development' as one of its five goals. This included sustainable energy access, which contributed to climate change mitigation. This MYFF only makes reference to adaptation in the annex, referring to UNDP's previous work to support National

[48] United Nations Development Programme Executive Board, *Multi-Year Funding Framework 2000–2003*, Second regular session, 2003, UN document DP/2003/32, New York: UNDP.

[49] United Nations Development Programme Executive Board, *Strategic Plan, 2008–2011, Accelerating Global Progress on Human Development*, Second regular session, 2007, UN document DP/2007/43, New York: UNDP.

Adaptation Programmes of Action and to adaptation to climate change within the context of sustainable land management. Neither MYFF creates links between climate change and disaster risk reduction.

The UNDP Strategic Plan identifies 'environment and sustainable development' as one of its focal areas. This plan identifies climate change as a global development challenge, maps out an approach integrating adaptation and mitigation, and establishes the conceptual links with good governance and poverty reduction. The emphasis is on integrated coordination and programming across the UN and UNDP in particular, in order to support the efforts of developing countries and vulnerable groups in scaling up mitigation and adaptation action to successfully meet the climate change challenge and achieve the MDGs.[50]

Under the current Strategic Plan, UNDP is to provide the following services to achieve this objective:

- Promote tighter links between assessment, upstream policy and institutional change activities to investment in and the financing of solutions.
- Complement existing policy change and capacity development efforts at the national level by facilitating action at the subnational levels (among provinces, municipalities, communities).
- Balance the emphasis placed on adaptation and mitigation.
- Diversify the funding sources that countries can access and enable them to effectively combine and sequence these different sources.
- Promote public-private partnerships at all administrative levels.
- Mainstream climate change into core development processes.

UNDP's work on climate change grew out of its environmental programming. Over the past two decades, most environmental programmes implemented by UNDP have been financed by the Global Environment Facility (GEF), although in more recent years the level of bilateral project funding and other global funds has increased. Climate change programming has focused on mitigation, but in the past two years a more balanced approach has been taken in using GEF funding for both mitigation and adaptation.

2.5.2 GENDER EQUALITY AND WOMEN'S EMPOWERMENT

Guided by the UN *Convention on the Elimination of All Forms of Discrimination against Women* (CEDAW),[51] considerable emphasis is given in UNDP corporate strategies (MYFFs and the Strategic Plan) to promote gender equality in all of the organization's initiatives and in its support to the government. Outcome 7 of the Strategic Plan is: 'gender equality and women's empowerment enhanced in post-disaster and post-conflict situations'. This includes specific initiatives for the empowerment of women, where necessary.[52] Gender equality and women's empowerment are considered human rights and are central to development and the achievement of the MDGs. The commitment to achieving the MDGs provided further impetus to gender equality in programme support, since it is an MDG goal in itself as well as a condition for achieving other MDGs.

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[50] United Nations Development Programme, *Climate Change at UNDP: Scaling up to meet the challenge*, New York: UNDP, 2008.

[51] Adopted in 1979 by the United Nations General Assembly.

[52] UNDP is bound by several international conventions, including the Beijing Declaration and Platform for Action (1995); Security Council Resolution 1325 on Women, Peace and Security; and the Hyogo Framework for Action (2005).

The UNDP commitment in this area is reflected in its global gender strategies, namely the Gender Equality Strategy 2008-2011[53] and the Eight-Point Agenda for women's empowerment and gender equality in crisis prevention and recovery (2007),[54] which provide a framework for all UNDP activities. The Gender Equality Strategy was prepared in conjunction with the Strategic Plan, and was operationalized in parallel with it. The section on crisis prevention and recovery in the Gender Equality Strategy acknowledges the increased vulnerability of women during conflict and disasters. It also says that the potential for full community recovery is maximized if attention is given to the differing needs of women and men.[55]

The Gender Equality Strategy emphasizes measures for the advancement of women and gender equality in the building of institutions and a legal framework we well as in capacity-development and the strengthening of governance and leadership. Prior to the formulation of the strategy, UNDP had an interim Gender Action Plan (2006-2007). Since 2008, the Gender Equality Strategy has been closely aligned with the corporate strategy. Other actions that promote gender equality and the empowerment of women, some of which are included in the Gender Equality Strategy, include UNDP's Gender Steering and Implementation Committee; the gender compact between bureau directors and the UNDP Administrator; the inclusion of gender outcomes in the Results and Competency Assessment of senior management; and enhanced funding modalities and capacity-building for staff. The Eight-Point Agenda is an action plan to further empower women during conflict and peacebuilding. In addition, the Latin America and Caribbean strategy on promoting gender equality further emphasizes priority areas for the region.[56] At the global level, UNDP, in partnership with International Strategy for Disaster Reduction and the International Union for Conservation of Nature, prepared guidelines for a gender-responsive risk reduction policy and practice.[57]

2.5.3 FINANCIAL PORTFOLIO

Disaster prevention and recovery accounted for approximately 4 percent of total UNDP expenditures during 2004-2009. Out of the total of nearly $20 billion spent by UNDP during this period, about $866 million went to disaster prevention and recovery (see Table 1 for a breakdown of regional expenditures in recovery

Table 1. UNDP Expenditure on Disaster Prevention and Recovery, by Region, 2004-2009

Region	Total UNDP expenditure in the region (2004-2009)	Total disaster prevention and recovery expenditure in the region (2004-2009)	Expenditures as % of total expenditure in the region
Africa	$3,888,557,203	$ 54,718,745	1.4 %
Arab States	$2,762,143,852	$ 31,279,031	1.1 %
Asia and the Pacific	$5,139,243,709	$603,395,875	11.7 %
Europe and the CIS	$1,550,183,210	$28,541,096	1.8%
Latin America and the Caribbean	$6,582,959,483	$148,303,739	2.3 %
Total	**$ 19,923,087,458**	**$ 866,238,487**	**~ 4%**

Source: Drawn from UNDP ATLAS data.

[53] United Nations Development Programme, *Empowered and Equal: Gender Equality Strategy, 2008-2011*. Available online at http://www.undp.org/women/docs/Gender-Equality-Strategy-2008-2011.pdf (accessed 25 October 2010).

[54] Available online at http://www.undp.org/cpr/we_do/8_pa.shtml (accessed 25 October 2010).

[55] *Empowered and Equal: Gender Equality Strategy, 2008-2011*, p. 27.

[56] United Nations Development Programme, *Gender Compact Between the Administrator and Regional Bureau Director*, Regional Bureau for Latin America and the Caribbean, 2007-2008, New York: UNDP.

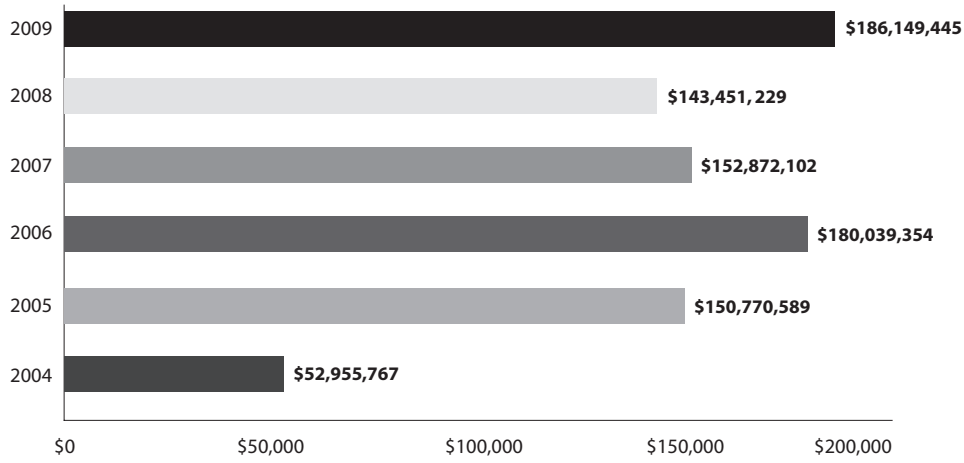
[57] *Making Disaster Risk Reduction Gender-Responsive: Policy and practical guidelines*, 2009.

and prevention). The analysis indicates that spending, of both core and non-core resources, was highest in Asia and the Pacific and lower in Africa. However, it encompasses only spending related to rapid-onset disasters, since most UNDP drought-related support falls under the poverty reduction and environment portfolios.

UNDP supported programmes in risk reduction and recovery in more than 55 high-risk and disaster-affected countries during 2004-2009. Over this same period, 119 countries received disaster recovery and prevention assistance (through both core resources and thematic trust funds); the number is even higher if funding for 17 city programmes is included.[58] Disaster prevention and recovery programmes were ongoing in 88 percent of UNDP programme countries during this period (123 out of 139 countries). A large proportion (80 countries), however, had expenditures of less than $1 million. The top 10 UNDP country offices with the highest disaster prevention and recovery expenditures are presented in Annex 4.

UNDP spending on disaster prevention and recovery has increased in recent years (see Figure 6). Expenditures in Africa doubled from $4 million in 2004 to $8 million in 2008; from 2008 to 2009, spending in the region nearly tripled, reaching a total of $23 million. In the Arab States, spending increased from $2 million in 2004 to $8 million in 2007; after a dip in 2008 it increased to $11 million in 2009. In the Europe and the Commonwealth of Independent States (CIS), spending grew from $1.7 million in 2004 to $13 million in 2008, but declined to $7 million in 2009. In Latin America and the Caribbean, it increased from $11 million in 2004 to $40 million in 2009. In Asia and the Pacific, tsunami funds increased expenditures for disaster prevention and recovery in 2005 and 2006: spending increased

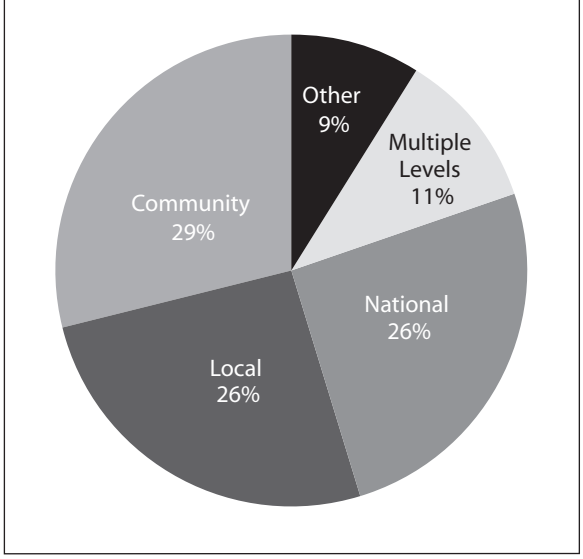
Figure 6. UNDP Annual Expenditure on Prevention and Recovery, 2004-2009



Source: Drawn from UNDP ATLAS data.

[58] A city programme is one that does not have a local UNDP country office and is run out of a multi-country office. The UNDP multi-country programme document 2008-2012 has been endorsed by the Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Palau, Solomon Islands, Tonga, Tuvalu and Vanuatu and includes programmes for each. The multi-country programme document will be implemented by the UNDP Fiji multi-country office. The 17 city programmes indentified in the disaster prevention and recovery portfolio are as follows: *Latin America: Antigua, Belize, Grenada, Montserrat, St. Kitts and Nevis, St. Vincent and Grenadine, Suriname, Trinidad and Tobago; Africa: Seychelles*; *Asia and the Pacific: Cook Islands, Kiribati, Niue, Samoa, Solomon Islands, Tonga, Tuvalu and Vanuatu.*

Figure 7. UNDP Expenditure on Disaster Prevention and Recovery at the National and Subnational Levels, 2004-2009



Source: Drawn from UNDP ATLAS data.

from $34 million in 2004 to $104 million in 2009. See Table 2 for regional trends in disaster prevention and recovery expenditure.

Spending on disaster prevention and recovery was highest in Asia and the Pacific, followed by Latin America and the Caribbean (see Annex 4). In terms of recovery, hydro-meteorological disasters received the most funds (See Table 3). Except in Asia and the Pacific, spending on activities related to prevention was higher than recovery spending (see Annex 4).

Figure 7 shows that the bulk of UNDP funds for disaster prevention and recovery are spent at the community and local levels.

In terms of core expenditures (through the Bureau of Crisis Prevention and Recovery) and non-core spending, the latter is higher in all regions (see Figure 8).

Table 2. Regional Trends in UNDP Expenditure on Disaster Prevention and Recovery, 2004-2009

Year	Regions (US$; percentage of expenditure in parentheses)					
	Africa	**Arab States**	**Asia and the Pacific**	**Europe and the CIS**	**Latin America and the Caribbean**	**Total**
2004	4,014,881 (7.58%)	2,148,787 (4.06%)	34,267,319 (64.71%)	1,661,664 (3.14%)	10,863,117 (20.51%)	52,955,767
2005	2,979,825 (1.98%)	2,664,102 (1.77%)	124,782,354 (82.76%)	1,622,994 (1.08%)	18,721,314 (12.42%)	150,770,589
2006	9,370,169 (5.20%)	1,842,772 (1.02%)	144,181,373 (80.08%)	1,804,458 (1.00%)	22,840,583 (12.69%)	180,039,355
2007	7,144,077 (4.67%)	8,098,924 (5.30%)	108,974,695 (71.28%)	3,250,376 (2.13%)	25,404,030 (16.62%)	152,872,102
2008	7,998,669 (5.58%)	5,369,134 (3.74%)	86,837,397 (60.53%)	12,988,300 (9.05%)	30,257,729 (21.09%)	143,451,229
2009	23,211,125 (12.47%)	11,155,313 (5.99%)	104,352,737 (56.06%)	7,213,304 (3.88%)	40,216,967 (21.60%)	186,149,445
Total	**54,718,745 (6.32%)**	**31,279,031 (3.61%)**	**603,395,875 (69.66%)**	**28,541,096 (3.10%)**	**148,303,739 (17.12%)**	**866,238,487**

Source: Drawn from UNDP ATLAS data.

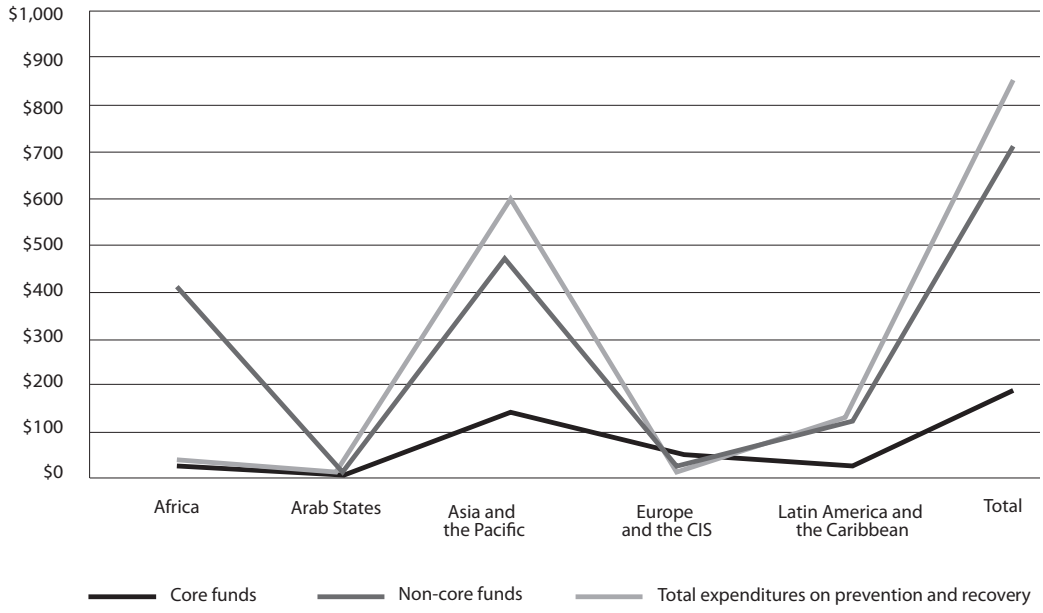
Table 3. UNDP Expenditure by Hazard Type, 2004-2009

Type of disaster	Specific type of disaster	Expenditures on prevention and recovery	Percentage of total prevention and recovery expenditures for each type of disaster
Geological hazards (11% of total UNDP prevention and recovery expenditures)	Earthquakes	$82,550,172	10%
	Volcanoes	$5,106,098	0.59%
	Desertification	$2,962,479	0.34%
	Land degradation	$513,222	0.06%
Hydro-meteorological hazards (22% of total UNDP prevention and recovery expenditures)	Hurricanes/ cyclones/ typhoons and storms	$56,621,344	7%
	Floods	$49,113,073	6%
	Drought	$43,207,320	5%
	Climate change	$37,186,836	4%
	Environment management- related disasters	$5,364,222	0.62%
	Weather (cold)	$1,585,943	0.18%
	Fires	$1,253,082	0.14%
Multiple hazards	Multiple hazards	$267,870,420	31%
Tsunami	Tsunami[59]	$266,715,881	31%
Could not be ascertained	–	$46,188,396	5%

Source: Drawn from UNDP ATLAS data.

[59] Tsunami-related programme expenditure is difficult to categorize, which is why it appears as a category on its own; although tsunamis are triggered by undersea earthquakes and other geological events, they are essentially an oceanic process that manifests as a coastal water-related hazard.

Figure 8. Core and Non-Core Expenditures by UNDP on Disaster Prevention and Recovery, by Region, 2004-2009 (US$ Millions)



Chapter 3

FINDINGS

Over the last 10 years, UNDP programme strategies have given increasing emphasis to disaster risk management. The first and second multi-year funding frameworks (for the years 2000-2003 and 2004-2007, respectively) considered disaster management as a component under broad support to crisis prevention and recovery. The ongoing Strategic Plan, in contrast, places strong emphasis on strengthening national capacities needed to manage recovery while reducing vulnerability to future disasters. The three key areas of support in the MYFFs and Strategic Plan are: 1) strengthening national capacities in disaster prevention and risk reduction and reducing vulnerability to future events;[60] 2) support for response and recovery;[61] and 3) addressing programming principles of UNDP, such as gender equality and strengthening partnerships for development.[62] UNDP support to disaster prevention and recovery has mainly been in response to rapid-onset disasters. Its coverage has grown significantly—from programmes in 34 countries in 2000 to 112 countries in 2010.

At the national level, disaster risk reduction (or prevention) programmes largely consisted of support for disaster risk management policy, legal frameworks, action plans and institutions, community-based disaster preparedness activities and contingency planning, along with early warning. While UNDP has supported large, national-level programmes (for example, in Bangladesh, India, Indonesia and Pakistan), other countries have smaller programmes of shorter duration, concentrated at the subnational level. The content of UNDP disaster risk reduction initiatives over the years has seen no substantial change, even after the introduction of the Hyogo Framework for Action in 2005.

In the last decade, several rapid-onset disasters have taken place, both those that are large in scale and annually recurrent events of smaller intensity. UNDP supported responses to all the major recent disasters, including the Gujarat earthquake in western India (2001), the tsunami in India, Indonesia, Maldives and Sri Lanka (2005), the earthquake in Pakistan (2005), floods (2004) and the Cyclone Sidr (2007) in Bangladesh, floods in Mexico (2007), Cyclone Nargis in Myanmar (2008) and the earthquake in Haiti (2010). The response to annually recurrent disasters was also supported in some countries. Support for recovery consisted mainly of post-disaster needs assessments, support to livelihoods and housing, coordination (involving both NGOs and governments), and the strengthening of government capacities.

Drought-related mitigation and recovery was not included in the UNDP disaster management programme, due to the way programmes are categorized in UNDP programme frameworks. The MYFF I did not include support to slow-onset disasters, while MYFF II includes support to drought under sustainable land management and includes indirect support as part of conservation

[60] MYFF I, sub-goal 1; MYFF I, sub-goal 2; MYFF II, service line 4.5. Natural disaster risk reduction, 4.5.1, 4.5.2, 4.5.3; Strategic Plan outcome 1, outcome 2.

[61] MYFF I, sub-goal 3; MYFF II, service line 4.2. Recovery, 4.2.1 and 4.2.2; Strategic Plan outcome 5, outcome 7, outcome 9.

[62] Though MYFF I and II and the Strategic Plan emphasize gender equality, South-South cooperation and support to reduce the risk of HIV as cross-cutting dimensions of programming, the Strategic Plan also outlines gender equality as a specific outcome (outcome 9).

and sustainable use of biodiversity under the GEF programme. The Strategic Plan, on the other hand, considers drought and floods as a consequence of climate change, affecting livelihoods and development in general. These are largely addressed as part of poverty reduction and environment programmes. Under disaster recovery and prevention, support to issues such as drought mitigation, desertification and land degradation comprised less than 1 percent of programme expenditures.

3.1 STRENGTHENING NATIONAL CAPACITIES

UNDP has helped countries formulate policies for disaster management, but challenges remain in integrating disaster risk reduction in development planning.

Governments are continuing their efforts to fulfil their commitments to the Hyogo Framework for Action and other conventions, and this has provided the impetus for the formulation of related legislation and policies. UNDP responded to such needs at the national level and supported governments in establishing institutional and legal frameworks for disaster management. UNDP support in this area was crucial in countries including Colombia, Fiji, Indonesia and Maldives. In Colombia, the support extended by UNDP in the 1990s was significant in creating an enabling environment for policy formulation and in setting up key institutions for disaster risk management. Out of the 55 evaluations analysed, UNDP played a key role in policy formulation in 18 countries; in 11 countries, UNDP contributed to creating an enabling environment for disaster risk management. To cite just a few examples, in the Islamic Republic of Iran, UNDP played a crucial role in the formulation of an Integrated Natural Disaster Management Plan. The plan was timely in providing a more comprehensive approach to disaster risk management in that country, and outlined clearly the structure of disaster management organizations at the national and provincial levels. In the Philippines, UNDP support to the Ministry of Home Affairs contributed to a series of initiatives under the National Disaster Management Framework, the formation of a nodal agency for disaster management at the national level, and the establishment of an early warning system. In Mongolia, UNDP helped formulate the draft National Framework for Action on Strengthening the Disaster Reduction Capacity in 2006-2015; through a series of conferences, UNDP also helped generate the momentum required to gain endorsement of disaster risk management legislation in June 2006.

UNDP has been more effective with regard to sector-specific support, particularly when establishing disaster management institutions and policies or pilot interventions in disaster preparedness. However, only limited success was seen in integrating disaster risk reduction in development planning and in strengthening government capacities in intergovernmental coordination for disaster risk reduction. UNDP responded to expressions of interest by the government for mainstreaming disaster risk reduction, in Honduras, for example, and at the state level in Mexico. However, this was not often given adequate priority in UNDP programming.[63] In countries such as Colombia, the roles, responsibilities and accountability at different levels of government and among institutions responsible for disaster risk management could be better harmonized.

Interrelated policies and legislative frameworks are important from the perspective of disaster risk reduction. Aside from poverty reduction strategy papers and national development plans, policies related to climate change, environment, water management, coastal area/resource management, energy management, land use and urban planning are critical to a multidimensional approach to disaster risk reduction. However, UNDP support

[63] In Honduras, for example, UNDP is the key agency working on disaster risk reduction; recent efforts include support to the Ministry of Planning in developing a national strategy for mainstreaming disaster risk reduction. UNDP has focused on linking disaster risk reduction planning at the municipal, regional and national levels.

in harmonizing overlapping mandates pertaining to disaster risk management in various policies, and coordination among government agencies, has been minimal.

Nor has UNDP facilitated a systematic approach to implementation of the Hyogo Framework for Action. In most countries, clear links have not been established between government programmes and the HFA.[64] This must begin with an analysis of existing policies and institutional capacities, and requires specific institutional and policy changes, which have not been carried out in many countries.

Across the case-study countries, practical measures for implementing existing disaster risk management policy are needed, and few efforts have been undertaken to support governments in achieving specific HFA targets by 2015. There were a few exceptions. The Safer Communities Through Disaster Risk Reduction project in Indonesia was more explicit in its support for a national action plan on disaster risk reduction, which aligns closely with the HFA.[65] In Mongolia, UNDP supported two phases of the Strengthening the Disaster Mitigation and Management Systems project. While taking measures to implement the HFA, Mongolia made efforts to establish links between reducing disaster risks and achieving the MDGs by 2015. The Comprehensive Disaster Management Programme in Bangladesh outlines three strategic goals of the HFA. These included integrating disaster risk reduction into sustainable development policies and planning; developing and strengthening institutions, mechanisms and capacities to build resilience to hazards; and systematically incorporating risk reduction approaches into the implementation of emergency preparedness, response and recovery programmes. Most other country offices, however, did not systematically link their support to HFA-related activities of the government.

The community-based disaster preparedness activities supported by UNDP in several countries, which are discussed at greater length in the following section, did not always inform policy and government programmes. Strategic links with government programmes that could lead to the institutionalization of lessons and scaling up are mostly lacking.

Urban risk reduction is an emerging area of UNDP programming, although in a few countries, such as Ecuador and Honduras, UNDP has an extensive urban risk reduction programme.[66] At the regional level, UNDP supported initiatives such as the African Urban Risk Analysis Network, which is piloting risk-reduction programmes in selected sites in Africa. The project built a virtual African network to allow disaster risk-reduction researchers and practitioners to access common resources and share knowledge and experience. The Andean Cities Programme, which is part of the regional networking initiative, helped collate various tools and methodologies in urban risk reduction. It also had important spill over effects in most cities included in the programme, particularly in developing strategies for urban risk reduction. The cities of Bogotá and Quito, which were part of the Andean Capital Cities Programme, have since developed strategies for risk reduction and preparedness. After the conclusion of the regional programme, the Municipality of Bogotá further developed an early recovery plan, which includes risk-reduction activities and quick-response measures to respond to a major earthquake. The early recovery strategy in Bogotá is being replicated in Quito.

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[64] For example, in India, while the national disaster risk management programme aims to address the priorities set out in the HFA, the programme is not designed to meet these longer-term objectives.

[65] The goal of the national action place is to substantially reduce "disaster losses in lives and in the social, economic and environmental assets of communities and countries." Commitment to the principles of the HFA can be seen in the disaster risk reduction convergence workshops, involving United Nations agencies, international NGOs, the International Federation of Red Cross and Red Crescent Societies, and donors, which led to the mapping out of disaster risk reduction activities and actors under the HFA priority areas.

[66] In 20 out of 22 municipalities in the country, providing direct support in 18 municipalities.

With increasing urbanization, issues such as land planning, urban development, public housing and infrastructure regulations, and unsafe settlements are priorities in most case-study countries. For example, since Colombia is predominantly urban, there is considerable need for strengthened capacities in preparedness and risk reduction in smaller municipalities. This is also an area that needs more attention in UNDP programming.

3.2 NATIONAL OWNERSHIP IN RECOVERY

UNDP support to disaster recovery lacks a strategic focus and has not been used effectively to strengthen national ownership and capacity.

UNDP supported recovery activities in all large-scale disasters and some annually recurrent disasters in over 30 countries in the past ten years. It played a complementary and supportive role in countries where already well-established national systems for preventing and managing disasters exist, as in Colombia and Mexico. UNDP played a larger role where government capacity was not adequate to deal with disasters of a larger scale, as in Indonesia and the Maldives at the time of the tsunami. The nature of recovery support prior to and after humanitarian reforms did not vary, although, after 2005, a more phased approach (in terms of early recovery and recovery) was implemented in some recovery programmes.

UNDP support consisted largely of short-term, micro-level interventions. While such interventions are relevant to recovery, they are often at the cost of longer-term needs, such as strengthening government systems and administrative mechanisms to better respond to disasters and recovery requirements and future risk reduction. UNDP has not been effective when it came to strengthening national capacities in recovery, particularly government systems and mechanisms required for speedier, more efficient and accountable response and recovery. Recovery support has been ad hoc and without clear objectives of what needs to be achieved.

UNDP-supported livelihood programmes largely included cash for work, support to microfinance and microenterprise, farm production and disbursing productive assets to affected populations. Although support for microcredit and microenterprises helped stabilize livelihoods at the household level, a significant contribution to sustainable livelihoods was not achieved. In terms of the scale of recovery needs in most countries, the UNDP contribution was often small in comparison. At the household level, livelihoods depended on many factors and assistance was received from various sources, including the government. There was limited monitoring information to ascertain the UNDP contribution to recovery outcomes.

Across the case-study countries, limited links were found between UNDP-supported interventions and ongoing government programmes. Even within the UNDP programme, links were not always made between recovery activities and poverty reduction programmes at the national and local levels. In many ways, this also limited the response in addressing the social and economic vulnerability that existed prior to the disaster.

In most recovery programmes, UNDP provided technical expertise and guidelines to improve the quality of shelter. In several countries, UNDP supported pilot initiatives to demonstrate cost-effective and disaster-resistant shelter models for use in government programmes. Interviews and meta-analysis indicate that the technical support provided by UNDP to shelter construction has been important in enhancing shelter quality. An issue that arose in many case studies and interviews was the link between shelter and livelihoods. It became evident that UNDP was not adequately involved in this issue. In Mexico, for example, UNDP refrained from any involvement in post-disaster housing in Chiapas state. Similarly, there was limited engagement in issues related to policies on housing in the buffer zone in tsunami-affected countries. While these are politically contentious issues in most countries, an opportunity was lost in providing an alternative perspective in this critical area.

Partnership with NGOs and community-based organizations was an important factor in effective recovery. The efforts in southern Mexico are a case in point. There, joint efforts maximized UNDP's contribution to recovery efforts in Chiapas and Tabasco. In India, the contribution of UNDP in the area of sustainable environment and coastal resource management, shelter and coordination can be attributed to strong partnerships with national NGOs.

Across the case-study countries, different types of needs assessments were carried out after disasters. These included post-disaster needs assessments, early recovery needs assessment, sector needs assessments, and recovery needs assessments. The post-disaster needs assessments were carried out in countries affected by events of medium to large intensity, including those where the cluster approach was implemented. UNDP participated in post-disaster needs assessments in most countries, often under challenging circumstances, as in Myanmar after Cyclone Nargis.

While the stakeholders interviewed considered post-disaster needs assessments useful, questions remained about the timing and communication of needs to inform recovery strategy. The experience of the Philippines indicated that needs assessment and preparation of a recovery strategy should be attempted when adequate resources can be provided or when the government expresses a need for such an assessment. In Pakistan, although the needs assessment was well coordinated after the 2005 earthquake, government stakeholders did not use it.[67] Governments, along with other stakeholders, often do not see the value in such an exercise, particularly when United Nations agencies do not have the resources to address the needs identified. With the exception of mega-disasters, such as the Asian tsunami or Haiti earthquake, agencies undertook their own rapid assessments as part of their programme support. Similarly, the international and regional financial institutions carried out their own assessments, which are required for loan disbursements. Considering limited national resources, the needs assessment exercise is seen as raising expectations that may be difficult to fulfil by the government. Interviews also suggested that the capacities and resources available from the United Nations and UNDP to carry out a thorough needs assessment have been limited, and that wherever it was effective, collaboration with other stakeholders proved to be an important factor.

The support provided to other types of needs assessments (aside from post-disaster needs assessments) pointed to similar issues. The recovery needs assessments in Colombia, India and Mexico, for example, indicated that their usefulness depends largely on national ownership of the process. In Colombia, the government had the tools and resources to carry out a recovery needs assessment on its own after massive flooding in La Mojana, and the United Nations and UNDP supported these government efforts. This was appreciated by government representatives, NGOs and donors. Similarly, the UNDP contribution in Mexico was effective since it complemented government efforts by providing technical support.

Coordination among different government agencies and nationally led coordination of international support in recovery and reconstruction was found to be inadequate. Large-scale recovery efforts were found to be lacking in transparent and accountable systems and procedures. Although UNDP has extended assistance to recovery and reconstruction planning and coordination mechanisms in some countries, systematic support to strengthening government capacities is lacking in most others.[68] Typically, more actors were found in social and

[67] UNDP online survey.

[68] In India, for instance, UNDP contributed to establishing coordination mechanisms for government, international NGOs and national NGOs after the Gujarat earthquake and in Tamil Nadu as part of recovery efforts after the tsunami. In Tajikistan, UNDP plays an important role in coordinating contingency planning and in recovery.

infrastructure sectors than in governance support, and UNDP did not adequately respond to such needs. Engagement in micro-level, small-scale livelihood and shelter activities had limited value-added, since these could be carried out by NGOs and community-based organizations.

Across case-study countries, local governments typically lacked the authority and capacity to manage recovery programmes. Even in countries with strong national institutions, local governments were without the financial resources needed to carry out disaster risk-reduction activities. And, typically, the responsibility of local governments is ill defined. UNDP did not adequately engage with local governments to strengthen their capacities or to use recovery programmes to address governance issues related to the power and financial resources available to local governments. UNDP engagement either tends to focus on strengthening capacities of civil society organizations or on setting up community-based mechanisms to support local government. Both approaches, while important, failed to strengthen the capacities of local governments and are unsustainable.

While UNDP has made progress in supporting early recovery cluster coordination, issues remain with respect to communicating the need for such an approach, facilitating wider coordination and enhancing national ownership.

Since 2005, when the cluster approach was first introduced, it was employed in 18 rapid-onset disasters.[69] Not all humanitarian clusters were required in each country. In fact, early recovery clusters were formed in only seven countries,[70] since some governments specifically requested a limited number of clusters.[71] The cluster approach was used in a less formal way in a few disaster responses, for example, the La Mojana floods in Colombia (2007) and the tsunami response in Tamil Nadu in India (2005). An early recovery cluster was not formed in either case. In a few countries, the early recovery cluster continued as a coordination mechanism beyond the emergency phase and was used in contingency planning and preparedness activities.[72]

While UNDP has made progress in supporting early recovery cluster coordination, issues remain with respect to communicating the need for such an approach, facilitating wider coordination and enhancing national ownership. Though a lack of clarity surrounded the need for an early recovery cluster initially, this has improved, and there is emerging interest in some countries in the use of early recovery as an approach in disaster preparedness, for example, for ex-ante recovery planning. Early recovery clusters that were implemented, however, lacked strong inter-cluster coordination and balance between operational and advisory/networking roles. UNDP limited its engagement to short-term interventions, rather than providing leadership in linking recovery activities to national development processes.[73] Interviews with UNDP country office staff indicated that the space available for UNDP to integrate issues that need to be addressed across clusters remains limited.

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[69] Pakistan earthquake (October 2005); Pakistan floods (2005 and 2007); Yogyakarta, Indonesia earthquake (May 2006); Bangladesh (2007); Lebanon (2007); Dominican Republic (tropical storm Noel 2008); Georgia (2008); the Philippines typhoons/mudslides (December 2006 and 2009); Madagascar (2007) and Mozambique floods (February 2007); Tajikistan (2007); Colombia (2007); Myanmar (2008); Haiti, (2009, 2010). See: Inter-Agency Standing Committee, The IASC Cluster Approach in Practice Countries and Implementation, November, 2009.

[70] Pakistan floods (2005 and 2007); Philippines typhoons/mudslides (December 2006 and 2009); Yogyakarta, Indonesia earthquake (May 2006); Tajikistan (2007); Madagascar (2007); Mozambique (February 2007); Myanmar (2007).

[71] In Pakistan, the government specifically asked for clusters in emergency water, sanitation and hygiene; health; and early recovery.

[72] For example, in Bangladesh, Colombia, Madagascar, Mozambique, Philippines, Tajikistan and Viet Nam.

[73] See also: United Nations Development Programme, *CWGER [Cluster Working Group on Early Recovery] Lessons Learned Exercise Online Survey Report*, New York: Bureau for Crisis Prevention and Recovery/UNDP, 2009.

Communication between UNDP and OCHA, which is critical for intercluster coordination, has not always been congenial,[74] and questions about the need for an early recovery cluster persist. Furthermore, the use of inter-agency mechanisms requires better coordination in countries with complex crises. In Colombia, for example, where the early recovery cluster was used to coordinate support in conflict situations and in disaster contingency planning, interface between the two inter-agency forums was limited, particularly in addressing interrelated crisis issues.[75]

Participation of a wide range of stakeholders in early recovery clusters has been mixed. First, although efforts have been made to establish clusters at the regional (subnational) level (as in Colombia, Myanmar and Tajikistan), the emphasis is largely at the national level, limiting the local perspective. In countries where subnational clusters exist, the coordination between national and regional levels needed strengthening. Second, ownership and engagement of the government remains weak. While efforts are ongoing to adapt the cluster to requirements at the country level, interface with national authorities and institutions was found to be weak. UNDP, however, was unable to leverage its partnership with the government at different levels to advance a nationally owned process in early recovery cluster coordination. In some instances, governments did not see the need for a cluster approach. This was most evident in Latin American countries (Colombia, Mexico and Peru), although government representatives in other regions expressed similar views. In order to promote national ownership, the cluster approach should be adapted to the national context and institutional systems.[76] Third, while the cluster approach has involved the participation of humanitarian stakeholders, engagement by development stakeholders, particularly by international and regional financial institutions, has been limited.[77] Finally, the participation of NGOs is not uniform across countries. Non-governmental organizations are increasingly accepted as co-facilitators, however their contribution needs to be better acknowledged.

Mobilizing funds has been challenging for clusters in general and for the early recovery cluster in particular. Well-organized tools, such as the Flash Appeal and Consolidated Appeals Process, have been put in place to mobilize funds for the implementation of humanitarian cluster programmes. However their success has not been uniform. A striking example is the response to the recent disaster in Haiti, where early recovery received $4 million out of the total $695 million raised. Although UNDP contributed funds through its own budget to meet staff costs, the early recovery cluster could not attract donor funding at the country level since it was a cross-cutting area. At the country level, the view is strong that early recovery should be aligned with the humanitarian phase, but this is an area that requires more deliberation at the inter-agency

[74] The evaluation found that, in Colombia and Myanmar, good coordination existed between the two agencies. In Colombia, the Resident Coordinator/Humanitarian Coordinator made a special effort to ensure a more cordial working relationship among United Nations agencies in general and with OCHA in particular. In Myanmar, OCHA and UNDP shared field staff positions.

[75] In Colombia, the Inter-Agency Standing Committee is used for the coordination of support related to internal violence, while the United Nations Emergency Team is used for coordination of natural disaster support. While the early recovery cluster is fully operational in the IASC, it is still in the early stages within the UN Emergency Team and is used only for contingency planning. The participation of the government is kept to a minimum by the IASC, which is a deliberate strategy to address issues of internally displaced persons. Government representatives participate in the UN Emergency Team. While the evaluation takes note of the complexity of addressing issues related to internal violence and related challenges and sensitivities, it was also found that there is scope for better interface between the two groups.

[76] A case in point is Mexico, where the United Nations and UNDP provided support to the Tabasco and Chiapas flood response without operationalizing the cluster approach.

[77] There are a few exceptions. The evaluation points to partnership in the early recovery clusters in Madagascar and in Myanmar.

level. Possible short-term inter-agency options include demarcation of funds raised through flash/consolidated appeals and allocating a certain percentage of central emergency response funds for early recovery cluster activities.

3.3 PUTTING CORPORATE STRATEGIES INTO ACTION

Closer integration of disaster risk reduction with other UNDP priorities, such as poverty reduction, governance and adaptation to climate change, is progressing in some country programmes, but has not been given sufficient priority in many others.

UNDP programme strategy acknowledges disaster risk reduction as an important factor in reducing poverty and vulnerability and achieving the MDGs. In its publications, UNDP advocates giving greater importance to disaster risk reduction in achieving development results.[78] *The Millennium Development Report 2010*, for example, acknowledges the importance of reducing the risk of disasters to achieve the MDGs. In the last ten years, UNDP has actively participated in debates to further consensus on global policies to strengthen links between climate change adaptation and disaster risk reduction. Despite such commitment, closer integration of disaster risk reduction with other UNDP priorities such as poverty reduction, governance and adaptation to climate change is progressing in some country programmes, but has not been given sufficient priority in many others.

Increasingly, governments are recognizing the links between disaster risk reduction, poverty reduction and development, and efforts are being made to address them. To cite a few examples: In Mexico, the government is taking measures to include disaster risk reduction in social development programmes. In the Maldives, disaster and climate risk reduction is considered a critical issue and is fully integrated into development planning. In Bangladesh and Colombia, efforts are under way to integrate risk reduction into local development programmes. Despite such recognition, systematic efforts to integrate

Box 1. Small Investments in Disaster Risk Reduction in Mexico Pay Off

Recurrent disasters in Mexico's Yucatán Peninsula have long been acknowledged as a risk to the sustainability of Small Grants Projects funded by the Global Environment Facility (GEF). Nevertheless, in 2002, flooding caused by Hurricane Isadore wiped out investments made in 75 out of 200 such projects, which included small enterprises for productive activities that involve or promote conservation of forests, international waters, soil and/or biodiversity.

In response, and with modest core funding, UNDP assisted communities in preparing disaster and vulnerability assessment tools, and developed risk reduction and preparedness methodologies. Disaster risk reduction was subsequently integrated in 25 Small Grants Projects in 2003 in the Yucatán and Quintana Roo. The disasters that followed, which included Hurricanes Emily and Wilma (2005) and Dean (2007), demonstrated that the efforts had paid off: Communities where disaster risk reduction methods had been implemented, and Small Grants Projects that included a disaster risk reduction component, experienced minimal losses. As a result, disaster risk reduction was integrated into 200 Small Grants Projects out of a total of 500 in Mexico. The cost of including such a component averaged 4 percent of the project budget.

Over the years, the programme has been scaled up in 119 municipalities in seven Mexican states. The scope of the programme also widened beyond the Small Grants Programme to include public development investments at the municipal level as well as private investments. Moreover, UNDP was successful in mobilizing government resources for scaling up the programme. Efforts are now under way to include disaster risk reduction in the programmes of the country's Indigenous Commission and Social Development Commission.

[78] For example, the *Global Risk Reduction Report* (2009) and *Reducing Disaster Risk: A challenge to development* (2004).

disaster risk reduction into national development planning in most countries are lacking. Just 14 of the 35 PRSPs analysed for this evaluation paid sufficient attention to disaster risk reduction as an important area of focus;[79] the remaining countries paid varying levels of emphasis.[80] With some exceptions, both in PRSP and non-PRSP countries, limitations were found in the implementation and allocation of budgets for disaster risk reduction activities. Again, with some exceptions, UNDP made a limited contribution to integrating disaster risk reduction into development planning; and in countries where risk reduction is already a development priority, UNDP made a limited contribution to implementation.

While disaster risk reduction is prioritized as a programme area in many countries, UNDP has paid sparse attention to its interface with poverty reduction. In fact, poverty reduction initiatives of UNDP rarely included a risk-reduction dimension.

Since approaches to recovery and risk reduction are still in their early stages, the disaster preparedness programmes that do exist tend to be oriented more towards hazard reduction and vulnerability reduction. Similarly, disaster risk reduction as a governance issue has received limited attention in UNDP country programmes. In cases where UNDP supported initiatives for more integrated management of environment and coastal resources, such programmes remain isolated interventions because of poor links to the development interventions of UNDP and to government programmes. A few exceptions were found, which offer important lessons for strengthening synergies among complementary areas of the UNDP programme. In Mexico, for example, the integration of disaster risk reduction components into projects significantly contributed to sustaining development investments at the local level (see Box 1). Similar results are evident in Bangladesh in a community-based poverty reduction programme that incorporated disaster preparedness and risk reduction. In Honduras, disaster risk reduction is addressed as a governance issue.

Disaster risk reduction has not received the attention it deserves in UN Development Assistance Frameworks (UNDAFs), despite existing guidelines for incorporating disaster risk reduction in UNDAFs and Common Country Assessments.[81] A review of 34 UNDAFs in Asian countries, for example, showed that 65 percent included disaster risk reduction as one of their outputs or outcomes, and 15 percent recognized the relationship between poverty reduction and disaster risk reduction. However, 20 percent did not mention risk reduction at all.[82] Moreover, progress in establishing institutional frameworks for disaster management has not often resulted in a more integrated approach to addressing disaster-related issues at the national level.

The lack of focus on the interface between poverty reduction and disaster risk management has been compounded by several factors. First, the compartmentalized nature of UNDP programming has constrained partnerships beyond the disaster management agencies. If disaster risk management is to focus on vulnerability or poverty reduction, government institutions that have a mandate for poverty reduction, the environment,

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[79] The 14 countries are Bangladesh, Cambodia, Chad, Djibouti, Haiti, Honduras, Mexico, Mozambique, Nicaragua, Samoa, Senegal, the former Serbia and Montenegro, Timor-Leste and Viet Nam.

[80] The countries that paid moderate emphasis are Benin, Burundi, Cape Verde, Comoros, Ethiopia, Guyana, Madagascar, Niger, Republic of Moldova, Rwanda, Tajikistan, United Republic of Tanzania and Zambia. Afghanistan, Gambia, Georgia, Indonesia, Kenya and Mali paid limited attention. Guinea-Bissau and Uzbekistan paid minimal attention.

[81] International Strategy for Disaster Reduction and United Nations Development Programme, *Integrating Disaster Risk Reduction into CCA [Common Country Assessment]and UNDAF*, October 2006. The draft guidelines were approved in 2009.

[82] *Global Assessment Report on Disaster Risk Reduction,* 2009.

gender equality and related development issues must be involved. Disaster management agencies in most countries predominantly addressed vulnerability from the perspective of location and physical infrastructure. Engaging only with disaster management institutions narrowed the perspective of UNDP interventions.

Second, there are cost implications for considering poverty reduction from the wider perspective of vulnerability reduction, which includes incorporating a disaster risk reduction component. This also applies to recovery programmes in most countries, where integrating long-term risk reduction is not regarded as viable because of the extra costs involved. Government representatives interviewed perceive a need for integrating disaster risk reduction in recovery and development planning, although they acknowledged that such efforts are at early stages. Most countries lacked a cost-benefit analysis of the advantage of vulnerability and disaster risk reduction in poverty reduction, which could inform government decisions and the allocation of resources. At the country level, UNDP efforts in disaster risk reduction advocacy have been minimal. For example, MDG monitoring is not used as a tool to emphasize how disasters, particularly recurrent small-scale natural events, increase poverty levels and reverse development gains. The evaluation also noted that UNDP has made limited use of national human development reports as a tool for making this connection.

Third, the lack of clarity on what integrated programming entails, particularly within the results framework, is a constraint that pervades the organization. A perception exists among UNDP staff that integrated programming leads to a loss of focus in individual programme areas. At the corporate level, limited guidance is provided in integrated programming, particularly in developing joint outcomes and indicators for designing and monitoring programmes. In addition, funds mobilized by country offices are allocated to specific programme areas, and it is difficult to raise funds for integrated programming. Limited efforts are made to overcome such a compartmentalized approach when addressing complex development issues such as poverty reduction and disaster risk reduction.

UNDP has not maximized opportunities to demonstrate through its programmes the critical urgency of integrating disaster and climate risk reduction.

In the last three years, UNDP has aimed to address climate change adaptation as a development issue and as a factor in achieving the MDGs. While correlations are found between climate change and disaster risk reduction objectives, limited synergies have been created in UNDP support at the country level and in its programming. UNDP has not maximized its opportunities to demonstrate through its programmes the critical urgency of integrating disaster and climate risk reduction. Furthermore, funding and programming arrangements have contributed to subtle and guarded boundaries between climate change and disaster risk reduction programming and a lack of synergy both at the corporate and country level: Climate change adaptation programmes are categorized as environment programmes, which include a large proportion of initiatives funded by the Global Environment Facility (GEF). UNDP has established an organizational substructure to manage GEF corporate relations, develop related partnerships and oversee management of GEF projects. Typically, with dedicated staff working on GEF-related programmes, the incentive for more integrated programming is further reduced.

Other factors that discourage integrated programming are the restrictions placed on funds for many environment and climate change programmes. An estimated 30 percent of GEF support to UNDP (which is approximately $900 million) goes for projects related to climate change adaptation and mitigation. GEF rules and procedures are fairly restrictive, which means that integrated programming for achieving broader objectives is not always feasible. Since 2007, funding to UNDP for adaptation has further expanded and includes the Least Developed Countries Fund, the Special Climate Change Fund, and Japanese bilateral

funds for the African Adaptation Programme. Procedures and criteria for these funds are less prescriptive than those of the GEF and provide more opportunities for integrated programming.

With increased recognition of the links between disaster risk reduction and climate change adaptation, efforts have been made within UNDP to explore possible synergies in programming. In 2007, UNDP's Bureau for Development Policy (BDP) and the Bureau for Crisis Prevention and Recovery (BCPR) jointly prepared a partnership framework outlining the specific objective of developing an integrated approach to climate risk management, covering both climate variability and climate change. While the framework set out a conceptual and technical basis for collaboration, it was not implemented. Efforts to do so were renewed in 2009, with UNDP senior management emphasizing the synergies between complementary areas of programming.[83] A new work plan has been prepared to improve cooperation between BDP and BCPR for climate-related risk management through joint programmes.[84] This is still in the initial stages and is thus too early to judge progress, although more recent initiatives look promising. For example, the Climate Risk Management Technical Assistance Support Project, jointly developed by the two bureaux, aims to build the capacities of UNDP and participating UN and regional agencies to analyse risks related to climate variability and change and to define risk management solutions through a methodology that integrates risk over short and longer-term time scales.

The nine countries included in the evaluation have different levels of vulnerability to climate change, ranging from Colombia, India and Mexico, where climate change is one of many challenges, to the Maldives, where climate change threatens the very future of the country. In all countries, the anticipated impact of climate change will likely be superimposed over the existing climate-related disasters. Hence, climate change and disaster risk reduction are closely interrelated. This superimposition is particularly true for countries with a large population living in coastal areas.

Overall, UNDP adaptation projects are designed to decrease vulnerability to climate change and to climate variability. In addition, UNDP supports coordination efforts, such as an initiative in Myanmar to coordinate the donor working group on the environment and to help establish a Climate Change Trust Fund in Indonesia. In Fiji and the Maldives, UNDP is seen as a key actor in supporting adaptation to climate change. As such, and in most cases, these projects are seen to have a positive impact on disaster risk reduction. With the exception of Colombia and the Maldives, there is a lack—almost absence—of operational or institutional links between adaptation and disaster risk reduction activities of UNDP at the country level. The recent *Evaluation of the Impact of UNDP Disaster Risk Reduction Interventions*[85] made similar observations.

In most instances, disaster risk reduction and adaptation are not meaningfully linked in UNDAFs and UNDP country programme documents, although there is some evidence that this may be starting to change. In the

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[83] In late 2009, the UNDP Administrator requested the two concerned bureaux—the Bureau for Development Policy and the Bureau for Crisis Prevention and Recovery—to work together on a general joint work programme, including disaster risk reduction and climate change. This has led to a series of meetings and joint agreements to explore and define cooperation.

[84] The objectives of the work plan include: 1) Cooperation to integrate climate and climate-related risk into country programming; 2) Demonstration of climate and climate-related risk management through joint programmes; 3) Joint advocacy for an integrated approach; 4) Joint work to mobilize resources; and 5) Sharing and seconding of human resources. See: *BCPR-BDP Joint 2010 Work Plan on Climate Risk Management*.

[85] See, Buckle, Philip and Lezlie Moriniere, *Evaluation of the Impact of UNDP Disaster Risk Reduction Interventions (2002-2009)*, Geneva: Bureau for Crisis Prevention and Recovery/UNDP, November 2009.

Maldives, for example, disaster risk reduction and adaptation is mainstreamed across the country programme. In Mozambique, the country office established a single programme unit responsible for climate change, environment and crisis prevention and recovery. While more efforts are needed to operationalize joint work, the unit has succeeded in forging a single coherent strategy for risk reduction. But certain opportunities were missed. In Colombia, for example, the UNDAF has been revised to integrate climate change related issues. The opportunity, however, was not used to establish links with disaster risk reduction.

UNDP has been involved in disaster risk reduction for many years. A great deal of the information, analytical tools, risk maps and organizational capacity developed through disaster risk reduction programmes will be of direct relevance in adapting to climate change. However, there is little evidence of UNDP adaptation activities building on work done over the previous years in disaster risk reduction. In most cases, the adaptation programmes are too new to have a significant impact at the community level.

Most often, communities are affected by both drought and rapid-onset disasters. But with a few exceptions (such as Colombia and Ethiopia), this overlapping vulnerability has not been addressed. Africa, particularly the Horn of Africa, is most severely affected by multiple hazards, including drought, and the El Niño effect has exacerbated drought conditions in Latin America, along with large parts of Asia. Specific programmes support drought-related issues, in Ethiopia, India and Kenya, for example. However, synergies with drought-related programmes are constrained. At the country level, the agencies responsible for addressing drought and rapid-onset disasters vary. Drought issues are addressed in most countries by more than one government agency, such as those concerned with agriculture, water management, irrigation and rural development. Integrated programming implies not only working with a wide range of government institutions, but better coordination among UNDP programmes.

In most countries, disaster risk reduction and climate change adaptation activities tend to be spread among different government agencies (as in Colombia, Fiji, India, Maldives, Mexico and Mozambique). In addition, national frameworks for implementing the UN Framework Convention on Climate Change and the Hyogo Framework for Action are separate, with different ministries responsible for these activities. Coordination has been limited in most countries despite intersectoral task forces. Though governments acknowledge the need for synergies between the two areas, both at the conceptual level as well as in programme implementation, concrete efforts towards this end are rare. UNDP was not found to have a coherent programme strategy that addresses the complex policy, programming and partnership issues that integrated programming would necessitate. In fact, the current climate change adaptation and disaster risk reduction frameworks do not lend themselves to an integrated approach.[86]

A few programmes provide useful lessons in integrated programming, but these are mainly the results of efforts by UNDP country offices. For example, in the Maldives, the disaster risk reduction and adaptation links are well established by the government through its development plan. The UNDP programme, both in design and implementation, followed an integrated approach to address disaster risk reduction and climate

[86] There are a few UNDP interventions that attempted to address climate change adaptation issues in an integrated manner. For example, in Colombia, UNDP supported a municipal programme to address climate change and disaster risk at the community level. In the Solomon Islands, it contributed to training for both adaptation and disaster risk reduction communities. In Mexico, the Gender Unit prepared tools and manuals for integration of the gender dimension in disaster risk reduction and climate change initiatives. Finally, in Mozambique, UNDP has contributed to climate change research that is considered to be among the highest quality work in Africa; this was carried out with disaster risk reduction institutions, thereby building on previous work in this area. In Madagascar, an ongoing disaster risk reduction project will undertake a study on the impact of climate change and identify links with reducing disaster risk.

change adaptation as related and cross-cutting issues in development programming. Elsewhere, also, more recent GEF climate change adaptation projects aim to reduce disaster risks through softer climate change adaptation measures.

While it was recognized that conflict can undermine the capacities of governments and communities to address natural disasters, and vice-versa, programming in the two areas did not reflect this.

Although there is an acknowledged need for complex crisis programming within UNDP, it is yet to be seen in practice. UNDP programme support to countries affected by both natural disasters and conflict did not have a strategy for approaching complex crises. Furthermore, there was little clarity about programming for complex crises in corporate programming strategies. An internal review of UNDP programmes in countries with complex crises has identified opportunities, lessons and good practices.[87] However, the review underscores that generalizations are not easy given the varied degrees of complexity related to conflict and disaster situations. Drawing from the experience of responding to the Asian tsunami in conflict-affected countries, the review indicates that it is no longer possible to address disaster issues without also addressing the associated conflict dimension.

Several factors contribute to separate programming in this area. First, the political sensitivities associated with conflict-related crises are much higher than those related to natural disasters. UNDP country offices are of the view that a complex crisis approach may delay programme implementation in both areas. Second, it is perceived that conflict and peace-building require more focused attention and cannot be tied to disaster risk reduction programmes. Third, as the Colombia case study suggests, the political space available for working on issues related to internal violence and conflict is sometimes limited. Fourth, mobilizing resources for joint programming has been difficult for the country offices, and funds are more often available for conflict-related support.

Complex crisis programming opportunities tend to be greater during slow-onset disasters. For example, in Ethiopia, the main hazards are drought and floods, and the disaster situation is often compounded by resource-based conflict. Hence, UNDP supported joint programmes at the subnational level; efforts have also been made to employ conflict resolution mechanisms during slow-onset disasters since competition over limited resources compounds crises.

While there are opportunities and a need for complex crisis programming, more conceptual and operational clarity is required. In addition, slow- and rapid-onset disasters present different contexts for integrated programming. The continuum of drought, access to scarce natural resources and conflict is a challenge, particularly in Africa and parts of the Arab region. However, since the UNDP programme is well established in conflict and disaster-management areas, the opportunity to address some of these critical issues also exists.

3.4 BUILDING LOCAL CAPACITIES

Community preparedness initiatives can strengthen local capacities, yet typically they are constrained by poor institutionalization of programme processes and outcomes.

Disaster preparedness and risk reduction initiatives at the local level were implemented in over 20 countries during the evaluation period, comprising about 54 percent of UNDP's entire disaster risk reduction interventions. In the case-study countries, the composition of local-level interventions was much higher, ranging from between 70 percent and 90 percent of

[87] United Nations Development Programme Bureau for Crisis Prevention and Recovery, *Disaster–Conflict Interface – A Comparative Analysis*, New York: UNDP, 2009.

UNDP's disaster risk reduction programme. The programmes largely entailed support to community and local institutions in preparing risk maps, planning for contingencies, and training community, local government representatives and NGOs. The scale and duration of such programmes, however, varied across countries.[88] The approach involved working directly with local government through NGOs and community-based organizations or a combination of both.

Community preparedness initiatives were useful in strengthening local capacities. In a number of instances, UNDP used community programmes to demonstrate the importance of disaster preparedness and to integrate a disaster risk reduction component into local-level development interventions. In Mexico, for example, UNDP was able to scale up community-based preparedness interventions to the state level (see Box 1). UNDP has also been successful in informing government practices in Bangladesh and India. In India, the programme succeeded in demonstrating the importance of local-level preparedness. Other examples were also found where preparedness programmes contributed to better coping at the community level.[89]

However, UNDP programmes at the community level had limited links to related government programmes. The fact that they were rarely institutionalized meant that they were one-off successes, and failed to inform government programmes and policies. Strengthening the capacities of local governments remains a challenge. There is also the risk of community programme mechanisms becoming parallel structures to local governments. With some exceptions, Ethiopia, for example, limitations were found in the links established among different levels of government. Excessive focus on contingency planning and preparedness and limited interventions in risk reduction weakened the possible contribution of community-based initiatives.

3.5 MAKING RECOVERY AND PREVENTION EFFORTS GENDER-SENSITIVE

UNDP has spurred the participation of women in community-level initiatives in recovery and prevention, yet the application of gender policies has been uneven, and more effort is needed to achieve leadership and funding targets.

UNDP has taken policy measures to ensure greater attention to gender equality and women's empowerment in programming. The mandatory allocation of 15 percent of funds for crisis-related activities (both conflict and disaster) is a unique measure by UNDP to operationalize gender policy. At the global and regional levels, UNDP contributed to advocacy and publications to make disaster prevention and recovery more gender-sensitive.[90]

Attention paid to gender-related issues in UNDAFs and country programmes, however, did not reflect the corporate commitment to gender parity. Although some programmes are targeted at women and efforts are made to ensure their participation in disaster prevention

[88] Among the case-study countries, India had the largest programme in terms of both scope and time-frame. From 2002 to 2009, programme outputs included: Disaster management plans prepared for eight states, 176 districts, 1,571 blocks, 32,374 local government bodies and 157, 000 villages; Emergency Operations Centres set up in 105 districts; more than 1,412,853 volunteers trained to undertake community-based disaster management activities, including 291,725 women. Nearly 125,817 teachers were trained in disaster preparedness, and 9,926 engineers, 1,640 architects and 38,534 masons were trained in seismic safety. In Mexico, the community disaster preparedness programme evolved gradually over the last eight years, while in Fiji, Indonesia, Madagascar and the Maldives, community-based initiatives started up more recently. In Colombia, Madagascar and Mozambique, while community-based initiatives were undertaken, they tended to lack continuity.

[89] For example, villages that participated in the programme had fewer casualties during the tsunami.

[90] A joint publication of the United Nations International Strategy for Disaster Reduction Secretariat and the International Union for Conservation of Nature, *Making Disaster Risk Reduction Gender-Responsive: Policy and practical guidelines*, is one such initiative.

and recovery, gender issues are not addressed in a systematic way in programme planning and implementation. A few country programmes, as in Mexico, outlined gender equality as a priority area and set up a gender unit to support government efforts as well as to integrate gender priorities within the UNDP country programme. Most other country programmes, however, have yet to prioritize gender as a cross-cutting theme in programming.

Community-level initiatives in recovery and prevention were found to be sensitive to women's concerns. In community-based preparedness interventions, the participation of women was in the range of 8-30 percent. UNDP paid specific attention to the participation of women from disadvantaged groups, such as indigenous communities in Colombia and Mexico. In India, Indonesia, Mexico and Myanmar, the evaluation found that women's participation in addressing gender-related concerns was comparatively better when they were members of community-based organizations or NGOs. UNDP efforts contributed to creating awareness of gender issues in disaster risk management.

Gender-disaggregated recovery indicators developed by UNDP in Myanmar were key to including gender and women's empowerment as a cross-cutting dimension in the Cyclone Nargis recovery programme. UNDP actively engaged with governments and NGOs elsewhere to ensure that the priorities of women in recovery activities were taken into consideration. This was evident after the Gujarat and Himalayan earthquakes and the tsunami disaster. UNDP contributed to efforts to ensure that women had a say in post-disaster housing and were joint owners of the assets provided as part of recovery programmes in Bangladesh, India, Indonesia and Sri Lanka. Coordination with other agencies, particularly NGOs, was instrumental in ensuring that a gender perspective was integrated in all aspects of recovery work. In Indonesia, UNDP supported the government in developing strategies for integrating gender in recovery and reconstruction activities.

Important efforts were also made to prepare training modules for creating awareness and integrating gender-related issues into disaster risk reduction. Manuals were produced for regional programmes in South Asia, and in countries including India and Mexico. The Mexico programme is exceptional in many ways. In the past five years, UNDP supported the development of several tools, guidelines and handbooks for integrating gender into climate and disaster risk reduction. The guidelines were prepared in partnership with national stakeholders and with NGOs; the handbooks and guidelines were also used by other Latin American countries. Stakeholders, particularly government representatives in Mexico, considered them valuable in further enhancing their efforts towards more equitable risk reduction.

UNDP programmes often misinterpreted the engagement of women in community-level interventions as addressing gender concerns. Overemphasis was placed on treating women as beneficiaries without addressing their underlying vulnerability. The evaluation found that a more systematic approach is required to convince local governments to adopt a gender-sensitive approach to disaster risk reduction. In Mexico, women in the community expressed the view that acceptance of gender equality in development initiatives at the municipal level was weak. In India, the incentive to take up gender issues is much greater due to the fact that one third of local government representation at the district and sub-district levels is mandated to go to women. This has facilitated progress on furthering the gender agenda in disaster management. However, UNDP local preparedness programmes did not use these forums to address gender-related concerns.

Gender-disaggregated data remain a concern at the subnational level in most countries. Limited efforts were made to collect such information, even when UNDP had good partnerships with local organizations. In countries where there is MDG monitoring at the subnational level, gender-disaggregated data are rarely used as a tool to systematically address gender issues. There

were a few exceptions. In Sri Lanka, for example, a conscious effort was made to ensure that gender concerns are mainstreamed into all activities aimed at localizing the MDGs and in addressing issues pertaining to disaster prevention and recovery.

Constraints in addressing gender concerns in disaster risk management persist, including limited progress in dealing with gender priorities in development. While a commitment to gender equality may exist at the national level, practical measures to fulfil that commitment are often few and far between. For example, most countries studied had legal frameworks to further empower women and independent ministries (as in Fiji, India, Mozambique, Maldives, Madagascar) or institutions (as in Colombia and Mexico) to address gender issues and women's concerns. All of the countries studied were signatories to international conventions promoting gender equality. Despite this apparent commitment, women are still disadvantaged due to gender disparities in literacy levels, access to health care, employment rates and access to financial services. Across the countries evaluated, national and subnational governments lacked the capacity to systematically address gender-related issues in development planning and policy, and women are not adequately represented in national institutions. Reporting by the HFA on integrating gender perspectives in disaster risk reduction and recovery points to similar issues. Despite some progress, only 20 percent of the reporting countries acknowledge gender as a factor in disaster risk management.

Lack of national capacities draws further attention to the need for gender equality as a priority in UNDP programmes. Although UNDP contributed to developing tools and manuals to mainstream gender in climate and disaster risk reduction,[91] efforts have not been made to bridge the disconnect between those working on gender and development and disaster interventions within the government as well as in other organizations.

At the organizational level, the constraints are mainly related to the resources available to systematically address gender-related issues. In UNDP, the main sources of funds available for gender-specific activities are the Gender Thematic Trust Fund,[92] the Japanese Fund, and a modest allocation for taking the Eight-Point Agenda forward.[93] The mandatory allocation of 15 percent of crisis-related funds to activities that promote gender equality is the only relatively substantial resource.[94] Although the programmes under the Gender Thematic Trust Fund include promoting gender equality and the empowerment of women in crisis prevention and recovery, with the exception of Myanmar, the allocations were made largely for conflict- and peace-related activities.[95] Similarly, the funds available for the Eight-Point Agenda were predominantly allocated for conflict-related crises.[96] Moreover, compliance with the mandatory 15 percent allocation of resources for gender-related activities in disaster management was found to be weak.[97]

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91 For example, in South Asia and in Mexico.

92 UNDP established the Gender Thematic Trust Fund in 2005 to support initiatives to further gender equality and women's empowerment. The Government of the Netherlands is the largest contributor to the fund followed by the governments of Spain, Finland and Denmark.

93 Approximately $10 million was allocated for a two-year period.

94 It is not feasible to track funds spent for support to gender equality in UNDP's financial management system (known as ATLAS).

95 The Gender Thematic Trust Fund for the period 2005-2009 was $9.7 million and funded projects in more than 65 countries; a large share of the funds went to conflict-affected countries and countries in Africa. There were instances where support from resources such as this one helped to create an enabling environment for gender equality. In Mexico, for example, they had a spillover effect and further enhanced progress in integrating gender issues into the disaster risk management framework.

96 Modest allocations were made for activities related to gender mainstreaming in disaster risk reduction in high-risk countries in Central America, the Caribbean, South East Asia and the Pacific.

97 Exceptions are UNDP Mexico and Indonesia, which made use of the provision, but there was limited utilization.

3.6 FORGING STRATEGIC PARTNERSHIPS

Reactive engagement and the lack of a clearly thought-out strategy for developing partnerships have limited the possible role UNDP can play at the national level. UNDP is well-positioned to establish strategic partnerships at the national level, but has not effectively done so.

UNDP has been successful in establishing good working relationships with government institutions, often under difficult circumstances and with a limited financial contribution. These typically represent programming and implementation partnerships, rather than a strategic engagement in disaster management issues. In countries where UNDP has relied on government funding, balancing these two distinct roles has proven challenging.

UNDP has been more successful in establishing partnerships at the subnational level (with state, regional and local governments). This is an important achievement, particularly in federal systems where state and regional governments play an important role in national and subnational policies and government programme implementation. In Colombia, India, Mexico and Myanmar, UNDP developed strong partnerships with state and local governments. In some countries, UNDP support was important in strengthening the capacities of NGOs. In Myanmar, for example, the establishment of a micro-capital grant mechanism helped develop the capacities of local NGOs while they delivered services to communities. Across the case studies, national and subnational governments said they valued UNDP's presence and strength at the local level. With some exceptions, UNDP did not use this strength to further policy and programming links between national and subnational governments. The evaluation found that, in some countries, local governments expressed the concern that a programme partnership with UNDP, while important, may not help in informing national policies and practices.

UNDP developed strong partnerships with NGOs and community-based organizations in both recovery and preparedness. For example, in Mexico, while NGOs are autonomous and have been working on development and humanitarian issues for over 20 years, their activities are not well coordinated. A UNDP-supported disaster preparedness programme offered the opportunity for more coordinated NGO efforts. In recovery programmes in India, Indonesia and Maldives, partnerships with NGOs contributed to participatory recovery efforts that also served to inform government programmes. In countries where NGOs had limited space for engagement with the government, UNDP provided the necessary platform.

The evaluation suggested a tendency to use partnerships with NGOs as a substitute for working with the local government. Moreover, UNDP did not provide an appropriate time-frame in which to strengthen local capacities and was often seen as substituting for capacities. Exceptions are countries where NGOs are well established, well resourced and have strong capacities. In these countries, UNDP was often expected to play a more active role in informing policy formulation and in serving as a facilitator to ensure that lessons from the NGO experience would be used to strengthen government practices. In many instances, UNDP found it difficult to meet such expectations.

While the role and nature of support extended by UNDP to coordination efforts varied across countries, UNDP efforts were largely confined to recovery coordination. Unlike other development sectors where themes and donors are coordinated, disaster risk reduction has lacked such coordination. UNDP is well positioned to foster better coordination at the national level, but has not effectively done so.

UNDP has supported joint efforts in coordinating recovery activities, as in India, the Maldives, Pakistan, Tajikistan and Viet Nam. The interviews conducted for this evaluation indicated that the degree of success was

Box 2. Using Technical Cooperation Among Developing Countries to Better Manage Disasters

UNDP support for South-South cooperation in coping with disasters consists largely of efforts to promote technical cooperation in disaster risk management, encourage the exchange of good practices, and facilitate knowledge management. Specific examples follow:

In Fiji, UNDP facilitated a regional project called South-South Cooperation between Pacific and Caribbean Small Island Developing States on Climate Change Adaptation and Disaster Risk Management. Through the transfer of appropriate expertise and technologies, the project is strengthening climate change adaptation and disaster risk reduction capacity in Pacific and Caribbean countries and enhancing community safety and resilience to natural hazards. UNDP support in Fiji has been more systematic, and the government there is keen to expand cooperation beyond the Pacific, to other Asian countries such as Bangladesh and India.

In the Islamic Republic of Iran, UNDP explicitly promoted South-South cooperation in reducing disaster risk in the Bam Housing Project. One of the main objectives was to provide national authorities with possible options in technological, financial and institutional approaches that had worked in other countries. Technical cooperation and an exchange of experiences with India and Brazil was facilitated by UNDP.

In Egypt, UNDP supported the sharing of practices and experiences to reduce disaster risk. Officials from the Greater Amman Municipality, Civil Defence Directorate and the National Centre on Security and Crisis Management visited India, Japan and the Syrian Arab Republic to share their knowledge of ongoing work in Egypt and to benefit from lessons learned at the global and regional level.

As part of its support to the Maldives following the tsunami, UNDP facilitated an exchange of successful practices in response and recovery with Afghanistan, the Democratic Republic of the Congo, India, Nepal and the Philippines.

greatest when there was significant government ownership and adequate space for NGO and civil society organizations (as in India, Indonesia and Tajikistan). UNDP's ability to play a more active role in coordination is constrained by the lack of a systematic approach. Coordination often lacked well defined goals and targets to make engagement more meaningful.

Engaging international financial institutions in coordination mechanisms has been challenging for UNDP, since coordination is not seen as useful when international support or loans from international financial institutions have limited relevance for national governments (as in Colombia, India and Mexico). Coordination involves time and costs, and such an investment is seen as useful only if it adds value to ongoing efforts.[98] Despite such considerations, the participation of international financial institutions in coordination mechanisms is important because of large loans to governments disbursed by such institutions for development and disaster risk management support.

South-South cooperation is considered by UNDP to be an important strategy for partnership and development effectiveness.[99] While its MYFF II included South-South cooperation as a cross-cutting issue, the Strategic Plan regards it as an important dimension of UNDP's contribution to the global partnership for development. Case studies point to strong involvement of governments in technical cooperation among developing countries, both at regional and global levels. And countries such as Colombia, India and Mexico contribute to the South-South Cooperation Fund. Over the last five years, momentum has been building to address issues related to disaster risk management and climate change through the sharing of expertise among developing

[98] There are a few exceptions, the Caribbean, for example.

[99] Prior to the Strategic Plan, the Executive Board, in its decision 101 in 2007 reiterated that UNDP should promote South-South cooperation by stepping up efforts to seek South-South solutions in all its focus areas as a way of enhancing the exchange of best practices and support among developing countries, regardless of their levels of development.

countries, and intergovernmental initiatives for regional sharing in disaster risk reduction and response are evident in all regions. Within the South-South cooperation framework, a more systematic approach to disaster risk management is being forged, which includes support for disaster response, the sharing of technology and methods, addressing gender equality and sharing best practices. South-South cooperation is increasingly being used as a tool for furthering cooperation in disaster risk management, which also provides an enabling environment in which UNDP can further this modality and extend its support for knowledge management.

Concerted efforts were found to be lacking, however, in following up on the momentum created by the implementation of the HFA and by major disasters such as the tsunami, the Himalayan earthquake and climate change debates. With the exception of Fiji and Maldives, and exchange programmes in some countries (see Box 2), there has been little concrete engagement in reducing risk reduction through South-South cooperation. Most country programmes lacked a systematic analysis of ongoing efforts and areas where UNDP is best positioned to support global and regional cooperation among developing countries. Moreover, partnerships for South-South cooperation were not adequately explored by UNDP. For example, partnership with the International Strategy for Disaster Reduction is important in furthering support for South-South cooperation in disaster risk management—another opportunity that has not been adequately exploited by UNDP.

3.7 MANAGING PROGRAMMES

Complex programme management and administrative procedures are impediments to effective programming.

Staff from UNDP headquarters and regional offices have provided valuable technical and advisory support for planning programmes and in providing assistance to governments at critical times. In fact, UNDP has one of the largest disaster risk management teams among international agencies working in this area. A team of Geneva-based professionals (the Disaster Risk Reduction and Recovery Team in BCPR) have responsibility for developing corporate strategies and providing technical advice. In addition, programme advisers based in UNDP regional centres support the headquarters team. In country offices, the composition of the disaster risk management teams varied, with countries in Asia and the Pacific having much larger teams, followed by Latin America. Evaluation findings point to the lack of internal coherence between various teams working on disaster risk management in BCPR, though an ongoing reorganization of the bureau is providing an opportunity to address this.

Building staff capacity is needed in some areas of programming, such as gender mainstreaming and early recovery cluster coordination. The effectiveness of UNDP support to the latter is constrained by the lack of adequate human resources and country office capacity. In the area of gender mainstreaming, limitations were found in fulfilling the demand for technical support, despite efforts by UNDP to increase the number of professional staff to support country offices.[100] Country office capacity is insufficient to ensure a more systematic integration of gender in programming.

UNDP staffing is top-heavy at headquarters. Since most country offices have limited staff capacity, and since it is not entirely feasible to increase staff capacities at the country level, skills should be augmented at the regional centres.

Certain constraints remain in effective programme management. First, as discussed earlier, institutional arrangements that are predisposed towards thematic programming tend to limit the response to complex development issues such as disaster risk reduction.

[100] Gender advisers were assigned in nine priority countries.

Second, limited core funding for disaster risk management at the corporate level has undermined UNDP's contribution in this area. This lack of resources has worked against the continuity of interventions and the sustainability of outcomes at the country level, and limitations in mobilizing core funds have been severe. Fund mobilization, in fact, has been extremely weak considering the increase in the commitment of donor resources for vulnerability and disaster risk reduction and climate change adaptation. Although funding peaked during certain periods (the tsunami recovery, for example), core resources stood at only about 14 percent of the total funds raised for disaster prevention and recovery activities between 2004 and 2009.

The mobilization of non-core funds by country offices has been relatively better. UNDP country offices have been able to raise resources either because of disaster events or donor focus on disaster risk management. The availability of resources for disaster response and recovery has been higher, though raising funds for sustained disaster risk reduction activities has proven difficult. In countries prone to complex crises, the evaluation found that more resources are available for addressing conflict-related issues. The evaluation also found that, in such countries, the UNDP country offices often opted to seek funds for any one of the crisis events, and conflict tends to be given preference. Partly because of the decentralized structure of UNDP, country offices prioritize programming guided by the availability of funds, and the evaluation found that they lacked a deliberate strategy to mobilize resources for disaster risk management.

Third, cumbersome administrative procedures have hindered programme management and have contributed to programming delays and the disbursement of funds. Governments and donors in some case-study countries specifically mentioned that UNDP administrative procedures are a factor in delays in programme implementation. Interviews with country office personnel revealed that staff spent a substantial amount time on procurement and other administrative issues and had limited time for quality programming.

In terms of crisis situations, UNDP recently introduced a fast-track policy that is being piloted in 12 countries responding to crises. However, interviews suggested that the procedures outlined in the policy may not be sufficient to enable a speedier response. The fast-track policy entailed several waivers over procurement authority, use of flexible invitations to bid as well as waivers for competitive bidding, use of the direct implementation modality and shorter procedures for recruitment of staff, among other provisions. Although it may be too early to make concrete observations on the fast-track policy, the interviews pointed to a need not only to simplify procedures but for more discretionary powers to the Resident Representative in approving resources.

To address the need for additional staff by country offices during crisis situations, UNDP initiated the SURGE project,[101] which has since been used by Myanmar and other country offices studied for this evaluation. Some country offices, such as Indonesia, have their own SURGE team. Though country offices consider SURGE initiatives very important during crises, a few issues were pointed out, both by countries that provided staff for SURGE deployment as well as those that were assigned SURGE advisers. First, SURGE advisers are drawn largely from country offices that themselves are in a crisis situation and are often not in a position to assign their staff members. A few country offices had repeated

[101] Located in UNDP's Bureau for Crisis Prevention and Recovery, the project aims to improve the response immediately following a crisis. The SURGE initiative brings together UNDP staff from different units and areas of expertise, across both programmes as well as operations. In the past years, efforts have been made to standardize procedures and staff deployment mechanisms.

requests for personnel because of their crisis expertise. Second, in some instances, advisers were deployed but were not deemed suitable for the assignment. While they had the technical expertise required, they lacked country-specific knowledge and, more importantly, relevant language skills. Lack of language skills among SURGE advisers was an important issue in both the Arab States and Latin America.

The largest SURGE deployment since the initiative began was for Haiti, where about 24 SURGE advisers were deployed. Interviews indicate that this deployment could have been more useful had the advisers been more carefully briefed about the country context and had the requisite language skills. It was also pointed out that there were limitations in identifying staff of Haitian origin, who would have had a clear advantage in understanding the local context.

Chapter 4

CONCLUSIONS AND RECOMMENDATIONS

Natural hazards, both slow and rapid onset, are largely foreseeable. They provide governments and international agencies a rationale for taking prevention and preparedness measures to ensure that the impact is minimized. While an increase in the frequency and severity of recent disasters has called attention to the need for disaster risk reduction, challenges persist in taking practical measures to see it realized. Disaster recovery is generally regarded as urgent, but the focus is often limited to recovering what existed before, rather than addressing underlying vulnerability and future prevention.

Reducing disaster risk is key to achieving UNDP objectives in poverty reduction and sustainable development. Through its development support to national governments, UNDP is in a pivotal position to bring risk reduction issues into greater focus during recovery and in the development process more generally. The evaluation findings in the previous chapter point to several areas in which UNDP's contribution to disaster prevention and recovery has been significant and offers important lessons. The findings also illustrate UNDP's comparative advantage in disaster risk reduction and describe opportunities and challenges for UNDP in developing a more strategic approach to the issue. Drawing from this analysis, the conclusions and recommendations below highlight key areas in which UNDP can further strengthen its contribution to poverty reduction and human development.

4.1 CONCLUSIONS

Conclusion 1. While UNDP strategic priorities acknowledge the links between poverty reduction, sustainable development and disaster risk reduction, they are not generally reflected in programme planning or systematically implemented.

The Strategic Plan identifies disaster risk reduction as an important factor in reducing poverty and vulnerability and achieving the MDGs, and notes that disasters affect the poorest people to a disproportionate degree. Explicit links are also made between disaster risk reduction and sustainable development and climate change adaptation. Despite such emphasis, implementation has been constrained in the absence of operational frameworks that integrate cross-cutting issues into UNDP programme areas, both in planning and implementation.

The severity of recent disasters has pushed the issue of climate change adaptation to centre stage, with direct implications for UNDP programming. Through its assistance to national governments both before and after disasters, coupled with extensive country-support mechanisms covering the environmental protection aspects of climate change, UNDP is in a prime position to help countries develop effective adaptation strategies.

Responding to slow-onset disasters such as drought is treated by UNDP as an aspect of poverty reduction and sustainable environment support and is therefore not under the purview of disaster risk management. The impact of climate change is likely to blur the boundaries between slow- and rapid-onset disasters in the future, and measures for better coordination among programme areas are critical.

Conclusion 2. National ownership of disaster risk reduction strategies is key to achieving UNDP objectives in poverty reduction and sustainable development.

UNDP can play a strong role in national and international partnerships because of its extensive country-level presence, well-established relationships with governments, neutrality and programme support in key areas of development. However, these advantages have not been used effectively to play a leadership role with regard to issues related to recovery, early recovery and disaster risk reduction. UNDP has not always been successful in building on its strengths at the national level, particularly its support for development.

Despite strong partnerships with local governments and at the community level, UNDP has not leveraged these to inform national-level processes and strategies. More reactive engagement and the lack of a clearly thought-out strategy for seeking partnerships have limited UNDP's contribution.

UNDP has made progress in supporting early recovery cluster coordination. However, a number of challenges continue to limit the role that UNDP can play at the national level. These include communicating the need for such an approach, facilitating wider coordination and instilling a sense of national ownership for early recovery coordination. Forging links between humanitarian interventions and the development process has often been constrained by the narrowly perceived role of cluster leads and by inter-agency dynamics. Early recovery, both as a cluster and as a concept, requires more deliberation with stakeholders at the country level and with other UN agencies. It is evident that human and financial resources as well as the availability of technical support have determined the extent to which early recovery cluster coordination has succeeded.

Conclusion 3. UNDP has achieved a measure of success in many micro-level, short-term recovery activities, but at the cost of a longer-term risk reduction and development focus.

Enabling countries to take more effective, sustainable recovery actions has often not been adequately prioritized. This gap exists in most disaster-response efforts, as governments and donors become focused on short-term, direct-impact solutions addressing immediate problems of affected populations, such as livelihoods, housing and public infrastructure. UNDP has the flexibility to design longer-term recovery programmes to suit country-specific needs and priorities within the disaster context. This includes transparent management systems, since disaster response and recovery very often involve huge outlays of public resources.

4.2 RECOMMENDATIONS

Recommendation 1. UNDP should make clear that its principal area of focus in disaster prevention and recovery is to assist countries in the development dimensions of the issue, especially risk reduction and vulnerability.

Addressing social and economic vulnerability requires a comprehensive programming approach, which includes activities to address poverty reduction, sustainable development and governance. UNDP should provide an operational framework for addressing disaster risk reduction as a cross-cutting issue in development programming.

Support to prevent or mitigate slow-onset disasters entails a different approach and alternative strategies. It will require closer coordination with poverty reduction and environment programmes and new partnerships with different government agencies and stakeholders.

Recommendation 2. Stronger commitment is needed to implement UNDP's corporate gender policies and advance gender equality in crisis-related programming.

UNDP should continue the mandatory allocation of funds for gender-related activities in crisis situations and improve capacities for systematic application of gender policies in programme

planning and implementation. Regional bureaux should play a more active role in implementing the Eight-Point Agenda and mandatory allocation of funds.

UNDP should also enhance its contribution at the national level to policy discussions and debates on gender and public resource allocations. More systematic support is required for gender-sensitive risk and vulnerability assessments, and for the inclusion of the gender dimension in national poverty reduction and disaster risk reduction policies.

Recommendation 3. The UNDP disaster risk reduction strategy should be revised to more directly address adaptation to climate change.

A unified strategy at the country level should be developed to support government efforts in integrating climate adaptation and disaster risk reduction. UNDP should leverage its strength in both areas to increase access to available financial tools.

Recommendation 4. UNDP should minimize micro-level short-term recovery activities that do not contribute to the strengthening of national capacities, policies or practice. Rather, UNDP support should be oriented towards building national capacities for disaster risk reduction and, consequently, for sustainable long-term recovery.

During the early recovery phase, UNDP should facilitate the coordination of recovery activities and support longer-term capacity-building, in particular the strengthening of governance mechanisms for integrating risk reduction into development planning. More efforts are needed during early recovery cluster coordination to go beyond short-term interventions, to better engage development stakeholders and to enhance national ownership.

Recommendation 5. UNDP administrative procedures should be improved so that they no longer constrain effective programming in natural disasters.

Administrative and programming procedures should not only ensure accountability but also enable country offices to respond with faster and well-planned interventions. UNDP should continue to refine its administrative procedures to allow for faster procurement, more efficient staff recruitment and flexibility in funding during crises.

Annex 1

TERMS OF REFERENCE

EVALUATION OF UNDP'S CONTRIBUTION TO PREVENTION AND RECOVERY IN COUNTRIES AFFECTED BY NATURAL DISASTERS

The Evaluation Office of the United Nations Development Programme (UNDP) conducts thematic evaluations to capture evaluative evidence of UNDP's contribution to development results at the global level. Conducted within the overall framework of the UNDP Evaluation Policy, the thematic evaluations also assess the strategic and cross-cutting themes of the UNDP programme in order to:

1. provide substantive support to the Administrator's accountability function in reporting to the Executive Board
2. support greater UNDP accountability to global and national stakeholders and development partners
3. serve as a means of quality assurance for UNDP interventions globally and at the national level
4. contribute to learning at corporate, regional and country levels.

The Evaluation Office plans to conduct a thematic evaluation on the 'Contribution of UNDP to prevention and recovery in countries affected by natural disasters', beginning October 2009. The evaluation will focus on the results achieved during the ongoing Strategic Plan (2008-2011, extended to 2013) and the first and second multi-year funding frameworks (2000-2003 and 2004-2007, respectively). The UNDP Executive Board approved this evaluation considering the strategic importance of support to strengthening national capacities in disaster management.

1. RATIONALE

Disasters resulting from natural hazards have been on the rise in the past decade. The increasing frequency and scale of these events pose mounting economic and humanitarian challenges. In countries with medium to low levels of income and weaker governance, disasters further compound existing problems of poverty and inequality and reverse development gains. It is now widely recognized that vulnerable populations (socially, economically and geographically) are the most affected by natural hazards. Pre-existing conflicts (as in Haiti, Democratic Republic of Congo, Sri Lanka and Indonesia) pose additional challenges to relief and recovery efforts, limiting both local and international capacities. The enormous consequences of disasters for human development and economic growth necessitate effective management of disaster risk as an integral part of development planning. Similarly, in disaster-affected countries, a more integrated approach during recovery and reconstruction is seen as a way forward in reducing future risk conditions.

UNDP has in the past four decades supported interventions in the area of disaster prevention, response and recovery. The aim of UNDP programmes has been to strengthen national capacities in prevention as well as in responding to natural disasters. Recognizing the importance of disaster-related support in poverty reduction and development, UNDP in the past decade has been more structured in addressing core issues related to disaster prevention and response. The Strategic Plan (2008-2013) emphasizes the need for UNDP to contribute to global support for preventing and mitigating the effects of natural disasters. It calls for assistance to develop the government capacities needed to manage recovery and ensure renewed progress towards attaining the Millennium Development Goals

(MDGs) while reducing vulnerability to future disasters. The first and second multi-year funding frameworks also included UNDP support for recovery from natural disasters and reduction of vulnerability to future events. UNDP support to the MDGs has led to further emphasis on disaster risk reduction.

In the past 10 years, UNDP has worked with national governments in more than 50 countries at high risk of disasters to formulate and implement disaster reduction policies; it has also supported recovery activities. Areas of thematic engagement at the country level include institutional and legislative systems, community-based disaster risk management, and support to national governments to establish risk reduction and climate risk management. In its recovery support, UNDP focused largely on restoring normalcy following a crisis for effective transition to development and to use recovery work as an opportunity to 'build back better'. Such efforts have focused on strengthening governance structures and policies for better disaster risk management and response.

There is increasing momentum within the context of the United Nations and humanitarian reform for greater coordination among all actors involved in responding to crises. This is intended to create greater synergies between United Nations agencies to capitalize on agency strengths, and to reduce redundancy and duplication of disaster management efforts. UNDP is the lead agency for the Early Recovery Cluster.

All strategic frameworks recognize the importance of gender equality and women's empowerment in development and crises. Similarly, attention was paid to reducing the risk of HIV/AIDS and promoting South-South cooperation as cross-cutting issues.

The expenditure for disaster risk reduction and recovery activities globally for 2007-2008 was approximately US$142 million. There has been a general increase in the disaster risk reduction portfolio during 2006-2008 in all regions, and a substantial increase in the Arab States ($1.7 million to $9.4 million) and Latin America ($19 million to $27.6 million). Asia-Pacific had the largest portfolio, which was constant at $65.4 million. For Africa, spending was $5.1 million in 2006 and $7.7 million for 2008.

While components of the UNDP disaster recovery and prevention programme and response to specific disasters have been evaluated, performance in the programme area as a major strategic theme is yet to be independently assessed. The proposed evaluation seeks to address this gap and provide a systematic, independent analysis of UNDP's cumulative experience in countries affected by natural disasters, and its contribution to results in the areas of prevention, recovery and response.

The evaluation period has witnessed major earthquakes (Gujarat, 2001; Bam, 2003; Indian Ocean earthquake and tsunami, 2004; Pakistan, 2005; Yogyakarta, 2006) and UNDP has responded to all of them. This provides an opportunity to evaluate the contribution of UNDP to risk reduction and recovery and to examine how UNDP used recovery efforts to 'build back better'.

2. PURPOSE AND OBJECTIVES

The purpose of this evaluation is to determine the contribution of UNDP to strengthening national capacities in disaster management and to disaster risk reduction efforts at the global and regional levels. The findings and recommendations are expected to inform UNDP programming strategies in supporting countries affected by natural disasters and enhance its contribution to development results. In addition, the evaluation will provide insights for UNDP in its emerging work on reducing vulnerability to natural disasters as part of its support to environment management and adaptation to climate change. In the context of UN and humanitarian reforms and the Paris Declaration, the lessons from the evaluation should enhance UNDP's contribution towards greater inter-agency synergies.

OBJECTIVES OF THE EVALUATION

- To provide an independent assessment of UNDP's contribution to strengthening national capacities in the area of disaster prevention and recovery
- To provide an analysis of how UNDP has positioned itself to add value in response to needs and changes in the global, regional and national development context. This includes the role and relevance of UNDP in prevention, mitigation and recovery, recognizing the large number of other international and national actors involved.
- To evaluate how cross-cutting issues and intersector dimensions of disaster response and prevention are addressed by the programme. This includes poverty, environment and climate change, gender and HIV/AIDS.
- To present key findings, draw lessons and provide a set of clear and forward- looking options to inform management decisions and strengthen the UNDP programme.

3. SCOPE AND EVALUATION ISSUES

The scope of the evaluation in terms of programme coverage will include all dimensions of UNDP support to recovery and prevention, viz., early recovery, recovery and prevention efforts. The evaluation will cover UNDP support to slow- and rapid-onset disasters.

The first and second multi-year fund frameworks (2000-2003 and 2004-2007) and the implementation of the ongoing Strategic Plan (2008-2011) will be covered by the evaluation. It will assess the extent to which the programmes have contributed to the achievement of strategic objectives as stated in the Strategic Plan, the multi-year fund frameworks and relevant programme frameworks, including the country, regional and global programmes. In examining different interventions related to disaster prevention and recovery, the evaluation will focus on results achieved, strategic positioning and the contributions of UNDP in strengthening national and local capacities in responding to disasters. The evaluation will include an analysis of linkages between disaster management and the Millennium Development Goals (MDGs) (poverty and development, environment and climate change adaptation, gender, and HIV/AIDS) in the programming of UNDP. The United Nations and humanitarian reforms and role of UNDP in early recovery coordination will be an important component of the evaluation.

The evaluation will recognize the human development dimension of natural disasters, i.e., that exposure to disaster risk as well as the ability to access relief and recovery opportunities are closely linked to social, economic and geographic vulnerabilities of those affected by natural hazards.

EVALUATION ISSUES

Drawing from the analysis of important concerns in prevention and recovery and UNDP strategic documents on support to countries affected by natural disasters, the following evaluation issues were identified. They take into account the multiple dimensions of the evaluation, namely, UNDP's role in furthering the MDGs and linkages to risk reduction, the organizational mandate to strengthen national capacities, the mandate of UNDP in global humanitarian assistance framework as an UN agency, and its contribution to 'building back better'.

Addressing disaster risk and vulnerability as a development issue and in furthering achievement of the MDGs

A large proportion of populations affected by natural disasters live in countries with medium and low human development. Disasters are among the biggest obstacles to achieving the MDGs, often reversing development gains. With the frequency and severity of disasters increasing in many parts of the world, achieving the MDGs and sustaining them further will be unrealistic without integrating hazard risk management approaches in different national policies and

development interventions. The Strategic Plan and multi-year fund framework recognize the importance of these linkages in UNDP programming. The evaluation will examine how UNDP addressed the interrelated issues pertaining to poverty, vulnerability and risk reduction.

Climate change, adaptation, and disaster risk reduction

The linkages between disaster risk, climate change and environment management make an integrated national planning and programming approach essential in risk reduction and long-term recovery. Climate- and environment-related issues and disaster risk issues span disciplines, sectors and administrative regions and, therefore, cannot be dealt with within the scope of a single sector or government agency. Effective national initiatives in risk reduction require strategies that are sector/area specific as well as a more integrated planning framework. Land-use planning, location of public infrastructure, management of natural resources and coasts should ensure that risk is identified and reduced at all stages, from planning to implementation. Coordination and partnerships among different government agencies and with non-state actors are critical to achieving this. The evaluation will examine UNDP support to a more integrated approach to risk reduction in national planning and practice, and in its own programming.

Strengthening national capacities, particularly governance and coordination mechanisms, in disaster response and risk reduction

Governments (national and local) play a critical role in addressing disaster risk that affects national development goals. Considering that wider governance issues (legal frameworks and policies, administrative and institutional systems, coordination among different government agencies) and organizational capacity play an important role in risk reduction as well as disaster response, UNDP work in this area will be an important dimension of the evaluation. The evaluation will also examine support to local institutions and community participation in improving disaster management.

Collective decisions in responding to disasters and addressing risks are the outcome of a range of interactions among government, non-governmental organizations, civil society and the private sector. The interplay of these actors has various dimensions, including public participation, stakeholder involvement and formal and informal structures within which the interactions occur. The coordination mechanisms that facilitate these processes and catalyze engagement of different stakeholders are critical in disaster management efforts. It is also increasingly realized that coordination among government and international agencies is vital to avoiding duplication of efforts, adoption of contradictory policies to guide recovery and reconstruction, and neglect of areas that may be important to consider in the reconstruction strategy. The evaluation will look at UNDP support in furthering coordination efforts and the lessons that can be drawn for strengthening coordination strategies.

'Building back better'

Since 2005, there has been greater emphasis on 'building back better'. Prevention and recovery work provides an opportunity to go beyond restoring the way things were, and enabling affected communities to achieve a greater level of resilience. Building back better involves both intrinsic and strategic issues and essentially underlines the principles outlined in various international frameworks. The intrinsic issues include paying specific attention during recovery and prevention to safety and security of livelihoods, housing and public infrastructure, social equity, and addressing root causes of vulnerability during transition and development. The strategic issues involve the imperative that recovery and prevention is led by national governments, the empowerment of local governments and institutions, and partnerships among various actors involved. The priorities established by UNDP and progress towards them will be one of the issues for the evaluation.

Addressing the linkages between conflict and disaster risk reduction

Evidence suggests that weakened political, economic, and social systems due to prolonged conflict and famine are exacerbated by disaster. Conflict-prone regions also pose challenges for disaster risk reduction efforts. Similarly, natural disasters, particularly slow-onset disasters, exacerbate vulnerability to conflict. While coordination among UN agencies and partnerships with donor and development organizations are crucial in maximizing the contribution to human security, complex crisis situations require programme strategies that are sensitive to such situations and have an integrated approach. The evaluation will examine some of these issues and lessons from disaster-conflict programme interface and integrating these dimensions into national strategy.

Addressing gender inequality in prevention and recovery

Disasters affect men and women differently and causal factors of differential vulnerability are rooted in social, economic and cultural roles they play in society. The strategic documents of UNDP and international strategies emphasize the importance of addressing gender dimensions and women's empowerment in crises. The evaluation will pay specific attention to the contribution of UNDP in integrating a gender perspective into disaster prevention and recovery programming. The evaluation will also examine how UNDP addressed issues related to systematic integration of the gender dimension in the development framework, which in many ways influences how the gender dimensions is addressed in disaster risk reduction and recovery.

Furthering South-South cooperation and regional and subregional coordination

Major disasters in recent years show that South-South cooperation has played an important role in disaster response (for example, among Turkey, India and Pakistan during the Pakistan earthquake; among India, Sri Lanka, Indonesia and Maldives during the tsunami response). There is also potential for regional and subregional efforts in intergovernmental engagement. Besides knowledge-sharing, the political dimensions of such cooperation have potential for greater commitment to disaster risk reduction by the participating governments. UNDP experience in facilitating South-South cooperation and regional and subregional initiatives in disaster management and lessons learned will be examined by the evaluation.

Strengthening community-based disaster risk management

Experience has shown that community-based disaster risk management initiatives have had positive results in countries with weak governance systems and those where the government systems had the capacity to manage risk reduction. An additional dimension of community participation is bringing local resilience and risk-reduction practices in developing more sustainable and viable risk-management strategies. While there are challenges in sustaining community-based initiatives in non-disaster situations, particularly due to lack of finance for long-term community initiatives, the benefits are found to be considerable once the capacity to communicate information on, and react to, risk are increased. The evaluation will examine the potential results of UNDP support to community-based initiatives.

UN and humanitarian reform and the role of UNDP

UNDP is a participant in several inter-agency forums at the global, regional and national level. Since the humanitarian reforms in 2005 and subsequent United Nations reforms, a cluster approach has been used in major new emergencies and in ongoing ones. While an Early Recovery Cluster is gradually establishing itself at the global level, there appear to be capacity gaps and conceptual challenges in the field. Considering the limited operational presence of UNDP in humanitarian response, the lessons as

a lead agency for the Early Recovery Cluster in providing operational clarity and leadership are important for the evaluation. The time-frame of the evaluation also allows for a comparative perspective of UNDP approaches in recovery before and after the humanitarian reforms. The contribution of UNDP through its participation in inter-agency forums will be examined.

EVALUATION CRITERIA

The evaluation will use the following criteria:

Effectiveness will assess performance of UNDP support to prevention and recovery in terms of achievement of results. The evaluation will also seek to assess the extent of national capacity development and how UNDP can maximize its support in this area. Among other issues, the evaluation will assess intersector (MDGs and poverty, environment, climate change adaptation) and cross-cutting dimensions (gender, vulnerable populations, HIV/AIDS, promoting South-South cooperation and learning) of disaster management support.

Efficiency will assess whether UNDP has instituted systems and clear procedures to provide coordinated support. The suitability of UNDP operational and financial management procedures in responding to crises, the extent to which they helped or hindered efficiency, and the achievement of results will be examined.

Relevance will assess if UNDP policy goals address development and humanitarian needs at the country level, particularly in addressing critical gaps in disaster recovery and prevention and priorities identified by various stakeholders. The evaluation will seek to draw conclusions on how UNDP has positioned itself in response to national priorities vis-à-vis other agencies and in terms of organizational competencies.

Sustainability will be evaluated based on the assessment of whether UNDP has been able to support development institutions, frameworks and procedures, and developing capacities of national institutions. The evaluation will examine the sustainability of outcomes and explore whether UNDP programmes develop/strengthen mechanisms to promote scaling up and replication of successful programmes.

4. METHODOLOGY AND APPROACH

The evaluation will be a transparent, participatory process involving all development stakeholders at the corporate, regional and country level. It will be carried out within the framework of UNDP Evaluation Policy[102] and United Nations Evaluation Group norms and standards.[103]

The evaluation will develop a ***logic model*** for UNDP support to disaster prevention and recovery. The model will take into consideration strategic and policy frameworks of UNDP pertaining to crisis prevention; programme strategy at the country level (expected outcomes, as defined in the country programme documents); and strategic and operational changes introduced in the past decade.

A ***programme portfolio review*** will be carried out to establish the universe of the evaluation to guide selection of the project areas and the countries for detailed case studies. The portfolio will be classified into broad groups indicating areas of UNDP support. For example, the groups may include support to resettlement of affected populations, rehabilitation and construction, economic restoration and strengthening, donor coordination, and prevention activities, among other things.

The ***evaluability assessment*** will identify potential challenges to evaluation of the UNDP contribution to results at the global and national level. The preliminary analysis of the challenges indicates limitations in harmonization of outcomes outlined in the strategic documents of UNDP since 2000;

[102] See: http://www.undp.org/eo/documents/Evaluation-Policy.pdf (accessed 25 October 2010).

[103] See: http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=22 (accessed 25 October 2010).

lack of clear statement of intended outcomes of UNDP support or the desired change that is expected from the programme and the time-frame; lack of benchmark or description of situation at the country level prior to the support of UNDP that can be used as a reference point to determine or measure change; and lack of measurable indicators of change. The evaluability assessment will determine the extent of the challenges and measures evaluation planning should take to address the challenges. The assessment will inform the data collection strategy and combination of methods to be used in the case study.

A set of ***parameters for selecting case-study countries*** will be developed based on the logic model and preliminary analysis of the programme portfolio. Besides representation of different regions, the parameters will include countries affected by large-scale disasters, those prone to natural disasters, development indicators, unusual topography where disaster damage sometimes entails multiple economies (such as small island states in the Caribbean), and countries with complex crisis situations (with incidences of both conflict/famine/or both and natural disasters). The evaluation will include approximately 10 case studies.

Country case studies will use a ***multi-method approach*** to evaluate UNDP support to prevention and recovery and its contribution to development results. Based on the evaluability assessment, the following will be outlined: (a) methods used for collecting data (which include qualitative and quantitative data strategies); (b) indicators for assessing results and causality; (c) validity measures, and (d) the degree that different sources of information can be generalized and, therefore, are pertinent to UNDP's global programme. Key concepts and variables will be defined to ensure common understanding across the case studies. The method will take into consideration country-level data limitations; delineating different phases of support, linking different levels of analysis and varied time-frames, and systematic validation of causality (linking process to results).

CASE STUDIES

The case studies will entail comprehensive document review, stakeholder analysis, and consultations and interviews. The case-study approach will comprise the following elements:

1. ***Stakeholder analysis.*** At the country level, stakeholder analysis will be carried out to identify organizations working in the area of disaster management, those involved in development support, and those that are involved in pertinent aspects of environmental management, such as water and sanitation, hazardous waste and coastal areas management. This includes government and other institutional entities, international agencies, individuals within UNDP involved in planning, management and implementation of disaster prevention and recovery programmes and projects; the primary target groups of different prevention and recovery initiatives; and different partners at the global, regional and country levels.

2. ***Documentation reviews.*** Due to the broad scope of UNDP's work in disaster prevention and recovery a very large number of documents and reports (published and unpublished) may be collected. Some may be the subject of only a general review while others will be subjected to detailed review. Some of the key sources of information will comprise (i) programme and project documents and results frameworks, monitoring and financial reports, evaluations, as well as key project outputs, (ii) strategic disaster prevention and recovery-related partnerships, and (iii) the work of other organizations ~~in~~multilateral, bilateral, academic, NGOs, etc. ~~in~~ the area of disaster management.

3. ***Consultations and interviews.*** For the case studies, the country programme document will be the framework of analysis of UNDP's contribution to results. The main source of information will be through structured, semi-structured and unstructured interviews and consultations at headquarters, regional

service centres and country offices. The results of these consultations and interviews are to be documented, for internal team analysis. Structured interview methods are also to be used for other consultations. In some cases, focus group discussions may be held to capture the dynamic of information sharing and debate, and to enrich the findings.

The consultations will involve a wide range of development stakeholders, including government officials, international agencies, UNDP programme donors, NGO, international NGOs, and those not directly involved with UNDP. The evaluation method will ensure that the perspectives of different stakeholders are captured and that the findings can be triangulated.

5. EVALUATION PROCESS

PHASE 1: PREPARATORY PHASE

This phase entails developing a logic model that captures intended change, defining scope, outlining a working methodology, identification and agreement with case-study countries, decision on the modality of a case study and selection of national consultant or institute. The main activities of the preparatory phase are as follows:

- A comprehensive review of documents—desk-based and consultation, published and unpublished—will be carried out. The key sources of information will comprise programme and project documents, results frameworks, finance reports, monitoring reports, evaluations, and reports of other organizations on the subject. The natural disaster portfolio review will entail all projects with any activity related to response to disasters and risk reduction, at the national, regional and global levels. The review of documents will identify areas of consensus and controversy in the programme area, and issues and trends relevant to UNDP work. The review will contribute to the writing of chapter 2 of the main report, outlining developments in disaster recovery and prevention.
- A preliminary analysis of available data will be carried out as part of the evaluability assessment. The purpose is to identify data gaps and to identify methods that will be used for gathering additional data.
- Initial consultation and discussions will be held with the bureaux, regional offices, select country offices and experts.
- Inception meeting of the core evaluation team in Geneva and New York will be held for preliminary discussions with the bureaux (including discussions by telephone with the Bureau for Crisis Prevention and Recovery in Geneva) and United Nations agencies involved in disaster management support. Telephone discussions will be held where appropriate with regional offices and a few country offices to sharpen the evaluation questions. The evaluation team will develop a logic model, specific methodology to carry out the evaluation (including tools for collecting data), criteria for selection of the case-study countries, and a work plan to carry out the evaluation. Ten case-study countries will be identified through a consultative process, based on a set of criteria.
- An inception report will be prepared by the team that will describe how the evaluation will be carried out, specify methodology, roles and responsibilities, set a time-frame and include a revised terms of reference. The inception report will be finalized after the external and internal review process.

PHASE 2: IMPLEMENTATION PHASE

This phase involves carrying out country case studies, analysing case studies and drafting the synthesis report.

Country case studies

The evaluation will have 10 country case studies. Led by the broader evaluation approach outlined in the inception report, the case studies will be grounded in country-specific circumstances.

A combination of modalities will be used for carrying out country case studies. The role and responsibilities of the evaluation team will vary considerably in each of the modalities. The modalities include: (1) national consultants or national research institutions will carry out case studies with support and guidance from the evaluation team; (2) the core team members will carry out case studies in countries where they have prior expertise or it is not feasible to engage national consultants; (3) the case studies will be aligned with the *Assessment of Development Results* and cover issues and questions outlined in the inception report of this evaluation. Preference will be given to local institutions or national experts. The Evaluation Office in consultation with the core team will decide on the modality of the case study for selected countries.

EVALUATION OUTPUTS AND TIME-FRAME OF PHASES 1 & 2

The key evaluation outputs include

1. A review report outlining the key issues in the area of disaster management (prevention, response and recovery) in countries where UNDP is extending support; the scale of development support extended by bilateral, multilateral and non-governmental agencies; and an analysis of UNDP support
2. An inception report for the overall evaluation exercise (which includes revised terms of reference)
3. Reports of country case studies (approximately 10 case studies)
4. A comprehensive (synthesis) evaluation report covering the issues outlined in the terms of reference and inception report. The synthesis report will include an executive summary that highlights findings, conclusions, recommendations and lessons learned
5. An evaluation brief for use in stakeholder presentations, and a methodology brief to facilitate the learning of lessons from the evaluation process
6. PowerPoint presentations for senior management, the Executive Board and other stakeholders to be used during stakeholder feedback sessions as necessary.

6. TIME-FRAME OF THE EVALUATION

A detailed implementation plan for the evaluation will be outlined in the inception report. The time schedule for preparatory work, carrying out case studies, analysis and report writing will be completed by August 2010. The evaluation will be reported to the January 2011 session of the Executive Board. The milestones of the evaluation are shown on the following page.

7. MANAGEMENT OF THE EVALUATION

The Evaluation Office has responsibility for leading the evaluation, the final evaluation report, the quality of the content and its presentation to the Executive Board. The Evaluation Office will manage the evaluation process, constitute a quality assurance system, and provide administrative and substantive backstopping support. The Evaluation Office will also ensure the coordination and liaison with concerned agencies at headquarters, regional offices, as well as the country level. It will also ensure that evaluations are conducted in accordance with the Code of Conduct for Evaluation in the UN System, as approved by the members of the United Nations Evaluation Group.

OPERATIONAL AND TECHNICAL SUPPORT

A **task manager** will be designated by the Evaluation Office to provide administrative and substantive technical support to the evaluation team and will work particularly closely with the evaluation team leader throughout the evaluation. A **research associate** will be recruited to work in the Evaluation Office to support the team leader and task manager in conducting background research and analysis, as necessary.

Deliverable/activity	Indicative time-frame
Phase 1 Preparatory phase	
Draft inception report	February 2010
Finalization of inception report and terms of reference	February 2010
Phase 2 Implementation phase	
Country case studies	March–May 2010
Draft synthesis report	August 2010
Sharing emerging findings with stakeholders in New York	September 2010
Submission of the first draft of the synthesis report to the Advisory Panel	July 2010
Sharing second draft evaluation report to the Advisory Panel and stakeholders (New York and regional offices)	August 2010
Executive Board informal briefing on draft findings, conclusions and recommendations	November 2010
Final unedited report	September 2010
Proofreading of edited and laid out versions	September 2010
Executive Board formal presentation of conclusions and recommendations	January 2011
Report dissemination strategy	November 2010
Evaluation brief	November 2010
Methodology brief	November 2010

An Evaluation Office **programme associate** will be assigned to provide logistical support throughout the evaluation.

In each country designated as a case study, a substantive **focal point** will be identified in the UNDP country office. That person will, in close collaboration with the Evaluation Office task manager, coordinate and organize meetings and all activities of the evaluation within the country. Similarly, relevant UNDP bureaux will nominate a focal point who will provide support in coordinating queries and facilitating the collection of information.

QUALITY ASSURANCE

An external **Advisory Panel** will be constituted, consisting of three experts in the field of evaluation and disaster management. The panel members will support the Evaluation Office in assuring the quality of the evaluation. The Advisory Panel will play an important role in providing strategic, methodological and substantive inputs into the evaluation process as well as a peer review for the key outputs including the main report.

An **Evaluation Office review and quality assurance team** comprising the Evaluation Office director, deputy director, evaluation team coordinator and peer reviewer will provide inputs on specific deliverables to ensure quality of the evaluation. In view of the complexity and importance of this evaluation, Evaluation Office senior management will review progress on a periodic basis as well as each of the key designated outputs and provide regular feedback to the evaluation team.

EVALUATION TEAM

Core evaluation team

The core evaluation team will comprise four externally recruited, independent, senior consultants with strong reputations and extensive experience in their fields. The team members will have evaluation experience in humanitarian and development fields and prior experience in working with multilateral agencies. Team composition will reflect a very sound understanding of the functioning of the United Nations system in general and UNDP in particular; gender-related concerns, and human development principles.The team will have gender and regional balance.

The core team will be responsible for document review, evaluability assessment, design of case study, coordinating case studies and contributing to the preparation of the synthesis report. One of the experts shall be selected to work as the team leader. The team leader shall, in addition, have responsibility for preparing the final report, and will ensure quality, smooth, and efficient conduct of work by the members of evaluation team. Separate terms of reference will be prepared for each core evaluation team member.

The ***team leader*** will take a lead role during all phases of the evaluation and coordinate the work of all other team members. The team leader will ensure the quality of the evaluation process, outputs, methodology and timely delivery of all products. The team leader, in close collaboration with the other evaluation team members and Evaluation Office task manager, leads the conceptualization and design of the evaluation, conducts one or more country visits, and plays a lead role in shaping the findings, conclusions and recommendations of the report. More specifically, the team leader will, in close coordination with Evaluation Office, have responsibility for delivering key evaluation outputs outlined in section 5. The tasks of the team leader include:

- Conducting an inception mission and developing an inception report outlining the logic model, design, methodology, criteria for selection of the country case studies, required resources and indicative work plan of the evaluation team. Based on comments from the Advisory Panel, Evaluation Office review team and UNDP stakeholders, the team leader will finalize the evaluation inception report and terms of reference
- Participating in the selection of the team members and in finalizing the terms of reference for the team members
- Directing and supervising the research associate in carrying out research and analysis of secondary evidence, project documents and all relevant documentation
- Assigning and coordinating team tasks within the framework of the terms of reference
- Providing advice on the substantive content of programmes, including technical outputs, and in designing methods for assessing outcomes and, where appropriate and feasible, impact
- Coordinating the conduct of country case studies and preparation of the case study report
- Overseeing and assuring quality in the preparation of case studies and taking a lead in the analysis of the evaluative evidence
- Designing, overseeing the administration, and analysing the results of any surveys that may be scheduled
- Drafting the evaluation report, and leading the preparation of specific inputs from designated team members, based on country reports prepared by the team members, desk research, and surveys
- Preparing for meetings with Evaluation Office and other stakeholder to review findings, conclusions and recommendations
- Leading the stakeholder feedback sessions, briefing the Executive Board on the evaluation through informal sessions and finalizing the report based on feedback from the quality assurance process

- Preparing the methodology and evaluation briefs, and working with the report editor, responding to final edits on the evaluation report.

International evaluation specialists with strong development and disaster management expertise and/or evaluation backgrounds will be recruited to participate in the inception and the main phase of the evaluation. Each specialist, as agreed in the terms of reference, will provide inputs for the inception report, will carry out one or two country case studies, and draft the country case study reports, based on a standardized approach and format. Under the overall supervision of the team leader, the specialist will contribute to the preparation of the final report and evaluation brief, as necessary.

Annex 2

EVALUATION MATRIX

Evaluation theme	Key evaluation questions
Policy and governance	1. What are the specific interventions of UNDP to support policy formulation/legal framework? (Capacity development) 2. How are disaster risk reduction and climate change adaptation integrated into the poverty reduction strategy paper (PRSP)/national development planning? 3. What were the specific interventions by UNDP in developing/strengthening institutions? (Capacity development) 4. Was the policy introduced new/or did UNDP contribute to its revision? 5. What was the role of UNDP in the implementation of the policy? 6. What are the expected outcome/s or results of the policy intervention/s? 7. UNDP contribution vis-à vis other actors in the area or each of the interventions. 8. Value addition of UNDP if there are already many actors in the field. 9. How do downstream interventions of UNDP inform policy and government practice? 10. Where appropriate, did UNDP contribute to the involvement of decentralized institutions in disaster management? 11. Where appropriate, what was the approach followed by UNDP to support policy and institutions in complex crisis situations? How was disaster risk reduction/ prevention addressed?
Humanitarian response and recovery and building back better:	1. What was the support provided by UNDP to respond to crisis/emergencies to facilitate recovery? 2. Did UNDP contribute to identifying opportunities for building capacities as part of or following recovery, particularly in post-crisis governance, public infrastructure, housing, sustainable livelihoods/coastal resource management, sustainable environment? What was the value addition of UNDP interventions? 3. What are the strengths and weaknesses of the programme? 4. What was the contribution of UNDP in advocating/and integrating 'building back better'? 5. Do UNDP recovery interventions address pre-existing vulnerabilities? 6. Do UNDP interventions inform government policies and practices? Did the interventions strengthen national institutional capacities? 7. Have UNDP's direct inputs into recovery reflected a multisectoral understanding and approach? 8. To what extent was disaster risk reduction integrated into recovery interventions? 9. Did UNDP interventions promote ownership and engagement of the government, civil society and other national stakeholders? Is there a proactive partnership strategy with local actors in disaster-prone regions? 10. Did the UNDP response strike a balance between direct implementation and national/ local ownership? 11. Has post-disaster support benefitted the poor and has it been appropriate to their needs? 12. How were gender dimensions addressed in recovery support? 13. How did different stakeholders perceive UNDP's role in recovery support?

Evaluation theme	Key evaluation questions
Early recovery, and support to cluster approach	EARLY RECOVERY 1. Was the cluster approach, in general, effective? 2. What was the scope and structure of early recovery? What were the activities supported by UNDP under early recovery? 3. How was early recovery planning coordinated? Was early recovery coordination led by the government? 4. Have there been problems in defining the scope of the cluster? 5. Does UNDP's role in early recovery increase efficient government coordination of recovery? 6. How was coordination among international agencies: a. Pre- and post-Paris Declaration? b. Pre- and post-humanitarian reforms? 7. How were national stakeholders outside government involved? 8. To what extent was the recovery and reconstruction capacity of the government strengthened through early recovery activities? 9. What was the contribution of UNDP to local-level early recovery efforts? 10. What was the resource mobilization strategy for early recovery? 11. How effective was early recovery as a cross-cutting cluster? 12. Did UNDP ensure adequate linkages in its support to response, early recovery, and recovery and development efforts? 13. How effective was UNDP in coordinating UN early recovery activities? 14. How effective was UNDP's early recovery support in effecting transition from relief to recovery and recovery to development? 15. How were gender dimensions addressed in early recovery support?
Partnerships and support to coordination	PARTNERSHIPS 1. Did UNDP have a partnership strategy (funding as well as non-funding) to achieve the outcome/s outlined? 2. What were the partnership approaches followed by UNDP with government, NGOs, international agencies and donors? 3. Did partnership with international agencies (multilateral and bilateral organizations) enhance achieving results in disaster prevention and recovery? COORDINATION 1. What are the different coordination mechanisms pertaining to disaster management and in development (relates to four UNDP programme areas)? 2. What is the role and engagement of UNDP in coordination mechanisms? (A) National coordination mechanisms 1. What was the contribution of UNDP in establishing/strengthening coordination mechanisms at the national and subnational level? 2. Are these mechanisms sustainable? (B) Early Recovery Cluster coordination (see section on Early Recovery Cluster) (C) Inter-agency coordination/donor coordination 1. What are the inter-agency/donor coordination mechanisms related to disaster prevention and recovery? 2. What was the contribution of UNDP to these mechanisms? 3. Were there any missed opportunities?

Evaluation theme	Key evaluation questions
Partnerships and support to coordination	(D) Coordination among UN agencies 1. How was coordination among UN agencies in maximizing support to recovery and prevention? 2. How effective was UNDP in supporting the function of the Resident Coordinator and Humanitarian Coordinator? 3. What were the areas where coordination among UN agencies was effective? What were the lessons?
Poverty, vulnerability, MDGs and disaster vulnerability	GENERAL QUESTIONS 1. What are the potential consequences of disasters/natural hazards and related risks in contributing to poverty? 2. To what extent is disaster risk management integrated into national planning and implementation? 3. Is disaster risk reduction addressed in MDG progress and achievement? Are potential consequences of disasters factored into achievement of the MDGs? 4. What are the strategies to minimize disaster risk and their implications for income/poor households? 5. What was the role of past disaster risk management and how is disaster risk reduction addressed in poverty reduction strategies? 6. Do disaster risk reduction strategies address adequately the needs of the poor? SPECIFIC QUESTIONS PERTAINING TO UNDP PROGRAMMING 7. How are disaster risk reduction and climate change mitigation addressed in the UN Development Assistance Framework (UNDAF) and UNDP country programme? 8. To what extent was disaster risk reduction integrated into the poverty reduction and governance interventions of UNDP? 9. Did UNDP contribute to addressing the relationship between achieving the MDGs and reducing disaster risk? 10. How did UNDP contribute to changes in vulnerability over time (e.g., conflict, HIV/AIDS, climate change)?
Support to disaster risk reduction and preparedness	1. Did UNDP have a disaster risk reduction support strategy? 2. What are the disaster risk reduction and preparedness interventions supported by UNDP? 3. Do the interventions of UNDP respond to the needs in the country? Did UNDP identify and address critical gaps? (Relevance) 4. How effective was UNDP support to assessment of disaster risk reduction needs, including capacity needs? What was the support provided to monitor disaster risks and for early warning? 5. How sustainable was support to knowledge and information management, early warning systems, risk mapping and contingency planning? 6. What was the support provided by UNDP to the implementation of the Hyogo Framework for Action? 7. What was the support to institutional mechanisms for sustained disaster risk reduction? 8. How has national capacity in relation to disasters changed since 2000 and what was the contribution of UNDP to this? 9. What were the strengths of UNDP input? What were the weaknesses? 10. Was UNDP *efficient* in its work in terms of costs, timeliness, etc.? 11. What external limitations did UNDP face? 12. Have UNDP inputs been *sustainable*? 13. What lessons can be drawn?

Integrating UNDP programming principles	
Evaluation theme	**Key evaluation questions**
Addressing gender dimensions in disaster recovery and prevention	1. Did UNDP carry out a gender analysis of disaster risk and vulnerability? 2. How was gender mainstreaming addressed in the country programme strategy? 3. How were gender issues addressed as part of recovery support and disaster risk reduction? 4. Where there specific efforts to address gender-related issues in prevention and recovery? 5. Were gender issues adequately addressed in the national disaster management policy and strategy? What was the contribution of UNDP towards this? 6. What was the contribution of UNDP subregional and regional initiatives to mainstream gender in disaster risk reduction? 7. Did UNDP develop partnerships with other agencies to maximize the contribution in furthering gender-sensitive recovery and disaster risk reduction?
Capacity development (Most questions on support to capacity development are included in other sections)	1. Did UNDP have a capacity development strategy in disaster risk reduction and support to recovery? 2. What was the contribution of UNDP to implementing the Hyogo Framework for Action?
Mainstreaming HIV/AIDS issues	1. What was the approach used by UNDP in addressing HIV/AIDS issues in disaster-related support? 2. Were specific efforts made in countries with high prevalence or high risks of HIV/AIDS risk?
Support to regional and subregional initiatives and South-South cooperation	1. What are the ongoing regional and subregional initiatives in the country pertaining to disaster risk reduction, prevention and recovery? 2. What is the contribution of UNDP in furthering such cooperation? 3. Is there South-South cooperation in the area of disaster risk reduction and recovery and climate change adaptation? 4. What was the contribution of UNDP towards this? What are the lessons? 5. Are there any missed opportunities?
Support to integrated approach to disaster risk reduction	1. How did UNDP programming approach disaster risk reduction? 2. Was disaster risk reduction integrated in poverty-related initiatives? 3. Were disaster risk reduction, environment and climate change adaptation addressed as related issues? 4. What was the contribution of UNDP to a more integrated government disaster risk reduction policy and practice?

Integrating UNDP programming principles	
Evaluation theme	**Key evaluation questions**
Strategic positioning of UNDP and programme relevance	1. During the evaluation time-frame, did UNDP support have a clear and focused strategy that explained the rationale for various projects? 2. Were the strategies and positioning of UNDP based on the needs assessment at the national level and comparative strength of UNDP? 3. Did UNDP strategy align with national development priorities and aim at strengthening national institutions and capacities? 4. Did the strategy change during 2000-2009, and, if so, what was the rationale for such a change? Was the strategy appropriate given the evolving national context? 5. Did UNDP strategy consider linkages between disaster risk reduction and poverty reduction and linkages to MDG achievement? Or to post-conflict support and conflict reduction? 6. How effective were partnerships with internal agencies in achieving outcomes and results outlined by UNDP? To what extent have the programmes reflected the needs of the marginalized and the vulnerable? In this regard, to what extent have UNDP actions focused on addressing the existing inequalities and human security concerns of the affected population? 7. Have UNDP policies and programmes responded to evolving priorities, including climate adaptation, complex emergencies (for example, conflict and natural disaster situations), etc.? 8. Was UNDP response able to address critical gaps in disaster response and prevention? 9. Was UN response to post-crisis transition guided by the principles of partnerships, national ownership, capacity development, accountability, bottom-up approaches to programming, participation and gender sensitivity?
UNDP programme management	1. Is UNDP adequately prepared to face natural disasters in disaster-prone regions? 2. Does UNDP have the technical capacity and strategies to mobilize surge capacity to provide the necessary support? 3. Does the current policy provide adequate guidance to UNDP staff? 4. Is UNDP equipped with adequate technical capacity to deliver results? 5. Has UNDP instituted systems and clear procedures to engage with other UN agencies to provide coordinated support? 6. How suitable from the programme perspective were UNDP operational and financial management procedures in responding to crisis support and to what extent did they help or hinder efficiency and the achievement of results? 7. Did joint UN efforts in response and early recovery contribute to maximizing national development results? What are the facilitating and constraining factors? 8. Was direct implementation as a programme modality efficient in early recovery and recovery support? 9. Are exit strategies included in prevention and humanitarian programmes? 10. Did the UNDP response strike a balance between direct implementation, and national/ local ownership?

Annex 3

UNDP PLANNING FRAMEWORKS

Multi-Year Funding Framework 2000-2003 (MYFF 1)
E. Special Development Situations
Goal: To prevent or reduce the incidence of complex emergencies and natural environmental, technological, and other human-induced disasters and to accelerate the process of sustainable recovery.
Sub-goal 1. Mainstream disaster reduction (including technological disasters) into national capacity- building, including policy-making, planning and investment.
Sub-goal 2. Restore the capacity of national institutions and civil society organizations to advance human security.
Sub-goal 3. Ensure an effective link between relief and development that promotes the sustainable recovery and rehabilitation of affected populations and enhances their own coping mechanisms, particularly with regard to the displaced and refugees.

Multi-Year Funding Framework 2004-2007 (MYFF 2)
Goal 4. Crisis Prevention and Recovery
Service line 4.2. Recovery
4.2.1. Multi-sector frameworks and sector-specific programmes for early recovery designed, based on assessment of recovery needs, opportunities and priorities
4.2.3. Sustainable livelihoods restored, enabling attainment of Poverty MDG.
Service line 4.5. Natural Disaster Reduction
4.5.1 Disaster risk-reduction integrated into development planning
4.5.2. Sector-specific, national and/or regional expertise developed covering disaster preparedness planning and/or mitigation of risks and vulnerabilities
4.5.3. Human-made vulnerability factors that shape risks corrected and relative disaster risk vulnerability significantly reduced.

UNDP Strategic Plan 2007-2011 (Extended to 2013)

Demonstrating enhanced capacity to support the management of conflict and natural disasters, UNDP may need to (i) do more to help address risks before crises occur; (ii) help build capacity to respond faster to crises and put early recovery actions into place even during the humanitarian stage of a crisis; and (iii) have in place predictable internal funding and resources for rapid deployment after a crisis

Increased attention will be given to supporting the Humanitarian/Resident Coordinators in (a) initiating the planning process for recovery during the humanitarian phase, based on a common understanding of each situation; (b) ensuring better integration of crisis prevention, risk reduction and cross-cutting issues into early recovery and existing programmes, (c) developing alternatives for enhancing resource mobilization for early recovery; and (d) improving access to surge capacity.

Goal 3: Supporting Crisis Prevention and Recovery

Outcome 1. Solutions generated for natural disaster risk management and conflict prevention through common analysis and inclusive dialogue among government, relevant civil society actors and other partners (i.e., UN, other international organizations, bilateral partners)

Outcome 2. Disaster: Strengthened national capacities, including the participation of women, to prevent, reduce, mitigate and cope with the impact of the systemic shocks from natural hazards

Outcome 5. Disaster: Post-disaster governance capacity strengthened, including measures to ensure the reduction of future vulnerabilities

Outcome 7. Gender equality and women's empowerment enhanced in post-disaster and post-conflict situations

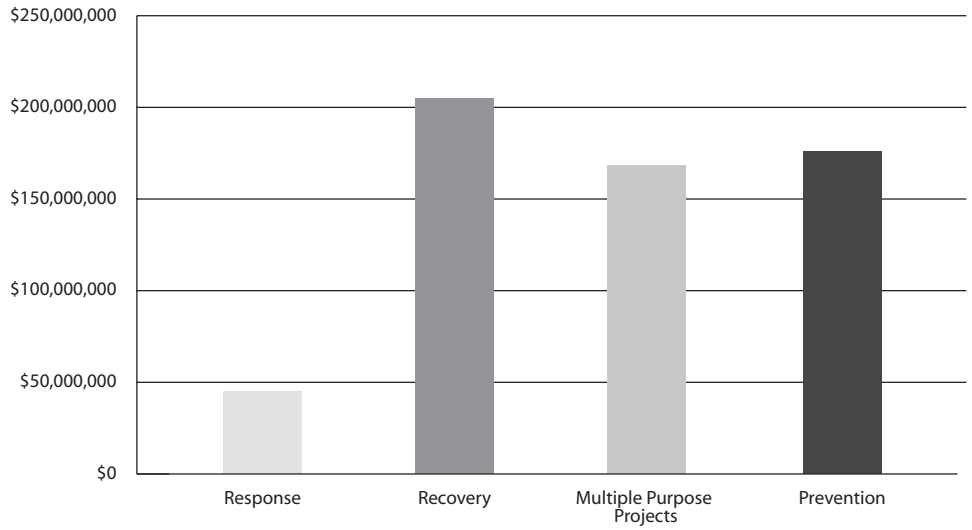
Outcome 9. Post-crisis socio-economic infrastructure restored, employment generated, economy revived; affected groups returned/reintegrated

Annex 4

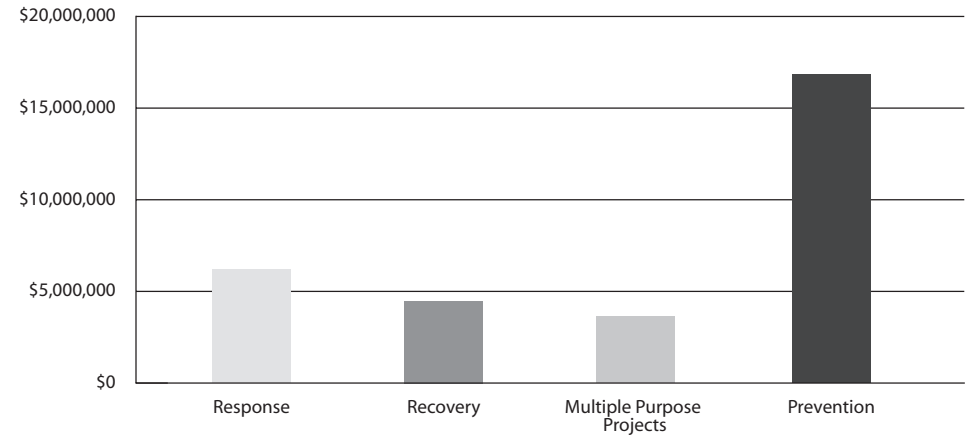
UNDP EXPENDITURE ON DISASTER PREVENTION AND RECOVERY

UNDP expenditures on disaster prevention and recovery, by region, 2004-2009

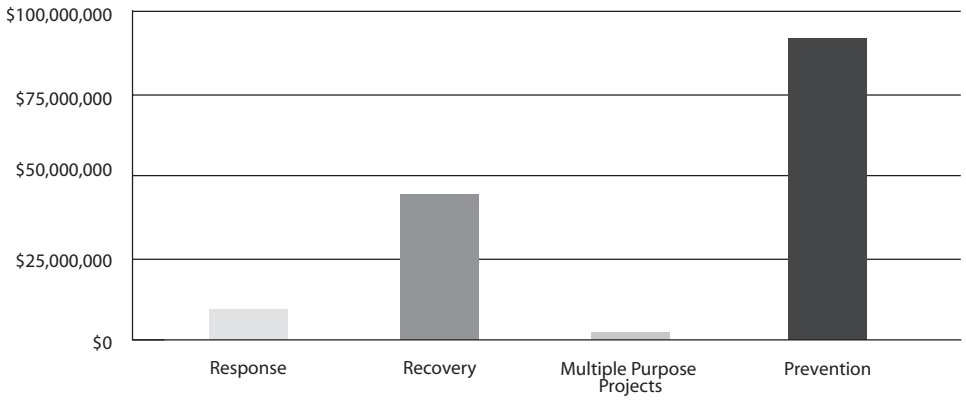
Asia and the Pacific



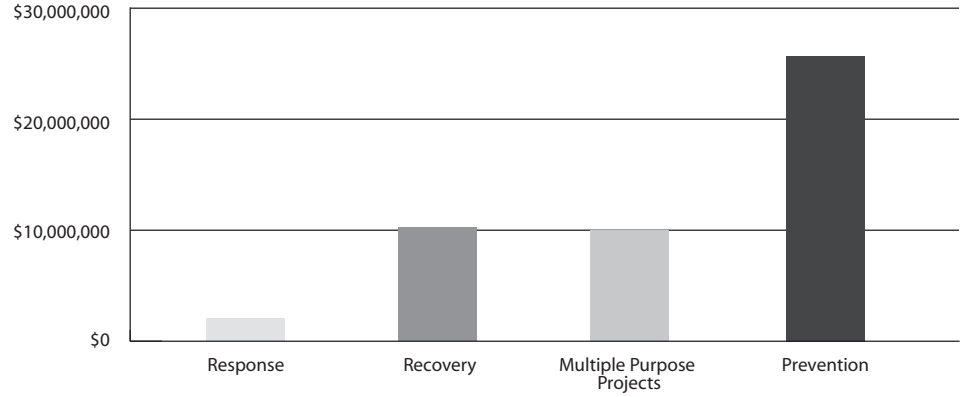
Arab States



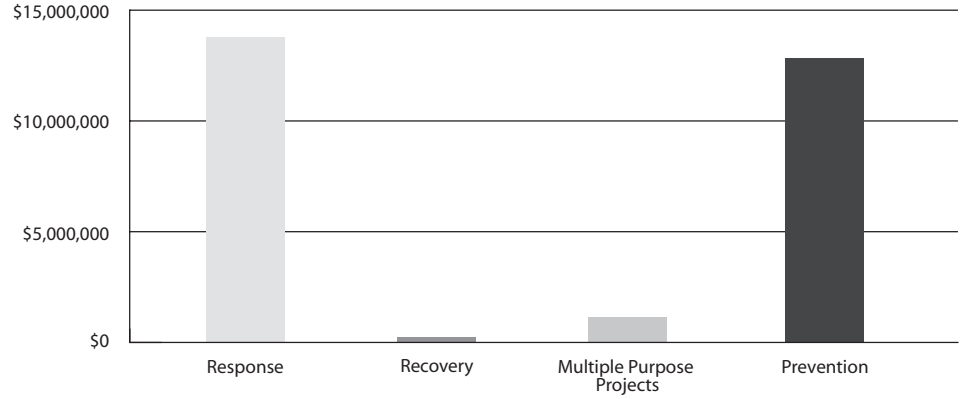
Latin America and the Caribbean



Africa



Europe and CIS



Top ten countries with the highest expenditures on disaster prevention and recovery			
Country	Disaster prevention and recovery spending, 2004-2009 (US$)	Country	Disaster prevention and recovery spending, 2004-2009 (US$)
Indonesia	197,081,615	Maldives	43,513,459
Bangladesh	90,481,619	Peru	33,796,423
India	66,239,390	Myanmar	28,272,053
Pakistan	63,190,197	Haiti	21,795,238
Sri Lanka	48,916,568	Guatemala	19,632,360

Annex 5

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Annex 7

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ASSESSMENT OF DEVELOPMENT RESULTS (ADRS)

Argentina, Bangladesh, Barbados, Bhutan, China, Ethiopia, Guatemala, Guyana, Honduras, India, Indonesia, Jamaica, Lao People's Democratic Republic, Maldives, Mozambique, Peru, Philippines, Seychelles, Sudan, Syrian Arab Republic, Tajikistan, Turkey, Uganda, Ukraine, Viet Nam and Yemen

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