



**ACTION PLAN FOR IMPLEMENTING DISASTER RISK  
REDUCTION INITIATIVES IN IRAQ**

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**August 22, 2009**

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## LIST OF ABBREVIATIONS AND ACRONYMS

CAC	Crisis Action Cell	MoDM	Ministry of Displaced and Migrants
CAP	Consolidated Appeal Process	MoE	Ministry of Education
CBO	Community-Based Organization	MoEnv	Ministry of Environment
CCA	Common Country Assessment	MoH	Ministry of Health
CCCS	Coordination and Command Crisis Structure	MoHESR	Ministry of Higher Education and Scientific Research
CERF	Central Emergency Response Fund	Mol	Ministry of Interior
CFSVA	Comprehensive Food Security and Vulnerability Analysis	MoLSA	Ministry of Labor and Social Affairs
CHAP	Common Humanitarian Action Plan	MoMPW	Ministry of Municipalities and Public Works
CHF	Cooperative Housing Foundation	MOPDC	Ministry of Planning and Development Cooperation
COSIT	Central Organization for Statistics and Information Technology	MoST	Ministry of Science and Technology
		MoT	Ministry of Trade
CSO	Civil Society Organization	MoTA	Ministry of Transport
DDG	Danish Demining Group	MoWR	Ministry of Water Resources
DOS	Department of Statistics	MNF-I	Multi National Forces - Iraq
DPT 3	Diphtheria, Pertussis and Tetanus 3 vaccine	MoU	Memorandum of Understanding
DRC	Danish Refugee Council	NAPA	National Adaptation Plan of Action
DSRSG	Deputy Special Representative of the Secretary-General	NCA	Norwegian Church Aid
EC	European Commission	NCCI	NGO Coordination Committee for Iraq
EMIS	Education Management Information System	NDS	National Development Strategy
EMRO	Eastern Mediterranean Regional Office	NFE	Non-formal Education
EPI	Expanded Programme on Immunization	NFIs	Non-Food Items
ERF	Emergency Response Fund	NGO	Non-Governmental Organization
ERW	Explosive Remnants of War	NRC	Norwegian Refugee Council
EU	European Union	OCHA	Office for the Coordination of Humanitarian Affairs
EVI	Extremely Vulnerable Iraqis	OHCHR	Office of the High Commissioner for Human Rights
FAO	Food and Agriculture Organization	PA P	Participatory Assessment
FHH	Female-Headed Household	PAC	Protection Assistant Centre
FSSVA	Food Security and Vulnerability Analysis	PDS	Public Distribution System
FTS	Financial Tracking Service	PFDM	Post Food Distribution Monitoring
GBV	Gender-Based Violence	PHC	Primary Health Care
GEC	Governorate Emergency Cells	PIN	People in Need
GEF	Global Emergency Fund	PJAK	<i>Partî Bo Jiyani Azadî la Kurdistan</i> (Party for a Free Life in Kurdistan)
GIS	Geographic Information System		
GoI	Government of Iraq	PKK	Parti Karkaren Kurdistan( Kurdistan Workers Party)
HC	Humanitarian Coordinator	POT	Protection Outcome Team
HIPC	Heavily Indebted Poor Country	PRM	Bureau of Population, Refugees and Migration
HR	Human Rights	RBM	Results Based Management
HRD	Humanitarian Reconstruction and Development	RC	Resident Coordinator
HRDF	Human Rights Democracy Fund	RI	Relief International
HRDU	Human Rights Documentation Unit	SCR 1170	Security Council Resolution 1770
HRO	Human Rights Office	GBV	Sexual and Gender-Based Violence
IASC	Inter-Agency Standing Committee	SOT	Sector Outcome Team
IAU	Inter-Agency Information and Analysis Unit	SRM	Summary Results Matrix
ICI	International Compact with Iraq	ToT	Training of Trainer
ICRC	International Committee of the Red Cross	UNAMI	United Nations Assistance Mission in Iraq
IDP	Internally Displaced Person	UNCT	United Nations Country Team
IFRC	The International Federation of Red Cross and Red Crescent Societies	UNDAF	United Nations Development Assistance Framework
		UNDG	United Nations Development Group
ILO	International Labor Organization	UNDP	United Nations Development Programme
IMC	International Medical Corps	UNEP	United Nations Environment Programme
INP	Iraq National Police	UNESCO	United Nations Educational, Scientific and Cultural Organization
INEE	Inter-agency Network for Education in Emergencies		
IOM	International Organization for Migration	UNFPA	United Nations Population Fund
IR	Islamic Relief	UNHABITAT	United Nations Human Settlements Programme
IRC	International Rescue Committee	UNHCR	United Nations High Commissioner for Refugees
IRCS	Iraqi Red Crescent Society	UNICEF	United Nations Children's Fund
ISF	Iraqi Security Forces	UNIDO	United Nations Industrial Development Organization
ITF	Iraq Trust Fund	US	United States
KRG	Kurdistan Regional Government	VAM	Vulnerability Analysis Mapping
MCH	Maternal and Child Health	WFP	World Food Programme (UN)
MICS	Multiple Indicator Cluster Survey	WHO	World Health Organization (UN)
MoMP	Ministry of Municipalities (KRG)	UNIFEM	United Nations Development Fund for Women
MoA	Ministry of Agriculture	UNOPS	United Nations Office for Project Services
MoC	Ministry of Culture		
MoCH	Ministry of Construction and Housing		

## EXECUTIVE SUMMARY

This paper presents an action plan to support the effective initiation of assistance to the Gol by the United Nations Development Programme and the UN Office for the Coordination of Humanitarian Affairs in the field of disaster risk reduction. The proposed draft action plan is consistent with the statement of problem noted in *The State of Disaster Risk Reduction in Iraq* and *The Strategic Framework for Natural Disasters and Risk Reduction in Iraq* which calls for mainstreaming disaster risk management and providing technical assistance and capacity development to establish strategic national preparedness and response agencies at the national, provincial/regional and community levels in Iraq.

The Action Plan for Implementing Disaster Risk Reduction in Iraq focuses on suggestive approaches that will embed disaster risk management within the operational practices of the Gol and the United Nations Country Team in Iraq. While the UN's risk-reduction activities tend to be in conventional structural mitigation areas, the Consultant recommends that the UN should invest more in sustainable development by instigating additional risk-reduction measures in a systematic manner, such as building in resilience measures into assisting provincial disaster management institutions or health institutions and in developing risk transfer methods.

The UN should demonstrate greater effort into encouraging the Gol to mainstream disaster risk reduction by incorporating it into their planning and development processes. The UN should also incorporate lessons learned from recent events, like the 2007-2009 drought, and develop mechanisms that address the immediate post-impact needs of the affected population. The UN should consider reflection on the four interconnect component strategies adopted by the World Bank and the Inter-American Development Bank: (i) support for hazard management and disaster risk-reduction activities, (ii) policies and instruments for immediate disaster relief to augment aid provided by other aid agencies, (iii) early disaster recovery assistance, and (iv) longer-term reconstruction and rehabilitation assistance.

A practical approach for the UN to invest in disaster risk reduction as a sustainable investment is to pursue three interrelated objectives over the next 3-5 years: (i) Strengthen the UN Country Team in Iraq in supporting the Gol and other stakeholder organizations to identify and manage risks from natural and human-induced hazards through risk assessments, vulnerability reduction, development of risk reduction strategies and strengthen the capacities of key institutions involved with disaster risk reduction and management. (ii) Facilitate assistance to disaster risk management institutions to address immediate needs following a disaster impact, build greater resilience into post-impact efforts and to identify international/national stakeholders to partner in lower threat levels to hazards affecting the lives, livelihoods and economic opportunities of the nation. (iii) Lastly, encourage and participate as a full partner in actions that assist in the development of greater regional/international disaster risk management cooperation, coordination and institutionalization for Iraq while embracing the Hyogo Framework for Action.

## I. INTRODUCTION

### Purpose

Recent decades have seen an alarming increase in the frequency of disaster occurrences each year and the magnitude of their social, economic and environmental impacts. While natural and environmental hazards may confront any nation in the world, they disproportionately become disasters with devastating effects on the poorer nations in the developing world. Recurrent natural hazards such as floods, drought, earthquake or human induced hazards such as civil unrest, terrorism, environmental pollution and the threat of a catastrophic collapsed structure can negate decades invested in pursuit of sustainable economic development and often lead to acute food insecurity and malnutrition, dislocation of populations and aggravate shocks to financial, health, environmental and livelihoods.

The long list of natural and human-induced hazards, identified in *The State of Disaster Risk Reduction in Iraq*<sup>1</sup>, shows the daunting challenges facing Iraq to create policies, institutions and investments in productive social and service sectors to reach and sustain a seven percent annual GDP growth rate required to meet the Millennium Development Goals. The crisis resulting from man-made conflict and global warming are stark impediments to the development process of wealth creation and social well-being. Further, progress towards ensuring gender equality and equal access to education, healthcare, economic opportunities, justice and security have been uneven.

Iraq has begun a gradual movement from state of crisis to "... a mosaic of development gains and humanitarian gaps."<sup>2</sup> The security and political context is now more encouraging than in the last three years with rates of violence dropping. More IDPs are returning to their homes and social indicators slowly rising in the health, education and food security sectors. What has not changed is the absence of the paradigm shift in disaster management thinking in Iraq regarding the adoption of an all-risk disaster reduction system to replace their reactive disaster response operational mechanisms.

Iraq lacks a comprehensive and coordinated disaster management system of risk management that includes a risk analysis based on an examination of hazards and the vulnerabilities and capacities of resident populations and the first responders charged to assist in times of emergencies. The United Nations, the International Committee of the Red Cross and national/international non-governmental agencies have provided ad-hoc support to the GoI in order to respond to emergencies. The need for stronger technical and infrastructural capabilities within the GoI and other disaster risk reduction stakeholders is an imperative to plan for, mitigate and respond to future crises in Iraq.

Disaster risk management, in nearly all the nations of the world, is the primary responsibility of the government to protect its people, infrastructure and other natural assets from the impact of natural and all other hazards. Humanitarian crises may be due to planners' inability to anticipate potential hazards and to appreciate their significance, and to decision-makers'

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<sup>1</sup> Consultant document prepared for UNDP/OCHA/UNAMI and Government of Iraq. 8 August 2009. Earl James Goodyear, Ph.D., Disaster Risk Management Consultant.

<sup>2</sup> Iraq and the Region: 2009 Consolidated Appeal. The UN Common Action Programme.

inability to reconcile competing demands for resources. The Go I needs to forestall potential disaster episodes by demonstrating a political will to adopt/adapt proactive mechanisms to develop a strategic and sustainable all-risk disaster management structure at the central, provincial/regional and community levels interlinked to the national development plan.

### **Disaster Risk Reduction as a Development Issue**

Development efforts are frequently disrupted by natural disasters which can sharply increase poverty and set back the pace of social and economic progress. In Iraq the sheer risks to human induced hazards compounds the threat level to national development as well as the possibility of loss of lives and livelihood for its citizens. However, many country partnership or poverty reduction strategies tend to view disasters as interruptions to development rather as a risk integral to development. An analysis of what transforms a natural hazard into a disaster reveals similar fundamental issues that development programs deal with i.e. (i) persistence of widespread urban and rural poverty; (ii) degradation of the environment; (iii) persistent poverty among certain groups; (iv) lagging investments in infrastructure; and (v) weak governance.

The international community recognizes the implications that disasters have on development, and disaster risk reduction is emerging as a field in development work although it has yet to cohere around concrete best practices. This approach is assisted by evidence, mostly from developed nations, that show substantial economic and social gains can be made by adopting disaster risk reduction which is more affordable than repairing damage after impact, the latter which often approached 20-40 percent of the original cost. The World Bank estimated that countries could save \$ 7.00 on recovery cost for every \$ 1.00 spent on disaster risk reduction. Achieving this required a comprehensive approach that emphasized actions taken prior to a disaster rather than on post-impact recovery. The aim of disaster risk reduction is not to restore things the way they were before a disaster but to collaborate with vulnerable communities and strengthen their coping strategies to deal more effectively with adverse events.

Disasters can affect a nation's core mission and retard progress across focus areas such as: social investment and urban development; modernization of the state; competitiveness; regional cooperation; and environment and natural resource management. In order to provide effective development assistance a nation needs to approach disaster risk management as an investment in sustainable development.

## **II. IMPLEMENTING A DISASTER RISK REDUCTION PARTNERSHIP STRATEGY**

### **Action Plan**

This action plan recommends an approach for effectively embedding disaster risk reduction into operational processes of the Go I and within the programs supported by the United Nations Country Team as part of the UN Development Assistance Framework. The purpose of the action plan is to mainstream disaster risk reduction initiatives through implementing the following key objectives: (i) Development of a disaster risk reduction strategy and disaster management plan with the GoI that encompasses preparedness to mitigate and respond based on an assessment of risks, hazards and capacities; (ii) A National Platform is established to support the creation of a national disaster risk management agency at the national level with operational linkages for implementation at the provincial and community level; (iii) Civil society, the private sector, academia, donors, the United Nations and international disaster risk reduction institutions participate in the process of developing, implementing, monitoring and evaluating national disaster preparedness and response activities; and (iv) Initiate support from regional and international organizations to provide technical support to national and provincial risk reduction institutions while disseminating risk reduction best practices and lessons learned information.

To achieve these objectives, the United Nations stakeholders should develop a multi-year partnership strategy with the GI, international donor and technical support agencies, to (i) develop a capacity building and technical support training program for key operational staff at the national and provincial levels, (ii) strengthen its effectiveness in supporting disaster risk reduction institutions in identifying and managing risks from natural and human-induced hazards through risk assessment, vulnerability reduction, and risk-reduction strategies, (iii) facilitate an assistance package to the national disaster management institution to address post-disaster activities in a strategic program including addressing immediate impact needs, assistance with early recovery measures, building in greater resilience to post-impact reconstruction efforts, and identifying safer sites for relocation of essential infrastructure and (iv) participate as a full partner in actions that assist in building greater regional and international disaster risk management cooperation.

In pursuing these objectives, synergies should be developed between disaster risk reduction and support for adaptation to climate change and to conflict mediation because integrating these perspectives are likely to benefit all three agendas, as long as geophysical hazards and human-induced threats are not treated as secondary issues in the process.

To undertake the tasks critical to the development of an Action Plan, the United Nations must recruit a competent national Liaison Officer designated to undertake the following primary functions: (i) serve as the UN contact person for the development of a partnership in disaster risk reduction with the GoI, (ii) be the UN focal point for creating linkages with in-country organizations supporting disaster risk reduction, (iii) contribute to operational insights into disaster risk reduction policy initiatives, and (iv) contribute to the development of the UN Country Team Disaster Management Team.

## Technical Support and Training

Five areas of technical support in disaster risk management that may be relevant to the needs of the Gol include:

1. **Prioritizing disaster risk management while strengthening national institutions to build resilience to hazards.** The emphasis shall be placed in expanding the political commitment to disaster risk reduction and focus attention on creating policies and planning on risk reduction or strengthening local coping strategies. The institutional capacity of the proposed apex institution for disaster risk reduction in Iraq shall be increased in order for them to develop their own 'national platforms'<sup>3</sup> on disaster risk reduction.

2. **Developing and strengthening disaster risk assessment and early warning.** Disaster risk assessment capacities are rare in Iraq where risk maps and land use capability maps have not been updated for decades with reference to natural hazard risks. Early warning systems to address food security, drought and climatic factors, mechanisms for warning on desertification and other major hazards are undeveloped or limited to risk surveillance and monitoring. Thus the promotion of (a) hazard and vulnerability assessment, monitoring and early warning; (b) strengthening all elements of famine and food security early warning systems in the sub-region; and (c) monitoring desertification and climate impacts, should be proposed.

3. **Enhancing the use of knowledge and innovation to reduce disaster risks.** The major challenge is threefold: (a) to expand and enhance mechanisms for the generation and dissemination of disaster risk information, (b) the integration of disaster risk reduction in formal and non-formal education, and (c) promoting research and innovation in disaster management.

4. **Reducing development risk factors.** Arid land agrarian societies and one-commodity based economies often associated with chronic poverty contribute to the high level of vulnerability of countries to natural hazards. The adoption of interventions in early warning, hazard management, post-conflict food crises are essential to create sustainable food security and poverty reduction gains. Specific project interventions for consideration might include (i) raising the dialogue on food security challenges and assessment of existing drought and desertification management programmes; (ii) ensure complementarity between disaster risk reduction, early recovery and conflict mitigation and management issues; and (iii) expand public-private sector partnerships.

5. **Strengthening preparedness and response.** Preparedness planning involves contingency planning, early warning and strategies to address the needs of displaced victims of a natural or man-made catastrophic event. The absence of an emergency management institution or the facilities to pre-test their contingency plans is likely to weaken the country's ability to respond in a timely and effective manner. Further, innovative approaches to emergency response, linking relief to development, through cash-for-work instead of using food, small-scale water harvesting, and integration of food, health, functional education programmes and security using gender equality standards are not well known. The particular challenges to address this priority are to (a) enhance the capacity for national and provincial emergency response and contingency planning; (b) integrating early warning into disaster management (c)

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<sup>3</sup> 'National Platform' is a generic term used for national mechanisms for the coordination and policy guidance on disaster risk reduction between public, private and civil society participation within a country.

harmonizing national emergency systems; (d) strengthening interaction between disaster managers and development practitioners, and (e) developing volunteerism in emergency management.

Technical support for the national Liaison Officer should be provided through the UNDP Bureau for Crisis Prevention and Recovery and/or the UN OCHA as required. The specifics of the technical support from UNDP and/or OCHA should be articulated during the development of a participatory assistance framework for establishing the national disaster risk reduction institution. Draft Terms of Reference for both positions are provided in the Annex.

Training programs need to be initiated for key stakeholders in the national and provincial government in addition to other disaster risk reduction stakeholders in civil society, the private sector and for UN programme and field staff. Specific programs with accompanying tools and guidelines might include the following:

- Identifying risks to national programmes and strategies from natural and human-induced hazards;
- Development of a disaster risk management legislative framework that reflects institutional policies, procedures and funding mechanisms for a national disaster risk reduction institution;
- Development of a national disaster preparedness plan that articulates coordination stakeholders and their roles and responsibilities;
- Managing disaster risk to the effectiveness of UN projects preparation and execution;
- Incorporating disaster risk reduction into development programs and projects;
- Undertaking risk, capacity (institutional), and vulnerability assessments (including gender vulnerability);
- Training for rapid disaster impact evaluation, damage, and need assessments;

### **Disaster Preparedness and Sectoral Responsibilities**

Based on agreed upon roles and responsibilities, it is important for participants in the contingency planning process to define response objectives and strategies in more detail. While institutional arrangements between the Go I and the UN spell out overarching common objectives and strategies for response, the contingency planning process will provide more detail on how they will meet their responsibilities. In Iraq, the proposed apex institution for disaster risk management should play a pivotal role in the development of the national contingency plan. During the development of these plans, gaps may be identified that should be addressed, or the need for greater joint operations across sectors may be required.

These plans should also include information on dissemination and communication that explains how impacted populations, key stakeholders such as decision-makers and donors will get information and also how the media will be briefed. It should also enable information and local knowledge to feed back into the government system enabling disaster-affected people to express their views, share lessons learned. Findings from community assessments should also be made available to all interested parties (within and outside community) and should feed into disaster and development planning.

Each task area of a disaster response and contingency plans is different and all elements must be accounted necessitating that different government sectors, and all levels, assume specific responsibilities according to their mandate and capacity. Below is a list of the task areas and some of the key activities that must be included in the contingency plan.

### **Emergency assessment:**

- Name lead agency responsibility for assessment and determine the roles of others in support of the assessment process;
- Establish assessment standards and procedures disseminated to those responsible including the type of information needed, all required forms and who should receive this information;
- Form and train assessment teams including sectoral/thematic specialists, search and rescue and emergency health;
- Name agency responsible for search and rescue and ensure they have the required capacity and funding;
- Identify who is responsible for administering first aid, medical evacuations and the handling of human remains;
- Ensure contingencies accounted for in the case of loss of hospital infrastructure;
- Establish protocols for the incorporation of international search and rescue teams in the response operation including then required policies and systems allowing these groups to enter the country and become operational in the shortest time possible.

### **Relief and Logistics:**

- Ensure there is a stockpile of sufficient quantities of basic relief items;
- Procurement systems in place that can be activated quickly as well as pre-arranged contracts with local suppliers. If needed items are not available nationally suppliers have been identified outside of the country;
- Implementation of a quality control process in place for purchased items;
- Adequate warehousing facilities in all areas of the country must be secured;
- Registration, distribution and monitoring processes established;
- All necessary logistics mechanisms in place for the transport and distribution of relief items including who will have management responsibility.

### **Disaster Preparedness for Effective Response:**

- Ensure that airports/seaports able to receive large amounts of goods and that these goods be processed quickly for distribution including customs clearance;
- Secure required transport whether through government systems or negotiated agreements with private suppliers;
- Ensure that those responsible for logistics have the required capacity to respond to a large scale disaster.

### **Shelter and Community Infrastructure:**

- Identify who has primary responsible for shelter management Identify potential shelter in all high risk areas taking into consideration land ownership, issues of weather and terrain;

- Secure adequate supply of tents, construction materials, and plastic sheets as well as identify suppliers in case of shortfall;
- Assess whether existing infrastructure such as schools, community centres be used for shelter in the different high risk regions as well as if those affected can seek shelter with families and friends;
- In each high risk area assess what additional community structures may be needed such as schools and identify who will assume the responsibility for construction.

### **Water and Sanitation:**

- Identify who is responsible for the supply of water ensuring the appropriate technical capacities and required equipment is available during times of disaster;
- During the planning phase ensure that cultural consideration such as bathing, drinking, washing and food preparation have been taken into account;
- Assess the availability of water in different regions of the country;
- Assess best option for the supply and storing of drinking water;
- Determine means for water distribution accounting for the potential need to ration supplies;
- Identify service providers in the eventuality that water may need to be brought in by water tankers;
- Determine whether a water education awareness programmes will be included and plan accordingly;
- Assess what type of sanitation may be needed (e.g. latrines), where these will be located if camps are set up taking into consideration health and gender issues;
- Determine how will garbage disposal be collected and safely treated.

### **Food, Nutrition and Household Needs**

- Identify who is responsible for assessing and coordinating information on food and nutrition needs;
- Ensure that food items to be distributed are appropriate for the population and whether food can be purchased locally or must be secured from other parts of the country, regionally or internationally taking into account the impact this may have on the local economy;
- Determine the composition (food type, quantity) of the food basket ensuring adequate caloric requirements have been accounted for depending on weather conditions and according to established standards (e.g. SPHERE);
- Plan appropriately for special requirements for children and other vulnerable sectors
- Arrangements for adequate storage;
- Establish a food distribution system and who will be responsible for management;
- Determine whether food assistance will also be provided to the local community as well;
- Be sure to include community members and beneficiaries in the decision making process as much as possible;
- Assess what household items are needed for the target populations in high risk areas in order to account for cultural issues and the special needs of women (hygienic kits, sanitary napkins);
- Determine what quantities are needed for both individuals and families;
- Establish how distribution will be carried out and recorded for non-food items;
- Determine what type of fuel will be used for cooking and warmth and the potential impact of this on health and the environment.

**Health:**

- Identify who is responsible for health assessment and the provision of these services and what other organizations and agencies can provide support;
- Determine what health screening/services will be provided ensuring these are coordinated with health authorities;
- Ensure that cultural considerations have been accounted for and that target groups are involved in the managing of health services when appropriate;
- Assess the potential need for an immunization programme;
- Take into account the needs of special groups (children, pregnant and lactating women, the elderly) when planning;
- Include issues pertaining to weather in the plan;
- Determine whether health services be accompanied by health education and outreach programmes;
- Ensure all required medical supplies and equipment available (e.g. cold chain) and if not plan for alternative procurement;
- Secure storage facilities.

**Telecommunications:**

- Assess the availability of alternative communications systems in the case of disasters should others be damaged;
- Ensure communication equipment (radios, satellite telephones) are in place including required radio frequencies depending on the type of radios used;
- Train personnel in the use of each potential communication system.

**Education and Community Services:**

- Identify who is responsible for the provision of educational services;
- Assess the possibility how the national education system could be maintained (structure, curricula, etc.) following a disaster episode;
- Include the participation of local teachers and other educators in the delivery of education programmes;
- Account for special cultural arrangements (e.g. different spaces for girls and boys);
- Determine whether skill training programmes developed for adults and youth will be provided;
- Account for recreation needs of the beneficiary population;

**Contingency Planning**

Contingency planning is a management tool used to analyze the impact of potential hazard events so that adequate and appropriate arrangements are made in advance to respond in a timely, effective and appropriate way to the needs and the affected population.. Contingency planning is a tool to anticipate, pre-empt, and solve problems that typically arise during a humanitarian response. A well-developed and consistently updated contingency plan is an essential element of an overall national preparedness capability. Contingency plans should be clear, accessible and concise; otherwise the reader risks becoming lost in the detail. A national contingency plan should be readable in one sitting. Sectoral, ministry or humanitarian agencies plans can be attached as annexes. A number of UN and disaster management agencies have developed their own manuals on contingency planning that can be adapted to a specific national

context. The Inter-Agency Contingency Planning Guidelines for Humanitarian Assistance outlines four key steps in the contingency planning process: preparation, analysis, response planning, and implementing preparedness.

#### Indicators

**Government:** The contingency plan is multi-sectoral and based on solid multi-hazard assessment and risk analysis. Training and simulation exercises are carried out at least once a year with the participation of all actors and lessons learned are incorporated into revisions of the contingency plan.

**Civil Society:** Civil society participates in the development, testing and implementation of disaster contingency plans. Local level preparedness planning processes are part of national planning and reflect likely Government resources and capacity.

**Regional Organizations:** Technical and other support are provided to provinces/regions for the development of a national disaster contingency plan. Regional contingency plans are developed and approved by participating stakeholders in the region

**International Agencies:** Technical and other support are provided to States and regional organizations in the development of contingency plans.

A contingency plan should be based on a sound analysis of risk in a specific context, and will therefore reflect the nature of the hazards or threats, as well as the vulnerabilities and capacities in a particular context. Scenario planning should try to look at a full range of possible hazard events and then to try to prioritize those most relevant to the risk profile of the area. When developing scenarios it is important to undertake an honest analysis of previous disasters, to assess current levels of risk, and to develop projections of the likely humanitarian implications of a particular hazard/threat within a particular risk context. There is also a need for a clear understanding and appreciation of who is vulnerable and why, and measures that can be taken to strengthen the resilience of disaster-prone communities including the extent to which indigenous coping mechanisms are sustainable. This, invariably, includes a people-centered approach that is sensitive to gender, culture and other context-specific issues that undermine or empower particular groups and individuals. Information must be collected through the undertaking of a detailed vulnerability mapping exercise to clearly identify areas and communities of high vulnerability.

Although scenarios should be based on the most likely and frequent events, it is important to consider what might happen in an abnormally large event, or how responses would need to be adapted in the case of a possible, but less frequent type of hazard event. It is also useful to discuss what would be the early warning signs and triggers that could be used to monitor the progress of a hazard event and its human impact. A contingency planning exercise should enable designated organizations to spell out their strategy for how they will meet their obligations for building a preparedness capability.

As such, the process should clearly articulate the minimum standards of assistance that organizations will be expected to provide. Plans should be based on clear and established standards, such as those developed by the Sphere project. Issues of the quantity and quality of services expected to be provided should be discussed prior to the disaster, and should be

considered both in the pre-positioning of stocks and in budgeting processes. Effective accountability mechanisms should be put in places that are accessible to local response agencies and communities. Contingency plans should also include an analysis of how response organizations themselves would function if their own facilities, staff or systems were immobilized by the hazard event (such as key warehouses being destroyed in an earthquake, or staff not being able to report to work as usual during a flood). This process, known as 'business continuity planning', can be essential to make sure that key organizations remain operational in the face of a hazard event.

Each organization involved in developing the plan will have different capacities and resources to bring to the table. Each has the right to participate in the development of the contingency plan and each has something to contribute. Different skills and resources are required depending on the specific disaster scenario. While some organizations will be specialized in very technical areas (e.g. meteorological forecasting) while others will have equally essential more generally applicable community based knowledge and skills. By using a process whereby various voices are heard early, a dialogue can be initiated and differences worked out before, rather than during, a hazard response.

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## Capacity Building and Analysis

**Expected Outcome:** All organizations, persons and volunteers responsible for maintaining preparedness are equipped and trained for effective disaster preparedness and response.

Building a preparedness capability requires an assessment of current systems and resources. Capacity assessments can reveal hidden assets and resources in governmental agencies and civil society that can be built upon to strengthen preparedness and lead to a more predictable and efficient response and recovery process. Major deficiencies can also be uncovered and made known, spurring corrective actions. The assessment should be based on the relationship between hazards and the levels of vulnerability in a particular context (and as such, should refer to the analysis undertaken during the contingency planning process). Assessments should not be an extractive process and trainings need to be inclusive and participatory. Capacity building activities need to be based on principles of empowerment of affected communities and of accountability of all stakeholders. The assessment should consider available resources, existing capacities, operational plans and procedures, as well as communications and coordination systems at every level in order to identify gaps and capacity building needs and to plan accordingly. It should look at all phases of an emergency, including preparedness and response and early-recovery.

In most cases, capacity analysis is best done by an inter-disciplinary team. Executive and organizational support for the assessment, as well as sufficient resources to complete the task is essential. The indicators for an effective inter-disciplinary effort include:

Indicators:

**Government:** An inter-agency, multi-sectoral capacity assessment has been completed resulting in clear measurable actions to strengthen and maintain preparedness capacity. Appropriate ongoing training programmes, including simulation exercises have been developed and implemented at the national, provincial and local levels. Funding for institutional capacity building and technical training is included in budgets and available in a consistent and timely manner.

**Civil Society:** Civil society stakeholders participate in the capacity assessment process. Civil society stakeholders and communities receive adequate training and other support to be able to fulfill their roles within the preparedness system.

Universities, specialized technical agencies, and disaster preparedness organizations are involved in capacity building initiatives for disaster preparedness.

**Regional Organizations:** Training materials and courses are provided to Member States and other stakeholders to increase regional capacity in disaster preparedness and response. Regional self-assessment conducted to assess capacities available within the region to support States and disaster management stakeholders, and to identify and prioritize action to address possible gaps. Regional training and capacity standards are in place and disseminated throughout the region.

International Agencies: Lessons learned and good case studies are collected and shared with other countries. Technical support provided to regional and national actors to implement capacity building plans as appropriate.

A contingency plan should be based on a sound analysis of risk in a specific context, and will therefore reflect the nature of the hazards or threats, as well as the vulnerabilities and capacities in a particular context. Scenario planning should try to look at a full range of possible hazard events and then to try to prioritize those most relevant to the risk profile of the area. When developing scenarios it is important to undertake an honest analysis of previous disasters, to assess current levels of risk, and to develop projections of the likely humanitarian implications of a particular hazard/threat within a particular risk context. There is also a need for a clear understanding and appreciation of who is vulnerable and why, and measures that can be taken to strengthen the resilience of disaster-prone communities including the extent to which indigenous coping mechanisms are sustainable. This, invariably, includes a people-centered approach that is sensitive to gender, culture and other context-specific issues that undermine or empower particular groups and individuals. Information must be collected through the undertaking of a detailed vulnerability mapping exercise to clearly identify areas and communities of high vulnerability.

This process development of the contingency plan should commence with the following activities:

- Visits to operational facilities of existing authorities with responsibilities for disaster preparedness;
- Interviews with various actors of the system at the national, regional, departmental, municipal and local level and visits to highly vulnerable regions;
- Observation of simulations and simulation exercises, studies and analysis of official documents;
- Reviews of disaster histories and the participation in meetings on disaster preparedness and stand-by arrangements.

The capacity analysis process should also assess material resource needs, and the availability of funds in comparison to needs. If necessary, a strategy should be developed to bridge the gap between available and required resources. This may include the preparation of specific proposals to international donor organizations.

The analysis process should be used as the base for developing a comprehensive capacity building programme that would likely include training courses, but also research, evaluation and other activities to enhance preparedness capacity. Training materials for different target audiences (decision makers, managers, technical staff, and community organizations) will need to be developed and made available, and experienced trainers identified. Increasingly, tools such as web-based training are also being used to expand the scope and decrease the costs of training activities. Training schedules developed should be realistic regarding competing demands on staff time, and should include provisions for updating skills when necessary.

Capacity building activities should include activities to analyze responses to previous disasters and lessons learnt incorporated into future capacity building strategies. They should also include monitoring and evaluations activities to assess changes in preparedness as a result of activities. Staff and communities should also be trained in the national standards and procedures for all

disaster preparedness and response technical areas, including needs assessment for immediate relief and early recovery.

Recognizing and addressing vulnerability and negative environmental impact should be part of this training. The plan should also consider undertaking technical training modules focusing on adapting technical skills to disaster situations. It is critical that appropriate trainers be identified either within the national system or through external support. This could include representation from the educational sector, training agencies, agencies with specialized knowledge in all technical areas as well as international; national, regional and local disaster management agencies; and relevant community groups.

The following list serves as a guide in developing an institutional capacity building programme:

- A detailed assessment of current needs and capacities has been completed that specifically addresses policies, procedures and systems at all levels.
- Experienced trainers have been identified and oriented to training requirements.
- Training materials for different target audiences (decision makers, managers, technical staff, and community organizations) have been developed and made available including web-based training when feasible.
- A training schedule has been developed including provisions for updating skills when necessary.
- Responses to previous disasters are analyzed and lessons learnt incorporated into future capacity building strategies and programmes.
- Institution-wide training in standards, procedures, and protocols are in place.
- Monitoring and evaluation systems have been developed and staff at all levels and all sectors has been assigned to implement them.

A plan in and of itself is not enough. The plan needs to be tested and exercised by the people and organizations that will use it. Classroom or actual field simulation exercises, based on specific scenarios, are an effective means to determine how realistic the plan is and to assess the capacity of the different stakeholders. Based on the results and lessons learned during such exercises, plans (procedures, responsibilities, etc.) can then be modified accordingly.

Simulation and response exercises can help to identify strengths and weaknesses, as well as what training is required so that all participants are able to meet their identified responsibilities. The use of simulation exercises also serve to maintain the plan 'fresh' in the minds of all the actors and to keep knowledge and skills up to date. The same holds true in the testing of the effectiveness of early warning and alert systems. Conducting lessons learned exercises from previous responses is also important. Simulation exercises can also be a good means of reviewing how well cross-cutting issues are reflected in the plan, and if vulnerable groups will be able to access extra support during a potential hazard response.

Once the planning process has been completed, it is essential that its content be used to directly increase levels of readiness through activities such as upgrading early warning systems, pre-positioning resources within sectors likely to be impacted, or the provision of contingency budgets for associated government departments with central responsibilities for preparedness. It is also important that sufficient resources are allocated for the review and dissemination of the plan by all of those who are expected to play a role in its implementation. It is vital that all clearly understand the plan and their role and responsibilities.

## Early Warning Systems

Early warning refers to the systematic collection and analysis of information for the purpose of anticipating and identifying emerging, deteriorating, or reoccurring humanitarian crises. Early warning allows the public and emergency responders to take pre-emptive and protective action to avoid harm. Early warning should trigger action by designated agencies or community members to prepare for a hazard event and/or assist the evacuation in an area at risk. In most countries, a number of organizations including meteorological organizations, seismic and volcanic observatories, academic institutions, regional interest groups, UN agencies, agricultural associations and other organizations will all generate hazard-monitoring information.

At a minimum, as part of the national preparedness capability, disaster authorities should be linked to the meteorological and seismic monitoring departments both nationally and regionally, and to key government or academic institutions that consistently track disaster trends. Depending on the hazard type, community based monitoring mechanisms may be able to monitor changes at the local level. These need to be developed and strengthened by providing support to the development of early warning indicators at community level. Ongoing dialogue with the scientific and technological communities is crucial, particularly in the context of emerging trends that will impact disaster vulnerability including climate change. Improved data sharing, space based earth and risk observation, climate modeling and forecasting, and strengthened early warning systems can all contribute to enhanced early warning capacity. The challenge for the agency responsible for disaster management is to generate effective analysis and application of multiple information sources.

### Indicators

**Government:** National legislation clearly indicates roles and responsibilities of all stakeholders including which agencies are responsible for generating and disseminating hazard warnings to the public. The national system for issuing early warning has multiple means of reaching the entire population, including difficult-to-access groups, in a clear and easily understood manner. Early warning systems are based on community knowledge of relevant hazards and risks and include provisions for two-way information flow. Early warning systems are regularly tested and modified based on lessons learned. Institutional arrangements are in place and tested to facilitate effective and timely early warning systems including all stakeholders.

**Civil Society:** Local networks regularly provide training on the national system for issuing early warnings. Communities and other civil society stakeholders are active participants in all aspects of the development, operation, training and testing of early warning systems. Early warning systems are aligned to community capacity with special emphasis on ensuring communication systems work and warning messages are recognized and understood.

**Regional Organizations:** Information and advisory services are provided to nations to support the establishment of early-warning systems. Local, national and regional risk and multi-hazard maps are developed for high-risk areas. Regional early warning and dissemination systems for potential widespread cross-border disasters developed. Regional best practice is shared between nations.

International Agencies: Early warning standards and guides developed and disseminated. Advisory, technical, organizational and policy development support is provided to nations and regional organizations in the development, implementation and testing of early warning systems.

Individual provinces/regions and Regional Organizations are supported to develop policies and procedures to facilitate the incorporation of international assistance if needed during an emergency.

## **Coordination in the Preparedness Phase**

In order for coordination between the various actors in the response to a humanitarian crisis to be effective, it needs to take place and properly performed in the preparedness phase. For the humanitarian community, one of the key tools in helping to ensure proper coordination in the preparedness phase between the various actors, are the *IASC Inter-Agency Contingency Planning Guidelines*. They provide guidance to the international humanitarian community to "organize itself to support and complement national action" recognizing the fact that "governments hold primary responsibility for providing humanitarian assistance to people in need".

Governments have usually created various different coordination structures. The role of the international community, including humanitarian actors, is to support and complement and where possible enhance national action. This support should be provided in a coordinated manner as underlined by the *IASC Inter-Agency Contingency Planning Guidelines*, the *Humanitarian Reform* approach as well as the *Guidelines for the Domestic Facilitation and Regulation of International Disaster Relief and Initial Recovery Assistance*..

Following the *Humanitarian Response Review* of 2005, the cluster approach was proposed as a way of addressing gaps and strengthening the effectiveness of humanitarian response through building partnerships and improving coordination. Moreover, the cluster approach ensures predictability and accountability in international responses to humanitarian emergencies, by clarifying the division of labor among organizations, and better defining their roles and responsibilities within the different sectors of the response. It is about making the international humanitarian community more structured, accountable and professional, so that it can be a better partner for host governments, local authorities and local civil society.

At the country level, coordination structures take on various different forms. UN agencies, often together with their partners, might have created a Disaster Management Team (DMT), sometimes with more technical level working groups created that report to the DMT and that are in charge of ongoing preparedness activities (these are often called technical working groups, emergency technical teams or otherwise). The Inter-Agency Contingency Planning Guidelines actually recommend the establishment of "on-going, technical level working groups on preparedness and contingency planning" (p.13) at the country level. - Field coordination mechanisms are also often called IASC Country Teams, Humanitarian Country Teams or otherwise. The name usually changes with respect to membership. Whereas a DMT is generally rather UN centric, the latter mentioned coordination structures are more broad based including NGOs, the Red Cross Movement, the Government, donors and/ or others, in line with the spirit of the Humanitarian Reform.

Use of the following IASC Cluster Approach table will assist in reviewing the UN Country Team strategy for disaster risk reduction initiatives:

## IASC CLUSTER APPROACH

CLUSTER <sup>4</sup>	LEAD AGENCY <sup>5</sup>	PARTICIPANTS	OBJECTIVES
<b>CAMP COORDINATION AND MANAGEMENT</b>	UNHCR – conflict-related IDPS IOM – natural disaster related IDPs	OCHA UNICEF	Unlike in other clusters, the working group had to define and refine the concept of Camp Coordination first, thereby looking at the scope and purpose of this crosscutting cluster, and considering the generic roles of national governments, the international community and nongovernmental partners. The working group aims to map Camp Coordination capacities worldwide and to set the foundations for a viable and sustainable response mechanism. For that to happen, the Camp Coordination Cluster aims to broaden its membership and bring together major players that enhance competence, experience, and capacities in the cluster. It will be working on standard setting, including the development of guiding principles, and, the mobilization of resources to effectively manage the cluster at a global level (including stand-by capacities) and to respond to new emergencies as well as existing Internally Displaced Persons situations.

<sup>4</sup> Source: *Update on Humanitarian Reform*, United Nations Office for the Coordination of Humanitarian Affairs (OCHA), March 2006; [http://www.reliefweb.int/rw/lib.nsf/db900SID/DPAS-6MMLSH/\\$FILE/Update%20of%20humanitarian%20response%20review.pdf](http://www.reliefweb.int/rw/lib.nsf/db900SID/DPAS-6MMLSH/$FILE/Update%20of%20humanitarian%20response%20review.pdf). OCHA in 2006, Activities and Extra-budgetary Funding Requirements; [http://ochaonline.un.org/ocha2006/chap6\\_6.htm](http://ochaonline.un.org/ocha2006/chap6_6.htm)

<sup>5</sup> List of Acronyms: FAO UN Food and Agricultural Organization , IOM International Organization for Migration, ICRC International Committee of the Red Cross, IFRC International Federation of Red Cross and Red Crescent Societies, OCHA UN Office for the Coordination of Humanitarian Affairs, OHCHR Office of the UN High Commissioner for Human Rights, UN DPKO UN Dept. of Peacekeeping Operations, UNDP UN Development Programme, UNFPA UN Population Fund, UNHCR UN High Commissioner for Refugees, UNICEF UN Children’s Fund, WHO World Health Organization.

<b>EARLY RECOVERY</b>	UNDP	18 humanitarian and development agencies	“Early Recovery” has been defined as a multidimensional process – including the reintegration of displaced people- that aims at stabilizing human security in its economic, livelihoods, governance, social and security dimensions and at laying the basic foundation of a transformation process that integrates risk reduction at the very early stages of humanitarian action. The objective of this cluster is to improve the predictability, timeliness, effectiveness, and efficiency of humanitarian and development-related action from the early phases of the humanitarian response to a crisis. Its priority areas of focus are to strategically plan recovery from very early stages of a crisis and to develop joint programming in key priority sectors where the impact of development programmes needs to be accelerated. The cluster, while requiring dedicated attention and strengthening in its own right, will also make every effort to integrate and mainstream early recovery across all the clusters and sectors.
<b>EMERGENCY SHELTER</b>	UNHCR – complex emergencies IFRC – natural disasters	IFRC IOM ICRC	The cluster working group aims to improve effectiveness and predictability of service provision by (a) strengthening of stockpiles of shelter and related non-food items, (b) developing an emergency shelter strategy, guidelines and tools for assessments, intervention and monitoring, (c) increasing the number of qualified professionals available for rapid deployment.
<b>EMERGENCY TELECOMMUNICATIONS</b>	OCHA – process owner UNICEF – common data services	UNDPKO UNHCR	The Emergency Telecommunications Cluster aims to provide clearly defined

	WFP [World Food Programme] – common security telecommunications services	UNOSAT WHO ICRC IFRC	services to ensure timely, predictable, and effective inter-agency telecommunications to support humanitarian operations in emergencies. This includes interagency telecommunications infrastructure and services, covering both data and security communications, which are essential for the efficient and effective operations; standard, interoperable Information and Communication Technology (ICT) platforms and procedures to avoid duplication and ensure cost effective services; and transition to the post-emergency reconstruction.
<b>HEALTH</b>	WHO	FAO OCHA UNICEF UNDP UNFPA UNHCR WFP ICRC IFRC IOM OHCHR	The priorities of the Health Cluster are set out in the twenty-point Joint Initiative to Improve Humanitarian Health Outcomes. There are, in addition, some relatively neglected sub-sectoral areas especially in relation to mental health and psychosocial support, Sexual and Gender-Based Violence (SGBV), HIV/AIDS, women's health and mass casualty management. Health Cluster partners are addressing these areas.
<b>LOGISTICS</b>	WFP	WHO UNHCR UNICEF OCHA UNFPA ICRC IFRC FAO	The Cluster Working Group aims to improve surge capacity, speed and effectiveness of humanitarian response ensuring better logistics preparedness and response, and facilitating improved inter-agency interoperability through the pooling of resources.
<b>NUTRITION</b>	UNICEF	WHO UNHCR WFP FAO	The Cluster working group aims to improve the predictability, effectiveness and accountability of humanitarian action in Nutrition. It has developed its work plan

		UNICEF UNFPA OCHA IFRC ICRC	around key gaps it has identified in the area of Nutrition such as Coordination, Emergency Preparedness and Response Triggers, Assessment, monitoring and surveillance, Capacity Building, and Supply.
<b>PROTECTION</b>	UNHCR	OCHA UNICEF OHCHR WFP UNDPKO ICRC IOM UN-HABITAT UNDP UNFPA IFRC	The Working Group has identified nine key areas where protection gaps have existed in humanitarian response, and has determined focal point responsibilities among participants to ensure predictability in future protection responses. The framework established by the Working Group is designed to be flexible and easily adapted for implementation at the country level, while also taking a proactive approach to ensure inclusion of all "protection actors", including international and national NGOs.
<b>WATER, SANITATION AND HYGIENE</b>	UNICEF	ICRC IFRC UNHCR WFP WHO	Its implementation plan has eight strategic outcomes focusing on assessment of sector capacities, strengthening surge capacity, training and orientation, strengthening coordination, developing supply assistance, standard setting and performance indicators, monitoring and advocacy and resource mobilization.
<b>EDUCATION</b>	UNICEF		Providing education to children in the affected populations.

### III. CONCLUSION

Disaster preparedness is just one element of a holistic approach to the reduction of risk associated with natural and human induced hazards. However, an adequate level of preparedness can be particularly essential to saving lives and livelihoods in the face of a natural and human induced hazard episode. This paper suggests guidance on key indicators for developing an effective disaster preparedness and response capability in Iraq. In particular it stresses that following the prescribed path for institutionalizing disaster preparedness planning should lead to the following outputs:

- Realistic and measurable objectives, outputs, and activities to strengthen and maintain disaster preparedness capabilities that are an integral component of a holistic national disaster risk reduction strategy.
- An approved national legislative framework that details disaster preparedness, response, recovery roles, responsibilities and funding mechanisms is developed or updated, widely disseminated and consistently implemented.
- A well-functioning disaster coordination mechanism is in place with clear policies and procedures and in which all entities are clear about their roles and responsibilities.
- A contingency plan that includes an in-depth analysis of hazard risk, vulnerability and capacities is developed and regularly updated.
- All organizations, persons and volunteers responsible for maintaining preparedness are equipped and trained for effective disaster preparedness and response.
- An effective national and regional early warning system that applies sound scientific information and risk knowledge is in place and able to communicate warnings to mobilize action in all at-risk communities.
- An information management and dissemination system that facilitates the two-way exchange of pertinent technical and management information between internal and external stakeholders is maintained.
- Multi-stakeholder response mechanisms, supported by legislation and accompanied by the necessary resources, are developed and tested based on the contingency plan, enabling efficient action during times of emergency.
- The transition to early recovery activities is considered and planned for in contingency and other preparedness planning processes.
- Financial reserves and emergency funding mechanisms are in place to support effective preparedness, response and early recovery as required.

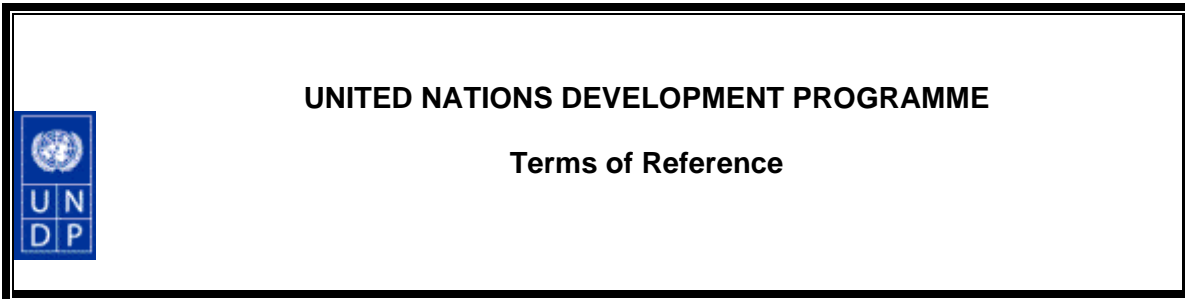
Disaster preparedness and response planning is a process that requires constant and sustained vigilance. Developing institutional capability is only the first step. Once the basic preparedness activities suggested have been undertaken, it is critical that human and other resources are allocated to maintain and update systems, and that lessons learned in the wake of hazard events be used to strengthen preparedness in the future.

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**EJ Goodyear**  
**19 August 2009**

## APPENDIX I

### Draft Terms of Reference for National Disaster Risk Reduction Liaison Officer



#### I. Position Information

JOB TITLE: National Disaster Risk Reduction Liaison Officer  
DUTY STATION: Baghdad, Iraq  
DURATION: Six (6) months, extendable for additional twelve (12) months  
SUPERVISOR: UNDP Disaster Preparedness and Response Advisor

#### II. Background & Organizational Context

Recent decades have seen an alarming increase in the frequency of disaster occurrences each year and the magnitude of their social, economic and environmental impacts. While natural and environmental hazards may confront any nation in the world, they disproportionately become disasters with devastating effects on the poorer nations in the developing world. Recurrent natural hazards such as floods, drought, earthquake or human induced hazards such as civil unrest, terrorism, environmental pollution and the threat of a catastrophic collapsed structure can negate decades invested in pursuit of sustainable economic development and often lead to acute food insecurity and malnutrition, dislocation of populations and aggravate shocks to financial, health, environmental and livelihoods.

The long list of natural and human-induced hazards, identified in *The State of Disaster Risk Reduction in Iraq*<sup>6</sup>, shows the daunting challenges facing Iraq to create policies, institutions and investments in productive social and service sectors to reach and sustain a seven percent annual GDP growth rate required to meet the Millennium Development Goals. The crisis resulting from man-made conflict and global warming are stark impediments to the development process of wealth creation and social well-being. Further, progress towards ensuring gender equality and equal access to education, healthcare, economic opportunities, justice and security have been

<sup>6</sup> Consultant document prepared for UNDP/OCHA/UNAMI and Government of Iraq. 8 August 2009. Earl James Goodyear, Ph.D., Disaster Risk Management Consultant.

uneven.

The 2009 study of disaster risk reduction initiatives in Iraq arrived at significant findings that can be summarized as follows:

- **Institution:** Disaster risk reduction has yet to be effectively institutionalized in Iraq where a historical preference has been to reactively respond to crises through the appointment of ad hoc response committees at the central government level.
- **Knowledge Management:** Inadequate attention to information management and communication, training and research.
- **Governance:** Inadequate involvement of stakeholders; Citizens are often mere recipients of disaster management activity outputs.
- **Risk Identification and Assessments:** Limited number of risk identification and assessments conducted since the early 1980's.
- **Emergency Response:** Disaster management has yet to be integrated into the national development policies

As such, the following common objectives have been identified for proposed support to the GoI to establish a national platform for disaster risk reduction, mainstream disaster risk reduction into the national development programme, the strengthening of early warning systems, the creation of disaster risk reduction policies and legislation and the establishment of a national disaster management institution.

- Increase political commitment to disaster risk reduction;
- Improve identification and assessment of disaster risks;
- Enhance knowledge management for disaster risk reduction;
- Increase public awareness of disaster risks and mitigation/prevention strategies;
- Improve governance of disaster risk institutions;
- Integrate disaster risk reduction into emergency response management.

### III. Functions/Key Results Expected

1. Ensures political commitment of the GoI and the United Nations Country Team is focused on disaster risk by ensuring that the multidimensional partnership activities are focusing on the achievement of the following results:

- Assist the GoI disaster risk reduction focal point and the UNDP staff in the preparatory work leading to the development of a national disaster risk management authority at the national and provincial levels.
- Assist the United Nations Country Team on disaster risk reduction programme and policy issues.
- Assist the GoI and the United Nations Country Team with advocating for disaster risk reduction issues with the government and donor community.

<ul style="list-style-type: none"> <li><input type="checkbox"/> Interact with the national, provincial and community level disaster management and coordination institutions.</li> <li><input type="checkbox"/> Interact with the global disaster risk reduction stakeholders.</li> <li><input type="checkbox"/> Contribute to disaster risk reduction information management coordination through interaction with information management focal points.</li> </ul>
<p>2. Improve identification and assessment of disaster risks, focusing on the achievement of the following results:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Facilitate further development of mechanisms to ensure consensus on the demand for an updated assessment of disaster risks, through appropriate consultative processes involving the participation of all stakeholders.</li> <li><input type="checkbox"/> Coordinate with the academic and scientific communities, especially regarding the disaster risk monitoring and analysis works undertaken.</li> <li><input type="checkbox"/> Ensure that disaster risk reduction stakeholders are aware of relevant policy guidelines and technical standards and that their activities are directed by these guidelines.</li> <li><input type="checkbox"/> Support the integration of disaster risk reduction into existing inter-agency coordination meetings and provide the necessary secretariat support; ensure that coordination mechanisms are managed efficiently.</li> <li><input type="checkbox"/> Promote national and local ownership of programmes through increased consultation and participation of key national, regional and local stakeholders to ensure that disaster risk reduction activity is complementary to common and nationally owned strategies.</li> <li><input type="checkbox"/> Support the inclusion of counterparts and using local resource persons on specific disaster risk reduction issues where possible.</li> <li><input type="checkbox"/> Generation and dissemination of disaster risk reduction information products and services to provide an overview of all clusters' activities and support humanitarian coordination, including: Contact Directory of risk reduction stakeholders; Who Does What, Where and How ; meeting minutes; standard forms; policy or technical guidance; datasets; etc.</li> </ul>
<p>3. Facilitates disaster risk reduction planning and implementation at the national, provincial and community levels, focusing on the achievement of the following results:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure that regional disparities, inter-sectoral linkages, and cross-cutting issues [Gender, HIV/AIDS, Human Rights, and Environment] are taken into account in the activities for disaster risk reduction.</li> <li><input type="checkbox"/> Take into account how best to support the local and national efforts for risk reduction.</li> <li><input type="checkbox"/> Support the development and/or application of policies guiding the disaster risk reduction process.</li> <li><input type="checkbox"/> Take the lead on developing strategic planning and programmatic support to national systems in developing capacities for disaster risk management, particularly in the priority areas/sectors identified through partnership needs assessments.</li> <li><input type="checkbox"/> Support the mainstreaming of crisis preparedness and risk management activities, educational and awareness-building tasks, and assessments into the work of the United Nations Country Team.</li> <li><input type="checkbox"/> Advocate for a smooth transition from relief to development initiatives.</li> <li><input type="checkbox"/> Support the development of local-level early recovery plans that conform to the country early recovery strategy.</li> </ul>
<p>4. Ensures capacity building and training, focusing on the achievement of the following results:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Identify capacity development and training needs and address learning requirements with</li> </ul>

appropriate technical support and knowledge management.

5. Ensures resource mobilization, focusing on the achievement of the following results:

- Work closely with the UNDP program staff and the United Nations Country on the development of a resource mobilization strategy.

#### **IV. Deliverables**

- Coordinate the implementation of the disaster risk reduction strategic framework and its development.
- Support the development of a national disaster management plan, in cooperation with the GoI and other stakeholders.
- Design and introduce a needs assessment framework for the United Nations Country Team and stakeholders, including the GoI can respond to crisis episodes, with particular attention to economic and social recovery and agricultural issues.
- Interpret disaster and needs assessment findings into a comprehensive recovery\_strategy for further use by the Government and by the international community. Coordinate compilation, review, finalization and presentation of an assessment report.
- Ensure linkage of the assessment to recovery programme development by developing UNDP post-disaster recovery programme document based on the needs assessment, with a strong component of disaster risk reduction measures, based on the existing UNDP programmes in local development practice area.
- Prepare briefings on the state of disaster risk reduction in Iraq to government officials, donors and other stakeholders.
- Undertake such other related tasks as may be requested by the UNDP program staff or the United Nations Country Team.

#### **V. Competencies and Critical Success Factors**

##### **Corporate Competencies:**

- Demonstrates integrity by modeling the UN's values and ethical standards.
- Promotes the vision, mission and strategic goals of the UN.
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability.
- Treats all people fairly without favoritism

##### **Functional (UN) Competencies:**

###### *Knowledge Management and Learning*

- Promotes knowledge management among UN and non-UN partners.
- In-depth practical knowledge of inter-disciplinary programmatic issues regarding the disaster risk reduction including preparedness and the transition from relief to recovery.
- Actively works towards continuing personal learning and development, acts on learning plan and applies newly acquired skills.
- Seeks and applies knowledge, information, and best practices from within and outside of the UN.

### *Coordination Effectiveness*

- Ability to lead the design and implementation of UN joint programme activities, strengthening of strategic partnerships for disaster risk management.
- Ability to build and sustain effective partnerships with UN Agencies and main constituents, advocate effectively, communicate sensitively across different constituencies.

### *Management and Leadership*

- Focuses on impact and results.
- Leads teams effectively and shows conflict resolution skills.
- Establishes priorities for self and other members of the team; schedules activities to ensure optimum use of time and resources.
- In providing advice to the UN Country Team, has the capacity to gather comprehensive information on complex problems or situations; evaluates information accurately and identifies key issues required to resolve problems
- Consistently approaches work with energy and a positive, constructive attitude
- Demonstrates excellent oral and written communication skills.
- Builds strong relationships with clients and external actors.
- Manages conflict and stress, remaining composed and working as a mediator in crisis or antagonistic situations.
- Demonstrates openness to change and ability to manage complexities.
- Responds positively to critical feedback and differing points of view.

### *Development and Operational Effectiveness*

- Ability to lead strategic planning, change processes, management and reporting.
- Ability to lead formulation, oversight of implementation, monitoring and evaluation of strategic plans/frameworks.

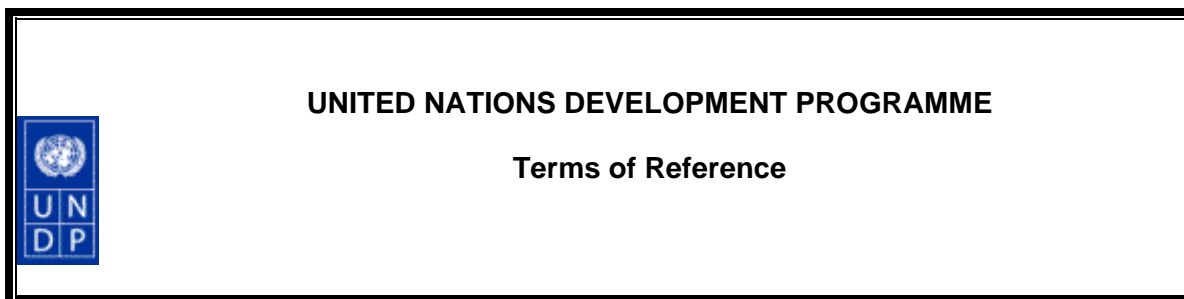
## **VI. Recruitment Qualifications**

Education:	Advanced university degree in one of the following disciplines: political science, sociology, international relations, anthropology, public administration, development studies or other relevant field.
Experience:	At least 10 years of progressively responsible professional experience in disaster risk management, post-disaster needs assessment and post-disaster recovery programmes, including field experience. Experience in developing/application of risk information tools and development of capacity development with GoI at the community, provincial and national level would be a strong asset.
Language Requirements:	Fluency in written and spoken Arabic and English

	is required for this post. Knowledge of Kurdish is desirable.
Other Skills:	<ul style="list-style-type: none"> <li><input type="checkbox"/> Knowledge of the international disaster risk reduction system.</li> <li><input type="checkbox"/> Knowledge of Iraq's potential hazards, vulnerabilities and risks</li> <li><input type="checkbox"/> Knowledge of damage, loss and needs assessment preparation</li> <li><input type="checkbox"/> Demonstrated experience in humanitarian and/or development coordination especially at the field level and in working with government officials, NGOs and donors.</li> <li><input type="checkbox"/> Proven ability to carry out representation at the highest governmental and diplomatic levels.</li> <li><input type="checkbox"/> Familiarity with the UN systems, (coordination) tools and procedures.</li> <li><input type="checkbox"/> Proven experience on preparation of written reports prepared in an accurate and concise manner and public presentation skills.</li> <li><input type="checkbox"/> Experience in project design, implementation and evaluation/impact analysis.</li> <li><input type="checkbox"/> Computer literacy, including familiarity with spreadsheets, and power point presentations.</li> </ul>

## APPENDIX II

### Draft Terms of Reference for International Disaster Risk Reduction Advisor



#### I. Position Information

JOB TITLE: International BCPR/OCHA Technical Support Advisor  
DUTY STATION: Baghdad, Iraq (with travel to Kurdistan )  
DURATION: Ninety (90) days over a six month period  
SUPERVISOR: UNDP Disaster Preparedness and Response Advisor

#### II. Background & Organizational Context

Recent decades have seen an alarming increase in the frequency of disaster occurrences each year and the magnitude of their social, economic and environmental impacts. While natural and environmental hazards may confront any nation in the world, they disproportionately become disasters with devastating effects on the poorer nations in the developing world. Recurrent natural hazards such as floods, drought, earthquake or human induced hazards such as civil unrest, terrorism, environmental pollution and the threat of a catastrophic collapsed structure can negate decades invested in pursuit of sustainable economic development and often lead to acute food insecurity and malnutrition, dislocation of populations and aggravate shocks to financial, health, environmental and livelihoods.

The long list of natural and human-induced hazards, identified in *The State of Disaster Risk Reduction in Iraq*<sup>7</sup>, shows the daunting challenges facing Iraq to create policies, institutions and investments in productive social and service sectors to reach and sustain a seven percent annual GDP growth rate required to meet the Millennium Development Goals. The crisis resulting from man-made conflict and global warming are stark impediments to the development process of wealth creation and social well-being. Further, progress towards ensuring gender equality and equal access to education, healthcare, economic opportunities, justice and security have been uneven.

The 2009 study of disaster risk reduction initiatives in Iraq arrived at significant findings that can be summarized as follows:

- **Institution:** Disaster risk reduction has yet to be effectively institutionalized in Iraq where a historical preference has been to reactively respond to crises through the appointment of ad hoc response committees at the central government level.

<sup>7</sup> Consultant document prepared for UNDP/OCHA/UNAMI and Government of Iraq. 8 August 2009. Earl James Goodyear, Ph.D., Disaster Risk Management Consultant.

- **Knowledge Management:** Inadequate attention to information management and communication, training and research.
- **Governance:** Inadequate involvement of stakeholders; Citizens are often mere recipients of disaster management activity outputs.
- **Risk Identification and Assessments:** Limited number of risk identification and assessments conducted since the early 1980's.
- **Emergency Response:** Disaster management has yet to be integrated into the national development policies

As such, the following common objectives have been identified for proposed support to the Gol to establish a national platform for disaster risk reduction, mainstream disaster risk reduction into the national development programme, the strengthening of early warning systems, the creation of disaster risk reduction policies and legislation and the establishment of a national disaster management institution.

- Increase political commitment to disaster risk reduction;
- Improve identification and assessment of disaster risks;
- Enhance knowledge management for disaster risk reduction;
- Increase public awareness of disaster risks and mitigation/prevention strategies;
- Improve governance of disaster risk institutions;
- Integrate disaster risk reduction into emergency response management.

### III. Functions/Key Results Expected

1. Ensures political commitment of the Gol and the United Nations Country Team is focused on disaster risk by ensuring that the multidimensional partnership activities are focusing on the achievement of the following results:
  - Assist the Gol disaster risk reduction focal point and the UNDP staff in the preparatory work leading to the development of a national disaster risk management authority at the national and provincial levels.
  - Assist the United Nations Country Team on disaster risk reduction programme and policy issues.
  - Assist the Gol and the United Nations Country Team with advocating for disaster risk reduction issues with the government and donor community.
  - Interact with the national, provincial and community level disaster management and coordination institutions.
  - Interact with the global disaster risk reduction stakeholders.
  - Contribute to disaster risk reduction information management coordination through interaction with information management focal points.

2. Improve identification and assessment of disaster risks, focusing on the achievement of the following results:

- Facilitate further development of mechanisms to ensure consensus on the demand for an updated assessment of disaster risks, through appropriate consultative processes involving the participation of all stakeholders.
- Coordinate with the academic and scientific communities, especially regarding the disaster risk monitoring and analysis works undertaken.
- Ensure that disaster risk reduction stakeholders are aware of relevant policy guidelines and technical standards and that their activities are directed by these guidelines.
- Support the integration of disaster risk reduction into existing inter-agency coordination meetings and provide the necessary secretariat support; ensure that coordination mechanisms are managed efficiently.
- Promote national and local ownership of programmes through increased consultation and participation of key national, regional and local stakeholders to ensure that disaster risk reduction activity is complementary to common and nationally owned strategies.
- Support the inclusion of counterparts and using local resource persons on specific disaster risk reduction issues where possible.
- Generation and dissemination of disaster risk reduction information products and services to provide an overview of all clusters' activities and support humanitarian coordination, including: Contact Directory of risk reduction stakeholders; Who Does What, Where and How ; meeting minutes; standard forms; policy or technical guidance; datasets; etc.

3. Facilitates disaster risk reduction planning and implementation at the national, provincial and community levels, focusing on the achievement of the following results:

- Ensure that regional disparities, inter-sectoral linkages, and cross-cutting issues [Gender, HIV/AIDS, Human Rights, and Environment] are taken into account in the activities for disaster risk reduction.
- Take into account how best to support the local and national efforts for risk reduction.
- Support the development and/or application of policies guiding the disaster risk reduction process.
- Take the lead on developing strategic planning and programmatic support to national systems in developing capacities for disaster risk management, particularly in the priority areas/sectors identified through partnership needs assessments.
- Support the mainstreaming of crisis preparedness and risk management activities, educational and awareness-building tasks, and assessments into the work of the United Nations Country Team.
- Advocate for a smooth transition from relief to development initiatives.
- Support the development of local-level early recovery plans that conform to the country early recovery strategy.

4. Ensures capacity building and training, focusing on the achievement of the following results:

- Identify capacity development and training needs and address learning requirements with appropriate technical support and knowledge management.

5. Ensures resource mobilization, focusing on the achievement of the following results:

- Work closely with the UNDP program staff and the United Nations Country on the development of a resource mobilization strategy.

#### IV. Deliverables

- Coordinate the implementation of the disaster risk reduction strategic framework and its development.
- Support the development of a national disaster management plan, in cooperation with the GoI and other stakeholders.
- Design a needs assessment framework for the United Nations Country Team and stakeholders, including the GoI can respond to crisis episodes, with particular attention to economic and social recovery and agricultural issues.
- Interpret disaster and needs assessment findings into a comprehensive recovery strategy for further use by the Government and by the international community. Ensure linkage of the assessment to recovery programme development by developing UNDP post-disaster recovery programme document based on the needs assessment, with a strong component of disaster risk reduction measures, based on the existing UNDP programmes in local development practice area.
- Prepare briefings on the state of disaster risk reduction in Iraq to government officials, donors and other stakeholders.
- Undertake such other related tasks as may be requested by the UNDP program staff or the United Nations Country Team.

#### V. Competencies and Critical Success Factors

##### Corporate Competencies:

- Demonstrates integrity by modeling the UN's values and ethical standards.
- Promotes the vision, mission and strategic goals of the UN.
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability.
- Treats all people fairly without favoritism

##### Functional (UN) Competencies:

###### *Knowledge Management and Learning*

- Promotes knowledge management among UN and non-UN partners.
- In-depth practical knowledge of inter-disciplinary programmatic issues regarding the disaster risk reduction including preparedness and the transition from relief to recovery.
- Actively works towards continuing personal learning and development, acts on learning plan and applies newly acquired skills.
- In providing advice to the UN Country Team, has the capacity to gather comprehensive information on complex problems or situations; evaluates information accurately and identifies key issues required to resolve problems
- Consistently approaches work with energy and a positive, constructive attitude
- Demonstrates excellent oral and written communication skills.
- Builds strong relationships with clients and external actors.
- Manages conflict and stress, remaining composed and working as a mediator in crisis or antagonistic situations.
- Demonstrates openness to change and ability to manage complexities.
- Responds positively to critical feedback and differing points of view.

*Development and Operational Effectiveness*

- Ability to lead strategic planning, change processes, management and reporting.
- Ability to lead formulation, oversight of implementation, monitoring and evaluation of strategic plans/frameworks.

**VI. Recruitment Qualifications**

Education:	Advanced university degree in one of the following disciplines: political science, sociology, international relations, anthropology, public administration, development studies or other relevant field
Experience:	At least 15 years of progressively responsible professional experience in disaster risk management, post-disaster needs assessment and post-disaster recovery programmes, including field experience. Experience in developing/application of risk information tools at different levels. Extensive professional experience in the Middle East and other regions.
Language Requirements:	Fluency in written and spoken English is required for this post. Knowledge of Arabic and Kurdish is desirable.
Other Skills:	<ul style="list-style-type: none"><li><input type="checkbox"/> Knowledge of the international disaster risk reduction system.</li><li><input type="checkbox"/> Knowledge of Iraq's potential hazards, vulnerabilities and risks</li><li><input type="checkbox"/> Knowledge of damage, loss and needs assessment preparation</li><li><input type="checkbox"/> Demonstrated experience in humanitarian and/or development coordination especially at the field level and in working with government officials, NGOs and donors.</li><li><input type="checkbox"/> Proven ability to carry out representation at the highest governmental and diplomatic levels.</li><li><input type="checkbox"/> Familiarity with the UN systems, (coordination) tools and procedures.</li><li><input type="checkbox"/> Preparation of concise written reports and public presentation skills.</li><li><input type="checkbox"/> Computer literacy, including familiarity with spreadsheets, and power point presentations</li><li><input type="checkbox"/> Experience in project design, implementation and evaluation/impact analysis.</li></ul>