



OCHA



GFDRR
Global Facility for Disaster Reduction and Recovery



Global Preparedness Partnership Operational Manual

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Notes:

1. This Manual has been developed based on an Operational Workshop held in January 2017, and the subsequent inputs from GPP partners. It is supported by several annexes, which provide the basic tools for GPP operations at country level. It will be consistently updated based on practical experience in using the tools. Please refer to the date above to ensure you are using the latest version.
2. This Operational Manual is not intended to describe why the GPP exists, how it is governed, financed and run at the global level. It is intended to describe how it operates at National level. The entirety of Section I, 'Introduction' is taken from the MPTF TORs, the GPP Proposal and Framework documents. Any decisions to change this Operational Manual text should be developed in these core documents first.



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INTRODUCTION

Purpose and Approach

The **rationale** of the Global Preparedness Partnership (GPP) to save lives, livelihoods, time and money through a coherent, coordinated preparedness approach with national governments in the driver's seat. Transformational change is required in national preparedness structures, systems and planning to allow the most at risk countries, and their most at-risk communities, to reach a minimum level of readiness to respond to crises.

The **goal** of the GPP is for countries to reach a minimum level of preparedness¹ so that disaster events have a reduced impact can be better managed locally with less need for international assistance. The GPP offers a strong partnership between affected governments (especially the V20 group of climate-vulnerable countries), international financing partners and multilateral organisations which builds on existing international and national initiatives to make high-risk countries ready to respond to, and recover from, disasters resulting from natural hazards and climate-related risks. 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 architectures² 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".

Financed by a Multi-Partner Trust Fund (MPTF), it will initially operate in 15 countries to ensure that they attain a minimum level of preparedness by 2020. A national disaster preparedness program will be supported by the GPP that leads to countries having a minimum level of preparedness, including minimum and advance preparedness activities. This increase in country preparedness will be achieved through:

1. Improved **understanding of risk, exposure, vulnerability and the capacity to manage risk** which is based on a variety of national and local multi-hazard risk and capacity assessment mechanisms as well as through modelling and simulations;
2. Demonstrated capacity to **coordinate and manage relevant stakeholders** at all levels including local, national authorities and different disaster management agencies 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, decision making mechanisms and procedures, and includes clear, specific triggers for early action;
3. Increased ability of at-risk communities **to access and act on** disaster information and early warnings, and **engage in** disaster preparedness planning and implementation.
4. Emergency response **operational capabilities** and robust logistical supply management 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, information on local relief

¹ The GPP uses the IASC Common Framework for Preparedness as a foundational document, and follows its definitions and descriptions of preparedness.

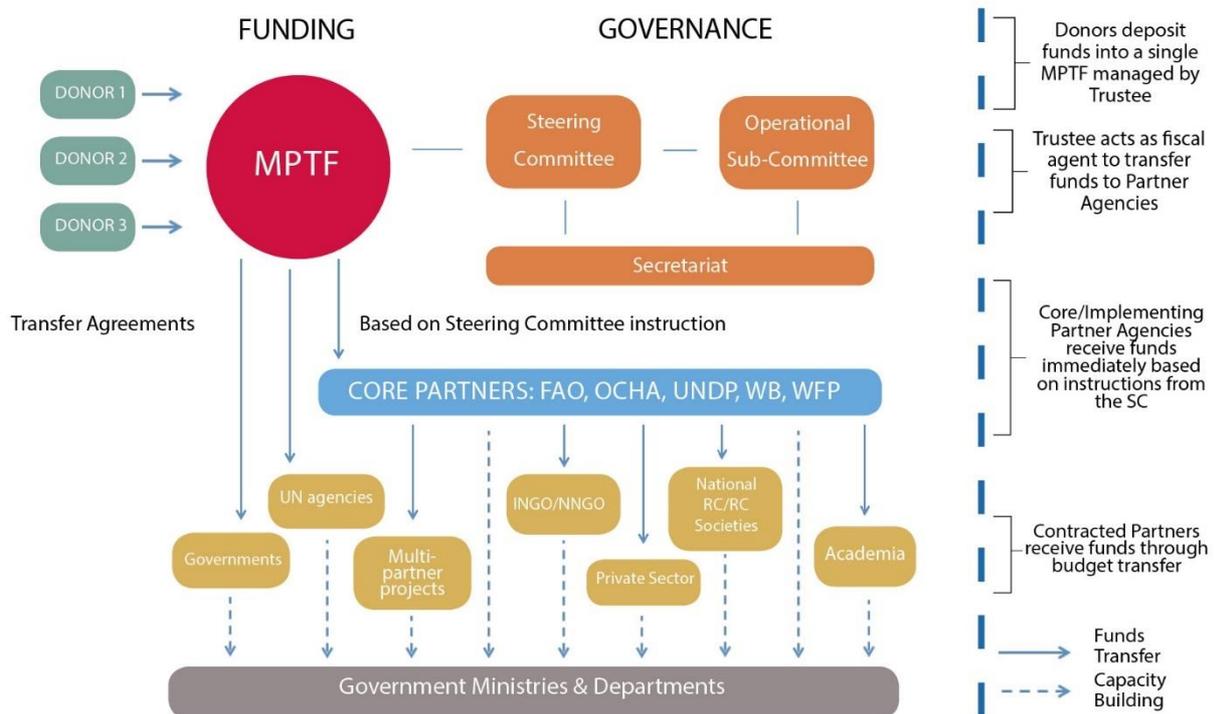
² The GPP will provide for national and regional coordination of preparedness efforts, and ensure coverage of remaining gaps in national capacity, together with other partners and initiatives such as CADRI, 5-10-50, GFDRR, GfCS and A2R.



materials available, trained individuals and teams familiar with their roles and responsibilities, and systems such as communications and information processes; and

5. 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.

Visual Model



Background

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 2nd 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. 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. The GPP is unique among these given that it is also a Member States’ initiative – the endorsement and partnership of the V20 group is a key distinction to other initiatives. 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.



Principles

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 capacities must be first and foremost mobilized nationally. Governments have the lead role for preparedness, complemented by skills and capacities of its partners including civil society and the private sector, and will be supported through the GPP by providing technical support for enhanced disaster preparedness implementation, as well as helping leverage and align other 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 actions 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. People and local actors (often on a voluntary basis) are generally the first responders, and the major responders, in any disaster response. Any planning and coordination processes must include community representation.
- ✓ **Context Specific.** Supporting national and local capacities for preparedness should be context and risk specific and should recognise and build on existing country and regional.
- ✓ **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 delivery sustainable development goals.

Process

The GPP will follow these principles while undertaking the **four key process steps** outlined below. The GPP will not only provide direct support, but also leverage technical capacity through links to existing international, regional and national preparedness organisations and initiatives, following these four key steps;

1. **Government application** for support followed by a partner scoping mission.
2. **Diagnostic Review** of preparedness, identifying gaps in preparedness plans, disaster response and recovery capacities and measures and creating recommendations for a **Preparedness Programme Proposal**.
3. A **Targeted Preparedness Programme**, addressing needs identified in the diagnostic review.
4. Follow-up support including, **Knowledge Management** and **Quality Assurance**.



Governance 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 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 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.

The SC will: provide general oversight and accountability of the MPTF; approve the strategic direction of the Fund and its results framework; approve guidelines, selection criteria and an annual work plan advocate for and supervise resource mobilization for the Fund; commission mid-term and final independent evaluations on the overall performance of the Fund; approve a Fund risk management strategy, monitor risks and advise on appropriate mitigation actions when necessary.

Note; two possible options exist here – Either the SC approves the annual work plan and budget but not every single allocation for funding which would be managed by the Secretariat OR *the SC approves every allocation. To be decided by subcommittee. However, financing decisions should be reflected in the MPTF TORs, the proposal and Framework. This Operational Manual should only reflect these core documents.*

Ordinary meetings of the Steering Committee shall be held quarterly. The quorum shall be set at six Steering Committee members. The Steering Committee shall make its decisions by consensus.

The SC will be supported by a **Secretariat**. The Secretariat provides direct support on general partnership operations, SC meetings, communications, fundraising, grant processing, and coordinating of reporting processes (including drafting of an Annual Report for review and endorsement by the SC). 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.

During the GPP development phase, an **Operational Sub-Committee** (OSG) or technical subcommittee made up of V20 countries and partner organisations will be responsible for proposing the operational principles and associated manual, templates and tools for SC review and approval. As per the decision of the V20 Ministerial on April 23 a subcommittee of the V20 Risk Focus Group will be formed to oversee the operationalisation of the GPP. Once the GPP is fully functioning this subcommittee may close, while the Secretariat will continue to refine and adapt the standard operating guidelines and principles of the GPP once fully operational.

Financing

Financing is managed by a MPTF established to support the GPP. The MPTF delivers grants based on instructions from the SC and its Secretariat. Donor contributions are pooled into a single account managed by the UN MPTF Office, and core partner agencies receive funds based on instructions from the SC. Core partners then disperse funds to implementing partners through budget transfer. Additional core partner agencies can be added at a later date if they meet the fiduciary and management standards required. UN



and other 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%. National Governments may participate in and receive funding from the Fund. For direct access, the national government signs its own Memorandum of Agreement (MOA) with the MPTF. This MOA should include that all funding for preparedness proposals will be approved by the Steering Committee after being developed jointly with GPP core partners (including national institutions) using GPP approved methodologies and standards. 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 2-3 year period, is estimated to cost \$100 - 130 million. A longer-term program of five further years, covering 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.

Links to other preparedness initiatives

The GPP takes a perspective of a joint approach – integrating national and international preparedness planning. Where the diagnostic review identifies a gap in preparedness measures (investment in and implementation of preparedness measures according to specific risk profile and related sector vulnerabilities) at the country level, it will first turn to national and international initiatives, and seek to support them to fill that gap. If no other organisation is able or willing to provide the required support, then the government with the GPP can find who can fill that preparedness gap.

There is an analysis of links to other initiatives available but, in brief, there are a variety of complementary and distinctive aspects with other initiatives. With risk analysis/risk information tools or knowledge platforms such as INFORM or ALERT, the GPP will encourage national governments and partners to use these in GPP applications, and for updating stakeholders' readiness and knowledge. There are broad DRR assessment initiatives like CADRI which can provide technical support to national review teams, as well as supporting with existing tools and processes. Where CADRI has assisted with a national plan of action for DRR (which includes preparedness) the GPP could potentially support implementation of the plan. The GPP could contribute to the preparedness pillar in countries participating in 5-10-50, or the 5-10-50 partnership could focus on Early Warning support, while the GPP supports other preparedness aspects. The GPP would link with early warning initiatives such as CREWS to leverage their technical leadership and complementary financing where possible. Other links could include airport operations and other logistic readiness being supplied by the UN Logistics Cluster or airport emergency capacity being improved by GARD.



GOVERNMENT APPLICATION

Minimum standards for preparedness

The minimum standards should be developed during the diagnostic phase, and are an important determinant / 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 must include preparedness at all levels; national, state, community and family/individual level, and how the national government and partners can support capacity in all of these.
- * Minimum standards must 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"*

Application Process

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 who will submit the application. Other stakeholders may advise in the application process, for instance, 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. National Governments can apply to the Secretariat for advice when completing the application. 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 OSC. 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 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 or diagnostics and ongoing support by other partners should be referred to in the application. Clarity on which bodies are the national lead(s) for managing preparedness and response should be clearly identified, ideally through legislation. 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 considered³.

Review of applications

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 objectives of the partnership, and clear evidence of relevant ministerial and relevant national agency engagement; 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. The SC can, if they choose, further consider climate risk indicators, as well as issues of access, fragility and insecurity. The SC can also consider the application's alignment with or support to existing national policy, strategic or programmatic frameworks that include preparedness (i.e. National Policy, National Strategy, National Plan, National Programme; etc.) Further the SC can consider complementarity with existing or planned investment or budget allocation to DRM generally or for preparedness specifically.

Scoping mission

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. Scoping missions will be undertaken by the GPP partner staff, preferably in country, in concert with national staff, with support as required from regional preparedness experts. The scoping mission will report back to the SC, and be supported by the Secretariat. Scoping Missions 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 MPTF on a case by case basis on approval by the SC. Reporting from scoping missions will be monitored and followed up on by the Secretariat.

³ 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.



DIAGNOSTIC REVIEW & RECOMMENDATIONS

Diagnostic Review Process

The diagnostic review will include a country-led self-assessment of national 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 recommendations for strengthening national preparedness, consider the most vulnerable communities and locations and identify key partners and initiatives to assist the national government by recommending areas for implementing preparedness measures and supporting capacity strengthening.

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 risks prevailing in a country. As part of this process a starting preparedness baseline capability and an inventory of applied measures will be discerned in order to measure results, including an understanding of current levels of disaster loss and damage - informed by national disaster loss databases where available - i.e. understanding past losses and associated levels of risk. A key aspect of the review will be the ability to predict what the impact/losses of a specific hazard event on the built environment will be, and the associated effect on the lives and livelihoods of the country/community. Knowing this information will allow one to identify appropriate preparedness strategies to reduce the impact of the hazard event.

Reviews will be carried out by a government-led assessment team composed of nationally and internationally sourced experts, inclusive of representatives from the private sector, National Red Cross or Red Crescent Societies, national NGOs, and international partners, including the UN. The private sector should be engaged during the review phase through the National Chamber of Commerce or similar body and possibly private sector networks where national or regional networks exist, or global networks such as the 'Connecting Business Initiative'⁴ (CBI) or ARISE⁵ to ensure easy access to information, alignment of work and action plans. Where no national network exists, contact should be made at the global level to determine if private sector mapping for preparedness has already been carried out, or may be required.

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. The GPP goes beyond preparedness capacities (already addressed by many partners and joint

⁴ See the www.connectingbusinessinitiative.org website for more details and activities in specific countries and regions.

⁵ See the <http://www.preventionweb.net/arise/> website for more details.



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 national diagnostic review process will inform international partner preparedness efforts under the RC or HC to ensure they complement and support government capacities effectively⁶. Initiatives such as CADRI could have a further role here, to assist the government in monitoring, overseeing and sharing knowledge during and after the diagnostic.

Recommendation Process

The final part of the diagnostic would be a 'Preparedness Programme Proposal' (PP) developed based on the overall preparedness action plan. The PP 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. The proposal should aim to propose strategic entry points for the private sector (jointly identified with the private sector) in preparedness, providing planning and support for response and recovery generally, but in particular support of small and medium size enterprises.

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.

⁶ The 2015 IASC Emergency Response Preparedness (ERP) approach is the tool applied by RC/HCs to ensure partner readiness to support and complement government response efforts when needed.



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. For the 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 and monitoring; 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 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.

Expertise mapping - Global and Local

The mapping of expertise against capacity gap categories will be linked to a list of lead agencies and contributing organisations. It will be made clear which will be the actual responding or recovering government ministry, agency or entity within each sector or activity. Technical agencies with national, regional and global sectoral expertise and resources should be considered when identifying appropriate support to strengthen government preparedness actions.

Preparedness for recovery

Preparedness for Recovery should be equally considered as for response. A “disaster impact reduction” element will be generated as part of better preparedness for efficient and coordinated response to shocks, for example by working out clear evacuation routes for people and their livestock, or by protecting strategic seed reserves. Part of recovery preparedness should also be understanding what infrastructure or built environment will fail depending on the scale or type of hazard event that occurs. For example, assuming a bridge connecting communities across a river fails if the cyclone is greater than a Cat4 or earthquake magnitude 7.0. Considering these impacts in advance will inform both the immediate response (delivery of food via air) as well as recovery efforts (resumption of trade across river via temporary bridge or ferry) This information will be able to inform what variety of responses will be required.

Process initiatives Mapping - Global and Local

To avoid replacing existing structures or processes, existing preparedness and DRR initiatives and programmes should be mapped, and potential links established. This local mapping should be connected to an international mapping of initiatives, such as that carried out by UNISDR to ensure the national plan



leverages all potential sources of support, and avoids duplication of effort globally.

Example of 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 assistance being available through other initiatives; early warning communications or message broadcast systems development will be outside the scope of GPP, although the ability to analyse risks, including deciding on thresholds for action triggers based on the risk indicators that are being monitored, to turn early warning into action will be included; financing relief supplies themselves will be outside the scope, although pre-positioning key support equipment with regional pooling of equipment and capability will be considered. The GPP will concentrate efforts toward ensuring transformational change in preparedness. Efforts toward disaster prevention or mitigation and adaptation will be outside the scope of the GPP.

The outcome of GPP funded national preparedness programmes will be more effective and efficient national and sub-national response to crises, resulting in saving lives, livelihoods, time and financial resources. The GPP should support a whole-of-society approach with both individual and institutional duties and responsibilities, such as in the Japanese disaster preparedness country model. The transformational changes in national and sub-national preparedness capacities should ultimately reduce suffering and the need for international assistance in disaster response and recovery. Additional benefits 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.

The operational 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.

Risk Context and Component	Example within the GPP scope	Outside of the GPP scope
Flood – Emergency Rescues	* Training emergency staff, establishing emergency communications systems for flood * Pre-positioning of rescue material – boats, motors, lifejackets, ropes etc.	Emergency Staff Wages
Earthquake – Emergency supply prepositioning	* Stock management software and guidance * Establishing logistics hubs	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	Funds for cash transfers for shelter reconstruction
Managing preparedness for all risk components	* 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). * Developing contingency plans and undertaking simulation exercises	Maintenance of tracking and management systems



KNOWLEDGE SHARING/QUALITY ASSURANCE

Mutual accountability

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.

Indicators, Monitoring and Evaluation

Based on the SDGs, Sendai Framework, World Humanitarian Summit commitments, IASC Common Framework for Preparedness, minimum standards for preparedness and good practices, the Operational Sub-Committee will develop a common set of process and impact indicators for monitoring and evaluation of the GPP funded national preparedness programme. The indicators will include value for money and transformational change at local, regional and national level. The monitoring framework (embedded in the national preparedness programme) will be a government responsibility, and follow a process of Activity > Outcome > Impact > Value for money, with value for money as a key focus with the aim of evaluating the improvement in lives, livelihoods, finance and time saved through effective preparedness. The monitoring framework should measure transformational change to national preparedness structures and processes as well as impacts on links between international and national actors. The monitoring and evaluation process should allow for preparedness good practices to be collected and validated and should be fed back into the GPP as part of a regular knowledge management and lessons learning exercise, informing future operations and GPP allocation decisions.

A key role of the Secretariat would be to monitor and report on the implementation of the different national preparedness programmes in a consolidated fashion, feeding into the above mentioned global policy processes (SDGs, Sendai Framework for DRR etc)

Knowledge Management Process

Before, during and after the national preparedness programme implementation, 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 to ensure that all partners and countries are keeping updated on preparedness measures, e.g. a single online platform such as ALERT. 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 programme to inform the next. This will ensure that the GPP adapts and develops guidance and SOPs useful to V20 members. National governments will include in their monitoring their planned process for knowledge management, in particular how they will use existing regional disaster management structures to ensure peer to peer support. For global processes, platforms such as ALERT will be used, for GPP internal learning (to improve GPP process) the Secretariat will facilitate.



The ALERT online Platform - V20 countries and GPP partners will be able to hold each other accountable to their preparedness commitments through the ALERT platform. The platform will enable individual commitments and actions to be disseminated between actors representing different agencies or government departments. Each national preparedness programme and upkeep of minimum preparedness levels can be tracked and the burden shared across all the different stakeholders involved. National governments will have the capability of seeing the status of their preparedness capacity in real time to enable targeted investment when hazard risks increase.

Where V20 countries want to work more collaboratively with each other, they can use the platform to act as a network, sharing regional risk monitoring data and information on resources and contingency plans. After the assessment of capacity gaps and after an initial plan is put in place the GPP can use the ALERT platform to have oversight over the progress of all preparedness programmes. Capacity development challenges will be easily identified and the GPP can create more targeted interventions without the need for additional scoping missions, assessments or lengthy evaluation.

Sharing of Good Practices - The GPP can turn knowledge into action through knowledge sharing and capitalization of the experiences it funds, in particular good practices. Identifying and understanding good preparedness practices will improve the quality and effectiveness of GPP funded national Preparedness Programmes. They can be applied to specific contexts, institutionalized, shared and replicated at different levels: from local to international. Sector and shock specific good practices will be validated, documented and shared on a web based platform. A good practice is not only a practice that is good, but a practice that has been proven to work well and produce good results, and is therefore recommended as a model. It is a successful experience, which has been tested and validated, in the broad sense, which has been repeated and deserves to be shared so that a greater number of people can adopt it.



Annexes

Risk Analysis - Template

Risk analysis begins with identifying potential hazards that may affect the country. For the purpose of GPP, the suggested focus is on the following threat categories which have potential humanitarian consequences - Natural hazards, either hydro-meteorological (floods, landslides, storms, droughts) or geophysical (earthquake, volcanic eruption, tsunami). Once the hazards have been identified, they are ranked twice on a scale of 1 to 5; once to reflect their perceived impact and the second time for likelihood of occurrence. Multiplying these two variables will give a product indicating the gravity — low, medium or high — of a given risk. Figure provides guidance on assessing impact and likelihood and rating gravity. When the ranking is complete, it should be entered into the Country Risk Graph (see Annex 1) that will form the basis of the country risk profile.

For the most likely high-impact hazards to which a country is vulnerable, impact estimates should be derived. An estimate of the areas where the impact of the disaster is likely to be more severe, the total number of people affected by the disaster and, based on vulnerability criteria analysis, an estimate for the overall people in need. Based on the disaster impact estimates, GPP partners can define and calculate potential needs, make planning assumptions and therefore identify key preparedness actions.

IMPACT	LIKELIHOOD
<p>Negligible (1) Minor additional humanitarian impact. Government capacity is sufficient to deal with the situation.</p>	<p>Very unlikely (1) A remote chance of an event occurring in the current year, from 0-5%. e.g. Seasonal hazards that have happened once or less in the last twenty years.</p>
<p>Minor (2) Minor additional humanitarian impact. Current country level inter-agency resources sufficient to cover needs beyond government capability.</p>	<p>Unlikely (2) The event has a low chance of arising in the current year, from 5 to 15% e.g. Seasonal hazards that have happened one to three times in the last twenty years.</p>
<p>Moderate (3) Moderate additional humanitarian impact. New resources up to 30% of current operations needed to cover needs beyond government capacity. Regional support not required.</p>	<p>Moderately likely (3) The event has a viable chance of arising in the current year, from 15-30%. e.g. Seasonal hazards that have happened two or three times in the last ten years, or once or twice in the last five years.</p>
<p>Severe (4) Substantive additional humanitarian impact. New resources up to 50% of current operations needed to cover needs beyond government capacity. Regional support required.</p>	<p>Likely (4) The event has a significant chance of arising in the current year, from 30-50%. e.g. Seasonal hazards that happen every second or third year, e.g. two times in the last five years.</p>
<p>Critical (5) Massive additional humanitarian impact. New resources over 80% of current operations needed to cover needs beyond government capacity. L3-scale emergency.</p>	<p>Very Likely (5) The event has a positive chance of arising, over 50% e.g. Seasonal hazards that have happened three or more times in the last five years, or five or more times in the last ten years.</p>



National Government Application for support - Template

Global Preparedness Partnership - Country Application Form

This application form is for National Governments to join the Global Preparedness Partnership (GPP) which provides diagnostic and programmatic support for reaching a minimum level of preparedness to respond to crises. For more details on what support the GPP can provide, please review the relevant documents such as the [Framework Document](#), or the [Detailed Proposal](#). More information can be found at the [A4H website](#).

The selection 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 objectives of the Partnership, and clear evidence of relevant ministerial and relevant national agency engagement; high multi-hazard vulnerability evidenced by the existence of compounding risks and vulnerabilities; and emerging or imminent hazards where urgent sector specific and hazard specific preparedness measures need to be scaled up. The Steering Committee can, if they choose, further consider climate risk indicators, as well as issues of access, fragility and insecurity.

The Steering Committee can also consider the application’s alignment with or support to existing national policy, strategic or programmatic frameworks that include preparedness (i.e. National Policy, National Strategy, National Plan, National Programme; etc.). Furthermore, the Steering Committee can/may consider complementarity, if any, with (i) existing or planned investment or budget allocation to DRM generally or for preparedness specifically; and (ii) 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 Resilience Initiative (A2R), the Global Framework for Climate Services (GFCS).

When complete, please send this form to; global@preparednesspartnership.org

Country		
Application Approved by	Name	
	Position and Ministry	
	Signature	
Focal Point Name		
Focal Point Position		
Focal Point Phone Number		
Focal Point Email		
Focal Point Ministry and/or Department		



HAZARD AND RISK PROFILE				
Criteria				
Describe national natural hazards and risk context	Main Hazard Concerns (Intensive⁷)		yes	no
		Earthquake		
		Cyclone / Typhoon		
		Large Scale Flooding		
		Nationwide Drought		
		Extremes of cold or heat		
		Tsunami		
		Avalanche/Landslide		
		Volcano		
		Other (describe)		
Describe risk assessment sources	Risk Information Source		yes	no
	National	National Disaster Management Agency		
		National Bureau of Meteorology		
		National Hazards Centre		
		Other (describe)		
	Regional	Regional Disaster Management Agency		
		Regional Meteorology Services		
		Regional Partnerships on Hazards		
		Other (describe)		
	Global	INFORM		
		Global Risk Data Platform		
		Other (describe)		

⁷ 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.



Describe national compounding risks and vulnerabilities	Are there other relevant risks and vulnerabilities?	yes	no
	Substandard Infrastructure		
	Technological Risks present		
	Highly Dispersed Populations		
	Highly Concentrated Populations		
	Low GDP		
	Localised Poverty		
	Uneven access to services and support		
	Ongoing internal conflict		
	Other (describe)		
Describe any emerging or imminent hazards	Emerging Hazards	yes	no
	Sea level rise		
	Desertification		
	Other (describe)		
	Imminent Hazards	yes	no
	El Niño		
	Drought/dry spell		
	Other (describe)		
Describe extensive risks	Extensive Risks	yes	no
	Localised drought		
	Localised flooding		
	Storms		
	Fires		



	Other (describe)
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CURRENT PREPAREDNESS PLANNING STATUS			
Criteria			
Describe existing preparedness plans.	Existing Planning	yes	no
	National Emergency Preparedness Plan exists?		
	Regional Emergency Preparedness Plan exists?		
	Local Emergency Preparedness Plans exist?		
	Individual Ministry Emergency Preparedness Plans exist?		
	International Actors Common Emergency Preparedness Plan exists?		
	Other plans (describe)		
Describe intended preparedness planning.	Intended or Updated Preparedness Planning	yes	no
	National Emergency Preparedness Plan intended?		
	Regional Emergency Preparedness Plan intended?		
	Local Emergency Preparedness Plans intended?		
	Individual Ministry Emergency Preparedness Plans intended?		
	International Actors Common Emergency Preparedness Plan intended?		
	Other plans intended (describe)		
Describe existing preparedness assessments and diagnostics.	Existing preparedness assessments and reviews	yes	no
	National assessment or review of preparedness exists?		
	National plan of action for preparedness exists?		
	CADRI or ERP assessment taken place?		
	Other assessments undertaken (describe)		
Highlight already identified preparedness gaps that require support.	Is preparedness support required in these areas?	yes	no
	Institutional, Financial & legislative frameworks		
	Hazard & risk assessments, and early warning		



	Coordination, contingency planning and risk financing		
	Information management and communication		
	Emergency services / standby arrangements and prepositioning		
	Training, Exercises & Simulations		
	Other already identified preparedness gaps requiring support (describe)		

GOVERNMENT PLAN FOR IMPROVING PREPAREDNESS			
Criteria			
List involved National Government Ministries or Departments	Ministries or Departments involved in this application, and to be involved in any preparedness planning and support	yes	no
	Finance		
	Disaster Management		
	Emergency Services		
	Planning		
	Social Services		
	Lead Ministry will be (identify)		
	Other likely Ministries (list)		
Identify other stakeholders advising application process	Other stakeholders already involved in this application, and to be involved in any preparedness planning and support	yes	no
	Chamber of Commerce		
	Private Sector Partnership bodies		
	National Red Cross / Red Crescent		
	Academic Institutions		
	United Nations Agencies (UN)		
	International Financial Institutions		
	Non-Governmental Organisations (NGO)		
	List United Nations Agencies		



	List Non-Governmental Organisations
	Others (list)
Describe existing internal national response, recovery, coordination and preparedness mechanisms including associated financial mechanisms. (100 words maximum)	
Describe existing external support resources already committed by other stakeholders to national preparedness mechanisms. (100 words maximum)	
Briefly state the opportunities for Government to receive preparedness support in the mechanisms described above. (100 words maximum)	
Briefly state the level of human and financial resources the national government is prepared to commit to the process of GPP support for preparedness in the mechanisms described above. (100 words maximum)	



Scoping Mission – Terms of Reference Template

Global Preparedness Partnership – Scoping Mission - Terms of Reference

Mission title	
Mission country	
Mission location	Field locations: 1. 2. 3.
Mission dates	
Government focal point	
Mission Leader	
Mission members	1. 2. 3. 4. 5. 6.
<p>Note - it is essential that at least two government and two partner representatives will be available and committed to continuing with the diagnostic, preparedness programme, and knowledge management phases to ensure continuity in the GPP project.</p>	

Context

(Hazard Overview – Country profile)

Request for GPP engagement

(Information on the request; date, from who, date of approval, any significant features of application)

Mission objectives

The mission will pursue three specific objectives:

- 1. Define the scope of the GPP engagement**

Based on interviews with key government structures, selected national and international stakeholders, **clarify stakeholders’ expectations and the expected outputs** of the GPP support, notably:



- * *Overall Focus:* EXAMPLE: preparedness; early warning; community preparedness; drought preparedness and response; inventory of risk information (hazard; vulnerability; exposure);
- * *Sector focus:* EXAMPLE: food security, water management, health, education, others as appropriate Highlight highly exposed and/or vulnerable sectors per hazard (health, water, agriculture, etc.) Describe potential change per sector. Include level of government (national, local, etc.)
- * *Geographic coverage:* EXAMPLE: selection of level of assessment (central / provincial / municipalities).
- * *Transformational Change:* Briefly describe transformational change in preparedness status the national government hopes to generate.
- * *Minimum Benchmarks:* Describe what the National Government would consider as the 'minimum benchmarks' for response and recovery preparedness.

2. Define modality of GPP engagement and required expertise

A key principle of GPP engagement in any given country is ownership and leadership of the process by the recipient Government. GPP operates using the capacity available in its member agencies at HQ, regional and country levels. The government, in concert with the GPP will define the partners with the greatest Comparative Advantage and technical ability to deliver the capacity building services. The Scoping Mission will define the extent of the 'package' of capacity building planned, and the expertise required to deliver it.

The scoping mission will identify existing expertise in Government, in-country presence of GPP members and other key national stakeholders, and will recommend additional expertise required from other partners or levels (global and regional). As such, the scoping mission will identify which steps of the process will require external support from regional and/or global agencies and which steps will be exclusively undertaken by in-country partners.

3. Propose timeline for GPP engagement.

The scoping mission will determine the sequencing of the GPP engagement, together with government and other stakeholders engaged.

Mission dates and deliverables

The proposed mission dates are from [xx to xx] (excluding travel days).

The output of the mission will be a mission report outlining next engagement steps, deliverables, outputs and timelines, stakeholders' responsibilities and anticipated costs of capacity support. The report will form the basis of the **Diagnostic Review Mission TORs**.

Profile and expertise of team members

1. Xxx
2. Xxx
3. Xxx
4. ...



Proposed mission schedule

Date	Time	Meeting	Focal point/ Contact Meeting location

A key aspect of the Scoping Mission will be to generate an indicative budget.

GUIDANCE ON COSTS TO GENERATE CHANGE	
Criteria	Brief explanatory narrative (around 100 words)
Indicate likely total budget of the financial resources required for the assessment and diagnostic phase	
Indicate likely total human resources required for the assessment and diagnostic phase	
Indicate total financial resources National Government commits for the assessment and diagnostic phase	
Indicate total human resources National Government commits for the assessment and diagnostic phase	
Calculate financial and human resources required from the GPP for the assessment and diagnostic phase	
This narrative on costs must be accompanied by a detailed budget.	



Diagnostic Review - Terms of Reference

Global Preparedness Partnership – Diagnostic Review - Terms of Reference

Diagnostic Review title	
Review country	
Review location	Field locations: 1. 2. 3.
Diagnostic Review dates	
Government focal point	
Diagnostic Review Team Leader	
Diagnostic Review Team members	1. 2. 3. 4. 5. 6.
<p>Note - it is essential that at least two government and two partner representatives will be available and committed to continuing with the preparedness programme, and knowledge management phases to ensure continuity in the GPP project.</p>	

Introduction: Request for GPP engagement

- * Information on the Application for support
- * Summary of the Scoping Mission report

Context analysis

National Risk profile

- xxx
-
-

Preparedness institutional and policy environment

- xxx
-



Preparedness related programming and financing

- Government
- National partners
- United Nations and other international partners

Scoping Mission recommendations

The Scoping Mission findings and recommendations were based on interviews with the following institutions:

- Xxx
- xxx
-

The Scoping Mission recommends to the Steering Group – *(Taken directly from Scoping Mission Report)*

1. The scope of the GPP Diagnostic Review

- * Overall Focus:
- * Sector focus:
- * Geographic coverage:
- * Transformational Change:
- * Minimum Benchmarks:

2. The modality of the GPP Diagnostic Review and required expertise

3. Propose timeline for GPP engagement.

Diagnostic Review objectives

The proposed Diagnostic Review will have as objectives the following:

1. Xxxx
2. Xxxx
3. xxxx

Diagnostic Review dates and deliverables

The proposed Diagnostic Review dates are from; xxxxx to xxxxx.

I.The first output of the Diagnostic Review will be a summary presentation of the findings and recommendations in the form of a Power Point Presentation and Summary Note, which will be presented at the end of the Diagnostic Review period to the Partners and / or the MPTF Steering Committee.

II.The second output of the diagnostic review process will be a detailed Preparedness Programme Plan. This plan will include a definition of the minimum standards for preparedness for that context as



described in the Operational Manual.

III. The Final Output will be a detailed budget of funding required for the Preparedness Programme Plan

Profile and expertise of Diagnostic Review team members

- Xxx
- Xxx
-
-

Proposed timeline and actions for developing Preparedness Programme Plan and associated budget

Deadline	Responsible party	Activity



Activities	a. Indicator(s) b. Baseline c. Target	Lead institution(s)	Partners	Y	Y	Y	Y	Y	Total budget	Allocated resources		Additional required resources	
										State budget	Other donors	State budget	Other donors
Total budget for Priority 3.													
Theme:													
Expected result/ Outcome :													
Total budget for Priority 4.													
TOTAL Plan of Action													



OCHA



GFDRR
Global Facility for Disaster Reduction and Recovery



Operations Manual Contribution Plan

Note - based on the January 2017 Operational Workshop Commitments, for final development of Operational Manual

1. INTRODUCTION
 - 1.1. Purpose of GPP/Vision/Approach
 - 1.2. Visual Model/Framework
 - 1.3. Background
 - 1.4. Principles
 - 1.5. **Governance Structure** (Contributors: WB/GFDRR)
 - 1.6. Links and Boundaries (Lead author: GPP)
 - 1.7. Minimum standards for readiness (Contributors: IFRC)
2. GOVERNMENT APPLICATION
 - 2.1. **Application Process** (Lead author: CADRI, contributors: WB/GFDRR, UNDP/CDT, IFRC, FAO, WFP)
 - 2.2. **Review of applications** (Lead author: CADRI, contributors: WB/GFDRR, UNDP/CDT, IFRC, FAO, WFP)
 - 2.3. **Scoping mission** (Lead author: CADRI, contributors: WB/GFDRR, IFRC, UNOPS)
3. DIAGNOSTIC REVIEW & RECOMMENDATIONS
 - 3.1. **Diagnostic Review Process** (Lead author: CADRI, contributors: OCHA, IFRC, FAO, UNDP/CDT, GNDR)
 - 3.2. **Recommendation Process** (Lead author: CADRI, contributors: WB/GFDRR)
4. TARGETED PREPAREDNESS PROGRAMME
 - 4.1. **Expertise mapping - Global and Local** (Contributors: WFP, UNDP, WB, UNOPS OCHA-ERP)
 - 4.2. **Preparedness for recovery** (Lead author: UNDP, contributors: UNOPS, UNDP/BPPS-CDT, WB/GFDRR, GNDR)
 - 4.3. **Process initiatives Mapping - Global and Local** (Contributors: UNOPS, UNDP/CDT, FAO)
 - 4.4. **Example of Scope** (Contributors: UNOPS, UNDP/CDT, FAO, ALERT, IFRC)
5. KNOWLEDGE SHARING/QUALITY ASSURANCE
 - 5.1. Mutual accountability (Contributor: GNDR)
 - 5.2. **Monitoring and indicators** (Lead author: UNDP/CDT, contributors: UNDP/CDT)
 - 5.3. **Evaluation Framework** (Lead author: FAO, contributors: FAO)
 - 5.4. **Knowledge Management Process** (Lead authors: UNISDR, GNDR, UNDP/CDT, contributors: UNDP/CDT, GNDR, ALERT)
6. ANNEXES
 - 6.1. **Template for Risk Analysis** (Lead author: UNDP, contributors: WFP, FAO, UNOPS, OCHA, UNDP/CDT)
 - 6.2. **Application Template** (Lead author: CADRI, contributors: WFP, UNDP/CDT)
 - 6.3. **TOR for scoping mission** (Lead author: CADRI, contributors: UNOPS)
 - 6.4. **Action Plan template** (Lead author: CADRI, contributors: WFP, UNOPS)
 - 6.5. **ROI analysis tool** (contributors: FAO, UNOPS, World Vision)