



OCHA



GFDRR  
Global Facility for Disaster Reduction and Recovery



# Global Preparedness Partnership

## Detailed Proposal

Note –

This Proposal constitutes the 'Annex A' of the Multi-Partner Trust Fund Memorandum of Understanding developed to support GPP activities.

It details the rationale of the GPP and how global processes will be undertaken. It should be read in conjunction with the Operational Manual for further details on how the GPP will operate at national level.

# Proposal for a Global Preparedness Partnership

(Draft Outline as of 18 May 2017)

## Structure of proposal

This proposal builds on the initial GPP Concept Note to provide a more detailed portrayal of the Partnership and how it would work. This includes the following sections:

- I. Rationale and Purpose
- II. Description of the Global Preparedness Partnership
- III. GPP Governance and Structure
- IV. Financing Arrangements
- V. Annexes

## I. Rationale and Purpose

### A. Context

The V20 group, consisting of Finance Ministers who represent over 40 climate-vulnerable countries with a population of 1.2 billion people, endorsed the concept of a Global Preparedness Partnership (GPP) at its 2<sup>nd</sup> Ministerial Dialogue on 14 April 2016. In response, UN agencies (FAO, OCHA, UNDP, WFP) and GFDRR/World Bank worked with the V20 Secretariat to develop a [GPP concept note](#). The V20 then announced the GPP as a formal deliverable at the World Humanitarian Summit's High Level Roundtable on Managing Natural Disasters and Climate Change on 24 May 2016<sup>1</sup>. A letter signed by the then chair of the V20 (the Philippines), the heads of the relevant UN agencies and World Bank Vice President was then sent to the donor community to join the Partnership.

While there are multiple preparedness<sup>2</sup> initiatives underway globally, there remains a need of a partnership to link these together at the national level. To achieve this, the GPP partners commit to work collectively to strengthen national preparedness capacities of the most vulnerable countries in a coordinated way. With preparedness to respond and preparedness to recover being a key aspect of Disaster Risk Reduction (DRR) and Disaster Risk Management (DRM), the GPP fits into wider DRR/DRM architectures by providing support to the four pillars of the Sendai Framework for Disaster Risk Reduction, in particular its fourth priority "Enhancing disaster preparedness for effective response". The GPP will be aligned with, and support the delivery of, the UN Plan of Action for DRR, the UN [General Assembly Resolution 46/182](#), the IASC [Common Framework for Preparedness](#), and the [UN Secretary-General's Agenda for Humanity](#). By providing coordinated and integrated preparedness measures by National Governments and UN, World Bank and others, and ensuring close coordination with stakeholders such as IFRC, the GPP will provide for national and regional coordination of preparedness efforts, and ensure coverage of remaining gaps in national capacity,

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<sup>1</sup> [Press Release](#): New Global Partnership for Preparedness Launched: V20, UN and World Bank Collaboration to help countries get ready for future disasters

<sup>2</sup> Adopted by the UN General Assembly in 2017 preparedness is defined as "The knowledge and capacities developed by governments, response and recovery organizations, communities and individuals to effectively anticipate, respond to and recover from the impacts of likely, imminent or current disasters."

together with other partners and initiatives such as CADRI, 5-10-50, GFDRR, GfCS and, A2R.

## **B. Rationale**

### **1. Growing vulnerability to natural hazards including climate change**

Over the past 20 years, typhoons, floods, droughts, earthquakes and other natural hazards have claimed 1.35 million lives and affected on average 218 million people per year, mostly in developing countries. Disasters – 90% of which are now climate-related – also have devastating effects on socio-economic development with a global economic impact since 2005 surpassing USD 1.3 trillion<sup>3</sup>.

Evidence suggests that the frequency and magnitude of extreme weather events will continue to rise, with expected annual consumption losses of about \$520 billion a year<sup>4</sup>. Climate change will increase humanitarian crises by exacerbating underlying vulnerabilities related to food insecurity, water scarcity, conflict and migration. The impacts of shocks may also be intensified by unplanned and rapid urbanization and population growth. At the same time, a range of other hazards can exacerbate the impact of climate change, including conflict, displacement and health threats. This has the potential to erase development gains, drag millions of people further back into poverty and increase the number of humanitarian crises.

### **2. Increase in need for international and regional humanitarian action and comparatively greater financial requirements**

The cost of responding to these and other crises is enormous. Roughly \$70 billion of international financing for humanitarian response from 1990 to 2013 has gone to the range of humanitarian needs in the 43 countries now making up the V20. During this period, the percentage of ODA dedicated to meeting humanitarian needs at the global level has skyrocketed from 3% to nearly 20%. Unless there is increased investment in risk reduction and preparedness, resources will continue to be increasingly required to support response. Effective preparedness measures can considerably reduce the need for costly international responses to crises.

The Sendai Framework for Disaster Risk Reduction 2015-2030, the 2030 Agenda for Sustainable Development and the Paris Agreement on Climate Change recognize a need for change. All have embraced the indivisibility of risk from development, and the need to shift from reactive crisis management to investing in pro-active preparedness and early action. Overall success will be measured by how people's vulnerability and risk are reduced through preparedness across and within specific sectors, by providing for more effective response and recovery.

### **3. Underinvestment in preparedness**

Decades of investment in preparedness demonstrate that it can reduce life and economic losses as well as the overall cost of response. There is a growing body of evidence showing that shocks do not need to result in major disasters, if they are planned for in advance with prevention measures in

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<sup>3</sup> Swiss Re, "The USD 1.3 trillion disaster protection gap: innovative insurance tools exist to support governments to be better prepared", October 2015.

<sup>4</sup> Hallegatte, Stephane, Adrien Vogt-Schilb, Mook Bangalore, and Julie Rozenberg. 2017. Unbreakable: Building the Resilience of the Poor in the Face of Natural Disasters. Climate Change and Development Series. Washington, DC: World Bank. doi:10.1596/978-1-4648-1003-9. License: Creative Commons Attribution CC BY 3.0 IGO

place, and with the right decision making mechanisms to trigger early preparedness measures and coordinated delivery of effective response systems, backed by pre-committed financing arrangements for preparedness and response. This has been recognized in priority four of the Sendai Framework for Disaster Risk Reduction, as well as during the consultations for the World Humanitarian Summit.

However, the international community underinvests in prevention and preparedness. Between 1991 and 2010, less than 0.5% of ODA has been spent on disaster risk reduction, and only a fraction of this on preparedness, much of which has been ad hoc<sup>5</sup>. These limited resources also tend to be fragmented and piecemeal, and span humanitarian, development and climate finance. This is despite the fact that preparedness should be a no-regret, cost-effective investment. For example, cost-benefit analysis of the African Risk Capacity initiative shows a 4.4 to 1 benefit of early, planned and government-led response compared to the status quo (need reference).

This underinvestment leads to inadequate risk informed policy and legislation, and prevents the establishment of core national and local capacities, including for community-based early warning, contingency planning, logistics, communications, stockpiling, information management, coordination arrangements and systems, such as social protection and basic services, that are required to reduce disaster impact and deliver emergency response rapidly and at scale. As a result, there are heavier casualties and greater economic and development losses, and the costs of financing humanitarian response increases.

#### **4. *Need for international cooperation and coordination***

The international community has mechanisms for coordinating its response to humanitarian crises and natural disasters. However, no effective and systematic international approach exists for financing and supporting risk-prone countries to be better prepared for responding to emergencies. Transformational change is required in national preparedness structures, systems and planning to allow the most at risk countries to reach a minimum level of readiness to respond to crises.

### **C. Purpose**

To address these needs, the Vulnerable Twenty Group (V20) together with donors and multilateral organizations proposed the establishment of the GPP, whose goal is for countries to reach a level of preparedness so that most disaster events have a reduced impact and can be better managed locally with less need for international assistance. To achieve this, the GPP partners commit to work collectively to strengthen national preparedness in the most vulnerable countries in a coordinated way. In doing so, the GPP will be aligned and support the delivery of the Sendai Framework for Disaster Risk Reduction, the UN Plan of Action for DRR, the UN General Assembly Resolution 46/182<sup>6</sup>, the IASC [Common Framework for Preparedness](#)<sup>7</sup>, and the [UN Secretary-General's Agenda](#)

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<sup>5</sup> See Kellett and Caravani (ODI, 2013) [Financing Disaster Risk Reduction, A 20 Year Story of International Aid](#).

<sup>6</sup> The UN General Assembly Resolution 46/182 of 19 December 1991 on the Strengthening of the coordination of humanitarian emphasises the need for the international community to provide coordinated support to national preparedness measures.

<sup>7</sup> Endorsed by the Inter Agency Standing Committee (IASC) Principals, the International Strategy for Disaster Risk Reduction (ISDR), and the United Nations Development Group (UNDG), the CFP is an approach towards coordinating the actions that international humanitarian and

[for Humanity.](#)

The GPP will support both preparedness for disaster response, and preparedness for disaster recovery, referred to herein simply as preparedness or readiness. Financed by a Multi-Partner Trust Fund (MPTF), it will initially operate in 15 countries to ensure that they attain a minimum level of readiness by 2020. This target also substantially meets the call of the UN Secretary-General to enhance the preparedness and emergency response capacity of the 20 highest risk countries by 2020.

While the GPP's focus will first be on disasters from natural hazards and climate-related risks, the GPP could also enhance preparedness to other threats, for example by strengthening civil protection services. In many cases preparedness for natural hazards will be relevant to other risks and, over time, the GPP could strengthen preparedness for the full range of major risks in each country.

The GPP will focus initially on 15 countries, to ensure they attain a minimum level of preparedness by 2020, with the intention of scaling up to 50 vulnerable countries. The selection of the initial countries will be based on:

1. **Country's written commitment** to provide resources (human and financial) to meet the objectives of the partnership, and clear evidence of relevant ministerial buy-in.
2. **High multi-hazard vulnerability**, including risk of changing climate extreme events, and compounding risks and vulnerabilities.
3. **Emerging or imminent hazards** for which preparedness needs to be scaled up immediately.

## II. Description of Global Preparedness Partnership

### D. Objectives

Effective implementation of the GPP will achieve an increase in country preparedness agreed levels determined as part of a national diagnostic review. A national preparedness program of action will be supported that leads to countries having arrangements in place to achieve a *minimum level of preparedness*, including minimum and advance preparedness activities. This increase in country preparedness will be achieved through:

1. an improved **understanding of risks, vulnerabilities and capacities**, based on a variety of national and local multi-hazard risk and capacity assessment mechanisms as well as through modelling and simulations.
2. the demonstrated capacity to **coordinate and manage relevant stakeholders** prior to and during a crisis; based on contingency, response and recovery plans that have clear roles and responsibilities related to actions for all stakeholders, including an increased ability of at-risk communities to access and act on disaster information and early warnings, and engage in disaster preparedness planning and implementation that includes decision making mechanisms

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development actors take to support the development at country level of national and local capacity to prepare for, respond to, and recover from emergencies

and procedures, and includes clear, specific triggers for early action;

3. that emergency response **operational capabilities and systems** are identified and available prior to a shock to allow rapid provision of assistance when required, including physical assets such as procedures, key response support equipment, trained individuals and teams familiar with their roles and responsibilities, and systems such as communications and information processes;
4. improved **financial planning** as an essential part of preparedness planning, so that a set of financial instruments are in place for preparedness, response and recovery financing, including establishing or expanding social safety nets.

## E. Scope

The success of the initiative, in particular its ability to mobilize adequate investment by all participants, will depend on a number of factors, but particularly relevant will be maintenance of a tight focus on preparedness for response and preparedness for recovery. This will mean that some support will be outside the scope of the GPP, with support being available through other partners and initiatives. For example: clarity, ideally through legislation, of the national lead(s) for managing preparedness and response will be a requirement for application; generic early warning systems development will be outside the scope of GPP, although the ability to analyse specific risks and to turn early warning into action will be included; financing relief supplies themselves will be outside the scope, although key support equipment and emergency response infrastructure will be included with regional pooling of goods, equipment and capability considered. The GPP will concentrate efforts toward ensuring transformational change in increasing preparedness capacities and measures. Efforts toward disaster prevention, impact mitigation and adaptation for resilience building will be outside the scope of the GPP. At the same time, global and national preparedness efforts will be linked and integrated to the broader resilience ambition, which is an essential element of the 2030 sustainable development Agenda.

The outcome of these objectives will be more effective and efficient national and international response to crises, resulting in saving lives, livelihoods, time and financial resources. The outcomes of the process beyond these include South-South support and knowledge management, operationalising the Common Framework for Preparedness, providing evidence and lessons from the national level to inform change to global normative processes and guidelines for preparedness.

## F. Process

The GPP will leverage international technical capacity through links to existing organisations and initiatives engaged in DRR/resilience, preparedness and emergency response. The GPP country support follows four key steps;

1. **Government application** for support followed by a partner scoping mission.
2. A government led **Diagnostic Review** or self-assessment of country-level preparedness, identifying priority gaps in preparedness, response and recovery capacities and measures and creating a starting baseline to measure results, and recommendations for a **Preparedness**

### **Programme Proposal (PPP).**

3. A government led **Targeted Preparedness Programme** including national integrated and coordinated preparedness programmes, directly addressing needs identified in the diagnostic review. For UN system partners this will also be harmonised with relevant country level humanitarian, investment, climate and development frameworks.
4. Follow up programme including, **Knowledge Management** with sharing between vulnerable countries, **Quality Assurance** and evaluating progress in readiness.

### ***Government Application and Scoping Mission***

National Governments, with technical advice from GPP partners in country, apply to the GPP for financial and technical support. It will be a whole-of-government application, with a lead Ministry identified and other stakeholders advising; including civil society, the UN and national societies of the Red Cross/Red Crescent, private sector and academia. Applications will explicitly link to existing preparedness planning and measures in place and highlight already identified gaps that require support. Applications will be received and processed by the Secretariat, and be reviewed and decided on by the MPTF SC. Guidance on periodicity of the application process, who is to undertake review and prioritisation, and how to balance variations in scale of applications will be developed by the OWG. Further, the group will develop a template for applications, as well as a transparent review and feedback mechanism.

The application for support will clearly demonstrate via an indicative budget the financial and human resources required for the assessment phase. This will include the level of human and financial resources the national government is prepared to commit to the process as well as preparedness resources already committed by other actors, and therefore the percentage of support the GPP is expected to provide. The application should be based upon risk context information drawn from the national government's own research, academic research, and/or global risk analysis platforms and processes. If available, existing assessments and diagnostics and ongoing support by other partners should be referred to in the application. The application should already identify transformational change the governments' hope to generate, including consideration of the 'minimum benchmarks' for response and recovery preparedness. Both extensive Risk and Intensive Risk should be explicitly considered, given the high community costs of extensive risk<sup>8</sup>.

A scoping mission will be undertaken between a successful application and the full diagnostic review. This mission would examine and manage, where necessary, the country expectations and the planned diagnostic process. The scoping mission will provide feedback to the government and the SC on the application and draft diagnostic plan, and draft terms of reference for the diagnostic review.

The selection by the SC of countries for support will be on the following bases: political will based on the country's written commitment to provide financial and human resources to meet the

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<sup>8</sup> Extensive risk is used to describe the risk associated with low-severity, high-frequency events, mainly but not exclusively associated with highly localized hazards. Intensive risk is used to describe the risk associated to high-severity, mid to low-frequency events, mainly associated with major hazards.

preparedness objectives of the partnership, and clear evidence of relevant ministerial and relevant national agency engagement, including clarity, ideally through legislation, of national lead for disaster preparedness and response; high multi-hazard vulnerability evidenced by the existence of compounding risks and vulnerabilities; and emerging or imminent hazards where urgent preparedness measures need to be scaled up.

### ***Diagnostic Review and Preparedness Programme Proposal (PPP)***

The diagnostic review will include a country-led self-assessment of country-level preparedness and will identify priority gaps in preparedness for both response and recovery. This would include assessing the current national and partner programs supporting preparedness, and improving the alignment of these to one another. The design of the review will be defined by the national government, with certain minimum inclusions, and in consultation with the GPP partners in country. The review will include a number of recommendations for strengthening national preparedness against specific hazards in country, consider the most vulnerable communities and locations and identify key partners and initiatives to assist the national government by recommending areas for implementing . Diagnostic reviews should also include: an existing preparedness and capacity mapping and stakeholder and partner assessment including resource constraints; local successes in preparedness; all sectors and detailed sub-sector priority gaps against multiple hazards prevailing in a country. As part of this process a starting preparedness baseline capability and an inventory of applied measures discerned in order to measure results.

Reviews will be carried out by a government led nationally and internationally sourced assessment team, inclusive of representatives from whole of society, including the private sector, National Red Cross or Red Crescent Societies, national NGOs and international partners. An output of the review should be the preparing or updating of a national preparedness action plan. Action plans should leverage existing funding and initiatives, including where appropriate regional preparedness and emergency management capability arrangements, and include scenario planning to establish readiness, response and recovery priority needs in general as well as shock and sector specific as much as possible with participating agencies. It is likely to be a lengthy process (from 3-12 months) dependent on the context. The CADRI Partnership tools, and capacity development joint approach, for facilitating national diagnosis of capacity gaps at national and local level and the design of multi-sectoral action plans will be employed in this phase. However the GPP is going beyond preparedness capacities (already addressed by many partners and joint initiatives such as CADRI, GFDRR, etc.) and aims to promote the investment and implementation of preparedness measures against multiple hazards and across sectors most at risk.

The final part of the diagnostic would be a 'Preparedness Programme Proposal' (PPP) developed based on the overall preparedness action plan. The PPP should be designed by an inclusive and participatory country team, with technical support from GPP partners, and approved by the MPTF steering committee. It should be prioritised, costed, output-based and include national government and other partners' contributions. The absorptive capacity of government agencies and the delivery capacity of partners will be reviewed and be a criterion for support. Engagement at the subnational and local community levels will be considered as part of a 'minimum standard' of preparedness as

well as capacity and measures that may be pooled on a regional basis. Templates and tools required for the review and proposal process will be developed by the operational working group, founded on existing tools such as the CADRI Capacity Development and planning tool, use the approach foreseen in the IASC/UNDG/UNISDR Common Framework for Preparedness as well as tools developed as part of the “Words into Action” set of guidelines developed post-Sendai. Other tools such as the IASC Emergency Response Preparedness process could also be adapted to suit specific government ministries and departments preparedness needs as well as shock and sector specific guidance and standards where available.

**Targeted Preparedness Programme**

A multi-level and multi-stakeholder approach is required for the preparedness programme as there are different people and different processes occurring at different levels of readiness, response and recovery. The mapping of expertise against capacity gap categories will be linked to a list of lead agencies and contributing organisations taking into account specific shocks and sector experience and expertise. It will be made clear who will be the actual responding or recovering entity in each sector or activity. To avoid replacing existing structures or processes, links must be established to existing capacity building interventions. For newly established GPP preparedness programme, there will be a clear allocation of roles and responsibilities, including between the local and national level and contributing partners. The national government, in dialogue with the GPP partners in country, are to decide who has the comparative advantage in each country to provide capacity support. Comparative advantage will be based not only on technical or sectoral area, but also on historical experience and physical presence in a given region.

The preparedness programme proposal will be tailored to each national context and its specific disaster risk profile. However, there are some likely common components within the following categories: risk analysis; linking early warning to action; (including linking national to local/community level); resource allocation and funding (including all levels from national to local); operational preparedness and response coordination (together with the humanitarian cluster system prevailing in country), including information management and communication; contingency planning; training exercises and community/public awareness; key support equipment and disaster risk reduction and management infrastructure. A set of guiding operational principles on what constitutes minimum levels of preparedness will be developed by the OWG. The group will also develop a list of concrete examples defining what is ‘outside the scope’ of the GPP. Some examples of what could be within or outside the scope of the GPP are included in the following table.

<b>Risk Context and Example Component</b>	<b>Example within the GPP scope</b>	<b>Outside of the GPP scope</b>
Flood – Emergency Rescues	Training emergency staff, establishing emergency communications systems for flood Provision of rescue material – boats, motors, lifejackets, ropes etc.	Emergency Staff Wages
Earthquake – Emergency supply prepositioning. E.g. of shelter and WASH supplies	Stock management software and guidance Establishing logistics hubs for basic life and livelihoods supplies	Ongoing warehouse costs

Cyclone – Recovery shelter programme via cash distribution	Establishing guidance, rostering and training relevant staff, e.g. engineers, cash transfer managers Developing technology and mechanisms for cash transfers	Providing funds for cash transfers for shelter reconstruction
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***Follow up programme – knowledge management and quality assurance***

Before, during and after the preparedness programme proposal, the GPP will promote and facilitate knowledge sharing between V20 countries. This may include an exchange program to observe each other’s response and recovery systems preparedness and how they are financed. The GPP will employ relevant technology and standards to ensure that all partners and countries are keeping updated on preparedness measures, e.g. a single online platform such as ALERT or Prevention Web. Countries seeking GPP support would commit to peer to peer learning, employing multiple avenues and methods, and sharing knowledge regionally. One focus of knowledge management is directed to the GPP itself, with each preparedness building process to inform the next. This will ensure that the GPP adapts and develops guidance and Standard Operating Procedures (SOPs) useful to V20 members.

Countries will also be instrumental in generating evidence on the value for money of preparedness investments. Monitoring will be based on an agreement of ‘mutual accountability’ among the V20 countries and other participating states. Recipient countries must be able to show other V20 members that the investment has been fruitful. This mutual accountability should also be a driver of learning with regional government bodies leveraged as avenues of shared learning. The monitoring framework will be a government responsibility, and follow a process of Activity > Outcome > Impact > Value for money, with value for money a key focus. The monitoring framework should measure transformational change to national preparedness structures and processes as well as impacts on links between international, regional and national actors. Proven Preparedness good practice should be fed back into the GPP. In recurring crises, it may be possible to evaluate the improvement in lives, livelihoods, finance and time saved through effective preparedness. Trend analysis and lessons learnt based on evaluations will inform future operations and GPP allocation decisions. The OWG will develop a template for monitoring, including guidance on minimum standards and targets for preparedness and defining value for money and transformational change. Such minimum standards and targets would reinforce some aggregable results helping to assess global progress on preparedness investment.

**G. Guiding principles**

The GPP seeks more effective national and local preparedness through linking:

- a. Comprehensive preparedness plans that are formulated using the approach contained in the Common Framework for Preparedness; and
- b. Funding mechanisms that enable prioritised implementation of these preparedness plans.

In line with the guiding principles adopted by governments in the Sendai Framework for Disaster Risk Reduction and the IASC in the Common Framework for Preparedness, the GPP will be governed by

the following principles:

**National Ownership.** The investment needed for real transformational change in preparedness must be first and foremost mobilized nationally. Governments have the lead role for preparedness, complemented by its partners including civil society and the private sector, and will be supported through the GPP by providing technical support for enhanced preparedness implementation, as well as helping leverage and align other risk informed investments, including risk finance.

**Joint Planning and Coordination.** Under the leadership of national governments and based on their priorities, the GPP Partners will jointly plan and identify specific action and investments required to strengthen national and sub-national preparedness, recognizing the comparative advantage of each organization. The GPP partners recognize that enhancing national preparedness requires a development approach, though informed by best practice and standards from humanitarian response, as well as respecting the humanitarian principles. It also requires effective, quick, and flexible early-action to reduce disaster impact when the warning signs of an impending emergency are raised.

**Context Specific.** Supporting national and local capacities for preparedness should be context and risk specific and should recognise and build on country and regional DRR/DRM/resilience and initiatives.

**Catalytic Approach.** The GPP will take a catalytic approach that is an integral part of wider national disaster risk reduction and risk management policies and frameworks for building resilience to multiple hazards, an essential element for delivering sustainable development goals.

## H. Calendar for operationalizing the GPP

The GPP should be fully operational by mid-2017.

2016	November	Finalised Proposal including; Vision, Approach, Boundaries, Definitions, Partnership Principles.
2016	December	Steering Committee Structure Established, Secretariat TORs, and Final Partnership Model Defined
2017	January	Indicative Budget (2 years, 5 year), Fund Management System and Technical Working Group Structure defined
2017	February	Fund Established and Technical / Operations Framework drafted. Secretariat financing for initial year secured.
2017	March	Secretariat Recruiting Begins
2017	April	SOPs for funding application finalised
2017	May	Operations Manual Finalised, Secretariat recruiting complete, Fund at \$ level required by budget

		Official Launch of GPP
2017	June	First applications possible

## I. Assumptions and Risks

The GPP relies heavily on an assumption that donors will buy-into the process, and provide funding to it. This is despite a long history of under-funding for preparedness. Many donors may also want their funding to be targeted at specific countries, and the GPP process and structure does not allow for this. This will require advocacy and negotiation to overcome.

It is likely that those countries with stronger existing preparedness measures and governance structures will be able to develop a compelling application for support. This may lead to a risk of those countries in the greatest need missing out in their applications. A related issue is where countries suffer from natural hazards and conflict, or suffer from weakened governance, that they will not have the stability and absorptive capacity to ensure the transformational change in their preparedness posture the GPP seeks to support. Both of these issues will need to be dealt with explicitly during discussions within the Steering Committee, to ensure a balanced approach is taken with respect to regions, capacities, risk levels, among others.

There is a risk that governments see the GPP funds as a way to avoid their own fiscal responsibilities, and rely on the GPP totally, rather than as way to improve and augment their own efforts. There is a further risk that as the V20 is made up of finance ministers, that other ministries more relevant to the preparedness programmes will not be involved in the preparation and application phase. There is a similar risk that UN agencies or governments proceed without coordinating with one another, and failing to integrate their efforts. This risk can be alleviated by establishing a clear format for country applications, that require sign-off or input from relevant ministries or departments, UNCTs (including cluster systems when active) and other stakeholders, and that indicate country commitments by Finance Ministers.

There is a risk that donors will not be able to see the links to and the boundaries between existing DRR and preparedness initiatives. This requires clear distinctions and connections to be formulated by each UN agency and the World Bank. There is a risk that GPP preparedness measures duplicate or conflict with existing country preparedness by other agencies such as IFRC, or regional disaster risk bodies and projects. This risk can be alleviated by ensuring minimum levels of consultations and coordination with national and regional stakeholders during diagnostic reviews, and with key stakeholders at the global level while developing the partnership.

## III. GPP Governance and Structure

The GPP will be led by a Steering Committee (SC) which provides transparent and accountable decision-making and is responsible for setting the priorities and the strategic direction of the partnership. The SC will be supported by a Secretariat. During the GPP development phase, an informal Operational Working Group (OWG) made up of current partner organisations will be responsible for proposing the operational principles and associated manual, templates and tools for

SC review and approval. The Secretariat will continue to refine and adapt the standard operating guidelines and principles of the GPP once fully operational.

## **J. Governance body**

### **1. Membership**

The Steering Committee (SC) will be co-chaired by one V20 representative and one government donor representative. Members will include two additional representatives of the V20, two additional donors, and four core partner representatives (on a rotational basis), making a total of ten members of the SC. Donor representation will be the three **highest donor contributors**, and the Steering Committee composition will ensure the principles of beneficiary ownership, inclusiveness and balanced representation, as well as the need to have a manageable size for decision-making effectiveness. The MPTF administrative agent will be an ex-officio member of the SC. The SC may invite relevant observers to participate, e.g. representatives from implementing partners and civil society.

### **2. Roles and responsibilities**

Detailed main functions related to the Trust Fund:

- Provide general oversight and exercising overall accountability of the Fund;
- Approve the strategic direction of the Fund and its overall results framework;
- Approve Fund risk management strategy and review risk monitoring regularly;
- Review and approve preparedness programme proposals submitted for funding (if applicable: after being cleared by the relevant thematic working groups), ensuring their conformity with the requirements of the Fund Terms of Reference (TOR);
- Decide the allocation of funds;
- Request fund transfers to the Administrative Agent (signed off by Chair (s) and designated UN member of the Steering Committee);
- Review Fund status and oversee the overall progress against the results framework through monitoring, reporting and evaluation;
- Review and approve the periodic progress reports consolidated by the Administrative Agent and the Secretariat based on the progress reports submitted by the Implementing Entities;
- Commission mid-term and final independent evaluations on the overall performance of the Fund;
- Approve direct costs related to fund operations supported by the Secretariat;
- Approve Fund extensions and updates to the Fund TOR, as required.
- Develop and implement resource mobilization strategies to capitalize the Fund.

### **3. Decision-making procedures**

The Steering Committee makes decisions by consensus. Decisions of the Steering Committee shall be duly recorded. Prior to presenting their position on a significant issue to the SC, its members have to make sure that it is endorsed internally by their respective groups. Where consensus proves impossible to achieve, the issue can be returned to the Secretariat or to the Technical Working Group(s) for deeper review and recommendation. Decisions on preparedness programme/project

proposals can be further informed by the appropriate thematic clusters, sectoral working groups or other SC agreed review bodies.

#### **4. (Co-)chair arrangements**

The V20 and the donor community provide a chair each, for one year terms. Chairs should be selected from those who have previously been members of the SC. Co-chairs ensure;

- that the decisions taken by the Steering Committee are in accordance with the regulatory requirements and frameworks of the Participating Agencies and agreements with the programme country and donors.
- that the decisions taken by the Steering Committee are duly recorded and promptly communicated to the members of the Steering Committee, including Participating Agencies, the programme country, and donors, as appropriate.
- that they monitor, with the support of the Fund Secretariat, the implementation of the decisions of the Steering Committee.

#### **5. Procedures (agenda, minutes, Operations Manual)**

The Chairs of the Steering Committee shall send convocation letter to the institutions/members of the Steering Committee inviting them to designate their representative and participate. The Steering Committee may, through the Secretariat, invite honorary or exceptional members to attend in respect of any issue requiring clarification or an external perspective; such members shall not be involved in decision-making.

Ordinary meetings of the Steering Committee shall be held once a quarter. The meetings shall be convened by the Chairs of the Steering Committee through the Secretariat by means of a communication to the members of the Steering Committee at least fifteen working days prior to the meeting date. The agenda, study documents, minutes of the previous meeting and a note on the progress made in implementing activities shall all be attached. The quorum shall be set at six Steering Committee members.

The Steering Committee shall make its decisions by consensus. For each decision, the Chair shall canvass the opinions of each member. If no consensus is reached, the proposal shall be returned to the Secretariat for extensive review; it could then be returned to the agenda if judged necessary by the Chair.

To avoid conflicts of interest, all members of the Steering Committee must declare any conflict of interest with any points on the agenda. If a national preparedness programme proposal is submitted to the Steering Committee by a participating organization with a seat on the Steering Committee, or if the participating organization is an implementation partner or will indirectly receive funds through the programme, the organization shall not be allowed to vote on the corresponding item.

The Chair(s) of the Committee may decide to convene extraordinary meetings of the Steering Committee through Video Conference system; members must be informed of these by means of the same procedure as for ordinary meetings.

The SC will be supported by a **Secretariat**. The Secretariat provides direct support on general partnership operations, SC meetings, communications, fundraising, PPPprocessing, and coordinating of reporting processes. The Secretariat reviews proposals submitted for funding. The Secretariat shall record and publish the reports of meetings of the Steering Committee. The Secretariat will be hosted by the V20 secretariat within UNDP Geneva.

The Secretariat shall publish the reports of meetings of the Steering Committee on the Fund Website and on the MPTF Office GATEWAY (<http://mptf.undp.org>). The Steering Committee's Rules of Procedure (ROP) describing all these procedures shall be drawn up by the Secretariat and submitted to the Steering Committee for approval.

## **K. Strategic Partners**

The current multilateral partners involved in the GPP include; the Capacity for Disaster Reduction Initiative (CADRI), the Food and Agriculture Organization (FAO), the Global Network of Civil Society Organisations for Disaster Reduction (GNDR), the International Federation of Red Cross and Red Crescent Societies (IFRC), the United Nations Office for Disaster Risk Reduction (UNISDR), the United Nations Development Programme (UNDP), the Office for the Coordination of Humanitarian Affairs (UNOCHA), the United Nations Office for Project Services (UNOPS), the World Bank / Global Facility for Disaster Reduction and Recovery (WB/GFDRR), and the World Food Programme (WFP). The GPP will be open to other organizations in future at both national and global levels.

National Governments may also become partners, providing in kind capacity support, and at a functional and implementing level many other stakeholders will be able to take part; academia, national and international NGOs, the private sector among many others. GPP partners will commit to working collectively to strengthen national preparedness measures of the most vulnerable countries in a coordinated way.

The GPP enables partners to align objectives and resources, and agree on preparedness interventions to achieve more together than they would have been able to achieve individually and to provide a coherent approach to national readiness. It is expected that partners; are leaders in response and recovery preparedness or have strong links to it, endorse the vision and approach of the GPP, be committed to collective action including supporting other organisations at country level, be able to 'value add' – to bring technical knowhow, something new, or additional to the Partnership and are prepared to actively contribute to the success of the GPP through; Knowledge, Operational Capacity, Personnel and Advocacy Contributions.

**Donor Partners** provide funds to the MPTF. Donor partners contributing above a minimum threshold, e.g. USD 25 million, hold seats on the SC on a rotational basis. The donor providing the largest contribution holds the co-chair position on the SC.

**Country Partners** currently are the V20 members, but can be expanded to others in future. Country partners applying for GPP support will meet entry requirements to receive funding, e.g. clarity on national institutional lead for overall management of emergency preparedness and response, and

will also invest financial and human resources to the review, programme and follow up phases. Country partners can also provide technical advice and knowledge sharing with one another.

**Core Partners** are currently six: The V20 group of countries, FAO, UNDP, UNOCHA, WB/GFDRR, WFP. Core partnership requires a USD 50,000 annual input to the GPP funds for 2017 to establish the secretariat. Core partners hold seats on the MPTF SC on a rotational basis and have standing MOUs with the MPTF for receiving funds and can also contribute by aligning their related capabilities and initiatives, such as CADRI, 5-10-50, etc. with the GPP.

**Functional Partners** bring skills to the OWG at global level. Functional Partners can be organisations, but also initiatives. Functional Partnership does not incur a financial cost. Functional partners currently include; CADRI, GNDR, IFRC, UNISDR and UNOPS.

**Implementing Partners** are those who are accredited to the Fund, all of them eligible to receive funding directly from the Trustee. Currently these are the core partners only, however this can be expanded in future. Many further partners can be contracted by the implementing partners to execute specific preparedness activities. Some examples of these contracted partners could include; the private sector, Govt agencies, INGOs, NNGOs, academia, UN agencies, National Red Cross and Red Crescent Societies, but is not limited to these only. Other partners can work within the GPP preparedness programme proposal without receiving any funding also, for instance neighbouring governments.

#### **Current Core Partner Descriptions**

**FAO** - has a strategic programme aiming to increase the resilience of agricultural livelihoods against 3 major groups of shocks: (1) natural hazards (including climate extreme events); (2) food chain threats; and (3) conflicts and protracted crisis. It has a body of expertise and experiences across multiple hazards affecting various sub-sectors such as crop, livestock, forestry, fisheries, aquaculture and renewable natural resources on which life depend. FAO resilience work supports its member countries in disaster risk governance; disaster risk monitoring and early warning; vulnerability reduction at community levels; and preparedness and emergency response for the agriculture and food security sectors. Examples of ongoing resilience support are: developing of national risk informed agricultural strategies and community based DRR in agriculture (sectoral mainstreaming) institutionalizing loss data collection in the agriculture sector (capturing indirect losses, cash and subsistence crops, forestry and fishery losses, and drought losses; drought monitoring through the national application of the agricultural stress index; monitoring transboundary plant pest and animal diseases;; documenting return on investment in resilient agriculture technologies; implementing emergency preparedness measures ahead of a drought such as stocking fodder for livestock or protecting seed reserves during floods.

**UNDP** - has assisted around 60 countries in disaster risk assessments at different levels, i.e. community, urban, subnational, and national, covering: systematic inventories of existing risk information, multi-hazard risk assessments and mapping, historic disaster profiling, and comprehensive evidence-based risk profiling. Also supported integrated disaster and climate risk

assessments in 18 countries with applications in 6 countries (ICRMP); assisted 30 countries in establishing loss and damage databases.

Recognized thought leader on climate and disaster risk governance; supported risk governance in 125 countries over the past two decades. Active USD 200 million early warning and climate forecasting portfolio supporting 40 countries, mostly LDCs, in partnership with GEF; decades of experience in strengthening preparedness systems at national, local and community level.

**UNOCHA** - provides expertise in strengthening national preparedness systems (MPAs) for emergency response and UNDAC.

**GFDRR/World Bank** - has facilitated risk assessments in more than 60 countries with a particular focus on flood and earthquake hazards; provides a pool of expertise and high tech equipment to conduct quantitative risk assessments; designs innovative data sharing (OpenDRI), mapping and modelling methods; developing the Think Hazard – Overcome Risk analytical tool; supported the creation of the Central American Probabilistic Risk Assessment (CAPRA) platform. Expertise in Public Expenditure Review to strengthen national capacities to track preparedness funding allocation at national and local level; technical assistance to strengthening policy, legal and institutional frameworks for preparedness at national and local level. Launched a Hydromet program implemented in close collaboration with the WB and WMO currently active in more than 40 countries, also supports contingency planning and emergency response plans, training and simulation exercises.

**WFP** - provides expertise in food security early warning systems, stockpiling and logistics preparation, and communications platforms preparedness and support.

## **L. Fiduciaries (roles and procedures)**

### **Multi-Partner Trust Fund**

Description of the responsibilities of the Administrative Agent, as per UNDG “Protocol on the Administrative Agent for Multi-Donor Trust Funds and Joint Programmes, and One UN Funds”. Where a UN organization is both an AA and a Participating UN Organization, reference to the delineation of roles and responsibilities between the AA function and the implementation function should be made. The AA will be entitled to allocate an administrative fee of one percent (1%) of the amount contributed by each donor, to meet the costs of performing the AA’s standard functions as described in the MOU.

The standard functions include:

**Fund design:** Support for developing the Fund concept note and the TOR. This includes notably support for the design of the fund architecture (i.e. governance arrangements), the preparation of the legal instruments based on standard legal agreements, and the development of a logical framework based on the theory of change

**Fund administration:** The Administrative Agent will conclude a Memorandum of Understanding

(MOU) with the Participating UN Organisations and Standard Administrative Arrangements (SAAs) with contributing partners. Receipt, administration, and disbursement of funds to the participating organizations according to the instructions of the Steering Committee, financial reporting and consolidation. The Administrative Agent will disburse funds to the Secretariat for direct costs based on the decision of the Steering Committee. On an annual basis, the Administrative Agent will notify the Steering Committee of the amounts used for such purposes.

## **M. Secretariat**

### **1. Responsibilities**

The Secretariat is responsible for the programmatic coordination and monitoring of the Fund. The unit also provides technical and management support to all operational aspects of the GPP. The Secretariat will be hosted by one of the Participating UN Organisations or with the World Bank. As per the MPTF MOU/SAA, the costs of such support may be charged as direct costs to the MDTF with the approval of the Steering Committee. The secretariat budget is agreed and approved annually by the Steering Committee, and would normally not exceed 3%.

The Secretariat will:

- Advise the Steering Committee on strategic priorities, programmatic and financial allocations (based on the inputs of inter-agency working groups and the Administrative Agent, if applicable)
- Provide logistical and operational support to the Steering Committee;
- Organize calls for proposals and appraisal processes;
- Ensure the monitoring of the operational risks and Fund performance;
- Consolidate annual and final narrative reports provided by the Participating UN Organisations and share with the Steering Committee for review as well as with Administrative Agent for preparation of consolidated narrative and financial reports;
- Facilitate collaboration and communication between Participating UN Organizations to ensure preparedness programmes are implemented effectively.
- Liaise with the Administrative Agent on fund administration issues, including issues related to project/ fund extensions and project/fund closure.
- Maintain ongoing donor liaison and advocacy
- Provide monthly updates of GPP operations

### **2. Composition**

The Secretariat will initially comprise one senior GPP coordinator, and later one administrative assistant. All other ancillary support functions, ICT, administration, HR, etc. will be provided by the hosting organisation.

## **IV. Financing Arrangements**

### **N. Overall**

Financing is managed by a MPTF established to support the GPP using a pass-through modality. The MPTF delivers grants based on instructions from the SC and channelled by its Secretariat. Donor contributions are pooled into a single account managed by the UN MPTF Office as the Administrative

Agent (AA) of the Fund, and core partner agencies receive funds based on instructions from the SC. Additional direct implementers (UN agencies, MDBs, and NGOs) can be added at a later date if they can contribute to the programmatic objectives of the Fund, and meet the fiduciary and management standards required. Core partners assume full programmatic and financial accountability for the funds disbursed to them by the administrative agent. Indirect costs of the core partners are recovered through programme support costs set at 7%. The core partner agencies would be directly accountable to the SC for the use of transferred resources. The initial phase of the GPP, covering 15 countries over a 2 to 3 year period, is estimated to cost \$100 - 130 million. A longer-term program of five further years, covering a total of 50 vulnerable nations, would involve \$250 - \$330 million. Given the highly contextual nature of the planning, it is difficult to provide specific budget figures, and an 'indicative' budget is included as an annex to this framework document. In addition to resourcing through the MPTF, partners can contribute by aligning their separately funded related capabilities and initiatives with the GPP.

### **1. Contributions**

The contributions shall be accounted for as a single trust fund and shall be kept separate and apart from other funds of the AA. The contributions may be commingled with other trust fund assets maintained by the AA. The contributions may be freely exchanged by the AA into other currencies as may facilitate their disbursement.

The AA shall invest and reinvest the resources of the GPP pending their disbursement in accordance with the AA's policies and procedures for the investment of trust funds administered by the AA. The AA shall credit all income from such investment to the GPP to be used for the same purposes as the GPP. At the AA's discretion, and following its own procedures and guidelines, it may enter into Administration Agreements with non-sovereign donors. The AA will consult with the Steering Committee prior to accepting or rejecting any such contributions.

### **2. Overview of financial architecture**

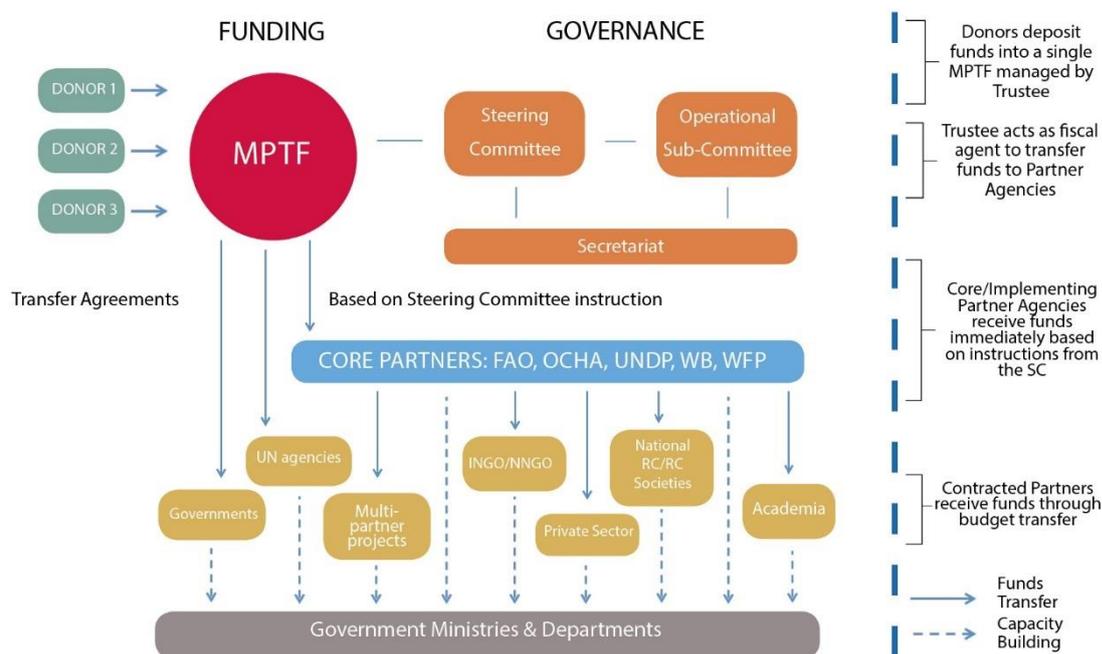
Donors enter into an agreement with the AA. The AA, at the instruction of the GPP's Steering Committee, then enters into standard agreements with Partner Agencies to finance GPP activities. The AA has no responsibility for the use of funds once transferred to the Partner Agency.

Core Partner Agencies currently include FAO, OCHA, UNDP, WFP, and the World Bank. Additional Implementing Agencies can be added which meet the fiduciary and management standards as required by the Steering Committee and AA. All UN agencies and the World Bank will automatically meet the fiduciary and management standards since the UN MPTFO uses a standard UN MOU that has been pre-approved by the UN system and the Administration Agreement template set by the World Bank. Steering Committee and AA consent is required for the addition of new Partner Agencies (NGOs or other MDBs) and would be codified by a signed standard agreement with the AA.

The UN Participating Organizations sign a Memorandum of Understanding with Multi-Partner Trust Fund Office (MPTF Office) of the UNDP, serving as Administrative Agent. Each UN Participating Organization shall assume full programmatic and financial accountability for the funds disbursed to it by the administrative Agent. Such funds will be administered by each UN Agency, Fund, and

Programme in accordance with its own regulations, rules, directives and procedures. Each UN Participating Organization shall establish a separate ledger account for the receipt and administration of the funds disbursed to it by the Administrative Agent. Indirect costs of the UN Participating Organizations recovered through programme support costs will be 7%. All other costs incurred by each UN Participating Organization in carrying out the activities for which it is responsible under the Fund will be recovered as direct costs.

### 3. Flow of funds (diagram)



### O. Conditions for eligibility to receive GPP financing

The GPP shall provide funding for activities in support of a government's preparedness programme. Proposals should meet the following conditions:

- Be requested by the Ministry of Finance of an eligible country with reference to one or several Partner Agencies (see Chapter 2 for eligibility criteria)
- Be supported by the findings of the GPP scoping mission for the country
- Exhibit the potential for leveraging additional resources
- Be consistent with the GPP's policies and strategies (as amended from time to time)
- Be fully compatible with the Partner Agency(ies)' policies and procedures and the AA's mandate, including internal quality assurance processes
- Enable enhanced preparedness and be completed within the life of the GPP.

## **P. Conditions governing GPP financing**

To facilitate swift disbursements from the Partnership, each Partner Agency shall apply its own appropriate procedures including simplified activity designs, use of rapid approval procedures, streamlined procurement and financial management procedures, and flexible implementation support.

*The following shall apply to all GPP grants:*

- Each preparedness programme proposal (PPP) shall be approved and administered in accordance with the guidelines of the applicable Partner Agency (FAO, OCHA, UNDP, WFP, World Bank);
- GPP grants shall be denominated in United States Dollars); and
- The relevant Partner Agency shall, for purposes of each PPP apply its own rules and procedures regarding cash transfer to any government Implementing Agency,) indicating in particular that resources have been provided from the GPP.

## **Q. GPP financing cycle**

### **1. Completion of Assessment**

The application relies on national governments and UN agencies / World Bank own staff and funding already available in country. The scoping mission can be supported by GPP funds. The application and scoping mission combined will provide the SC with a concept of the likely scope of a full diagnostic review. On acceptance of the application the GPP will co-finance the full diagnostic review. This readiness assessment will be undertaken by the national government with relevant stakeholder inclusion. The assessment will identify priority gaps and propose a costed programme of action to fill those gaps in order to enhance national preparedness. The proposal will also identify the Partner Agency (ies) that will be responsible for supporting the government's programme of action. Transmission of the completed assessment to the GPP Secretariat from the relevant Ministry of Finance will also constitute submission of the proposal from partner agencies.

### **2. Finalising of proposal**

The GPP Secretariat will review the proposal to ensure that it is consistent with criteria and standards that have been approved by the GPP Steering Committee. The Secretariat may work with the proponents to ensure consistency, clarify the role of Partner Agency(ies) and align the financing request with available resources.

### **3. Decision to finance proposal**

Once a proposal has been finalized, the Secretariat will forward the proposal to the Steering Committee. The Steering Committee will review and approve the planning and level of financing for support through the relevant Partner Agency(ies). If not approved, the Steering Committee can refer the proposal back to the Secretariat for further review by the proponents. The steering committee will provide reasons for refusal. The Secretariat will then inform the proponent, and the relevant Partner Agency(ies) of the Steering Committee's funding decision, whether approved or returned.

#### **4. Transfer of resources**

A Transfer Agreement<sup>9</sup> shall be executed between the AA and each designated Partner Agency. The Agreement will define the responsibilities of the Partner Agency for: (a) supervising the execution of the activity, i.e. appraising, supervising, monitoring and evaluating an activity in accordance with its own fiduciary framework and governance arrangements, policies and procedures; and (b) requesting funds transfers and monitoring the use of Project funds, i.e. in administering the funds, as specified in the Transfer Agreement, and for reporting on the use of the funds.

Upon receipt of a request for funds transfer from the Partner Agency, the AA will arrange for the funds transfer to the Partner Agency's account in accordance with arrangements between the designated Partner Agency and the AA, subject to availability of resources in the Partnership. Upon completion of the activity, all unused funds in the Partner Agency account(s) will be returned as agreed in the Transfer Agreement between the Partner Agency and the AA. All return of funds will be deposited by the AA into the Partnership.

#### **5. Implementation**

A Partner Agency will disburse the GPP allocation according to its own rules and procedures, directly and/or through a Government Implementing Agency. Implementation of the Project will comply with the policies and procedures of the Partner Agency [as well as the terms and conditions governing GPP grants including the Administration Agreement governing contributions from donors, the Transfer Agreement and the GPP Operations Manual.]

During implementation, the Partner Agency and relevant Government Implementing Agency will produce regular progress reports and submit these to the Secretariat in accordance with arrangements in the FPA/MOU and the GPP Operations Manual. In cases of unsatisfactory progress as defined by the Steering Committee and the Partner Agency, the Steering Committee and the Partner Agency may propose the suspension or cancellation of the grant.

#### **6. Monitoring and reporting**

##### **- Monitoring**

The continuous monitoring and evaluation is conducted by the Core Partners implementing the projects. The Secretariat consolidate the information received through a result-based management system. In terms of outputs the result indicators will be specific for each project; in terms of outcomes there will be shared indicators. The evaluation of performance indicators will take external factors into account, as well as previously identified assumptions and risks. Core Partners are responsible of data gathering and this will be one of the key elements reflected in project annual reports.

The Steering Committee, through the Technical Secretariat should contract two independent evaluations on the overall performance of the Fund, charged to its general expenditure. These evaluations will be conducted in the mid-term and at the time of the Fund's closure, respectively. The objective of these evaluations is to analyze the Fund's performance, thus testing the theory of

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<sup>9</sup> The Standard Memorandum of Understanding for the United Nations Agencies

change described in the Results Matrix. The intermediate evaluation will provide specific recommendations to the Steering Committee regarding the matrix of results and the underlying theory of change, including its revision if deemed necessary.

**- Reporting**

The responsibilities related to reporting are gathered and detailed in the Memorandum of Understanding (section IV) and Standard Administrative Agreements (section V). All the implementers will carry out annual and final reports on activities and expenditures according to a common format designed for the Fund.

**Narrative report**

The implementers will present the following reports to the Secretariat for consolidation and further transmission the Administrative Agent :

- (a) Annual narrative reports to be provided no more than three months (March 31st) after the end of the calendar year;
- (b) Final narrative reports after the end of activities contained in the program-related approved document, including the final year of such activities, to be submitted no more than four months (April 30th) in the following year after the financial closure of the Fund.

Annual and final reports will exhibit results based on evidence. Annual and final narrative reports will compare actual results against estimated results in terms of outputs and outcomes and they will explain the reasons of higher or lower performance. The final narrative report will also include the analysis of how the outputs and outcomes have contributed to the Fund's impact.

Output indicators will be specific to each project and reflect the changes the activities funded by the Fund have achieved. The implementers are responsible for the achievements and results on output level. They are responsible for collecting and reporting this data.

Outcome indicators will be identified in the Results Framework. Every project funded by the Fund will be required to collect data associated with the indicators of the outcome they are intended to contribute to, which will be tracked through a RBM system. Reports will be used by the Steering Committee to review the overall progress against expected results and assess the achievement of the performance targets.

**Financial Report**

The implementers will present the following financial statements and reports to the Administrative Agent:

- (a) Annual financial statements and reports to December 31st, regarding released resources by the Fund to them; these shall be provided no more than four months (April 30th) after the ending of the calendar year;

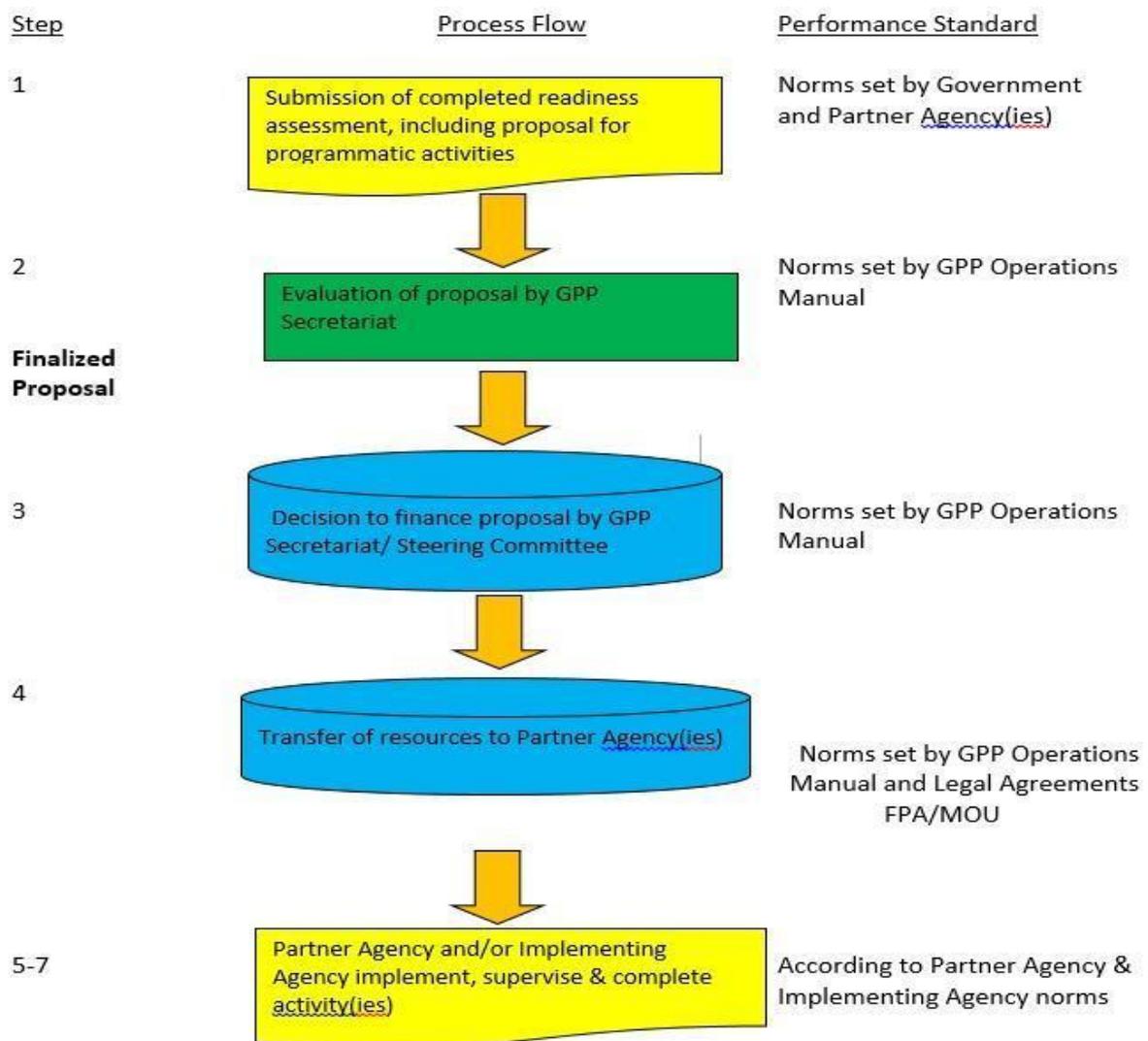
(b) Final certified financial statements and financial reports after the completion of activities contained in the program-related approved document, including the final year of such activities, to be submitted no more than six months (June 30th) in the following year after the financial closure of the Fund.

Based on these reports, the Administrative Agent will prepare consolidated narrative and financial reports which will submit to each of the Fund's Contributors and to the Steering Committee as per the schedule established in the Standard Administrative Agreement.

**7. Completion and evaluation**

The Partner Agency(ies) is/are required to submit a post-implementation completion (final) report in accordance with the Partner Agency(ies)' procedures on the activities financed by the GPP within four (for the UN) to six months after the completion of the activity.

**8. Financing approval process (diagram)**



## **R. Additional Arrangements**

### **A. Communications strategy**

The Secretariat shall develop a GPP Communications Strategy and proposed implementation budget for review and approval by the Steering Committee. The Communications Strategy will identify the GPP's key messages, stakeholders' groups and the most effective means of transmitting the key messages to relevant stakeholders. Once the Communications Strategy is approved, the Secretariat will have responsibility for implementing and monitoring the Strategy.

### **B. Disclosure policy**

The AA shall maintain separate records and ledger accounts in respect of the contributions deposited in the GPP account and disbursements to Partner Agencies made from it. The AA shall furnish to the donors with current financial information relating to receipts, disbursements and fund balance in United States dollars of the GPP. The Steering Committee, through the Secretariat, may disclose to the public the GPP Administration Agreements, Transfer Agreements, country readiness diagnoses, completed programme proposals, and any other information with respect to the GPP and its operations in accordance with the Trustee's Access to Information Policy.

The MPTFO website, Gateway (<http://mptf.undp.org>), is a web-based service portal that provides real-time financial data issued directly from the UNDP accounting system. Once established, the Fund will have a separate page in the Gateway portal which will allow partners and the public to follow-up the Fund's contributions, transfers and expenses, and access important documents and reports.

The Secretariat and the MPTFO will ensure that the Fund's operations are posted on the Gateway portal. Each implementing entity will take appropriate measures to promote the Fund. Information shared with the media regarding beneficiaries of funding, official press releases, reports and publications will acknowledge the role of the Fund.

### **C. Feedback and complaints handling mechanism**

Where complaints and other feedback specifically related to GPP-financed projects and programs, they may be submitted directly to an Implementing Agency or Partner Agency through the project's complaint handling mechanisms. The complaint or other feedback may also be submitted to the Secretariat or indirectly through other agencies such as relevant ministries and projects. The Secretariat's communications staff will then process these in accordance with procedures acceptable to the Steering Committee. The Secretariat will be fully responsible for recording, referring and tracking of complaints and other feedback. Further investigation and processing of complaints and other feedback shall be carried out by the appropriate Partner Agency. This shall not be deemed as a waiver, express or implied, of any of the privileges and immunities of the respective designated Partner Agency for the activity.

### **D. Visibility for GPP donors and implementing partners**

Whenever possible, the Steering Committee, Secretariat, Partner Agencies, and Implementing Agencies will promote Donor and GPP visibility on information materials pertaining to projects and programs and at the sites of the projects and programs through an agreed strategy approved by the

Steering Committee.

## **S. Financing Requirements**

### **A. Estimated requirements for initial two years**

Based on the indicative budget below, financing needs for the first two years of GPP operation would amount to US\$ 96 million. This level of financing would allow for the Partnership to work with fifteen target countries to help improve their preparedness. Nearly two-thirds of the financing (US\$ 60 million) would be devoted to priority preparedness activities with technical assistance for preparedness-building programmes constituting the second largest budget item (US\$ 26.25 million). These cost estimates per country are average and the actual expenditure per country would depend on programmatic needs and an agreed plan of action.

### **B. Estimated requirements for first five years**

Total financing requirements for the first five years of the GPP are estimated to be US\$ 320 million. This would allow the Partnership to assist 50 target countries to enhance their readiness to respond to and recover from climate change and other emergencies. The budget also anticipates funding for possible rapid deployment and preparedness-building support to additional countries on a demand-driven basis. As with the two-year program, the largest expense items are the preparedness activities and related technical assistance which amount to 90% of the estimated GPP budget.

### **C. Estimated administrative costs**

Administrative costs for program management include Steering Committee and Secretariat expenses, preparation of annual reports, audits, mid-term and end-of-program assessments, monitoring and evaluation, and communications. These average US\$ 150,000 per country for a total of US\$ 7.5 million over the first five years, or 2.3% of the total estimated budget. In addition, the estimated budget for programmatic expenditures include the operating costs of implementing and partner agencies.

## V. Annexes

### T. Preparedness Components

The review's recommendations will be tailored to each context, however the GPP uses the Common Framework for Preparedness as a foundational document, and within the Common Framework are some common components of preparedness building programmes. These have been used to develop the table below. This list is not exhaustive, nor restrictive, all programmes will have regular and rigorous progress monitoring.

Preparedness Building Programmes		
Categories	Indicative and possible activities	Potential Lead
1. Institutional & legislative frameworks	<ul style="list-style-type: none"> <li><input type="checkbox"/> Mainstreaming of preparedness in and support to National Plans of Action, National Platforms, National Disaster Management Authorities, Disaster Recovery Frameworks, and SOPs.</li> <li><input type="checkbox"/> Facilitation of International / Regional agreements on joint needs assessment, response and recovery planning.</li> <li><input type="checkbox"/> Development of preparedness policies and standards.</li> </ul>	UNDP and World Bank
2. Hazard & risk assessments, and early warning	<ul style="list-style-type: none"> <li><input type="checkbox"/> Hazard monitoring for all types of hazards.</li> <li><input type="checkbox"/> Support of risk assessment based on hazards, exposures, vulnerability and capacity analyses.</li> <li><input type="checkbox"/> Support comprehensive Early Warning systems and evidence-based decision-making processes that result in early action.</li> <li><input type="checkbox"/> Risk analysis including scenario planning, including identification of populations at risk of disaster-induced displacement.</li> <li><input type="checkbox"/> Early action measures.</li> </ul>	UNDP and World Bank (CADRI)
3. Coordination, contingency planning and risk financing	<ul style="list-style-type: none"> <li><input type="checkbox"/> Reinforcing government-led mechanisms for coordinating risk reduction, relief and recovery amongst national, local and international partners, including the private sector.</li> <li><input type="checkbox"/> Strengthening contingency planning for response and recovery, including setting clear roles and responsibilities and triggers for action.</li> <li><input type="checkbox"/> 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. This could include increasing knowledge and confidence in risk financing, and exploring how to increase partnerships, such as with the public and private sector, to help invest in some of the core foundations required for scaling up risk financing.</li> </ul>	All
4. Information management and communication	<ul style="list-style-type: none"> <li><input type="checkbox"/> Creation of preparedness databases.</li> <li><input type="checkbox"/> Establishment of information management systems – national, regional and international.</li> <li><input type="checkbox"/> Sensitization campaigns at national and sub-national levels.</li> </ul>	OCHA and UNDP
5. Emergency	<ul style="list-style-type: none"> <li><input type="checkbox"/> Developing shock responsive social protection schemes.</li> </ul>	FAO and

services / standby arrangements and prepositioning	<ul style="list-style-type: none"> <li><input type="checkbox"/> Strengthening civil Protection, emergency services (including evacuation), search and rescue, and emergency medical teams.</li> <li><input type="checkbox"/> Support to strengthen basic services for emergency response.</li> <li><input type="checkbox"/> Support to stockpiling – national, regional and international</li> <li><input type="checkbox"/> Support to emergency stocks pre-positioning and management.</li> </ul>	WFP
6. Training, Exercises & Simulations	<ul style="list-style-type: none"> <li><input type="checkbox"/> Drills and simulation exercises.</li> <li><input type="checkbox"/> Knowledge management and training with focus on south-south cooperation.</li> </ul>	All

## U. Indicative Budget

Each country context will require significantly varied support, and so the budget can be indicative only at this stage.

<b>GPP Indicative Budget Outlay (2017-2021)</b>				
<b>Program components</b>	<b>Activities/deliverables</b>	<b>Cost estimate per country</b>	<b>Phase I (2017-2018) 15 target countries</b>	<b>Phase II (2019-2021) 35 target countries</b>
1. Country diagnostic for preparedness and recovery capacities	Country preparedness diagnostic report with key recommendations	\$200,000	\$3,000,000	\$7,000,000
2. (a) Targeted preparedness programmes	Tailored technical assistance programs that builds on the existing preparedness initiatives and focuses on: developing institutional and legislative frameworks; strengthening national institutions for better preparedness; leveraging larger investments programs; and conducting trainings and drills/simulations.	\$1,850,000	\$27,750,000	\$64,750,000
2. (b) Rapid preparedness activities for emerging and imminent events	Strengthening early warning and IM systems; enhancing emergency services; improving contingency planning and financing; implementing standby arrangements and prepositioning of emergency resources;	\$4,000,000	\$60,000,000	\$140,000,000
3. Capacity building, documentation and knowledge sharing	Best practice notes and other knowledge products; Regional and national capacity building workshops; Experts training and knowledge exchange visits;	\$200,000	\$3,000,000	\$7,000,000
4. Program management and monitoring & evaluation	Program administration and secretariat services; annual reports; audits; independent impact assessments at mid-term and end-of-program.	\$150,000	\$2,250,000	\$5,250,000
			<b>\$96,000,000</b>	<b>\$224,000,000</b>
Notes:	Total program outlay		<b>\$320,000,000</b>	
1. The cost estimates per country are average; actual cost per country will depend on the country context and agreed plan of action				
2. The program budget estimates are inclusive of the operating expenses of national and international partner agencies				
3. Component 2(b) includes the possibility of rapid deployment and preparedness building support to additional countries on-demand basis.				

## V. Results Framework

### **Intended Outcomes:**

Considering the principles of engagement, the overall objective of the GPP is to create outcomes for 50 countries in achieving a requisite level of crisis response management readiness.

These specific outcomes are that national governments will have;

1. an understanding of disaster risks and vulnerabilities in their country, as well as existing preparedness capacities and measures, based on a variety of international, national and local risk and capacity assessment mechanisms;
2. the capacity to prepare for, coordinate and manage prior to and during a crisis, based on preparedness, response and recovery plans that have clear roles and responsibilities for all relevant stakeholders, that include decision making mechanisms and procedures, and include clear and specific triggers, that ensure funding for early action;;
3. Operational preparedness and response capabilities and systems in place prior to a shock to allow disaster impact reduction and rapid delivery, including physical assets such as stockpiles, human resource assets, and systems such as communications and information processes, training and equipment;
4. Financial planning as an essential part of preparedness planning, so that a set of financial instruments are in place to allow access to quick preparedness, response and recovery funding, including establishing or expanding social safety nets.

### **Outcome indicators**

1. Number of documented disaster risk assessments, and the regularity of their updates.
2. Existence of an integrated response contingency planning process and product, and regularity of its revision.
3. Number of preparedness for response trainings/simulations held, quantity of material stockpiled, Crisis Information Management and Communications processes and structures in place, number/scale of preparedness measures implemented.
4. Preparedness and emergency response financial procedures and funds in place.

Note: National diagnostic review processes should include country specific outcomes across these four broad areas.

EXPECTED OUTPUTS <i>And baseline, indicators including annual targets</i>	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME 2017				TIMEFRAME 2018				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q3	Q4		Funding Source	Budget Description	Amount USD
<b>Output 1:</b> <b>Establish GPP Secretariat</b> <i>Baseline: GPP Proposal</i> <i>Indicators: 2 x staff.</i> <i>Targets: Multi-year project document reflecting partner input cleared by Steering Committee, Secretariat fully staffed and resourced.</i>	1.1 Recruit Secretariat staff. One Secretariat Coordinator, one admin/finance.									GPP Core Group	GPP Core Group	Program management and monitoring & evaluation	150,000
	1.2 Office space and support provided									UNDP / CVF	GPP Core Group		10,000
	1.3 Secretariat Staff in place									UNDP	GPP Core Group		0
	1.4 Review staffing requirements									Secretariat			0
	1.5 Establish 'roster' of organisations and consultants to assist in diagnostic reviews									Secretariat	GPP Core Group		0
<b>Output 1 Sub Total</b>												160,000	
<b>Output 2:</b> <b>Country Applications and GPP Scoping Missions tested and deployed in fifteen countries. Country applications for a further ten.</b> <i>Baseline: No Previous missions, Indicators: Scoping mission reports, preparedness capacity profiles; progress reports</i> <i>Targets: All fifteen countries have preparedness profiles and applications for preparedness support complete</i>	2.1. Country applications: - Five initial countries - Desktop/virtual analysis based on agreed selection criteria									Steering Committee, Secretariat	Country	Country diagnostic for preparedness and recovery capacities	0
	2.2. Countries Scoping Missions: - Five initial countries - National Government consulted with UNCT and functional partners.									Partners, Secretariat	MPTF		150,000
	2.3 Country applications - Ten further countries - Desktop/virtual analysis based on agreed selection criteria									Steering Committee, Secretariat	Country		0
	2.4 Countries Scoping Missions: - Ten further countries - National Government consulted with UNCT									Partners, Secretariat	MPTF		300,000

	and functional partners.												
	2.5 Country applications - Ten further countries - Desktop/virtual analysis based on agreed selection criteria								Steering Committee, Technical Working Group, Secretariat				0
<b>Output 2 Sub Total</b>												450,000	
<b>Output 3: GPP diagnostic review methodology employed in ten countries.</b> <i>Baseline: No Previous reviews</i> <i>Indicators: diagnostic review, capacity development plans; progress reports.</i> <i>Targets: All ten countries have costed preparedness plans complete</i> <i>Five further countries have costed preparedness plans initiated</i>	3.1. Five Country diagnostic review: - Country review missions. - Country review workshops. - Preparedness capacity baselines. - Agreement on priorities for preparedness capacity development.								Functional Partners, Consultants, Secretariat	MPTF	Country diagnostic for preparedness and recovery capacities	500,000	
	2.2. Ten Country diagnostic review: - Country review missions. - Country review workshops. - Preparedness capacity baselines. Agreement on priorities for preparedness capacity development.								Technical Working Group, Functional Partners, Consultants, Secretariat	MPTF		1,000,000	
<b>Output 3 Sub Total</b>												1,500,000	
<b>Output 4: National Preparedness Capacity and measures brought to requisite level in fifteen countries</b> <i>Baseline: Diagnostic Review Results</i> <i>Indicators: understanding of risks and vulnerabilities, as well as existing capacities, capacity to coordinate and manage</i>	4.1 Five Country Capacity Building and measures in the following areas; - Hazard / risk analysis and early warning - Institutional and legislative frameworks - Resource allocation and funding - Coordination, Information management and communication - Preparedness and contingency / response planning - Training and exercises - Emergency services / standby arrangements and prepositioning								National Govts, Functional Partners, Consultants, Secretariat, UNCT, WB, others as required by planning	MPTF	(a) Targeted preparedness capacity building programmes (b) Rapid preparedness activities for emerging and imminent events	5,000,000	

<p><i>prior to and during a crisis, Operational capabilities and systems in place, Financial planning and instruments are in place</i></p> <p><i>Targets: All fifteen initial countries have preparedness measures underway sufficiently as defined by their diagnostic reviews.</i></p>	<p>4.2 Ten Country Capacity Building and measures in the following areas;</p> <ul style="list-style-type: none"> <li>- Hazard / risk analysis and early warning</li> <li>- Institutional and legislative frameworks</li> <li>- Resource allocation and funding</li> <li>- Coordination, Information management and communication</li> <li>- Preparedness and contingency / response planning</li> <li>- Training and exercises</li> <li>- Emergency services / standby arrangements and prepositioning</li> </ul>									<p>Functional Partners, Consultants, Secretariat, UNCT, WB, National Govts</p>	<p>MPTF</p>		<p>5,000,000</p>
<p><b>Output 4 Sub Total</b></p>												<p>10,000,000</p>	