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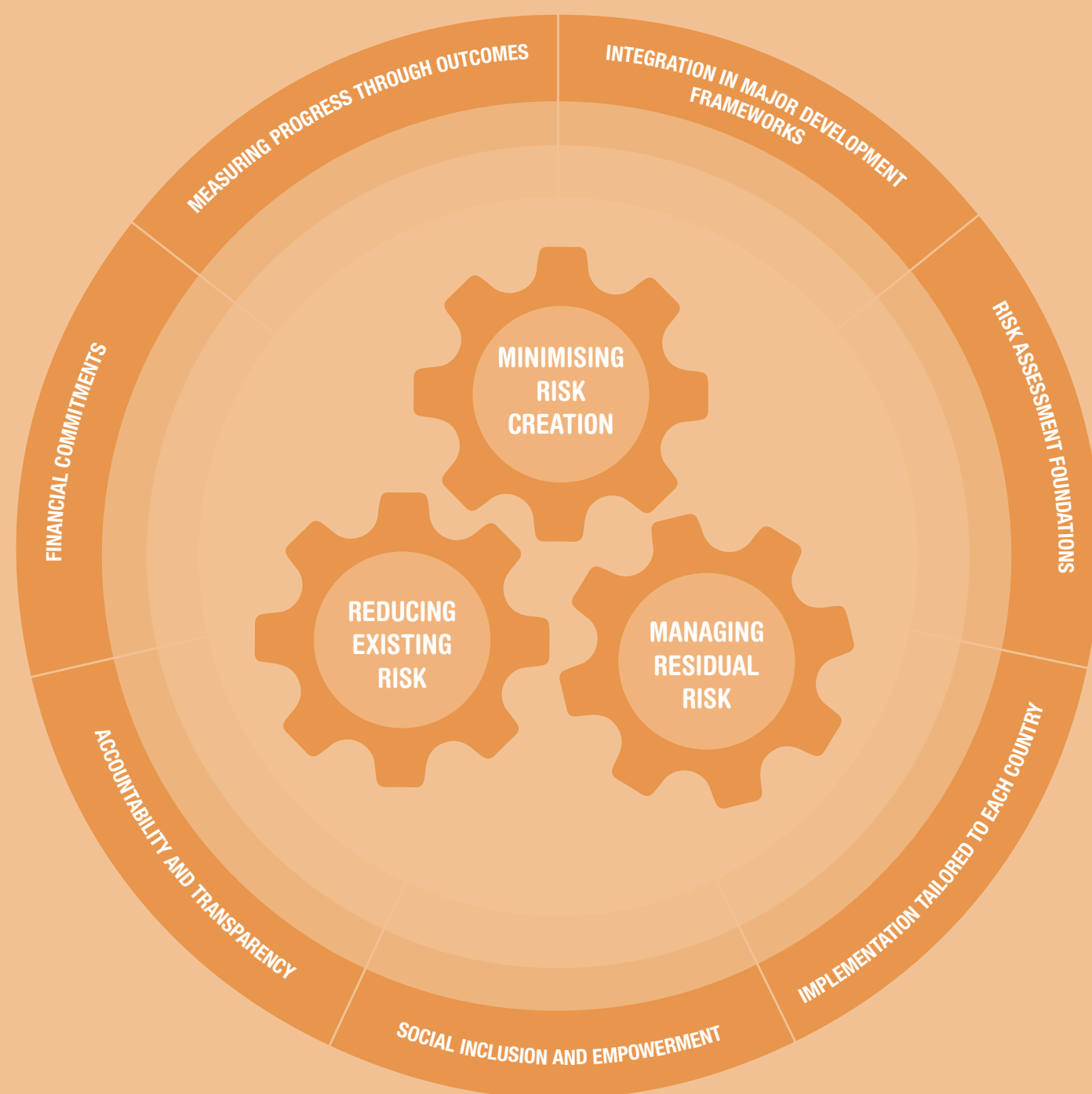
# The architecture

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The successor to the HFA has to build upon its successes and learn from its weaknesses. Above all else, it has to situate DRR within sustainable development – every aspect of its articulation and implementation should focus upon supporting and improving development. It is through the development process that the reduction of risk will be maximised, and the creation of new risk minimised.

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# The future framework for DRR: avoiding and reducing risk through integration into sustainable development



## The component parts

The HFA is divided into five pillars or themes, which have served to create 'silos' when implemented at different scales. This was not the intention. The authors recommend that the successor to the HFA avoid this by presenting its constituent parts as fundamentally interlinked components – a set of three gears, underpinned by seven building blocks. These offer a coherent guide to managing disaster risk in programmes, investments and private decision-making spheres in the context of sustainable development.

Each component, working together, will strengthen disaster resilience for sustainable development:

### Component A: Minimising risk creation

DRR must be integrated into all development decisions, programming and practice, with climate change an active component. Central to this is the building of the institutional and enabling environment for risk-sensitive practices, and the involvement of all stakeholders.

### Component B: Reducing existing risk

Building on a strengthened institutional environment for risk reduction, dedicated and deliberate attempts must be made to reduce existing risk, through and across all sectors, through both structural and non-structural methods.

### Component C: Managing residual risk

A certain level of disaster risk will always remain. The residue must be adequately managed, through preparedness for effective response and relief, financial protection at all levels, coping mechanisms including social protection. Risk reduction must, in addition for recovery and reconstruction efforts.

## The building blocks

**The measurement of progress should be based on outcomes rather than process:** The approach to monitoring the progress of the original HFA focused on a set of process or input indicators (e.g. has a disaster risk assessment been conducted, or does DRR legislation exist?) Its successor must also focus on outcomes – e.g. the actual reduction in disaster losses – as well as on the building blocks of disaster resilience. This is critical for enhancing accountability and understanding how progress is happening. Key to this is the establishment of a set of commitments that governments can endorse, commitments that are underpinned by a rigorous goal, target and indicator infrastructure.

**The HFA needs to be an essential, integrated part of key development frameworks:** In 2015 there is a unique alignment of global development frameworks under negotiation, with discussions on the successor to the HFA happening at the same time that a likely new set of SDGs and a new climate agreement are being negotiated. To be truly effective, the post-2015 framework on DRR should be integrated into each of these high-profile international frameworks<sup>23</sup> and the commitments made under the post-2015 framework on DRR should be replicated in the other frameworks, with shared language, cross-referencing, goals, targets and indicators as appropriate.

**Risk assessments must be the foundational component:** 'The starting point for reducing disaster risk ... lies in the knowledge of the hazards and the physical, social, economic and environmental

vulnerabilities ... and of the ways in which hazards and vulnerabilities are changing in the short and long term, followed by action taken on the basis of that knowledge.'<sup>24</sup> Risk assessments should continue to be a founding principle of the international framework for DRR, but with special emphasis on three aspects: how risk assessments inform sustainable development, how the threat from multiple risks (including those not from natural hazards) needs to be understood together, and how risk assessments actually drive action and shape decisions.

**The high levels of accountability and transparency required, needs investment:** Key to the success of a future framework is a heightened level of accountability and transparency. This will require going beyond the self-reporting HFA monitor and will involve:

- Investing in data and tracking mechanisms for assessing activities, funding and outcomes at a country level, supported by the framework itself, which can assist through standardisation.
- A strong peer review mechanism between countries that allows for learning, progress to be highlighted and gaps to be considered. Such a mechanism has been established in the European Union, with the UK and Finland the first two countries to receive a peer review of their national progress on managing disaster risk by specialists from other countries.
- Internationally, the progress of countries and stakeholder groups against the goals, targets and indicators should be continually monitored, verifying information provided by governments. This will also help in considering the overall success of the post-2015 framework on DRR in reducing disaster losses and achieving risk-sensitive development.

### Social inclusion and empowerment are essential to tackle vulnerability:

The post-2015 framework on DRR must pay close attention to the social and cultural dimensions of disaster, ensuring that the framework foregrounds how the most vulnerable, most marginalised communities, are both more likely to be affected by disasters, and more severely. The components of a future framework must understand the particular vulnerability of these communities, and the suitably empowered role they can play in risk reduction should have high priority.

**Contextualised implementation, tailored to each country:** The post-2015 framework on DRR should support DRR across a wide range of contexts, including in the most fragile states. It has to be sufficiently flexible to support implementation where natural hazards aren't the dominant threat and where government capacities are weak.

### Policy developments must be underwritten by financial commitments:

The national financing of DRR should be foregrounded in the post-2015 framework on DRR. It should be underpinned by a targeted commitment to spend, both on stand-alone DRR activities and initiatives and, more importantly, through being embedded into broader development planning and expenditures. International financing of DRR should be targeted to those countries and activities that are most needed, with donors shifting the burden of DRR to their development aid.

## How the components are featured in the HFA

**The general principles underpinning the HFA are detailed in Para 13:**

‘In determining appropriate action to achieve the expected outcome and strategic goals, the Conference reaffirms that the following general considerations will be taken into account:

- a. The Principles contained in the Yokohama Strategy retain their full relevance in the current context, which is characterized by increasing commitment to disaster reduction;
- b. Taking into account the importance of international cooperation and partnerships, each State has the primary responsibility for its own sustainable development and for taking effective measures to reduce disaster risk, including for the protection of people on its territory, infrastructure and other national assets from the impact of disasters. At the same time, in the context of increasing global interdependence, concerted international cooperation and an enabling international environment are required to stimulate and contribute to developing the knowledge, capacities and motivation needed for disaster risk reduction at all levels;
- c. An integrated, multi-hazard approach to disaster risk reduction should be factored into policies, planning and programming related to sustainable development, relief, rehabilitation, and recovery activities in post-disaster and post-conflict situations in disaster-prone countries;
- d. A gender perspective should be integrated into all disaster risk management policies, plans and decision-making processes, including those related to risk assessment, early warning, information management, and education and training;
- e. Cultural diversity, age, and vulnerable groups should be taken into account when planning for disaster risk reduction, as appropriate;
- f. Both communities and local authorities should be empowered to manage and reduce disaster risk by having access to the necessary information, resources and authority to implement actions for disaster risk reduction;
- g. Disaster-prone developing countries, especially least developed countries and small island developing States, warrant particular attention in view of their higher vulnerability and risk levels, which often greatly exceed their capacity to respond to and recover from disasters;
- h. There is a need to enhance international and regional cooperation and assistance in the field of disaster risk reduction through, inter alia:
- i. The transfer of knowledge, technology and expertise to enhance capacity building for disaster risk reduction
  - The sharing of research findings, lessons learned and best practices
  - The compilation of information on disaster risk and impact for all scales of disasters in a way that can inform sustainable development and disaster risk reduction
  - Appropriate support in order to enhance governance for disaster risk reduction, for awareness-raising initiatives and for capacity-development measures at all levels, in order to improve the disaster resilience of developing countries
  - The full, speedy and effective implementation of the enhanced Heavily Indebted Poor Countries Initiative, taking into account the impact of disasters on the debt sustainability of countries eligible for this programme
  - Financial assistance to reduce existing risks and to avoid the generation of new risks

- j. The promotion of a culture of prevention, including through the mobilization of adequate resources for disaster risk reduction, is an investment for the future with substantial returns. Risk assessment and early warning systems are essential investments that protect and save lives, property and livelihoods, contribute to the sustainability of development, and are far more cost-effective in strengthening coping mechanisms than is primary reliance on post-disaster response and recovery;
- k. There is also a need for proactive measures, bearing in mind that the phases of relief, rehabilitation and reconstruction following a disaster are windows of opportunity for the rebuilding of livelihoods and for the planning and reconstruction of physical and socio-economic structures, in a way that will build community resilience and reduce vulnerability to future disaster risks;
- l. Disaster risk reduction is a cross-cutting issue in the context of sustainable development and therefore an important element for the achievement of internationally agreed development goals, including those contained in the Millennium Declaration. In addition, every effort should be made to use humanitarian assistance in such a way that risks and future vulnerabilities will be lessened as much as possible.’

The structure and operation of the component parts of the HFA are seen throughout the framework agreement (pp. 5–13). Called ‘priorities for action’, they are as follows:

- Ensure that disaster risk reduction is a national and a local priority with a strong institutional basis for implementation.
- Identify, assess and monitor disaster risks and enhance early warning.
- Use knowledge, innovation and education to build a culture of safety and resilience at all levels.
- Reduce the underlying risk factors.
- Strengthen disaster preparedness for effective response at all levels.

## How the components are included in statements and consultations on the successor to the HFA

### Mid-Term Review

- The executive summary notes progress: ‘An analysis of government reports, through the HFA Monitor, for the 2005–2007, 2007–2009, and the on-going 2009–2011 cycles, indicates that progress is indeed taking place in disaster risk reduction, especially from an institutional point of view, in the passing of national legislation, in setting up early warning systems, and in strengthening disaster preparedness and response.’
- However, it also suggests that the focus on residual risks has impeded progress: ‘Handling what is primarily a developmental issue with largely relief and humanitarian mechanisms and instruments, while helpful at the beginning, needs to be reconsidered to ensure that disaster risk reduction plays the role that it must in enabling and safeguarding development gains.’ (p. 10)
- ‘Efforts to reduce underlying risk factors account for the least progress in terms of the HFA, but this is hardly surprising given that the underlying risk factors include some of the biggest challenges facing the world today: poverty, rapid urbanisation, and climate change.’ (p. 27)
- ‘The subsequent reporting cycle, ending in 2009, indicated that many countries had difficulties addressing underlying risk drivers

- such as poor urban and local governance, vulnerable rural livelihoods, and ecosystem decline in ways that led to reduced risk of damages and economic loss. Reports also seemed to indicate that governance arrangements for disaster risk reduction did not facilitate the integration of risk considerations into development.’ (p. 28)
- ‘Initial reports from the 2009–2011 HFA Progress Report seem to indicate that the more governments are coming to understand the challenge of addressing the drivers of risk, the lower the score they assign themselves in this area.’ (p. 28)
  - ‘The integration of risk reduction in infrastructure projects is an area that requires urgent attention, but most of the action on this has been very one-dimensional.’ (p. 28)
  - ‘The link between HFA Priority for Action 4, addressing the underlying risk factors, and Priority for Action 1, setting up of institutional mechanisms, is critical to ensure a holistic and strategic approach to reducing vulnerability and increasing resilience. However ... governance arrangements do not facilitate integrated management of risk drivers, especially when responsibilities for critical issues such as environment policy, social protection mechanisms, disaster risk reduction, climate change adaptation, land tenure and rural development policy, housing, and urban development policy are entrusted to different governmental entities.’ (p. 44)

### Chair’s Summary

- ‘Countries and organizations report least progress on Priority 4 of the Hyogo Framework for Action: to “reduce the underlying risk factors” ... participants raised the need to take concrete measures to tackle risk drivers including poverty, hunger, disease, conflict, violence and inadequate health services, education, infrastructure, poor water and sanitation, housing, unemployment, land degradation, displacement, forced migration and discrimination. Several proposed actions included: full reporting of the health burden of disasters and the consequences for community development and the systematic application of the International Health Regulations; promoting education services and systems, and committing to safe, uninterrupted education and other measures identified in the Children’s Charter for Disaster Risk Reduction; utilizing established mechanisms for environmental protection such as Environment Impact and Strategic Environmental Assessments, systems for protected areas management and integrated water resource and coastal zone management to address environmental degradation, strengthen livelihoods and address disaster risk; and, leveraging existing social protection mechanisms to target vulnerable households.’ (pp. 1–2)
- ‘HFA2 to focus on implementation, as a pragmatic, strategic, dynamic and realistic plan for action advancing integrated risk governance, underpinned by a clear set of principles and commitment to addressing the needs of the poorest and most vulnerable. It is expected that the HFA2 will recognize the need to govern disaster risk reduction and resilience through clear responsibilities, strong coordination, enabled local action, appropriate financial instruments and a clear recognition of a central role for science. Specific focus should be placed on addressing the drivers of risk and the recognition of the roles and contributions of self-organized community groups.’ (p. 4)

### Synthesis Report

- ‘Progress is consistently lower in HFA Priority 4, which aims to address directly the underlying drivers of risk.’ (p. 5)
- ‘Governance systems at the heart of DRR. Risk governance systems need to be strengthened. National platforms need support and roles and importance have to be clarified. Clearer responsibilities across public and private actors and the setting of appropriate accountability mechanisms. Clearer guidance on governance of DRR needed.’ (p. 8)
- ‘Disaster-focused organisations and systems have little influence on development practice. Should efforts be concentrated on strengthening DRM organisations or systems or should we focus on sector ministries and local governments responsible for regulating and promoting development?’ (p. 8)
- ‘DRR and prevention should be an obligation under the law. Other approaches encouraged accountability through transparency and access to information by citizens, along with inclusive approaches to decision-making.’ (pp. 8–9)
- ‘Holistic approaches to DRR and climate risk management are needed. Action plans and strategies for all these should be linked to national development planning exercises.’ (p. 10)
- ‘Mainstreaming and integrated approaches that address underlying risk factors can be a catalyst for pro-poor development.’ (p. 10)
- ‘Parliamentarians should play a stronger oversight role to ensure governance of risk reduction including through generating public awareness, monitoring budgets and promoting broader legislation to support decentralisation of DRR.’ (p. 20)

### Elements Paper

- ‘The post-2015 framework for disaster risk reduction cannot be considered as a stand-alone, technical and sector specific agreement. Provisions need to be made to secure an interlinked and mutually supportive implementation.’ (p. 4)
- ‘Poorly planned and managed urban development, environmental degradation, poverty and inequality and weak governance mechanisms continue to drive rapidly-increasing loss and damage associated with extensive risk.’ (p. 2)
- ‘Disasters generally continue to be conceptualized as external shocks to normally functioning economies, rather than as manifestations of underlying risk drivers inherent to development policies and practices which generate and accumulate disaster risks ... climate change ... will often magnify the effects of these underlying risk drivers, many of which are trans-boundary in nature.’ (p. 2)
- ‘Policy and action need to go beyond the reduction of existing risk and prioritize the prevention of new risk accumulation. Risk management must be part of sustainable development policies and practices in order to tackle existing challenges and seize potential opportunities.’ (p. 3)
- ‘The post-2015 framework for disaster risk reduction needs to embrace three complementary and strategic goals, namely: 1) risk prevention and the pursuit of development pathways that minimise disaster risk generation; 2) risk reduction, i.e. actions to address existing accumulations of disaster risk; and 3) strengthened resilience, i.e. actions that enable nations and communities to absorb loss and damage, minimise impacts and bounce forward.’ (p. 7)

- ‘In order to make progress towards the expected outcome and strategic goals, public policies on risk management need to be underpinned by appropriate governance frameworks ... public policies will need to be underpinned by mechanisms for information and knowledge generation and management in order to ensure that relevant information and knowledge on risk and on risk management alternatives is available to policy and decision makers at different levels, from individuals and households to international organisations.’ (p. 7)
- ‘The priority areas of the post-2015 framework for disaster risk reduction need to be defined in terms of critical public policies that address disaster risk in publically owned, managed or regulated services and infrastructures, and in the environment, but also that regulate or provide incentives for actions by households, communities, businesses and individuals.’ (p. 7)

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## RECOMMENDED READING

The four main documents used to discuss developments over the past 10 years – the Elements Paper, Chair’s Summary, Mid-Term Review and Synthesis Paper – are all useful for a deeper understanding of the structures of past and possible frameworks. In addition, other documents provide a perspective from a different angle:

**To see the United Nations plan of action for DRR go to:**

United Nations Chief Executives Board for Coordination (2013) *United Nations Plan of Action on Disaster Risk Reduction for Resilience*. United Nations, New York.

**To read how the World Bank articulates its own work in DRM, see:**

GFDRR/World Bank (2012) *The Sendai Report: Managing Disaster Risks for a Resilient Future*. Global Facility for Disaster Reduction and Recovery, Washington DC.

**To read about key challenges in creating a new structure for DRR, see:**

Lavell and Maskrey (2014) *The Future of Disaster Risk Management: An Ongoing Discussion*. UNISDR, Geneva.