

Part 2: Country Analysis

This section explains how DRR can be captured in strategic country level analysis for development planning. In particular it spells out how the UNCT can: analyse disaster risk; review how these risks interact with development; review national capacities and risk reduction; and start to identify priorities for intervention.

2.1 Purpose and Expected Results

The UNCT engagement in country analysis will build on, support and strengthen national analytical processes and products. It will seek to strengthen the national development framework by generating consensus about priority problems, their causes and the capacity development needs required to generate action at all levels.

Analysis undertaken in support of the UNDAF (or other development plans/strategies) rarely provides the opportunity to undertake a full risk assessment, which can require a far more extensive process. For strategic planning purposes, analysis based on a secondary review of existing information is generally sufficient to identify broad issues and gaps and to suggest areas where the UNCT has comparative advantage. If, based on this screening, the UNCT feels that more detailed analysis is needed, this can be included as an action for implementation in the UNDAF.

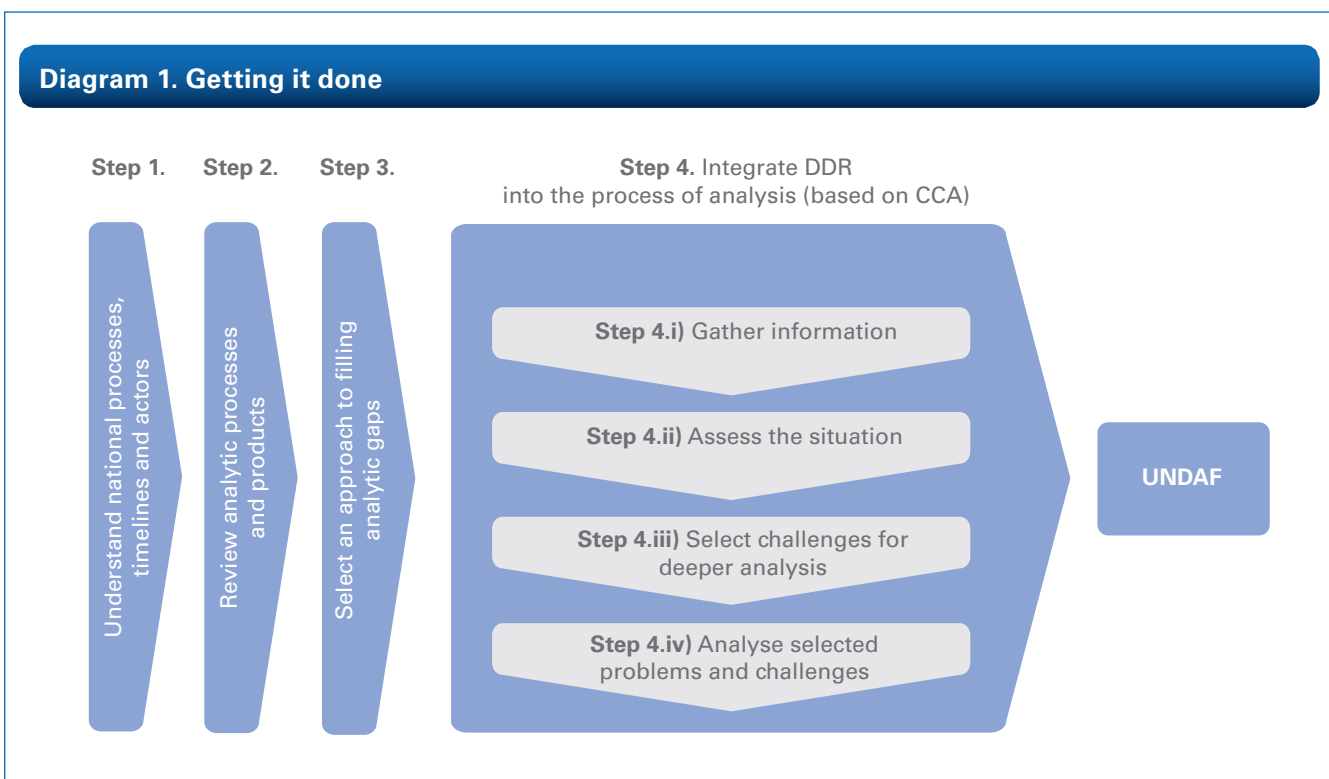
DRR analysis should focus on:

- 1) Agreement with partners about the **root causes of disasters**, including the underlying vulnerability of assets, sectors and communities to natural hazards.
- 2) Agreement with partners on the (historic and potential) **impacts of disasters on development**, in particular on: (a) government development priorities as identified through national development strategies; and (b) critical sectors and priority areas for poverty reduction (e.g. health, agriculture and education).
- 3) Broad-brush agreement with partners on how **development interacts with disaster risk**, including how key sectors exacerbate or reduce the main elements of disaster risk.
- 4) Determination with other stakeholders of how **climate change** is likely to affect the intensity and/or frequency of hydro-meteorological hazards and community resilience.
- 5) Identification of **existing capacities and capacity gaps** to analyse, monitor, manage and reduce disaster risk. This should include national and local government, and non-governmental organizations (NGOs), for example, the private sector, civil society organisations (CSOs) and community groups.
- 6) Identification of **key challenges and gaps** based on a review of past interventions and experience, current challenges, government priorities, and planned activities of partners.
- 7) Identification of **risk reduction options or priority actions** required to address: (a) the main challenges identified; and (b) to reduce the vulnerability of (and potential risks caused by) planned/ongoing development interventions. This will include identification of where the UNCT has the greatest comparative advantage in addressing these priority actions.

2.2 Getting It Done

The *CCA/UNDAF Guidelines* outline the basic steps to be undertaken by the UNCT to integrate DRR into national level development analysis. These steps are summarised in Diagram 1. The remainder of Part 2 suggests how DRR concerns can be considered at each step.

Since DRR is a multisectoral process, achieving the expected results from the analytical process requires contributions from a range of stakeholders. UNCTs have flexibility to decide with partners how to achieve these results (see Annex 5 for more detail). An important element of this step will be for the



Step 1: Understanding National Processes, Timelines and Actors

In order to identify gaps in addressing disaster risk and to assess the comparative advantage of the UNCT to fill these gaps, the *CCA/UNDAF Guidelines* recommend a review of processes, timelines and actors involved in the national planning process. Some useful guiding questions are included in Annex 4 (see especially those in point 2).

UNCT to undertake a review of its own comparative advantage in DRR. This will provide the basis for deciding programme areas which will be supported in the future by the UNCT. If it so chooses, the inter-agency team leading on this issue can undertake a DRR-specific analysis of strengths, weaknesses, opportunities and threats (SWOT).

Step 2: Reviewing Analytic Processes and Products

The UNCT and partners should review existing country level analysis of critical aspects of national development (including analysis related to the poverty reduction strategy, gender analysis and household surveys), and assess to what degree they address disaster risk concerns. This will help the UNCT to identify analytic gaps and to consider an appropriate level of UNCT involvement in further analyses. The aim is not to criticize what exists, but to work with national partners to highlight gaps where UNCT support can bring added depth and quality. A checklist on how to identify the status of DRR analysis in-country, including whether it is adequately covered within wider development analysis, is provided in Annex 4. Major analytic gaps that are identified may be addressed as future activity areas in the UNDAF.

Step 3: Selecting an Approach to Filling Analytic Gaps

As outlined in the *CCA/UNDAF Guidelines*, in order to respond to any gaps identified, the UNCT and partners may choose any or all of the following options:

- Option A. Participate in government-led and harmonized donor analytical work.
- Option B. Undertake complementary UN-supported analytical work.
- Option C. Undertake a full CCA process.

If Option A is selected, the UNCT can encourage partners to examine risks further. The checklist in Annex 4 provides a guide to explore this in more detail. If Option B or Option C is selected, the UNCT can use its resources to fill the analytic gaps, including through additional studies.

Step 4: Integrating DRR into the CCA

The time and resources available to the UNCT will dictate the level of detail and depth of analysis feasible for the exercise. As illustrated in Diagram 1, four sub-steps are identified in the *CCA/UNDAF Guidelines*, in order to undertake analysis within the CCA:

- i) Gather information
- ii) Assess the situation
- iii) Select challenges for deeper analysis
- iv) Analyse selected problems and challenges to identify root causes

The following discussion shows how DRR can be identified in each of these sub-steps. Throughout this process the expected results of the analysis, outlined in Section 2.1, should be considered.

i) Gather Information

Disaster risk is comprised of four elements: physical **hazards**; **exposure** to those hazards (of national assets including populations, infrastructure and sectors); and **vulnerability** of those assets. The extent of a disaster's impact will depend on the levels of resilience or **capacity to resist/cope** with the risk. An assessment of disaster risk should consider all four elements.

There is a high probability that some assessments have already been conducted for specific hazards and/or for specific regions or urban areas. These efforts should be identified and be taken into account on a priority basis, as they usually provide more detail and involve local knowledge. A quick evaluation should be done to determine the quality of these different assessments and whether they are up to date. Annex 5 identifies whom best to consult during the assessment process. Additional information for more detailed analysis is provided in Annex 6.

Hazard Information: Information on the full range of hazards that affect the country should be examined. Hazards are characterized by magnitude, duration, location and timing. In addition to considering historical trends, it is important to consider how new developments, including climate change, will affect hazard frequency and intensity.

Exposure Information: Exposure data identifies the elements at risk—the ‘who, what and where’ of likely impact. In an ideal situation, the identification of elements at risk would be achieved through consultation with stakeholders; however, for analysis at a broad level, accounts of historic damages and losses provide a reasonable indication of exposure⁷. Future exposure will be affected by social, economic and ecological changes.

Vulnerability Information: Vulnerability is a multifaceted concept that examines exposure and its causes more closely. Social, gender, economic and environmental factors play a critical role in determining how susceptible certain populations are to a hazard event. Whilst traditional coping capacities, social safety nets and even traditional early warning systems can greatly reduce the vulnerability of a community, social conditions can make particular social groups more vulnerable than others. Women, for example, may be more vulnerable than men.

Capacity Information: Capacity assessment information identifies existing capacities and gaps of governmental and NGOs (including private sector, CSOs, CBOs and women’s organizations) to manage and reduce disaster risk⁸. Capacity analysis for DRR should be framed in alignment with the HFA, which identifies critical capacities required to undertake each element of risk reduction. It is important to ensure that capacities at sub-national

and community levels are considered alongside those of central government, as the local level is the first line of response to disasters. It is also important to ensure that a community is not considered as a homogeneous entity but that the different capacities of women, girls, men, boys, the elderly and the disabled are taken into account.

Information for assessing each of these four elements will come from a wide variety of sources. Hazard assessments and related analyses are usually available from national scientific and technical services, such as meteorological and hydrological services, and national geological services. In addition, global and regional data sources often provide rough information about major hazard types in each country⁹ and significant regional information. Information on vulnerability, exposure and historic disaster impacts may be available through the statistical services of various ministries, academic networks and other agencies, including the Red Cross/Red Crescent.

ii) Assess the Situation

This assessment will help to determine whether DRR should be prioritised as a specific UNDAF outcome area, as well as being addressed as a cross-cutting theme. It will also spell out how to address the risk and vulnerability concerns in other UNDAF outcomes.

Based on the information gathered in earlier steps, the UNCT will be in a position to determine whether there is sufficient information available to: characterize risk to development sectors; evaluate capacities to cope with these risks; and based on these, identify future areas of action. Annex 7 provides indicative examples of how disasters affect different sectors. It also illustrates how DRR can contribute to development efforts in these areas.

Annex 6 includes guidance on assessing capacities and related gaps.

The data on the population and livelihoods at risk should be considered through an HRBA and gender lens, recognizing that the exposure of these elements, vulnerabilities and capacities to manage the risks, are distributed unequally. The poor and marginalized often suffer disproportionately.

Even if data at sub-national level is not available, analysis of information and resource flows between administrative levels will help to understand if the policies and systems in place are supportive of local level action.

iii) Select Challenges for Deeper Analysis

Based on the consensus agreed in Step 2, the UNCT and national partners will identify particular problems or challenges for deeper analysis. To guide the selection of priorities, stakeholders and vulnerable groups should be encouraged to engage in a dialogue regarding acceptable levels of risk (i.e. how much risk a society is willing to tolerate). This will vary between countries). In addition to the criteria identified in the *CCA/UNDAF Guidelines* for selecting issues for deeper analysis, some risk-related issues include:

- Historic patterns of losses that reveal most intensive loss of lives or livelihoods.
- Areas subject to high frequency but low intensity events that repeatedly erode development gains and livelihood capacities.
- Critical infrastructure and lifeline services.
- Disparities in patterns of vulnerability, such as those based on gender.
- Patterns that suggest key development outcomes will be affected.

- Indications that development choices may further exacerbate vulnerability.
- Evidence that climate change will result in more frequent or intense hazard events.

iv) Analyse Selected Problems and Challenges to Identify Root Causes

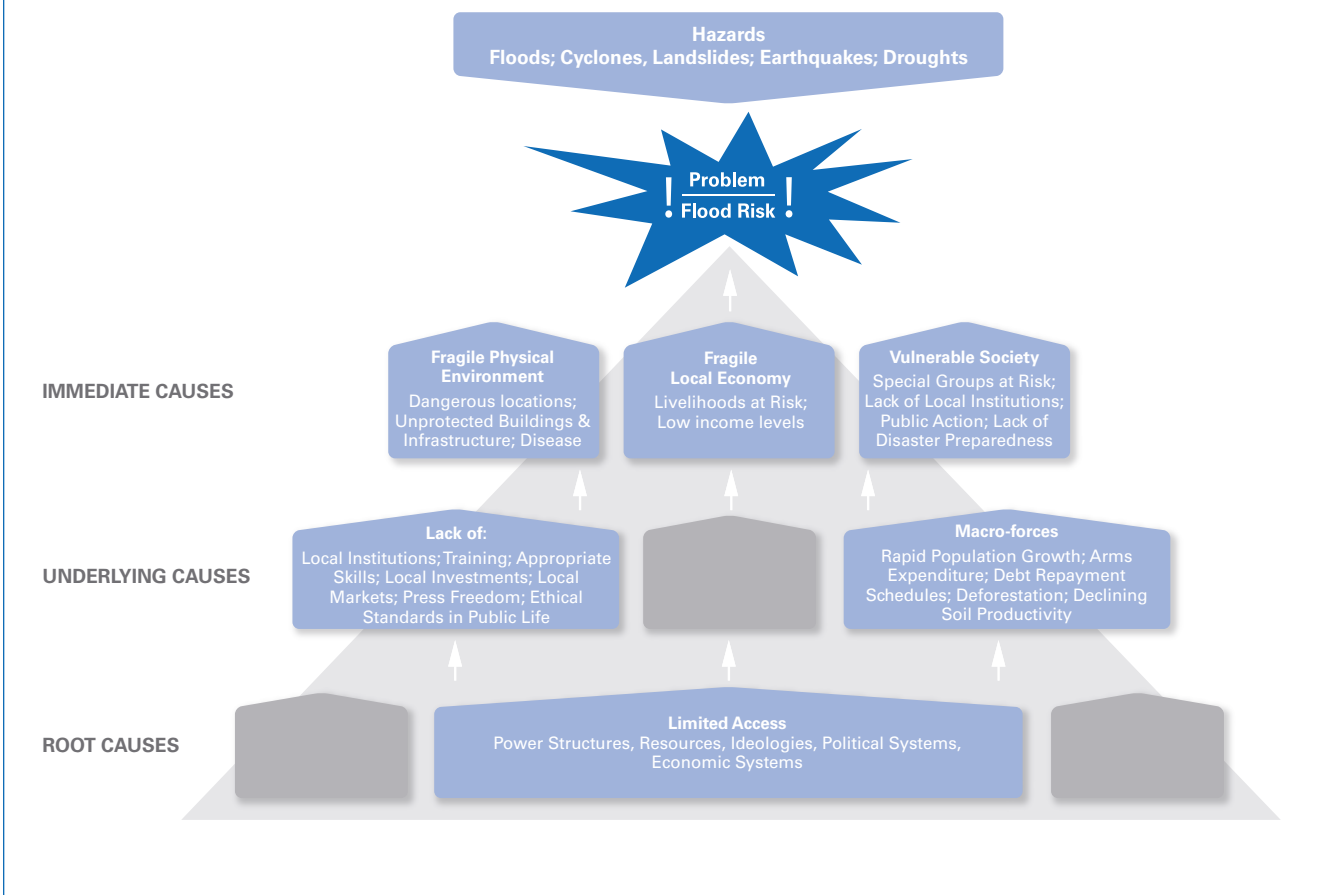
The quality of the CCA depends on the depth and quality of the analysis. The analysis organizes the main data, trends and findings into relationships of cause and effect. It identifies the manifestation of the problem (or its effect on people) and the underlying and root causes. These elements should be disaggregated as much as possible by sex, age, geographic area and ethnicity, among others. The problem tree is one of the tools recommended by the *CCA/UNDAF Guidelines*, as it can provide useful insights into the causes of disaster risk and possible solutions. See Diagram 2 for an example of a problem tree related to DRR).

The problem tree focuses on three levels of analysis:

Immediate Causes—the unsafe conditions and/or elements at risk. These may be physical causes such as unprotected buildings or dangerous locations, fragile socio-economic conditions such as low incomes and precarious livelihoods, or these may be groups that are especially vulnerable.

Underlying Causes—social and economic structures or conditions that push vulnerable groups or assets into unsafe locations. Local landowners, commercial companies and local government can influence vulnerability through their policies, practices and decision-making. Macro-forces are also a factor—for example, issues such as rapid population growth, deforestation and declining soil productivity may all play a role. Other dynamic

Diagram 2. Using a problem tree to identify the cause of disaster risk



pressures may include lack of local institutions or lack of training and skills.

Root Causes—concern attitudes and behaviour at different levels from family, communities and governments. Political ideology, economic principles and culture all influence behaviour. Decisions and actions, particularly by those in positions of authority, can create the pressures that push people to unsafe conditions. In some cases, the underlying or root

causes may be the same for different development challenges. Identification of overlaps will increase the likelihood that policy or programmatic responses will yield multiple positive impacts.

The identification of causes through this type of analysis can help the UNCT to identify potential solutions for reducing risk where it has a comparative advantage.

Box 1. Using HRBA to Analyse DRR

Using HBRA means asking the crucial questions of ‘what, why, who and what capacities’? In the context of disaster risk, this means a risk analysis based on human rights.

What disasters pose the biggest risk, where are these disasters happening, and who is most vulnerable and therefore the most affected?

Why are these problems occurring? What are the underlying and root causes of the vulnerabilities which are leading certain groups to suffer from disaster risk?

Who or which individuals and/or institutions have the duty to reduce these disaster risks?

What capacities are needed to address disaster risk, both for those who are being denied their rights through disaster vulnerability, and those who have the duty to address these problems?

2.3 DRR as an Element of High-Quality Analysis

In preparing analytical work to determine the causes of major development problems, including disaster risks, it is important to consider how DRR is linked to the other UNDAF inter-related principles (as discussed in Section 1.1). This section considers how DRR is connected to analysis of four substantive principles: HRBA, Gender, Environment and Capacity Development. The fifth principle, RBM, which is process oriented, is dealt with as a cross-cutting issue throughout this guidance note.

2.3.1 Human Rights Based Approach

The *CCA/UNDAF Guidelines* characterise identification of rights-holders, and duty-bearers as a specific step in the process of analysis for the CCA. An HRBA recognizes people as **rights-holders** (also referred to as claim-holders, or subjects of rights) and as key actors in their own development. They are not passive recipients of benefits, or in the case of risk, passive ‘potential victims’. At the same time, it recognizes the corresponding human rights obligations of the **duty-bearers**, which include both state and non-state actors, to respect, protect and fulfil human rights.

2.3.2 Gender

Taking an integrated approach to gender analysis and disaster risk can provide critical insights on how vulnerability to disasters affects women, men, boys and girls, as well as their different capacities to support response or mitigation. Gender analysis involves, among other tools, the gathering and use of sex-disaggregated data (both quantitative and qualitative) that reveals the roles, activities, needs and opportunities, including their access to resources, of men and women. Gender-based analysis does not consider women and men as homogeneous groups. Instead it considers their roles in the context of culture, class, ethnicity, income and education. As a result, gender analysis can provide a valuable basis through which to look at vulnerabilities and opportunities to respond to disasters across a country context. In carrying out gender-based DRR analysis, efforts should be made to consider both the needs and vulnerabilities of men and women related to disasters risk, as well as their potential contributions to risk reduction.

Box 2. Using a gender-based approach to analyse DRR

High-quality analysis of disaster risk should include:

- Sex-disaggregated data in order to better understand the vulnerabilities and capacities of women, as well as to measure the impact of programmes.
- Addressing gender in DRR policy, programmes, plans, institutional arrangements and M&E.
- Gender analysis that is sensitive to social factors, economic status, age and disabilities.
- Causality analysis sensitive to the different ways that men and women experience, are affected by, and can respond to disaster risk.
- Identification of rights-holders and duty-bearers in regard to disaster risk, in a way which recognises patterns of discrimination, and how men and women relate. Recognition of the different capacities of men, women, boys and girls in order to appropriately address gaps as well as capitalize on unique skills and knowledge of these groups.
- Identification of those women who are marginalised and particularly at risk from gender-based violence, including those belonging to ethnic minorities, girls who have lost a parent, women and girls from very poor households, and female headed households.
- Outline of an action plan for specific responsibilities to promote gender sensitive DRR by the relevant stakeholders.

2.3.3 Environment

Using an environmental lens to view the challenges of disaster risk can provide valuable insights into causes and consequences of disasters. This helps

Box 3. DRR Analysis through an Environmental Lens

An environmental approach to disaster risk can be used to understand better the environmental causes and consequences of disaster risk.

Consider:

- Would an ecosystems-based approach to disaster risk help to define trans-boundary causes and consequences of disasters?
- Are environmental conditions a factor contributing to disasters in high risk areas or sectors; how has environmental degradation affected the intensity of hazard events and their impacts on local communities?
- Noting the relationship between environmental degradation and poverty, does the loss of ecosystem services affect the resilience of at risk communities?
- What are the environmental consequences of implementing disaster reduction measures/what are the potential environmental consequences of supporting recovery from the increased frequency and intensity of hazard events associated with climate change?
- What capacities do environmental managers have to support the analysis of disaster risk and the implementation of DRR measures identified in the UNDAF?

to ensure that proposed UNDAF outcomes and outputs are designed to avoid adverse environmental consequences. If at all possible, an ecosystem-based or territorial approach to analysis should be considered since neither natural hazards nor environmental degradation can be fully appreciated within the confines of administrative or jurisdictional boundaries.

Ideally, an environmentally-informed approach would serve to improve environmental conditions and enhance ecosystem services¹⁰. Moreover, measures that strengthen the capacity of environmental managers in various sectors should be encouraged, because they play an important role in disaster reduction through their efforts to protect ecosystem services, and can provide technical expertise about the physical dimensions of risk.

2.3.4 Capacity Development

Developing capacity for DRR is a society-wide endeavour that requires a multi-stakeholder response. Lessons learnt from past experience demonstrate the importance of local leadership and ownership—outside actors can support but not drive the process. When undertaking capacity development work, two critical questions need to be asked: capacity for/of whom? and capacity for what? The UNCT goal is to support their partners in developing their capacities to lead, manage, achieve and account for their priorities.

Box 4. Capacity Assessment

Using capacity assessment¹ to identify DRR needs helps to unpack and examine many of the critical building blocks necessary for sustainable DRR and provides a more comprehensive review of capacity constraints, leading to more holistic capacity development responses:

- Analysis of the capacity needs across **different levels** (individual, organizational and societal). Looking across these levels is particularly important given the cross-cutting nature of DRR.
- Assessment of **core capacity issues** including: access to disaster information; the use of knowledge and technology; and the role/capacity of external and internal actors.
- Assessment of **functional capacities** to create and manage DRR policies, legislation, strategies and programmes including identification of the existence of: resource and budgets to implement DRR plans and strategies; and M&E systems to track progress and capture lessons.
- Assessment of **technical capacities** required for DRR including: early warning, risk assessment, and safe design and construction of buildings.