



OCHA



GFDRR
Global Facility for Disaster Reduction and Recovery



Global Preparedness Partnership - the 'Scoping Process'

A Guidance Note for National Governments and other Stakeholders

- ✓ The Government and multilateral partners together complete the scoping process.
- ✓ A scoping process will be undertaken after a successful application and before a diagnostic review.
- ✓ The outputs are; a) work plan for the diagnostic review, b) costed budget for the review.

Purpose of the Scoping Process

A scoping 'mission' will be undertaken between a successful application and the preparedness capacity strengthening, or 'diagnostic' review. The scoping process should be a 'light review' of preparedness needs, based on the country application for support, and it should develop the planning for the detailed diagnostic review. The scoping mission will provide feedback to the GPP Steering Committee on the draft diagnostic plan, and develop draft terms of reference for the diagnostic review. The scoping mission will be supported by the Secretariat where required.

There is a risk that governments see the GPP as a way to reduce their own preparedness responsibilities, and rely on the GPP totally, rather than as way to improve and augment their efforts. There is a similar risk that UN agencies proceed without coordinating with governments or one another, and fail to integrate their work. Further, both UN core partners and national governments may view the GPP as an opportunity to fulfil more general Disaster Risk Reduction needs in the country, rather than focusing on preparedness specifically. The Scoping Mission should therefore limit expectations, by making clear the 'scope' of both the diagnostic review and eventual preparedness programming, ensure coordination through joint planning and management of the scoping process, and outline the separate responsibilities of National Government and the GPP partner agencies.

Who is involved in the Scoping Process?

The term 'scoping mission' will generally refer to a process handled entirely by staff already present in country. Where insufficient UN/WB or other partner staff are present e.g. in small island states, a regional or global 'mission', with clear TORs and mission timelines, may support. Scoping missions will be undertaken together with government by GPP multilateral partner staff, generally from the core partners of; FAO, OCHA, UNDP, WFP and the WB, facilitating the work of national government staff, with support as required from regional preparedness experts. Generally, the scoping process will be of a short duration and will be self-funded from in country. Where dedicated staff are required (consultants etc) to manage the scoping process, these can be supported by the GPP on a case by case basis on approval by the Steering Committee, and/or the World Bank where the GFDRR is the initial donor supporting diagnostic reviews.

The scoping process should involve and engage with all relevant stakeholders. As well as UN and disaster management authorities, scoping should include; the Red Cross/Red Crescent National Societies, national NGOs and CBOs, international NGOs, academia, the private sector, as well as national emergency services, police, etc. It is vital to ensure that the UN Country Team and designated government authorities are fully engaged in the whole scoping mission (before, during and after) to secure their support during the diagnostic review.

Outline of a scoping process

The scoping process should be a relatively short-term effort, representing approximately a week's work in total. The table below is offered as a guide only, each country and team can develop their own agenda as is suitable to the context.

What could happen		Who could be involved		
Activity	Output	Government	Core partners	Other possible stakeholders
Small Team formed (4-6 people) to manage scoping process	Agenda for scoping process, determine any external needs	NDMA or Focal Point Ministry - Senior Technical staff. Finance Ministry representative.	UNCT, WB – DRR or preparedness technical staff or heads of Programme	IFRC, Donor DRR technical staff
Desk Review and consultations of existing preparedness planning	Agenda for workshop	NDMA or Focal Point Ministry - Senior Technical staff. Finance Ministry representative.	UNCT, WB – DRR or preparedness technical staff or heads of Programme	IFRC, Donor DRR technical staff
Workshop to determine priority capacity gaps that need review	List of key areas in need of review, using the 'scope' table below as a guide	Senior NDMA or Focal Point Ministry staff. Technically specialised sector staff; agriculture, health, education, finance, etc.	UNCT, WB – Heads of office and DRR or preparedness technical staff or heads of Programme. RC/HC. Regional DRR experts.	Other UN agencies, IFRC, International NGOs, National NGOs, Chambers of Commerce, Donor state DRR technical staff, Military Representatives, Police and Emergency Services, Logistics
Small Team collates workshop results and drafts work plan	Draft Diagnostic workplan and budget	NDMA - Senior Technical staff	UNCT, WB – DRR or preparedness technical staff or heads of Programme	IFRC, Donor DRR technical staff
Work Plan signed off and submitted to GPP / GFDRR	Final Diagnostic workplan and budget	Minister of Finance or Home Affairs	RC/HC or heads of UNCT agencies	

NDMA – National Disaster Management Authority. UNCT – United Nations Country Team (Core Partners). WB – World Bank RC/HC – Resident Coordinator/Humanitarian Coordinator. IFRC – Red Cross and Red Crescent National Societies. DRR – Disaster Risk Reduction.

Each country team should develop a timeline relevant to their individual context. But the likely key steps are;

1. A small team to complete the scoping process is formed including some or all core partners and government.
2. A light review of national preparedness capacity is undertaken. This could involve a desk review of policy and planning or existing preparedness reviews, consultations with key stakeholders, a workshop of key stakeholders to determine areas of greatest priority, or any combination of these.
3. Capacity gaps are determined from the previous step, and an outline for a preparedness

capacity strengthening (i.e. diagnostic) review is developed. The government ultimately decides which areas of preparedness require diagnostic review, and together with UN/WB core partners determine how this will be undertaken. The 'Overview of Scope of the GPP' pages later in this document should be used as a guide.

4. The template for diagnostic reviews is completed, and a budget prepared, by the core team in step 1, and they are forwarded to the secretariat for review, and then to the Steering Committee for funding decisions.

Key considerations in the scoping process

The Scoping Mission should ensure the Diagnostic Review is in alignment with, and supports, existing national policy, and strategic or programmatic frameworks that include preparedness (i.e. National Policy, Strategy, Plan, etc.). The scoping mission will consider complementarity with existing or planned investment or budget allocation to DRM generally or for preparedness specifically; and ongoing global initiatives such as the Capacity Development for Disaster Reductive Initiative (CADRI), the Global Facility for Disaster Reduction and Recovery (GFDRR), the Emergency Response Preparedness (ERP) approach, the Climate Risk and Early Warning Systems Initiative (CREWS), the Climate Resilience Initiative (A2R), the Global Framework for Climate Services (GFCS), or Getting Airports Ready for Disaster (GARD).

The Scoping Mission will also guide the diagnostic review to assess which bodies have the stability and absorptive capacity to ensure the transformational change in their preparedness posture the GPP seeks to support. The scoping mission will make a final determination of which national entity or Government Ministry should be the focal point. The Scoping Mission should engage with private sector representatives, and include a specific plan for private sector engagement in the diagnostic review.

Scoping processes can empower and build capacities for national governments, by including a south-south peer-to-peer aspect. After the first round of scoping missions, an indicator of the political will of national governments to be eligible for access to GPP support could be to second national staff to participate in the scoping missions in other regional-based countries. This would serve to build the technical capacities of national staff as well as build a cadre of political champions for enhanced preparedness within the V20 plus countries.

What are the outputs of the scoping process?

Scoping Missions will develop a workplan including an associated budget for the Diagnostic Review. Templates for these are provided in the 'support package' accompanying the notice of a successful application. It is expected that each Diagnostic Review will vary considerably between countries; however, it is expected that a certain number of specialist staff will be required to undertake and oversee the review. The timeline will vary depending on the breadth and depth of the planned review.

Minimum standards for preparedness

The goal of the GPP is to support governments to achieve a minimum standard of preparedness. These minimum standards should be developed fully during the diagnostic phase, but should be considered initially during the scoping process. They are an important determinant, and later performance measurement tool, in the implementation of the preparedness programme. Ultimately the national government is responsible for defining their own minimum standards, however GPP partners believe they must include certain considerations.

- * Minimum standards need to include definitions of national preparedness and response capability, including how countries can deal with multiple emergencies; of different scales,

geographic location or type, occurring simultaneously or consecutively. E.g. 1 large scale cyclonic event, combined with a small-scale flooding event in a separate part of the country.

- * Minimum standards should include preparedness at all levels; national, sub-national, and community level, and how the national government and partners can support capacity in all of these.
- * Minimum standards should include preparedness that is shock and sector specific, including preparedness for different events affecting different sectors; e.g. cyclone preparedness that includes recovery of flooding of agricultural land, as well as wind destruction of health facilities.
- * Minimum standards should address how certain triggers (specifically forecast information from pre-identified sources) will prompt a release of funding or resources to enable early action.
- * Minimum standards should also address key elements to be included within national legal and policy frameworks, drawing from international standards such as the *“Guidelines for Domestic Facilitation and Regulation of International Disaster Relief and Initial Recovery Assistance”*

Overview of Scope

Resource Mobilisation for the GPP is predicated on a ‘preparedness’ approach, and investments will keep this focus. While the GPP is intended to be context specific, tailored to the needs of each national government, there is a danger that there may be a stretching of “preparedness” to include any type of preparatory activity for disasters. The GPP uses the [IASC Common Framework for Preparedness](#) as a foundation, and follows its definitions and descriptions of preparedness.

The success of the initiative, in particular its ability to mobilize adequate investment by all participants, will depend on maintenance of a tight focus on preparedness for response and preparedness for recovery. This will mean that some capacity building support will be outside the scope of the GPP, with support being available through other initiatives. For example: clarity, ideally through legislation, of the national lead(s) for managing preparedness and response will be a requirement; in general early warning systems development will be outside the scope of GPP, although the ability to analyse risks and to turn early warning into action will be included; financing relief supplies themselves will be outside, although key support equipment and emergency response infrastructure will be included. The GPP will concentrate efforts toward ensuring transformational change in preparedness capacity. Efforts toward resilience building, disaster prevention or mitigation and adaptation will be outside the scope of the GPP. These points are outlined with examples in the table below.

List of possible activities as part of the GPP support to National Governments

NOTE – it is not possible for this list to be exhaustive. It is based on the [IASC Common Framework for Preparedness](#)

Not every possible activity could be included, it is a general guide to the different types of activity, and includes a limited number of examples.

Categories	Indicative and/or possible activities	GPP responsibility	Government responsibility	Examples OUTSIDE the scope of the GPP
1. Institutional & legislative frameworks	<ul style="list-style-type: none"> a) Development of preparedness policies and standards. b) Mainstreaming of preparedness in and support to National Plans of Action, National Platforms, National Disaster Management Authorities, Disaster Recovery Frameworks, and SOPs. c) Facilitation of International / Regional agreements on joint needs assessment, response and recovery planning. 	<ul style="list-style-type: none"> a) Drafting, advising and commenting on relevant policies; secondment of specialist staff into relevant policy development positions b) Advising and commenting on ways to mainstream preparedness; including workshops, mentoring, supporting regional learning exchange. Hosting inter-ministerial workshops and processes c) Hosting regional workshops and meetings, supporting drafting, baselines and planning for joint assessments 	<ul style="list-style-type: none"> a) Supporting the drafting of policies, putting policy through legislative process b) Overall development of broader National planning and platforms c) Committing human resources to regional agreements, providing facilities to host regional meetings 	<p>Policy development NOT focused on preparedness; e.g. land use policy, climate adaptation policy, etc.</p> <p>Regional DRR planning</p>
2. Hazard & risk assessments, and early warning	<ul style="list-style-type: none"> a) Hazard monitoring for all types of hazards. b) Support of risk assessment based on hazards, exposures, vulnerability and capacity analyses. c) Support comprehensive Early Warning systems and evidence-based decision-making processes that result in early action. d) Risk analysis including scenario planning, including identification of populations at risk of disaster-induced displacement. e) Early action measures. 	<ul style="list-style-type: none"> a) Linking different international, regional and national monitoring systems b) Establishing risk assessment guidance and templates, initial risk assessments c) deciding on thresholds for action triggers based on the risk indicators that are being monitored d) Establishing risk analysis guidance and templates ability. Train staff and communities in risk analysis e) Establish lines and levels that trigger early action 	<ul style="list-style-type: none"> a) Linking monitoring to relevant national Ministries and entities. b) Ongoing risk assessment c) Maintenance of tracking and management systems d) Linking risk analysis to government planning and action e) Undertaking early action response 	<p>Early warning communications or message broadcast systems development.</p> <p>Establishing and managing weather bureaus</p> <p>Flood risk indicators (e.g. river meters)</p> <p>Flood risk physical barriers (e.g. levy banks)</p>
3. Coordination, contingency planning and risk financing	<ul style="list-style-type: none"> a) Reinforcing government-led mechanisms for coordinating risk reduction, relief and recovery amongst national, local and international partners, including the private sector. b) Strengthening contingency planning for response and recovery, including setting clear roles and responsibilities and triggers for action. c) Securing pre-committed finance to back response and recovery plans, including helping to put in place the right set of finance instruments are in place for the different scale and speed of shocks. 	<ul style="list-style-type: none"> a) Supporting and training staff of coordination mechanisms; e.g. an inter-entity emergency operations centre. Setting up such a centre b) Supporting and mentoring contingency planning. Ensuring coherency in planning through international – national – community engagement in all contingency planning c) Identifying international financial streams and building knowledge of how to access them. Building knowledge and confidence in risk financing, and exploring how to increase public - private sector partnerships, to help invest in some 	<ul style="list-style-type: none"> a) Staffing coordination platforms. Providing running costs for operations centre. b) Providing inter-ministerial planning and business continuity planning c) Linking relevant ministries and entities to financial streams. Developing SOPs for dealing with different financial inputs. Establishing support for increasing national risk 	<p>Providing funds for emergency relief activities</p> <p>Providing funds for cash transfers for reconstruction or recovery activity</p> <p>Providing insurance or disaster bond coverage</p>

		of the core foundations required for scaling up risk financing.	financing	
4. Information management and communication	<ul style="list-style-type: none"> a) Creation of preparedness databases. b) Establishment of information management systems – national, regional and community. c) Sensitization campaigns at national and sub-national levels. 	<ul style="list-style-type: none"> a) Support creation of databases, provide software and train data staff; collection, collation, analysis, dissemination. b) Support and mentor staff managing IM systems c) Support and mentor ‘communications with communities’ systems; e.g. feedback mechanisms for response and recovery, community input into risk awareness and preparedness planning, etc. 	<ul style="list-style-type: none"> a) Provide staff and hardware for databases and data collection etc. b) Establish links from community information up to national level. Determine IM needs of govt entities c) Employ community outreach staff, feedback centre staff, etc. 	Census style data collection
5. Emergency services / standby arrangements and prepositioning	<ul style="list-style-type: none"> a) Developing shock responsive social protection schemes. b) Strengthening civil Protection, emergency services (including evacuation), search and rescue, and emergency medical teams. c) Support to strengthen basic services for emergency response. d) Support to stockpiling – national, regional and international e) Support to emergency stocks pre-positioning and management. 	<ul style="list-style-type: none"> a) Establishing guidance, rostering and training relevant staff, e.g. cash transfer managers and developing\adapting technology and mechanisms for cash transfers b) Training civil protection or search and rescue staff, providing ‘one off’ equipment for USAR, medical teams, Training emergency staff, establishing emergency communications systems and procedures c) Pre-positioning key support equipment with regional pooling of equipment and capability. d) Pre-positioning of rescue material – boats, motors, lifejackets, ropes etc e) Stock management software and guidance, training for warehouse staff. Establishing logistics hubs and capacity 	<ul style="list-style-type: none"> a) Emergency Staff Wages, establishing technology and legislating for social protection schemes b) Ongoing emergency team costs, recurring costs for materials c) Providing key services in emergency; health, water, etc d) Providing warehousing and emergency materials, linking to regional stockpiling e) Staff for logistics and warehousing 	<p>Funding social protection schemes</p> <p>Financing relief supplies</p> <p>Ongoing warehouse costs</p> <p>Logistics or procurement costs in emergency response</p> <p>Stockpiles of goods; e.g. tents, food stocks</p>
6. Training, Exercises & Simulations	<ul style="list-style-type: none"> a) Drills and simulation exercises. b) Knowledge management and training with focus on south-south cooperation. 	<ul style="list-style-type: none"> a) Developing training curricula and providing trainers. Leading simulations, incorporating international and national non-government responders b) Training in the preparedness process and methods for maintaining a minimum level of preparedness (such as assigning accountable actors, time and tracking of preparedness actions). 	<ul style="list-style-type: none"> a) Ensuring ‘whole of govt’ engagement in simulations and drills. Provide staff and supplies b) Provide support to other countries in the region, and regional knowledge networks 	