



**UNITED NATIONS DEVELOPMENT PROGRAMME
REGIONAL BUREAU FOR AFRICA
PROJECT DOCUMENT**

Title: Enhanced Regional Capacities in Africa for Preventing and Recovering from Crises Caused by Natural Disasters and Conflicts

UNDP Strategic Plan Outcome:

Enhancing conflict prevention and disaster risk management capabilities

Regional Programme Outcomes:

1. Effective regional mechanisms for disaster preparedness and response
2. More effective regional institutions for crisis prevention
3. Greater responsiveness and sustainable recovery from crisis

Expected Outputs:

- (1) Increased disaster risk management capacities and resources in selected Regional Economic Communities.
- (2) Enhanced regional early warning and disaster preparedness and response through strengthening of national level capacities in at-risk nations to natural disasters.
- (3) Improved coordination between Regional Economic Communities, civil society and the private sector, with national governments, to plan for, and to address, disaster risks.
- (4) REC's capacity for and collaboration in crisis prevention and recovery developed
- (5) Increased capacity of RECs in early warning for crisis prevention, recovery and peace building
- (6) Enhanced engagement and involvement of civil society and private sector entities in CPR processes of RECs
- (7) Human resource, technical and financial support for CPR in RECs is sustained after the phased withdrawal of UNDP support

Implementing Partner: UNDP, Regional Service Centre, Dakar

Responsible Parties: UNDP/BCPR, Regional Economic Communities (RECs), African Union Commission (AUC), and civil society organizations (CSOs)

Principal Beneficiaries: AUC, Southern African Development Community (SADC), Economic Community of West African States (ECOWAS), Inter-Governmental Authority on Development (IGAD), Economic Community of Central Africa States (ECCAS), East African Community (EAC) and CSOs

Project Summary

Disaster risk and violent conflicts constitute critical and related crises facing development in Africa. Though AU has formulated broad regional strategies and set in place early warning mechanisms to address the problems, the RECs do not always possess the requisite capacity to integrate these into sub-regional systems for sustained implementation.

In line with the remit of the UNDP Strategic Plan 2008- 2011, building on the evaluation of the Second Regional Cooperation Framework (RCF II), framed by UNDP Regional Programme Document for Africa (RCF III), (2008 – 2011) and complementing the 2006 UNDP-RBA Strategy for Capacity Development for Pro-Poor Growth and Accountability, this integrated project will address capacity gaps in disaster risk reduction and conflict prevention, early recovery and peace building. The project is also a complement to other UNDP/RBA regional projects targeting other aspects of crisis prevention and recovery (CPR) within AU and its RECs.

The project is an integrated CPR intervention that combines two hitherto stand-alone regional projects covering disaster risk reduction (DRR) and conflict prevention and management (CPM), that had been approved by Project Appraisal Committees. The merger was mandated by the Regional Programme Advisory Board during its meeting of 22-23 March 2010, in an effort to reduce fragmentation. Higher impact is expected based on the fact that the two projects had common general objectives, similar outputs, interventions and activities as well as the same set of beneficiaries. Further, both used the direct execution/implementation (DEX) modality.

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In line with the original project documents, this combined project will contribute to the achievement of three relevant outcomes of RCF III. The DRR component is directed at contributing to the achievement of RCF III outcome "*Effective regional mechanisms for disaster preparedness and response*" by building-upon and expanding the UNDP/RBA assistance to African countries (on a pilot basis) and RECs (ECOWAS, IGAD, SADC) to create sustainable mechanisms for DRR as per the Hyogo Framework for Action (2005-2015). The project will provide a platform to deliver capacity development initiatives, including provision of technical assistance and policy advice, to strengthen the capacities of the three RECs and for them to integrate DRR into their development policies, strategies and mechanisms, thereby lowering the threat level of natural hazards to vulnerable populations.

It will also help mobilize and coordinate DRR stakeholders in the public, private and civil society sectors through the exchange of risk management knowledge and the creation of sustainable networks for the dissemination of effective best practices and lessons learned at local, national and regional levels in Africa. These networks and partnerships will be utilized by national and REC partners to identify priority DRR areas for support through provision of project technical services. Priority focus areas are expected to include management of risks to developments associated with climate variability and change and preparedness for disaster response and recovery.

UNDP/RBA will integrate a gender perspective into this initiative by ensuring gender equality in disaster preparedness planning, advocacy, skills-based training in risk reduction, and participation in the development of critical lessons learned and policy development processes. Reduction of women's vulnerability to natural disasters, through pro-active participation in the risk reduction process, is expected.

The project will provide a multi-dimensional platform to deliver capacity development initiatives in DRR through the following outputs: (i) increased disaster risk management capacities and resources in selected RECs, (ii) enhanced regional early warning and disaster preparedness and response through strengthening of national level capacities in at-risk nations to natural disasters, and (iii) improved coordination between RECs, CSOs and the private sector, with national governments, to plan for, and to address, disaster risks.

With regard to the CPM component of the project, it is intended to contribute to two Regional Programme Outcomes: "*More effective regional institutions for crisis prevention*" and "*Greater responsiveness and sustainable recovery from crisis*". The CPM component includes outputs covering crisis prevention, recovery and peace building support to the Peace and Security operations of the AU by helping to build the capacity of five RECs (ECOWAS, SADC, EAC, ECCAS and IGAD) to carry out the requirements of the Minimum Integration Programme (MIP) of the AU. These requirements embrace financial, technical and human capacity. Where there are gaps in the capacities of RECs to fulfill their mandate, this project will support them through the provision of short term technical support and will facilitate the recruitment of suitably qualified personnel. Special priority will be given to the recruitment of women. Further, this project will review the human and technical requirements for the establishment of a common IT platform that will ensure improved communication amongst RECs themselves and with AU. The project will also support RECs in CPR information management, collation and analysis and provide a system for sharing information amongst themselves, and with AU.

These interventions will directly enhance the development of sub-regional early warning as an input into the strengthening of Continental Early Warning. One of the Goals of AU, as elaborated in its own Strategic Plan, is to ensure greater and more effective collaboration between itself, RECs and CSOs in matters of CPR. Consequently, this project will support RECs in providing a common platform for CSOs to deliberate and be part of the broader Economic, Social and Cultural Council of AU. The project will support CSOs in the promotion of the agenda of the RECs in Crisis Prevention and Early Recovery.

The CPM component of the project is expected to be achieved through the following expected outputs: (a) REC's capacity for and collaboration in crisis prevention and recovery developed, (b) increased capacity of RECs in early warning for crisis prevention, recovery and peace building, and (iii) enhanced engagement and involvement of civil society and private sector entities in the CPR processes of RECs

A seventh output "*Human resource, technical and financial support for CPR in RECs is sustained after the phased withdrawal of UNDP support*" is common to both components of the project. It will support development and execution of an exit strategy, to allow for the systematic withdrawal of UNDP and will be developed in collaboration with all stakeholders and other development partners to better ensure the sustainability of project interventions after the life of the project.

Programme period: 2008 to 2013

Project Title: Enhanced Regional Capacities in Africa for Preventing and Recovering from Crises Caused by Natural Disasters and Conflicts

Project ID:
DRR: 00073033
Conflict Prevention:

Atlas Award ID:
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Conflict Prevention:

PAC Meeting Date:
DRR Component: 18 December 2008
CPM Component: 9th October 2009

Start Date: October, 2010
End Date: October, 2013

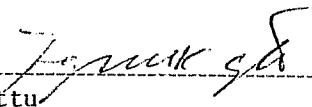
Project Budget

Total Resources Required: \$7,259,400

Allocated Resources: \$6,000,000

- UNDP TRAC: \$6,000,000

Unfunded: \$1,259,400

On Behalf of:	Name/Title	Signature	Date
UNDP:	----- Tegegnework Gettu Assistant Administrator and Director for Africa Regional Bureau for Africa		16/9/10

REWS	Regional Early Warning System
RSCs	Regional Service Centres
SADC	Southern African Development Community
SADCC	Southern African Development Coordination Conference
SAU	Small Arms Unit
SC	Steering Committee
SSA	Sub-Saharan Africa
UCGLA	United Cities and Local Government in Africa
UNDAF	UN Development Assistance Framework
UNDPA	United Nations Department for Political Affairs
UNDPKO	United Nations Department for Peace Keeping Operations
UNISDR	International Strategy for Disaster Reduction
UNOCHA	UN Office for Coordination of Humanitarian Affairs
WAANSA	West African Action Network on Small Arms
WACSO	West Africa Civil Society Organization
WB	World Bank

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1. Situation Analysis

1.1 The status of crisis in Africa

1.1.1 Disaster-conflict linkages

Disaster risk and violent conflicts constitute critical and related crises facing development in Africa. They increase vulnerability, reduce development capacity and contribute to a vicious cycle of crisis, poverty and risk, which often enhances instability at the regional and national levels. Conflicts are akin to slow onset disasters, often resulting in humanitarian crises, and exacerbate the effects of natural hazards because they weaken the vulnerability status of populations already stressed, thereby worsening the level of disaster risks. Also, the conflict context has a negative impact on disasters because they detract from disaster risk reduction (DRR) activities. Conversely, the type, onset and intensity of conflicts are also often influenced by environmental factors and circumstances, such as severe land degradation and disputes over common property rights and access. Often, disaster and conflict risk, events and recovery overlap and are driven by common underlying factors resulting in the disaster-conflict interface. These disaster-conflict relationships require that each is addressed separately as well as their interfaces in an integrated manner as proposed in this project.

1.1.2 Disaster and conflict risks in Africa

1.1.2.1 Disaster risks

In many parts of the world recurrent losses from disasters involving climate-related hazards such as drought, floods and tropical cyclones significantly affect economic development and undermine achievement of the Millennium Development Goals (MDGs). Hazards generated by climate variability and extremes affect more people globally than all other environmental hazards combined by an order of magnitude. Not only is the trend of occurrence of natural disasters increasing in Africa¹, it is the only continent where the regional share of reported disasters in the world total has increased over the past decade². The three most common hazards in Africa are epidemics, flood and drought. Other hazards are: insect infestation, famine, earthquake, landslide, wildfire, erosion and coastal erosion, volcano, and, extreme temperature³. Epidemics account for the highest share of disaster occurrences in Africa, but drought (and associated famine) affects the largest number of people and is the most dominant cause of human mortality from disasters. Damage from earthquakes and windstorms are the most costly.

Disasters are rising in Africa, largely due to increasing exposure to hazards and rising levels of major factors of vulnerability, including poverty, conflagrated by the conflicts that have ravaged countries, particularly in the Great Lakes and the west African sub-regions. Disasters impose acute development pressures (including rising food insecurity and malnutrition), weaken capacities to formulate policies, build institutions and maintain social and physical infrastructures, whilst also further eroding traditional coping strategies and social protection arrangements, and putting further stress on already fragile environments.

¹ Droughts, heavy rains and floods have, in recent years, increasingly affected countries such as Ethiopia, Mozambique, Lesotho, Malawi Zimbabwe, Burkina Faso, Namibia Uganda and Swaziland

² *Africa Regional Strategy for Disaster Risk Reduction*. July 2004. AU, NEPAD, ADB, ADF, ISDR. (P.5).

³ The OFDA/CRED International Disaster Database (EM-DAT 2003) show that from 1975 to 2002, epidemic accounted for 32% of the disaster occurrences in Africa, followed by flood (27%), drought (21%) and windstorm (9 %). Vordzorgbe, S., (2003), Regional Report on Early Warning of Natural Disasters in Africa, Report Prepared for the Second International Conference on Early Warning 16 – 18 October, Bonn, Germany, UN/ISDR Africa, Nairobi, Kenya. July 2003.

The economic impact of the 2000 floods, which affected Mozambique, Zambia, and Zimbabwe, resulted in 9-12 percent drop in their GDP⁴. Socio-economic vulnerabilities arising from disasters have also been exacerbated by the HIV/AIDS pandemic and both in turn have compounded gender inequalities within Africa, evidenced by unequal and uneven access to education, healthcare, economic opportunities, justice, security and participation in decision-making processes, among others. The converse is also true, that is, that women have the capacity to impact positively on DRR and recovery strategies. That said, and although some progress has been observed in the inclusion of women in decision-making processes in countries like Liberia, South Africa, Rwanda, and Ghana, meaningful and sustained progress is yet to be made in developing long-term gender-responsive programming and policies in the areas of crisis and disaster to reduce their impact on African women.

Climate variability and change is already affecting the behaviour of these hazards. Changing climatic averages – in combination with other trends such as urbanization, economic growth, ecosystem degradation and demographic change – will generate substantial new risks to human development in coming decades. African countries remain especially vulnerable to these hazards to the extent that recurrent associated losses are on a sufficient scale to undermine development and the achievement of the MDGs. For example, inter-annual rainfall variability in the semi-arid zones in Africa brings drought in one year and floods the next, generating adverse agricultural and livelihood outcomes that lead to poverty and under-nutrition in areas that are also prone to climate-related outbreaks of infectious disease. Such risks can be reduced through known interventions, such as early warning systems and expansion of livelihood options but with the onset of climate change, it is also necessary to take into account long term climatic trends which will change the nature and distribution of risks.

1.1.2.2 Conflict risks

The AU recognizes "that no single internal factor has contributed more to socioeconomic decline on the Continent and the suffering of the civilian population than the scourge of conflicts within and between our States."⁵ Several types of violent conflict can be identified in the region, ranging from political crises, border disputes, structural violence, socio-economic crises, and, conflicts related to ethnicity (and other social factors such as culture and group identity), population movement (including displacement and forced migration), natural resource use and natural disasters. While these are not the focus of this project document, the recent global crises around food and the international economic and financial system, have compounded the impact of violent conflicts.

As at 2000, thirty major conflicts, including 10 of the 23 civil wars taking place worldwide, were occurring in Sub-Saharan Africa (SSA)⁶, with over 15 countries affected by conflict in some way⁷ as Africa accounted for 88 percent of conflict death tolls globally⁸.

Violent conflict in Africa has compromised governance systems, threatened people's lives and health, limited and increased uncertainty of their livelihoods and economic activity, and severely undermined market access and competitiveness. Conflict has also caused destruction of both the natural and built environment, exposed women to sexual abuse and violence, contributed to increases in the number of refugees and displaced persons, eroded development gains and limited structural stability. The

⁴ SADC Multi-sectoral Disaster Management Strategy, SADC, Gaborone, 2001.

⁵ African Union, 2002, Protocol Relating to the Establishment of the Peace and Security Council of the African Union, 1st Ordinary Session of the African Union, Durban, 9 July 2002

⁶ "Challenges of Development in Sub-Saharan Africa –Conflict Resolution, Democratic Governance and Education" Centre for Developing Area Studies, University of McGill, March 2009

⁷ Position Paper on the UNDP Second Regional Cooperation Framework(2002 - 2006) (Ref 2), Economic Commission for Africa, Thirty-Fourth Session of the Commission, May 8-10, 2001, Algiers, E/ECA/CM.25/CRP.1

⁸ Virgil Hawkins, "New World Maps, Stealth Conflicts", December 2008 www.globalissues.org/article/84/conflicts-in-africa-introduction

Department for International Development (DfID) reports that in the 20 years from 1980 to 2000, Africa lost over 50 percent of its infrastructure as a result of conflict. Partly as a consequence, the economic cost of conflict since 1990 has been estimated at US\$300 billion⁹. In addition, as at 2007, conflicts had left over 9 million refugees and displaced persons in Africa.

These conflict parameters, significant as they are, reflect substantial decreases in armed conflict, autocratic regimes, political discrimination, and political instability over the past several years. For example, autocratic regimes fell from a peak of 36 countries (of a total of 41) in 1989 to only 5 (of 43) in 2004. The number of democratic regimes is increasing steadily due to progress in reforms and democratization, but Africa remains vulnerable to violent conflicts, at both national and regional levels, from challenges of structural instability and security threats.

It is necessary to distinguish between the root causes of conflicts, the secondary causes that enable and sustain them and the tertiary causes that act as barriers to resolution. Intra-state conflict and regional instability in Africa are caused and sustained by several inter-linked factors, mainly issues of state formation instability¹⁰ and structural instability. Other causative and or enabling factors include: weak civil society, spill-over of conflict from neighbouring states, proliferation of arms, faith-based issues relating to religious cleavages and fundamentalism, and, the emerging trend of trans-national organized crime. Factors that impede settlement of conflicts include: inter-relationships and regional nature of conflicts and failure to consolidate peace and inability to manifest expected post-settlement peace dividends, including delivering the economic good to ex-combatants and the increasing number of affected non-combatants.

Overall, however, the major challenges to political and economic stability and human security in Africa are governance-related. This is because, within the political systems in Africa, weak governance, including exclusion from formal governance (this is especially the case for minority groups, among them women), has a significantly negative impact on physical security, on quality of life, economic opportunity and access to resources and on protection of basic rights and cultural identity. In contrast, many stable governments in Africa have a certain level of economic stability and sustainable development which largely depend on the 'quality' of governance and the level of effectiveness of state institutions, efficiency and equity in resource generation, allocation and management.

1.2 Regional and sub-regional responses

1.2.1 Disaster risk reduction (DRR)

Preceding the Hyogo Framework for Action (HFA)¹¹, in 2003 the African Union (AU) and the New Partnership for Africa's Development (NEPAD)¹² led a partnership which resulted in a baseline study on DRR in Africa, which made the following findings:

- **Institution:** Disaster risk reduction has yet to be effectively institutionalized in Africa.
- **Knowledge Management:** Inadequate attention to information management and communication, training and research.

⁹ BCPR/RBA Partnership Framework, UNDP, January 2008

¹⁰ Such as legacies of colonialism and the client-state system of the Cold War, political factionalism, abuse of ethnicity, polarization, insufficient leadership succession, and the political influence of armed sub-state actors

¹¹ In 2005, the global community agreed on strategic directions and a set of five priorities (HFA 2005-2015) to further expand and strengthen actions at all levels to reduce disaster risk reduction and to build the resilience of nations and communities to disasters

¹² With the support of the UN International Strategy for Disaster Reduction and in partnership with UNDP, UNEP and the African Development Bank

- **Governance:** Inadequate involvement of stakeholders; Citizens are often mere recipients of disaster management activity outputs.
- **Risk Identification and Assessments:** Limited number of risk identification and assessments conducted in Africa.
- **Emergency Response:** Disaster management yet to be integrated into the national development policies of many high-risk nations.

The findings represented the start to concerted regional actions to reduce disasters in Africa, beginning with the development of the African Regional Strategy for Disaster Risk Reduction¹³. The Strategy aims to contribute to the attainment of sustainable development and poverty eradication by facilitating the integration of DRR into development planning, including:

- Developing policy, legislation and institutional frameworks for DRR,
- Enhancing country capacity for disaster risk assessment,
- Enhancing access to space-based technology for information to support mapping and forecasting natural and related hazards and vulnerabilities, and
- Adding DRR knowledge to school curricula.

The Programme of Action for the Implementation of the Africa Strategy 2006-2010¹⁴ provides the operational framework for disaster risk management (DRM) interventions. Within the AU, disaster risk reduction is part of the programme of the Department of Agriculture and Rural Economy.

To varying degrees, the Regional Economic Communities (RECs) [see Annex 2 for details of membership and focus] have policies on DRR and, as the sub-regional building blocks of AU, are responsible for coordinating inter-state initiatives and are at various stages of developing their institutional frameworks for DRR implementation of the Africa Regional Strategy. A recent analysis of the following three RECs (Economic Community Organization of West African States - ECOWAS, Southern Africa Development Community - SADC, and the Inter-governmental Authority on Development -IGAD) identified their current capacities and shortcomings to comply with the AU pledge to adopt stronger capacities to lower risks to natural and human-induced catastrophes. For instance, ECOWAS adopted a policy for disaster risk reduction in January 2007¹⁵, has established a Disaster Management Unit and an implementation programme for its DRR strategy and an Inter-Departmental Coordinating Committee (IDCC) to integrate DRR into its work programme. It, however, lacks partnerships to develop its capacities in prevention but does collaborate with UNHCR in emergency response. SADC developed a DRR strategy but is currently revising it to bring it more in line with the Hyogo Framework for Action. IGAD has also developed a DRR strategy and programme and is also revising these institutional frameworks.

1.2.2 Conflict prevention and management (CPM)

The AU has been engaged with the issue of conflict management since its inception as the Organization of African States (OAU) in 1963, particularly through efforts in dispute mediation, preventive diplomacy, election monitoring, peace negotiations and peace keeping. The transformation of the OAU into the AU has provided further impetus to regional efforts in conflict prevention, management and resolution through an emerging policy and institutional architecture for conflict prevention in Africa that promotes its broader human security vision.

¹³ The Strategy was endorsed by the 10th Meeting of the Africa Ministerial Conference on Environment (AMCEN) and was favourably noted by the 2004 African Union Summit, which called for the formulation of a programme of action for its implementation

¹⁴ Subsequently extended to 2015

¹⁵ "ECOWAS Policy for Disaster Risk Reduction". Thirty-first Ordinary Summit of Heads of State and Government, Ouagadougou, 19 January 2007

To strengthen the AU's capacity in the prevention, management and resolution of conflicts, Member States adopted, in July 2002 the Protocol Relating to the Establishment of the Peace and Security Council (PSC) as a collective security and early-warning arrangement to facilitate timely and efficient response to conflict and crisis situations in Africa¹⁶. AU has also made progress towards conflict prevention through the adoption of instruments such as the Declaration on Unconstitutional Changes of Government, the African Charter on Elections and Democracy, the Protocol of the African Charter on Human Rights and the Rights of Women, and the Solemn Declaration on the Gender Equality. Other autonomous organs, such as the Pan-African Parliament and the Economic, Social and Cultural Council (ECOSOC), together with the AU's 2004 Priority Plan of Action for Building a Peaceful Africa in a Peaceful World (the Strategic Plan of the Commission of the African Union) also reaffirmed the prominence of peace, governance and human security in ensuring stable socio-economic development. Two key planks of this Plan involve strengthening African ownership and leadership for facilitating peace and security, and, developing the regional capacity to effectively address crises through coordinated regional responses.

The RECs were originally established for purposes other than conflict prevention and recovery¹⁷. Their organizational capacities are at varied levels of development but they all have legal mandates in peace and security issues and have adopted legal, strategic and operational frameworks to guide their security-related mechanisms. The RECs provide for development of sub-regional EWSs within the context of the Continental Early Warning System (CEWS): conflict prevention and early warning capacities exist in ECOWAS and IGAD while ECCAS¹⁸ and SADC are working on their establishment. For example, the 1990 ECOWAS Protocol Relating to the Mechanism for Conflict Prevention, Management, Resolution, Peacekeeping and Security is operationalized through various institutions, organs and units while the ECOWAS Conflict Prevention Framework (ECPF) comprises a wide range of components¹⁹. In IGAD, the Conflict Early Warning and Response Mechanism of 2000 provides the strategic and operational context for sub-regional conflict prevention and management within the context of the IGAD Peace and Security Strategy²⁰. ECCAS in 1999 established a mechanism for conflict prevention, management and resolution, peace and security in the sub-region whose central organ is the Peace and Security Council for Central Africa (COPAX)²¹. The conflict prevention and management leg of the SADC structure has at its apex the SADC Organ on Politics, Defense and Security Co-operation, established in 2001, consisting of consecutive layers of ministerial committees: the plenary Ministerial Committee of Ministers, Inter-State Politics and Diplomacy Committee (ISPDC) and Inter-State Defense and Security Committee (ISDSC).

Harmonization of RECs policies and coordination between the AU and sub-regional bodies is key to making progress on the peace, security and stability agenda. To promote closer interaction and

¹⁶ The PSC created a number of prevention instruments namely: Panel of the Wise, the African Early Warning System, the African Standby Force, and the Common African Defense and Security Policy.

¹⁷ For example, ECOWAS was set up in 1975 to integrate West Africa's economic potentials for sub-regional growth, SADC was created in 1980 as a response to apartheid South Africa's economic domination of the sub-region and IGAD was formed in 1986 to co-ordinate measures to combat the effect of drought and desertification in East Africa but had its remit extended in 1996 to cover political and economic issues, including conflict resolution.

¹⁸ Economic Community of Central African States

¹⁹ They are: (1) Early Warning; (2) Preventive Diplomacy; (3) Democracy and Political Governance; (4) Human Rights and the Rule of Law; (5) Media; (6) Natural Resource Governance; (7) Cross-Border Initiatives; (8) Security Governance; (9) Practical Disarmament; (10) Women, Peace and Security; (11) Youth Empowerment; (12) ECOWAS Standby Force; (13) Humanitarian Assistance; and (14) Peace Education (The Culture of Peace).

²⁰ with the support of the Conflict Early Warning and Response Network, Rapid Response Fund and the Conflict Prevention Programme for East and Southern Africa

²¹ Which includes a Commission for Defense and Security (CDS), the Multinational Peace Keeping Force in Central Africa (FOMAC) and the Early Warning Observation and Monitoring System for Central Africa (MARAC) established in 2002

cooperation between the AU and the RECs (as Regional Mechanisms for Conflict Prevention, Management and Resolution), the institutions agreed a Memorandum on Cooperation in the Area of Peace and Security in 2008 as the basis for coordination, harmonization and partnership.

1.3 Challenges facing crisis prevention and recovery (CPR) capacities and practices in Africa

1.3.1 Disaster risk reduction

Overall, implementation of both the Africa Regional Strategy for DRR and the Programme of Action faces several challenges. In dialogue with the ECOWAS Commission for Human Development and Gender,²² the REC would need assistance to:

- Conduct hazard, risk and vulnerability assessments including capacity analyses in member states.
- Sensitize national focal points in disaster risk reduction and integration of the ECOWAS Disaster Risk Reduction policy into their national planning.
- Braden capacity development in emergency response through exchange of best practices, including on the legislative environment for the implementation of the policy.
- Through the West Africa Civil Society Organization (WACSO), assist in development of collaboration with CSO to harmonize policies and strategies in areas of mutual interest i.e. poverty, conflict management, gender.
- Support the integration of gender into the activities of the Commission.

SADC formulated a DRR strategy in 2001, which was revised and aligned to the HFA in 2008. However, at both the SADC and member state levels, disaster risk reduction efforts, as per the HFA, are lagging behind in their commitment to lowering disaster risk. At the Secretariat level, DRR capacity is required to ensure that technical personnel and decision-makers are able to merge their activities with elements that mitigate or minimize the potential effects of a natural or human-induced hazard. With recurrent natural disasters becoming more prevalent and the affects of human-induced crises already present in the sub-region, SADC requires assistance, like in the case of ECOWAS, to offer technical support and networking services to member states. Furthermore, capacity to coordinate these efforts and to facilitate commonly agreed-upon standards as well as collaboration with CSOs and the private sector and measures to strengthen their capacities, are additional areas needing support.

IGAD has noted the following concerns that need to be addressed to ensure that disaster risk reduction priorities are firmly entrenched in IGAD and member states:

- The absence of a well-staffed and equipped multidisciplinary division that can serve as a think-tank of the IGAD Secretariat for long-term strategic planning, as well as for planning and coordination.
- Weakness of IGAD focal points in member states and an absence of an IGAD program for mobilizing and sensitizing stakeholders in member states for the achievement of IGAD objectives, as well as the lack of a framework for stronger networking and sharing of experiences among stakeholders
- Heavy dependence on donor resources—which are often unpredictable—for the funding of programs and projects and lack of effective mechanisms and instruments for the mobilization of resources from member states and donors and for the financing of regional programs and projects.

²² Dialogue between Dr. Adrienne Yande Diop and UNDP RBA mission (Ms. Vinetta Robinson, Dr. Abdul Aziz Jallow, Helene Cisse). September 14-16, 2008.

Challenges to DRR in Africa at the national level help constraint its development at the regional level. Most national mechanisms for disaster management focus on response to disasters but political commitment to DRR is increasing. For instance, countries are developing national policies, programmes, legislation and platforms for promoting disaster risk reduction. However, few countries have explicitly linked DRR to poverty reduction frameworks or allocated dedicated resources for DRR. Similarly, some countries are improving their coverage of hazards identification, assessment and monitoring but few have undertaken systematic hazards and risks analysis. National statistical information systems do not collect information on disaster risk and loss data but countries have responded positively to reporting on DRR and vulnerability indicators. EWSs exist mainly for food security, drought and climatic factors, but not for floods, epidemics and other hazards, and are not people-centered. Public awareness of DRR is growing mainly because opportunities for information exchange are expanding. However, use of disaster information in development planning is limited, partly because dissemination of basic meteorological information receives limited coverage from the media. Also, few education and training systems incorporate instruction in DRR in school curricula. Progress in reducing disasters depends greatly on the application of risk knowledge to reduce underlying risk factors in development. Some countries have pursued pro-poor growth policies to reduce underlying risks, but food insecurity, environmental degradation, unplanned land use and other development challenges persist. The resultant effects of these challenges to DRR find expression in untimely, inadequate and ineffective response to disaster emergencies partly because of low levels of preparedness and recovery planning.

1.3.2 Conflict prevention and management

The most developed peace and security capacity of sub-regional intergovernmental bodies in Africa is in early warning, conflict prevention and (non-military) peacemaking. Nonetheless, RECs face the following challenges in operationalizing their early warning mechanisms: (a) adequacy of relevant ICT equipment, systems and skills, (b) appropriate and evidence-based indicators that track essential security, economic, social and other relevant factors, (c) predictable and adequate funding, (d) harmonization and co-ordination between the AU and the Regional Mechanisms in developing the CEWS and among the RECs themselves.

Some RECs, such as ECOWAS, have adopted codes of conduct and established mechanisms for the peaceful settlement of disputes but others, such as ECCAS, are less systematic and have limited institutional exposure to peace settlement. The RECs, apart from ECOWAS, need to develop a strategic vision and policy framework that prioritizes sustainable conflict prevention and peace building. Also, previous CPR initiatives have centered on violent armed conflict response and less on preventing recurrent low-intensity, but localized, crises that erode livelihood and security and create conditions for eruption of more widespread and violent crises.

Because of the strong experience with peace initiatives, previous CPR capacity development of the RECs emphasized training in peacekeeping and peacemaking. Despite this, all RECs have limited peace-building experience, have not adopted integrated approaches to ensure peace consolidation and crisis recovery and have paid little attention to ways of addressing the consequences of war, especially the management of refugees and internally displaced.

A major cause of the tenuous and fragile peace and conflict resolution in Africa is the systemic, institutional, financial and human resource capacity deficiencies challenging national and regional actorsⁱⁱ. In particular, RECs need skills development in programme identification, formulation and

negotiation, as well as in financial management, and equipment to operationalize the framework set up by their Protocols²³.

During the last two decades most African countries have made the transition to democratic governance but progress on governance has been mixed and challenges abound. Party and electoral systems remain weak and poorly institutionalized, with elections emerging as a conflict trigger, rather than a conflict resolution mechanism. A critical development challenge is to consolidate democratic governance and to broaden participation fully.

Civil society organizations (CSOs), including think-tanks, institutions, mediators and a very wide range of CPR service providers play significant roles in conflict prevention and resolution processes of governmental and inter-governmental mechanisms²⁴. The RECs have policies and strategies on collaborating and establishing partnerships with civil society, notably the IGAD Civil Society Forum on participatory democracy, and ECOWAS and SADC programmes that incorporate civil society participation in regional peace-building and post conflict recovery. These experiences show that formal institutional responses of governmental and inter-governmental entities are inadequate in dealing with the largely internal conflicts that afflict states in Africa. There is need to expand the scope of involvement of actors to include key sectors of civil society. However, CSOs face several challenges, including: (a) poor state–civil society relations, (b) narrow focus on NGOs, (c) weak and underfunded coordination mechanisms, (d) limited conflict prevention skills, (e) lack of policy influence, and (f) lack of documentation²⁵.

1.4 Past UNDP cooperation and lessons learned

1.4.1 Past cooperation

1.4.1.1 Disaster and climate risk management

UNDP works directly with high-risk countries on an ongoing basis to formulate and implement disaster reduction and recovery policy and practice. UNDP has been responsible for operational activities for natural disaster mitigation, prevention and preparedness since 1998. Following the recognition by UNDP's Executive Board in 2001 that crisis prevention and disaster mitigation should be integral parts of sustainable human development strategies, the Bureau for Crisis Prevention and Recovery (BCPR) was created to enhance UNDP's efforts for sustainable development by working with partners to reduce the incidence and impact of disasters and violent conflicts, and to establish the solid foundations for peace and recovery from crisis, thereby advancing the MDGs. UNDP also leads the global cluster working group on early recovery.

During RCF II – the second Regional Cooperation Framework for Africa (2002- to 2007) – UNDP Regional Bureau for Africa (RBA) did not formulate a specific project addressing DRR. Nonetheless, UNDP, principally through BCPR, brought more focus and substantive support to the organization's overall

²³ Capacity Survey: Regional and other Intergovernmental Organizations in the Maintenance of Peace and Security, United Nations University, UNU/CRIS, 2008. www.cris.unu.edu

²⁴ For example, over 3000 NGOs work on CPR issues in West Africa alone. CSOs work on various aspects of conflict prevention including human rights, civic education, conflict resolution, promoting dialogue, security sector reform, conflict-sensitive development, election monitoring, policy monitoring and advocacy, gender equality, post-conflict reconstruction efforts (working with refugees, internally displaced persons, or on the disarmament and reintegration of ex-combatants).

²⁵ Ekiyor T., 2008, 'The role of civil society in conflict prevention: West African experiences', United Nations Institute for Disarmament Research (UNIDIR), Disarmament Forum: The complex dynamics of small arms in West Africa, Number 4, pp. 27-34 pp. 27 - 34

strategy for a wide range of disaster risk reduction initiatives under a compact - *Partnership Framework Between the Regional Bureau for Africa and the Bureau for Crisis Prevention and Recovery* - aimed at strengthened collaboration in the transfer of disaster risk reduction knowledge and best practices to RBA countries. These included improving governance for disaster risk reduction, risk identification and early warning, information and knowledge management for DRR, advocating for effective risk management applications, and improving preparedness for emergency response. As at the end of 2007, BCPR had investments in DRR in 23 countries in Africa. Within the wider UN, support for DRR is coordinated and facilitated through the International Strategy for Disaster Reduction (ISDR) system.

To address climate risks to development more holistically, UNDP has taken steps to integrate its work in the sub-practices of DRR and climate change adaptation (CCA). Nowhere is this integrated approach more relevant than in the Africa region. In Africa currently UNDP/BDP/EEG (Bureau for Development Policy/Environment and Energy Group) manages a US\$92 million Africa Adaptation program which operates in 21 countries. BCPR leads a Climate Risk Management Technical Assistance Support Project that engages world class institutional technical partners to assist countries to apply a methodology for assessing country capacity to manage risks associated with both climate variability and change.

1.4.1.2 Conflict prevention and management

UNDP and a growing set of UN agencies (and multilateral institutions and bilateral donors) provide support for the development of the CPR capacities of inter-governmental bodies in Africa. The 2006 Declaration on Enhancing UN-AU Cooperation: Framework for the Ten-Year Capacity-Building Programme for the African Union is the United Nations overall strategic framework for cooperation with the AU covering all aspects of present and future United Nations assistance. The main objective of this partnership is to enhance the capacity of the AUC and African sub-regional organizations to address the challenges to human security in Africa. By mutual consent, the initial focus of the Programme has been on peace and security²⁶.

Cooperation is ongoing at various levels, on various themes and based on various approaches under the framework of the Programme. For example, the Department of Peacekeeping Operations (DPKO) is supporting the African Union in the establishment of an African peace and security architecture through the establishment of the African Standby Force. The Department of Political Affairs (DPA) is offering support to the AU in several areas on mediation-related issues, including for developing the secretariat and operational plan for the Panel of the Wise. The Department supported SADC in conflict prevention activities, including setting up a mediation unit and a panel of Elders structure in its secretariat, and assisted ECCAS to create a mediation unit and a programme to establish and train a small regional network of technical and mediation experts²⁷. The Peace-building Commission is emphasizing the sub-regional dimension of peace-building through development of strategic frameworks for peace building in Africa.

Cooperation between the UN and Africa regional bodies has resulted in progress in several areas of CPR, such as (a) clarifying the nature and structure of partnership between the organizations, including roles in the maintenance of peace and security, particularly conflict prevention, management and resolution; (b) developing consultation and coordination mechanisms; and (c) strengthening and improving the delivery for capacity-building for peacekeeping and peace support operations.

²⁶ Report of the Secretary-General on the relationship between the United Nations and regional organizations, in particular the African Union, in the maintenance of international peace and security; S/2008/186**, 7 April 2008., New York

²⁷ Implementation of the recommendations contained in the report of the Secretary-General on the causes of conflict and the promotion of durable peace and sustainable development in Africa, *Progress Report of the Secretary-General, A/64/210, 11 August 2009, United Nations*

To complement the efforts of the broader UN, and beginning prior to the Capacity-Building Programme, UNDP-RBA extended the life of a number of projects aimed at building regional and sub-regional capacities for CPM. Chief among these were the first and second phases of the Support to the Peace and Security Agenda of the AU project (2002 to 2009), which provided assistance for the initial capacity development efforts of the AU. Though challenges remain to be addressed, based on the complexity of crises in Africa, this project enabled the establishment of key elements of the Africa Peace and Security Architecture (APSA), provided critical human resources that are now integrated within the Peace and Security Directorate (PSD), enhanced the ICT resource base and communication capability of PSD (including the central data collection and analysis elements of the CEWS) and enabled more predictable and flexible financial resources for peace and security matters. An independent evaluation of RCF II found overall, that the contribution of the project was positive.

At the sub-regional level, two UNDP/RBA projects, formulated during RCF II, are worthy of note. The first, which ran from 2002 to 2006, was in response to UN Security Council Resolutions 1231 (February 2000) and 304 (June 2000), which called for the convening of a Conference on Security, Democracy and Development in the Great Lakes Region²⁸, with the aim of launching programmes of action that would end the cycle of violence and crisis that plagued the sub-region for a generation and ensure durable peace, security, democracy and development. Similar to the above project, an independent evaluation concluded that this project was *"highly successful and has made an important contribution to knowledge sharing about the dynamics of the region and the creation of framework for durable and sustainable peace and security"*²⁹. The other related initiative, that is still ongoing, is the support UNDP/RBA has been providing to ECOWAS through the *"Programme for the Coordination and Assistance for Security and Development"* (PICASED) and the follow-up *"ECOWAS Small Arms Control Programme"* (ECOSAP) that led to the adoption of the Bamako Protocol, Africa's first such protocol on the control of the illicit proliferation, circulation and trafficking of small arms and light weapons.

1.4.2 Lessons learned

The independent evaluation of RCF II found that UNDP's support had been instrumental in strengthening the AU-led efforts to build capacity to address problems of a trans-boundary nature and to deepen regional integration and cooperation. The evaluation further identified a number of lessons and proposed several recommendations to guide development of UNDP projects under future regional cooperation frameworks, including:

- 1) Maximizing African leadership and ownership of the regional programme, by continuous alignment with Africa's development needs and priorities, as conceived by its leading continental and sub-regional bodies.
- 2) Streamlining the focus of the RCF to a maximum of three clearly defined themes.
- 3) Improving coordination between regional and country programmes in Africa in order to improve efficiency, effectiveness and impact.
- 4) Enhancing Pan-African synergies through improved information sharing and enhanced cooperation.
- 5) Integrating staff recruited by the project into the human resource system of the assisted institution to ensure capacity retention and ownership by the assisted institution
- 6) UN system-wide coordination for coherence and complementarity and harmonizing support with those of other development partners, including through partnerships
- 7) Incorporating gender equality and environment across all interventions.

²⁸ The region covers Angola, Burundi, the Central African Republic, the Republic of Congo, Kenya, the Democratic Republic of Congo, Rwanda, Tanzania, Uganda and Zambia.

²⁹ UNDP *"Programme for Peace Building and Development Initiatives in Central Africa and the Great Lakes Region, RAF/02/011/A01/31 – Final Evaluation"* October 2006

- 8) Clarifying roles, responsibilities, accounting and reporting structures.
- 9) Including in project budgets funds explicitly earmarked for monitoring.
- 10) A more systematic use of the Regional Programme Advisory Board (AB).
- 11) Renewed emphasis on capacity development, underpinned by rigorous capacity assessments and elaboration of clear exit strategies and sustainability plans in order to allow for the smooth withdrawal of UNDP assistance.

2. Project Strategy

2.1 Strategic underpinnings and guiding principles

UNDP's CPR interventions are guided by the Strategic Plan 2008-2013, which identifies capacity development as UNDP's basic mandate and function with a focus on helping countries to build their institutional capacities and to formulate the requisite policies and programmes needed to achieve the MDGs. With special attention to gender empowerment, and under the leadership of its Bureau for Crisis Prevention (BCPR), the Strategic Plan outlines the following priority areas for UNDP's support to crisis prevention, disaster mitigation and recovery:

1. Enhancing conflict prevention and disaster-risk management capabilities;
2. Ensuring improved post-crisis governance functions; and
3. Restoring the foundations for local development.

In line with the remit of Strategic Plan and, building on the evaluation of RCF II, this project and UNDP-RBA's support to CPR interventions is framed by the UNDP Regional Programme Document for Africa, 2008 to 2011 (hereinafter referred to as the Third Regional Cooperation Framework - RCF III) which outlines a number of strategic principles and considerations to guide programme formulation. RCF III also complements the 2006 UNDP-RBA Strategy for Capacity Development for Pro-Poor Growth and Accountability (CD-PGA), which aims to foster accelerated growth and poverty reduction in Africa by promoting wide access to decent basic services, fostering opportunities to increase incomes while also expanding the prospects for enhanced participation of Africans in the decision-making process and paying adequate attention to the different typologies of African countries.

Interventions in this area are further guided by the AU Strategic Plan, referred to earlier, together with the strategic orientation encapsulated in the lessons learned and emergent principles from past UNDP assistance to the regional peace and security mechanism and development of the CPR capacity of inter-governmental bodies in Africa.

This project document combines two hitherto stand-alone regional projects in DRR and CPM that had been approved by Project Approval Committees, but for which formal consent had not yet been given for the use of the Direct Execution (DEX) modality. The integration of the two project documents into one CPR intervention was mandated by the Regional Programme Advisory Board³⁰, based on the fact that their general objectives were common, they covered similar outputs/interventions and activities as well as the same set of beneficiaries, and both intended to use the DEX implementation modality. Further, the impact from this larger combined intervention is expected to be significantly improved.

In view of the foregoing, this integrated project will address capacity gaps in disaster risk reduction and conflict prevention, early recovery and peace building, as a complement to other UNDP/RBA regional projects targeting other aspects of crisis prevention and recovery (CPR), targeting both the AU and RECs. Ongoing projects include: "*Support for the Implementation of the Peace and Security Agenda of the African Union Commission*", and "*Enhanced Human Security Through Strengthening the Capacity of Regional and Sub-regional Organizations to Control Small Arms and Light Weapons in Africa*". Because the ongoing projects, to a large degree, already address the man-made aspects of disaster, the DRR strategy outlined in this project will primarily target the natural and environmental aspects, particularly at the sub-regional levels. Due to the comprehensive nature of the first ongoing project, the conflict prevention, recovery and peace-building strategy of this project also focus on the sub-regional level and will not cover issues relating to arms and light weapons in armed conflict.

³⁰ Meeting held in Dakar, Senegal, March 22nd and 23rd, 2010

The summary of gaps in CPR capacity and practice in Africa in the Situation Analysis show that, building on past UNDP support provided for the development of CPR, follow-on efforts need to address the following major challenges:

- strategic re-orientation with respect to focus on: (a) response versus prevention, (b) violent and/or large crises versus emergent low-intensity localized drivers, and, (c) crisis resolution versus recovery
- strengthening institutional frameworks for CPR
- development of individual, team and institutional skills and competencies within regional bodies for crisis prevention, management, resolution and transformation
- generation and application of knowledge and information, particularly for conflict risk monitoring and early warning, and, preparedness for effective response
- coordination, collaboration and cooperation among institutions, member states and various stakeholder groups within sub-regions.

To meet the above-mentioned categories of CPR challenges of RECs, the approach that this project will take will include:

- a) further developing their institutional structures for CPR; they were set up in response to differing imperatives and are only now incorporating crisis mechanisms into their structures;
- b) re-focusing on crisis prevention instead of crisis response, and, balancing focus on large or violent crises with attention to low-intensity crises. Moving from crisis response to genuine crisis prevention requires timely warning of high-potential crisis events and systematic monitoring of low-intensity recurrent ones;
- c) developing adequate information systems for crisis observation, monitoring, forecasting and warning;
- d) improving harmonization, coordination and congruence of CPR activities of the regional bodies and national authorities;
- e) working more closely with civil society organizations (CSOs);
- f) increasing efforts to address the consequences of crises, particularly managing refugees and IDPs
- g) re-orientation towards crisis recovery through strengthening support for good governance and economic rejuvenation to underpin recovery from crises.

2.1.1 Capacity development considerations in CPM

The areas of conflict prevention³¹ and management practice relevant to the African context are vast and cannot all be improved under this project. Building on RECs existing CPR capacities and assets, the project will focus capacity development on the following areas: (a) re-orienting CPR practice towards localized recurrent threats, prevention, recovery, and, state-building, (b) undertaking the whole range of peace-building³² processes, (c) applying a broader range of CPR tools and approaches, (d) operationalizing institutional frameworks for CPR, (e) developing EWS, (f) governance capacity for RECs to support promotion of governance in member states, (g) post-crisis economic generation, and (h) institutional management.

³¹ Conflict prevention involves (a) analysis of conflicts and development of responses, (b) working effectively in conflict environments, (c) enriching development policies and practices with conflict resolution tools and techniques through mainstreaming of a conflict-sensitive approach to strategizing, planning and implementing and evaluating. Conflict prevention denotes the full range of activities oriented to this aim, including early warning, crisis management, peace-keeping, peace-building, conflict management, conflict resolution and conflict transformation

³² 'Peace-building' refers to "post-hostility actions, military and civilian, taken to forestall future eruptions by strengthening structures capable of consolidating a political settlement". The term pertains to periods of transition from war to peace. It includes: (i) demilitarization, demobilization, and rehabilitation; (ii) security sector reform; (iii) institution-building, including police and judicial systems; (iv) good governance and human rights promotion, (v) election-monitoring and political participation, and (vi) economic and social development

The project will therefore focus on skills strengthening, complemented with support for developing systems, frameworks, structures and programmes for addressing specific CPR themes identified by the RECs themselves based on CPR capacity needs assessments conducted at each REC with national partners at project inception. The assessment will make recommendations on further recruitment and placement of key and essential technical staff within individual RECs. Capacity development will also involve some institutional development, (such as establishment of mandated CPR operational units and strategic frameworks in some RECs) and governance capacity development. The project will not provide logistical support to the REC beneficiaries.

The project will also support the re-orientation of RECs towards crisis prevention by supporting advocacy for prevention, development of the requisite information base for threat identification and monitoring, and, governance capacity development. To promote a shift of focus towards crisis recovery, the project will support development of skills and programmes in: (a) post-conflict needs assessment, (b) early recovery framework development and programming, (c) crisis preparedness planning, (d) transition and post crisis governance, and (e) post-crisis socio-economic recovery, reintegration, reconstruction.

2.1.2 Regional versus national scope

The project provides a regional dimension to country-focused efforts in disaster and climate risk management in three ways by: (i) strengthening the institutional capacity of RECs to address disaster risks in general and climate-related ones, in particular, within their member states, (ii) engaging African regional Centres of Excellence, such as ICPAC, ACMAD, AGHRYMET and the SADC DMC in strengthening country early warning and climate risk management capacity, and, (iii) applying CRM assessment methodologies and preparedness measures in selected high risk countries. The RECs themselves will select countries for specific project interventions based their own operational modalities and on criteria to be developed at during project implementation. Further, the project strategy will ensure that an effective climate-resilient focus is integrated into its interventions, building on the outcome of the Copenhagen Conference. Therefore, synergies will be encouraged between this project and the "*Enhanced Capacities of Sub-regional and National Institutions to Deliver Energy Services*" and the "*Management of Environmental Services and Financing for Sustainable Development*" ongoing regional projects as well as with the Africa Adaptation Programme.

2.1.3 Gender responsiveness

The project will strongly advocate that women can contribute effectively in prevention and recovery as agents of change in post-conflict and reconstruction situations as enshrined in the UN Security Council Resolution 1325 and the AU Solemn Declaration on Gender Equality in Africa³³ and in line with the 8 point Action plan. ECOWAS, with its Centre for Gender Development, and SADC's Gender Equality and Development have notably demonstrated progress in integrating gender parity in their institutional framework. This project provides a strategic opportunity to review REC policies and develop strategies on gender aspects of CPR in cooperation with RBA's *Regional Project for Gender Equality and Women's Empowerment in Africa*. Assistance for gender neutral recruitment and placement of critical CPR experts will directly include request for skills within the field of gender equality and CPR, as well as specification of slots for women to mitigate current imbalances.

³³ UN Security Council Resolution 1325 (2000); AU Solemn Declaration on Gender Equality in Africa (2005)

2.1.4 Knowledge management

The project will support preparation of a compendium of best-practices, develop training modules in crisis prevention and recovery and document a step by step approach to CPR in easily transferable operational guidelines. To help ensure long-term capacity development and the availability of African technical experts for advisory services to the RECs, the project will facilitate establishing liaisons with universities, think tanks, study centers and women's knowledge networks to document expertise available for each CPR discipline and undertake research and analytical work in critical areas of CPR. Also, the project will promote the development of CPR communities of practice (COP) in each sub-region.

2.1.5 Strengthening UN-African Union links

This project is not specifically or directly focused on the AU but given the nature of the relationships between the AU and the RECs it will support the development of the CEWS and the regional CPR architecture which are being more directly supported under a separate UNDP regional project. The project outcomes will help strengthen the strategic partnership between the UN and the AU, including the Joint Task Force on Peace and Security established by the UN Security Council and the AUC as well as collaboration under the United Nations – African Union Cooperation Framework for the Ten Year Capacity-Building Programme for the African Union³⁴.

2.1.6 Enhanced civil society involvement

As a diverse constituency at national and regional levels, CSOs have demonstrated their advocacy strengths for development priorities and programmes often from "grassroots" perspectives. For example, the IGAD Civil Society Forum on participatory democracy, and ECOWAS and SADC programmes incorporate civil society participation in regional peace-building and post conflict recovery. However, capacity constraints among CSOs constitute a major impediment to their effective involvement in REC initiatives on conflict prevention. This project will address some of the constraints of skills, organization, mode of interaction with RECs and resources facing CSOs through programmes that reinforce their networks, provide access to information, promote gender balance in decision making entities and provide a platform for the sharing of lessons learned.

Options for enhancing the involvement of CSOs in CPM activities of the RECs will include: (a) strengthening their participatory skills, (b) enhancing knowledge of CSOs of CPR issues, (c) financially supporting umbrella, network or platform organizations of CSOs to interact more with the RECs, and lobbying and supporting ECOSOC to increase information on, and accessibility of, their programmes and activities to CSOs.

Strengthening the skills of CSOs in CPR will be based on identification of their strengths and weaknesses through an inventory of those involved in CPR in each sub-region. The challenges will be identified through the use of the self-assessment method of the Civil Society Index (CIS) of CIVICUS³⁵. The Index has been applied in a number of countries in Africa, assessing the state of civil society, including an overview of CSOs and their thematic focus. This can help in building the inventory. In addition, in the ECOWAS region, the West Africa Action Network on Small Arms (WAANSA) would likely have information on national and regional CSOs working on CPR issues.

The project will support CSOs to expand their knowledge base through sharing their information, knowledge and experiences on CPR issues in an inter-CSO forum to be supported under the project. To help link the regional dimensions of NGO actions with the national and global levels, the project will

³⁴Revision 6, 22 September 2006

³⁵CIVICUS: World Alliance for Citizen Participation, 2000, 'Project Proposal: The CIVICUS Index on Civil Society', www.civicus.org

liaise with the International Resource Centre (on-line portal)³⁶ of national NGO platforms and their regional coalitions. However, the appropriateness or otherwise of supporting the establishment of new CSO forums in the RECs as a strategic approach to enhancing their CPR practice will be assessed as a project activity, noting that several forums already exist.

2.2 Project outcomes, outputs and activities

2.2.1 Outcomes

This integrated project has been formulated to contribute to achievement of three relevant outcomes of RCF III:

1. Effective regional mechanisms for disaster preparedness and response,
2. More effective regional institutions for crisis prevention, and
3. Greater responsiveness and sustainable recovery from crisis.

2.2.2 Expected outputs

The RCF III outcomes will be achieved through the following expected outputs:

- (1) Increased disaster risk management capacities and resources in selected Regional Economic Communities;
- (2) Enhanced regional early warning and disaster preparedness and response through strengthening of national level capacities in at-risk nations to natural disasters;
- (3) Improved coordination between Regional Economic Communities, civil society and the private sector, with national governments, to plan for, and to address, disaster risks;
- (4) REC's capacity for and collaboration in crisis prevention and recovery developed;
- (5) Increased capacity of RECs in early warning for crisis prevention, recovery and peace building
- (6) Enhanced engagement and involvement of civil society and private sector entities in CPR processes of RECs;
- (7) Human resource, technical and financial support for CPR in RECs is sustained after the phased withdrawal of UNDP support.

Expected project outputs 1 to 3 will address DRR capacity gaps, while outputs 4 to 6 cover conflict management gaps. Output 7 applies to both DRR and CPR.

Output 1: Increased disaster risk management capacities and resources in selected Regional Economic Communities.

At the end of the project, this output is expected to lead to the enhanced ability of at least three RECs (ECOWAS, IGAD and SADC) to provide their member states with disaster risk management capacity to reduce and mitigate the potential and actual impacts of seasonal and rapid onset of hazardous events, such as floods, drought, tropical storms and earthquakes. Further, steps will be taken to ensure that these initiatives are in line with the AU's Programme of Action for the Implementation of the Africa Strategy for Disaster Risk Reduction.

To this end a Project Manager, experienced in DRR capacity development of institutions and human resources in Africa will be recruited with the first task of assessing/updating (as necessary), the overall capacities of the RECs and the specific capacities for disaster risk reduction of staff focal points based

³⁶ http://www.ong-ngo.org/spip.php?page=sommaire&id_rubrique=4

in ECOWAS, SADC and IGAD headquarters and on that basis support each to develop and or implement relevant strategies. Technical experts and consultants will assist in undertaking this capacity needs assessment and raising levels of understanding of DRR concepts and methodology for incorporation in the risk reduction strategies of RECs.

Once priority DRR areas and partner organizations with capacities in those areas have been identified, the project will extend capacity development services in those areas through the partners to high risk countries. Activities will then focus attention on determining the criteria for the choice of countries to be supported under the project, in consultation with each REC. The selected member states will appoint a national DRR focal point from their staff for skills-based training and inclusion in activities undertaken during the life of the project. Activities will include the assessment of national hazards, vulnerabilities and capacities to prepare for and respond to natural disasters, and the level of risk to life and livelihoods, eco-system, infrastructure and economic vulnerabilities. The RECs and member states will undertake the development of knowledge and technical capacity to develop national/regional strategies for addressing disaster risks, incorporating such strategies into national development plans, PRSs/PRSPs, and budgets.

Technical assistance will be provided through training, provision of tools, workshops, and South-South cooperation. Although consultancies will be employed where necessary, the emphasis will be on using and strengthening existing African institutional capacities, in universities and regional technical centers. This strategy achieves two benefits – the provision of priority services to the client countries and the strengthening of African institutional capacity among the implementing partners.

Due to the fact that an overwhelming proportion of hazard-related risk in Africa is associated with climate variability and change, it is expected that the emphasis will be on climate risk management (CRM), involving both mitigation and adaptation measures. Historically, work on disaster risk reduction has focused on the immediate impacts of climate-related hazards while work on climate change adaptation has focused on climate impacts in the future but this distinction is artificial and counterproductive. Beneficial measures which enhance resilience to cope with climate variability and weather extremes already exist within the community of practice of disaster risk reduction and can be applied to achieve both ends. In turn, climate change presents opportunities for enhanced disaster risk management because mitigation of climate change contributes greatly to reducing vulnerability to and risk from natural and technological hazards.

This focus on CRM will entail the engagement with African regional centers involved in these matters, such as the IGAD Climate Prediction and Applications Center (ICPAC), the African Center for Meteorological Applications in development (ACMAD), AGHRYMET, the SADC Drought Monitoring Center (DMC), the University of Cape Town Climate and Society Group, and other institutional technical partners.

In supporting these regional and national processes, an inclusive and wide participatory approach will be encouraged. Therefore, guidelines for ensuring greater awareness of environmental issues of climate change and natural resource management and their connection to disaster risks and appropriate mitigation measures will be developed by regional technical institutions for the project and shared with stakeholders, including the at-risk population, the private sector and civil society, disaster first responders and government planners and decision-makers. A list of regional professionals and technical experts to support the requirements for advocacy and adaptation planning will also be developed. In each instance too, the DRR information management, tools, frameworks, and strategies employed will include a strong gender component, capturing both the unique concerns and the contributions of women. Also, as much as possible project staff will ensure synergies between project activities and relevant interventions in the other RBA regional projects, but with particular emphasis devoted to the capacity development, gender and environmental services projects.

Key activities/tasks towards this output include:

- 1) Assessment of RECs' capacity followed by development of an institutional training strategy.
- 2) REC staff and Disaster Risk Reduction (DRR) focal points from member states given basic training.
- 3) Support for participatory hazard, risk and vulnerability assessments in targeted countries.
- 4) REC staff and member states train and adopt capacity needs and loss assessment methodology to employ following disaster episodes.
- 5) Skills-based training to create DRR public awareness and advocacy of policy and programmes.
- 6) Development of national roster of DRR professionals.
- 7) Creation of interface between climate change mitigation and adaptation, environmental management and risk reduction practices

Output 2: Enhanced regional early warning and disaster preparedness and response through strengthening of national level capacities in at-risk nations to natural disasters.

As output one focuses on building the capacities of RECs, this output is intended to assist selected countries to respond to natural and human-induced disasters. At present, only ECOWAS has developed a disaster preparedness strategy for its member states to adopt and support with a proactive risk reduction approach. The limited level of adoption by ECOWAS member states is reflective of resource (human and financial) limitations available as well as, in some cases, clear political will to address DRR as a national and regional priority. Thus, the three Disaster Risk Technical Specialists in the RECs, together with RECs focal points, will undertake desk-based capacity development assessments of each member state and the presence of any regional cooperative agreement similar to that adopted by ECOWAS in 1999.

The selected countries in each REC will be supported by the project to develop Action Frameworks (where none exist at present) aimed at outlining risk reduction initiatives to be integrated in the national planning processes, including PRSs/PRSPs. The respective Frameworks shall be shared with the UN country teams for reflection in their DRR initiatives, Country Programme Documents (CPDs) and UN Development Assistance Frameworks (UNDAFs). Technical advice shall be sought from leading UN risk reduction agencies such as the International Strategy for Disaster Reduction (UNISDR), the UNDP/BCPR and the Office for the Coordination of Humanitarian Affairs (UNOCHA). The pilot countries will also benefit from the expertise of the other Bureau for Development Policy (BDP) policy advisors as well as the adaptation initiatives being undertaken by that Bureau.

The development of national frameworks shall be complemented by the development of a Sub-regional Framework for Action incorporating the strengthening of national and civil institutions to address natural and human-induced hazards. This project shall include mechanisms for coordinating disaster response planning, expediting relief within the region, and the consolidation of resource mobilization for disaster risk reduction.

Similar to the approach applied in Output 1, a strong and effective gender responsive component will be included in the national programming initiatives, including guidelines for strengthening women's security in crisis, advancing gender justice, and expanding women's citizenship, participation, and leadership roles. This will include efforts to ensure the implementation of gender responsive recovery, and helping governments deliver in response to women's need and concerns. The design of monitoring and evaluation frameworks capable of tracking the impact of recovery initiatives on women will also be encouraged.

The experience and lessons learned from the selected countries on capacity development for DRR planning at the national level will be shared with national level development planners of member states. Training guides on DRR and the linkages to planning and sector policy development (i.e. poverty

eradication, social protection, coping with and mitigation of natural disasters, sustainable development, climate change adaptation, energy and natural resources management) will be developed for training aimed at creating greater understanding of, and appreciation for, the ultimate cost savings in supporting a risk reduction approach in safeguarding human lives and physical and social infrastructure.

Key activities/tasks towards this output include:

- 1) Analysis of forecasting and early warning systems at REC member states.
- 2) Completion of hazard and risk analyses in risk-prone nations.
- 3) Development of position papers on REC member state vulnerability issues.
- 4) Development of a DRR Sub-Regional Framework for Action by each REC (where non-existent).
- 5) Training on disaster preparedness and response issues.
- 6) Integration of disaster risk reduction into development planning.

Output 3: Improved coordination between Regional Economic Communities, civil society and the private sector, with national governments, to plan for, and to address, disaster risks.

This project offers an excellent framework for engagement in disaster preparedness and risk reduction with CSOs (including women's organizations, think tanks and universities) and the private sector, and to build their capacity to: (a) participate in and influence policy processes to effect greater changes in mitigating the potential losses caused by natural disasters, while raising local capacities in a sustainable manner; and (b) contribute to raising DRR accountability of public and private sector stakeholders. The main aim of the collaboration between the project and civil society organizations and the private sector is to expand the opportunities for CSO networks in Africa to influence disaster preparedness and risk reduction through capacity development and evidence-based advocacy.

One of the main partners with which the project will work in building the capacity of CSOs and the private sector will be the United Cities and Local Government in Africa (UCLGA), which is a Pan African intergovernmental organization established in 2003 to, among other things, foster DRR accountability of local government and other public and private sector stakeholders. UCLGA is now active in 34 African countries and it is in the process of securing recognition by the AU (A Memorandum of Understanding between the UCLGA and the AU is presently under consideration)³⁷

Key activities/tasks associated with this output include:

- 1) Creation of a capacity development plan for CSOs and the private sector to raise their understanding of disaster risk reduction and to incorporate effective measures of risk reduction into the activities of their membership.
- 2) Conduct of a baseline data study of private sector and CSO network member organizations, analyze data and publish results, highlighting significant capacities and vulnerabilities to disasters among REC member countries.
- 3) Developing advocacy messages and training materials for the private sector and CSOs active in disaster risk reduction activities and support them to launch disaster risk reduction initiatives.
- 4) Support for the private sector and CSO to undertake studies on related disaster risk reduction initiatives and to present the findings at national workshops and forums. Participation is intended to generate new networking partnerships.

³⁷ UCLGA has a MOU with NEPAD, signed in December 2006, to address developmental challenges in the area of broadening good governance and ensuring sustainability, promoting peaceful resolutions of conflict and joint forums, seminars and conferences that support mutual interest.

- 5) Developing CSO resource mobilization strategies in support of network participation in risk reduction activities.
- 6) Enhancing and refining CSO staff knowledge of risk reduction and mitigation strategies to share among local government members.

Output 4: REC's capacity for and collaboration in crisis prevention and recovery developed

This output seeks to: (a) develop the capability of RECs to address crisis issues through the establishment and strengthening of CPR Units in all RECs, (b) strengthen the human resource base of these Units, through the identification of critical human resource gaps essential to their functioning as regional centers for Peace and Security, and (c) provide a collaborative framework for RECs to utilize in participating in the implementation of the project.

Given the differences in capacities of the RECs, the project recognizes that capacity development in conflict prevention will depend on their individual structures and mandates. Also, the project recognizes the need to avoid duplication of functions and capabilities due to overlapping memberships of countries in the RECs. Thus, the project will support an assessment of which RECs are best positioned to put into place conflict prevention measures and the coordination required between them. AU has concluded a process of dialogue with the RECs to improve coordination and harmonisation of their roles and policies with the aim of establishing vertical links between RECs and AU and horizontal links between the different RECs. This will provide the context for supporting collaboration among RECs in CPR under the project.

The centerpiece of this output is the preparation of a Project Policy and Strategy Document, aimed at strengthening collaboration and cooperation among the RECs for crisis prevention, early recovery and peace building to be adopted by the Project Board/Steering Committee and implemented during the life of the project. Thus, the output will facilitate an agreement on the working relationship amongst the RECs with respect to the management of the project, as well as up-grading and strengthening of their relationship with national commissions and member states. The agreement will also include consensus among the RECs on which Community will represent them on the Project Steering Committee and features of that representation.

Indicative activities for the attainment of this output will include:

1. Assessment of human, technological and financial resource endowments, needs and gaps for CPR capacity development and operations in RECs. Where information gaps exist, the project will undertake necessary assessments of the operational resource requirements for the effective functioning of the RECs with respect to CPR issues.
2. Assessment of effectiveness of RECs CPR mechanisms.
3. Specification of the CPR capacity assets in the RECs that the project seeks to support.
4. Development of proposals for establishment of CPR Units in RECs, where they are not currently part of the operational structure. The project will review the requirements for establishment of the Crisis Prevention and Early Recovery Units, including human, IT and financial resource needs, determine the required timeline for their development, and, assess the political will of member states to undertake the establishment of the Unit.
5. Review of operational guidelines, administrative procedures and financial management processes and training programmes and materials used by RECs to enhance the capacity of their professional cadre in crisis prevention, early recovery and peace building. Where necessary, the project will recommend and support the re-design of the training programmes and materials, taking into consideration the extensive tools and guidelines developed by the UN, particularly the BCPR and United Nations Institute for Training and Research (UNITAR), and the experience of the RECs in professional staff development.

6. Development and adoption of a human resources strategy and recommendations for the recruitment, placement, development and retention of critical technical support personnel, with a focus on including women in the human resources structure of the RECs.
7. Development and adoption of instruments for enhanced collaboration and cooperation among RECs in CPR: As part of establishing project management arrangements and as a means for enhancing their CPR capabilities, the project will determine the requirements and develop the instruments (for example, Memorandum of Agreement) for closer collaboration and cooperation amongst the participating RECs through a participatory approach. The development of the collaborative framework will include determination of the lead REC to represent the others on the Project Steering Committee.

Output 5: Increased capacity of RECs in early warning for crisis prevention, recovery and peace building

Timely resolution of crises depends on timely and effective warning of their occurrence through the provision of information, analysis and directions upon which effective response to conflict can be defined and operationalized. In turn, effective warning of prospective crises requires that RECs have the requisite IT, financial and human resource capacities to establish and enhance their CPR EWSs, linking and coordinating them with the AU's CEWS. A major aim of this output is to strengthen processes that will enhance collaboration between member states of the REC on effective use of conflict information for regional early warning.

The support will enable the RECs to improve their collection of information and data on possible conflict situations and political developments in their region, ability to collate and analyze the information, and, their recommendation to the REC Heads of State and Government on possible early preventative measures to be undertaken in response to the likely crisis. The project will also support the documentation of this information in a format that will enhance the integration of REWS into the AU's CEWS.

The related indicative activities to attain this output are as follows:

1. Update analyses of conflict risks and their linkages to other sources of crises risks (disaster risks and climate risks) to determine requirements for the various components (threat identification, monitoring and forecasting, formulation and dissemination of warning messages, etc) of effective REWS
2. Review and make recommendations on ensuring adequate IT infrastructure (including software) capacity of all the RECs for data management and communication with other RECs and AU.
3. Review of the status of the REC's REWSs and development of proposals for establishment of REWSs in RECs, where they are absent, based on the experience and lessons from operating REWSs in IGAD and ECOWAS
4. Development of recommendations on ICT and human resource capacity requirements for functional REWSs that are integrated into or congruent with the CEWS.
5. Based on the review of the technical, administrative and operational capacities of the RECs and utilizing revised training guides/material (and utilizing the extensive training experience of BCPR), undertake targeted training of officials of member states, CSOs in the catchment area of RECs and REC staff in EWS management, crisis prevention analysis and preparation of reports for decision-makers.
6. Development of recommendations for EWS information exchange among RECs and for increasing the integration of REWSs with national EWSs and CEWS

Output 6: Enhanced engagement and involvement of civil society and private sector entities in CPR processes of RECs

This output aims to support CSOs engaged in CPR activities to enhance community participation in mitigating conflicts risks through increased information on and awareness of CPR issues and practice. Further, the output will enhance operations of the ECOSOC of AUC through strengthening linkages between the Commission, RECs and CSOs, including through increased participation of CSOs in the programmes of ECOSOC.

Indicative activities to achieve this output include:

1. Development of an inventory and database of CSOs engaged in CPR activities within the catchment area of RECs for the purpose of assessing required support for strengthening their CPR capacities;
2. Assessment of the need for establishment of a RECs forum for cooperation, collaboration and information sharing with CSOs engaged with CPR activities and determine the nature, function, value-added and modalities for engaging the RECs by such a forum, if deemed necessary;
3. Support for CSOs and their networks to increase their participation in the conventions and deliberations of the ECOSOC;
4. Provision of technical assistance to develop the capacity of CSOs engaged in CPR activities in RECs, including to CSO networks to increase production and dissemination of CPR information and knowledge products through radio, newsletters and other communication channels.

Output 7: Human resource, technical and financial support for CPR in RECs is sustained after the phased withdrawal of UNDP support

Following the recommendations of the independent evaluation of RCF II and as specifically directed by RCF III, sustainability of UNDPs efforts will be assured by putting in place a robust exit strategy as part of the capacity development approach of this project. The intent of this output is to adopt an exit strategy for UNDP, based on broad based consultations with RECs, member states, CSOs and development partners, that will allow for the phased withdrawal of UNDP financial and technical support, while ensuring effective skills transfer and the sustainability of REC crisis prevention programmes. Such a strategy, if adequately implemented, would enhance the coherence, predictability and flexibility of post-project resource support for CPR issues within RECs through a planned but gradual reduction or elimination of dependency on UNDP and other sources of external assistance. UNDP will not apply a precipitous withdrawal. Therefore, the exit strategy will involve further capacity assessments for each REC: formulation of time-bound capacity plans, reflecting well-planned knowledge development and skills transfer; and design and implementation of strong monitoring and evaluation arrangements, including regular consultative meetings between AU, RECs and UNDP. The exit strategy will be developed and implemented by RECs, with the support of the Project Manager, and in close consultation with relevant UN agencies. The REC staff, with technical support from UNDP and other agencies will contribute to planning of a new multi-year strategy to build upon the results achieved, address new challenges facing member states with innovative and sustainable activities and present proposals for resource mobilization to the host governments, REC membership, international donors and the private sector. In this connection, account will be taken of relevant capacity strengthening activities provided to RECs through the UNDP/RBA *Regional Project to Strengthen Institutional Capacities to Accelerate Pro-Poor Growth and Accountability in Sub-Saharan Africa*.

A key consideration in the development of the exit strategy is the design of a human resources strategy by RECs that indicates their essential human resource requirements and outlines in the medium term how these will be met following cessation of UNDP support through this project. Given the need to provide human resources support to RECs in essential and critical areas of their operations in a sustainable manner, the project will determine the scope of this support and the terms of their phase-

out in a realistic and attainable exit strategy based on consensus amongst all stakeholders. For sustainability, all staff recruited with support of UNDP will hold contracts of the individual RECs concerned. The Project Steering Committee will be expected to endorse the basic elements of the exit strategy.

Key activities/tasks related to this output include:

1. Review of the financial, technical and human resource requirements for the effective and sustainable operations of the CPR Units after the life of the project, including skills transfer needs.
2. Development of appropriate performance indicators that permit qualitative and/or quantitative measurements of the contribution of the UNDP supported staff members of the RECs,
3. Review of all the project outputs and indicative time lines for the completion and delivery of project outputs and the accomplishment of long-term programmes that will require sustained financial and human resources beyond the scope of the current project,
4. Approval of a human resources strategy necessary for the continued operations of programmes. This will serve as a precondition for this project providing support for the recruitment of essential and critical short-to- medium-term staff under contract to the individual RECs,
5. Provision of assistance to RECs to develop a long-term resource mobilization and exit strategy, based on determination of the CPR capacity assets in the RECs that the project will support and what UNDP expects to leave behind at the end of the project, to help minimize the risk of losing the efforts commenced by this project and the financial management mechanism that will support the accountability and reporting of the RECs to their development partners/donors. This activity includes supporting CSOs to develop their 'exit strategy' and to produce a strategic post-UNDP RBA proposal for negotiation with RECs, governments, international donor agencies and the private sector.
6. Securing consensual agreement on the timing, financial commitments and phased implementation of the strategy by the Project Steering Committee, member states, civil society entities and development partners.
7. Project Steering Committee convening all stakeholders and development partners to present the medium and long term financial, human and technical requirements for an effective long-term crisis prevention programme of the RECs and to mobilize resources for its implementation after UNDP support ends. A suitable platform for coordinating and harmonizing assistance from various donors for conflict prevention capacity development of the RECs will be AU-Partner's Group on Peace and Security while the AU-held African Ministerial Conference on Disaster Risk Reduction will offer a similar platform for DRR.
8. Initiating implementation of fund-raising element of the exit strategy

3. Management Arrangements

3.1 Advisory Board

The Advisory Board (AB) for RCF III, which is now operational, will also serve as the Advisory Board for this project. The AB will provide (i) strategic direction and policy advice, and (ii) suggestions on coordination with other agencies involved in germane projects. Their services will be charged against this and other regional projects on a pro-rata basis.

3.2 Project governance

This will be at two levels. Overall accountability for the attainment of results and the judicious use of project resources, that is, coordination, strategic direction and oversight for this project, will be the responsibility of the RBA Director, assisted by the Deputy Regional Director (DRD), RBA Headquarters in New York. The Programme will be directly executed by the UNDP RBA. Consistent with the newly defined UNDP/RBA functional structure and under the delegated authority of the Regional Director, the responsibility for implementation and management of the project will be vested in the Deputy Regional Director, Regional Service Centre (RSC), Dakar.

The RBA Director will be further assisted in his functions by a Project Steering Committee (SC). The SC will be established by the RBA Director and, in providing strategic guidance, programme quality assurance, and financial oversight for the project, will: (i) approve work plans, including prioritization of project activities, shifts in strategic direction, when required, and assessment of the relevance and quality of activities, (ii) advise on coordination with other agencies involved in germane projects, and (iii) monitor results through review and approval of project reports on the quality of outputs and efficiency of output delivery. The decisions of the AB should be complementary to, but supersedes those of the project SC.

The SC will meet twice a year, alternating between Johannesburg and Dakar, to review overall progress in the implementation of the project and between meetings there will be electronic exchanges of information and video-conferences. The SC will be comprised of senior representatives of key beneficiary institutions, such as the AU and RECs; UN affiliates (UNOCHA and UNDP); the RBA DRDs in Johannesburg and Dakar; at least one RR/RC; the Deputy Director BCPR and the relevant Practice Director BDP/GEF. Members of the SC will be chosen for their leadership, experience and understanding of governance and capacity development issues. The composition of the SC will seek to reflect representation of women and achieving gender balance will be mandatory when selecting the members of the Steering Committee. The RBA Director will delegate chairing of the SC to the RBA DRD based in Headquarters, and for which the Regional Initiatives Advisor, based in RBA, will act as Secretary.

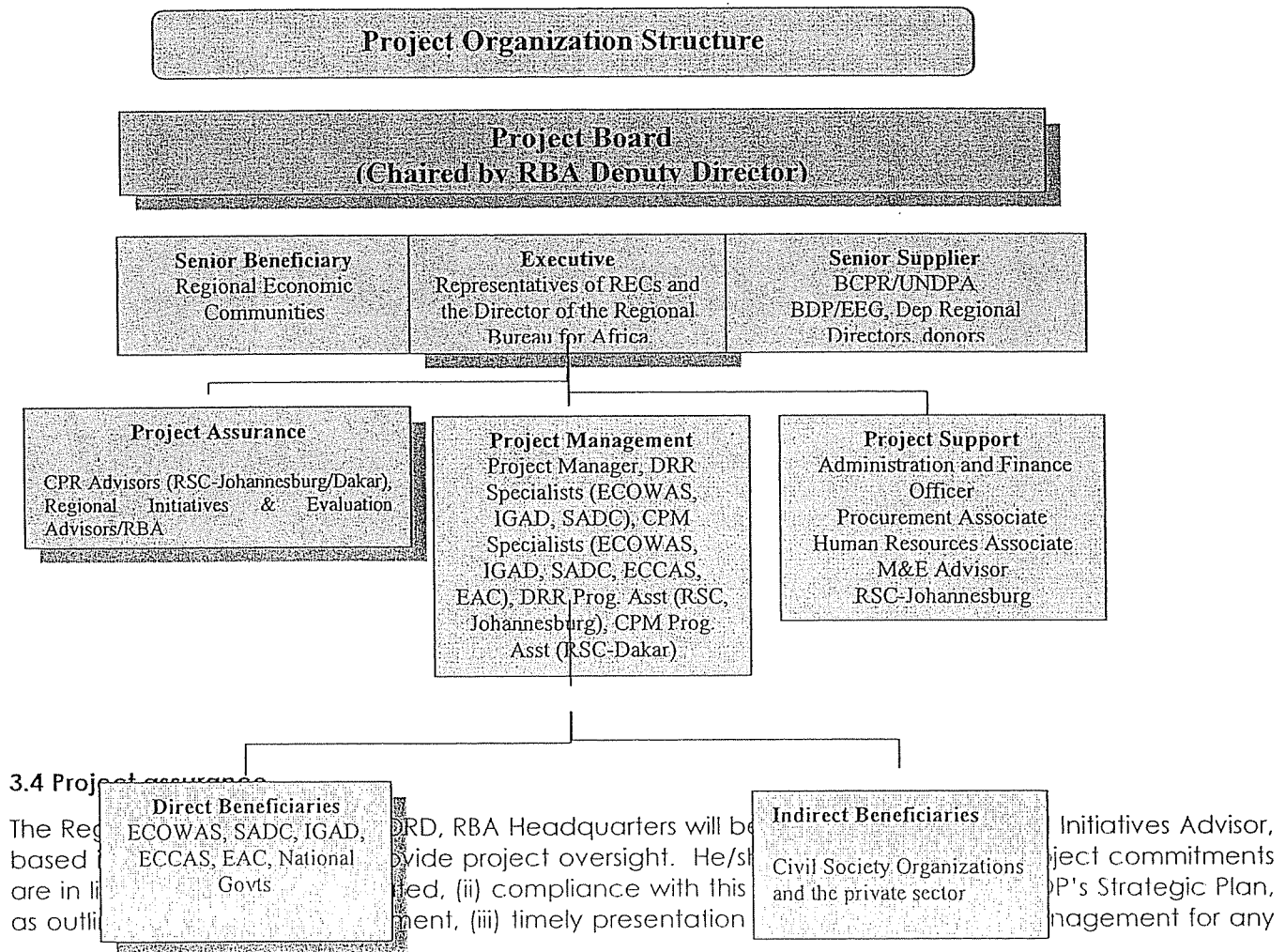
3.3 Day to day management

The project will be directly managed by the DRD in the RSC in Dakar. He/she will be responsible for overall accountability for the project in terms of quality and timeliness of services, preparation and implementation of annual work plans, preparation and circulation of reports, and efficient budget and expenditure management. The DRD will make arrangements for the delegation of day to day responsibilities for project implementation to a Project Manager, recruited in consultation with BCPR, whose delegated responsibilities will include: partnership building, resource mobilization, and liaison with partners (both beneficiary and donors) and reporting on progress to both the RBA Director and donors, as needed. The Project Manager will also ensure overall regional policy and programme coherence in providing services to Country Offices, programme countries and partner regional institutions. In addition, he/she will provide substantive and technical supervision and guidance to project activities, paying attention to fostering coordination with germane activities carried out by other

partners (UN agencies, CSOs and policy think tanks, etc.) to seek synergies and avoid duplication. The Project Manager should be skilled and experienced in both disaster and conflict management.

The Project Manager will be supported by Technical Specialists, who will provide technical advice to the RECs. Three Disaster Risk Reduction Specialists will be located at the REC headquarters for ECOWAS, SADC and IGAD and two Conflict Prevention and Management Specialists will be located at the REC headquarters for ECOWAS and SADC. Should UNDP be successful in mobilizing the additional resources anticipated, similar arrangements will be made to place high level CPR specialists with EAC, ECCAS and IGAD. Two Programme Associates will be recruited, to be located in the two RSCs, to provide coordination and administrative support for the project. All related staff will be recruited using project resources and will be supervised directly by, and report to, the Project Manager.

The first task of the Specialists based at the RECs will be to assist them in identifying staff focal points with whom to work to develop and or implement relevant activities. In carrying out day-to-day programme management responsibilities, the Project Manager will seek the guidance and expertise of BCPR and BDP as well as technical and policy advisory support of other United Nations agencies, such as UNOCHA, DPA and UNISDR. The Project Manager will, in consultation with the RECs and women's CSOs, identify gender consultancy expertise in capacity development and gender equality at the onset of the project to review the implementation plan and recommend actions that will ensure that gender is mainstreamed in the project. Administrative and Financial support to the project will be provided by the Operations Support Units, established in the two UNDP RSCs based in Dakar and Johannesburg.



needed re-allocation of resources, and (iv) timely production of quarterly updates to management on delivery of results. He/she will work closely with the relevant BCPR Advisors to contribute to the substantive alignment between project activities and UNDP policies and practices. The RBA Evaluation Advisors will facilitate regular monitoring and timely evaluation of project activities.

3.5 Project execution

In view of the critical role given to UNDP to provide assistance to developing the capacities of national and regional institutions to promote and sustain peace and early recovery on the sub-continent, and in line with the decentralization strategy of UNDP and the increasing need for enhanced accountability and quality assurance, this project will be directly executed by the UNDP/RBA RSC in Dakar. Furthermore, there is no single UN or other agency with the package of expertise and experience required to support beneficiaries and partners in this vital area.

4. Monitoring and Evaluation

Project monitoring and evaluation procedures will be guided by UNDP corporate guidelines. The evaluation will be conducted in accordance with UNDP corporate evaluation policy, which was approved by the UNDP Executive Board at its 2006 annual session. The evaluation policy is consistent with UN General Assembly resolution 59/250 and the norms and standards for evaluation set by UNEG of April 2005ⁱⁱⁱ and agreed upon by the implementing partners in accordance with the established procedures of UNDP.

Monitoring of results will be conducted throughout the life cycle of the project with the objective of confirming whether planned outputs are being produced as planned and efficiently, identifying decisions that need to be made concerning changes to the already planned activities in subsequent stages; verifying continued relevance of planned activities and identifying and analysing emerging risks and challenges to be taken into account in achieving results.

To support systematic monitoring, a Monitoring Framework will be developed and agreed with key stakeholders.

Five percent (5%) of total regional programme resources allocated to this project will be reserved for monitoring and evaluation activities. In accordance with the current programming policies and procedures, RCF III will be monitored through the following mechanisms:

Within the annual cycle:

- a. On a quarterly basis, an activity/output based assessment shall record progress towards the completion of key results, (of which one specifically address gender inequality), based on quality criteria and methods captured in a specifically designed Activity/Output Management Matrix.
- b. An issue log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.
- c. Based on the initial risk analysis submitted, a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- d. Based on the above information recorded in Atlas, a Quarterly Progress Reports (QPR) shall be submitted by the Project Manager to the SC through the DRD, using the standard report format available in the Executive Snapshot.
- e. A project lessons-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project.
- f. A Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events.
- g. Given the wide scope, geographic span, and a possible multiplicity of partners in the project, field visits and periodic (quarterly) discussions will be held with the key stakeholders in each of the two sub-regions served by the project.

Annually

- a. *Annual Review Report:* An Annual Review Report shall be prepared by the Project Manager and shared with the SC and the Regional Programme Advisory Board. As minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the QPR, covering the whole year with updated information for each element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.

- b. *Annual Project Review*: An annual Project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project, build consensus among partners on issues directly relevant for the achievement of planned results and appraise the AWP for the following year. In the last year (2013), this review will be a final assessment. This review is driven by the SC and may involve other stakeholders, as required. It shall focus on the extent to which progress is being made towards outputs, and to ensure that these remain aligned to appropriate outcomes. The results of the review will be communicated to the SC and the RBA Director.

Ex-post Evaluation

An ex-post evaluation shall be undertaken by independent consultants. The aim shall be to look at the lessons learnt and the actual impact of the project.

5. Legal Context

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the "Project Document" instrument referred to in: (i) the respective signed SBAs for the specific countries; or (ii) in the Supplemental Provisions attached to the project document in cases where the recipient country has not signed an SBA with UNDP, attached hereto and forming an integral part hereof.

The legal basis for this project document is the UNDP Regional Programme Document for Africa (2008-2011). The administration of the project will be governed by UNDP rules and procedures as defined in the UNDP Programme and Operations Policies and Procedures within the broader policy context defined by the Executive Board.

This project will be directly executed by the UNDP/RBA RSC, based in Dakar Senegal.

6. Risks Log

Project title and ID (ATLAS Award ID): Enhanced Regional Capacities in Africa for Preventing and Recovering from Crises Caused by Natural Disasters and Conflicts							Award ID		Date:	
No	Description	Date Identified	Type	Impact and Probability	Countermeasure/Mgmt Response	Owner	Submitted /Updated by	Last Update	Status	
1.	With the possible exception of ECOWAS, disaster risk reduction is yet to be effectively institutionalised in Africa	September 2008	Economic Political Social	The risks is that the time estimated to develop capacities in Africa will not be sufficient Enter probability on scale from 1 (low) to 5 (high) P = 3 Enter impact on scale from 1 (low) to 5 (high) P = 4	There is increasing awareness and recognition within the AU and RECs targeted that this is a capacity gap that needs to be addressed and so there is strong demand for the support that this project is intended to provide	Senior Management	Project Preparatory team			
2.	While a number of countries, especially those afflicted by persistent disasters, have prepared DRR strategies, these are often not integrated into their broader national development strategies	September 2008	Economic/operational	Incoherence and inconsistency between DRR strategies and broader national development frameworks, leading to inefficiencies (especially uncoordinated efforts) and under-funding . If national capacities are not built this could undermine the efforts of the AU and RECs to coordinate DRR policies and strategies and so adversely impact project objectives P = 3 I = 3	This project is intended to address such risks by ensuring coordination and synergy between continental, regional and national DRR efforts. Moreover, close collaboration with key partners, principally BCPR and UN/ISDR, is intended to foster a single partnership strategy	Project Implementation teams.	Project Preparatory team			
3.	Inadequate	September	Economic	This risk can adversely affect the	The project by targeting CSOs will	Project	Project			

	involvement of stakeholders (citizens and CSOs) which will continue to affect the sustainability of interventions	r 08	and social	extent to which attitudes and practices are changed and hence impact of the project. P = 3 I = 3	be seeking to change current approaches and to empowering CSOs with appropriate tools foster enhanced participation of key beneficiaries at the local levels.	implementation teams. UNDP/RBA	Preparatory team	
4	Challenges in the low collaboration and cooperation among RECs in affairs of project management	20/09/2009 Political		P = 4 I = 5 Ineffective collaboration among the RECs would undermine project operation and quality and cooperation in exchange of data and information exchange for early warning.	Utilization of regional mechanisms (such as the MOU on Cooperation in the Area of Peace and Security between the African Union and the Regional Mechanisms for Conflict Prevention, Management and Resolution) to propel sub-regional coordination and collaboration	Senior Management		
5	The ability of RECs to effectively implement the project is impaired by overwhelming systemic challenges	20/09/2009 Operational		P = 3 I = 4 Progress in institutionalizing the CPR agenda in the RECs is slow and mixed while project implementation requires additional resources	Direct provision of critical CPR human resource as well as technological resources to the RECs	Project implementation team		
6	Low buy-in by CSOs into the CPR agenda of RECs and the project	20/09/2009 Political Economic Social		P = 3 I = 3.5 Limited involvement of civil society in CPR programmes of inter-governmental bodies	Project support for developing CSO's capacity, creating forums for interaction and increasing their involvement in CPR programmes of the RECs.	Project implementation team		
7	The exit strategy is agreed to by the SC but is insufficiently implemented.	20/09/2009 Economic		P = 4 I = 4 lack of experience in implementing effective exit strategies for donor-funded activities	Vigorous solicitation of commitments of post-project support for the CPR agenda of the RECs.	Senior Mgt.		

7. Results and Resources Framework

<p>UNDP Strategic Plan Outcomes: Enhancing conflict prevention and disaster risk reduction management capabilities</p> <p>UNDP Regional Programme (2008-2011) Outcome(s):</p> <ul style="list-style-type: none"> • Effective regional mechanisms for disaster preparedness and response • More effective regional institutions for crisis prevention • Greater responsiveness and sustainable recovery from crisis <p>Indicators, Baselines and Targets as stated In Regional Programme Framework:</p> <p>Indicator: AU CPR strategy operationalised and implemented Baseline: AU CPR strategy adopted but lack of AU/RECs capacity to implement Target: Implementation mechanisms of AU CPR strategy established and operational by end 2009</p> <p>Indicator: Regional early warning mechanisms for disaster preparedness and response established Baseline: Sub-regional early warning mechanisms need continental integration Target: An integrated early warning system established by 2010</p> <p>Indicator: Training programmes of the AU, RECs and other institutions on crisis prevention and recovery elaborated and implemented Baseline: AU and RECs lack relevant expertise in CPR Target: Adequate AU and RECs capacity and knowledge for CPR built by 2011</p> <p>Indicator: Framework and contingency plans for sub-regional responses to crisis and sustained recovery developed and adopted Baseline: AU CPR strategy has been adopted but they have not been applied to specific sub-regional situations Target: AU strategy successful applied to specific sub-regional cases</p>
<p>Applicable UNDP Regional Programme (2008-2013) Focus Area of Support: Conflict prevention, peace building and economic recovery</p> <p>Applicable UNDP Regional Programme (2008-2013) Key Result Area(s):</p> <ul style="list-style-type: none"> • Effective sub-regional and regional mechanisms for crisis prevention • Effective regional mechanism for crisis recovery <p>Partnership strategy</p> <p>The strategy for partnership between the UNDP and the RECs in CPR is directed at strengthening their capacity to formulate and implement strategies and programmes that will enable them to realize their vision and mission while sustaining their developmental momentum through addressing crises. Successful implementation of the project requires partnership among key stakeholders, at international, regional and national levels. Several institutions provide various forms of support to RECs in CPR. This project will strengthen partnerships with various institutions, particularly those operating programmes in the target thematic areas of the project, including UN agencies such as UNDP, UNDPKO, UNITAR and OCHA, the World Bank and bilateral donors. Partnerships engendered under the project will also seek to enhance harmonization or congruence between these varied support programmes and to institutionalize relationships that will enhance the resource base for supporting capacity development</p>

initiatives after cessation of UNDP support at the end of the life of the project, in line with the exit strategy to be approved by the Steering Committee. To enhance the diversity and flexibility of post-project resources, and provide the sustainability and predictability required to assist the RECs fulfill their strategic goals in CPR, partners will be urged, to the extent possible, to provide un-earmarked and multi-year support. Efforts will also be directed at harnessing the broad strengths of the CSO community and relevant private sector entities, particularly those engaged directly in CPR activities.

Project Title: Enhanced Regional Capacities in Africa for Preventing and Recovering from Crises Caused by Natural Disasters and Conflicts

Project ID: 00073033
 ATLAS ID: 00058694

Intended Programme Outcome 1: Effective regional mechanisms for disaster preparedness and response

INTENDED OUTPUTS	OUTPUT TARGETS FOR (YEARS)	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
<p>Output 1: Increased disaster risk management capacities and resources in selected Regional Economic Communities.</p> <p>Baseline: Capacity Needs Assessment of the RECs in disaster risk management outdated or insufficient.</p> <p>Indicators:</p> <ul style="list-style-type: none"> • Number of Capacity Needs Assessment Reports prepared • Number of training plans for REC staff • Number of bilateral agreements that facilitate cross-border support in responding to humanitarian crises reviewed 	<p><u>Targets (Year 1)</u></p> <p>1.1 Capacity development assessment of three RECs; recruitment of project staff; assignment of UNV staff to RECs and initiate technical orientation on DRR.</p> <p><u>Targets (Years 1 and 2)</u></p> <p>1.2 RECs disaster risk reduction strategy supports member states fulfillment of technical</p>	<p>1.1.1 Activity Result: Institutional training strategy for DRR developed.</p> <p>1.1.1 Action: Consultant recruited to evaluate RECs disaster risk reduction capacities against a template of capacities necessary to support member states in preparing for and responding to natural and human-induced disasters.</p> <p>1.1.2 Activity Result: Consultant report recommendations/training strategy reviewed and accepted by RECs. Training schedule, timeline, venue, trainers and participants identified.</p> <p>1.1.2 Action: Consultant recruited to prepare and conduct 5-day basic DRR training course for REC staff and 15 selected national representatives. A DRR pre-testing of knowledge on basic skills/tenets will be conducted</p> <p>1.2.1 Activity Result: Recruitment of project staff and procurement of project equipment.</p>	<ul style="list-style-type: none"> • RSC to prepare TOR and recruit consultant(s) for a 21-day assessment of IGAD, SADC and ECOWAS. • RSC to prepare TOR for trainers (3) to conduct a 5-day workshop on basic DRR for 15 participants. • RSC to provide program management 	<p>1.1.1 Technical consultant fees, DSA, Terminal costs and travel - \$39,600.</p> <p>1.1.2 Trainers fees, DSA, terminal and travel costs, venue and training materials, participant DSA and travel - \$50,000</p> <p>1.2.1 Half the budget for Project Manager for three years = \$367,500</p> <p>3 DRR Specialists for three years = \$720,000 (at \$80,000 per Specialist per year).</p> <p>1 Prog Asst: \$40,000/yr x3 = \$120,000</p>

	<p>requirements to create national DRR platforms.</p>	<p>1.2.1 Action: RSC select Project Manager and DRR Specialists. REC selects technical and support staff.</p> <p>1.2.2 Activity Result: Initiate hazard, risk, vulnerability/capacity analysis in 10 selected member states in RECs (IGAD, SADC and ECOWAS).</p> <p>1.2.2 Action: Hazard analysis of: seasonal and rapid onset hazards, including emerging hazards; vulnerability and capacity assessments of disaster preparedness and, hazard and risk monitoring capacities.</p> <p>1.2.3 Activity Result: Training workshop on conducting natural disaster losses and needs assessments.</p> <p>1.2.3 Action: REC member states/Focal points use rapid assessment tools to conduct post disaster assessment.</p> <p>1.3.1 Activity Result: DRR advocacy training with REC DRR Focal Points and select member states.</p> <p>1.3.1 Action: RECs and member states communicate a media strategy for DRR including hazards, risk and mitigation measures.</p> <p>1.3.2 Activity Result: RECs develop programmes and channels for dissemination of disaster risk reduction information to the public and between member states.</p>	<p>services and recruitment of Project Manager, DRR Specialists and support staff.</p> <ul style="list-style-type: none"> Project Manager, UNDP/RSC Policy DRR Advisors; REC DRR Focal Points, Technical Consultant; conduct of 10-day assessment in ten member states. Project Manager, UNDP/RSC Policy DRR Advisors; RECs DRR staff, UNVs, BCPR and IFRC DP Advisor to support workshop and rapid assessment tools. Project Manager, UNDP/RSC Policy DRR Advisors; REC DRR staff, Advocacy Consultant; select national member participants. REC DRR staff, member states and IT/communications consultant. 	<p>1.2.2 Consultant fees, DSA and travel/terminal costs- \$71,000; Mission costs and training materials - \$50,000.</p> <p>1.2.3 Consultant fees, DSA and travel/terminal expenses \$ 15,500. Emergency funding to conduct post-disaster rapid needs/losses assessment = \$50,000 (\$5,000 per mission X 10 missions).</p> <p>1.3.1 Consultant fees, DSA and travel/termination fees \$30,000. REC staff DSA, travel and training materials \$20,000. REC member states participants (15 persons) for five-day workshop) \$45,000.</p> <p>1.3.2 Consultant support to develop IT/Communication systems for 3 REC systems \$25,000 and \$125,000 for contribution to systems development.</p>
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	<p>1.4 RECs and member states develop a DRR database of professionals to support current and future capacity development initiatives.</p>	<p>1.3.2 Action: Sound information dissemination strategy developed at the REC and national levels</p> <p>1.4.1 Activity Results: RECs/member states identify DRR national expertise in region to serve as resource persons at DRR forums and to assist in capacity development initiatives at the national and regional levels.</p> <p>1.4.1 Action: Local experts invited to national disaster risk reduction forums in addition to regional events supported by the RECs and other DRR stakeholders.</p> <p>1.5.1 Activity Results: REC and national member states raise awareness/initiate actions to address the linkage between climate change/natural resource management and DRR/national development planning.</p> <p>1.5.1 Action: AU/RECs develop regional conference to address the challenges of climate change and natural resource management in Africa using regional technical institutions (ACMAD, ICPAC, AGRHYMET, etc).</p>	<p>• REC DRR staff, and member states DRR Focal Points.</p>	<p>1.4.1 Directory of national DRR experts developed and circulated to member states \$2,000</p>
<p>Targets (Year 3)</p> <p>1.5 RECs and member states address the DRR linkage with environmental and natural resource management.</p>	<p>1.6.1 Activity Results: Exit strategy developed in concert with new multi-year programme by RECs for DRR units with support of Project Manager and DRR Specialists and proposals for external resource mobilization submitted to donor community.</p> <p>1.6.1 Action: REC staff, supported by AU, UNDP/RSC Policy DRR Advisors, Project Manager to identify potential donors from which to mobilize resources to fund</p>	<p>• African Union, REC DRR staff, Technical Experts, UNDP/RSC Policy DRR Advisors; Project Manager</p>	<p>1.5.1 National, regional and international climate change experts contribute to a three-day conference with participants from IGAD, SADC and ECOWAS member states and other DRR stakeholders. Project shall fund consultant costs to plan and develop a donor proposal to secure funding. Consultant fees \$ 25,000.</p>	
<p>Targets (Year 3)</p> <p>1.6 REC DRR staff develops new multi-year programme strategy and donor proposals for resource mobilization.</p>		<p>• African Union, REC DRR staff, Technical Experts, UNDP/RSC Policy DRR Advisors; Project Manager</p>	<p>1.6.1 No cost.</p> <p>Total output 1 = \$1,755,600</p>	

INTENDED OUTPUTS	OUTPUT TARGETS FOR (YEARS)	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
<p>Output 2: Enhanced regional early warning and disaster preparedness and response through strengthening of national level capacities in at risk in at-risk nations to natural disasters.</p> <p>Baseline: To be established through assessments of Regional Economic Community states early warning systems and capacities to respond to rapid and slow onset natural and human-induced disasters. Review bilateral agreements that facilitate cross-border support in responding to humanitarian crises.</p> <p>Indicators:</p> <ul style="list-style-type: none"> Number of consultant reports on REC and member states DRR aptitudes in early warning and policy legislation to facilitate possible cross-border emergency support initiatives. Number of assessments conducted of national level forecasting and 	<p>Targets (Year 1)</p> <p>2.1 Capacity development plan for three RECs commences with rapid assessment of REC and national Disaster Risk Reduction Departments aptitudes and weaknesses and the presence of supportive regional cooperative agreements in support of events that overwhelm national capacities.</p> <p>Targets (Years 1 and 2)</p> <p>2.2 Complete a draft framework action plan, based on the rapid vulnerability and capacity, hazard and risk assessment, as a step in the development of a national disaster strategy for the pilot countries in each REC. The Frameworks will also highlight areas of concern i.e. food and livelihood insecurity, environment and economic destabilization, and social issues.</p>	<p>ongoing activities.</p> <p>2.1.1 Activity Results: Initiation of early warning and disaster forecasting systems at the member state level.</p> <p>2.1.1 Action: (1) Assessment of national level forecasting and early warning systems, and, (2) design and costing of upgraded forecasting and early warning systems.</p> <p>2.2.1 Activity Results: Ten countries selected to complete DRR frameworks for action to plan for and respond to the risks posed by natural and human-induced hazards.</p> <p>2.2.1a Actions: Develop criteria for the objective selection of the pilot countries for Disaster Risk Reduction national capacity enhancement.</p> <p>2.2.1b Actions: REC DRR Focal Points select member states for hazard and risk assessments based on selection criteria established for the selected countries, and recruit national consultants to undertake national reviews.</p> <p>2.2.1c Actions: Presentation of assessment</p>	<p>• REC DRR staff, Project Manager, BCPR Technical support, external consultant. Regional 3-day workshop with 15 participants to assess national/regional forecasting and early warning capabilities in member states.</p> <p>• REC DRR staff, Project Manager, Technical advisors from BCPR, IFRC, consultants.</p>	<p>2.1.1 (1) Consultant fees, DSA and travel/terminal cost \$ 27,200. DSA travel/terminal fees for REC 6 staff = \$10,800. 15 participants DSA and travel = \$40,500. Training materials/venue = \$10,000.</p> <p>(2) Consultant fees = \$15,000.</p> <p>2.2.1 Consultant fees for studies = \$135,000. Publication and presentation of findings to national governments = \$15,000. National consultants prepare vulnerability papers = \$45,000. Roundtable dialogues with DRR donors to secure resources to launch risk reduction activities = \$7,500.</p>

<p>early warning systems</p> <ul style="list-style-type: none"> Number of training programmes implemented 	<p>report and recommendations to national governments to seek positive support to raise their DRR capacities while lowering national risk levels to natural and human-induced hazards.</p> <p>2.2.1d Action: Development of REC position papers on vulnerability issues that if left unattended may become destabilizing forces in the region.</p> <p>2.2.1e Action: Combined national government, REC leadership and regional technical agencies develop strategies to acquire resources and support to launch risk reduction activities.</p>	<p>2.3.1 National consultants and REC DRR staff discuss position papers with member nations in support of a Regional Framework for Action. Two consultative meetings per REC with member states = \$75,000. Development of a public awareness DRR strategy for three RECs and media launch = \$45,000.</p>
<p>Targets (Year 3)</p> <p>2.3 Development of a Regional Framework for Action for coordinating disaster response planning, expediting relief, encouraging bilateral support for DRR and the strengthening of civil institutions.</p>	<p>2.3.1 Activity Results: Through a series of consultations, member states agree to adopt policies and accords to improve the effectiveness and coordination of emergency humanitarian assistance to natural disasters and human-induced crises that may affect regional security. Public awareness raised in order to increase coordination at all levels of government and by DRR stakeholders. Media involvement in communicating REC DRR strategy.</p> <p>2.3.1 Action: Series of REC dialogues on DRR issues, i.e. adherence to humanitarian principles and the role of civil society, reinforcement of legal frameworks for humanitarian action and cooperation, security and protection of civilian populations during a crisis, the need for bilateral support in time of emergencies, need for broader accreditation for disaster risk reduction professionals etc.</p>	<ul style="list-style-type: none"> REC DRR staff, DRR Policy Advisor/Project Manager, BCPR Policy Advisors, external consultants, and local and regional media.

INTENDED OUTPUTS	OUTPUT TARGETS FOR (YEARS)	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
<p>Output 3: Improved coordination between Regional Economic Communities, civil society and the private sector, with national governments, to plan for, and to address, disaster risks</p> <p>Baseline: Will be established through a survey questionnaire to CSO and private sector networks to examine local natural disaster risk levels, preparedness capacities and gaps in knowledge, technical resources and solutions to strengthen local government and civil society role in lowering disaster risk.</p> <p>Indicators:</p>	<p>Targets (Year 3)</p> <p>2.4 Introduction of disaster risk reduction planning into the national level development planning of member states. Dialogue on DRR and linkages to planning and sectoral policies (i.e. poverty eradication, social protection, coping with and mitigation of natural disasters, sustainable development, climate change adaptation, energy and natural resources management).</p> <p>Targets (Year 1)</p> <p>3.1 Capacity development plans for CSOs and private sector undertaken in REC countries and baseline data study launched.</p> <p>3.2 Questionnaire data analysed, and report of findings prepared and disseminated to UCLGA members and relevant private sector DRR stakeholders.</p>	<p>2.4.1 Activity Results: REC recruit technical support for member states seeking to develop DRR strategies that can be incorporated into the development strategy and planning by national level policy and planners. Ten REC member states begin process of DRR inclusion into national planning process.</p> <p>2.4.1 Action: Technical consultants support national level planning needs of REC membership with state planners to incorporate a risk reduction strategy into national development policies and plans.</p> <p>3.1.1 Activity Results: Institutional training strategy for CSOs developed; staff recruitment (one DRR Specialist for 2-year assignment).</p> <p>3.1.1 Action: Develop methodology and risk and vulnerability questionnaire for CSO and private sector networks in REC region. Pre-test and then send to CSOs.</p> <p>3.2.1 Activity Results: Knowledge base of hazard, risks and vulnerabilities of local governments in Africa developed and distributed to DRR stakeholders.</p> <p>3.2.1 Action: Questionnaires for both CSOs and the private sector developed and implemented</p>	<ul style="list-style-type: none"> REC, Project Manager, BCPR Policy Advisors, and ISDR Project Manager, BCPR Policy Advisors, and external consultant. Project Manager, BCPR Policy Advisors, local IT and media consultants. 	<p>2.4.1 Technical teams of REC DRR staff and technical consultants undertake missions to pilot countries to address learning needs of national level policy and planning authorities. \$120,000 for travel, DSA for technical teams spending between 5-15 days per mission visit.</p> <p>Total output 2 = \$546,000</p> <p>3.1.1 Consultant fees to develop methodology and content of risk and vulnerability questionnaire = \$10,000. Consultants for 2 years = \$45,000</p> <p>3.2.1 Consultant fee for tabulation and analysis \$10,000. Printing of report \$5,000.</p>

<ul style="list-style-type: none"> Number of analytical reports of hazards, risk and vulnerability to natural and human-induced crises at the local government level. 	<p>3.3 Development of UCLGA disaster risk reduction advocacy and training materials.</p>	<p>3.3.1 Activity Results: DRR training materials prepared and utilized by CSOs and the private sector in print and electronic distribution form. Materials stimulate risk reduction mitigation activities.</p> <p>3.3.1 Action: Development of materials for members to understand DRR and develop advocacy messages and develop risk reduction mitigation activities at the local government level.</p>	<ul style="list-style-type: none"> Project Manager, BCPR Policy Advisors 	<p>3.3.1 IT and media consultants to draft electronic and had copy of materials. \$10,000. Print and distribution costs \$15,000.</p>
<p>3.4 CSO network members undertake research and present key findings at DRR workshop/conferences to relate DRR information from network members and stakeholders, government and the private sector. Participation generates new networking DRR partnerships</p>	<p>3.4.1 Activity Results: Project introduces its aims, objectives and accomplishments to date at stimulating local government towards greater risk reduction activities. Development of collaborative relationships with DRR experts and other stakeholders agencies creates a network for exchange of technical information and support in the future.</p> <p>3.4.1 Action: Papers developed by project staff for UCLGA presentation at African conference on DRR to describe local government perceptions, strengths and weaknesses and role to effect greater risk reduction in the future.</p>	<p>3.4.1 Activity Results: Project introduces its aims, objectives and accomplishments to date at stimulating local government towards greater risk reduction activities. Development of collaborative relationships with DRR experts and other stakeholders agencies creates a network for exchange of technical information and support in the future.</p> <p>3.4.1 Action: Papers developed by project staff for UCLGA presentation at African conference on DRR to describe local government perceptions, strengths and weaknesses and role to effect greater risk reduction in the future.</p>	<ul style="list-style-type: none"> UCLGA staff, Manager, BCPR Policy Advisors. Local consultant to draft documents. 	<p>3.4.1 Travel costs for CSO network members to attend two workshops and conferences in Africa organized by the project. \$25,000.</p>
<p>Targets (Year 2)</p> <p>3.5 Development of greater understanding amongst CSO networks of the need for a mission, vision and multi-year strategy for DRR.</p>	<p>3.5.1 Activity Results: Unification of UCLGA membership behind a DRR strategy. Members create risk reduction and mitigation proposals that are consolidated into resource mobilization documents.</p> <p>3.5.1 Actions: Drafting of vision and mission statements and DRR charter for UCLGA membership to adopt. Solicit mitigation proposals for incorporation into DRR</p>	<p>3.5.1 Activity Results: Unification of UCLGA membership behind a DRR strategy. Members create risk reduction and mitigation proposals that are consolidated into resource mobilization documents.</p> <p>3.5.1 Actions: Drafting of vision and mission statements and DRR charter for UCLGA membership to adopt. Solicit mitigation proposals for incorporation into DRR</p>	<ul style="list-style-type: none"> UCLGA, Project Manager, BCPR Policy Advisors; donor agencies and local government participants. 	<p>3.5.1 Communications costs for conference calls (Skype) to DRR Committee membership and a two-day consultative meeting in Johannesburg \$20,000 for travel and accommodation for six to eight committee members.</p>

	<p>proposals to channel to donor agencies.</p> <p>3.6.1 Activity Results: Resource mobilization from external donors found to support 10-15 small disaster risk reduction initiatives by UCLGA members.</p> <p>3.6.1 Actions: Project staff initiate donor funding agreement and project agreements with local government partners.</p> <p>3.7.1 Activity Results: Field level monitoring of project activities and development of lessons learned in strengthening risk reduction capacities.</p> <p>3.7.1 Actions: Conduct monitoring visits as part of new donor funding requirements.</p> <p>3.8.1 Activity Results: Development of a bankable a multi-year follow on project that builds upon lessons learned, recommendations from external evaluation.</p> <p>3.8.1 Action: Project staff engage in consultations with technical support advisors and a program design consultant to prepare, solicit funding and technical backstopping and initiate a second three-year DRR project to support risk reduction to natural and human-induced crises among its members.</p>	<p>UCLGA, Project Manager, BCPR Policy Advisors</p> <p>Project Manager, BCPR Policy Advisors. Donor agencies and local government participants.</p> <p>Project Manager, BCPR Policy Advisors. Donor agencies and local government participants.</p>	<p>3.6.1 Contribution of \$7,500 per UCLGA members risk reduction activity receiving external donor resources. Maximum of \$100,000.</p> <p>3.7.1 No cost.</p> <p>3.8.1 Consultant fees, travel expenses for technical advisors and local government participants. \$45,000.</p> <p>Total output 3 = \$285,600</p>
<p>3.6 Development of CSO network proposal for mobilizing resources for local government member risk reduction activities. Proposal sent to potential donors in the public, private and civil society sectors for consideration.</p> <p>Targets (Year 3)</p> <p>3.7 Enhance and refine knowledge of DRR and mitigation strategies among local government UCLGA membership.</p> <p>3.8 Creation of exit strategy through the development of a strategic plan for post-UNDP RBA project initiatives.</p>			
<p>Monitoring and Evaluation</p>			
<p>Sub-total Outputs 3</p>			
			<p>\$185,900</p>
			<p>\$2,771,900</p>

Intended Regional Programme Outcomes: More effective regional institutions for crisis prevention and greater responsiveness and sustainable recovery from crisis				
Intended Outputs	Output Targets	Indicative Activities	Responsible Parties	Inputs (USD)
<p>Output 4: RECs capacity for and collaboration in CPR developed</p> <p>Baseline:</p> <p>The CPR strategy of the AU has been adopted but RECs lack appropriate CPR capacity</p> <p>No reviews undertaken focused on human resource capacity constraints for the effective operations of the Regional Mechanisms for Conflict Prevention, Management and Resolution.</p> <p>Indicators:</p> <p>4.1 CPR Units established by all the RECs</p> <p>4.2 Number of REC staff undergoing project-supported training in CPR</p> <p>4.3 At least 3 RECs adopt enhanced CPR operations processes</p> <p>4.4 Instrument on expanded inter-REC collaboration and cooperation in CPR adopted under the 2008 MOU on Cooperation in the Area of Peace and Security</p>	<p>4.1 Structure for the management, implementation, oversight and policy guidance for the regional project in place.</p> <p>4.2 Technically proficient staff recruited and stationed at the REC Crisis Prevention and Recovery Units, including staff with gender expertise</p> <p>4.3 Review report completed on the IT, Human resource capacity, organizational requirements, and gender disparities and for the effectiveness of the Crisis Prevention and Early recovery programmes of the RECs</p> <p>4.4 Guidelines on administrative and operational procedures and training material and tools for developing CPR in RECs reviewed.</p> <p>4.5 Requirements developed for establishing CPR Units in RECs where they do not exist</p>	<p>4.1 Establishment of project management arrangements, including recruitment of CPM Specialists for RECs</p> <p>4.2 Assessment of human, technological and financial resource needs for CPR capacity development and operations in RECs</p> <p>4.3 Development of proposals for establishment of CPR Units in RECs, where they are absent</p> <p>4.4 Development of necessary training materials and programmes for enhancing CPR skills and competence of RECs staff based on review of operational, administrative and financial management processes used by RECs for enhancing the CPR capacity</p> <p>4.5 Development and adoption of a human resources strategy for the recruitment and placement of critical technical support personnel, with a focus on the recruitment of women.</p>	<p>UNDP, RECs</p> <p>RECs, UNDP</p> <p>RECs, UNDP, UNDPKO</p> <p>RECs, UNDP</p> <p>RECs, UNDP</p> <p>RECs, UNDP, UNDPKO</p> <p>RECs, AU, UNDP</p>	<p>Project management arrangements: ½ cost of Project Manager = \$367,500</p> <p>CPM Specialists (5) : \$80,000 x 5 RECs x 3 years = \$1,200,000</p> <p>Prog. Asst = \$40,000 x 3 yrs = \$120,000</p> <p>Meetings/consultations expenses: \$20,000 x 3 years = \$60,000</p> <p>Other project management expenses: \$60,000 x 3 yrs = \$180,000</p> <p><u>Sub-total = \$1,927,500</u></p> <p>Resource requirements for developing REC's CPR capacity: Consultant: \$20,000 Consultations: \$20,000 <u>Sub-total = \$40,000</u></p> <p>Advocacy for establishment of CPR Units in RECs where lacking: Consultant: \$15,000 Consultations/advocacy: \$20,000 <u>Sub-total = \$35,000</u></p>

<p>4.6 Training materials and tools developed for REC Crisis prevention and Early Recovery programmes, including gender aspects of Early Recovery and peace building programmes.</p> <p>4.7 Training guides approved by the Steering Committee utilized in delivering training to staff of CPR Units of RECs</p> <p>4.8 Appropriate instruments for increased collaboration and cooperation among RECs in CPR matters developed and adopted by the Project Board and relevant authorities of the RECs</p>	<p>4.6 Development and adoption of instruments for enhanced collaboration and cooperation among RECs in CPR</p> <p>4.7 Strengthening links between RECs and the AU in CPR</p>	<p>Strategy for development of the HR base for CPR: Consultants (2): \$20,000 Consultations: 20,000 <u>Sub-total = \$40,000</u></p> <p>Agreed instruments for enhancing RECs collaboration and cooperation in CPR: Consultant: \$15,000 Consultations: \$20,000 Joint AU-REC annual CPR reports: \$10,000 x 2 years = \$20,000 <u>Sub-total = \$55,000</u></p> <p>Total Output 4 = \$2,097,500</p>
<p>Output 5: Increased capacity of RECs in early warning for crisis prevention, recovery and peace building</p> <p>Baseline: Current IT and human resources capacity of RECs unable to effectively implement the Regional Early Warning System in support of the Continental Early Warning System of the AU.</p> <p>Indicators: 5.1 Number of RECs with staff skilled in operation of EWS for CPR</p> <p>5.2 At least 4 RECs have fully functional command and operations control centres</p>	<p>5.1 Development of recommendations on ICT and human resource capacity requirements for functional REWS</p> <p>5.2 Development of proposals for establishment of REWS in RECs, where they are absent, based on the experience and lessons from operating REWS in IGAD and ECOWAS</p> <p>5.3 Development of recommendations for 5WS information exchange among RECs and to increase the integration of</p>	<p>Enhancing ICT base of REWS: Consultant: \$30,000 Consultations: \$20,000 ICT equipment: \$220,000 x 5 RECs = \$1,100,000 Equipment maintenance/operation: \$20,000 x 2 x 5 RECs = \$200,000 <u>Sub-total = \$1,350,000</u></p> <p>All RECs operating EWS, integrated & coherent with NEWS and CEWS: Consultancies: \$40,000 Consultations and advocacy: \$30,000 <u>Sub-total = \$70,000</u></p> <p>Enhancing RECs capability in EWS: Consultants: 2 x 15,000 = 30,000 Consultations: 20,000</p>

<p>equipped with the recommended minimum of ICT facilities for EWS</p> <p>5.3 ICT platform established for EWS information exchange among RECs and with the AU</p>	<p>management and technical requirements for the enhanced functioning of the REWS</p> <p>5.4 At least four technical staff from each of the RECs, two representatives of NGO/CSOs trained on IT infrastructure development, administration and management</p>	<p>REWS with national EWS and CEWS</p> <p>5.4 Training of officials of member states, CSOs in the catchment area of RECs and REC staff in EWS management, crisis prevention analysis and preparation of reports for decision-makers</p>	<p>UNDP, RECs, CSOs/NGOs</p>	<p>Training cost: 60,000 x 3 years = 180,000 <u>Sub-total (5.3 & 5.4) = 230,000</u></p> <p>Output 5 total = 1,650,000</p>
<p>Output 6: Enhanced engagement and involvement of civil society entities in CPR processes of RECs</p> <p>Baseline: Little information is documented on non-state entities active at the sub-regional level in support of crisis prevention and early warning processes of RECs</p> <p>Indicators: 6.1 Report on inventory of civil society entities engaged in CPR activities or promoting CPR objectives of RECs</p> <p>6.2 CPR information products produced by CSOs in catchment areas of RECs</p> <p>6.3 At least one forum established for cooperation, collaboration and information sharing between RECs and CSO and private sector entities on CRP issues</p>	<p>6.1 CSOs/NGOs/women organizations engaged in CPR activities or promoting CPR objectives of RECs are documented</p> <p>6.2 At least two sub-regional NGO platforms formed for the purpose of cooperation, collaboration and information exchange on CPR issues</p> <p>6.3 NGOs/CSOs produce information and publicity products on the CPR operations within RECs</p>	<p>6.1 Inventory of CSO and private sector entities engaged in CPR activities, including those of RECs</p> <p>6.2 Provision of technical assistance to develop the capacity of CSOs engaged in CPR activities in RECs</p> <p>6.3.1 Establishment of a REC's forum for cooperation, collaboration and information sharing with civil society organizations engaged with CPR activities</p> <p>6.3.2 Technical assistance to NGO networks in production and dissemination of CPR information and knowledge products</p> <p>6.3.3 Support private sector participation in post-conflict economic recovery</p>	<p>RECs, UNDP</p> <p>UNDP</p> <p>UNDP</p> <p>RECs, UNDP</p> <p>UNDP</p>	<p>Documenting CPR capacity development needs of NGOs/CSOs: Consultant: 15,000 x 3 months = 45,000</p> <p>Consultations: 20,000</p> <p>Production/dissemination of inventory: 30,000</p> <p><u>Sub-total(6.1 & 6.2) = 95,000</u></p> <p>Strengthening community of CPR practice in RECs:</p> <p>Technical assistance: 2 experts for 4 months each over 2 years x 15,000/month = 120,000</p> <p>Platform development: 60,000 x 2 years = 120,000</p> <p>Production/dissemination of products: 30,000/platform x 2 years = 60,000</p> <p><u>Sub-total = 300,000</u></p> <p>Output 6 Total = 395,000</p>

<p>Output 7: Human resource, technical and financial support for CPR in RECs is sustained after the phased withdrawal of UNDP support</p> <p>Baseline: The exit strategy for UNDP projects supporting the RECs has been non-existent or ineffective in assuring predictable, flexible and sustained support after the life of the project</p> <p>Indicators: 7.1 Endorsement of the exit strategy by SC, RECs, member states, UNDP and other stakeholders</p> <p>7.2 Number of activities undertaken to generate resource support for DRR/ CPR activities of RECs</p> <p>7.3 Percent change in financial and human resource investment in DRR/CPR two years after project completion</p> <p>Monitoring and Evaluation</p>	<p>7.1 Report of the human resource, technical and financial status and needs of the CPR programmes of RECs is completed</p> <p>7.2 Support for design of CPM Fund and DRR Regional Fund</p> <p>7.3 Financial and other recommendations from the exit strategy for ensuring sustainability of CPR operations of the RECs is endorsed by SC, member states</p> <p>7.4 Exit strategy endorsed for implementation by the SC</p> <p>7.5 Pledges of support for project outcomes after UNDP withdrawal are secured</p>	<p>7.1 Review of the financial, technical and human resource requirements for the effective and sustainable operations of the CPR Units after the life of the project</p> <p>7.2 Study of feasibility, operationalization, design options and sustainability of the two CPR funds</p> <p>7.3 Documentation of the project support exit strategy for UNDP</p> <p>7.4 Securing consensus and agreement on the timing, financial commitments and phased implementation of the strategy by SC, member states and civil society entities.</p> <p>7.5 Initiating implementation of fund-raising element of the exit strategy</p>	<p>UNDP, RECs</p> <p>UNDP</p> <p>UNDP</p> <p>RECs, national authorities, CSOs/NGOs, UNDP</p> <p>RECs, UNDP</p>	<p>Ensuring provision of financial, technical and human resource requirements for sustainable CPR Units after project completion: Consultancy: 35,000 (a) preparing needs report – 15,000 (b) documenting exit strategy – 5,000 (c) developing fund-raising programmes - 15,000 Consultations: 40,000 Fund-raising programme commencement: 20,000 <u>Sub-total = 95,000</u></p> <p>Study of design of CPR funds: Consultant: 10,00 x 2 months: 20,000 Consultations: 30,000 <u>Sub-total = 50,000</u></p> <p><u>Output 7 total = \$145,000</u></p> <p>Consultant: \$15,000 Consultations: \$20,000 M&E budget: \$50,000 x 3 = \$150,000 e-mechanisms: \$5,000 x 3 = \$15,000 <u>Sub-total = \$200,000</u></p>
<p>Output 4-7 Sub-total</p> <p>TOTAL PROJECT BUDGET</p>		<p>\$4,487,500</p> <p>\$7,257,400</p>		

IX ANNEXES
ANNEX 1: ANNUAL WORK PLAN BUDGET SHEETS

YEAR 1

EXPECTED OUTPUTS And baseline indicators including annual targets	PLANNED ACTIVITIES List activity results and associated actions	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q1	Q2	Q3	Q4		Funding Source	Budget Description	Amount
Output 1: Increased disaster risk management capacities and resources in selected Regional Economic Communities. Baseline: Capacity Needs Assessment of the RECs in disaster risk management outdated or insufficient.	1.1.1 Activity Result: Institutional training strategy for DRR developed. 1.1.1 Action: Consultant recruited to evaluate RECs disaster risk reduction aptitudes against a template of capacities necessary to support the national members in preparing for and responding to natural and human-induced disasters.	X				RSC to prepare TOR to recruit consultant(s) for a 21-day assessment of IGAD, SADC and ECOWAS.	UNDP Regional Programme	Consultant Services	\$39,600
Indicators: • Number of Capacity Needs Assessments Reports prepared • Number of training plans for REC staff • Number of bilateral agreements that facilitate cross-border support in responding to humanitarian crises reviewed	1.1.2 Activity Result: Consultant report recommendations/training strategy reviewed and accepted. Training schedule, timeline, venue, trainers and participants identified. 1.1.2 Action: Consultant recruited to prepare and conduct 5-day basic DRR training course for REC staff and 15 selected national representatives. A DRR pre-post testing of knowledge on basic skills/tenets will be conducted	X				RSC to prepare TOR for trainers (3) to conduct a 5-day workshop on basic DRR for 15 participants.	UNDP Regional Programme	Capacity Development	\$50,000
	1.2.1 Activity Result: Recruitment of project staff and procurement of project equipment.	X				RSC to provide programme management	UNDP Regional Programme	Operations	\$1,207,500 ³⁸

³⁸ To be paid out over three years period.

<p>Output 2: Enhanced regional early warning and disaster preparedness and response through strengthening of national level capacities in at-risk nations to natural and disasters.</p> <p>Baseline: To be established through assessments of Regional Economic Community states early warning systems and capacities to respond to rapid and slow onset natural and human-induced disasters. Review bilateral agreements that facilitate cross-border support in responding to humanitarian crises.</p> <p>Indicators:</p> <ul style="list-style-type: none"> • Number of consultant reports on REC and member states DRR aptitudes in early warning and policy and legislation to facilitate possible cross-border emergency support initiatives. • Number of assessments conducted of national level forecasting and early warning systems • Number of training programmes implemented 	<p>1.2.2 Action: RSC select DRR Policy Advisor and UNV Advisors. REC selects technical and support staff.</p> <p>2.1.1 Activity Results: Initiation of early warning and disaster forecasting systems at the member state level.</p> <p>2.1.1 Action: (1) Assessment of national level forecasting and early warning systems. And, (2) design and costing of upgraded forecasting and early warning systems.</p> <p>2.2.1 Activity Results: Ten countries selected to complete DRR frameworks to plan for and respond to risks posed by natural and human-induced hazards</p> <p>2.2.1a Action: Develop criteria for the objective selection of the pilot countries for disaster risk reduction national capacity enhancement</p>	<p>X</p>			<p>services and recruitment of Project Manager, 3 DRR Specialists, Prog Asst</p> <p>REC DRR staff, DRR Policy Advisor/Project Manager, BCPR Technical support, ICRC, External consultant.</p> <p>REC DRR staff, DRR Policy Advisor/Project Manager, BCPR Technical support, ICRC, External consultant.</p>	<p>UNDP Regional Program</p> <p>UNDP Regional Program</p>	<p>Capacity Development (Regional 3-day workshop with 15 participants to assess national/regional forecasting and early warning capabilities in member states)</p> <p>Capacity Development †</p>	<p>\$103,500</p> <p>No costs</p>
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<p>Output 3: Improved coordination between Regional Economic Communities, civil society and the private sector, with national governments, to plan for, and to address, disaster risks</p> <p>Baseline: Will be established through a survey questionnaire to CSO and private sector networks to examine local natural disaster risk levels, preparedness capacities and gaps in knowledge, technical resources and solutions to strengthen local government and civil society role in lowering disaster risk.</p> <p>Indicators:</p> <ul style="list-style-type: none"> Number of analytical reports of hazards, risk and vulnerability to natural and human-induced crises at the local government level. 	<p>3.1.1 Activity Results: Institutional training strategy for CSOs developed; staff recruitment (short-term consultants).</p> <p>3.1.1 Action: Develop methodology and risk and vulnerability questionnaire for CSO and private sector networks in REC region. Pre-test and then send to CSOs.</p> <p>3.2.1 Activity Results: Knowledge base of hazard, risks and vulnerabilities of local governments in Africa developed and distributed to DRR stakeholders.</p> <p>3.2.1 Action: Questionnaires for both CSOs and the private sector developed and implemented</p> <p>3.3.1 Activity Results: DRR training materials prepared and utilized by CSOs and the private sector in print and electronic distribution form. Materials stimulate risk reduction mitigation activities.</p> <p>3.3.1 Action: Development of materials for members to understand DRR and develop advocacy messages and develop risk reduction mitigation activities at the local government level.</p> <p>3.4.1 Activity Results: Project introduces its aims, objectives and accomplishments to date at stimulating local government towards greater risk reduction activities. Development of collaborative relationships with DRR experts and other stakeholders agencies creates a network for exchange of technical information</p>	X	X	X	X	<p>DRR Policy Advisor/Project Manager, BCPR Policy Advisors and other technical specialists, external consultant.</p> <p>DRR Policy Advisor/Project Manager, BCPR Policy Advisors, local consultant.</p> <p>DRR Policy Advisor/Project Manager, technical advisors, IT and media consultants.</p> <p>CSO network members, technical advisors, STA.</p>	<p>UNDP Regional Programme</p> <p>UNDP Regional Program</p> <p>UNDP Regional Program</p> <p>UNDP Regional Program</p>	<p>Capacity Development † (supported by project staff and consultants)</p> <p>Capacity Development † (Project staff)</p> <p>Capacity Development † (Project staff)</p> <p>Capacity Development † (Project staff)</p>	<p>\$45,000</p> <p>\$15,000</p> <p>\$25,000</p> <p>\$25,000</p>
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EXPECTED OUTPUTS And baseline; indicators including annual targets	PLANNED ACTIVITIES List activity results and associated actions	TIMEFRAME				RESPONSIBLE PARTY	Funding Source	PLANNED BUDGET	
		Q1	Q2	Q3	Q4			Budget Description	Amount (USD)
Output 4: REC's capacity for and collaboration in CPR developed	4.1 Activity result: project management arrangements established and project implementation proceeds					UNDP, RECS	UNDP Regional Programme	Operations	180,000
Baseline:	4.1 Actions:	X						½ Project cost and other staff: 100,000	
The CPR strategy of the AU has been adopted but RECs lack appropriate CPR capacity	4.1.1 Establish the Regional Project Board (RPB)	X						Meetings/co nsultations expenses: 20,000	
No reviews undertaken focused on human resource capacity constraints for the effective operations of the Regional Mechanisms for Conflict Prevention, Management and Resolution.	4.1.2 Develop and approve project policy and strategy document	X						Other project management expenses: 60,000	
	4.1.3 Select/procure Project Mgr.	X							
	4.1.4 Hold consultations to select REC Regional Project Representative	X	X						
	4.1.5 Hold RPB and PSC meetings	X	X						
	4.1.6 Undertake project management functions	X	X						
Indicators:	4.2 Activity Result: Monitoring, evaluation and reporting (MER) arrangements and schedules in place encompassing requirement of gender –disaggregated data					UNDP, RECS			90,000
4.1 CPR Units established by all the RECS	4.2 Actions:							-Consultant: 15,000	
4.2 Number of REC staff undergoing project-supported training in CPR	4.2.1 -Procure consultancy services		X					Consultations : 20,000	
4.3 At least 3 RECs adopt enhanced CPR operations processes	4.2.2 Hold review and validation consultations		X					M&E budget: 50,000	
4.4 Instrument on expanded inter-REC collaboration and cooperation in CPR adopted under the 2008 MOU on Cooperation in the Area of Peace and Security	4.2.3 Apply validated MER arrangements				X			e- mechanisms: 5,000	
	4.2.4 Create discussion forum and other e-mechanisms for exchange of CPR information, knowledge and experience on the project and by practitioners within RECs				X				
	4.3 Activity Result: Resource requirements for developing REC's human, technological and financial capacity for CPR known					UNDP, RECS		Consultant: 20,000	40,000
								Consultations	

	<p>4.3 Actions: 4.3.1 Procure consultancy services 4.3.2 Hold review and validation consultations</p> <p>4.4 Activity Result: strategy for development of the HR base for CPR adopted and implemented</p> <p>4.4 Actions: 4.4.1 Procure consultancy services for (a) development of the strategy and (b) review and design of CPR training programme and materials 4.4.2 Hold review and validation consultations on the strategy and training programmes and tools 4.4.3 Recruit and place critical CPR experts in RECs as per the strategy</p>	X		X	UNDP, RECs, UNDPA, UNDPKO		: 20,000 Consultants 20,000 Recruitment of 5 CPM Specialists 400,000 & Prog Asst 40,000 460,000
<p>Output 5 : Increased capacity of RECs in early warning systems (EWS) for crisis prevention, recovery and peace building</p> <p>Baseline: Current IT and human resources capacity of RECs unable to effectively implement the Regional Early Warning System in support of the Continental Early Warning System of the AU.</p>	<p>5.1 Activity Result: The ICT base of REWS is enhanced</p> <p>5.1 Actions: 5.1.1 Procure consultancy services to develop gender responsive recommendations 5.1.2 Hold review and validation consultations 5.1.3 Procure basic ICT equipment for command and operations control centres of REWS</p>	X	X	UNDP, RECs	UNDP Regional Programme	Consultant Consultations	50,000

<p>Indicators:</p> <p>5.1 Number of RECs with staff skilled in operation of EWS for CPR</p> <p>5.2 At least 4 RECs have fully functional command and operations control centres equipped with the recommended minimum of ICT facilities for EWS</p> <p>5.3 ICT platform established for EWS information exchange among RECs and with the AU</p>	<p>5.2 Activity Result: All RECs operate EWS for CPR that are integrated with each other and coherent with those of national EWS and the continental EWS</p> <p>5.2 Actions:</p> <p>5.2.1 Procure consultancy services to (a) review the experience of ECOWAS and IGAD in operating REWS, (b) propose approaches to establishing REWS in other RECs, (c) develop recommendations for EWS information exchange among RECs, and (d) recommend how to increase the integration of REWS with national EWS and CEWS</p> <p>5.2.2 Hold review, validation and dissemination consultations</p> <p>5.2.3 RECs and SC adopt the proposal to integrate REWS</p> <p>5.2.4 Support for advocacy for establishment of REWS where they are absent</p> <p>5.3 Activity Result: RECs capability in EWS enhanced</p> <p>5.3 Actions:</p> <p>5.3.1 Procure consultancy services to develop training programmes and tools in gender and EWS and crisis management reporting</p> <p>5.3.2 Hold review and validation consultations among RECs and RECs on EWS training programmes and tools</p> <p>5.3.3 Conduct training of officials of member states, CSOs in the catchment area of RECs and REC staff in EWS management, crisis prevention analysis and preparation of reports for decision-makers</p>		<p>X</p>	<p>X</p>	<p>RECs, NATIONAL AUTHORITIES, AU, UNDP</p>	<p>UNDP Regional Programme/Donors</p>	<p>Consultant</p>	<p>40,000</p>
			<p>X</p>	<p>X</p>	<p>UNDP, RECs, NATIONAL AUTHORITIES, CSOs/NGOs</p>	<p>Consultants: 2 x15,000 = 30,000 Consultations : 20,000 Training cost: 60,000</p>		<p>110,000</p>

<p>Output 6: Enhanced engagement and involvement of civil society entities in CPR processes of RECs</p> <p>Baseline: Little information is documented on non-state entities active at the sub-regional level in support of crisis prevention and early warning processes of RECs</p> <p>Indicators: 6.1 Report on inventory of civil society entities engaged in CPR activities or promoting CPR objectives of RECs</p> <p>2. CPR information products produced by CSOs in catchment areas of RECs</p> <p>23 At least one forum established for cooperation, collaboration and information sharing between RECs and CSOs on CPR issues</p>	<p>Activity Result: Capacity development needs of NGOs engaged in CPR activities are documented</p> <p>Actions: 6.1.1 Procure consultancy services to develop inventory of CSOs engaged in CPR activities in catchment areas of RECs 6.1.2 Consultations with stakeholders on the inventory and recommendations for strengthening the CPR capability of CSOs/NGOs 6.1.3 Production and dissemination of inventory</p>		<p>X</p>	<p>RECs, CSOs/NGOs, UNDP</p>	<p>UNDP Regional Programme /Donors</p>	<p>Consultant: 15 months = 45,000 Consultations : 20,000 Production/dissemination of inventory: 30,000</p>	<p>95,000</p>
Sub-Total Output 4-6							1,065,000

Year 2

EXPECTED OUTPUTS And: baseline indicators including annual targets	PLANNED ACTIVITIES List activity results and associated actions	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q1	Q2	Q3	Q4		Funding Source	Budget Description	Amount
<p>Output 1: Increased disaster risk management capacities and resources in selected Regional Economic Communities.</p> <p>Baseline: Capacity Needs Assessment of the RECs in disaster risk management outdated or insufficient.</p> <p>Indicators:</p> <ul style="list-style-type: none"> Number of Capacity Needs Assessments Reports prepared Number of training plans for REC staff Number of bilateral agreements that facilitate cross-border support in responding to humanitarian crises reviewed 	<p>1.2.2 Activity Result: Initiate hazard, risk, vulnerability/capacity analysis in 10 pilot member states in RECs (IGAD, SADC and ECOWAS).</p> <p>1.2.2 Action: Hazard analysis of: seasonal and rapid onset hazards,, including emerging hazards; vulnerability and capacity assessments of disaster preparedness and, hazard and risk monitoring capacities.</p> <p>1.2.3 Activity Result: Training workshop on conducting natural disaster losses and needs assessments.</p> <p>1.2.3 Action: REC member states/Focal Points use rapid assessment tools to conduct post disaster assessment.</p>		X			Project Manager, DRR Focal Points, Technical Consultant conduction 10-day assessment in ten member states.	UNDP Regional Programme	Capacity Development	\$121,000
						Project Manager, REC DRR staff, DRR Specialists, BCPR and IFRC DP Advisor to support workshop and rapid assessment tools.	UNDP Regional Programme	Capacity Development	\$70,500

<p>Output 2: Enhanced regional early warning and disaster preparedness and response through strengthening of national level capacities in at-risk nations to natural disasters.</p> <p>Baseline: To be established through assessments of Regional Economic Community states early warning systems and capacities to respond to rapid and slow onset natural and human-induced disasters. Review bilateral agreements that facilitate cross-border support in responding to humanitarian crises.</p> <p>Indicators:</p> <ul style="list-style-type: none"> • Number of consultant reports on REC and member states DRR aptitudes in early warning and policy and legislation to facilitate possible cross-border emergency support initiatives. • Number of assessments conducted of national level forecasting and early warning systems • Number of training programmes implemented 	<p>2.2.1 Activity Results: Ten pilot countries selected to complete DRR frameworks to plan for and respond to risks posed by natural and human-induced hazards</p> <p>2.2.1b Action: REC DRR focal point select member states for hazard and risk assessments, based on criteria established for pilot countries, and recruit national consultant to undertake national reviews.</p> <p>2.2.1.c Actions: Presentation of assessment report and recommendations to national governments to seek positive support to raise their DRR capacities while lowering national risk levels to natural and human-induced hazards.</p> <p>2.2.1.d Action: Development of REC position papers on vulnerability issues that if left unattended may become destabilizing forces in the region.</p> <p>2.2.1.e Action: Combined national government, REC leadership and external technical agencies develop strategies to acquire resources and support to launch risk reduction activities.</p>	X	X	X	X	X	<p>REC DRR staff, DRR Policy Advisor/Project Manager, Technical advisors from BCPR, IFRC, and consultants.</p>	<p>UNDP Regional Programme</p>	<p>Capacity Development</p>	<p>\$202,500</p>
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<p>Output 3: Improved coordination between Regional Economic Communities, civil society and the private sector, with national governments, to plan for, and to address, disaster risks</p> <p>Baseline: Will be established through a survey questionnaire to CSO and private sector networks to examine local natural disaster risk levels, preparedness capacities and gaps in knowledge, technical resources and solutions to strengthen local government and civil society role in lowering disaster risk.</p> <p>Indicators:</p> <ul style="list-style-type: none"> Number of analytical reports of hazards, risk and vulnerability to natural and human-induced crises at the local government level. 	<p>3.5.1 Activity Results: Unification of UCLGA membership behind a DRR strategy. Members create risk reduction and mitigation proposals that are consolidated into resource mobilization documents.</p> <p>3.5.1 Actions: Drafting of vision and mission statements, and DRR charter for UCLGA membership to adopt. Solicit mitigation proposals for incorporation into DRR proposals to channel to donor agencies.</p> <p>3.6.1 Activity Results: Resource mobilization from external donors found to support 10-15 small disaster risk reduction initiatives by UCLGA members.</p> <p>3.6.1 Action: Project staff initiate donor funding agreement and project agreements with local government partners.</p>	<p>X</p> <p>X</p> <p>X</p>		<p>X</p> <p>X</p>	<p>UCLGA staff, DRR Policy Advisor/Project Manager, BCPR Policy Advisors. Local consultant to draft documents.</p> <p>UCLGA staff, DRR Policy Advisor/Project Manager, BCPR Policy Advisors. Donor agencies and local government participants.</p>	<p>UNDP Regional Programme</p> <p>Disaster Risk Reduction</p>	<p>Capacity Development</p> <p>\$20,000</p> <p>\$100,000</p>
<p>Sub-total: Outputs 1-3</p> <p>\$574,000</p>							

EXPECTED OUTPUTS And baseline indicators including annual targets	PLANNED ACTIVITIES List activity results and associated actions	TIMEFRAHE				RESPONSIBLE PARTY	Funding Source	PLANNED BUDGET	
		Q1	Q2	Q3	Q4			Budget Description	Amount
Output 4: RECs capacity for and collaboration in CPR developed	4.1 Activity result: project management arrangements established and project implementation proceeds	X	X			UNDP, RECs	UNDP Regional Programme/Donors	-1/2 Project Manager cost: 100,000 Meetings/consultations expenses: 20,000	120,000
Baseline:	4.1.1 Establish the Regional Project Board (RPB)		X	X				-Other project management expenses: 60,000	
The CPR strategy of the AU has been adopted but RECs lack appropriate CPR capacity	4.1.2 Develop and approve project policy and strategy document								
No reviews undertaken focused on human resource capacity constraints for the effective operations of the Regional Mechanisms for Conflict Prevention, Management and Resolution.	4.1.3 Procure Project Mgr								
Indicators:	4.1.4 Hold consultations to select REC Regional Project Representative								
4.1 CPR Units established by all the RECs	4.1.5 Hold RPB and PSC meetings								
4.2 Number of REC staff undergoing project-supported training in CPR	4.1.6 Undertake project management functions								
4.3 At least 3 RECs adopt enhanced CPR operations processes	4.2 Activity Result: Monitoring, evaluation and reporting (MER) arrangements and schedules in place					UNDP, RECs		M&E budget: 50,000 e-mechanisms: 5,000	55,000
4.4 Instrument on expanded inter-REC collaboration and cooperation in CPR adopted under the 2008 MOU on Cooperation in the Area of Peace and Security	4.2.1 -Procure consultancy services								
	4.2.2 Hold review and validation consultations								
	4.2.3 Apply validated MER arrangements								
	4.2.4 Create discussion forum and other e-mechanisms for exchange of CPR information, knowledge and experience on the project and by practitioners within RECs								
	4.3 Activity Result: Design for establishment of CPR Units where lacking in RECs	X	X			RECs, UNDP, UNDP, UNDPKO		Consultant: 15,000	35,000
	4.3 Actions:		X					Consultations/advocacy:	
	4.3.1 Procure consultancy services		X						

	<p>4.3.2 Hold review and validation consultations</p> <p>4.3.3 Advocacy for establishment of CPR Units in RECs where they are not part of the operational structure of RECs</p>						<p>20,000</p>	<p>Consultations: 20,000</p> <p>Procure 5 CPM Specialists = 400,000</p> <p>Prog Asst 40,000</p>	<p>460,000</p>
	<p>4.4 Activity Result: strategy for development of the HR base for CPR adopted and implemented</p> <p>4.4 Actions:</p> <p>4.4.1 Procure consultancy services for (a) development of the gender informed strategy and (b) review and design of CPR training programme and materials</p> <p>4.4.2 Hold review and validation consultations on the strategy and training programmes and tools</p> <p>4.4.3 Recruit and place critical CPR experts in RECs as per the strategy</p>	<p>X</p>	<p>X</p>					<p>RECs, UNDP</p>	
	<p>4.5 Activity Result: Agreed instruments for enhancing RECs collaboration and cooperation in CPR available</p> <p>4.5 Actions:</p> <p>4.5.1 Procure consultancy services to develop instruments</p> <p>4.5.2 Hold consultation among RECs to review and agree on the instruments</p> <p>4.5.3 Hold consultations with RECs and the AU to agree ways to synergise their CPR operations</p> <p>4.5.4 Develop joint annual reporting process and report on CPR by RECs and the AU</p>	<p>X</p>		<p>X</p>				<p>RECs, AU, UNDP</p>	<p>45,000</p>

<p>Output 5: Increased capacity of RECs in early warning systems (EWS) for crisis prevention, recovery and peace building</p> <p>Baseline: Current IT and human resources capacity of RECs unable to effectively implement the Regional Early Warning System in support of the Continental Early Warning System of the AU.</p> <p>Indicators:</p> <p>5.1 Number of RECs with staff skilled in operation of EWS for CPR</p> <p>5.2 At least 4 RECs have fully functional command and operations control centres equipped with the recommended minimum of ICT facilities for EWS</p> <p>5.3 ICT platform established for EWS information exchange among RECs and with the AU</p>	<p>5.1 Activity Result: The ICT base of REWS is enhanced</p> <p>5.1 Actions:</p> <p>5.1.1 Procure consultancy services to develop recommendations</p> <p>5.1.2 Hold review and validation consultations</p> <p>5.1.3 Procure basic ICT equipment for command and operations control centres of REWS</p> <p>5.1.4 Equipment maintenance</p>	<p>X</p>	<p>X</p>	<p>RECs, UNDP</p>	<p>UNDP Regional Programme /Donors</p>	<p>-ICT equipment: 220,000 x 5 RECs = 1,100,000</p> <p>-Equipment maintenance/operation: 20,000 x 5 RECS = 100,000</p>	<p>1,200,000</p>
<p>5.2 Activity Result: All RECs operate EWS for CPR that are integrated with each other and coherent with those of national EWS and the continental EWS</p> <p>5.2 Actions:</p> <p>5.2.1 Procure consultancy services to (a) review the experience of ECOWAS and IGAD in operating REWS, (b) propose approaches to establishing REWS in other RECs, (c) develop recommendations for EWS information exchange among RECs, and (d) recommend how to increase the integration of REWS with national EWS and CEWS</p> <p>5.2.2 Hold review, validation and dissemination consultations</p> <p>5.2.3 RECs and PRB adopt the proposal to integrate REWS</p> <p>5.2.4 Support for advocacy for establishment of REWS where they are absent</p>	<p>X</p>	<p>X</p>	<p>RECs, AU, NATIONAL AUTHORITIES, CSOs/NGOs</p>	<p>UNDP Regional Programme</p>	<p>Consultations</p>	<p>30,000</p>	
<p>5.3 Activity Result: RECs capability in EWS enhanced</p> <p>5.3 Actions:</p>	<p>X</p>	<p>X</p>	<p>RECs, NATIONAL AUTHORITIES, UNDP</p>	<p>Training</p>	<p>60,000</p>		

	<p>5.3.1 Conduct training of officials of member states, CSOs in the catchment area of RECs and REC staff in EWS management, gender analysis, crisis prevention analysis and preparation of reports for decision-makers</p>	X			<p>RECs, CSOs/NGOs, NATIONAL AUTHORITIES</p>	<p>UNDP Regional Programme /Donors</p>	<p>-Technical assistance: 2 experts for 4 months each x 15,000/month = 120,000 -Platform development: 60,000 Production/dissemination of products: 15,000/platform x 5 = 75,000</p>	210,000
<p>Output 6: Enhanced engagement and involvement of civil society entities in CPR processes of RECs</p> <p>Baseline: Little information is documented on non-state entities active at the sub-regional level in support of crisis prevention and early warning processes of RECs</p> <p>Indicators: 6.1 Report on inventory of civil society entities engaged in CPR activities or promoting CPR objectives of RECs</p> <p>6.2 CPR information products produced by CSOs in catchment areas of RECs</p> <p>6.3 At least one forum established for cooperation, collaboration and information sharing between RECs and CSOs on CRP issues</p>	<p>2.1 Activity Result: community of CPR practice in RECs strengthened</p> <p>2.1 Actions: 6.1.1 Technical support and advice to CSO/NGO and their networks on developing CPR 6.1.2 CSOs/NGOs develop sub-regional platforms for CPR for interaction among CPR practitioners 6.1.3 Assistance to NGO networks in production and dissemination of CPR information and knowledge products</p>	X	X	X	UNDP, RECS	UNDP	<p>Consultancy: -strategy design: 20,000 -CPR funds study: 50,000</p>	70,000
<p>Output 7: Human resource, technical and financial support for CPR in RECs is sustained after the phased withdrawal of UNDP support</p> <p>Baseline: The exit strategy for UNDP projects</p>	<p>7.1 Activity Results: Resource needs for sustainability of the project are determined</p> <p>7.1 Actions: 7.1.1 Procure consultancy services to: (a) prepare the needs report (b) to document the exit strategy (c) conduct CPR Funds study</p>	X	X	X				

<p>supporting the RECs has been non-existent or ineffective in assuring predictable, flexible and sustained support after the life of the project</p> <p>Indicators:</p> <p>7.1 Endorsement of the exit strategy by RPB, RECs, member states, UNDP and other stakeholders</p> <p>7.2 Number of activities undertaken to generate resource support for CPR activities of RECs</p> <p>7.3 Percent change in financial and human resource investment in CPR two years after project completion</p>	<p>7.1.2 PRB undertakes consensus-building consultations with member states and civil society organizations</p> <p>7.1.3 Commence implementation of fund-raising programme</p>																																																																																																																																																																																																																																																																																																																																																																																																																																																																																								
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YEAR 3

EXPECTED OUTPUTS And baseline indicators including annual targets	PLANNED ACTIVITIES List activity results and associated actions	TIMEFRAME				RESPONSIBLE PARTY	Funding Source	Budget Description	Amount
		Q1	Q2	Q3	Q4				
Output 1: Increased disaster risk management capacities and resources in selected Regional Economic Communities	1.3.1 Activity Result: DRR advocacy training with REC Focal Points and select member states.		X	X	X	Project Manager, REC DRR staff, Advocacy consultant, select national member states participants	UNDP Regional Programme	Capacity Development	\$95,000
Baseline: Capacity Needs Assessment of the RECs in disaster risk management outdated or insufficient.	1.3.1 Action: RECs and member states communicate a media strategy for DRR including hazards, risk and mitigation measures								
Indicators:	1.3.2 Activity Result: RECs develop programmes and channels for dissemination of disaster risk reduction information to the public and between member states.	X	X			REC DRR staff, member states and IT/Communications consultant.	UNDP Regional Programme	Disaster Risk Reduction	\$150,000
• Number of Capacity Needs Assessments Reports prepared	1.3.2 Action: Sound information dissemination strategy developed at the REC and national levels.								
• Number of training plans for REC staff	1.4.1 Activity Result: RECs/member states identify DRR expertise in region to serve as resource persons at DRR forums and to assist in capacity development initiatives at the national and regional levels.			X	X	REC DRR staff, and member state DRR Focal Points.	UNDP Regional Programme	Capacity Development	\$2,000
• Number of bilateral agreements that facilitate cross-border support in responding to humanitarian crises reviewed	1.4.1 Action: Local experts invited to national disaster risk reduction forums in addition to regional events supported by the RECs and other DRR stakeholders.	X	X	X	X				

	<p>1.5.1 Activity Result: RECs and national member states raise awareness/ initiate actions to address the linkage between climate change/natural resource management and DRR/national development planning</p> <p>1.5.1 Action: AU/RECs develop regional conferences to address the challenges of climate change and natural resource management in Africa</p> <p>1.6.1 Activity Results: Exit strategy developed in concert with new multi-year programme by RECs for DRR units, with support of DRR Policy Advisor/Project Manager and UNVs, and proposals for external resource mobilization submitted to donor community.</p> <p>1.6.1 Action: REC staff, supported by AU, UNDP RBA regional staff, identify donors to mobilize resources to fund ongoing activities.</p>	X	X	X	X	<p>African Union, REC, DRR Staff, Technical experts, UNDP RSC DRR Policy Advisors/ DRR Policy Advisor/Projec t Manager</p> <p>African Union, RECs, DRR Staff, DRR Policy Advisor/Projec t Manager, technical experts</p>	<p>UNDP Regional Programme</p> <p>UNDP Regional Programme</p>	Capacity Development <p>Capacity Development</p>	\$25,000
<p>Output 2: Enhanced regional early warning and disaster preparedness and response through strengthening of national level capacities in at-risk nations to natural disasters.</p> <p>Baseline: To be established through assessments of Regional Economic Community states early warning systems and capacities to respond to rapid and slow onset natural and</p>	<p>2.3.1 Activity Results: Through a series of consultations, member states agree to adopt policies and accords to improve the effectiveness and coordination of emergency humanitarian assistance to natural disasters and human-induced crises that may affect regional security. Public awareness raised to avenues sought to increase coordination at all levels of government and by DRR stakeholders. Media involvement in communicating REC DRR strategy.</p>	X	X	X	X	<p>REC DRR staff, DRR Policy Advisor/Projec t Manager, BCPR Policy Advisors, external consultants and local and regional media.</p>	<p>UNDP Regional Programme</p>	Capacity Development	\$120,000

<p>human-induced disasters. Review bilateral agreements that facilitate cross-border support in responding to humanitarian crises.</p> <p>Indicators:</p> <ul style="list-style-type: none"> • Number of consultant reports on REC and member states DRR aptitudes in early warning and policy and legislation to facilitate possible cross-border emergency support initiatives. • Number of assessments conducted of national level forecasting and early warning systems • Number of training programmes implemented 	<p>2.3.1 Action: Series of REC dialogues on DRR issues, i.e. adherence to humanitarian principles and the role of civil society, reinforcement of legal frameworks for humanitarian action and cooperation, security and protection of civilian populations during a crisis, the need for bilateral support in time of emergencies, need for broader accreditation for disaster risk reduction professionals etc.</p> <p>2.4.1 Activity Results: REC recruit technical support for member states seeking to develop a DRR strategy that can be incorporated into the development strategy and planning by national level policy and planners. Ten REC member states begin process of DRR inclusion into national planning process.</p> <p>2.4.1 Action: Technical consultants support national level planning needs of REC membership with state planners to incorporate a risk reduction strategy into national development policies and plans.</p> <p>3.7.1 Activity Results: Field level monitoring of project activities and development of lessons learned in strengthening risk reduction capacities.</p> <p>3.7.1 Actions: Project staff conduct monitoring visitations as part of new donor funding requirements.</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>REC staff with DRR technical advisors/specialists, ISDR, ADB, BCPR, UNDRR</p>	<p>UNDP Regional Programme</p>	<p>Disaster Risk Reduction</p>	<p>\$120,000</p>
<p>Output 3: Improved coordination between Regional Economic Communities, civil society and the private sector, with national governments, to plan for, and address, disaster risks</p> <p>Baseline: Will be established through a survey questionnaire to CSO and private sector</p>		<p>X</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>X</p>	<p>UCLGA, DRR Policy Advisor/Project Manager, BCPR Policy Advisors,</p>	<p>UNDP Regional Programme</p>	<p>Disaster Risk Reduction</p>	<p>\$45,000</p>

<p>Mechanisms for Conflict Prevention, Management and Resolution.</p> <p>Indicators:</p> <p>4.1 CPR Units established by all the RECs</p> <p>4.2 Number of REC staff undergoing project-supported training in CPR</p> <p>4.3 At least 3 RECs adopt enhanced CPR operations processes</p> <p>4.4 Instrument on expanded inter-REC collaboration and cooperation in CPR adopted under the 2008 MOU on Cooperation in the Area of Peace and Security</p>	<p>4.1.6 Undertake project management functions</p> <p>4.2 Activity Result: Monitoring, evaluation and reporting (MER) arrangements and schedules in place including for collecting gender disaggregated data</p> <p>4.2 Actions:</p> <p>4.2.1 Procure consultancy services</p> <p>4.2.2 Hold review and validation consultations</p> <p>4.2.3 Apply validated MER arrangements</p> <p>4.2.4 Create discussion forum and other e-mechanisms for exchange of CPR information, knowledge and experience on the project and by practitioners within RECs</p> <p>4.3 Activity Result: strategy for development of the HR base for CPR adopted and implemented</p> <p>4.3 Actions:</p> <p>4.3.1 Procure consultancy services for (a) development of the strategy and (b) review and design of CPR training programme and materials</p> <p>4.3.2 Hold review and validation consultations on the strategy and training programmes and tools</p> <p>4.3.3 Recruit and place critical CPR experts and gender and CPR specialists in RECs as per the strategy</p>		<p>X</p> <p>X</p>	<p>RECs, UNDP</p> <p>RECs, UNDP, UNDPA, UNDPKO</p>	<p>M&E budget: 50,000 e-mechanisms: 5,000</p> <p>CPR Specialists (5) : 80,000 x 5 RECs = 400,000 Prog. Asst 40,000</p>	<p>55,000</p> <p>440,000</p>
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<p>Output 5: Increased capacity of RECs in early warning systems (EWS) for crisis prevention, recovery and peace building</p> <p>Baseline: Current IT and human resources capacity of RECs unable to effectively implement the Regional Early Warning System in support of the Continental Early Warning System of the AU.</p> <p>Indicators:</p> <p>5.1 Number of RECs with staff skilled in operation of EWS for CPR</p> <p>5.2 At least 4 RECs have fully functional command and operations control centres equipped with the recommended minimum of ICT facilities for EWS</p> <p>5.3 ICT platform established for</p>	<p>4.4 Activity Result: Agreed instruments for enhancing RECs collaboration and cooperation in CPR available</p> <p>4.4 Actions:</p> <p>4.4.1 Procure consultancy services to develop instruments</p> <p>4.4.2 Hold consultation among RECs to review and agree on the instruments</p> <p>4.4.3 Hold consultations with RECs and the AU to agree ways to synergise their CPR operations</p> <p>4.4.4 Develop joint annual reporting process and report on CPR by RECs and the AU</p>		X	RECs, AU, NATIONAL AUTHORITIES	Joint AU-REC annual CPR reports:	10,000
	<p>5.1 Activity Result: RECs capability in EWS enhanced</p> <p>5.1 Actions:</p> <p>5.1.1 Procure consultancy services to develop training programmes and tools in EWS and crisis management reporting</p> <p>5.1.2 Hold review and validation consultations among RECs and RECs on EWS training programmes and tools</p> <p>5.1.3 Conduct training of officials of member states, CSOs in the catchment area of RECs and REC staff in EWS management, crisis prevention analysis and preparation of reports for decision-makers</p>		X	RECs, NATIONAL AUTHORITIES, CSOs/NGOs, UNDP	Training	60,000

<p>EWS information exchange among RECs and with the AU</p> <p>Output 6: Enhanced engagement and involvement of civil society entities in CPR processes of RECs</p> <p>Baseline: Little information is documented on non-state entities active at the sub-regional level in support of crisis prevention and early warning processes of RECs</p> <p>Indicators: 6.1 Report on inventory of civil society entities engaged in CPR activities or promoting CPR objectives of RECs</p> <p>6.2 CPR information products produced by CSOs in catchment areas of RECs</p> <p>6.3 At least one forum established for cooperation, collaboration and information sharing between RECs and CSOs on CRP issues</p>	<p>6.1 Activity Result: community of CPR practice in RECs strengthened</p> <p>6.1 Actions: 6.1.1 Technical support and advice to CSO/NGO, women's organizations and their networks on developing CPR</p> <p>6.1.2 CSOs/NGOs develop sub-regional platforms for CPR for interaction among CPR practitioners</p> <p>6.1.3 Assistance to NGO networks in production and dissemination of CPR information and knowledge products</p>	<p>X</p>	<p>RECs, NATIONAL AUTHORITIES, CSOs/NGOs, UNDP</p>	<p>Technical assistance: 2 experts for 4 months each x 15,000/month = 120,000</p> <p>-Platform development: 55,000</p> <p>Production/dissemination of products: 15,000/platform x 5 = 75,000</p>	<p>250,000</p>
<p>Output 7: Human resource, technical and financial support for CPR in RECs is sustained after the phased withdrawal of UNDP support</p> <p>Baseline: The exit strategy for UNDP projects supporting the RECs has been non-existent or ineffective in assuring predictable, flexible and sustained support after the</p>	<p>7.1 Activity Results: Resource needs for sustainability of the project are determined</p> <p>7.1 Actions: 7.1.1 Procure consultancy services to develop fund-raising programmes for the project 7.1.2 SC undertakes consensus-building consultations with member states and civil society organizations 7.1.3 Commence implementation of fund-raising programme</p>	<p>X</p> <p>X</p> <p>X</p>	<p>RECs, UNDP</p>	<p>-Consultancy: 15,000</p> <p>Consultations: 40,000</p> <p>-Fund-raising programme commencement: 20,000</p>	<p>75,000</p>

<p>life of the project</p> <p>Indicators:</p> <p>7.1 Endorsement of the exit strategy by RPB, RECs, member states, UNDP and other stakeholders</p> <p>7.2 Number of activities undertaken to generate resource support for CPR activities of RECs</p> <p>7.3 Percent change in financial and human resource investment in CPR two years after project completion</p>	<p>11/37/500</p>
<p>SUB-TOTAL OUTPUTS 4-7</p>	
<p>TOTAL PROJECT</p>	

Annex II

Overview of DRR in RECS targeted for Assistance under this Project and their short-term capacity needs

Economic Community Organization of West African States (ECOWAS)

ECOWAS was established in 1975 with the primary objective of promoting cooperation and achieving market integration in West Africa. The REC currently comprises of fifteen member states: Benin, Burkina Faso, Cape Verde, Côte d'Ivoire, The Gambia, Ghana, Guinea, Guinea Bissau, Liberia, Mali, Niger, Nigeria, Senegal, Sierra Leone, and Togo. In population, ECOWAS is the largest REC in Africa. With the exception of Nigeria, which is an oil-producing country, the economies of the ECOWAS member states are heavily dependent on agriculture. A major characteristic of the ECOWAS region is poor interconnectivity of member states, which has been due largely to the underdevelopment of regional infrastructure.

Although consultants, funded by donors, have been useful for filling some capacity gaps, they have been inadequate to meet all the critical human capacity needs of ECOWAS. The ECOWAS strategy is a gradual buildup of the permanent staff strength, which includes the absorption of consultant positions into its regular budget after three years of external assistance. ECOWAS makes recourse to regional expertise to supplement the technical capacity of the Secretariat. However, there is still no well-developed database of the expertise available in regional universities, research institutions, and consultancy firms. The inadequacy of human capacity at the ECOWAS Secretariat has been compounded by the lack of training programs to update the skills and enhance the productivity of existing staff members, including professionals whose fields are characterized by rapid advancement of knowledge.

ECOWAS developed a protocol in December 1999 related to conflict prevention management, resolution, and peace keeping and security.³⁹ This protocol has created the Defense and Security Commission, the Council of Elders and the ECOWAS Cease-fire Monitoring Group (ECOMOG). The sub-regional peace and security observation system, with its monitoring center located at the Secretariat, was established to identify conflict situations and address them before they trigger a humanitarian disaster and/or pose a serious threat to peace and security in the sub-region. The protocol also addresses its role in coordinating and conducting humanitarian assistance in a reactive manner to crises, conflict and disaster events. The need to update this document to include disaster risk reduction from a predictive and mitigation aspect would greatly strengthen the humanitarian chapter in this protocol.

In January 2007 ECOWAS adopted a policy for disaster risk reduction⁴⁰ that has met with difficulty into the integration of activities undertaken by member states. Only three member states have undertaken a hazard, risk and vulnerability analysis out of its 14 members. ECOWAS is lacking partnerships to develop its capacities in prevention but does collaborate with UNHCR in emergency response. In dialogue with the Commission for Human Development and Gender Commission,⁴¹ assistance would be needed to:

³⁹ *Protocol Relating To The Mechanism For Conflict Prevention, Management Resolution, Peace-Keeping and Security*. ECOWAS Executive Secretariat, Abuja, Nigeria. December 1999.

⁴⁰ *ECOWAS Policy For Disaster Risk Reduction*. Thirty-first Ordinary Summit of the Authority of Heads of State and Government. Ouagadougou, 19 January 2007.

⁴¹ Dialogue between Dr. Adrienned Yande Diop and UNDP RBA mission (Ms. Vinetta Robinson, Dr. Abdul Aziz Jallow, Helene Cisse). September 14-16, 2008.

- Conduct hazard, risk and vulnerability assessments including capacity analyses in member states.
- Sensitization of national focal points in disaster risk reduction and integration of the ECOWAS Disaster Risk Reduction policy into their national planning.
- Braden capacity development in emergency response through exchange of best practices, including on the legislative environment for the implementation of the policy.
- Through the West Africa Civil Society Organization (WACSO), assist in development of collaboration with CSO to harmonize policies and strategies in areas of mutual interest i.e. poverty, conflict management, gender.
- Support the integration of gender into the activities of the Commission.

Southern Africa Development Community (SADC)

The Southern Africa Development Community (SADC), based in Gaborone, Botswana, is comprised of 14 countries (Angola, Botswana, Lesotho, Malawi, Mozambique, Swaziland, Tanzania, Zambia, Zimbabwe, Namibia, South Africa, Mauritius, Democratic Republic of Congo and Madagascar) face many social, development, economic, trade, education, health, diplomatic, defense, security and political challenges. Some of these challenges cannot be tackled effectively by individual members. The socio-economic and political and security cooperation aims of SADC are wide-ranging, and intended to address various common challenges.

The origins of SADC lie in the 1960s and 1970s, when the leaders of majority-ruled countries and national liberation movements coordinated their political, diplomatic and military struggles to bring an end to colonial and white-minority rule in southern Africa. The immediate forerunner of the political and security cooperation leg of today's SADC was the informal Front Line States (FLS) grouping. It was formed in 1980. The Southern African Development Coordination Conference (SADCC) was the forerunner of the socio-economic cooperation leg of today's SADC. The adoption by nine majority-ruled southern African countries of the Lusaka declaration on 1 April 1980 paved the way for the formal establishment of SADCC in April 1980.

SADCC was transformed into SADC on 17 August 1992, with the adoption by the founding members of SADCC and newly independent Namibia of the Windhoek declaration and treaty establishing SADC. SADC sought to provide its membership with both socio-economic cooperation and political and security cooperation. Frequent efforts to place political and security cooperation on a firm institutional footing under SADC's umbrella failed. On 14 August 2001, the 1992 SADC treaty was amended. The amendment heralded the overhaul of the structures, policies and procedures of SADC, a process which is ongoing. One of the changes is that political and security cooperation is institutionalized in the Organ on Politics, Defense and Security (OPDS). One of the principal SADC bodies, it is subject to the oversight of the organization's supreme body, the Summit, which comprises the heads of state or government.

At both the SADC and member state levels, disaster risk reduction effects, as per the Hyogo Framework for Action, are lagging behind in their commitment to lowering disaster risk. At the Secretariat level, disaster risk reduction capacity is required to ensure that technical personnel and decision-makers are able to merge their activities with elements that mitigate or minimize the potential effects of a natural or human-induced hazard. With recurrent natural disasters becoming more prevalent and the affects of human-induced crises already present in the sub-region, SADC requires assistance, like in the case of ECOWAS, to offer technical support and networking services to member

Inter-Governmental Authority on Development (IGAD)

The Intergovernmental Authority on Development (IGAD) has a membership of seven countries (Djibouti, Eritrea, Ethiopia, Kenya, Somalia, Sudan, and Uganda). Its current mandate, as set out in article 7 of the Agreement Establishing the Authority, includes promotion of joint development strategies and the gradual harmonization of macroeconomic policies in the social, technological, and scientific fields; the harmonization of trade, customs, transport, communications, agricultural, and natural resources policies; the promotion of programs and projects for sustainable development of natural resources and environmental protection; the development and improvement of a coordinated and complementary infrastructure, particularly in the area of transport and energy; and the promotion of peace and security.

IGAD) is the successor organization to the Intergovernmental Authority on Drought and Development (IGADD) that was established in 1986 by the drought-afflicted six Eastern African countries of Djibouti, Ethiopia, Kenya, Somalia, Sudan, and Uganda. The original mandate of IGADD was to combat drought and desertification. Eritrea was admitted as the seventh member of the Authority in September 1993. All seven members of IGADD are also members of Common Market for East and Southern Africa (COMESA). Kenya and Uganda, in addition, belong to the East African Community (EAC). The IGADD member states occupy an area of more than 520,000 square kilometers and have a total population of about 170 million people.

The IGAD Secretariat, located in Djibouti, has a total staff of 44: The Executive Secretary is a council appointee, serves with a staff compliment of 22 professionals, 9 general service staff and 12 local service employees. The Conflict Early Warning and Response Mechanism (CEWARN) activity has a total of 8 staff. Twenty of the 22 professional staff at the IGAD Secretariat possesses a masters or higher degree qualifications.

The key elements of the current mandate of the IGAD are set out in article 7 of the Agreement Establishing the Authority, which are aimed at meeting the development challenges of the region. These include the achievement of regional food security; the promotion of programs and projects for the sustainable development of natural resources and environmental protection. The mandate extends to the promotion of peace and stability in the IGAD sub-region and the creation of mechanisms for the prevention, management, and resolution of inter- and intrastate conflicts, and the mobilization of resources for the implementation of emergency, short-, medium-, and long-term programs within the framework of sub-regional cooperation.

Among the factors hindering the implementation of IGAD programs and projects is the members' lack of political will. Although national IGAD focal points exist to promote the implementation of regional projects, low priority continues to be attached to such projects compared with national projects. The effectiveness of the focal points, which owe no allegiance to the IGAD Secretariat, is severely hindered by high staff turnover. The poor commitment of member states to regional programs and projects is also reflected in the poor attendance of their technical experts in IGAD meetings.

The key capacity constraints facing IGAD include the shortage of professional staff with relevant skills and experience to implement programs and projects in the three pillars of food security and environmental protection, maintenance of peace and security, and promotion of economic cooperation and integration. IGAD has noted the following concerns that need to be addressed to ensure that disaster risk reduction priorities are firmly entrenched in IGAD and member states:

- The absence of a well-staffed and equipped multidisciplinary division that can serve as a think-tank of the IGAD Secretariat for long-term strategic planning, as well as for planning and coordination.
- Heavy dependence on donor resources—which are often unpredictable—for the funding of programs and projects.
- Lack of effective mechanisms and instruments for the mobilization of resources from member states and donors and for the financing of regional programs and projects.
- Weakness of IGAD focal points in member states and an absence of an IGAD program for mobilizing and sensitizing stakeholders in member states for the achievement of IGAD objectives, as well as the lack of a framework for stronger networking and sharing of experiences among stakeholders

The capacity needs of IGAD that require urgent attention include:

- Recruitment of an expert in disaster risk reduction.
- Development of a training policy and adoption of a training program for upgrading the knowledge of IGAD staff and member states on disaster risk reduction.
- Establishment of IGAD offices in member states for the mobilization of support and the monitoring of implementation of IGAD programs and projects.
- Enhancement of the knowledge base of IGAD on disaster risk reduction best practices and mitigation measures.

Regional Economic Community	Member Countries	Mandate & Functions	Short-term capacity gaps
SADC	Angola, Botswana, Lesotho, Malawi, Mozambique, Swaziland, Tanzania, Zambia, Zimbabwe, Namibia, South Africa, Mauritius, Democratic Republic of Congo and Madagascar	<ul style="list-style-type: none"> • socio-economic and political and security cooperation (education and health) • disaster risk reduction • diplomacy and governance • Trade liberalization and facilitation • Infrastructure development • Private sector development • Defense and security 	<ul style="list-style-type: none"> • Weak human and institutional capacity base • Gaps in effective project planning and implementation, coordination, resource mobilization and project monitoring and evaluation
ECOWAS	Benin, Burkina Faso, Cape Verde, Cote d'Ivoire, The Gambia, Ghana, Guinea, Guinea Bissau, Liberia, Mali, Niger, Nigeria, Senegal, Sierra Leone, Togo	<ul style="list-style-type: none"> • Promote cooperation and market integration • Regional integration • Peace and security • Infrastructure development • Monetary integration 	<ul style="list-style-type: none"> • Administration and financial management and resource mobilization system • Strong and adequate staff analysis and strategic planning mechanism • Set up multidisciplinary division for regional infrastructure projects • Establish networks and database of experts from sub-regions' academic and research institutions in areas critical to ECOWAS
IGAD	Djibouti, Eritrea, Ethiopia, Kenya, Somalia, Sudan, Uganda	<ul style="list-style-type: none"> • Promote joint development • Gradual harmonization of macroeconomic policies • Harmonize trade, customs • Peace and security • Infrastructure development and natural resources management 	<ul style="list-style-type: none"> • Shortage of professional staff and absence of a training and human development policy • Absence of well-staffed multidisciplinary division to act as long-term strategic planning, coordinating, monitoring and evaluation unit for IGAD secretariat

End Notes

ⁱ Dialogue between Dr. Adrienned Yande Diop and UNDP RBA mission (Ms. Vinetta Robinson, Dr. Abdul Aziz Jallow, Helene Cisse). September 14-16, 2008.

ⁱⁱ UNDP Regional Programme Document for Africa (2008-2011), October 2007

ⁱⁱⁱ UNDP Strategic Plan, 2008-2011. Accelerating global progress on human development 2007

